

Improving the error-correcting code used in 3-G communication

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Abstract

In 2011, Samsung Electronics Co. filed a complaint against Apple Inc. for alleged infringement of patents described in US 7706348, which details several embodiments of a TFCI (Transport Format Combination Indicator) encoder for mobile communication systems. One of the primary embodiments in question was a $[30, 10, 10]$ non-cyclic code which was implemented in many devices communicating on the 3-G network, including several Apple products. However, the derivation of the basis for this code is left rather vague in the patent documentation. In this paper, the explicit construction of a $[30, 10, 10]$ cyclic code is detailed using methods described by F.J. MacWilliams and N.J.A. Sloane in their well-known text, "The Theory of Error-Correcting Codes." We also give a construction of an optimal $[30, 10, 11]$ non-cyclic code, which is distinct from the conventional and well-known construction involving manipulations of an extended BCH code.

1 Introduction

Error-correcting codes have a rich history dating back to the 1950's and now find their use in most devices capable of wireless communication and data storage. Among the more notable uses of an error-correcting code was to transmit encoded images of Mars taken by the Mariner 9 space probe. The reader is encouraged to see [3, p. 419] for further details. In the context of mobile communications, error-correcting codes are used to encode the TFCI (Transport Format Combination Indicator), which informs the receiver how to decode, de-multiplex, and deliver received messages over specified channels.

Consider a binary string of length k , representable as a vector $m \in \mathbb{F}_2^k$, sent through a noisy channel with an undesirable amount of interference. It is possible for the string to incur errors, i.e., various bits to be flipped. **Error-correcting codes** encode messages in such a way that the recipient is able to correct bit errors up to a certain threshold.

Seeing their wide usage in telecommunications, several patented codes have been the subject of litigation over possible infringement by competing developers. One such complaint [6], filed by Samsung Electronics Co. on June 28, 2011 against Apple Inc. covered a host of alleged patent infringements. In one of the disputed patents were several versions (referred to as "embodiments" in the patent documentation) of a TFCI encoder described in US 7706348 [2]. The primary embodiment in question was a $[30, 10, 10]$ non-cyclic error-correcting code, which we will often refer to throughout this paper as the "Samsung code."

On June 4, 2013, the United States International Trade Commission (ITC) determined that a variety of Apple products communicating on the 3G network had infringed the Samsung patents, which effectively prohibited Apple from the unlicensed importation and domestic sale of such products. However, in a historically rare display of executive power over the ITC, the Obama Administration, via the U.S. Trade Representative, overturned the ITC's decision. In [5], the Trade Representative listed, among other factors, an interest in preserving "competitive conditions in the U.S. economy."

The primary contribution of this paper is an accessible introduction to linear error-correcting codes for those familiar with basic abstract algebra. This is motivated by the lawsuit described above, which finds relevance with the large population of consumers who own smartphones, and who are familiar with such patent disputes between technological giants, but find mainstream media reports bereft of technical details. The first goal of this paper is to detail the construction of a code with the same essential properties as the Samsung code, whose construction is left rather vague in the patent documentation. In doing so, we are partial towards the crux of Apple's original defense, which argues that the Samsung code is not legally patentable, since the construction of a $[30, 10, 10]$ code is not new, nor is it nonobvious, per explicit methods described in [3]. The second goal is to describe a method by which to produce an improved $[30, 10, 11]$ non-cyclic code through simple manipulations of our $[30, 10, 10]$ cyclic code. Our method is distinct from the construction of a $[30, 10, 11]$ code given in [4], which is a major source of reference for the construction and parameters of optimal linear codes.

We begin with a survey of the general properties of linear error-correcting codes, with a particular focus on the notions of length, dimension, and distance. An exploration of a particular family of codes, known as cyclic codes, is then presented, with an emphasis on idempotent generators of cyclic codes. Using our acquired theory, we end with the construction and optimization of a $[30, 10, 10]$ error-correcting code.

2 Properties of Error-Correcting Codes

A basic familiarity of linear algebra and abstract algebra is assumed, especially the notions of vector spaces and Galois (finite) fields. Although general properties of error-correcting codes are covered, only a certain class of codes, cyclic codes, are looked at in finer detail. For an extended treatment of cyclic codes and other families of error-correcting codes, the reader is encouraged to see [3], from which a bulk of the theoretical machinery in the paper is derived.

2.1 Linear Codes

Definition 2.1 Let $q \in \mathbb{N}$ be such that q is a prime power. Consider \mathbb{F}_q , the field containing q elements. A **linear code** \mathcal{C} of length n is a k -dimensional subspace of the vector space \mathbb{F}_q^n where $0 \leq k \leq n$. Each vector in the subspace is referred to as a **codeword**.

Henceforth, the reader may assume "code" to mean "linear code." Binary codes will eventually be the primary subject of discussion, which are codes over $\mathbb{F}_2 = \{0, 1\}$.

If $\{v_1, v_2, \dots, v_k\}$ forms a basis of a code \mathcal{C} over \mathbb{F}_q , we may also represent the code as the row space (over \mathbb{F}_q) of a **generator matrix** \mathcal{G} , where

$$\mathcal{G} = \begin{bmatrix} v_1 \\ v_2 \\ \vdots \\ v_k \end{bmatrix}.$$

Definition 2.2 The **Hamming weight** of a binary string x , denoted by $wt(x)$, is the number of coordinates (entries) with value 1. The **Hamming distance** between two binary strings x and y , denoted by $dist(x, y)$, is the number of coordinates between which x and y differ.

Since $0 + 0 = 0$ and $1 + 1 = 0$ over \mathbb{F}_2 , if a coordinate differs between two strings, the resulting sum between both will yield a 1 at that coordinate. Hence,

$$dist(x, y) = wt(x + y).$$

An important property of a code \mathcal{C} is the minimum of all distances between pairs of distinct codewords, which is denoted by d . Let \mathcal{C} , let $wt_{min}(\mathcal{C})$ denote the minimum of all (nonzero) codeword weights. It is a basic fact that $wt_{min}(\mathcal{C}) = d$. To see this, consider two distinct codewords $c_1, c_2 \in \mathcal{C}$ between which distance is minimized. We have that

$$d = dist(c_1, c_2) = wt(c_1 + c_2) = wt(c_3),$$

where $c_3 \in \mathcal{C}$ since any linear combination of two codewords is contained within the code. This demonstrates that $wt_{min}(\mathcal{C}) \leq d$. To see the other direction, let c^* be a codeword with minimum weight. Then $wt_{min}(\mathcal{C}) = wt(c^*) = dist(c^*, \mathbf{0}) \geq d$, where $\mathbf{0}$ is the codeword with all 0 coordinates. Thus, $wt_{min}(\mathcal{C}) = d$.

2.2 Encoding and Decoding

A binary code \mathcal{C} of dimension k encodes a message $v \in \mathbb{F}_2^k$ simply by multiplying v with the generator matrix \mathcal{G} , that is, $v\mathcal{G}$. We will denote the encoded message as m . Clearly, m is a codeword. The sender delivers m and what the target receives will be denoted as m' , which may or may not be equal to m depending on whether any errors were incurred.

Denote by $\text{dist}_{\min}(m', \mathcal{C})$ the minimum of all distances between codewords in \mathcal{C} and m' . To decode m' , the recipient may adopt a **maximum likelihood** strategy and assume the message to be a codeword c such that $\text{dist}_{\min}(m', \mathcal{C}) = \text{dist}(m', c)$. It is possible for m' to be equally close to several codewords and in this case, there are two different schemes of selection: either the recipient arbitrarily chooses one of the equally close codewords, or the recipient ask for retransmissions of the message until a unique c is found. The former scheme is known as complete maximum likelihood decoding (CMLD), while the latter scheme is called incomplete maximum likelihood decoding (IMLD). It is important to note that the maximum likelihood strategy is not desirable for many varieties of codes, especially for large codes, and one of the goals of coding theory is to find codes which are suitable for decoding strategies faster than maximum likelihood.

Once a unique c is found, the recipient solves for $x\mathcal{G} = c$, for which the solution is the original message v , assuming m' is similar enough to m . There is a well-known result on this threshold of similarity.

Theorem 2.3 *A linear code \mathcal{C} with minimum distance $d \geq 2t + 1$ for $t \geq 0$ and decoding procedure obeying maximum likelihood can correct up to t errors.*

Proof. Let \mathcal{C} be a linear code with minimum distance $d \geq 2t + 1$ where $t \geq 0$. Suppose a message v is encoded as $m = v\mathcal{G}$, delivered, and received as m' . Suppose m' has at most t errors. Then, $\text{dist}(m, m') \leq t$ and $\text{dist}(m, u) \geq d$ for any $u \in \mathcal{C}$ not equal to m . Then by the triangle inequality¹,

$$\text{dist}(m, u) \leq \text{dist}(m, m') + \text{dist}(m', u).$$

Hence,

$$\text{dist}(m', u) \geq \text{dist}(m, u) - \text{dist}(m, m') \geq d - t \geq t + 1.$$

This indicates that under maximum likelihood, m' will be closer in Hamming distance to m than any other codeword. ■

The length n , dimension k , and minimum distance d , are among the most important properties of a code and are often notated as $[n, k, d]$. The dimension of the code will affect the number of strings/words/vectors assignable via codewords, greater minimum distance ensures stronger error-correcting capabilities, and shorter lengths require less memory capacity and less communication.

¹The Hamming distance is a metric on binary vector spaces meaning it satisfies, among other properties, the triangle inequality.

3 Cyclic Codes

The [30,10,10] code which is constructed in this paper is within a family of error-correcting codes known as cyclic codes. The reader is, once again, encouraged to see [3] for a thorough treatment of the theory presented within this section.

3.1 Properties

Definition 3.1 *A linear code \mathcal{C} of length n is a **cyclic code** if*

$$c = (a_0, a_1, a_2, \dots, a_{n-1}) \in \mathcal{C},$$

then

$$c^* = (a_{n-1}, a_0, a_1, \dots, a_{n-2}) \in \mathcal{C}.$$

We refer to such a rightward shift as a **cyclic shift**. It is useful to associate codewords with polynomials. For a code \mathcal{C} of length n over \mathbb{F}_q and

$$c = (a_0, a_1, a_2, \dots, a_{n-1}) \in \mathcal{C},$$

we associate it with the polynomial

$$c(x) = a_0 + a_1x + a_2x^2 + \dots + a_{n-1}x^{n-1} \in \mathbb{F}_q[x]/(x^n - 1).$$

By $\mathbb{F}_q[x]/(x^n - 1)$, we mean the set of congruence classes of $\mathbb{F}_q[x]$ modulo $(x^n - 1)$. We may represent r cyclic shifts of a codeword c as $x^r c(x) \pmod{(x^n - 1)}$. Since we will frequently switch between codewords and their associated polynomials, we will allow either representation to denote the other where it is convenient, i.e., the use of code polynomial in a matrix is intended to denote a string with the coefficients of the polynomial.

A cyclic code of length n is an ideal of $\mathbb{F}_q[x]/(x^n - 1)$. This follows immediately from the definition of an ideal, allowing the additive subgroup to be the code itself. We have that $\mathbb{F}_q[x]/(x^n - 1)$ is a principal ideal ring so from basic abstract algebra this implies that for every cyclic code \mathcal{C} there exists a unique monic polynomial $g(x)$ of minimal degree such that $\langle g(x) \rangle = \mathcal{C}$. The polynomial $g(x)$ is referred to as the **generator polynomial** of \mathcal{C} . The generator polynomial may be used to construct a generator matrix for the code.

Theorem 3.2 (Theorem 1 in [3, p. 190]) *Let \mathcal{C} be a cyclic code of length n over \mathbb{F}_q , that is, an ideal of $\mathbb{F}_q[x]/(x^n - 1)$, and let $g(x)$ be the generator polynomial of \mathcal{C} . If $g(x) = \sum_{i=0}^r g_i x^i$ where r is the degree, then*

$$\mathcal{G} = \begin{pmatrix} g_0 & g_1 & g_2 & \cdots & g_r & \cdots & 0 & 0 & \cdots & 0 \\ 0 & g_0 & g_1 & \cdots & g_{r-1} & g_r & \cdots & 0 & \cdots & 0 \\ & & & & \cdots & \cdots & & & & \\ & & & & \cdots & \cdots & & & & \\ 0 & \cdots & g_0 & g_1 & \cdots & \cdots & & & & g_r \end{pmatrix} = \begin{pmatrix} g(x) \\ xg(x) \\ x^2g(x) \\ \vdots \\ x^{n-r-1}g(x) \end{pmatrix}$$

is a generator matrix of \mathcal{C} with n columns and $n - r$ rows.

3.2 Idempotents

In this section, we only consider binary cyclic codes of odd length n , unless stated otherwise.

Definition 3.3 A polynomial $I(x) \in \mathbb{F}_2[x]/(x^n - 1)$ is an *idempotent* if

$$I(x) = I(x)^2 = I(x^2).$$

Idempotents are closed under addition. If $I_1(x)$ and $I_2(x)$ are idempotents, then $(I_1(x) + I_2(x))^2 = I_1(x)^2 + 2I_1(x)I_2(x) + I_2(x)^2 = I_1(x)^2 + I_2(x)^2 = I_1(x) + I_2(x)$

Definition 3.4 A *cyclotomic coset mod n* over \mathbb{F}_q where $\gcd(n, q) = 1$ is any set

$$\mathcal{C}_{s \in \mathbb{Z}} = \{s, qs, q^2s, \dots, q^{j-1}s\},$$

where j is the smallest positive integer such that $q^j s \equiv s \pmod{n}$.

Definition 3.5 If $f(x) = a_0 + a_1x + \dots + a_{n-1}x^{n-1}$, define

$$f^*(x) = a_0 + a_{n-1}x + \dots + a_1x^{n-1}.$$

Although not shown here, the exponents of the nonzero terms are a union of cyclotomic cosets over \mathbb{F}_2 , which we denote as $\sum_s \sum_{j \in \mathcal{C}_s} x^j$.

If $I(x)$ is an idempotent, then so is $I^*(x)$. The following is a succinct argument of this fact from [3, p. 219]: If

$$I(x) = \sum_s \sum_{j \in \mathcal{C}_s} x^j$$

then

$$I^*(x) = \sum_s \sum_{j \in \mathcal{C}_{-s}} x^j.$$

As an example, we list the cyclotomic cosets mod 31 over \mathbb{F}_2 , which will play an important role in the construction of the [30, 10, 10] code:

$$\begin{aligned} \mathcal{C}_0 &= \{0\} \\ \mathcal{C}_1 &= \{1, 2, 4, 8, 16\} \\ \mathcal{C}_3 &= \{3, 6, 12, 24, 17\} \\ \mathcal{C}_5 &= \{5, 10, 20, 9, 18\} \\ \mathcal{C}_7 &= \{7, 14, 28, 25, 19\} \\ \mathcal{C}_{11} &= \{11, 22, 13, 26, 21\} \\ \mathcal{C}_{15} &= \{15, 30, 29, 27, 23\} \end{aligned}$$

For $j \in \mathcal{C}_s$, we have that $\mathcal{C}_j = \mathcal{C}_s$, so we have listed all the distinct cosets.

Theorem 3.6 (Theorem 1 in [3, p. 217]) *Any ideal or cyclic code \mathcal{C} contains a unique idempotent $E(x)$ such that $\mathcal{C} = \langle E(x) \rangle$. We refer to such a generator as the idempotent of \mathcal{C} .*

Definition 3.7 If \mathcal{C} is a minimal ideal, that is, not containing any smaller nonzero ideals, then the idempotent of \mathcal{C} is referred to as a **primitive idempotent**. The cyclic code generated by this ideal is called an **irreducible code**.

Let \mathcal{C} be cyclic code over \mathbb{F}_q of length n relatively prime to q . This implies there is a smallest natural number m such that $n \mid q^m - 1$. We may accept without proof that the roots of $x^n - 1$ lie in \mathbb{F}_{q^m} and in no smaller field. These zeros are called the n^{th} **roots of unity** and there are, in fact, n of them, hence \mathbb{F}_{q^m} is a splitting field of $x^n - 1$. Furthermore, the roots of unity form a cyclic subgroup and we refer to the generator α as the **primitive root of unity**.

Let \mathcal{M}_s be a minimal ideal such that the nonzeros of its generator consist of $\{\alpha^i : i \in \mathcal{C}_s\}$. By Theorem 3.6, \mathcal{M}_s has an idempotent generator, which we will refer to as $\theta_s(x)$. Using these theta polynomials, we arrive at a theorem which will produce a preliminary [31,11,11] code.

Theorem 3.8 (Corollary 17 in [3, p. 455]) *Let $m = 2t + 1$ where $t \geq 0$, and let d be any integer in the range $1 \leq d \leq t$. Then the binary ideal of length $2^m - 1$ with the idempotent*

$$\theta_0 + \theta_1^* + \sum_{j=d}^t \theta_{l_j}^*$$

where $l_j = 2^j + 1$ forms a $[2^m - 1, m(t - d + 2) + 1, 2^{m-1} - 2^{m-d-1} - 1]$ cyclic code.

3.3 The [30,10,10] Code

The first embodiment of the Samsung encoder, shown in Appendix A, is a noncyclic [32, 10, 12] code. The motivation behind shortening to a length 30 code is not entirely clear, beyond saving memory, but encoding with 10 information bits (the number of basis vectors, and thus the length of messages which may be encoded) is the TFCI standard in current coding schemes. The construction of the encoder's basis is rather complicated, so it will not be covered, but the reader is encouraged to see [1] for an explanation. The second embodiment, a [30, 10, 10] encoder,

$$S_{[30,10,10]} = \begin{pmatrix} 10101010101010111010101010101 \\ 011001100110011011001100110011 \\ 000111100001111000111100001111 \\ 000000011111111000000011111111 \\ 000000000000000011111111111111 \\ 111111111111111111111111111111 \\ 010100001100011111000001110111 \\ 000000111001101110110111000111 \\ 000101011111001001101100101011 \\ 001110000110111010111101010001 \end{pmatrix}$$

is created by puncturing the 1st and 17th coordinate from every basis vector in the generator matrix for the first embodiment.

after factoring out j_i from every i th column, which is a standard property of determinants. The right-hand determinant is equivalent to that of a Vandermonde matrix, for which the value is $\prod_{k \neq l} (\alpha^{j_k} - \alpha^{j_l})$. Thus,

$$\det(\mathcal{A}) = \alpha^{(j_1 + \dots + j_{10})} \prod_{k \neq l} (\alpha^{j_k} - \alpha^{j_l}) \neq 0$$

which establishes the linear independence of any 10 columns of \mathcal{A} . Thus, $c(x)$ must have at least 11 nonzero coefficients, establishing a lower bound on the minimum distance. Once again, this calculation is only meant to explicitly illustrate a lower bound on the distance. By Theorem 3.8, we know the cyclic code generated by $E(x)$ has a minimum distance of exactly 11.

To create a $[30,10,10]$ code from $\langle E(x) \rangle$, simply delete any of the basis vectors in $G_{[31,11,11]}$ and puncture any coordinate. A variation, shown in Appendix C, is created by deleting the last basis vector $x^{10}E(x)$ and puncturing the first coordinate.

3.4 The $[30,10,11]$ Code

A third embodiment of the Samsung encoder, which was not actively pursued for alleged infringement was a noncyclic $[30,7-10,11]$ encoder (the k value indicates the encoder could be configured for 7-10 information bits). By Theorem 2.3, in 10 information bits, this is superior to a $[30,10,10]$ encoder as it will correct up to 5 errors, while the $[30,10,10]$ encoder will only correct up to 4 errors. It is not entirely clear in patent or court documentation why these encoders were not implemented in Apple or Samsung products.

The existence of a $[30,10,11]$ linear code has long been known, and according to [4], a minimum distance of 11 is optimal for a code of length 30 and dimension 10. The only construction given in [4] of a $[30,10,11]$ is the manipulation of an extended BCH code (denoted XBC). BCH codes form an important class of cyclic codes, but we do not discuss them here. A $[32,11,12]$ XBC code is given in [1] (referred to as C'), from which there are a variety of methods of to produce a $[30,10,11]$ just by simple inspection.

In this section, we give a construction of a $[30,10,11]$ code different from the XBC method. Our construction relies on the manipulation of the code generated by $E(x) = \theta_0 + \theta_1^* + \theta_5^*$, which is a cyclic subcode of a punctured 2nd order Reed-Muller code, another important class of linear codes not covered here. We first replace the second basis vector of $G_{[31,11,11]}$, which is $xE(x)$, with $x^{12}E(x)$, producing the matrix:

$$G_{[31,11,11]}^* = \begin{pmatrix} 10000001000101110000101100110100 \\ 1011001101001000000100010110000 \\ 00100000010001011100001011001101 \\ 1001000000100010110000101100110 \\ 01001000000100010111000010110011 \\ 1010010000001000101100001011001 \\ 1101001000000100010110000101100 \\ 0110100100000010001011000010110 \\ 0011010010000001000101100001011 \\ 1001101001000000100010110000101 \\ 1100110100100000010001011000010 \end{pmatrix}$$

The rows of $G_{[31,11,11]}^*$ are linearly independent. To see this, first note that $x^{12}E(x) = xE(x) + x^3E(x) + x^8E(x) + x^9E(x) + x^{10}E(x)$ and we have removed the row corresponding to $xE(x)$. If $\{E(x), x^2E(x), x^3E(x), \dots, x^{10}E(x), x^{12}E(x)\}$ was a linearly dependent set, we could express $xE(x)$ as a linear combination of vectors in $\{E(x), x^2E(x), x^3E(x), \dots, x^{10}E(x)\}$, which is a contradiction.

We have that $G_{[31,11,11]}^*$ generates a $[31,11,11]$ code.² The 9th column contains only a single 1 which corresponds to $x^8E(x)$, so deleting this basis vector will not affect the minimum distance and produces a column with all zeros –which is precisely the coordinate we puncture.

The generator matrix of the resulting $[30, 10, 11]$ code is

$$G_{[30,10,11]} = \begin{pmatrix} 1000000100101110000101100110100 \\ 101100111001000000100010110000 \\ 001000001000101100001011001101 \\ 100100000100010110000101100110 \\ 010010000010001011000010110011 \\ 101001000001000101100001011001 \\ 110100100000100010110000101100 \\ 011010010000010001011000010110 \\ 100110101000000100010110000101 \\ 110011010100000010001011000010 \end{pmatrix}.$$

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²The minimum distance was verified using two independently developed programs which checked the Hamming weights of the codewords.

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Appendix

A [32,10,12] Samsung Code

$$S_{[32,10,12]} = \begin{pmatrix} 01010101010101010101010101010101 \\ 00110011001100110011001100110011 \\ 00001111000011110000111100001111 \\ 00000000111111110000000011111111 \\ 00000000000000001111111111111111 \\ 11111111111111111111111111111111 \\ 00101000011000111111000001110111 \\ 00000001110011010110110111000111 \\ 00001010111110010001101100101011 \\ 00011100001101110010111101010001 \end{pmatrix}$$

B [31,11,11] Cyclic Code

$$G_{[31,11,11]} = \begin{pmatrix} 1000000100010110000101100110100 \\ 0100000010001011000010110011010 \\ 0010000001000101100001011001101 \\ 1001000000100010110000101100110 \\ 0100100000010001011000010110011 \\ 1010010000001000101100001011001 \\ 1101001000000100010110000101100 \\ 0110100100000010001011000010110 \\ 0011010010000001000101100001011 \\ 1001101001000000100010110000101 \\ 1100110100100000010001011000010 \end{pmatrix}$$

C [30,10,10] Non-Cyclic Code

$$G_{[30,10,10]} = \begin{pmatrix} 000000100010110000101100110100 \\ 100000010001011000010110011010 \\ 010000001000101100001011001101 \\ 001000000100010110000101100110 \\ 100100000010001011000010110011 \\ 010010000001000101100001011001 \\ 101001000000100010110000101100 \\ 110100100000010001011000010110 \\ 011010010000001000101100001011 \\ 001101001000000100010110000101 \end{pmatrix}$$