

Behrend's Theorem for Dense Subsets of Finite Vector Spaces

T. C. Brown and J. P. Buhler

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1 Introduction

The “combinatorial line conjecture” states that for all $q \geq 2$ and $\varepsilon > 0$ there exists $N(q, \varepsilon)$ such that if $n \geq n(q, \varepsilon)$, X is a q -element set, and A is any subset of X^n (= cartesian product on n copies of X) with more than $\varepsilon|X^n|$ elements (that is, A has density greater than ε), then A contains a combinatorial line. (For a definition of combinatorial line, together with statements and proofs of many results related to the combinatorial line conjecture, including all those results mentioned below, see [5]. Since we are not directly concerned with combinatorial lines in this paper, we do not reproduce the definition here.)

This conjecture (which is a strengthened version of a conjecture of Moser [7]), if true, would bear the same relation to the Hales-Jewett theorem that Szemerédi's theorem bears to van der Waerden's theorem. In particular, it would imply Szemerédi's theorem. The conjecture is known to be true for the case $q = 2$ (see [5] or [2]), as was first observed by R. L. Graham. A reward has been offered by Graham for a proof or disproof of the conjecture for the case $q = 3$.

A natural weakening of this (apparently very difficult) conjecture is obtained by replacing the integer q by a prime power q , the q -element set X by the q -element field F_q , the cartesian product X^n by an n -dimensional vector space V over F_q , and “combinatorial line in X^n ” by “affine line in V ”. (An affine line is any translate of a 1-dimensional vector subspace; the purist will note that we only use the structure of V as an affine space.)

We thus obtain the “affine line conjecture:” For every prime power q and $\varepsilon > 0$, there exists $n(q, \varepsilon)$ such that if $n \geq n(q, \varepsilon)$, V is an n -dimensional vector space over the q -element field, and A is any subset of V with more than $\varepsilon|V|$ elements (that is, A has density greater than ε), then A contains an affine line.

The affine line conjecture is known to be true for the cases $q = 2$ (trivial) and $q = 3$ ([3]). In [4] it is shown that if the affine line conjecture is true for a given fixed value of q , then it remains true for this value of q when “affine line” is replaced by “ k -dimensional affine subspace”, for any k , and similarly for the combinatorial line conjecture.

Szemerédi's theorem [9] states that for each k and $\varepsilon > 0$, there exists n such that if A is any subset of $\{1, 2, \dots, n\}$ with more than εn elements (that is, A has density greater than ε), then A contains a k -term arithmetic progression. Some 37 years prior to the proof of Szemerédi's theorem, Felix Behrend [1]

proved the following result: If Szemerédi's theorem is false then there exist triples (k, n, A) such that A is a subset of $\{1, 2, \dots, n\}$ which contains no k -term arithmetic progression, n is arbitrarily large, and the density of A in $\{1, 2, \dots, n\}$ ($= |A|/n$) is arbitrarily close to 1.

In [2], the exact analogue of Behrend's result was established in the context of the combinatorial line conjecture: If the combinatorial line conjecture is false then there exist triples (X, n, A) such that X is a finite set, A is a subset of X^n which contains no combinatorial line, n is arbitrarily large, and then density of A in X^n ($= |A|/|X^n|$) is arbitrarily close to 1.

In the present paper we show that the exact analogue of Behrend's result is true in the context of the affine line conjecture: If the affine line conjecture is false then there exist triples (F, n, A) such that F is a finite field, A is a subset of F^n (the n -dimensional vector space over F) which contains no affine line, n is arbitrarily large, and the density of A in F^n ($|A|/|F^n|$) is arbitrarily close to 1.

The proof is somewhat technical, and the exact result which we prove is following. Suppose that the affine line conjecture fails for the finite field F . (That is, let $|F| = q$ and suppose that $n(q, \varepsilon)$ does not exist for some $\varepsilon > 0$.) Then for every $\eta < 1$ and every n_0 there is a subset A of a finite-dimensional vector space V over a finite extension F' of F , where $\dim_{F'} V \geq n_0$, such that A contains no affine line and the density of A in V ($= |A|/|V|$) is greater than η .

The proof is basically a modification of the argument in [2], which in turn followed the lines of the classical paper by Behrend [1].

2 Notation, definitions, and statement of the main theorem

Throughout, F_q denotes the q -element field.

Definition 1. For each prime power q and $\varepsilon > 0$, $n(q, \varepsilon)$ denotes the smallest integer (if one exists) such that if V is a finite-dimensional vector space over \mathbb{F}_q , $\dim(V) \geq n(q, \varepsilon)$, $A \subset V$, $|A| > \varepsilon|V|$, then A contains an affine line.

For a fixed prime power q , consider the infinite array

$$m(q) = (d(n, k)) \quad (n \geq 1, k \geq 1)$$

where the rows are indexed by n and the columns are indexed by k , and where $d(n, k)$ is defined as follows. Let V be an n -dimensional vector space over \mathbb{F}_{q^k} and let A be a subset of V that has maximum cardinality subject to the condition that A contains no affine line. Then

$$d(n, k) = |A|/|V|.$$

In other words, $d(n, k)$ is the smallest real number with the following property. If B is any subset of V (as above) with $|B| > d(n, k)|V|$, then B contains an affine line.

Remark. It follows directly from the preceding two sentences and the definition of $n(q, \varepsilon)$ that for all n, k ,

$$n \geq n(q^k, \varepsilon) \quad \text{if and only if} \quad d(n, k) \leq \varepsilon.$$

We shall see below that each column of the array $M(q)$ decreases. We define, for each $k \geq 1$,

$$\gamma(k) = \lim_{n \rightarrow \infty} d(n, k),$$

so that

$$d(1, k) \geq \cdots \geq d(n, k) \geq \cdots \geq \gamma(k).$$

We shall also see that for each row of $M(q)$,

$$d(n, 1) \leq d(n, 2) \leq d(n, 4) \leq \cdots \leq d(n, 2^l) \leq \cdots \leq 1,$$

so that

$$0 \leq \gamma(1) \leq \cdots \leq \gamma(2^l k) \leq \cdots \leq \Gamma(q),$$

where by definition

$$\Gamma(q) = \lim_{l \rightarrow \infty} \gamma(2^l).$$

Theorem. $\Gamma(q) = 0$ or $\Gamma(q) = 1$.

Corollary. *Suppose the affine line conjecture is false. In particular, suppose that $n(q, \varepsilon)$ does not exist. Let $\eta < 1$ be given. Then there exists an integer k and a subset A of a finite-dimensional vector space V (of arbitrarily large dimension) over \mathbb{F}_{q^k} such that A contains no affine line and A has density greater than η .*

Proof of Corollary. We prove the contrapositive. We are assuming that (as is shown in Lemma 1 below) $d(n, k)$ decreases to $\gamma(k)$ and that $\gamma(2^l)$ increases to $\Gamma(q)$.

Now let q and $\eta < 1$ be given, and suppose that for each $k \geq 1$, if A is a subset of a vector space V over \mathbb{F}_{q^k} with density greater than η , and $\dim V$ is sufficiently large, then A must contain an affine line. In other words, we are assuming that $n(q^k, \eta)$ exists for all $k \geq 1$. We need to show that $n(q, \varepsilon)$ exists for all $\varepsilon > 0$.

Construct the array $M(q)$ as above, and consider the entries $d(n, k)$ in the k th column of $M(q)$. Since $n(q^k, \eta)$ exists then by the Remark above

$$d(n, k) \leq \eta \quad \text{for all } n \geq n(q^k, \eta).$$

Since $d(n, k)$ decreases to $\gamma(k)$, it follows that $\gamma(k) \leq \eta$, for each $k \geq 1$. In particular, $\gamma(2^l) \leq \eta$ for each l ; since $\gamma(2^l)$ increases to $\gamma(q)$, it follows that $\Gamma(q) \leq \eta < 1$. By the theorem, we must have $\Gamma(q) = 0$ and hence $\gamma(1) = 0$.

Now let $\varepsilon > 0$ be given. Since $d(n, 1)$ decreases to $\gamma(1) = 0$, $d(n, 1) < \varepsilon$ for sufficiently large n , say $d(n_0, 1) < \varepsilon$. Then using the Remark once more, we obtain $n_0 \geq n(q, \varepsilon)$. Thus, $n(q, \varepsilon)$ exists. \square

3 Proof of the main theorem

Lemma 1. *Fix q , and let the numbers $d(n, k)$ be defined as above. Then*

$$d(1, k) \geq \cdots \geq d(n, k) \geq d(n+1, k) \geq \cdots$$

and

$$d(n, 1) \leq \dots \leq d(n, 2^l) \leq d(n, 2^{l+1}) \leq \dots$$

Proof. For the first part, let

$$\dim_{\mathbb{F}_{q^k}} V = n + 1$$

and let V_0 be an n -dimensional subspace of V . Let

$$V = \bigcup \{V_\alpha : \alpha \in \mathbb{F}_{q^k}\},$$

where the V_α are cosets (translates) of V_0 . Let A be a subset of V which has maximum cardinality subject to the condition that A contains no affine line. Then $A \cap V_\alpha$ contains no affine line for each α , hence

$$d(n+1, k) \cdot (q^k)^{n+1} = |A| = \sum |A \cap V_\alpha| \leq q^k \cdot d(n, k) \cdot (q^k)^n.$$

For the second part, let $F = \mathbb{F}_{q^{2^l}}$ and let $F' = F(\beta)$, where β has degree 2 over F . Let

$$\begin{aligned} V &= \{(x_1, \dots, x_n) : x_i \in F\}, \\ V' &= \{(x_1 + y_1\beta, \dots, x_n + y_n\beta) : x_i, y_i \in F\}, \end{aligned}$$

so that $V \subset V'$.

Let A be an affine-line-free subset of V with

$$|A| = d(n, 2^l)|V|,$$

and let $A' = A + \beta V$. Then A' is a subset of V' , and A' contains no affine line. For if $u_0, v_0, u_1, v_1 \in V$ and

$$(u_0 + v_0\beta) + F'(u_1 + v_1\beta) \subset A',$$

then

$$u_0 + Fu_1 \subset A.$$

If $u_1 = 0$, we use

$$\beta^2 = x_1 + y_1\beta, \quad x_1, y_1 \in F, x_1 \neq 0;$$

then A' contains

$$(u_0 + v_0\beta) + F\beta(u_1 + v_1\beta) = (u_0 + v_0\beta) + F(u_1\beta + v_1x_1 + v_1y_1\beta).$$

So A contains $u_0 + Fv_1$. □

We now fix some further notation which will be used in the remainder of the proof.

Definition 2. For any prime power q , $V(q) = \{(x_1, x_2, \dots) : x \in \mathbb{F}_q \text{ and } x_i = 0 \text{ for all but finitely many } i\}$, and

$$V(q)(m) = \{(x_1, x_2, \dots) \in V(q) : x_j = 0, j > m\}.$$

For any subset S of $V(q)$,

$$S(m) = S \cap V(q)(m) \quad \text{and} \quad \bar{d}(S) = \limsup_{m \rightarrow \infty} |S(m)| \cdot q^{-m}.$$

Lemma 2. *If $S \subset V(q^k)$ and $\bar{d}(S) > \gamma(k)$ (where $\gamma(k)$ is defined in terms of the array $M(q)_m$) then S contains an affine line. (That is, $S(m)$ contains an affine line for some m .)*

Proof. Choose $\varepsilon > 0$ so that

$$\gamma(k) + \varepsilon < |S(m)| \cdot q^{-km}$$

for infinitely many m . Next, choose n so that

$$d(n, k) < \gamma(k) + \varepsilon.$$

Finally, choose m so that simultaneously

$$\gamma(k) + \varepsilon < |S(m)| \cdot q^{-km} \quad \text{and} \quad n < m - n.$$

Assume that S contains no affine line. Then for each $x \in V(q^k)(n)$, $S(m)$ can contain at most $d(m - n, k) \cdot (q^k)^{m-n}$ elements whose first n coordinates agree with the first n coordinates of x . Hence

$$|S(m)| \leq (q^k)^n \cdot d(m - n, k) \cdot (q^k)^{m-n}.$$

Since $d(m - n, k) \leq d(n, k) < \gamma(k) + \varepsilon$, this gives

$$\gamma(k) + \varepsilon < |S(m)| q^{-km} < \gamma(k) + \varepsilon. \quad \square$$

Lemma 3. *For each $t \geq 1$, if $S \subset V(q^k)$ and $\bar{d}(S) > \gamma(kt)$ (where $\gamma(kt)$ is defined in terms of the array $M(q)_m$), then S contains a t -dimensional affine subspace.*

Proof. Identify $\mathbb{F}_{q^{kt}}$ with $\{(x_1, \dots, x_t) : x_i \in \mathbb{F}_{q^k}\}$, so that

$$V(q^{kt}) = \{((x_1, \dots, x_t), (x_{t+1}, \dots, x_{2t}), \dots) : x_i \in \mathbb{F}_{q^k}\}.$$

Let $S \subset V(q^k)$, $\bar{d}(S) > \gamma(kt)$. Choose $\varepsilon > 0$ so that

$$|S(m)| \cdot q^{-km} > \gamma(kt) + \varepsilon$$

for infinitely many m . From amongst these m , choose a subsequence $m_0 < m_1 < m_2 < \dots$ such that all the m_i 's are congruent modulo t .

Let $\pi : S \mapsto V(q^k)$ be the mapping which shifts an element of S " m_0 places to the left," i.e.,

$$\pi(x_1, \dots, x_{m_0}, x_{m_0+1}, \dots) = (x_{m_0+1}, \dots),$$

For any $T \subset S$, let T' denote $\pi(T)$.

For each $x = (x_1, \dots, x_{m_0}, 0, \dots) \in V(q^k)(m_0)$, let

$$S_x = \{y = (y_1, \dots) \in S : y_i = x_i, 1 \leq i \leq m_0\}.$$

Then S is the disjoint union

$$S = \bigcup \{S_x : x \in V(q^k)(m_0)\}.$$

Therefore for each $i \geq 1$,

$$\sum_x |S_x(m_i)| = |S(m_i)| > a^{km_i}(\gamma(kt) + \varepsilon).$$

Hence for some $x_i \in V(q^k)(m_0)$,

$$\begin{aligned} |S'_{x_i}(m_i - m_0)| &= |S_{x_i}(m_i)| \geq q^{-km_0} |S(m_i)| \\ &> q^{k(m_i - m_0)} (\gamma(kt) + \varepsilon). \end{aligned}$$

Since each x_i comes from the finite set $V(q^k)(m_0)$, there is an infinite subsequence $\{m_{i_j}\}$ of $\{m_i\}$ on which x_{i_j} is constant, say $x_{i_1} = x_{i_2} = \dots = x_0$. Set

$$n_j = m_{i_j} - m_0, \quad j \geq 1.$$

Then each n_j is a multiple of t , say

$$n_j = tb_j \quad \text{and} \quad |S'_{x_0}(n_j)| > q^{kn_j} (\gamma(kt) + \varepsilon), \quad j \geq 1.$$

We now inject S_{x_0} into $V(q^{kt})$ by insertion of parentheses, that is, we define $g : S_{x_0} \mapsto V(q^{kt})$ by

$$g(x_1, \dots) = ((x_1, \dots, x_t), (x_{t+1}, \dots, x_{2t}), \dots).$$

Then for each $j \geq 1$,

$$|g(S'_{x_0})(b_j)| = |S'_{x_0}(tb_j)| = |S'_{x_0}(n_j)| > (q^k)^{bj} (\gamma(kt) + \varepsilon).$$

This means that in $V(q^{tk})$,

$$\bar{d}(g(S'_{x_0})) > \gamma(kt).$$

Here, $\gamma(kt)$ is the limit down the (kt) th column of the array $M(q)$, which is identical with the k th column of the array $M(q^t)$. Thus

$$g(S'_{x_0}) \subset V((q^t)^k)$$

and

$$\bar{d}(g(S'_{x_0})) > \gamma(k)$$

(where $\gamma(k)$ is defined in terms of the array $M(q^t)$). Hence by Lemma 2 $g(S'_{x_0})$ contains an affine line. This affine line (the underlying field is $\mathbb{F}_{q^{kt}}$) is easily seen to be the image under g of a t -dimensional affine subspace of S'_{x_0} (where the underlying field is \mathbb{F}_{q^k}). From the definition of S'_{x_0} it follows that S

itself contains a t -dimensional affine subspace. \square

Lemma 4. *There exists $S \subset V(q^k)$ such that $\bar{d}(S) = \gamma(k)$ (where $\gamma(k)$ is defined in terms of the array $M(q)$) and such that S contains no affine line.*

Proof. Choose $0 = n_0 < n_1 < \dots$ so that $n_i - n_{i-1} \rightarrow \infty$ as $i \rightarrow \infty$. For $i \geq 1$, let $A_i \subset V(q^k)(n_i)$ be such that A_i contains no affine line,

$$|A_i| = a^{kn_i} d(n_i, k) \quad \text{and} \quad 0 \notin A_i.$$

(If L is some fixed affine line $V(q^k)(n_i)$ and $A \subset V(q^k)(n_i)$ contains no affine line, then for some $a \in L$, $a + A$ does not contain 0.) Let

$$B_i = A_i - V(q^k)(n_{i-1}) \quad \text{and} \quad S = \bigcup B_i, \quad i \geq 1.$$

Then

$$|S(n_i)| \geq |B_i| \geq |A_i| - q^{kn_{i-1}} = q^{kn_i} d(n_i, k) - (q^k)^{n_{i-1} - n_i},$$

hence

$$\bar{d}(S) \geq \gamma(k) = \lim_{t \rightarrow \infty} d(n_t, k).$$

The sets B_i are pairwise disjoint, and if $x = (x_1, \dots) \in S$ and j is the largest index with $x_j \neq 0$ then $x \in B_i$, where $n_{i-1} < j \leq n_i$.

Suppose that S contains the affine line u_1, \dots, u_{q^k} . Choose i_0 minimal so that $u_1, \dots, u_{q^k} \in B_1 \cup \dots \cup B_{i_0}$. Then there are u_s and j , $n_{i_0-1} < j \leq n_{i_0}$, such that the j th coordinate of u_s is not zero. Since the j th coordinates of u_1, \dots, u_{q^k} are either constant or are some permutation of \mathbb{F}_{q^k} at least $q^k - 1$ of u_1, \dots, u_{q^k} are contained in B_{i_0} . Suppose $u_1 \notin B_{i_0}$. Let j' be the largest index such that the j' th coordinate of u_1 is not zero. (j' exists since $u_1 \neq 0$.) Then $j' < n_{i_0-1}$, and hence the j' th coordinates of u_2, \dots, u_{q^k} are all zero. But since u_1, \dots, u_{q^k} are an affine line, then the j' th coordinates are either constant or are a permutation of \mathbb{F}_{q^k} .

Thus we have arrived at a contradiction (except in the case $q^k = 2$) and therefore S contains no affine line. (When $q^k = 2$, then $\gamma(1) = 0$. Any singleton set $S = \{x\} \subset V(2)$ has $\bar{d}(S) = 0 = \gamma(1)$, and S contains no affine line.) Since $\bar{d}(S) \geq \gamma(k)$, Lemma 2 gives $\bar{d}(S) = \gamma(k)$. \square

We now have necessary machinery to prove the main theorem. Recall that for a prime power q , $M(q)$ is the array

$$((d(n, k)), \quad \gamma(2^l) = \lim_{n \rightarrow \infty} d(n, 2^l), \quad \Gamma(q) = \lim_{l \rightarrow \infty} \gamma(2^l).$$

Theorem. *For every prime power q , $\Gamma(q) = 0$ or $\Gamma(q) = 1$.*

Proof. Fix q , and assume that $0 < \Gamma(q) < 1$. Choose l so that

$$0 < \gamma(2^l). \tag{1}$$

Using Lemma 4, choose $S \subset V(q^{2^l})$ so that

$$\bar{d}(S) = \gamma(2^l) \tag{2}$$

S contains no affine line. (3)

Choose $\varepsilon < 0$ so that

$$\Gamma(q) < \frac{\gamma(2^l) - \varepsilon}{\gamma(2^l) + \varepsilon} - \varepsilon. \quad (4)$$

Choose n so that

$$\left\{ \begin{array}{l} A \subset V(q^k)(n) \\ |A| > (\gamma(2^l) + \varepsilon)q^{kn} \end{array} \right\} \Rightarrow \left\{ \begin{array}{l} A \text{ contains} \\ \text{an affine line} \end{array} \right\}. \quad (5)$$

Choose t (using the extended Hales-Jewett theorem; see [5] or [8]) so that t is a power of 2 and

$$\left\{ \begin{array}{l} T \text{ is a } t\text{-dimensional affine subspace} \\ \text{and } T = T_1 \cup \dots \cup T_s, \text{ where } s = 2^{q^{kn}-1} \end{array} \right\} \Rightarrow \left\{ \begin{array}{l} \text{some } T_i \\ \text{contains an} \\ \text{affine line} \end{array} \right\}. \quad (6)$$

Set

$$V' = V(q^k) - V(q^k)(n), \quad B_v = (v + V(q^k)(n)) \cap S, \quad v \in V'. \quad (7)$$

Partition V' into $2^{q^{kn}}$ classes C_σ as follows.

$$C_\sigma = \{v \in V' : B_v = v + \sigma\}, \quad \sigma \subset V(q^k)(n). \quad (8)$$

(Note that $C_\sigma = \{v \in V' : B_v = \emptyset\}$.)

Let

$$C = \bigcup \{C_\sigma : \sigma \neq \emptyset\},$$

and let

$$\bar{d}_{V'}(C) = \limsup_{m \rightarrow \infty} (q^{-k})^{(m-n)} |C \cap V'(m)|. \quad (9)$$

Since

$$|C \cap V'(m)| < (\bar{d}_{V'}(C) + \varepsilon)q^{k(m-n)}$$

for all but finitely many m , and since

$$|S(m)| > (\gamma(2^l) - \varepsilon)q^{-km}$$

for infinitely many m (by (2)), we can choose m so that $n < m$ and

$$(\gamma(2^l) - \varepsilon)q^{km} < |S(m)| \quad (10)$$

$$|C \cap V'(m)| < (\bar{d}_{V'}(C) + \varepsilon)q^{k(m-n)}. \quad (11)$$

Using (7), (3), and (5) we get

$$|B_v| \leq (\gamma(2^l) + \varepsilon)q^{kn}, \quad v \in V'. \quad (12)$$

Note that $m > n$ and

$$V(q^k)(m) = \bigcup \{v + V(q^k)(n) : v \in V'(m)\},$$

so that

$$\begin{aligned} V(q^k)(m) \cap S &= \bigcup \{ (v + V(q^k)(n)) \cap S : v \in V'(m) \} \\ &= \bigcup \{ B_v : v \in V'(m) \text{ and } B_v \neq \emptyset \} \\ &= \bigcup \{ B_v : v \in V'(m) \cap C \}. \end{aligned}$$

That is,

$$S(m) = \bigcup \{ B_v : v \in V'(m) \cap C \}. \quad (13)$$

Now using (10), (13), (12), (11) we get

$$(\gamma(2^l) - \varepsilon)q^{km} < |S(m)| < (\gamma(2^l) + \varepsilon)q^{kn}(\bar{d}_{V'}(C) + \varepsilon)q^{k(m-n)},$$

or

$$\frac{\gamma(2^l) - \varepsilon}{\gamma(2^l) + \varepsilon} - \varepsilon < \bar{d}_{V'}(C).$$

Using (4), this gives

$$\Gamma(q) < \bar{d}_{V'}(C). \quad (14)$$

The integer t was chosen to be a power of 2, say $t = 2^b$, and to satisfy (6). Since

$$\gamma(2^t) = \gamma(2^{l+b}) \leq \Gamma(q) < \bar{d}_{V'}(C),$$

it follows from Lemma 3 that C contains a t -dimensional affine subspace T . We partition the elements of T into $2^{q^{kn}-1}$ classes $C_\sigma \cap T$, $\sigma \neq \emptyset$. By (6), some $C_{\sigma_0} \cap T$, and hence some C_{σ_0} , contains an affine line u_1, \dots, u_{q^k} . Using (8) and (7), $u_1 \in C_{\sigma_0}$ implies

$$u_1 + \sigma_0 = B_{u_1} \subset S.$$

Similarly,

$$u_i + \sigma_0 = B_{u_i} \subset S, \quad 1 \leq i \leq q^k. \quad (15)$$

In particular, taking any element $v_0 \in \sigma_0$ ($\sigma_0 \neq \emptyset$), S contains the affine line

$$u_1 + v_0, \dots, u_{q^k} + v_0,$$

which contradicts (3).

This contradiction shows that $0 < \Gamma(q) < 1$ is impossible, and complete the proof. \square

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