The Classical Capacity Achievable by a Quantum Channel Assisted by Limited Entanglement

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Dedicated to Alexander S. Holevo on the occasion of his 60th birthday.

Abstract: We give the trade-off curve showing the capacity of a quantum channel as a function of the amount of entanglement used by the sender and receiver for transmitting information. The endpoints of this curve are given by the Holevo-Schumacher-Westmoreland capacity formula and the entanglement-assisted capacity, which is the maximum over all input density matrices of the quantum mutual information. The proof we give is based on the Holevo-Schumacher-Westmoreland formula, and also gives a new and simpler proof for the entanglement-assisted capacity formula.

1 Introduction

Information theory says that the capacity of a classical channel is essentially unique, and is representable as a single numerical quantity, giving the amount of information that can be transmitted asymptotically per channel use \[15,4\]. Quantum channels, unlike classical channels, do not have a single numerical quantity which can be defined as their capacity for transmitting information. Rather, quantum channels appear to have at least four different natural definitions of capacity, depending on the auxiliary resources allowed, the class of protocols allowed, and whether the information to be transmitted is classical or quantum.

This paper will discuss the transmission of classical information over quantum channels. One of the first results in this area was an upper bound proved by Holevo \[6\] on how much classical information could be transmitted by a ensemble of quantum states. Holevo \[7\] and Schumacher and Westmoreland \[14\] independently discovered proofs that this bound was achievable. This gives the theorem

\[
\chi(\{\sigma_i, p_i\}) = H(\sum_i p_i \sigma_i) - \sum_i p_i H(\sigma_i),
\]

where \(H(\rho) = -\text{Tr} \rho \log \rho\) is the von Neumann entropy of the density matrix \(\rho\).

Note that \(\chi(\{\sigma_i, p_i\})\) is a function of the probabilistic ensemble of signal states \(\{\sigma_i, p_i\}\) that we have chosen, where state \(\sigma_i\) has \(p_i\). When it is clear what this ensemble is, we may simply denote this by \(\chi\).
A memoryless quantum communication channel is a linear trace preserving completely positive map. Such maps can be expressed as

$$N(\rho) = \sum_i A_i \rho A_i^\dagger,$$

where the $A_i$ satisfy $\sum_i A_i^\dagger A_i = I$. A natural guess at the capacity of a quantum channel $N$ would be the maximum of $\chi$ over all possible probability distributions of channel outputs, that is, the capacity would be

$$\chi_{\text{max}}(N) = \max_{\{\sigma_i, p_i\}} \chi(\{N(\sigma_i), p_i\}) = \max_{\{\sigma_i, p_i\}} H(N(\sum_i p_i \sigma_i)) - \sum_i p_i H(N(\sigma_i))$$

since the sender can effectively communicate to the receiver any of the states $N(\sigma_i)$. This maximum can be achieved using pure states $\sigma_i$. This quantity is clearly achievable. We do not know whether this is the capacity of a quantum channel; this is reducible to the question of additivity of the quantity $\chi_{\text{max}}$.

$$\chi_{\text{max}}(N_1 \otimes N_2) \geq \chi_{\text{max}}(N_1) + \chi_{\text{max}}(N_2),$$

a question which has in recent years received much study [1, 13, 16, 11, 10]. If we require the protocols to send states that are tensor products on the different uses of the quantum channel, this is indeed the achievable capacity. However, if the use of entanglement between separate inputs to the channel helps to increase channel capacity, it would be possible to exceed this $\chi_{\text{max}}$. The capacity of a quantum channel can be shown to be the regularized form of Eq. (2), that is,

$$\lim_{n \to \infty} \frac{1}{n} \chi_{\text{max}}(N^\otimes n).$$

The next capacity we discuss is the entanglement-assisted capacity of a quantum channel [2, 3]. In the entanglement-assisted capacity, the sender and receiver share entanglement at the start of the protocol, which they are allowed to use in the communication protocol. The entanglement-assisted capacity is given by the following formula.

**Theorem** (Bennett, Shor, Smolin, Thapliyal): The classical capacity obtainable using a quantum channel $N$ is

$$C_E = \max_{\rho} H(\rho) + H(N(\rho)) - H\left((N \otimes I)(\phi_\rho)\right)$$

where $\phi_\rho$ is a state over the tensor product of the input space and a reference system, $H_{\text{in}} \otimes H_{\text{ref}}$, whose reduced density matrix on the channel’s input space is $\rho$, i.e., $\text{Tr}_2 \phi_\rho = \rho$.

The amount of pure state entanglement consumed by the protocol given in [3] can be shown to be asymptotically $H(\rho)$ ebits per channel use, where $\rho$ is the density matrix.
maximizing Eq. (5), and an ebit is the amount of pure state entanglement in an EPR pair of qubits.

This naturally leads to several questions. Is \( H(\rho) \) ebits per channel use the amount of entanglement required to achieve the entanglement-assisted capacity? More generally, if the amount of entanglement available is \( P < H(\rho) \) ebits per channel use, how much classical information can be transmitted? We answer these questions in the following theorem.

**Theorem 1.** If the available entanglement per channel use is restricted to \( P \) ebits, there is a protocol achieving the information rate given by

\[
\max_{\{\rho_i, p_i\}} \sum_i p_i H(\rho_i) + H\left(\mathcal{N}\left(\sum_i p_i \rho_i\right)\right) - \sum_i p_i H\left(\left(\mathcal{N} \otimes \mathcal{I}\right)(\phi_{\rho_i})\right)
\]

subject to

\[
\sum_i p_i H(\rho_i) \leq P,
\]

where \( \text{Tr}_2 \phi_{\rho_i} = \rho_i \). Here, the maximization is over all probabilistic ensembles of density matrices \( \{\rho_i, p_i\} \) where \( \rho_i \in \mathcal{H}_m, \sum_i p_i = 1 \), and the average entropy of the ensemble, \( \sum_i p_i H(\rho_i) \), is at most \( P \).

In the case where \( P = 0 \), this gives the Holevo capacity \( \chi_{\text{max}} \) of Eq. (2), as the \( \rho_i \) must all be pure states. In the case where \( P \) is sufficiently large, this gives the entanglement-assisted capacity \( C_E \) of Eq. (5). Since we do not know whether the Holevo capacity is additive, we clearly cannot show that the above capacity trade-off is additive; this is an open question. We can however prove that this formula is an upper bound if we restrict ourselves to protocols where the sender and receiver start by sharing pure entangled quantum states, and the sender is not allowed to distribute one of these entangled states among more than one channel use, the same restriction under which we know the Holevo capacity \( \chi \) is the correct formula for unassisted classical capacity. To get the true capacity trade-off formula (if it is not additive), we may have to regularize this formula. That is, to take the limit of the normalized entanglement-assisted capacity for the channel \( \mathcal{N}^\otimes n \) as \( n \) goes to infinity.

This theorem can also be derived using the methods of [5]. However, we give a quite different and somewhat simpler proof than in [5] for the trade-off formula, as well as a simpler proof than [3] for the entanglement-assisted capacity. This proof relies on the Holevo-Schumacher-Westmoreland theorem above, so in this paper we are showing that knowing the left endpoint of this trade-off curve lets us derive the entire curve.

### 2 The Protocol

We now give the protocol that asymptotically achieves the capacity [6]. We use block coding. We will let \( n \) be the number of channel uses in our block coding protocol. This protocol will take \( n \) entangled states and use them as the input for these channel uses. It will not distribute one of these entangled states over more than one channel use, but it will permute the entangled states before sending them through the channels, so the mapping of the entangled states to the channel inputs depends on the message being
sent. Suppose that the maximum of Eq. (3) occurs at the ensemble \( \{ \rho_1, \rho_2, \ldots, \rho_n \} \). We assume that the sender and the receiver start by sharing a number \( n \) of entangled states where there are \( n_i \approx np_i \) states for which the reduced density matrix is \( \rho_i \). For the proof that our protocol achieves its desired capacity, we will use the Holevo-Schumacher-Westmoreland theorem with \( n! 2^{(d-1)n} \) signal states, where \( d \) is the dimension of the input space to the channel. These signal states are described as follows.

First, Alice applies to her part of the state \( | \phi_{\rho_i} \rangle \) a random sign change \( \pm 1 \) to the phase of each of the eigenvalues of \( \rho_i \). Note that there are \( 2^{d-1} \) possible phase changes for each of the states \( | \phi_{\rho_i} \rangle \), as Alice can without loss of generality apply the phase \( +1 \) to the first eigenvalue (since an overall phase change does not alter the quantum state). Next, Alice applies a random permutation to the \( n \) entangled states she shares with Bob. Since there are \( n! \) permutations, we have \( n! 2^{n(d-1)} \) signal states total.

Before we can continue, we need a lemma.

**Lemma 1.** Suppose we have \( n \) density matrices, \( \rho_1, \rho_2, \ldots, \rho_n \), which are drawn at random from some probability distribution on density matrices. Then

\[
\lim_{n \to \infty} \frac{1}{n} \mathbb{E} \left[ H \left( \frac{1}{n!} \sum_{\pi} \rho_{\pi(1)} \otimes \rho_{\pi(2)} \otimes \cdots \otimes \rho_{\pi(n)} \right) \right] = H(\bar{\rho})
\]

(7)

where the sum is over all \( n! \) permutations \( \pi \) of the \( n \) density matrices, the expectation \( \mathbb{E} \) is over the random choice of \( \rho_1 \ldots \rho_n \), and \( \bar{\rho} \) is the average density matrix for the probability distribution that the \( \rho_i \) are drawn from.

That the left hand side of Eq. (4) is at most the right hand side follows immediately from the subadditivity of entropy of quantum states. The proof of the other direction will be deferred until later.

The proof of Theorem 1 is slightly nicer if we let the \( n_i \) be random variables obtained by drawing \( n \) density matrices from a distribution where \( \rho_i \) occurs with probability \( p_i \). In other words, instead of Alice and Bob starting each coding block with exactly \( n_i \) copies of the entangled state \( | \phi_{\rho_i} \rangle \), they use the next \( n \) states in a sequence of shared states where \( | \phi_{\rho_i} \rangle \) occurs with probability \( p_i \). It is not hard to prove that the protocol also works when they start with exactly \( n_i \approx np_i \) states, although we will not prove this in the paper.

We now look at the signal states more carefully. The first term in the Holevo capacity \( \chi \), Eq. (1), is the entropy of the average output signal received by Bob. This signal consists of two parts, the quantum state \( A \) which was originally held by Alice, and was subsequently modified and sent through \( n \) uses of the channel \( N \), and the quantum state \( B \), which Bob originally held and has kept.

The random phase change applied by Alice disentangles Alice and Bob’s entangled states \( | \phi_i \rangle \). We will work in the basis of the eigenvalues of \( \rho_i \). Let these eigenvalues be \( | v_{ij} \rangle \). In this basis, \( | \phi_{\rho_i} \rangle = \sum_{ij} \sqrt{\lambda_{ij}} | v_{ij} \rangle | v_{ij} \rangle \). After the random phase change, the density matrix is \( \sum_{ij} \lambda_{ij} | v_{ij} \rangle \langle v_{ij} | \otimes | v_{ij} \rangle \langle v_{ij} | \). This is the same density matrix as is given by the ensemble containing the state \( | v_{ij} \rangle \otimes | v_{ij} \rangle \) with probability \( \lambda_{ij} \). Let us assume then that Alice and Bob started by sharing \( n \) unentangled quantum states, each of which was in the state \( | v_{ij} \rangle \) with probability \( p_i \lambda_{ij} \). We will bound the entropy of Bob’s average signal state by using this second ensemble, which must give the same answer, as the entropy depends only on the density matrix. What we do
is add an extra, classical, variable, which we denote by $T$. We let $T$ tell us the type class of the distribution; that is, the variable $T$ holds the numbers $n_i$ and the numbers $m_{ij}$, where $\sum_j m_{ij} = n_i$ and where $m_{ij}$ tells how many of these quantum systems started in the state $|v_{ij}\rangle |v_{ij}\rangle$. The reason we do this is that after Alice applies the phase changes and the random permutation to her quantum states, if we condition on $T$ the quantum states Alice and Bob hold are now independent. This is because Alice inputs into the channel a mixture of all permutations of the $n$ states consisting of $m_{ij}$ copies of $|v_{ij}\rangle$ for each $i,j$, and this mixed state is determined solely by $T$. By entropy inequalities and the definition of conditional entropy.

$$H(A) + H(B) \geq H(AB) \geq H(AB|T)$$
$$= H(A|T) + H(B|T)$$
$$= H(AB) + H(BT) - 2H(T)$$
$$\geq H(A) + H(B) - 4H(T). \quad (8)$$

However, since $H(T) = O(\log n)$, we need only estimate $H(A)$ and $H(B)$ to compute the asymptotics of $H(AB)$. We have

$$H(B) = \sum_i n_i H(\rho_i) \approx n \sum_i p_i H(\rho_i). \quad (9)$$

The state $A$ is a mixture of all permutations of the density matrices $\mathcal{N}(|v_{ij}\rangle |v_{ij}\rangle)$, where $\mathcal{N}(|v_{ij}\rangle |v_{ij}\rangle)$ occurs with probability $p_i$, $\lambda_{ij}$, so by Lemma 1,

$$H(A) \approx n H(\mathcal{N}(\bar{\rho})) \quad (10)$$

where $\bar{\rho} = \sum_i p_i \rho_i$. Thus, the first term of the HSW formula, $H(AB)$, is approximately

$$H(AB) \approx H(A) + H(B) \approx n \left( \sum_i p_i H(\rho_i) + H(\mathcal{N}(\sum_i p_i \rho_i)) \right). \quad (11)$$

Finally, we look at the second term in the Holevo capacity $\chi$, Eq. (1). This is the entropy $\langle \mathcal{N}^\otimes n \otimes I | \Phi_{\pi,P} \rangle |\Phi_{\pi,P} \rangle$, where $|\Phi_{\pi,P} \rangle$ is the signal state her half of which Alice inputs into the channel. This state was produced by Alice first performing a random phase change $P$ in the eigenbasis of $\rho_i$, to her half of all of her quantum states $|\phi_{\rho_i}\rangle$, and then applying a random permutation $\pi$ to all $n$ of her states. It is easy to check that if Bob knows what these random phase changes and permutation were, he can undo them. Thus, all $n! 2^{(d-1)n}$ signal states give rise to the same joint entropy, which is $\sum_i n_i H(\langle I \otimes \mathcal{N}| \phi_{\rho_i} \rangle |\phi_{\rho_i} \rangle)$. This is the last term of Eq. (6). We thus have a protocol that asymptotically achieves Eq. (6).
3 Proof of the Lemma

We now prove the following lemma, which will imply Lemma 1.

**Lemma 2.** Suppose that we have \( n \) density matrices \( \rho_1, \rho_2, \ldots, \rho_n \). Let

\[
\hat{H}(\bar{\rho}_k) = \frac{1}{n!} \sum_{\pi} H\left(\frac{1}{k}(\rho_{\pi(1)} + \ldots + \rho_{\pi(k)})\right)
\]
(12)

be the expected entropy of the average of \( k \) of these density matrices chosen randomly without replacement from the \( n \) density matrices. Then

\[
H\left(\frac{1}{n!} \sum_{\pi} \rho_{\pi(1)} \otimes \rho_{\pi(2)} \otimes \cdots \otimes \rho_{\pi(n)}\right) \geq \sum_{k=1}^{n} \hat{H}(\bar{\rho}_k)
\]
(13)

**Proof:** We let \( T_k \) be a variable which gives the values of the images of the first \( k \) elements of the permutation \( \pi: \pi(1), \pi(2), \ldots, \pi(k) \). Then

\[
H\left(\frac{1}{n!} \sum_{\pi} \otimes_{j=1}^{k+1} \rho_{\pi(j)}\right) - H\left(\frac{1}{n!} \sum_{\pi} \otimes_{j=1}^{k} \rho_{\pi(j)}\right)
\]
(14)

\[
\geq H\left(\frac{1}{(n-k)!} \sum_{\pi \notin T_k} \otimes_{j=1}^{k+1} \rho_{\pi(j)}\right) - H\left(\frac{1}{(n-k)!} \sum_{\pi \notin T_k} \otimes_{j=1}^{k} \rho_{\pi(j)}\right)
\]

\[
= H\left(\frac{1}{(n-k)!} \sum_{\pi \notin T_k} \rho_{\pi(k+1)}\right)
\]

\[
= \hat{H}(\bar{\rho}_{(n-k)}),
\]

where \( \pi \notin T_k \) is the set of permutations which have their first \( k \) elements fixed by \( T_k \). The inequality above is an application of the strong superadditivity property of quantum entropy. Now, by adding the left hand sides of the above expression for \( k \) between 0 and \( n - 1 \), we obtain a telescoping series which gives the left hand side of Eq. (13). Adding the right-hand side of Eq. (14) for \( k \) between 0 and \( n - 1 \) gives the right hand side of Eq. (13), proving the lemma.

Suppose now that \( \rho_1, \rho_2, \ldots, \rho_n \) are matrices drawn identically and independently from some probability distribution. The above lemma implies that

\[
E\left[H\left(\frac{1}{n!} \sum_{\pi} \rho_{\pi(1)} \otimes \rho_{\pi(2)} \otimes \cdots \otimes \rho_{\pi(n)}\right)\right] \geq \sum_{k=1}^{n} E\hat{H}(\bar{\rho}_k)
\]
(15)

where now note that \( E\hat{H}(\bar{\rho}_k) \) is the expected entropy of the average of \( k \) density matrices drawn from the probability distribution. But for a finite dimensional quantum space, \( E\hat{H}(\bar{\rho}_k) \) is easily seen to converge to \( H(\bar{\rho}) \), where \( \bar{\rho} \) is the average density matrix of the probability distribution. This completes the proof of Lemma 1.
4 The upper bound.

What we do now is show an upper bound on the capacity of a quantum channel assisted by limited entanglement of $P$ ebits per channel use, subject to the proviso that Alice cannot input a state entangled over more than one channel use. We will assume the following scenario. Alice and Bob start with a set of pure entangled states $| \phi_i \rangle$, where we define $\rho_i = \text{Tr}_B | \phi_i \rangle \langle \phi_i |$. We let Alice perform an arbitrary unitary transformation on her states, and then send part (or all) of the resulting state through the channel. We do not let Alice input the same $| \phi_i \rangle$ into more than one channel use. We will use the Holevo bound to bound the information that Bob can receive using such a protocol.

We will first start with the assumption that Alice’s part of their shared state occupies a Hilbert space with the same dimension as the channel input, i.e., $\dim \rho_i = \dim \mathcal{H}_{\text{in}}$. Now, Alice will perform a unitary transformation to obtain the state $U_j \rho_i U_j^\dagger$, and send it through the channel. We now use the Holevo bound, Eq. (1), to bound the capacity Alice and Bob can achieve using such a protocol. Again, Bob’s signal consists of the state he received from Alice through the channel together with the state that he kept. By the subadditivity of entropy, the first term of Eq. (1) is bounded by the entropy of the average output of Alice’s channel plus the average entropy of the reduced states held by Bob. If $U_j \rho_i U_j^\dagger$ is sent with probability $p_{ij}$, then this first term is bounded by

$$\sum_{ij} p_{ij} H(\rho_i) + H\left(\sum_{ij} p_{ij} N(U_j \rho_i U_j^\dagger)\right),$$

which is the same as the first two terms in the formula (6), assuming that we used the ensemble $\{U_j \rho_i U_j^\dagger, p_{ij}\}$ in formula (6). The second term of the Holevo bound (1) is also identical in these two scenarios. Specifically, it is

$$\sum_{ij} p_{ij} H\left((\mathcal{N} \otimes I)((U_j \otimes I) | \phi_i \rangle \langle \phi_i | (U_j^\dagger \otimes I))\right) = \sum_{ij} p_{ij} H\left(\mathcal{N} \otimes I)(\tau_{ij})\right),$$

where $\tau_{ij} = \langle \phi_{U_j \rho_i U_j^\dagger} | \phi_{U_j \rho_i U_j^\dagger} \rangle$ is a purification of $U_j \rho_i U_j^\dagger$. Thus, if Alice applies unitary transformations to $\rho_{ij}$ and inputs the entire resulting state into the channel, she cannot achieve a capacity better than that given by Theorem 1.

We now show that the same bound applies if Alice is allowed to put only a part of her quantum state through the channel. That is, Alice and Bob share an entangled pure state $| \phi_i \rangle$ where $\text{Tr}_B | \phi_i \rangle \langle \phi_i | = \rho_i = \mathcal{H}_{\text{in}} \otimes \mathcal{H}_{\text{ref}}$. Alice puts $\mathcal{H}_{\text{in}}$ through the channel, and discards $\mathcal{H}_{\text{ref}}$. We will compare the capacity achieved by this case with that achieved by an alternative scenario. If Alice measures the reference system $\mathcal{H}_{\text{ref}}$ in the basis determined by the eigenvalues of $\text{Tr}_{\text{in}} \rho_i$, she obtains a probability distribution $p_{ij}$ over quantum states $\rho_{ij} \in \mathcal{H}_{\text{in}}$. We will show that replacing $\rho_i$ with the ensemble of states $\{\rho_{ij}, p_{ij}\}$ increases the capacity, while decreasing the amount of pure state entanglement consumed by the protocol.

Holevo’s bound shows that the capacity of such a protocol can be at most

$$\sum_i p_i H(\rho_i) + H\left(N(\sum_i \text{Tr}_{\text{ref}} \rho_i)\right) + \sum_i p_i H\left((\mathcal{N} \otimes I)(\text{Tr}_{\text{ref}} | \phi_{\rho_i} \rangle \langle \phi_{\rho_i} |)\right),$$

(17)
where $\phi_i$ is the joint pure state of Alice and Bob. If all the $\rho_i$ are in $\mathcal{H}_{in}$ (so we need no reference system $\mathcal{H}_{ref}$), then (17) gives the same capacity as (6).

Let the output of the channel be denoted by $A$, and let the reference system after Alice’s measurement (which now contains the classical variable $j$ telling which of the measurement outcomes was obtained) be $R$. Finally, let the part of the entangled state $|\phi_i\rangle$ held by Bob be $B$. The replacement of $\rho_i$ by the ensemble $\{\rho_{ij}, p_{ij}\}$ does not change the average output of the channel, so the second term of (17) giving the entropy of the average output of the channel is unchanged. The contribution to the first and third terms from the state $\rho_i$ is proportional to

$$H(B) - H(AB).$$

Replacing $\rho_i$ by the ensemble $\{\rho_{ij}, p_{ij}\}$ gives a contribution proportional to

$$\left( H(BR) - H(R) \right) - \left( H(ABR) - H(R) \right).$$

This second contribution (19) is larger than the first (18) by the property of strong subadditivity of quantum entropy.

It is also easy to see that the amount of pure state entanglement consumed by the protocol decreases after the replacement of $\rho_i$ by $\{\rho_{ij}, p_{ij}\}$, since Alice and Bob can obtain the ensemble of states $\{\rho_{ij}, p_{ij}\}$ from the state $\rho_i$ using solely local quantum operations and classical communication (LOCC operations), and these never increase the amount of entanglement. We thus see that the assumption that all of Alice’s part of the entangled states was sent through the channel did not impose any restrictions on channel capacity.

Finally, let us note that if Alice takes her parts of two different entangled pure states and sends them through one channel use, this also cannot increase the capacity of the protocol. To see this, note that this case has essentially already been taken into account in our analysis, as the tensor product of the two pure entangled states can be considered as a single entangled state. Thus, the only case this is not covered by our analysis is when Alice’s channel inputs are entangled over more than one channel use. This case is discussed briefly in the next section.

5 Discussion

We have given a formula that tells how much the classical capacity of a quantum channel can be increased by the use of a limited amount of entanglement between the sender and receiver, which is consumed by the protocol for transmitting information. This paper is quite different in approach than the paper [5], which also gives a proof for this trade-off curve. It also yields a simpler proof of the original entanglement-assisted capacity formula [3].

It is not known whether we need to regularize the trade-off formula to find the capacity. In light of the recent discovery that many of the additivity problems in quantum information theory are equivalent [16], a natural question is to ask whether this is equivalent to these other problems. We have not been able to show this, although it is clearly at least as hard, since additivity of the Holevo capacity, which is one of the
equivalent problems, is the special case of the trade-off curve when no entanglement is consumed.

Finally, let us note that in order to achieve the capacity formula (6) without Alice using inputs entangled between different channel uses, it appears that Alice and Bob need to be able to start by sharing arbitrary pure entangled states $|\phi_{pi}\rangle$, and that it is not sufficient for Alice and Bob to start by sharing solely EPR pairs. However, since pure state entanglement is an interconvertible resource, if we remove the restriction on Alice sending states entangled between different channel uses, then we can use EPR pairs for the shared entanglement consumed by the protocol.

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