

A subexponential upper bound for van der Waerden numbers $W(3, k)$

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Abstract

We show an improved upper estimate for van der Waerden number $W(3, k)$: there is an absolute constant $c > 0$ such that if $\{1, \dots, N\} = X \cup Y$ is a partition such that X does not contain any arithmetic progression of length 3 and Y does not contain any arithmetic progression of length k then

$$N \leq \exp(O(k^{1-c})).$$

Mathematics Subject Classifications: 05D10, 11B25

1 Introduction

Let k and l be positive integers. The van der Waerden number $W(k, l)$ is the smallest positive integer N such that in any partition $\{1, \dots, N\} = X \cup Y$ there is an arithmetic progression of length k in X or an arithmetic progression of length l in Y . The existence of such numbers was established by van der Waerden [22], however the order of magnitude of $W(k, l)$ is unknown for $k, l \geq 3$. Clearly, $W(k, l)$ is related to Szemerédi's theorem on arithmetic progressions [20] and any effective estimate in this theorem leads to an upper bound on the van der Waerden numbers. Currently the best known bounds in the most important diagonal case are

$$(1 - o(1)) \frac{2^{k-1}}{ek} \leq W(k, k) \leq 2^{2^{2^{2^{k+9}}}}.$$

The upper bound follows from the famous work of Gowers [12] and the lower bound was proved by Szabó [19] using a probabilistic argument. Furthermore, Berlekamp [3] showed

that if $k - 1$ is a prime number then

$$W(k, k) \geq (k - 1)2^{k-1}.$$

Another very intriguing instance of the problem is the estimation of the numbers $W(3, k)$, as these are related to Roth's theorem [15] concerning estimates for sets avoiding three-term arithmetic progressions. Let us denote by $r(N)$ the size of the largest progression-free subset of $\{1, \dots, N\}$. We know that

$$r(N) \ll \frac{N}{\log N^{1-o(1)}}, \quad (1)$$

see [4, 5, 17, 18], which implies $W(3, k) \leq \exp(O(k^{1+o(1)}))$.

Green [13] proposed a very clever argument based on arithmetic properties of sumsets to bound $W(3, k)$. Building on this method and applying results from [10] it was shown in [11] that

$$W(3, k) \leq \exp(O(k \log k)).$$

The best known lower bound was obtained by Li and Shu [14] (see also [8]), who showed that

$$W(3, k) \gg \left(\frac{k}{\log k}\right)^2.$$

The purpose of this paper is to prove a subexponential bound on $W(3, k)$.

Theorem 1. *There are absolute constants $C, c > 0$ such that for every k we have*

$$W(3, k) \leq \exp(Ck^{1-c}).$$

Our argument is based on the method of [18], which explores in details the structure of a large spectrum. This method can be partly applied (see Lemma 5) in our approach and it deals only with a progression-free partition class. The second part of the proof exploits the structure of both partition classes and in this case the argument of [18] has to be significantly modified.

Let us remark that during the review process a preprint of Bloom and Sisask [6], which improves an upper bound in Roth's theorem to $N/(\log N)^{1+c}$ for $c \approx 2^{-2^{1000}}$, has appeared. That result implies directly that $W(3, k) \leq \exp(Ck^{1-c})$ with $c \approx 2^{-2^{1000}}$.

2 Notation

Given functions $f, g : \mathbb{Z}/N\mathbb{Z} \rightarrow \mathbb{C}$, the convolution of f and g is defined by

$$(f * g)(x) = \sum_{t \in \mathbb{Z}/N\mathbb{Z}} f(t)g(x - t).$$

The Fourier coefficients of a function $f : \mathbb{Z}/N\mathbb{Z} \rightarrow \mathbb{C}$ are defined by

$$\widehat{f}(r) = \sum_{x=0}^{N-1} f(x) e^{-2\pi i x r / N},$$

where $r \in \mathbb{Z}/N\mathbb{Z}$. The inversion formula states that

$$f(x) = \frac{1}{N} \sum_{r=0}^{N-1} \widehat{f}(r) e^{2\pi i x r / N}.$$

We denote by $1_A(x)$ the indicator function of set A . Thus using the inversion formula and the fact that $\widehat{(f * g)}(r) = \widehat{f}(r) \widehat{g}(r)$ one can express the number of three-term arithmetic progressions (including trivial ones) in a set $A \subseteq \mathbb{Z}/N\mathbb{Z}$ by

$$\frac{1}{N} \sum_{r=0}^{N-1} \widehat{1_A}(r)^2 \widehat{1_A}(-2r).$$

Parseval's identity asserts in particular that

$$\sum_{r=0}^{N-1} |\widehat{1_A}(r)|^2 = |A|N.$$

Let $\theta \geq 0$ be a real number. The θ -spectrum of A is defined by

$$\Delta_\theta(A) = \{r \in \mathbb{Z}/N\mathbb{Z} : |\widehat{1_A}(r)| \geq \theta |A|\}.$$

If A is specified then we write Δ_θ instead of $\Delta_\theta(A)$.

By the span of a finite set S we mean

$$\text{Span}(S) = \left\{ \sum_{s \in S} \varepsilon_s s : \varepsilon_s \in \{-1, 0, 1\} \text{ for all } s \in S \right\}$$

and the dimension of A is defined by

$$\dim(A) = \min \{|S| : A \subseteq \text{Span}(S)\}.$$

Chang's Spectral Lemma provides an upper bound for the dimension of a spectrum.

Lemma 2. [9] *Let $A \subseteq \mathbb{Z}/N\mathbb{Z}$ be a set of size $|A| = \delta N$ and let $\theta > 0$. Then*

$$\dim(\Delta_\theta(A)) \ll \theta^{-2} \log(1/\delta).$$

We are going to use Bohr sets [7] to prove the main result. Let $\Gamma \subseteq \widehat{G}$ and $\gamma \in (0, \frac{1}{2}]$ then the Bohr set generated by Γ with radius γ is

$$B(\Gamma, \gamma) = \{x \in \mathbb{Z}/N\mathbb{Z} : \|tx/N\| \leq \gamma \text{ for all } t \in \Gamma\},$$

where $\|x\| = \min_{y \in \mathbb{Z}} |x - y|$. The rank of B is the size of Γ and we denote it by $\text{rk}(B)$. Given $\eta > 0$ and a Bohr set $B = B(\Gamma, \gamma)$, by B_η we mean the Bohr set $B(\Gamma, \eta\gamma)$. We will also use the notation $\beta = \frac{1}{|B|} 1_B$. We will use two basic properties of Bohr sets concerning their size and regularity, see [21].

Lemma 3. [7] *For every $\gamma \in (0, \frac{1}{2}]$ we have*

$$\gamma^{|\Gamma|} N \leq |B(\Gamma, \gamma)| \leq 8^{|\Gamma|+1} |B(\Gamma, \gamma/2)|.$$

We call a Bohr set $B(\Gamma, \gamma)$ regular if for every η , where $|\eta| \leq 1/(100|\Gamma|)$ we have

$$(1 - 100|\Gamma||\eta|)|B| \leq |B_{1+\eta}| \leq (1 + 100|\Gamma||\eta|)|B|.$$

Bourgain [7] showed that regular Bohr sets are ubiquitous.

Lemma 4. [7] *For every Bohr set $B(\Gamma, \gamma)$, there exists γ' such that $\frac{1}{2}\gamma \leq \gamma' \leq \gamma$ and $B(\Gamma, \gamma')$ is regular.*

3 Proof of Theorem 1

Our main tool is the next lemma, which can be extracted from [18], by conjugation of results concerning the case of 'small' Fourier coefficients (see Lemmas 7 and 9 of [18]) and the case of 'middle' Fourier coefficients (Lemmas 12 and 13 of [18]). Its proof makes use of the deep result by Bateman and Katz in [1, 2] describing the structure of the large spectrum. The case of 'large' Fourier coefficients is treated similarly as in [18], however using partition properties we will be able to obtain much better estimate.

Lemma 5. [18] *There exists an absolute constant $c > 0$ such that the following holds. Let $A \subseteq \mathbb{Z}/N\mathbb{Z}$, $|A| = \delta N$ be a set such that*

$$\sum_{r: \delta^{1+c}|A| \leq |\widehat{1_A}(r)| \leq \delta^{1/10}|A|} |\widehat{1_A}(r)|^3 \geq \frac{1}{10} \delta^{c/5} |A|^3. \quad (2)$$

Then there is a regular Bohr set B with $\text{rk}(B) \ll \delta^{-1+c}$ and radius $\Omega(\delta^{1-c})$ such that for some t

$$|(A+t) \cap B| \gg \delta^{1-c} |B|.$$

Furthermore, we apply Bloom's iterative lemma, that provides a density increment by a constant factor greater than 1 for progression-free sets and Sanders' lemma on a containment of long arithmetic progressions in dense subsets of regular Bohr sets.

Lemma 6. [4] *There exists an absolute constant $c_1 > 0$ such that the following holds. Let $B \subseteq \mathbb{Z}/N\mathbb{Z}$ be a regular Bohr set of rank d . Let $A_1 \subseteq B$ and $A_2 \subseteq B_\varepsilon$, each with relative densities α_i . Let $\alpha = \min(c_1, \alpha_1, \alpha_2)$ and assume that $d \leq \exp(c_1(\log^2(1/\alpha)))$. Suppose that B_ε is also regular and $c_1\alpha/(4d) \leq \varepsilon \leq c_1\alpha/d$. Then either*

(i) there is a regular Bohr set B' of rank $\text{rk}(B') \leq d + O(\alpha^{-1} \log(1/\alpha))$ and size

$$|B'| \geq \exp(-O(\log^2(1/\alpha)(d + \alpha^{-1} \log(1/\alpha)))) |B|$$

such that

$$|(A_1 + t) \cap B'| \gg (1 + c_1)\alpha_1 |B'|$$

for some $t \in \mathbb{Z}/N\mathbb{Z}$;

(ii) or there are $\Omega(\alpha_1^2 \alpha_2 |B| |B_\varepsilon|)$ three-term arithmetic progressions $x + y = 2z$ with $x, y \in A_1, z \in A_2$;

Lemma 7. [16] Let $B(\Gamma, \gamma) \subseteq \mathbb{Z}/N\mathbb{Z}$ be a regular Bohr set of rank d and let ε be a positive number satisfying $\varepsilon^{-1} \ll \gamma d^{-1} N^{1/d}$. Suppose that $A \subseteq B$ contains at least a proportion $1 - \varepsilon$ of $B(\Gamma, \gamma)$. Then A contains an arithmetic progression of length at least $1/(4\varepsilon)$.

Furthermore, to apply Bloom's result we will need to prove a standard fact on Bohr sets. Let us also remark that it follows from the proof of Bloom's lemma that we can take $c_1 < 1/1000$. We will use the following basic property of Bohr sets.

Lemma 8. [11] Let B be a regular Bohr set of rank d and radius γ and let A be a set with $|A| = \alpha|B|$. Suppose that $\varepsilon < \kappa\alpha/(100d)$ for some $\kappa \in (0, 1)$. Then

$$\sum_{x \in B} (1_A * 1_{B_\varepsilon})(x) \geq (1 - \kappa)\alpha|B| |B_\varepsilon|.$$

Lemma 9. Let B be a regular Bohr set of rank d and suppose that $A \subseteq B$ and $|A| = \alpha|B|$. Then there is ε with $c_1\alpha/(4d) \leq \varepsilon \leq c_1\alpha/d$ (c_1 is a constant given by Lemma 6), and regular Bohr sets B' and B'_ε of rank d and size

$$|B'| \geq \exp(-O(d \log(1/\alpha) \log(d/\alpha)))|B|$$

such that

$$|(A + t) \cap B'| \geq \frac{1}{2}\alpha|B'| \quad \text{and} \quad |(A + t) \cap B'_\varepsilon| \geq \frac{1}{2}\alpha|B'_\varepsilon|$$

for some t .

Proof. Let ε_1 and ε_2 be any numbers satisfying $c_1\alpha/(4d) \leq \varepsilon_1, \varepsilon_2 \leq c_1\alpha/d$ and such that the Bohr sets $B^1 = B_{\varepsilon_1}$ and $B^2 = B_{\varepsilon_1 \varepsilon_2}$ are regular. Put $\beta_1 = \frac{1}{|B^1|} 1_{B^1}$ and $\beta_2 = \frac{1}{|B^2|} 1_{B^2}$ then by Lemma 8 we have

$$\sum_x ((\beta_1 * 1_A)(x) + (\beta_2 * 1_A)(x)) \geq \frac{9}{5}\alpha|B|,$$

hence for some x we have

$$(\beta_1 * 1_A)(x) + (\beta_2 * 1_A)(x) \geq \frac{9}{5}\alpha.$$

If

$$(\beta_1 * 1_A)(x) \geq \frac{1}{2}\alpha \quad \text{and} \quad (\beta_2 * 1_A)(x) \geq \frac{1}{2}\alpha \tag{3}$$

then we can put $B' = B^1$. Otherwise, for some $i \in \{1, 2\}$ we have $(\beta_i * 1_A)(x) \geq (6/5)\alpha$ and we put $B = B^i$ and apply the same procedure again. Clearly, we can iterate this procedure $O(\log(1/\alpha))$ times, as the density of a set can not exceed 1. Thus after $O(\log(1/\alpha))$ iterative steps we obtain a pair of Bohr sets B', B'_ε satisfying (3). From Lemma 3 it follows that

$$|B'| \geq \exp(-O(d \log(1/\alpha) \log(d/\alpha)))|B|,$$

which concludes the proof. \square

Proof of Theorem 1. Put $M = W(3, k) - 1$ and let $\{1, \dots, M\} = X \cup Y$ be a partition such that X and Y avoid 3 and k -term arithmetic progressions respectively. Clearly, we may assume that $M \geq 100k$ hence

$$|Y| \leq M - \lfloor M/k \rfloor \leq M - M/(2k),$$

as no block of k consecutive numbers is contained in Y and therefore $|X| \geq M/(2k)$. Let N be any prime number satisfying $2M < N \leq 4M$. We embed $\{1, \dots, M\} = X \cup Y$ in $\mathbb{Z}/N\mathbb{Z}$ in a natural way and observe that $\{1, \dots, M\}$ considered as a subset of $\mathbb{Z}/N\mathbb{Z}$ is 2-Freiman isomorphic to $\{1, \dots, M\}$ considered as a subset of \mathbb{Z} and therefore any arithmetic progression in $\{1, \dots, M\} \subseteq \mathbb{Z}/N\mathbb{Z}$ is a genuine progression in \mathbb{Z} . Put $|X| = \delta N$ and note that we can assume that $\delta \gg (\log N)^{-1.1}$. First let us assume that

$$\sum_{r: \delta^{1+c}|X| \leq |\widehat{1_X}(r)| \leq \delta^{1/10}|X|} |\widehat{1_X}(r)|^3 \geq \delta^{c/5}|X|^3, \quad (4)$$

where $c > 0$ is the fixed absolute constant from Lemma 5. Then by Lemma 5 there is $t \in \mathbb{Z}/N\mathbb{Z}$ and a regular Bohr set B^0 with $\text{rk}(B^0) = d \ll \delta^{-1+c}$ and radius $\Omega(\delta^{1-c})$ such that

$$|(X+t) \cap B^0| \gg \delta^{1-c}|B|$$

for some absolute constant $c > 0$. Writing $X_0 = (X+t) \cap B_0$ we have

$$|X_0 \cap B^0| \gg \alpha|B^0|,$$

where

$$\alpha \gg \delta^{1-c},$$

and by Lemma 3

$$|B^0| \geq \exp(-O(\delta^{-1+c} \log(1/\delta)))N.$$

By Lemma 9 there is $\varepsilon \gg \alpha^2$ and regular Bohr sets B' and B'_ε of rank d such that

$$|(A+t) \cap B'| \geq \frac{1}{2}\alpha|B'| \quad \text{and} \quad |(A+t) \cap B'_\varepsilon| \geq \frac{1}{2}\alpha|B'_\varepsilon|,$$

and

$$|B'| \geq \exp(-O(\alpha^{-1} \log^2(1/\alpha)))|B^0| \geq \exp(-O(\delta^{-1+c} \log^2(1/\delta)))N.$$

Next, we iteratively apply Lemma 6 and Lemma 9. Since after each step the density increases by factor $1 + c_1$ it follows that after $l \ll \log(1/\alpha)$ steps case (ii) of Lemma 6 holds. Let B^i be Bohr sets obtained in the iterative procedure. Note that B^i has rank $\text{rk}(B^i) = d_i \ll \alpha^{-1} \log^2(1/\alpha)$ for every $i \leq l$ and

$$|B^{i+1}| \geq \exp(-O(\log^2(1/\alpha)(d_i + \alpha^{-1} \log(1/\alpha))))|B_i|$$

for every $i < l$. Therefore, there are

$$\Omega(\alpha^3|B^l||B^l_\varepsilon|)$$

three-term arithmetic progressions in X , where $\varepsilon \geq c_1 \alpha / (4 \operatorname{rk}(B^l)) \gg \alpha^2 \log^2(1/\alpha)$. By Lemma 6 and Lemma 3 we have

$$|B^l| \geq \exp(-O(\alpha^{-1} \log^4(1/\alpha))) N \geq \exp(-O(\delta^{-1+c} \log^4(1/\delta))) N,$$

and

$$\begin{aligned} |B_\varepsilon^l| &\geq \exp(-O(\alpha^{-1} \log^3(1/\alpha))) \exp(-O(\alpha^{-1} \log^4(1/\alpha))) N \\ &\geq \exp(-O(\delta^{-1+c} \log^4(1/\delta))) N. \end{aligned}$$

Thus, X contains

$$\Omega(\delta^{3-3c} \exp(-O(\delta^{-1+c} \log^4(1/\delta))) N^2)$$

arithmetic progressions of length three. Since there are only $|X|$ trivial progressions in X it follows that

$$|X| \gg \delta^{3-3c} \exp(-O(\delta^{-1+c} \log^4(1/\delta))) N^2,$$

so

$$W(3, k) \ll N \ll \exp(O(\delta^{-1+c} \log^4(1/\delta))) \leq \exp(O(k^{1-c} \log^4 k)).$$

Next let us assume that (4) does not hold. Let us define $\Delta' = \Delta_{\delta^{1/10}} \cup 2^{-1} \cdot \Delta_{\delta^{1/10}}$ and observe that $r \notin \Delta'$ is equivalent to $r \notin \Delta_{\delta^{1/10}}$ and $2r \notin \Delta_{\delta^{1/10}}$. By Chang's lemma

$$\dim(\Delta') \leq 2 \dim(\Delta_{\delta^{1/10}}) \ll \delta^{-1/5} \log(1/\delta),$$

and let Λ be any set such that $1 \in \Lambda$, $|\Lambda| \ll \delta^{-1/5} \log(1/\delta)$ and $\Delta' \subseteq \operatorname{Span}(\Lambda)$. Let $B = B(\Lambda, \gamma)$ be a regular Bohr set with radius $\delta^3 \ll \gamma \leq \delta^3$. Since $1 \in \Lambda$ it follows that for every $b \in B$ we

$$\|b/N\| \leq \gamma N \leq 4\gamma M.$$

Recall that $\beta = \frac{1}{|B|} 1_B$ then for every $r \in \Delta'$ we have

$$|\widehat{\beta}(r) - 1| \leq \frac{1}{|B|} \sum_{b \in B} |e^{-2\pi i r b/N} - 1| \leq \frac{2\pi}{|B|} \sum_{b \in B} \sum_{\lambda \in \Lambda} \|r b/N\| \leq 2\pi \delta^2, \quad (5)$$

and similarly $|\widehat{\beta}(2r) - 1| \leq 4\pi \delta^2$. For $t \in \mathbb{Z}/N\mathbb{Z}$ put

$$f(t) = \beta * 1_X(t)$$

and note that if for some $t \in [4\gamma M, (1 - 4\gamma)M]$ we have $f(t) = \frac{1}{|B|} |X \cap (B + t)| \leq \delta^{1+c'}$, where $c' = c/20$, then since $B + t \subseteq [1, M]$ it follows that

$$|Y \cap (B + t)| \geq (1 - \delta^{1+c'}) |B|.$$

Therefore, by Lemma 7 either $\delta^{-1-c'} \gg \gamma d^{-1} N^{1/d}$ or Y contains an arithmetic progression of length $\frac{1}{4} \delta^{-1-c'}$. The former inequality implies that

$$k^{1+c'} \gg \gamma d^{-1} N^{1/d} \gg \delta^4 N^{O(\delta^{1/5} \log^{-1}(1/\delta))} \gg k^{-4} N^{O(k^{-1/5} \log^{-1} k)},$$

so

$$W(3, k) \ll N \ll \exp(O(k^{1/5} \log^2 k)).$$

If the second alternative holds then

$$\frac{1}{4} \delta^{-1-c'} < k$$

hence by (1)

$$k^{-1/(1+c')} \ll \delta \ll (\log N)^{-1+o(1)}$$

so

$$W(3, k) \leq N \ll \exp(O(k^{\frac{1}{1+c'}+o(1)})).$$

Finally we can assume that for every $t \in [4\gamma M, (1-4\gamma)M]$ we have $f(t) \geq \delta^{1+c'}$. Let $T(X)$ denote the number of three-term arithmetic progressions in X and let

$$T(f) = \sum_{x+y=2z} f(x)f(y)f(z).$$

Then clearly

$$T(f) \gg \delta^{3+3c'} M^2 \gg \delta^{3+c/6} N^2 \quad (6)$$

and we will show that $T(X)$ does not differ much from $T(f)$

$$\begin{aligned} |T(X) - T(f)| &= \frac{1}{N} \left| \sum_{r=0}^{N-1} \widehat{1_X}(r)^2 \widehat{1_X}(-2r) - \sum_{r=0}^{N-1} \widehat{f}(r)^2 \widehat{f}(-2r) \right| \\ &\leq \frac{1}{N} \sum_{r=0}^{N-1} |\widehat{1_X}(r)^2 \widehat{1_X}(-2r) (1 - \widehat{\beta}(r)^2 \widehat{\beta}(-2r))| \\ &= S_1 + S_2, \end{aligned} \quad (7)$$

where S_1 and S_2 are summations of (7) respectively over Δ' and $\mathbb{Z}/N\mathbb{Z} \setminus \Delta'$. By (5), the negation of (4), Parseval's formula and Hölder's inequality we have

$$\begin{aligned} S_1 &\ll \delta^2 \frac{1}{N} \sum_{r \in \Delta'} |\widehat{1_X}(r)|^3 \leq \delta^3 \sum_{r=0}^{N-1} |\widehat{1_X}(r)|^2 = \delta^2 |X|^2, \\ S_2 &\leq \frac{2}{N} \sum_{r \notin \Delta'} |\widehat{1_X}(r)^2 \widehat{1_X}(-2r)| \\ &\leq \frac{2}{N} \left(\sum_{r \notin \Delta'} |\widehat{1_X}(r)|^3 \right)^{2/3} \left(\sum_{r \notin \Delta'} |\widehat{1_X}(2r)|^3 \right)^{1/3} \\ &\leq \frac{2}{N} \sum_{r \notin \Delta_{\delta^{1/10}}} |\widehat{1_X}(r)|^3 \\ &\leq \frac{2}{N} \sum_{r \in \Delta_{\delta^{1+c}} \setminus \Delta_{\delta^{1/10}}} |\widehat{1_X}(r)|^3 + \frac{2}{N} \sum_{r \notin \Delta_{\delta^{1+c}}} |\widehat{1_X}(r)|^3 \\ &\ll \delta^2 |X|^2 + \delta^{1+c/5} |X|^2 + \delta^{1+c} |X|^2 \ll \delta^{1+c/5} |X|^2 \end{aligned}$$

Thus,

$$|T(X) - T(f)| \ll \delta^{3+c/5} N^2,$$

so by (6) and the fact that X avoids non-trivial three-term arithmetic progression we have

$$|X| = T(X) \gg \delta^{3+c/6} N^2,$$

hence

$$W(3, k) \leq N \ll \delta^{-2-c/6} \ll k^3$$

which concludes the proof. \square

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