

SAT and SMT Solving

Sarah Winkler

KRDB
Department of Computer Science
Free University of Bozen-Bolzano

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Idea (Branch and Bound)

- ▶ given \mathbb{Q}^2 solution α , add constraints to exclude α but preserve \mathbb{Z}^2 solutions: if $a < \alpha(x) < a_1$, use Simplex on problems $C \wedge x \leq a$ and $C \wedge x \geq a + 1$
- ▶ need not terminate if solution space is unbounded

Algorithm BranchAndBound(φ)

Input: LIA constraint φ
Output: unsatisfiable, or satisfying assignment

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let res be result of deciding  $\varphi$  over  $\mathbb{Q}$            ▷ e.g. by Simplex
if res is unsatisfiable then
    return unsatisfiable
else if res is solution over  $\mathbb{Z}$  then
    return res
else
    let  $x$  be variable assigned non-integer value  $q$  in res
    res = BranchAndBound( $\varphi \wedge x \leq \lfloor q \rfloor$ )
    return res  $\neq$  unsatisfiable ? res : BranchAndBound( $\varphi \wedge x \geq \lceil q \rceil$ )

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Outline

- Summary of Last Week
- Cutting Planes
- Bounds for Integer Solutions

Definition

\mathbb{Q}^2 -solution space of linear arithmetic problem $Ax \leq b$ is **bounded**
 if for all x_i there exist $l_i, u_i \in \mathbb{Q}$ such that all \mathbb{Q}^2 -solutions v satisfy $l_i \leq v(x_i) \leq u_i$

Theorem

If solution space to φ is bounded then BranchAndBound(φ) returns unsatisfiable
 iff φ has no solution in \mathbb{Z}^2

Fourier-Motzkin Elimination

Aim

build theory solver for linear rational arithmetic (LRA):
decide whether conjunction of linear (in)equalities φ is satisfiable over \mathbb{Q}

Preprocessing: eliminate \neq

$(t_1 \neq t_2) \wedge \varphi$ is satisfiable iff $(t_1 < t_2) \wedge \varphi$ or $(t_1 > t_2) \wedge \varphi$ are satisfiable

Definition (Elimination step)

- for variable x in φ , can write φ as

$$\bigwedge_i (x < U_i) \wedge \bigwedge_j (x \leq u_j) \wedge \bigwedge_k (L_k < x) \wedge \bigwedge_m (\ell_m \leq x) \wedge \psi$$

where $U_i, u_j, L_k, \ell_m, \psi$ are without x

- let $\text{elim}(\varphi, x)$ be conjunction of

$$\bigwedge_i \bigwedge_k (L_k < U_i) \quad \bigwedge_i \bigwedge_m (\ell_m < U_i) \quad \bigwedge_j \bigwedge_k (L_k < u_j) \quad \bigwedge_j \bigwedge_m (\ell_m \leq u_j) \quad \psi$$

Lemma

φ is LRA-satisfiable iff $\text{elim}(\varphi, x)$ is LRA-satisfiable

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Observation

- can subsequently eliminate all variables
- checking satisfiability of formula without variables is easy
- so obtain decision procedure for LRA!

Example (Fourier-Motzkin elimination)

$$\begin{array}{ll} 2x - 4y \leq 8 & \text{i.e. } x \leq 4 + 2y \\ x + y + z > 3 & x > 3 - y - z \\ 3y + 2z < 5 & \\ y - z \geq 0 & \end{array} \quad \begin{array}{l} \Rightarrow \\ \text{eliminate } x \end{array}$$

$$\begin{array}{ll} 3 - y - z < 4 + 2y & \text{i.e. } y > -\frac{1}{3}z - \frac{1}{3} \\ 3y + 2z < 5 & y < \frac{5}{3} - \frac{2}{3}z \\ y - z \geq 0 & y \geq z \end{array} \quad \begin{array}{l} \Rightarrow \\ \text{eliminate } y \end{array}$$

$$\begin{array}{ll} -\frac{1}{3}z - \frac{1}{3} < \frac{5}{3} - \frac{2}{3}z & \text{i.e. } z < 6 \\ z < \frac{5}{3} - \frac{2}{3}z & z < 1 \end{array} \quad \begin{array}{l} \Rightarrow \\ \text{eliminate } z \end{array}$$

(empty constraints) satisfiable

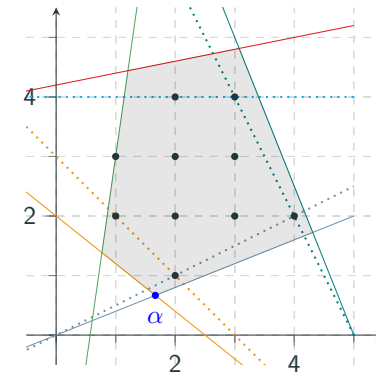
Remark

worst-case complexity of FME is double exponential in number of variables

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Consider set of constraints over linear integer arithmetic.

Example



Definition (Cut)

given solution α over \mathbb{Q}^n , cut is inequality $a_1x_1 + \dots + a_nx_n \leq b$
which is not satisfied by α but by every \mathbb{Z}^n -solution

need not terminate
for unbounded problems

Solving Strategy

like in BranchAndBound, keep adding cuts until integer solution found

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Gomory Cuts: Assumptions

- Simplex returned solution α over \mathbb{Q}^n :
final tableau is A with dependent variables D and independent variables I

$$A\bar{x}_I = \bar{x}_D \quad (1)$$

$$l_k \leq x_k \leq u_k \quad \forall x_k \quad (2)$$

- for some $x_i \in D$ its value $\alpha(x_i) \notin \mathbb{Z}$
- for all $x_j \in I$ value $\alpha(x_j)$ is l_j or u_j (by definition of Simplex)

Notation

- write $c = \alpha(x_i) - \lfloor \alpha(x_i) \rfloor$
- by assumption all independent variables are assigned bounds, so can split

$$L = \{x_j \in I \mid \alpha(x_j) = l_j\} \quad U = \{x_j \in I \mid \alpha(x_j) = u_j\}$$

$$L^+ = \{x_j \in L \mid A_{ij} \geq 0\} \quad U^+ = \{x_j \in U \mid A_{ij} \geq 0\}$$

$$L^- = \{x_j \in L \mid A_{ij} < 0\} \quad U^- = \{x_j \in U \mid A_{ij} < 0\}$$

Lemma (Gomory Cut)

the following inequality is a cut:

$$\sum_{x_j \in L^+} \frac{A_{ij}}{1-c} (x_j - l_j) - \sum_{x_j \in U^-} \frac{A_{ij}}{1-c} (u_j - x_j) - \sum_{x_j \in L^-} \frac{A_{ij}}{c} (x_j - l_j) + \sum_{x_j \in U^+} \frac{A_{ij}}{c} (u_j - x_j) \geq 1 \quad 8$$

Proof (2)

- have

$$x_i - \alpha(x_i) = \underbrace{\sum_{x_j \in L} A_{ij} (x_j - l_j)}_{\mathcal{L}} - \underbrace{\sum_{x_j \in U} A_{ij} (u_j - x_j)}_{\mathcal{U}} \quad (5)$$

- for $c = \alpha(x_i) - \lfloor \alpha(x_i) \rfloor$ have $0 < c < 1$, can write $\alpha(x_i) = \lfloor \alpha(x_i) \rfloor + c$, so

$$x_i - \lfloor \alpha(x_i) \rfloor = c + \mathcal{L} - \mathcal{U} \quad (6)$$

- for integer solution \bar{x} left-hand side must be integer, so also right-hand side
- abbreviate

$$\mathcal{L}^+ = \sum_{x_j \in L^+} A_{ij} (x_j - l_j) \quad \mathcal{U}^+ = \sum_{x_j \in U^+} A_{ij} (u_j - x_j)$$

$$\mathcal{L}^- = \sum_{x_j \in L^-} A_{ij} (x_j - l_j) \quad \mathcal{U}^- = \sum_{x_j \in U^-} A_{ij} (u_j - x_j)$$

so $\mathcal{L} = \mathcal{L}^+ + \mathcal{L}^-$ and $\mathcal{U} = \mathcal{U}^+ + \mathcal{U}^-$

- have $\mathcal{L}^+ \geq 0$, $\mathcal{U}^+ \geq 0$ and $\mathcal{L}^- \leq 0$, $\mathcal{U}^- \leq 0$
- distinguish $\mathcal{L} \geq \mathcal{U}$ or $\mathcal{L} < \mathcal{U}$

$$A\bar{x}_I = \bar{x}_D \quad (1)$$

$$l_k \leq x_k \leq u_k \quad \forall x_k \quad (2)$$

Proof (1)

- set up conditions for integer solution \bar{x} to (1) and (2)
- \bar{x} satisfies i -th row of (1):

$$x_i = \sum_{x_j \in I} A_{ij} x_j \quad (3)$$

- because α is solution, it holds that

$$\alpha(x_i) = \sum_{x_j \in I} A_{ij} \alpha(x_j) \quad (4)$$

- subtract (4) from (3):

$$\begin{aligned} x_i - \alpha(x_i) &= \sum_{x_j \in I} A_{ij} (x_j - \alpha(x_j)) \\ &= \sum_{x_j \in L} A_{ij} (x_j - l_j) - \sum_{x_j \in U} A_{ij} (u_j - x_j) \end{aligned} \quad (5)$$

Proof (3)

- both sides are integer in equation

$$x_i - \lfloor \alpha(x_i) \rfloor = c + \mathcal{L} - \mathcal{U} \quad (6)$$

- if $\mathcal{L} \geq \mathcal{U}$:

- have $c + \mathcal{L} - \mathcal{U} \geq 1$ because integer, so $\mathcal{L} - \mathcal{U} \geq 1 - c$
- in particular $\mathcal{L}^+ - \mathcal{U}^- \geq 1 - c$

since $\mathcal{L}^+ \geq \mathcal{L}$
and $\mathcal{U}^- \leq \mathcal{U}$

$$\frac{1}{1-c} (\mathcal{L}^+ - \mathcal{U}^-) \geq 1$$

since $\mathcal{U}^+ \geq \mathcal{U}$
and $\mathcal{L}^- \leq \mathcal{L}$

- otherwise $\mathcal{L} < \mathcal{U}$:

- have $c + \mathcal{L} - \mathcal{U} \leq 0$ because integer, so $\mathcal{U} - \mathcal{L} \geq c$
- in particular $\mathcal{U}^+ - \mathcal{L}^- \geq c$

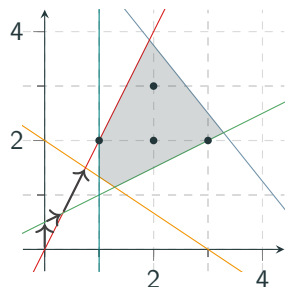
$$\frac{1}{c} (\mathcal{U}^+ - \mathcal{L}^-) \geq 1 \quad (8)$$

- terms \mathcal{L}^+ , \mathcal{U}^+ , $-\mathcal{L}^-$ and $-\mathcal{U}^-$ always non-negative, as
- add (7) and (8) to obtain cut

the desired
monster inequality!

$$\frac{1}{1-c} (\mathcal{L}^+ - \mathcal{U}^-) + \frac{1}{c} (\mathcal{U}^+ - \mathcal{L}^-) \geq 1$$

Example



$$\begin{aligned} -2x - 3y &\leq -6 \\ -2x + y &\leq 0 \\ x - 2y &\leq -1 \\ 5x + 4y &\leq 25 \end{aligned}$$

- ▶ infinite \mathbb{Q}^2 -solution space
- ▶ four solutions in \mathbb{Z}^2
- ▶ Simplex solution search

	x	y		s_2	s_1	
s_1	-2	-3	$s_1 \leq -6$	s_3	$-\frac{7}{8}$	$\frac{3}{8}$
s_2	-2	1	$s_2 \leq 0$	x	$-\frac{3}{8}$	$-\frac{1}{8}$
s_3	1	-2	$s_3 \leq -1$	y	$\frac{1}{4}$	$-\frac{1}{4}$
s_4	5	4	$s_4 \leq 25$	s_4	$-\frac{7}{8}$	$-\frac{13}{8}$

initial tableau final tableau solution

$$x = \frac{3}{4}, \quad s_1 = -6$$

$$y = \frac{3}{2}, \quad s_2 = 0$$

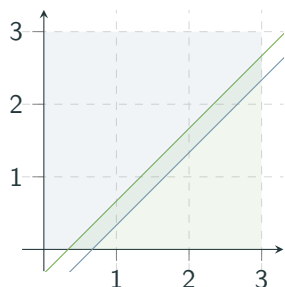
$$s_3 = -2\frac{1}{4}$$

$$s_4 = 9\frac{3}{4}$$

- ▶ independent variables $s_2 = 0$ and $s_1 = -6$ at bounds, basic x is assigned $\frac{3}{4} \notin \mathbb{Z}$
- ▶ from $c = \frac{3}{4}$ obtain Gomory cut $4(\frac{3}{8}(0 - s_2) + \frac{1}{8}(-6 - s_1)) \geq 1$
- ▶ corresponds to $-\frac{3}{2}(-2x + y) - \frac{1}{2}(-2x - 3y) \geq 4$, simplified $x \geq 1$

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Example



- ▶ $3x - 3y \geq 1 \wedge 3x - 3y \leq 2$
- ▶ unbounded problem
- ▶ no solution in \mathbb{Z}^2
- ▶ BranchAndBound adding (Gomory) cuts need not terminate

Good News

- ▶ given (potentially unbounded) linear arithmetic problem $A\bar{x} \leq \bar{b}$
- ▶ one can compute bound B from A and \bar{b} such that

$$\exists \bar{x} \in \mathbb{Z}^n \text{ with } A\bar{x} \leq \bar{b} \implies \bar{x} \in \{-B, \dots, B\}^n$$

- ▶ obtain equisatisfiable bounded problem by adding $-B \leq x_i \leq B$

(material in the remainder of this section is by René Thiemann)

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Outline

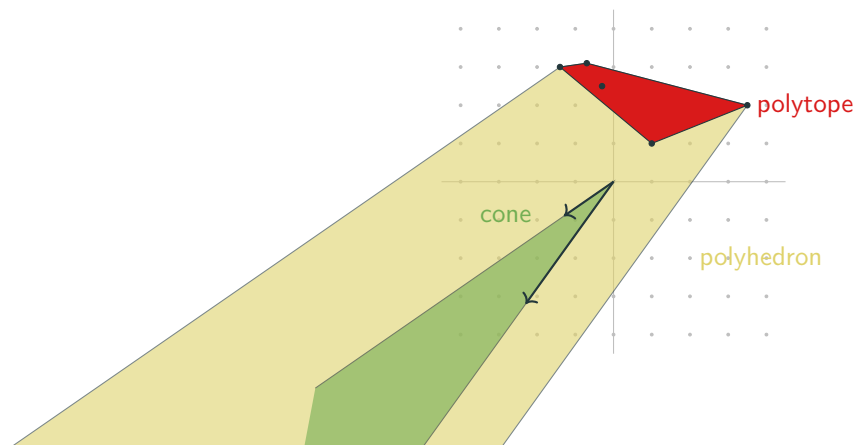
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Geometric Objects

Definitions

- ▶ **polytope**: convex hull of finite set of vectors X
smallest $V \supseteq X$ s.t. $\forall v, w \in V, 0 \leq \lambda \leq 1$ have $v\lambda + (1 - \lambda)w \in V$
- ▶ **cone**: non-negative linear combinations of finite set of vectors V
- ▶ **polyhedron**: polytope + finitely generated cone



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Roadmap

- 1 represent $\{\bar{x} \mid A\bar{x} \leq \bar{b}\}$ as $\text{hull}(X) + \text{cone}(V)$
 - using representation of $\{\bar{x} \mid A\bar{x} \leq \bar{0}\}$ as $\text{cone}(V)$
 - construction of generators in FMW theorem
- 2 derive bound B for hull + cone representation:

$$(\text{hull}(X) + \text{cone}(V)) \cap \mathbb{Z}^n = \emptyset$$

\iff

$$(\text{hull}(X) + \text{cone}(V)) \cap \{-B, \dots, B\}^n = \emptyset$$

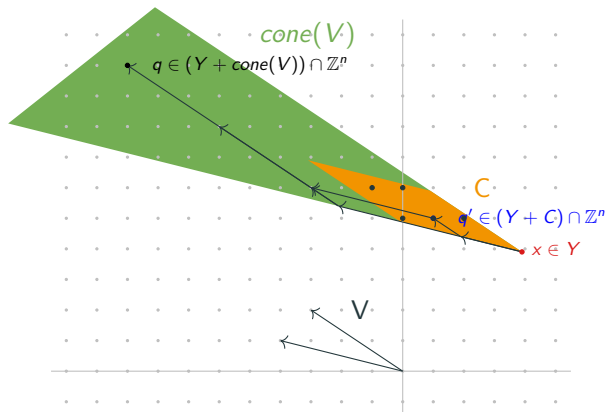
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Theorem

$$(Y + \text{cone}(V)) \cap \mathbb{Z}^n = \emptyset \iff (Y + C) \cap \mathbb{Z}^n = \emptyset$$

for Y convex

Proof (by picture).



■

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Integer Solutions of Polyhedra

Consider bounded set $X \subseteq \mathbb{Q}^n$ and $V \subseteq \mathbb{Z}^n$ such that $V = \{v_1, \dots, v_n\}$

Notation

$$C = \left\{ \sum_{i=1}^n \lambda_i \cdot v_i \mid v_i \in V \wedge 0 \leq \lambda_i \leq 1 \right\}$$

yet to be proven ...

Theorem

$$(Y + \text{cone}(V)) \cap \mathbb{Z}^n = \emptyset \iff (Y + C) \cap \mathbb{Z}^n = \emptyset \quad (\text{if } Y \text{ convex})$$

Observation

- have $C \subseteq \text{cone}(V)$ by definition, so $(X + C) \subseteq (X + \text{cone}(V))$
- so direction \implies is easy

Corollary

Suppose $|c| \leq b$ for all coefficients c of vectors in $X \cup V$.

For $B := b \cdot (1 + n)$ have

$$(\text{hull}(X) + \text{cone}(V)) \cap \mathbb{Z}^n = \emptyset \iff (\text{hull}(X) + C) \cap \mathbb{Z}^n = \emptyset \quad \text{by Thm}$$

$$\iff (\text{hull}(X) + C) \cap \{-B, \dots, B\}^n = \emptyset$$

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Roadmap

- 1 represent $\{\bar{x} \mid A\bar{x} \leq \bar{b}\}$ as $\text{hull}(X) + \text{cone}(V)$
 - using representation of $\{\bar{x} \mid A\bar{x} \leq \bar{0}\}$ as $\text{cone}(V)$
 - construction of generators in FMW theorem
- 2 derive bound B for hull + cone representation: ✓

$$(\text{hull}(X) + \text{cone}(V)) \cap \mathbb{Z}^n = \emptyset$$

\iff

$$(\text{hull}(X) + \text{cone}(V)) \cap \{-B, \dots, B\}^n = \emptyset$$

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Polyhedral Cones

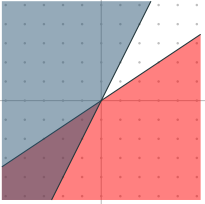
Definition

set of vectors C is **polyhedral cone** if $C = \{\bar{x} \mid A\bar{x} \leq \bar{0}\}$ for some matrix A

Lemma

C is polyhedral cone iff C is intersection of finitely many half-spaces

Example



$$A = \begin{pmatrix} 2 & -1 \\ -2 & 3 \end{pmatrix}$$

$$2x - y \leq 0 \iff y \geq 2x$$

$$-2x + 3y \leq 0 \iff y \leq \frac{2}{3}x$$

i.e. $\exists v_1, \dots, v_m$ such that $C = \text{cone}(v_1, \dots, v_m)$

Theorem (Farkas, Minkowski, Weyl)

A cone C is polyhedral iff it is finitely generated

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Claim

$$\{\bar{x} \mid A\bar{x} \leq \bar{b}\} = \text{hull}\{\bar{y}_1, \dots, \bar{y}_\ell\} + \text{cone}\{\bar{z}_1, \dots, \bar{z}_k\}$$

Proof.

$$C = \left\{ \begin{pmatrix} \bar{x} \\ \tau \end{pmatrix} \mid \tau \geq 0, A\bar{x} - \tau\bar{b} \leq \bar{0} \right\} = \text{cone} \left\{ \begin{pmatrix} \bar{y}_1 \\ 1 \end{pmatrix}, \dots, \begin{pmatrix} \bar{z}_1 \\ 0 \end{pmatrix}, \dots \right\}$$

$$A\bar{x} \leq \bar{b} \iff \begin{pmatrix} \bar{x} \\ 1 \end{pmatrix} \in C$$

$$\iff \begin{pmatrix} \bar{x} \\ 1 \end{pmatrix} = \sum \lambda_i \begin{pmatrix} \bar{y}_i \\ 1 \end{pmatrix} + \sum \kappa_j \begin{pmatrix} \bar{z}_j \\ 0 \end{pmatrix} \text{ with } \lambda_1, \dots, \kappa_1, \dots \geq 0$$

$$\iff \bar{x} = (\sum \lambda_i \bar{y}_i) + (\sum \kappa_j \bar{z}_j) \text{ and } \sum \lambda_i = 1$$

$$\iff \bar{x} = \bar{y} + \bar{z} \text{ with } \bar{y} \in \text{hull}\{\bar{y}_1, \dots\}, \bar{z} \in \text{cone}\{\bar{z}_1, \dots\}$$

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Aim

convert $\{\bar{x} \mid A\bar{x} \leq \bar{b}\}$ into $\text{hull}(X) + \text{cone}(V)$

Construction

- define polyhedral cone C

$$C = \left\{ \begin{pmatrix} \bar{x} \\ \tau \end{pmatrix} \mid \tau \geq 0, A\bar{x} - \tau\bar{b} \leq \bar{0} \right\} = \left\{ \bar{y} \mid \begin{pmatrix} A & -\bar{b} \\ \bar{0} & -1 \end{pmatrix} \bar{y} \leq \bar{0} \right\}$$

- using FMW theorem \exists finite set of vectors such that

$$C = \text{cone} \left\{ \begin{pmatrix} x_1 \\ \tau_1 \end{pmatrix}, \dots, \begin{pmatrix} x_\ell \\ \tau_\ell \end{pmatrix}, \begin{pmatrix} u_1 \\ 0 \end{pmatrix}, \dots, \begin{pmatrix} u_k \\ 0 \end{pmatrix} \right\}$$

where all $\tau_i > 0$, so can define $\bar{y}_i = \frac{1}{\tau_i} \bar{x}_i$ define $\bar{z}_j = \frac{1}{\tau_j} \bar{u}_j$ so \bar{z}_j is integral

Claim

$$\{\bar{x} \mid A\bar{x} \leq \bar{b}\} = \text{hull}\{\bar{y}_1, \dots, \bar{y}_\ell\} + \text{cone}\{\bar{z}_1, \dots, \bar{z}_k\}$$

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Roadmap

- represent $\{\bar{x} \mid A\bar{x} \leq \bar{b}\}$ as $\text{hull}(X) + \text{cone}(V)$
 - using representation of $\{\bar{x} \mid A\bar{x} \leq \bar{0}\}$ as $\text{cone}(V)$
 - construction of generators** in FMW theorem
- derive bound B for hull + cone representation:

$$(\text{hull}(X) + \text{cone}(V)) \cap \mathbb{Z}^n = \emptyset$$

$$\iff$$

$$(\text{hull}(X) + \text{cone}(V)) \cap \{-B, \dots, B\}^n = \emptyset$$

Bottom line

for every LIA problem can compute bounds to get equisatisfiable bounded problem, so BranchAndBound terminates

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Daniel Kroening and Ofer Strichman

The Simplex Algorithm

Section 5.2 of Decision Procedures — An Algorithmic Point of View
Springer, 2008



Alexander Schrijver

Theory of Linear and Integer Programming

Wiley, 1998

Theorem (Farkas, Minkowski, Weyl)

A cone is polyhedral iff it is finitely generated.

Proof (construction).

\Rightarrow : polyhedral implies finitely generated

- ▶ consider $\{\bar{x} \mid A\bar{x} \leq \bar{0}\}$
- ▶ define W as the set of row vectors of A
- ▶ by first direction obtain A' such that $\text{cone}(W) = \{\bar{x} \mid A'\bar{x} \leq \bar{0}\}$
- ▶ define V as the set of row vectors of A'
- ▶ $\{\bar{x} \mid A\bar{x} \leq \bar{0}\} = \text{cone}(V)$

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Theorem (Farkas, Minkowski, Weyl)

A cone is polyhedral iff it is finitely generated.

Proof (construction)

\Leftarrow : finitely generated implies polyhedral

- ▶ consider $\text{cone}(V)$ for $V = \{\bar{v}_1, \dots, \bar{v}_m\} \subseteq \mathbb{Q}^n$
- ▶ for every set $W = \{\bar{w}_1, \dots, \bar{w}_{n-1}\} \subseteq V$ of linearly independent vectors:
compute vector \bar{c}_W normal to hyper-space spanned by W
 - ▶ if $\bar{v}_i \cdot \bar{c}_W \leq 0$ for all i , then add \bar{c}_W as row to A
 - ▶ if $\bar{v}_i \cdot \bar{c}_W \geq 0$ for all i , then add $-\bar{c}_W$ as row to A
- ▶ $\text{cone}(V) = \{\bar{x} \mid A\bar{x} \leq \bar{0}\}$

for \mathbb{Q}^3 can take cross-product

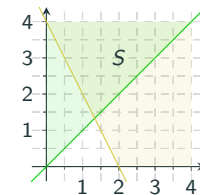
▶ back

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Example

- ▶ consider $x \leq y$ and $4 - 2x \leq y$

$$\underbrace{\begin{pmatrix} 1 & -1 & 0 \\ -2 & -1 & 4 \\ 0 & 0 & -1 \end{pmatrix}}_A \cdot \begin{pmatrix} x \\ y \\ \tau \end{pmatrix} \leq 0$$



- ▶ use proof of FMW theorem: compute $\text{cone}(W)$ for $W = \{w_1, w_2, w_3\}$
 $w_1 = (1 \ -1 \ 0)^T$ $w_2 = (-2 \ -1 \ 4)^T$ $w_3 = (0 \ 0 \ -1)^T$
 - ▶ $c_{12} = w_1 \times w_2 = (-4 \ -4 \ -3)$ is normal to w_1 and w_2
 $c_{12} \cdot w_1 = 0$ $c_{12} \cdot w_2 = 0$ $c_{12} \cdot w_3 = 3$
 - ▶ $c_{13} = w_1 \times w_3 = (1 \ 1 \ 0)$ is normal to w_1 and w_3
 $c_{13} \cdot w_1 = 0$ $c_{13} \cdot w_2 = -3$ $c_{13} \cdot w_3 = 0$
 - ▶ $c_{23} = w_2 \times w_3 = (1 \ -2 \ 0)$ is normal to w_2 and w_3
 $c_{23} \cdot w_1 = 3$ $c_{23} \cdot w_2 = 0$ $c_{23} \cdot w_3 = 0$

- ▶ for $A' = \begin{pmatrix} 4 & 4 & 3 \\ 1 & 1 & 0 \\ -1 & 2 & 0 \end{pmatrix} = \begin{pmatrix} v_1^T \\ v_2^T \\ v_3^T \end{pmatrix}$ have $\text{cone}(W) = \{\bar{x} \mid A'\bar{x} \leq 0\}$

- ▶ $\{\bar{x} \mid A\bar{x} \leq 0\} = \text{cone}(\{v_1, v_2, v_3\}) = \text{cone}(\{(\frac{4}{3} \ \frac{4}{3} \ 1)^T, (1 \ 1 \ 0)^T, (-1 \ 2 \ 0)^T\})$

- ▶ $S = \text{hull}(\frac{4}{3} \ \frac{4}{3})^T + \text{cone}\{(1 \ 1)^T, (-1 \ 2)^T\}$

- ▶ $S \cap \mathbb{Z}$ has bound $B := b \cdot (1 + n) = 2 \cdot 3 = 6$, where b is maximal coefficient in cone+hull

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