

Forbidden Configurations: Progress on a Conjecture

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Definition We say that a matrix A is *simple* if it is a $(0,1)$ -matrix with no repeated columns.

i.e. if A is m -rowed then A is the incidence matrix of some family \mathcal{A} of subsets of $[m] = \{1, 2, \dots, m\}$.

$$A = \begin{bmatrix} 0 & 1 & 1 & 1 & 1 & 1 \\ 0 & 1 & 0 & 1 & 1 & 0 \\ 0 & 0 & 0 & 0 & 1 & 1 \\ 0 & 1 & 1 & 0 & 0 & 0 \end{bmatrix}$$

$$\mathcal{A} = \{\emptyset, \{1, 2, 4\}, \{1, 4\}, \{1, 2\}, \{1, 2, 3\}, \{1, 3\}\}$$

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Definition We define $|A|$ to be the number of columns in A .

$$|A| = 6$$

Definition Given a matrix F , we say that A has F as a *configuration* if there is a submatrix of A which is a row and column permutation of F .

$$F = \begin{bmatrix} 0 & 0 & 1 & 1 \\ 0 & 1 & 0 & 1 \end{bmatrix} \in A = \begin{bmatrix} 0 & 1 & 1 & 1 & 1 & 1 \\ 0 & \boxed{1} & \boxed{0} & \boxed{1} & 1 & \boxed{0} \\ 0 & 0 & 0 & 0 & 1 & 1 \\ 0 & \boxed{1} & \boxed{1} & \boxed{0} & 0 & \boxed{0} \end{bmatrix}$$

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We consider the property of forbidding a configuration F in A for which we say F is a *forbidden configuration* in A .

Definition Let

$forb(m, F) = \max\{|A| : A \text{ } m\text{-rowed simple, no configuration } F\}$

Thus if A is any $m \times (forb(m, F) + 1)$ simple matrix then A contains the configuration F .

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Thus if A is any $m \times (\text{forb}(m, F) + 1)$ simple matrix then A contains the configuration F .

For example, $\text{forb}(m, \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix}) = m + 1$.

Definition Let K_k denote the $k \times 2^k$ simple matrix of all possible columns on k rows.

Theorem (Sauer 72, Perles and Shelah 72, Vapnik and Chervonenkis 71)

$$\text{forb}(m, K_k) = \binom{m}{k-1} + \binom{m}{k-2} + \cdots + \binom{m}{0} \text{ which is } \Theta(m^{k-1})$$

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A Product Construction

The building blocks of our product constructions are I , I^c and T :

$$I_4 = \begin{bmatrix} 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \end{bmatrix}, \quad I_4^c = \begin{bmatrix} 0 & 1 & 1 & 1 \\ 1 & 0 & 1 & 1 \\ 1 & 1 & 0 & 1 \\ 1 & 1 & 1 & 0 \end{bmatrix}, \quad T_4 = \begin{bmatrix} 1 & 1 & 1 & 1 \\ 0 & 1 & 1 & 1 \\ 0 & 0 & 1 & 1 \\ 0 & 0 & 0 & 1 \end{bmatrix}$$

Note that

$$\begin{bmatrix} 1 \\ 1 \end{bmatrix} \notin I, \quad \begin{bmatrix} 0 \\ 0 \end{bmatrix} \notin I^c, \quad \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \notin T$$

Definition Given an $m_1 \times n_1$ matrix A and a $m_2 \times n_2$ matrix B we define the product $A \times B$ as the $(m_1 + m_2) \times (n_1 n_2)$ matrix consisting of all $n_1 n_2$ possible columns formed from placing a column of A on top of a column of B . If A, B are simple, then $A \times B$ is simple. (A, Griggs, Sali 97)

$$\begin{bmatrix} 1 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{bmatrix} \times \begin{bmatrix} 1 & 1 & 1 \\ 0 & 1 & 1 \\ 0 & 0 & 1 \end{bmatrix} = \begin{bmatrix} 1 & 1 & 1 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 & 1 & 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 \\ 0 & 1 & 1 & 0 & 1 & 1 & 0 & 1 & 1 \\ 0 & 0 & 1 & 0 & 0 & 1 & 0 & 0 & 1 \end{bmatrix}$$

Given p simple matrices A_1, A_2, \dots, A_p , each of size $m/p \times m/p$, the p -fold product $A_1 \times A_2 \times \dots \times A_p$ is a simple matrix of size $m \times (m^p/p^p)$ i.e. $\Theta(m^p)$ columns.

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Examples

$$[01] \times [01] = K_2$$

$$\overbrace{[01] \times [01] \times \cdots \times [01]}^k = K_k$$

$$I_2 \times I_2 = \begin{bmatrix} 1 & 1 & 0 & 0 \\ 0 & 0 & 1 & 1 \\ 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 \end{bmatrix} \approx C_4$$

$I_{m/2} \times I_{m/2}$ is vertex-edge incidence matrix of $K_{m/2, m/2}$

The Conjecture

We conjecture that our product constructions with the three building blocks $\{I, I^c, T\}$ determine the asymptotically best constructions.

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Definition Let $x(F)$ denote the largest p such that there is a p -fold product which does not contain F as a configuration where the p -fold product is $A_1 \times A_2 \times \cdots \times A_p$ where each $A_i \in \{I_{m/p}, I_{m/p}^c, T_{m/p}\}$.

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The conjecture has been verified for $k \times \ell$ F where $k = 2$ (A, Griggs, Sali 97) and $k = 3$ (A, Sali 05) and $l = 2$ (A, Keevash 06) and for k -rowed F with bounds $\Theta(m^{k-1})$ or $\Theta(m^k)$ (A, Fleming 10) plus other cases.

In order for a 4-rowed F to have $forb(m, F)$ be quadratic in m , the associated simple matrix must have a quadratic bound. Using a result of A and Fleming, there are three simple **column-maximal** 4-rowed F for which $forb(m, F)$ is quadratic. Here is one example:

$$F_8 = \begin{bmatrix} 1 & 0 & 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 & 0 & 1 \\ 0 & 0 & 1 & 1 & 1 & 1 \\ 0 & 0 & 1 & 1 & 0 & 0 \end{bmatrix}$$

How can we repeat columns in F_8 and still have a quadratic bound? We note that repeating either the column of sum 1 or the column of sum 3 will result in a cubic lower bound. Thus we only consider taking multiple copies of the columns of sum 2.

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$$F_8(t) = \begin{bmatrix} 1 & 0 & 1 & 0 & \begin{bmatrix} 1 & 0 \\ 0 & 1 \\ 1 & 1 \\ 0 & 0 \end{bmatrix} \\ 0 & 1 & 0 & 1 & \\ 0 & 0 & 1 & 1 & \\ 0 & 0 & 1 & 1 & \end{bmatrix} t \cdot$$

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Theorem (A, Raggi, Sali 09) Let t be given. Then $\text{forb}(m, F_8(t))$ is $O(m^2)$. Moreover $F_8(t)$ is a **boundary case**, namely for any column α not already present t times in $F_8(t)$, then $\text{forb}(m, [F_8(t)|\alpha])$ is $\Omega(m^3)$.

The proof is currently a rather complicated induction with some directed graph arguments. For each α there are $\Omega(m^3)$ product constructions avoiding $[F_8(t)|\alpha]$.

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There are two other 4-rowed F to consider which should have quadratic bounds. This would verify the conjecture for $k = 4$.

Let

$$F(t) = t \cdot \begin{bmatrix} 1 & 0 \\ 1 & 0 \\ 0 & 1 \\ 0 & 1 \end{bmatrix} = \begin{bmatrix} 1 & \dots & 1 & 0 & \dots & 0 \\ 1 & \dots & 1 & 0 & \dots & 0 \\ 0 & \dots & 0 & 1 & \dots & 1 \\ 0 & \dots & 0 & 1 & \dots & 1 \end{bmatrix}$$

Problem Let t be given. Show that $\text{forb}(m, F(t))$ is $O(m^2)$.

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The above is true for both $t = 1$ and $t = 2$. The above problem follows from the general conjecture. Solving this problem would no doubt enable the proof of quadratic bounds for the two other 4-rowed F

5 × 6 Simple Configuration with Quadratic bound

The Conjecture predicts nine 5-rowed simple matrices F which are **boundary cases**, namely $\text{forb}(m, F)$ is $O(m^2)$ and for any column α we have $\text{forb}(m, [F|\alpha])$ being $\Omega(m^3)$. Such F happen all to be 5 × 6 simple matrices and we have handled the following case.

$$F_7 = \begin{bmatrix} 1 & 1 & 0 & 1 & 1 & 0 \\ 1 & 0 & 1 & 1 & 1 & 1 \\ 0 & 1 & 0 & 1 & 0 & 1 \\ 0 & 0 & 1 & 0 & 0 & 1 \\ 0 & 0 & 0 & 0 & 1 & 0 \end{bmatrix}$$

Theorem (A, Raggi, Sali) $\text{forb}(m, F_7)$ is $O(m^2)$.

The proof is currently a rather complicated induction.

Induction

Let A be an $m \times \text{forb}(m, F_7)$ simple matrix with no configuration F_7 . We can select a row r and reorder rows and columns to obtain

$$A = \text{row } r \begin{bmatrix} 0 & \cdots & 0 & 1 & \cdots & 1 \\ B_r & & C_r & C_r & & D_r \end{bmatrix}.$$

Now $[B_r C_r D_r]$ is an $(m - 1)$ -rowed simple matrix with no configuration F_7 . Also C_r is an $(m - 1)$ -rowed simple matrix with no configurations in \mathcal{F} where \mathcal{F} is derived from F_7 .

Then $|A| = \text{forb}(m, F) \leq \text{forb}(m - 1, F) + |C_r|$.

To show $|A|$ is quadratic it would suffice to show $|C_r|$ is linear for some choice of r .

Repeated Induction

Let C_r be an $(m - 1)$ -rowed simple matrix with no configuration in \mathcal{F} . We can select a row s and reorder rows and columns to obtain

$$C_r = \text{row } s \begin{bmatrix} 0 & \cdots & 0 & 1 & \cdots & 1 \\ E_s & & G_s & G_s & & H_s \end{bmatrix}.$$

To show $|C_r|$ is linear it would suffice to show $|G_s|$ is bounded by a constant for some choice of s . Our proof shows that assuming $|G_s| > 8$ for all choices s results in a contradiction.

This repeated induction is used to show that $\text{forb}(m, F_7)$ is $O(m^2)$.

An unusual Bound

Theorem (A,Raggi,Sali) $\text{forb}(m, \{T_2 \times T_2, T_2 \times I_2, I_2 \times I_2\})$ is $\Theta(m^{3/2})$.

$$T_2 \times T_2 = \begin{bmatrix} 1 & 1 & 1 & 1 \\ 0 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 \\ 0 & 1 & 0 & 1 \end{bmatrix}, \quad T_2 \times I_2 = \begin{bmatrix} 1 & 1 & 1 & 1 \\ 0 & 0 & 1 & 1 \\ 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 \end{bmatrix},$$

$$I_2 \times I_2 = \begin{bmatrix} 1 & 1 & 0 & 0 \\ 0 & 0 & 1 & 1 \\ 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 \end{bmatrix}$$

Induction

Let A be an $m \times \text{forb}(m, \mathcal{F})$ simple matrix with no configuration in \mathcal{F} . We can select a row r and reorder rows and columns to obtain

$$A = \text{row } r \begin{bmatrix} 0 & \cdots & 0 & 1 & \cdots & 1 \\ B_r & & C_r & C_r & & D_r \end{bmatrix}.$$

To show $|A|$ is $O(m^{3/2})$ it would suffice to show $|C_r|$ is $O(m^{1/2})$ for some choice of r . Our proof shows that assuming $|C_r| > 16m^{1/2}$ for all choices r results in a contradiction.

$$I_2 = \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix}, \quad T_2 = \begin{bmatrix} 1 & 1 \\ 0 & 1 \end{bmatrix}$$

Definition For an m -rowed matrix P , we define $f(F, P) = \max\{|A| : A \text{ an } m\text{-rowed submatrix of } P, \text{ no configuration } F\}$. For example, with K_m denoting the $m \times 2^m$ simple matrix, then $\text{forb}(m, F) = f(F, K_m)$.

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Theorem (A,Raggi,Sali) $f(T_2 \times T_2, T_{m/2} \times T_{m/2})$ is $\Theta(m)$.

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The first result follows from the Marcus and Tardos (05) results on forbidden patterns.

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The first result follows from the Marcus and Tardos (05) results on forbidden patterns. The second follows from a proof related to the result of Marcus and Tardos. The third result is quite different from the conjecture and relates to Kovari, Sos, Turan (54).

The same proof techniques will show

Theorem $f(T_k \times T_k, T_{m/2} \times T_{m/2})$ is $O(m)$

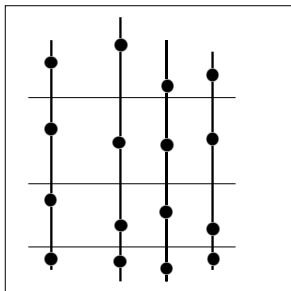
Theorem $f(I_3 \times T_3, I_{m/2} \times T_{m/2})$ is $O(m)$

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Theorem $f(T_k \times T_k, T_{m/2} \times T_{m/2})$ is $O(m)$

Theorem $f(I_3 \times T_3, I_{m/2} \times T_{m/2})$ is $O(m)$

Problem Can you show $f(I_4 \times T_4, I_{m/2} \times T_{m/2})$ is $O(m)$?



THANKS to the session organizers! Hope you have enjoyed Vancouver.