

UP versus NP Frank Vega

▶ To cite this version:

Frank Vega. UP versus NP. 2016. hal-01304025v4

HAL Id: hal-01304025 https://hal.science/hal-01304025v4

Preprint submitted on 29 Aug 2016 (v4), last revised 12 Oct 2018 (v8)

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UP versus NP

Frank Vega

Abstract

We consider two new complexity classes that are called equivalent-P and equivalent-UP which have a close relation to the P versus NP problem. The class equivalent-P contains those languages that are ordered-pairs of instances of two specific problems in P, such that the elements of each ordered-pair have the same solution, which means, the same certificate. The class equivalent-UP has almost the same definition, but in each case we define the pair of languages explicitly in UP. In addition, we define the class double-NP as the set of languages that contain each instance of another language in NP, but in a double way, that is, in form of a pair with two identical instances. We demonstrate that double-NP is a subset of equivalent-P. Moreover, we prove that equivalent-UP is a subset of UP. In this way, we show not only that every problem in double-NP can be reformulated as the pairs of elements of two languages in P which have the same certificate, but we also show UP = NP.

Keywords: P, UP, NP, logarithmic space, certificate 2000 MSC: 68-XX, 68Qxx, 68Q15

Introduction

P versus *NP* is a major unsolved problem in computer science [1]. This problem was introduced in 1971 by Stephen Cook [2]. It is considered by many to be the most important open problem in the field [1]. It is one of the seven Millennium Prize Problems selected by the Clay Mathematics Institute to carry a US\$1,000,000 prize for the first correct solution [1].

In 1936, Turing developed his theoretical computational model [2]. The deterministic and nondeterministic Turing machines have become in two of the most important definitions related to this theoretical model for computation. A deterministic Turing machine has only one next action for each step defined in its program or transition function [3]. A nondeterministic Turing machine could contain more than one action defined for each step of its program, where this one is no longer a function, but a relation [3].

Another huge advance in the last century has been the definition of a complexity class. A language over an alphabet is any set of strings made up of symbols from that alphabet [4]. A complexity class is a set of problems, which are represented as a language, grouped by measures such as the running time, memory, etc [4].

In the computational complexity theory, the class P contains those languages that can be decided in polynomial time by a deterministic Turing machine [5]. The class NP consists in

August 29, 2016

Email address: vega.frank@gmail.com (Frank Vega)

Preprint submitted to Information Processing Letters

those languages that can be decided in polynomial time by a nondeterministic Turing machine [5].

The biggest open question in theoretical computer science concerns the relationship between these classes:

Is P equal to NP?

Another major complexity class is *UP*. The class *UP* has all the languages that are decided in polynomial time by a nondeterministic Turing machines with at most one accepting computation for each input [6]. In order to denote this property, we will call it as unambiguous. Indeed, this kind of nondeterministic Turing machines which decide the languages in *UP* are called unambiguous [3]. It is obvious that $P \subseteq UP \subseteq NP$ [3]. Whether P = UP is another fundamental question that it is as important as it is unresolved [3]. All efforts to solve the *P* versus *UP* problem have failed [3]. Nevertheless, we prove UP = NP.

1. Theoretical notions

Let Σ be a finite alphabet with at least two elements, and let Σ^* be the set of finite strings over Σ [2]. A Turing machine *M* has an associated input alphabet Σ [2]. For each string *w* in Σ^* there is a computation associated with *M* on input *w* [2]. We say that *M* accepts *w* if this computation terminates in the accepting state [2]. Note that *M* fails to accept *w* either if this computation ends in the rejecting state, or if the computation fails to terminate [2].

The language accepted by a Turing machine M, denoted L(M), has an associated alphabet Σ and is defined by

$$L(M) = \{ w \in \Sigma^* : M \text{ accepts } w \}.$$

We denote by $t_M(w)$ the number of steps in the computation of M on input w [2]. For $n \in \mathbb{N}$ we denote by $T_M(n)$ the worst case run time of M; that is

$$T_M(n) = max\{t_M(w) : w \in \Sigma^n\}$$

where Σ^n is the set of all strings over Σ of length n [2]. We say that M runs in polynomial time if there exists k such that for all n, $T_M(n) \le n^k + k$ [2].

Definition 1.1. A language L is in class P if L = L(M) for some deterministic Turing machine M which runs in polynomial time [2].

We state the complexity class NP using the following definition.

Definition 1.2. A verifier for a language L is a deterministic Turing machine M, where

 $L = \{w : M \text{ accepts } \langle w, c \rangle \text{ for some string } c \}.$

We measure the time of a verifier only in terms of the length of w, so a polynomial time verifier runs in polynomial time in the length of w [7]. A verifier uses additional information, represented by the symbol c, to verify that a string w is a member of L. This information is called certificate.

Observe that, for polynomial time verifiers, the certificate is polynomially bounded by the length of w, because that is all the verifier can access in its time bound [7].

Definition 1.3. *NP is the class of languages that have polynomial time verifiers* [7].

A function $f : \Sigma^* \to \Sigma^*$ is a polynomial time computable function if some deterministic Turing machine M, on every input w, halts in polynomial time with just f(w) on its tape [7]. Let $\{0, 1\}^*$ be the infinite set of binary strings, we say that a language $L_1 \subseteq \{0, 1\}^*$ is polynomial time reducible to a language $L_2 \subseteq \{0, 1\}^*$, written $L_1 \leq_p L_2$, if there exists a polynomial time computable function $f : \{0, 1\}^* \to \{0, 1\}^*$ such that for all $x \in \{0, 1\}^*$,

$x \in L_1$ if and only if $f(x) \in L_2$.

An important complexity class is *NP*-complete [5]. A language $L \subseteq \{0, 1\}^*$ is *NP*-complete if

- 1. $L \in NP$, and
- 2. $L' \leq_p L$ for every $L' \in NP$.

Furthermore, if *L* is a language such that $L' \leq_p L$ for some $L' \in NP$ -complete, then *L* is in *NP*-hard [4]. Moreover, if $L \in NP$, then $L \in NP$ -complete [4]. If any single *NP*-complete problem can be solved in polynomial time, then every *NP* problem has a polynomial time algorithm [4]. No polynomial time algorithm has yet been discovered for any *NP*-complete problem [1].

A principal *NP–complete* problem is *SAT* [8]. An instance of *SAT* is a Boolean formula ϕ which is composed of

- 1. Boolean variables: x_1, x_2, \ldots, x_n ;
- Boolean connectives: Any Boolean function with one or two inputs and one output, such as ∧(AND), ∨(OR), →(NOT), ⇒(implication), ⇔(if and only if);
- 3. and parentheses.

A truth assignment for a Boolean formula ϕ is a set of values for the variables in ϕ . A satisfying truth assignment is a truth assignment that causes ϕ to be evaluated as true. A formula with a satisfying truth assignment is a satisfiable formula. The problem *SAT* asks whether a given Boolean formula is satisfiable [8].

Another NP-complete language is 3CNF satisfiability, or 3SAT [4]. We define 3CNF satisfiability using the following terms. A literal in a Boolean formula is an occurrence of a variable or its negation [4]. A Boolean formula is in conjunctive normal form, or CNF, if it is expressed as an AND of clauses, each of which is the OR of one or more literals [4]. A Boolean formula is in 3-conjunctive normal form or 3CNF, if each clause has exactly three distinct literals [4].

For example, the Boolean formula

$$(x_1 \lor \neg x_1 \lor \neg x_2) \land (x_3 \lor x_2 \lor x_4) \land (\neg x_1 \lor \neg x_3 \lor \neg x_4)$$

is in 3*CNF*. The first of its three clauses is $(x_1 \lor \rightarrow x_1 \lor \rightarrow x_2)$, which contains the three literals $x_1, \rightarrow x_1$, and $\rightarrow x_2$. In 3*SAT*, it is asked whether a given Boolean formula ϕ in 3*CNF* is satisfiable.

It can be demonstrated that many problems belong to *NP*-complete using a polynomial time reduction from 3SAT [8]. For example, the well-known problem *1*-*IN*-3 3SAT which is defined as follows: Given a Boolean formula ϕ in 3CNF, is there a truth assignment such that each clause in ϕ has exactly one true literal?

Another special case is the class of problems where each clause contains XOR (i.e. exclusive or) rather than (plain) OR operators. This is in P, since a XOR-SAT formula can also be viewed as a system of linear equations mod 2, and can be solved in cubic time by Gaussian elimination [9]. We represent the XOR function inside a Boolean formula as \oplus . The problem XOR-SAT is

similar to *XOR*–*SAT*, but the clauses in the Boolean formula have exactly three distinct literals. Since $a \oplus b \oplus c$ is evaluated as true if and only if exactly 1 or 3 members of $\{a, b, c\}$ are true, then each solution of the problem *1–IN–3 3SAT* for a given 3*CNF* formula is also a solution of the problem *XOR–3SAT* and in turn each solution of *XOR–3SAT* is a solution of 3*SAT*.

In addition, a Boolean formula is in 2-conjunctive normal form, or 2CNF, if it is in CNF and each clause has exactly two distinct literals. There is a well-known problem called 2SAT. In 2SAT, it is asked whether a given Boolean formula ϕ in 2CNF is satisfiable. This language is in P [10].

2. Class equivalent-P

Definition 2.1. We say that a language L belongs to $\equiv P$ if there exist two languages $L_1 \in P$ and $L_2 \in P$ and two deterministic Turing machines M_1 and M_2 , where M_1 and M_2 are the polynomial time verifiers of L_1 and L_2 respectively, such that

$$L = \{(x, y) : \exists z \text{ such that } M_1(x, z) = "yes" \text{ and } M_2(y, z) = "yes" \}.$$

We call the complexity class $\equiv P$ as "equivalent–P". We represent this language L in $\equiv P$ as (L_1, L_2) .

A logarithmic space transducer is a Turing machine with a read-only input tape, a writeonly output tape, and a read/write work tape [7]. The work tapes must contain at most $O(\log n)$ symbols [7]. A logarithmic space transducer M computes a function $f : \Sigma^* \to \Sigma^*$, where f(w)is the string remaining on the output tape after M halts when it is started with w on its input tape [7]. We call f a logarithmic space computable function [7]. We say that a language $L_1 \subseteq \{0, 1\}^*$ is logarithmic space reducible to a language $L_2 \subseteq \{0, 1\}^*$, written $L_1 \leq_l L_2$, if there exists a logarithmic space computable function $f : \{0, 1\}^* \to \{0, 1\}^*$ such that for all $x \in \{0, 1\}^*$,

$$x \in L_1$$
 if and only if $f(x) \in L_2$.

The logarithmic space reduction is frequently used for *P* and below [3]. There is a different kind of reduction for $\equiv P$: The *e*-reduction.

Definition 2.2. Given two languages L_1 and L_2 , where the instances of L_1 and L_2 are orderedpairs of binary strings, we say that the language L_1 is e-reducible to the language L_2 , written $L_1 \leq L_2$, if there exist two logarithmic space computable functions $f : \{0, 1\}^* \rightarrow \{0, 1\}^*$ and $g : \{0, 1\}^* \rightarrow \{0, 1\}^*$ such that for all $x \in \{0, 1\}^*$ and $y \in \{0, 1\}^*$,

$$(x, y) \in L_1$$
 if and only if $(f(x), g(y)) \in L_2$.

Lemma 2.3. The e-reduction is a logarithmic space reduction.

Proof. We can construct a logarithmic space transducer M that computes an arbitrary *e*-*reduction* and receives as input an ordered-pair of string $\langle x, y \rangle$ and outputs $\langle f(x), g(y) \rangle$ where f and g are the two logarithmic space computable functions of this *e*-*reduction*. Suppose we use a delimiter symbol for the strings x and y. For example, let's take the blank symbol \sqcup as delimiter [3]. Since f is a logarithmic space computable function, then we can simulate f on M using a logarithmic amount of space in its read/write work tape. In the meantime, M is printing the string f(x) to the output without wander off after the symbol \sqcup that separates x from y on the input tape. When

the simulation of f halts, then M starts to simulate g from the other string y. At the same time, M outputs the result of g(y) using only a logarithmic space in its work tape, since g is also a logarithmic space computable function. Finally, we obtain the output $\langle f(x), g(y) \rangle$ from the input $\langle x, y \rangle$ using the logarithmic space transducer M. Since we take an arbitrary *e-reduction*, then we prove the *e-reduction* is also a logarithmic space reduction.

Theorem 2.4. If $A \leq_{\equiv} B$ and $B \leq_{\equiv} C$, then $A \leq_{\equiv} C$.

Proof. This is because of the logarithmic space reduction is transitive [3].

We say that a complexity class *C* is closed under reductions if, whenever L_1 is reducible to L_2 and $L_2 \in C$, then $L_1 \in C$ [3].

Theorem 2.5. $\equiv P$ is closed under reductions.

Proof. Let *L* and *L'* be two arbitrary languages, where their instances are ordered-pairs of binary strings. Suppose that $L \leq_{\equiv} L'$ where *L'* is in $\equiv P$. We will show that *L* is in $\equiv P$ too. By definition of $\equiv P$, there are two languages $L'_1 \in P$ and $L'_2 \in P$, such that for each $(v, w) \in L'$ we have that $v \in L'_1$ and $w \in L'_2$. Moreover, there are two deterministic Turing machines M'_1 and M'_2 which are the polynomial time verifiers of L'_1 and L'_2 respectively. For each $(v, w) \in L'$, there will be a succinct certificate *z*, such that $M'_1(v, z) = "yes"$ and $M'_2(w, z) = "yes"$. Besides, by definition of *e-reduction*, there are two logarithmic space computable functions $f : \{0, 1\}^* \to \{0, 1\}^*$ and $g : \{0, 1\}^* \to \{0, 1\}^*$ such that for all $x \in \{0, 1\}^*$ and $y \in \{0, 1\}^*$,

$$(x, y) \in L$$
 if and only if $(f(x), g(y)) \in L'$.

Based on this preliminary information, we can support that there exist two languages $L_1 \in P$ and $L_2 \in P$, such that for each $(x, y) \in L$ we have that $x \in L_1$ and $y \in L_2$. Indeed, we can define L_1 and L_2 as the strings $f^{-1}(v)$ and $g^{-1}(w)$, such that $f^{-1}(v) \in L_1$ and $g^{-1}(w) \in L_2$ if and only if $v \in L'_1$ and $w \in L'_2$. Certainly, for all $x \in \{0, 1\}^*$ and $y \in \{0, 1\}^*$, we can decide in polynomial time whether $x \in L_1$ or $y \in L_2$ just verifying that $f(x) \in L'_1$ or $g(y) \in L'_2$ respectively, since $L'_1 \in P$, $L'_2 \in P$, and $SPACE(\log n) \subseteq P$ [3].

Furthermore, there are two deterministic Turing machines M_1 and M_2 which are the polynomial time verifiers of L_1 and L_2 respectively. For each $(x, y) \in L$, there will be a succinct certificate z such that $M_1(x, z) =$ "yes" and $M_2(y, z) =$ "yes". Indeed, we can know whether $M_1(x, z) =$ "yes" and $M_2(y, z) =$ "yes" and $M_2(g(y), z) =$ "yes". Certainly, for every triple of strings (x, y, z), we can define the polynomial time computation of the verifiers M_1 and M_2 as $M_1(x, z) = M'_1(f(x), z)$ and $M_2(y, z) = M'_2(g(y), z)$, since we can evaluate f(x) and g(y) in polynomial time because of SPACE(log $n) \subseteq P$ [3]. In addition, min(|f(x)|, |g(y)|) is polynomially bounded by min(|x|, |y|) where $| \dots |$ is the string length function, due to the logarithmic space transducers of f and g cannot output an exponential amount of symbols in relation to the size of the input. Consequently, |z| is polynomially bounded by min(|x|, |y|), because |z| will be polynomially bounded by min(|f(x)|, |g(y)|). Hence, we have just proved the necessary properties to state that L is in $\equiv P$.

3. Class double-NP

Most of the transformations that have been used in proving *NP-completeness* are also logarithmic space transformations [8]. Thus the class of languages that are "logarithmic space complete for *NP*" is at least a large subclass of the *NP–complete* problems [8]. We define a complexity class which has a close relation to this property.

Definition 3.1. We say that a language L belongs to 2NP if there exists a language $L' \in NP$, such that

$$L = \{(x, x) : x \in L'\}.$$

We call the complexity class 2NP as "double–NP". We represent this language L in 2NP as (L', L').

We define the completeness of 2NP using the *e*-reduction.

Definition 3.2. A language $L \subseteq \{0, 1\}^*$ is 2NP–complete if

1. $L \in 2NP$, and

2. $L' \leq L$ for every $L' \in 2NP$.

Furthermore, if L is a language such that $L' \leq L$ for some $L' \in 2NP$ -complete, then L is in 2NP-hard. Moreover, if $L \in 2NP$, then $L \in 2NP$ -complete. This definitions are based on the result of Theorem 2.4.

We define 2–3SAT as follows,

$$2-3SAT = \{(\phi, \phi) : \phi \in 1-IN-3 \ 3SAT\}.$$

Theorem 3.3. 2– $3SAT \in 2NP$ –complete.

Proof. 2–3SAT is in 2NP, because 1-IN-3 3SAT is in NP. We know the language 1-IN-3 3SAT has been defined in NP–complete using only logarithmic space reductions [8]. Certainly, we can reduce every instance of a language in NP into SAT, and this other instance of SAT into 3SAT, and finally, this one in 3SAT into 1-IN-3 3SAT just using in each case a reduction in logarithmic space [8]. Since the logarithmic space reduction is transitive, then we obtain $2-3SAT \in 2NP$ –complete, because 2-3SAT contains the elements of 1-IN-3 3SAT but in a duplicated way.

Definition 3.4. 3XOR-2SAT is a problem in $\equiv P$, where every instance (ψ, φ) is an ordered-pair of Boolean formulas, such that if $(\psi, \varphi) \in 3XOR-2SAT$, then $\psi \in XOR-3SAT$ and $\varphi \in 2SAT$. According to the definition of $\equiv P$, this language is the ordered-pairs of elements of XOR-3SATand 2SAT such that they will have the same satisfying truth assignment using the same variables. We define the polynomial time verifiers of XOR-3SAT and 2SAT as the two deterministic Turing machines M_1 and M_2 , such that M_1 accepts every element of XOR-3SAT with each satisfying truth assignment and M_2 accepts every element of 2SAT with each satisfying truth assignment.

Theorem 3.5. $3XOR-2SAT \in 2NP-hard$.

Proof. Given an arbitrary Boolean formula ϕ in 3*CNF* of *m* clauses, we iterate for i = 1, 2, ..., m over each clause $c_i = (x \lor y \lor z)$ in ϕ , where *x*, *y* and *z* are literals, just creating the following formulas,

$$Q_i = (x \oplus y \oplus z)$$
$$P_i = (\neg x \lor \neg y) \land (\neg y \lor \neg z) \land (\neg x \lor \neg z).$$

Since Q_i is evaluated as true if and only if exactly 1 or 3 members of $\{x, y, z\}$ are true and P_i is evaluated as true if and only if exactly 1 or 0 members of $\{x, y, z\}$ are true, then we obtain the clause c_i has exactly one true literal if and only if both formulas Q_i and P_i have the same satisfying truth assignment.

Hence, we can construct the Boolean formulas ψ and φ as the conjunction of Q_i or P_i for every clause c_i in ϕ , that is, $\psi = Q_1 \land \ldots \land Q_m$ and $\varphi = P_1 \land \ldots \land P_m$. Finally, we obtain that,

 $(\phi, \phi) \in 2-3SAT$ if and only if $(\psi, \varphi) \in 3XOR-2SAT$.

Moreover, there are two logarithmic space computable functions $f : \{0, 1\}^* \to \{0, 1\}^*$ and $g : \{0, 1\}^* \to \{0, 1\}^*$ such that $f(\langle \phi \rangle) = \langle \psi \rangle$ and $g(\langle \phi \rangle) = \langle \varphi \rangle$. Indeed, we only need a logarithmic space to analyze every time each clause c_i in the instance ϕ and generate Q_i or P_i to the output. Then, we have proved that $2-3SAT \leq 3XOR-2SAT$. Consequently, we obtain that $3XOR-2SAT \in 2NP-hard$.

Theorem 3.6. $2NP \subseteq \equiv P$.

Proof. Since 3XOR–2SAT is hard for 2NP, thus all language in 2NP reduce to $\equiv P$. Since $\equiv P$ is closed under reductions, it follows that $2NP \subseteq \equiv P$.

4. Class equivalent-UP

Definition 4.1. We say that a language L belongs to $\equiv UP$ if there exist two languages $L_1 \in UP$ and $L_2 \in UP$ and two deterministic Turing machines M_1 and M_2 , where M_1 and M_2 are the polynomial time verifiers of L_1 and L_2 respectively, such that

$$L = \{(x, y) : \exists z \text{ such that } M_1(x, z) = "yes" \text{ and } M_2(y, z) = "yes" \}.$$

We call the complexity class $\equiv UP$ as "equivalent–UP". We represent this language L in $\equiv UP$ as (L_1, L_2) .

Theorem 4.2. $\equiv UP \subseteq UP$.

Proof. Let's take an arbitrary language L in $\equiv UP$ which is defined from the two languages $L_1 \in UP$ and $L_2 \in UP$ and two deterministic Turing machines M_1 and M_2 , such that $L = (L_1, L_2)$ where M_1 and M_2 are the polynomial time verifiers of L_1 and L_2 respectively. We are going to prove there is a nondeterministic Turing machine M, such that M can decide every instance (x, y) of L in polynomial time with at most one accepting computation. Since $UP \subseteq NP$, then each certificate z for every element $x \in L_1$ or $y \in L_2$ could be polynomially bounded through a single constant c in this way: $|z| < |x|^c$ or $|z| < |y|^c$ where $|\ldots|$ is the string length function. Now, we could define M in the following way:

On input (x, y),

- 1. we nondeterministically generate a single string z with at most $max(|x|, |y|)^c$ symbols from the alphabets of M_1 and M_2 , such that z will be produced in only one computation path,
- 2. then, we accept the instance (x, y) if $M_1(x, z) = "yes"$ and $M_2(y, z) = "yes"$ otherwise we reject.

For every instance x of L_1 , a certificate z that proves the membership of x in L_1 would be unique because of $L_1 \in UP$. The same happens for every instance y in L_2 : If there exists a certificate z that proves $y \in L_2$, then z will be unique. If $x \notin L_1$ or $y \notin L_2$, then there will not be another possible certificate for the instance x or y. Certainly, for every instance x or y, there will be at most one certificate that proves the membership of x to L_1 or y to L_2 . Indeed, we should not confuse UP with the class US consisting in those problems that ask whether a given instance has a unique solution [3]. Hence, for every instance (x, y) of L, there will be at most one polynomially bounded string z such that $M_1(x, z) = "yes"$ and $M_2(y, z) = "yes"$ if and only if $(x, y) \in L$.

Since the Turing machines M_1 and M_2 are deterministic and the generation of z can be done in a single and nondeterministically computation path, then we can support that M has at most one accepting computation for every instance (x, y) of L. In addition, the Turing machine M is nondeterministic due to the nondeterministic steps in the selection of the string z. Certainly, we can simulate the generation of z into a nondeterministic Turing machine which writes at most $max(|x|, |y|)^c$ symbols to the output tape and for each step the machine could choose to write nondeterministically every possible symbol of the alphabet of M_1 and M_2 or could simply halt. Consequently, we obtain that $L \in UP$. Since we took arbitrarily a language L in $\equiv UP$, then we can deduce $\equiv UP \subseteq UP$.

Lemma 4.3. $\equiv P \subseteq \equiv UP$.

Proof. Since $P \subseteq UP$, then we can support that $\equiv P \subseteq \equiv UP$ as a direct consequence of the Definitions 2.1 and 4.1 [3].

Theorem 4.4. UP = NP.

Proof. As result of applying the Theorems 3.6 and 4.2 with the Lemma 4.3, then we can deduce $2NP \subseteq UP$. Alternatively, we can reduce in logarithmic space every language in $L \in NP$ to another language $(L, L) \in 2NP$ just using a logarithmic space transducer that copies the content on its input tape to the output twice. Since UP is closed under logarithmic space reductions and every language in 2NP is in UP, then every language in NP will be in UP too [3]. Consequently, we obtain that $NP \subseteq UP$. However, we already know that $UP \subseteq NP$ [3]. Since we have that $NP \subseteq UP$ and $UP \subseteq NP$, then UP = NP [4].

Conclusions

There is a previous known result which states that P = UP if and only if there are no oneway functions [3]. Indeed, for many years it has been accepted the *P* versus *UP* question as the correct complexity context for the discussion of the cryptography and one-way functions [3]. For that reason, the proof of Theorem 4.4 negates this current idea and also the belief that UP = NP is a very unlikely event. In addition, this demonstration might be a shortcut to prove P = NP, because if somebody proves that P = UP, then he will be proving, at the same time, the outstanding and difficult *P* versus *NP* problem [1]. Furthermore, if we obtain a possible proof of $P \neq NP$, then this work would also contribute to show $P \neq UP$.

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