

**Theorem 1** (Shannon). *Let  $\mathcal{C}_{AB}$  be a discrete memoryless channel from  $A$  to  $B$  with capacity  $\mathbf{c}$ . Let  $\mathcal{U}$  be a stationary process on the alphabet  $C$  satisfying the a.e.p. asymptotic equipartition property and  $I(\mathcal{U}) = r < \mathbf{c}$ . Then for any  $\delta > 0$  there is an  $n \in \mathbb{N}$  and a mapping  $m: C^n \rightarrow A^n$  such that the values of  $\mathcal{U}$  can be determined from the outputs of the combined channel  $\mathcal{C}_{AB} \circ m$  with an error probability less than  $\delta$ .*

*Proof.* For the proof we first consider an input process  $\mathcal{X}$  on  $A$ , which is i.i.d. and has  $\mathcal{T}(\mathcal{X}, \mathcal{Y}) = \mathbf{c}$  (and  $\mathcal{C}_{AB}: \mathcal{X} \rightsquigarrow \mathcal{Y}$ ).

From the a.e.p. we can infer that for any  $\epsilon > 0$  there is an  $n \in \mathbb{N}$  such that

1.  $p\left[\left|\frac{1}{n} \cdot \mathcal{N}(\tilde{X}_1 \cap \dots \cap \tilde{X}_n) - I(\mathcal{X})\right| > \epsilon\right] < \epsilon$
2.  $p\left[\left|\frac{1}{n} \cdot \mathcal{N}(\tilde{Y}_1 \cap \dots \cap \tilde{Y}_n) - I(\mathcal{Y})\right| > \epsilon\right] < \epsilon$
3.  $p\left[\left|\frac{1}{n} \cdot \mathcal{N}(\tilde{X}_1 \cap \dots \cap \tilde{X}_n \cap \tilde{Y}_1 \cap \dots \cap \tilde{Y}_n) - I(\mathcal{X}, \mathcal{Y})\right| > \epsilon\right] < \epsilon$
4.  $p\left[\left|\frac{1}{n} \cdot \mathcal{N}(\tilde{U}_1 \cap \dots \cap \tilde{U}_n) - I(\mathcal{U})\right| > \epsilon\right] < \epsilon$

From Prop. ?? we can also estimate the number of the corresponding high-probability sequences, i.e.  $N = \#(A_{n,\epsilon})$ ,  $\#(B_{n,\epsilon})$ ,  $M = \#(C_{n,\epsilon})$ , and also the number  $P$  of high-probability pairs.

Now the idea is to consider only the high-probability elements in  $C^n$ ,  $A^n$ ,  $B^n$  and  $A^n \times B^n$ , and to map each high-probability element  $c = (c_1, \dots, c_n) \in C_{n,\epsilon}$  onto a different randomly chosen  $a = (a_1, \dots, a_n)$  that is the first element in a high-probability pair  $(a, b)$ . This procedure will work, if there are more such  $a$ 's than there are high-probability  $c$ 's, and if the probability of finding the first element  $a$  from the second element  $b$  in a high-probability pair  $(a, b)$  is sufficiently high. In this case we can guess first  $a$  and then  $c$  from the channel output  $b$ . In order to carry out the proof we now have to estimate the number of these  $a$ 's appearing in high-probability pairs  $(a, b)$ .

1. Given a high-probability  $a$ , we estimate the number  $N_a$  of high-probability pairs  $(a, b)$  containing  $a$  as follows:

We use the abbreviations  $X = (X_1, \dots, X_n)$ ,  $Y = (Y_1, \dots, Y_n)$  and  $U = (U_1, \dots, U_n)$ , and consider only high-probability elements  $\omega \in \Omega$ . Then

$$p(\tilde{Y}|\tilde{X}) = \frac{p(\tilde{X}, \tilde{Y})}{p(\tilde{X})} \geq 2^{-n(I(\mathcal{X}, \mathcal{Y}) - I(\mathcal{X}) + 2\epsilon)}.$$

Thus

$$1 \geq \sum_{b \in B^n} p(b|a) \geq N_a 2^{-n(I(\mathcal{X}, \mathcal{Y}) - I(\mathcal{X}) + 2\epsilon)} \quad \text{and} \quad N_a \leq 2^{n(I(\mathcal{X}, \mathcal{Y}) - I(\mathcal{X}) + 2\epsilon)}.$$

Now we have to make sure that

$$M \leq \frac{P}{2^{n(I(\mathcal{X}, \mathcal{Y}) - I(\mathcal{X}) + 2\epsilon)}} \leq \frac{P}{N_a}.$$

Because of the estimates for  $M$  and  $P$  from Prop. ?? this is true if

$$2^{n(I(\mathcal{U})+\epsilon)} \leq (1-\epsilon)2^{n(I(\mathcal{X})-3\epsilon)}.$$

Since  $\mathcal{I}(\mathcal{X}) \geq \mathcal{T}(\mathcal{X}, \mathcal{Y}) = c > r = \mathcal{I}(\mathcal{U})$  this is certainly true for sufficiently small  $\epsilon$ .

2. Given a high-probability  $b \in B^n$ , we estimate the number  $N_b$  of high-probability pairs  $(a, b)$  in  $A^n \times B^n$  containing  $b$  similarly to i):

$$p(\tilde{X}|\tilde{Y}) = \frac{p(\tilde{X}, \tilde{Y})}{p(\tilde{Y})} \geq 2^{-n(I(\mathcal{X}, \mathcal{Y})-I(\mathcal{Y})+2\epsilon)}.$$

Thus

$$1 \geq \sum_{a \in A^n} p(a|b) \geq N_b 2^{-n(I(\mathcal{X}, \mathcal{Y})-I(\mathcal{X})+2\epsilon)} \quad \text{and} \quad N_b \leq 2^{n(I(\mathcal{X}, \mathcal{Y})-I(\mathcal{X})+2\epsilon)}.$$

This number we use to estimate the probability that there is at most one  $m(c)$  occurring as first component among the  $N_b$  pairs, for each of the high-probability  $b$ 's at the channel output. More exactly, for a fixed high probability  $c$  we take  $a = m(c)$  as channel input and obtain  $b$  as channel output. Now we ask for the probability  $p_f$  that there is another  $c'$  such that  $(m(c'), b)$  is also a high-probability pair. For fixed  $b$  let  $n_b$  be the number of codewords  $m(c')$  such that  $(m(c'), b)$  is a high-probability pair. Now we can estimate

$$\begin{aligned} p_f &\leq p[n_b \geq 1] < E(n_b) \\ &= M \cdot \frac{N_b}{N} \\ &\leq 2^{n(I(\mathcal{U})+I(\mathcal{X}, \mathcal{Y})-I(\mathcal{Y})-I(\mathcal{X})+4\epsilon)} \\ &= 2^{n(4\epsilon+r-c)}. \end{aligned}$$

Since  $\mathcal{I}(\mathcal{U}) + \mathcal{I}(\mathcal{X}, \mathcal{Y}) - \mathcal{I}(\mathcal{Y}) - \mathcal{I}(\mathcal{X}) = r - c < 0$ , this probability is sufficiently small for sufficiently large  $n$  and sufficiently small  $\epsilon$ .

This means that a high-probability  $c$  will be coded into a channel input  $a$  in such a way that with high probability  $a$  can be determined from the channel output  $b$ , and from  $a$  one can determine  $c$ . What is the error probability in this procedure?

An error may occur when  $c$  is not in the high-probability group, or  $(a, b)$  is not in the high-probability group, or  $b$  is not in the high-probability group, or if there is more than one  $m(c)$  in  $N_b$ . Otherwise, we know which  $a$  we have chosen to correspond to the output  $b$  and we know which  $c$  has been mapped by  $m$  onto  $a$ .

Taking our various estimates together, the probability of error is at most  $3\epsilon + 2^{n(4\epsilon+r-c)}$  and it remains to choose  $\epsilon$  sufficiently small and  $n$  sufficiently large to finish the proof of the theorem.  $\square$