EKR TYPE INEQUALITIES FOR 4-WISE INTERSECTING FAMILIES

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ABSTRACT. Let $1 \le t \le 7$ be an integer and let \mathscr{F} be a *k*-uniform hypergraph on *n* vertices. Suppose that $|A \cap B \cap C \cap D| \ge t$ holds for all $A, B, C, D \in \mathscr{F}$. Then we have $|\mathscr{F}| \le {\binom{n-t}{k-t}}$ if $|\frac{k}{n} - \frac{1}{2}| < \varepsilon$ holds for some $\varepsilon > 0$ and all $n > n_0(\varepsilon)$. We apply this result to get EKR type inequalities for "intersecting and union families" and "intersecting Sperner families."

1. INTRODUCTION

A family $\mathscr{F} \subset 2^{[n]}$ is called *r*-wise *t*-intersecting if $|F_1 \cap \cdots \cap F_r| \ge t$ holds for all $F_1, \ldots, F_r \in \mathscr{F}$. Let us define *r*-wise *t*-intersecting families $\mathscr{F}_i(n,k,r,t)$ as follows:

$$\mathscr{F}_i(n,k,r,t) = \{F \in \binom{[n]}{k} : |F \cap [t+ri]| \ge t + (r-1)i\}$$

Let m(n,k,r,t) be the maximal size of k-uniform r-wise t-intersecting families on n vertices. Can we extend the Erdős–Ko–Rado Theorem in the following way?

Conjecture 1. $m(n,k,r,t) = \max_i |\mathscr{F}_i(n,k,r,t)|.$

Ahlswede and Khachatrian[1] proved the case r = 2, which extended the earlier results by Erdős–Ko–Rado[3], Frankl[6] and Wilson[25]. Frankl proved the case t = 1 as follows.

Theorem 1 ([4]). $m(n,k,r,1) = \binom{n-1}{k-1}$ for $(r-1)n \ge rk$.

The cases $r \ge 3$ and $t \ge 2$ seem to be much more difficult and only a few results are known.

Theorem 2 ([9, 10]). $m(n,k,3,2) = \binom{n-2}{k-2}$ for $\frac{k}{n} < 0.501$ and $n > n_0$.

Theorem 3 ([23]). $m(n,k,3,t) = \binom{n-t}{k-t}$ for $t \ge 26$, $\frac{k}{n} \le \frac{2}{\sqrt{4t+9}-1}$ and $n > n_0(t)$.

Theorem 4 ([22]). $m(n,k,r,t) = \binom{n-t}{k-t}$ if $p = \frac{k}{n}$ satisfies $p < \frac{r-2}{r}$, $(1-p)p^{\frac{t}{t+1}(r-1)} - p^{\frac{t}{t+1}} + p < 0$

and $n > n_0(r, t, p)$.

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Our main result in this paper is the following.

Theorem 5. Let *t* be an integer with $1 \le t \le 7$. Then there exists $\varepsilon > 0$ and $n_0 = n_0(\varepsilon)$ such that $m(n,k,4,t) = \binom{n-t}{k-t}$ holds for $|\frac{k}{n} - \frac{1}{2}| < \varepsilon$ and $n > n_0$. Moreover $\mathscr{F}_0(n,k,4,t)$ is the only optimal configuration (up to isomorphism).

There is a possibility to improve the range for t in the above theorem from $t \le 7$ to $t \le 10$, but the theorem fails for $t \ge 11$. In fact, by simple computation, one finds $|\mathscr{F}_1(n,k,4,t)| > |F_0(n,k,4,t)|$ if $\frac{k}{n} > \frac{1}{2}$ and t = 11, or $\frac{k}{n} \ge \frac{1}{2}$ and $t \ge 12$.

A family $\mathscr{F} \subset 2^{[n]}$ is called *r*-wise *t*-union if $|F_1 \cup \cdots \cup F_r| \leq n-t$ holds for all $F_1, \ldots, F_r \in \mathscr{F}$. This is equivalent to the property that $\mathscr{F}^c = \{[n] - F : F \in \mathscr{F}\}$ is *r*-wise *t*-intersecting. What is the maximal size of *r*-wise *t*-intersecting and *q*-wise *t*-union *k*-uniform family? The case $r \geq 4$, $q \geq 4$ and t = 1 was settled as follows.

Theorem 6 ([16, 2]). Let $r \ge 4$, $q \ge 4$ and $\mathscr{F} \subset {\binom{[n]}{k}}$. Suppose that \mathscr{F} is r-wise 1-intersecting and q-wise 1-union, and

$$\frac{n-1}{q}+1 \le k \le \frac{r-1}{r}(n-1).$$

Then we have $|\mathscr{F}| \leq \binom{n-2}{k-1}$.

The case r = q = 3 and t = 1 is more difficult and still open. As a special case the following is known.

Theorem 7 ([11]). Let $\mathscr{F} \subset {\binom{[2n]}{n}}$ be a 3-wise 1-intersecting and 3-wise 1-union family. Then we have $|\mathscr{F}| \leq {\binom{2n-2}{n-1}}$. Equality holds iff $\mathscr{F} \cong \{F \in {\binom{[2n-1]}{n}} : 1 \in F\}$.

In [21] the case r = q = 4 and t = 2 was considered. Using Theorem 5 we extend the result as follows.

Theorem 8. Let *t* be an integer with $1 \le t \le 4$, and let $\mathscr{F} \subset {\binom{[2n]}{n}}$ be a 4-wise *t*-intersecting and 4-wise *t*-union family. Then we have $|\mathscr{F}| \le {\binom{2n-2t}{n-t}}$ for $n > n_0$. Equality holds iff $\mathscr{F} \cong \{F \in {\binom{[2n-t]}{n}} : [t] \subset F\}.$

A family $\mathscr{F} \subset 2^{[n]}$ is called a Sperner family if $F \not\subset G$ holds for all distinct $F, G \in \mathscr{F}$. What is the maximum size of *r*-wise *t*-intersecting families? The case r = 2 was determined by Milner in [19], and the maximum is given by the simple formula $\binom{n}{\lceil (n+t)/2 \rceil}$. For the cases $r \ge 3$, the situation becomes more complicated. Frankl[4] and Gronau[12, 13, 14, 15] considered the case r = 3 and t = 1, and it is known that for $n \ge 53$ the only optimal families are

$$\mathscr{F} = \{F \cup \{n\} : F \in {\binom{[n-1]}{n/2}}\} \cup \{[n-1]\} \quad n \text{ even,} \\ \mathscr{F} = \{F \cup \{n\} : F \in {\binom{[n-1]}{(n-1)/2}}\} \quad n \text{ odd.}$$

The case r = 3 and t = 2 was solved in [9, 10] as follows.

Theorem 9. Let $\mathscr{F} \subset 2^{[n]}$ be a 3-wise 2-intersecting Sperner family. Then,

$$|\mathscr{F}| \leq \begin{cases} \binom{n-2}{(n-2)/2} & \text{if } n \text{ even,} \\ \binom{n-2}{(n-1)/2} + 2 & \text{if } n \text{ odd,} \end{cases}$$

holds for $n \ge n_0$. The extremal configurations are

$$\mathcal{F} = \{\{1,2\} \cup F : F \in \binom{[3,n]}{(n-2)/2}\}$$
 n even
$$\mathcal{F} = \{\{1,2\} \cup F : F \in \binom{[3,n]}{(n-1)/2}\} \cup \{[n] - \{1\}\} \cup \{[n] - \{2\}\}$$
n odd.

In this paper we consider the case r = 4 and $1 \le t \le 7$ and we prove the following.

Theorem 10. Let $1 \le t \le 7$ and let $\mathscr{F} \subset 2^{[n]}$ be a 4-wise *t*-intersecting Sperner family. Then we have $|\mathscr{F}| \le {\binom{n-t}{\lfloor \frac{n-t}{2} \rfloor}}$ for $n > n_0$. Equality holds iff $\mathscr{F} \cong \{F \in {\binom{[n]}{k}} : [t] \subset F\}$ where $k = t + \lfloor \frac{n-t}{2} \rfloor$ or $k = t + \lfloor \frac{n-t}{2} \rfloor$.

We present the proofs of Theorem 5, Theorem 8 and Theorem 10 in Section 3, Section 4 and Section 5, respectively. In the next section we review some basic tools for those proofs.

2. Tools

For integers $1 \le i < j \le n$ and a family $\mathscr{F} \subset {\binom{[n]}{k}}$, define the (i, j)-shift S_{ij} as follows. $S_{ij}(\mathscr{F}) = \{S_{ij}(F) : F \in \mathscr{F}\},\$

where

$$S_{ij}(F) = \begin{cases} (F - \{j\}) \cup \{i\} & \text{if } i \notin F, \ j \in F, \ (F - \{j\}) \cup \{i\} \notin \mathscr{F}, \\ F & \text{otherwise.} \end{cases}$$

A family $\mathscr{F} \subset {[n] \choose k}$ is called shifted if $S_{ij}(\mathscr{F}) = \mathscr{F}$ for all $1 \le i < j \le n$. For a given family \mathscr{F} , one can always obtain a shifted family \mathscr{F}' from \mathscr{F} by applying shifting to \mathscr{F} repeatedly. Then we have $|\mathscr{F}'| = |\mathscr{F}|$ because shifting preserves the size of the family. It is easy to check that if \mathscr{F} is *r*-wise *t*-intersecting then $S_{ij}(\mathscr{F})$ is also *r*-wise *t*-intersecting. Therefore if \mathscr{F} is an *r*-wise *t*-intersecting family then we can find a shifted family \mathscr{F}' which is also *r*-wise *t*-intersecting with $|\mathscr{F}'| = |\mathscr{F}|$. See [7] for more details.

We use the random walk method originated from [5, 6] by Frankl. Let us introduce a partial order in $\binom{[n]}{k}$ by using shifting. For $F, G \in \binom{[n]}{k}$, define $F \succ G$ if G is obtained by repeating a shifting to F. The following fact follows immediately from the definition.

Fact 1. Let $\mathscr{F} \subset {\binom{[n]}{k}}$ be a shifted family. If $F \in \mathscr{F}$ and $F \succ G$, then $G \in \mathscr{F}$.

For $F \in {\binom{[n]}{k}}$ we define the corresponding walk on \mathbb{Z}^2 , denoted by walk(*F*), in the following way. The walk is from (0,0) to (n-k,k) with *n* steps, and if $i \in F$ (resp. $i \notin F$) then the *i*-th step is one unit up (resp. one unit to the right). The following fact is useful (see [5, 7, 21]).

Fact 2. Let $\mathscr{F} \subset {\binom{[n]}{k}}$ be a shifted *r*-wise *t*-intersecting family. Then for all $F \in \mathscr{F}$, walk(*F*) must touch the line L: y = (r-1)x + t.

The next result (Corollary 8 in [21]) enables us to upper bound the number of walks which touch a given line.

Proposition 11. Let $p \in \mathbb{Q}$, $r, s, u, v \in \mathbb{N}$ be fixed constants with $r \ge 2$ and $p < \frac{r-1}{r+1}$, and let n and k be positive integers with $p = \frac{k}{n}$. Let $\alpha \in (p, 1)$ be the unique root of the equation $(1-p)x^r - x + p = 0$ and let g(n) be the number of walks from (u, v) to (n-k,k) which touch the line y = (r-1)(x-u) + v + s. Then for any $\varepsilon > 0$ there exists n_0 such that

$$\frac{g(n)}{\binom{n-u-v}{k-v}} \le (1+\varepsilon)\alpha^s$$

holds for all $n > n_0$. Moreover if u = 0 then we can choose $\varepsilon = 0$.

To prove Theorem 8 we use a dual version of Fact 2.

Fact 3. Let $\mathscr{F} \subset {\binom{[n]}{k}}$ be a shifted *q*-wise *s*-union family. Then for all $F \in \mathscr{F}$, walk(*F*) must touch the line $L_2 : y = \frac{1}{q-1}(x-n+k+s)+k$.

Then we can extend Proposition 11 as follows (Corollary 9 in [21]).

Proposition 12. Let $q, r, s, t, u, v \in \mathbb{N}$ be fixed constants with $q \ge 4$, $r \ge 4$ and t + (r-1)u - v > 0. Let $\alpha_j \in (\frac{1}{2}, 1)$ be the unique root of the equation $\frac{1}{2}x^j - x + \frac{1}{2} = 0$. Let h(n) be the number of walks from (u, v) to (n, n) which touch both of the lines $L_1 : y = (r-1)x + t$ and $L_2 : y = \frac{1}{q-1}(x-n+s)+n$. Then for any $\varepsilon > 0$ there exists n_0 such that

$$\frac{h(n)}{\binom{2n-u-v}{n-v}} \le (1+\varepsilon)\alpha_r^{t+(r-1)u-v}\alpha_q^s$$

holds for all $n > n_0$.

To prove Theorem 10, we need a basic fact about shadow. For a family $\mathscr{F} \subset 2^{[n]}$ and a positive integer $\ell < n$, let us define the ℓ -th shadow of \mathscr{F} , denoted by $\Delta_{\ell}(\mathscr{F})$, as follows.

$$\Delta_{\ell}(\mathscr{F}) = \{G \in \binom{[n]}{\ell} : G \subset \exists F \in \mathscr{F}\}.$$

We use the following version of the Kruskal-Katona Theorem [18, 17, 8].

Proposition 13. Suppose that $\mathscr{F} \subset {\binom{[n]}{k}}$ and $|\mathscr{F}| \leq {\binom{m}{k}}$. Then we have

$$|\Delta_{\ell}(\mathscr{F})| \geq |\mathscr{F}|\binom{m}{\ell}/\binom{m}{k}.$$

Equality holds only if $\mathscr{F} = \binom{Y}{k}$, |Y| = m.

3. MULTIPLY INTERSECTING FAMILIES

In this section we prove Theorem 5. Note that $|\mathscr{F}_0(n,k,r,t)| = \binom{n-t}{k-t} \approx p^t \binom{n}{k}$, and $|\mathscr{F}_1(n,k,r,t)| = (t+r)\binom{n-t-r}{k-t-r+1} + \binom{n-t-r}{k-t-r} \approx ((t+r)p^{t+r-1} - (t+r-1)p^{t+r})\binom{n}{k}$, where we denote $a \approx b$ iff $\lim_{n\to\infty} a/b = 1$. Let $p_{r,t} \in (0,1)$ be the root of the equation $1 = (t+r)x^{r-1} - (t+r-1)x^r$. Then $|\mathscr{F}_0(n,k,r,t)| > |\mathscr{F}_1(n,k,r,t)|$ holds if $p \leq p_{r,t}$. Throughout this section, we assume that 0 and let <math>q = 1 - p. We start with the following somewhat cumbersome statement, which will imply Theorem 5 as a special case after some refinement (see Proposition 15).

Proposition 14. Let $r, t \in \mathbb{N}$ and $p \in \mathbb{Q}$ be given. Suppose that $r \ge 3$ and $p \in (0, 0.55)$. Let $\alpha \in (p, 1)$ be the root of the equation $qx^r - x + p = 0$. Suppose that r, t, p satisfy all of the following inequalities:

$$\begin{array}{ll} (C1) & (\alpha/p)^t - t(1-\alpha^{r-1})p^{r-1}q^2 + \alpha^{r-1}q + p - 2 < 0, \\ (C2) & (\alpha/p)^t - 1 - \frac{1-\alpha^{r-1}}{\alpha^{2r-2}}q\big(1-(p/\alpha)\big) < 0, \\ (C3) & \frac{\alpha^{2(r-1)}}{t(1-\alpha^{r-1})q}\sum_{j=0}^{t+r-2}(j+1)(\alpha/p)^{t+r-1-j} - 1 < 0. \end{array}$$

Then $m(n,k,r,t) = \binom{n-t}{k-t}$ holds for $p = \frac{k}{n}$ and $n > n_0(r,t,p)$. Moreover $\mathscr{F}_0(n,k,r,t)$ is the only optimal configuration (up to isomorphism).

We prove Proposition 14 in section 3.1 and we will show that we can replace (C1) by weaker conditions in section 3.2 (see Proposition 15). Then Theorem 5 will follow from Proposition 15 easily.

3.1. **Proof of Proposition 14.** Let $p \in \mathbb{Q}$ with $0 be given. Let <math>\alpha = \alpha_p \in (p, 1)$ be the root of the equation $qx^r - x + p = 0$.

Let $\mathscr{H} \subset {\binom{[n]}{k}}$ be a shifted *r*-wise *t*-intersecting family and suppose that $p = \frac{k}{n}$. Then by Fact 2 walk(*H*) hits the line L: y = (r-1)x + t for all $H \in \mathscr{H}$. Thus by Proposition 11 (setting u = v = 0, s = t) we have $|\mathscr{H}| \le \alpha^t {\binom{n}{k}}$. Our goal is to prove that $|\mathscr{H}| < {\binom{n-t}{k-t}} \approx p^t {\binom{n}{k}}$ unless $\mathscr{H} \cong \mathscr{F}_0(n,k,r,t)$.

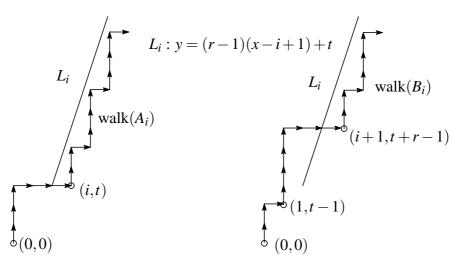
For $0 \le i \le \lfloor \frac{k-t}{r-1} \rfloor$ let us define

$$\mathscr{G}_i = \{ G \in \binom{[n]}{k} : |G \cap [t + r\ell]| \ge t + (r-1)\ell \text{ first holds at } \ell = i \}$$

In other words, $G \in \mathcal{G}_i$ iff walk(*G*) reaches the line *L* at (i, (r-1)i+t) for the first time. Set $\mathcal{H}_i = \mathcal{H} \cap \mathcal{G}_i$.

Next we will define $A_i \in \mathscr{G}_0$ and $B_i \in \mathscr{G}_1$. As in the following picture, starting from the origin, walk (A_i) passes (0,t) and (i,t), and then from (i,t) walk (A_i) is the maximal walk (in the shifting poset) that does not touch the line $L_i : y = (r-1)(x-i) + (t+r-1)$,

while walk(B_i) passes (0, t-1), (1, t-1), (1, t+r-1), and (i+1, t+r-1), then from (i+1, t+r-1) walk(B_i) is the maximal walk that does not touch the line L_i .



Formal definitions are as follows. For an infinite set $A = \{a_1, a_2, \ldots\} \subset \mathbb{N}$ with $a_1 < a_2 < \cdots$, let us define First_k(A) = $\{a_1, a_2, \ldots, a_k\}$. Set

$$\begin{split} T(i) &= \{i, i+r, i+2r, \ldots\} = \{i+rj : j \ge 0\}, \\ A_i^* &= [t] \cup (\bigcup \{T(t+i+s) : 1 \le s \le r, s \ne r-1\}) \\ &= ([t] \cup [t+i+1,\infty]) - \bigcup_{j=0}^{\infty} \{t+i+r-1+rj\}, \\ B_i^* &= [t-1] \cup [t+1,t+r] \cup (\bigcup \{T(t+i+s+r) : 1 \le s \le r, s \ne r-1\}) \\ &= ([t-1] \cup [t+1,t+r] \cup [t+i+r+1,\infty)) - \bigcup_{j=1}^{\infty} \{t+i+r-1+rj\} \end{split}$$

and define $A_i = \text{First}_k(A_i^*)$, $B_i = \text{First}_k(B_i^*)$. We will use only small *i* so that $A_i, B_i \in \binom{[n]}{k}$, and then we have $A_i \in \mathscr{G}_0$ and $B_i \in \mathscr{G}_1$. Note that $A_{i+1} \succ A_i$ and $B_{i+1} \succ B_i$.

We consider three cases according to the structure of \mathcal{H} . If \mathcal{H} is similar to $\mathcal{F}_0(n,k,r,t)$ then we compare \mathcal{H} with $\mathcal{F}_0(n,k,r,t)$ and this is Case 2. In Case 3 we compare \mathcal{H} with $\mathcal{F}_1(n,k,r,t)$. If \mathcal{H} is neither similar to \mathcal{F}_0 nor \mathcal{F}_1 then it is less likely that \mathcal{H} has large size, but in this case we do not have an appropriate comparison object, which makes it difficult to bound the size of \mathcal{H} . We deal with this situation in Case 1, and we will refine the estimation for this case in the next subsection again.

Case 1. $A_1 \notin \mathcal{H}$ and $B_1 \notin \mathcal{H}$. Suppose that $H \in \mathcal{H}_0$. Then after passing the point (0,t), walk(H) goes to (0,t+1) or (1,t). So we can divide $\mathcal{H}_0 = \mathcal{H}_0^{(0,t+1)} \cup \mathcal{H}_0^{(1,t)}$ according to the next point to (0,t) in the walk. For $\mathscr{H}_0^{(0,t+1)}$ we use a trivial bound

$$|\mathscr{H}_0^{(0,t+1)}| \le \binom{n-(t+1)}{k-(t+1)} \approx p^{t+1}\binom{n}{k}.$$
(1)

If $H \in \mathscr{H}_0^{(1,t)}$ then walk(*H*) must touch the line L : y = (r-1)x + t after passing (1,t). Otherwise we get $H \succ A_1$, which means $H \notin \mathscr{H}$ by Fact 1, a contradiction. Here we used the fact that A_1 is the minimal set (in the shifting order poset) whose walk does not touch the line *L* after passing (1,t). Thus by Proposition 11 (setting u = 1, v = t, s = r - 1) we have

$$|\mathscr{H}_{0}^{(1,t)}| \leq (1+\varepsilon)\alpha^{r-1}\binom{n-(t+1)}{k-t} \approx \alpha^{r-1}p^{t}q\binom{n}{k}.$$
(2)

Next suppose that $H \in \mathscr{H}_1$. Then after passing (1, t + r - 1), walk(H) goes to (1, t + r) or (2, t + r - 1). So we can divide $\mathscr{H}_1 = \mathscr{H}_1^{(1,t+r)} \cup \mathscr{H}_1^{(2,t+r-1)}$. Noting that there are t ways of walking from (0,0) to (1, t + r) which avoid passing (0, t), we have

$$|\mathscr{H}_1^{(1,t+r)}| \le t \binom{n - (t+r+1)}{k - (t+r)} \approx t p^{t+r} q \binom{n}{k}.$$
(3)

If $H \in \mathscr{H}_1^{(2,t+r-1)}$, then walk(*H*) must touch *L* after passing (2,t+r-1). Otherwise we get $H \succ B_1$, which means $H \notin \mathscr{H}$, a contradiction. Thus by Proposition 11 (setting u = 2, v = t + r - 1, s = r - 1) we have

$$|\mathscr{H}_{1}^{(2,t+r-1)}| \leq (1+\varepsilon)t\alpha^{r-1}\binom{n-(t+r+1)}{k-(t+r-1)} \approx t\alpha^{r-1}p^{t+r-1}q^{2}\binom{n}{k}.$$
 (4)

Finally we count the number of *H* in $\bigcup_{i\geq 2} \mathscr{H}_i \subset \bigcup_{i\geq 2} \mathscr{G}_i$. By Proposition 11 (setting u = v = 0, s = r) we have $|\bigcup_{i\geq 0} \mathscr{G}_i| \leq \alpha^t {n \choose k}$ and so

$$\begin{aligned} |\bigcup_{i\geq 2} \mathscr{H}_{i}| &\leq |\bigcup_{i\geq 0} \mathscr{G}_{i}| - |\mathscr{G}_{0}| - |\mathscr{G}_{1}| \\ &\leq \alpha^{t} \binom{n}{k} - \binom{n-t}{k-t} - t\binom{n-(t+r)}{k-(t+r-1)} \\ &\approx (\alpha^{t} - p^{t} - tp^{t+r-1}q)\binom{n}{k}. \end{aligned}$$
(5)

Therefore by (1), (2), (3), (4) and (5) we have

$$\frac{|\mathscr{H}|}{\binom{n}{k}} \le (1+o(1))(p^{t+1}+\alpha^{r-1}p^tq+tp^{t+r}q+t\alpha^{r-1}p^{t+r-1}q^2+\alpha^t-p^t-tp^{t+r-1}q)$$

as $n \to \infty$. Consequently $|\mathscr{H}| < \binom{n-t}{k-t} \approx p^t \binom{n}{k}$ follows from

$$p^{t+1} + \alpha^{r-1}p^{t}q + tp^{t+r}q + t\alpha^{r-1}p^{t+r-1}q^{2} + \alpha^{t} - p^{t} - tp^{t+r-1}q < p^{t},$$

which is equivalent to (C1).

Case 2. $A_1 \in \mathscr{H}$.

If $[t] \subset H$ holds for all $H \in \mathscr{H}$ then it follows that $|\mathscr{H}| \leq {n-t \choose k-t}$ and equality holds iff $\mathscr{H} \cong \mathscr{F}_0(n,k,r,t)$. Thus we may assume that $[t] \not\subset H$ holds for some $H \in \mathscr{H}$ and in particular we may assume that $D' = [k+1] - \{t\} \in \mathscr{H}$ because \mathscr{H} is shifted.

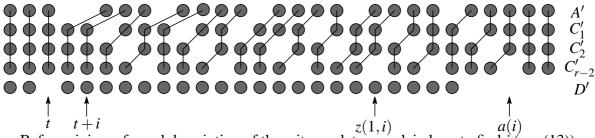
We shall show that $A_i \notin \mathscr{H}$ holds for some *i*. Our plan is to choose a "witness" $\{A', C'_1, \ldots, C'_{r-2}\}$ for being $A_i \notin \mathscr{H}$ so that

$$A_i \succ A' \succ C'_1 \succ C'_2 \succ \dots \succ C'_{r-2}, \tag{6}$$

and

$$A' \cap C'_1 \cap C'_2 \cap \dots \cap C'_{r-2} \cap D' = [t-1].$$
(7)

Suppose that we have chosen the witness. If $A_i \in \mathscr{H}$ then (6) and Fact 1 imply $A', C'_1, \ldots, C'_{r-2} \in \mathscr{H}$, and thus (7) contradicts that \mathscr{H} is *r*-wise *t*-intersecting. The following picture shows an example of a witness for the case r = 5, t = 3, i = 2 and k = 23. Lines connecting the discs show that $A' \succ C'_1 \succ C'_2 \succ C'_3$.



Before giving a formal description of the witness, let us explain how to find i (see (13)) by considering a bit more rough situation. Here we consider infinite sets for simplicity. Let

$$A'' = [t] \cup [t+i+1,\infty) - \{t+i+rj+r-1 : j \ge 0\}.$$

We try to find C''_1, \ldots, C''_{r-2} so that

$$A'' \succ C_1'' \succ C_2'' \succ \dots \succ C_{r-2}'', \tag{8}$$

$$A'' \cap C_1'' \cap C_2'' \cap \dots \cap C_{r-2}'' = [t].$$
(9)

To do so, we maintain

$$|A'' \cap \{j\}| + |C_1'' \cap \{j\}| + \dots + |C_{r-2}'' \cap \{j\}| = r - 2$$
(10)

for all j > t + i by using a cyclic pattern. More formally, set z(u,i) = t + i + u(r-2)r, and for $1 \le \ell \le r-2$ set $C''_{\ell} = [1,\infty) - Z_{\ell}(i)$, where

$$Z_1(i) = \bigcup_{u \ge 0} (\{z(u,i) + 1, z(u,i) + r\} \cup \{z(u,i) + (r-1)v : 2 \le v \le r-2\}),$$

and $Z_{\ell}(i) = \{t + i + \ell\} \cup (r + Z_{\ell-1}(i))$ for $2 \le \ell \le r-2$. Here we denote the set $\{r + z : z \in Z\}$ by r + Z. In $[t + i + 1, \infty)$, the sets $A'', C''_1, \ldots, C''_{r-2}$ are periodic of period r(r-2). Due to (10), we have (9). But (8) is not satisfied. So we will find an integer *a* such that

$$\operatorname{First}_{a}(A'') \succ \operatorname{First}_{a}(C''_{1}) \succ \operatorname{First}_{a}(C''_{2}) \succ \cdots \succ \operatorname{First}_{a}(C''_{r-2}), \tag{11}$$

It is necessary that

$$|A'' \cap [a]| = |C''_{\ell} \cap [a]| \tag{12}$$

holds for all $1 \le \ell \le r-2$. We need to adjust the excess $|C''_{\ell} \cap [t+i]| - |A'' \cap [t+i]| = i$. We note that

$$\begin{array}{l} A'' \cap [t+i+1,t+i+r(r-2)] = (r-1)(r-2), \\ C''_{\ell} \cap [t+i+1,t+i+r(r-2)] = (r-1)(r-2)-1, \end{array}$$

and

$$A'' \cap [t+i+1,t+i+(2r-3)] = 2r-4, C''_{\ell} \cap [t+i+1,t+i+(2r-3)] = 2r-5.$$

Thus we find that

$$a = t + i + (i - 1)r(r - 2) + (2r - 3) = t + (r - 1)((r - 1)i - r + 3)$$

satisfies (12). We leave the reader to check that *a* defined above satisfy (11), actually this is the maximum integer satisfying (11). We require $a \ge k+1$, which gives $i \ge i_0$ where

$$i_0 = \left\lceil \frac{k+1-t+(r-1)(r-3)}{(r-1)^2} \right\rceil.$$
(13)

Now we are ready to define the witness $A', C'_1, \ldots, C'_{r-2}$. Set

$$\begin{split} \hat{A} &= [t] \cup ([t+i_0+1,a(i_0)] - \{t+i_0+rj+r-1: j \ge 0\}) \cup [a(i_0)+1,\infty) \\ &= (A_{i_0} \cap [a(i_0)]) \cup [a(i_0)+1,\infty) \end{split}$$

where $a(i) = t - (r-1)(r-3) + (r-1)^2 i$ and define $A' = \text{First}_k(\tilde{A})$. Set

$$\tilde{C}_{\ell} = ([a(i_0)] - Z_{\ell}(i_0)) \cup [a(i_0) + 1, \infty)$$

and define $C'_{\ell} = \text{First}_k(\tilde{C}_{\ell})$ for $1 \leq \ell \leq r-2$. Then the witness satisfies (6) and (7). Thus we have $A' \notin \mathscr{H}$, and since $A_i \succ A'$ for $i \geq i_0$ we also have $A_i \notin \mathscr{H}$ if $i \geq i_0$.

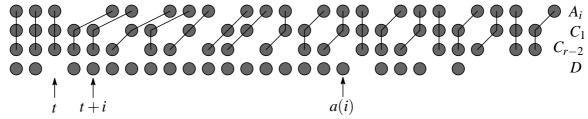
Now let $1 \le i < i_0$ be such that $A_i \in \mathscr{H}$ but $A_{i+1} \notin \mathscr{H}$. (Then $A_j \in \mathscr{H}$ iff $j \le i$.) For $1 \le \ell \le r-2$ set $R_\ell(i) = (A_i + \ell) - [a(i)]$ and

$$C_{\ell}^* = ([a(i)] - Z_{\ell}(i)) \cup R_{\ell}(i)$$

and let

$$D^* = ([a(i)] - \{t\}) \cup R_{r-1}(i).$$

Finally set $C_{\ell} = \text{First}_k(C_{\ell}^*)$, $D = \text{First}_k(D^*)$. The following picture shows an example of the case r = 4, t = 3, i = 2 and k = 21.

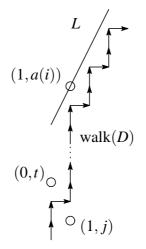


Then we have $C_{\ell} \in \mathscr{H}$ because $A_i \in \mathscr{H}$ and $A_i \succ C_1 \succ C_2 \succ \cdots \succ C_{r-2}$. Since \mathscr{H} is *r*-wise *t*-intersecting and $A_i \cap C_1 \cap C_2 \cap \cdots \cap C_{r-2} \cap D = [t-1]$ we can conclude that $D \notin \mathscr{H}$. Since $a(i) - (r-2) \equiv t+i-1 \pmod{r}$ we have $A_i \not\supseteq a(i) - (r-2)$, and thus $R_{r-1}(i) \cup [a(i)] = A_i + (r-1) \not\supseteq a(i) + 1$. This means that after passing (0, t-1) and (1, t-1), walk(*D*) is the maximal walk that does not touch the line L : y = (r-1)(x-1) + a(i).

Let $H \in \mathcal{H}$. First suppose that walk(H) does not pass (0,t), i.e., $H \cap [t] \neq [t]$. Then walk(H) must go through at least one of the points in

$$P = \{(1,0), (1,1), \dots, (1,t-1)\}.$$

Let (1, j) $(0 \le j \le t - 1)$ be the first point in *P* that walk(*H*) hits. In other words, we have $H \cap [j+1] = [j]$. From the point (1, j), walk(*H*) must touch the line *L*, otherwise we get $H \succ D$ and $D \in \mathcal{H}$, which is a contradiction.



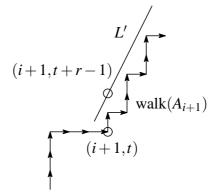
We estimate the number of walks from (1, j) to (n - k, k) which touch the line *L*. By Proposition 11 (setting u = 1, v = j, s = a(i) - j) the number is at most

$$(1+\varepsilon)\alpha^{a(i)-j}\binom{n-(j+1)}{k-j}$$

Therefore the number of $H \in \mathscr{H}$ such that $H \cap [t] \neq [t]$ is at most

$$(1+\varepsilon)\sum_{j=0}^{t-1} \alpha^{a(i)-j} \binom{n-(j+1)}{k-j}.$$
(14)

Next suppose that walk(*H*) passes (0,t), i.e., $H \cap [t] = [t]$. The number of corresponding walks is at most $\binom{n-t}{k-t}$, but we need to refine this estimation. Suppose that walk(*H*) passes (i+1,t). Then from this point walk(*H*) must touch the line L' : y = (r-1)(x-(i+1)) + t + r - 1, otherwise we get $H \succ A_{i+1}$ and $A_{i+1} \in \mathscr{H}$, which is a contradiction.



The trivial upper bound for the number of walks from (i+1,t) to (n-k,k) is $\binom{n-(t+i+1)}{k-t}$, but those walks in \mathscr{H} touch the line L' and so by Proposition 11 we will get an improved upper bound. To apply the proposition, it is convenient to neglect the first i+t+1 steps of the walks, in other words, we shift the origin to (i+1,t), and replace n and k by n' = n - (t+i+1) and k' = k - t. Then L' becomes y = (r-1)x + r - 1 in the new coordinates, and by setting u = v = 0 and s = r - 1, Proposition 11 gives an improved upper bound $\alpha_{p'}^{r-1} \binom{n'}{k'}$ where $p' = \frac{k'}{n'} \approx \frac{k}{n-i}$ and $\alpha_{p'} \in (p', 1)$ be the root of the equation $(1-p')x^r - x + p' = 0$. Therefore the number of $H \in \mathscr{H}$ such that $H \cap [t] = [t]$ is at most

$$\binom{n-t}{k-t} - (1 - \alpha_{p'}^{r-1}) \binom{n'}{k'}.$$
(15)

We shall show $|\mathscr{H}| < \binom{n-t}{k-t}$. By (14) and (15) it suffices to prove that

$$(1+\varepsilon)\sum_{j=0}^{t-1}\alpha^{a(i)-j}\binom{n-(j+1)}{k-j} - (1-\alpha_{p'}^{r-1})\binom{n'}{k'} < 0,$$

or equivalently,

$$(1+\varepsilon)\sum_{j=0}^{t-1}\alpha^{t-(r-1)(r-3)-j}\binom{n-(j+1)}{k-j} < \frac{1-\alpha_{p'}^{r-1}}{\alpha^{(r-1)^{2}i}}\binom{n'}{k'} =: f(i).$$
(16)

Claim 1. f(i) is an increasing function of *i*.

Proof. To show f(i-1) < f(i), let $p'' = \frac{k-t}{n-(t+(i-1)+1)} = \frac{k'}{n'+1}$. Then we need to show

$$\frac{1-\alpha_{p''}^{r-1}}{\alpha^{(r-1)^2(i-1)}}\binom{n'+1}{k'} < \frac{1-\alpha_{p'}^{r-1}}{\alpha^{(r-1)^2i}}\binom{n'}{k'},$$

which is equivalent to

$$\frac{1-\alpha_{p''}^{r-1}}{1-\alpha_{p'}^{r-1}} < \frac{1}{\alpha^{(r-1)^2}} \binom{n'}{k'} / \binom{n'+1}{k'} = \frac{1}{\alpha^{(r-1)^2}} \cdot \frac{n'+1-k'}{n'+1}.$$

Using (13) we have $\frac{n'+1-k}{n'+1} = \frac{n-k-i}{n-t-i} \ge \frac{n-k-i_0}{n-t-i_0} \approx (1-p-\frac{p}{(r-1)^2})/(1-\frac{p}{(r-1)^2}) > (p+p^r)^{(r-1)^2} > \alpha^{(r-1)^2}$ for p < 0.55 and $r \ge 3$. Thus we can choose $\delta > 0$ so small that

$$1+\delta < \frac{1}{\alpha^{(r-1)^2}} \cdot \frac{n'+1-k'}{n'+1}$$

holds for $n > n_0(\delta)$. On the other hand, since $\frac{1}{p''} = \frac{1}{p'} + \frac{1}{k'}$ we have $p'' \approx p'$ and hence

$$\frac{1 - \alpha_{p''}^{r-1}}{1 - \alpha_{p'}^{r-1}} < 1 + \delta$$

for $n > n_1(\delta)$.

Thus it suffices to show the inequality (16) for i = 1. Noting that $p' \approx p$, $\binom{n-(j+1)}{k-j} \approx p^j q\binom{n}{k}$ and $\binom{n-(t+2)}{k-t} \approx p^t q^2\binom{n}{k}$, we find that the target inequality follows from (C2) by choosing $\varepsilon = \varepsilon(r, t, p)$ sufficiently small.

Case 3.
$$B_1 \in \mathscr{H}$$

Let $D' = [k+2] - \{t+r-1, t+r\}$. If $D' \notin \mathscr{H}$ then the shiftedness of \mathscr{H} implies that $\mathscr{H} \subset \mathscr{F}_1(n,k,r,t)$ and we are done. (Recall that we have $|\mathscr{F}_1(n,k,r,t)| < |\mathscr{F}_0(n,k,r,t)| = \binom{n-t}{k-t}$ for $0 .) Thus we may assume that <math>D' \in \mathscr{H}$. Let $i_0 = \lceil \frac{k+r^2-5r+5-t}{(r-1)^2} \rceil$ and set $\widetilde{B} = ([t+r] - \{t\}) \cup ([t+r+i_0+1,b(i_0)] - \{t+r+i_0+jr-1:j \ge 1\}) \cup [b(i_0)+1,\infty) = (B_{i_0} \cap [b(i_0)]) \cup [b(i_0)+1,\infty)$

where $b(i) = t + r + i + (i - 1)r(r - 2) + (2r - 3) = t - r^2 + 5r - 3 + (r - 1)^2 i$. Set z(u, i) = t + r + i + u(r - 2)r and for $1 \le \ell \le r - 1$ define $Z_{\ell}(i)$ by

$$Z_1(i) = \bigcup_{u \ge 0} (\{z(u,i) + 1, z(u,i) + r\} \cup \{z(u,i) + (r-1)v : 2 \le v \le r-2\}),$$

and $Z_{\ell}(i) = \{t + r + i + \ell\} \cup (r + Z_{\ell-1}(i)) \text{ for } 2 \leq \ell \leq r-2$. Finally let $B' = \text{First}_k(\tilde{B})$ and for $1 \leq \ell \leq r-2$ let $C'_{\ell} = \text{First}_k(\tilde{C}_{\ell})$ where

$$\tilde{C}_{\ell} = ([b(i_0)] - Z_{\ell}(i_0)) \cup [b(i_0) + 1, \infty).$$

Note that $B' \succ C'_1 \succ C'_2 \succ \cdots \succ C'_{r-2}$ and $B' \cap C'_1 \cap C'_2 \cap \cdots \cap C'_{r-2} \cap D' = [t-1]$. Thus we have $B' \notin \mathcal{H}$, and since $B_i \succ B'$ for $i \ge i_0$ we also have $B_i \notin \mathcal{H}$ if $i \ge i_0$. The following picture shows an example of the case $r = 5, t = 3, i_0 = 2$ and k = 23 ($b(i_0) = 32$).

Now let $1 \le i < i_0$ be such that $B_i \in \mathscr{H}$ but $B_{i+1} \notin \mathscr{H}$. For $1 \le \ell \le r-2$ set $R_\ell(i) = (B_i + \ell) - [b(i)]$ and

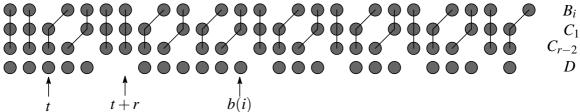
$$C_{\ell}^* = \left([b(i)] - Z_{\ell}(i) \right) \cup R_{\ell}(i),$$

and let

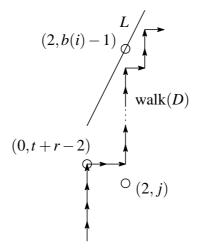
$$D^* = ([b(i)] - \{t + r - 1, t + r\}) \cup R_{r-1}(i).$$

Finally set $C_{\ell} = \text{First}_k(C^*_{\ell}), D = \text{First}_k(D^*).$

Then we have $C_{\ell} \in \mathscr{H}$ because $B_i \in \mathscr{H}$ and $B_i \succ C_1 \succ C_2 \succ \cdots \succ C_{r-2}$. Since \mathscr{H} is *r*-wise *t*-intersecting and $B_i \cap C_1 \cap C_2 \cap \cdots \cap C_{r-2} \cap D = [t-1]$ we can conclude that $D \notin \mathscr{H}$. The following picture shows an example of the case r = 4, t = 3, i = 1 and k = 21.



Let $H \in \mathcal{H}$. First suppose that walk(H) passes at least one of the points in $P = \{(2,0), (2,1), \dots, (2,t+r-2)\}$, i.e., $|H \cap [t+r]| \le t+r-2$. Let (2,j) $(0 \le j \le t+r-2)$ be the first point in P that walk(H) hits. From this point, walk(H) must touch the line L: y = (r-1)(x-2) + b(i) - 1, otherwise we get $H \succ D$ and $D \in \mathcal{H}$, a contradiction.



Thus the number of corresponding walks is at most

$$(j+1)(1+\varepsilon)\alpha^{b(i)-1-j}\binom{n-(j+2)}{k-j},$$

where j + 1 is the number of walks from (0,0) to (2, j) which do not touch $\{(2, \ell) : 0 \le \ell < j\}$. Hence the number of $H \in \mathscr{H}$ such that $|H \cap [t+r]| \le t+r-2$ is at most

$$(1+\varepsilon)\sum_{j=0}^{t+r-2} (j+1)\alpha^{b(i)-1-j} \binom{n-(j+2)}{k-j}.$$
(17)

Next suppose that $|H \cap [t+r]| \ge t+r-1$. Then walk(*H*) passes (0,t+r) or (1,t+r-1). The number of walks which pass (0,t+r) is at most

$$\binom{n-(t+r)}{k-(t+r)}.$$
(18)

The number of walks which pass (1, t + r - 1) is clearly at most $(t + r) \binom{n - (t+r)}{k - (t+r-1)}$ and we will improve this estimation. Suppose that walk(*H*) passes (1, t - 1), (1, t + r - 1) and (i+2, t+r-1). Then from (i+2, t+r-1), this walk must touch the line L': y = (r - 1)(x - i) + t = (r - 1)(x - (i+2)) + t + 2r - 2, otherwise we get $H \succ B_{i+1}$ and $B_{i+1} \in \mathcal{H}$, a contradiction. Thus the number of walks in \mathcal{H} which pass (1, t+r-1) is at most

$$(t+r)\binom{n-(t+r)}{k-(t+r-1)} - t\left(1-\alpha_{p'}^{r-1}\right)\binom{n'}{k'},\tag{19}$$

where n' = n - (t + r + i + 1), k' = k - (t + r - 1) and $p' = \frac{k'}{n'} \approx \frac{k}{n-i}$.

$$(i+2,t+2r-2)$$

 $(1,t+r-1)$
 $(i+2,t+r-1)$
 $(i+2,t+r-1)$
 $(1,t-1)$

We shall show that the sum of (17), (18) and (19) is less than $|\mathscr{F}_1(n,k,r,t)| = (t+r)\binom{n-(t+r)}{k-(t+r-1)} + \binom{n-(t+r)}{k-(t+r)}$, which means $|\mathscr{H}| < |\mathscr{F}_1|$. Our target inequality is

$$(1+\varepsilon)\sum_{j=0}^{t+r-2}(j+1)\alpha^{t-(r-1)(r-4)-j}\binom{n-(j+2)}{k-j} < \frac{t(1-\alpha_{p'}^{r-1})}{\alpha^{(r-1)^2i}}\binom{n'}{k'}.$$

One can show similarly to Claim 1 that the RHS is an increasing function of *i*. Thus it suffices to show the inequality for i = 1, which follows from (C3).

3.2. Further improvement. In the previous subsection, we proved Proposition 14. Here we will refine the proof for Case 1 to show that we can replace (C1) by the following

weaker conditions $(C1a) \land (C1b) \land (C1c)$:

$$(C1a) \qquad p + \alpha^{r-1}q + tp^{r-1}q^2 \left(\frac{p}{q} + \alpha^{r-1} + \frac{\alpha'}{\alpha - p}((\alpha/p)^{r-1} - 1)\right) - 1 < 0,$$

(C1b)
$$(\alpha/p)^t - tp^{r-1}q^2(1 + p - \alpha^{r-1}) + \alpha^{r-1}q + p^2 - 2 < 0,$$

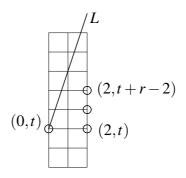
$$(C1c) \qquad p^2 + \alpha^{r-1}q + tp^rq + t(p\alpha)^{r-1}q^2 + \sum_{j=1}^{r-1} u_j \alpha^{rj-1}p^{r-j}q^{j+1} - 1 < 0.$$

where u_i will be defined later in Case 1c.

Assume that $A_1 \notin \mathscr{H}$ and $B_1 \notin \mathscr{H}$. We continue to use notation defined in Case 1, and let

$$\begin{split} \tilde{\mathscr{H}}_{0}^{(0,t+1)} &= \{H - [t+1] : H \in \mathscr{H}_{0}^{(0,t+1)}\} \subset \binom{[t+2,n]}{k-t-1}, \\ \tilde{\mathscr{H}}_{1}^{(1,t+r)} &= \{H \cap [t+r+2,n] : H \in \mathscr{H}_{1}^{(1,t+r)}\} \subset \binom{[t+r+2,n]}{k-t-r}. \end{split}$$

Case 1a. $\tilde{\mathcal{H}}_0^{(0,t+1)}$ is not (r-1)-wise 1-intersecting. In this case we have $G_1, \ldots, G_{r-1} \in \mathscr{H}$ such that $G_1 \cap \cdots \cap G_{r-1} = [t+1]$. Let $H \in \mathscr{H}$. Since \mathscr{H} is *r*-wise *t*-intersecting we have $|H \cap [t+1]| \ge t$. Thus walk(H) hits (0,t+1)or (1,t), and walk(H) never hits a point in $\{(2,0), (2,1), \dots, (2,t-1)\}$. In particular, if $H \in \bigcup_{i>2} \mathscr{H}_i$ then walk(H) reaches the line x = 2 for the first time only at one of $(2,t), \ldots, (\overline{2}, t+r-2)$. In this case walk(H) passes (1,t) and there are t ways of walking from (0,0) to (1,t) which avoid (0,t). Then after passing (2,j) $(t \le j \le t + r - 2)$ walk(H)must touch the line L: y = (r-1)x + t.



Therefore we have

$$\begin{aligned} |\bigcup_{i\geq 2} \mathscr{H}_{i}| &\leq (1+\varepsilon) \sum_{j=t}^{t+r-2} t \alpha^{t+2r-2-j} \binom{n-(j+2)}{k-j} \\ &\approx t \alpha^{r} p^{t+r-2} q^{2} \binom{n}{k} \sum_{i=0}^{r-2} (\alpha/p)^{i} = t \alpha^{r} p^{t+r-2} q^{2} \frac{1-(\alpha/p)^{r-1}}{1-(\alpha/p)} \binom{n}{k}. \end{aligned}$$
(20)

By (1), (2), (3), (4) and (20) it suffices to show that

$$p^{t+1} + \alpha^{r-1}p^t q + tp^{t+r}q + t\alpha^{r-1}p^{t+r-1}q^2 + t\alpha^r p^{t+r-2}q^2 \frac{1 - (\alpha/p)^{r-1}}{1 - (\alpha/p)} < p^t,$$

which is equivalent to (C1a).

Case 1b. Both $\tilde{\mathscr{H}}_0^{(0,t+1)}$ and $\tilde{\mathscr{H}}_1^{(1,t+r)}$ are (r-1)-wise 1-intersecting. In this case we use Theorem 1 to bound the sizes of $\mathscr{H}_0^{(0,t+1)}$ and $\mathscr{H}_1^{(1,t+r)}$. Then we have

$$|\mathscr{H}_{0}^{(0,t+1)}| = |\mathscr{\tilde{H}}_{0}^{(0,t+1)}| \le \binom{n-(t+1)-1}{k-(t+1)-1} \approx p^{t+2} \binom{n}{k},$$
(21)

$$|\mathscr{H}_{1}^{(1,t+r)}| = t|\mathscr{\tilde{H}}_{1}^{(1,t+r)}| \le t \binom{n-(t+r+1)-1}{k-(t+r)-1} \approx t p^{t+r+1} q \binom{n}{k}.$$
 (22)

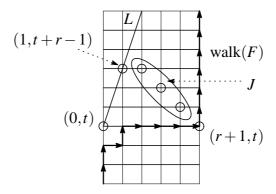
Therefore by (21), (2), (22), (4) and (5) it suffices to show that

$$p^{t+2} + \alpha^{r-1}p^t q + tp^{t+r+1}q + t\alpha^{r-1}p^{t+r-1}q^2 + \alpha^t - p^t - tp^{t+r-1}q < p^t,$$

which is equivalent to (C1b).

Case 1c. $\tilde{\mathscr{H}}_0^{(0,t+1)}$ is (r-1)-wise 1-intersecting and $\tilde{\mathscr{H}}_1^{(1,t+r)}$ is not (r-1)-wise 1-intersecting.

We use (21) to bound $\mathscr{H}_0^{(0,t+1)}$ again. Now we will bound the size of $\bigcup_{i\geq 2}\mathscr{H}_i$. Since $\mathscr{H}_1^{(1,t+r)}$ is not (r-1)-wise 1-intersecting and \mathscr{H} is shifted, we have $G_1, \ldots, G_{r-1} \in \mathscr{H}$ such that $G_1 \cap \cdots \cap G_{r-1} = [t+r+1] - \{t\}$. If $F = ([k+r+1] - [t,t+r+1]) \cup \{t+1\} \in \mathscr{H}$ then we also have $F' = [k+r+1] - [t+1,t+r+1] \in \mathscr{H}$ by shifting. But this is impossible because $G_1 \cap \cdots \cap G_{r-1} \cap F' = [t-1]$. Thus we must have $F \notin \mathscr{H}$. Let $H \in \bigcup_{i\geq 2} \mathscr{H}_i$. Then walk(H) never hits any point in $\{(r+1,0),(r+1,1),\ldots,(r+1,t)\}$, otherwise we get $H \succ F \in \mathscr{H}$, a contradiction. In other words, walk(H) passes one of the points in $J = \{(j+1,t+r-j): 1\leq j\leq r-1\}$.



For $1 \le j \le r-1$ let u_j be the number of walks from (0,0) to (j+1,t+r-j) which do not touch the line L: y = (r-1)x+t. We have $u_j = \binom{t+r+1}{j+1} - \binom{r+1}{j+1} - \delta_j$ where $\delta_1 = t$

and $\delta_j = 0$ for $j \ge 2$. Then after passing (j+1, t+r-j), walk(H) must touch the line *L*. Therefore we have

$$|\bigcup_{i\geq 2} \mathscr{H}_{i}| \leq (1+\varepsilon) \sum_{j=1}^{r-1} u_{j} \alpha^{rj-1} \binom{n-(t+r+1)}{k-(t+r-j)} \approx \sum_{j=1}^{r-1} u_{j} \alpha^{rj-1} p^{t+r-j} q^{j+1} \binom{n}{k}.$$
(23)

Consequently by (21), (2), (3), (4) and (23) it suffices to show that

$$p^{t+2} + \alpha^{r-1}p^tq + tp^{t+r}q + t\alpha^{r-1}p^{t+r-1}q^2 + \sum_{j=1}^{r-1} u_j \alpha^{rj-1}p^{t+r-j}q^{j+1} < p^t,$$

which is equivalent to (C1c).

Noting that the LHSs of (C1a), (C1b), (C1c), (C2) and (C3) are continuous functions of p, we have proved the following.

Proposition 15. Let $r, t \in \mathbb{N}$ and $p \in \mathbb{Q}$ be given. Suppose that $r \ge 3$ and $p \in (0, 0.55)$. Let $\alpha \in (0, 1)$ be the root of the equation $(1 - p)x^r - x + p = 0$. Suppose that r, t, p satisfy (C1a), (C1b), (C1c), (C2) and (C3). Then there exists $\varepsilon = \varepsilon(r, t, p) > 0$ such that $m(n, k, r, t) = \binom{n-t}{k-t}$ holds for $|\frac{k}{n} - p| < \varepsilon$ and $n > n_0(r, t, p, \varepsilon)$. Moreover $\mathscr{F}_0(n, k, r, t)$ is the only optimal configuration (up to isomorphism).

Proof of Theorem 5. Setting r = 4, p = 1/2 and t = 1, ..., 7, we can verify (C1*a*), (C1*b*), (C1*c*), (C2) and (C3). Then the result follows from the above proposition.

Remark 1. In the proof of Proposition 15 and Theorem 5, we used $p \le 0.55$ only to show

$$(1-p-\frac{p}{(r-1)^2})/(1-\frac{p}{(r-1)^2}) > \alpha^{(r-1)^2}$$

for r = 3 (see Claim 1). If $r \ge 4$ then we can replace the condition $p \le 0.55$ by the above inequality.

Let EKR(r) be the maximal t such that $m(n,k,r,t) = \binom{n-t}{k-t}$ holds for n = 2k and $n > n_0$. Then EKR(4) ≥ 7 follows from Theorem 5. Let t_r be the maximal t such that all (*Ci*)'s hold for p = 1/2 in the sense of Proposition 15, e.g., $t_4 = 7$. Clearly we have EKR(r) $\geq t_r$. On the other hand, comparing the size of $\mathscr{F}_0(n,k,r,t)$ and $\mathscr{F}_1(n,k,r,t)$, we have EKR(r) $\leq T_r = 2^r - r - 1$. If Conjecture 1 is true then it follows that EKR(r) = T_r . We can compute t_r and T_r for $4 \leq r \leq 10$ as follows.

r	4	5	6	7	8	9	10
t_r	7	18	41	89	184	377	762
T_r	11	26	57	120	247	502	762 1013

For example, $t_{10} = 762$ implies that there exists $\varepsilon > 0$ such that $m(n,k,10,t) \le {\binom{n-t}{k-t}}$ holds for $t \le 762$, $|\frac{k}{n} - \frac{1}{2}| < \varepsilon$ and $n > n_0(\varepsilon)$.

Let us note that our proof of Proposition 15 also includes the proof of the following slightly stronger result.

Proposition 16. Let $\mathscr{F} \subset {\binom{[n]}{k}}$ be an *r*-wise *t*-intersecting family. Suppose that \mathscr{F} is non-trivial, that is, $|\bigcap_{F \in \mathscr{F}} F| < t$. Then under the same assumptions as in Proposition 15, there exist $\gamma = \gamma(r,t,p) > 0$ and $\varepsilon = \varepsilon(\gamma) > 0$ such that $|\mathscr{F}| < (1-\gamma) {\binom{n-t}{k-t}}$ holds for $|\frac{k}{n} - p| < \varepsilon$ and $n > n_0(\varepsilon)$.

Let us summarize our result for the case p = 1/2 and $4 \le r \le 10$ as follows.

Theorem 17. Let $4 \le r \le 10$ and let $1 \le t \le t_r$. Then there exists $\varepsilon > 0$ and $n_0 = n_0(\varepsilon)$ such that $m(n,k,r,t) = \binom{n-t}{k-t}$ holds for $|\frac{k}{n} - \frac{1}{2}| < \varepsilon$ and $n > n_0$. Moreover if \mathscr{F} is non-trivial then there exist $\gamma > 0$ and $\varepsilon = \varepsilon(\gamma) > 0$ such that $|\mathscr{F}| < (1-\gamma)\binom{n-t}{k-t}$ holds for $|\frac{k}{n} - \frac{1}{2}| < \varepsilon$ and $n > n_1(\varepsilon)$.

4. INTERSECTING AND UNION FAMILIES

Proof of Theorem 8. Let $\mathscr{F} \subset {\binom{[2n]}{n}}$ be a 4-wise *t*-intersecting and 4-wise *t*-union family. Suppose that \mathscr{F} is not 3-wise (t+1)-union. Then there exist $A, B, C \in \mathscr{F}$ such that $|A \cup B \cup C| = 2n - t$, say, $A \cup B \cup C = [2n - t]$. Since \mathscr{F} is 4-wise *t*-union, we have $\mathscr{F} \subset {\binom{[2n-t]}{n}}$. On the other hand, \mathscr{F} is 4-wise *t*-intersecting. Then by Theorem 5 we have $|\mathscr{F}| \leq {\binom{2n-2t}{n-t}}$ and equality holds iff $\mathscr{F} \cong \{F \in {\binom{[2n-t]}{n}} : [t] \subset F\}$. This means that the theorem is true if \mathscr{F} is not 3-wise (t+1)-union. Considering the complement, the theorem is also true if \mathscr{F} is not 3-wise (t+1)-intersecting. Therefore from now on we assume that

$$\mathscr{F}$$
 is 3-wise $(t+1)$ -intersecting and 3-wise $(t+1)$ -union. (24)

We also assume that \mathscr{F} is shifted. Now suppose that

$$|\mathscr{F}| \ge \binom{2n-2t}{n-t} \tag{25}$$

and we shall prove that there is no such \mathcal{F} .

Recall that for $A \in {\binom{[2n]}{n}}$ we define walk(A) on \mathbb{Z}^2 in the following way. The walk is from (0,0) to (n,n) with 2n steps, and if $i \in A$ (resp. $i \notin A$) then the *i*-th step is one unit up (resp. one unit to the right). Let us define

$$\mathscr{A}_{i} = \{A \in {\binom{[2n]}{n}} : |A \cap [t+4\ell]| \ge t+3\ell \text{ first holds at } \ell = i\},$$
$$\mathscr{A}_{\overline{j}} = \{A \in {\binom{[2n]}{n}} : |A \cap [2n-4\ell-t+1,2n]| \le \ell \text{ first holds at } \ell = j\}.$$

(Here we say that a property $P(\ell)$ first holds at $\ell = i$ iff $P(\ell)$ does not hold for $0 \le \ell < i$ and P(i) holds.) If $A \in \mathscr{A}_i$ then, starting from the origin, walk(A) touches the line $L_1 : y = 3x + t$ at (i, 3i + t) for the first time. If $A \in \mathscr{A}_{\overline{i}}$ then walk(A) touches the line $L_2 : y = \frac{1}{3}(x - (n - i))$

(n-3j-t,n-j) and after passing this point this walk never touches the line again.

Let c_i be the number of walks from (0,0) to (i,3i+t) which touch the line L_1 only at (i,3i+t). Then it follows that $c_i = \frac{t}{4i+t} \binom{4i+t}{i}$ (see e.g. Fact 3 in [24]). Set $\mathscr{A}_{i\bar{j}} = \mathscr{A}_i \cap \mathscr{A}_{\bar{j}}$. From now on, *i* and *j* denote some fixed constants, and we consider the situation $n \to \infty$. Then we have

$$|\mathscr{A}_{i\bar{j}}| = c_i c_j \binom{2n - 2t - 4(i+j)}{n - t - 3i - j} \approx \frac{c_i c_j}{2^{4(i+j)}} \binom{2n - 2t}{n - t}.$$
(26)

By Fact 2 and Fact 3 every walk corresponding to a member of \mathscr{F} touches both L_1 and L_2 . Thus we have $\mathscr{F} \subset \bigcup_{i,j} \mathscr{A}_{i\bar{j}}$. Set $\mathscr{F}_{i\bar{j}} = \mathscr{A}_{i\bar{j}} \cap \mathscr{F}$ and

$$\mathscr{G}_{i\bar{j}} = \{F \cap [4i+t+1,2n-4j-t]: F \in \mathscr{F}_{i\bar{j}}\}$$

Clearly we have $|\mathscr{F}_{i\bar{j}}| \leq c_i c_j |\mathscr{G}_{i\bar{j}}|$. So we can bound $|\mathscr{F}_{i\bar{j}}|$ by bounding $|\mathscr{G}_{i\bar{j}}|$.

Claim 2. $\mathscr{G}_{0\overline{j}} \subset {\binom{[t+1,2n-t-4j]}{n-t-j}}$ is 3-wise 1-intersecting.

Proof. Suppose on the contrary that there exist $A, B, C \in \mathscr{G}_{0\bar{j}}$ such that $A \cap B \cap C = \emptyset$. By the shiftedness we may assume that $A \cup T, B \cup T, C \cup T \in \mathscr{F}$ where $T = [t] \cup \{2n - t - 4i + 1 : 0 \le i < j\}$. Then using shiftedness again we may also assume that the following three subsets A', B', C' belong to \mathscr{F} :

$$\begin{array}{lll} A' &=& [t] \cup A \cup \{2n-t-4i+1: 0 \leq i < j\}, \\ B' &=& [t] \cup B \cup \{2n-t-4i: 0 \leq i < j\}, \\ C' &=& [t] \cup C \cup \{2n-t-4i-1: 0 \leq i < j\}. \end{array}$$

Then we have $A' \cap B' \cap C' = [t]$, which contradicts (24).

By Claim 2 and Theorem 1 we can bound $|\mathcal{G}_{0\bar{i}}|$, and we have

$$|\mathscr{F}_{0\bar{j}}| \le c_0 c_j |\mathscr{G}_{0\bar{j}}| \le c_0 c_j \binom{2n-2t-4j-1}{n-t-j-1} \approx \frac{1}{2} |\mathscr{A}_{0\bar{j}}|.$$
(27)

By considering the complement we also have

$$|\mathscr{F}_{i\bar{0}}| \le \frac{1+o(1)}{2} |\mathscr{A}_{i\bar{0}}|.$$

$$(28)$$

Claim 3. $\mathscr{G}_{1\overline{j}} \subset {\binom{[t+5,2n-t-4j]}{n-t-j-3}}$ is 3-wise 1-intersecting.

Proof. Suppose on the contrary that there exist $A, B, C \in \mathscr{G}_{1\overline{j}}$ such that $A \cap B \cap C = \emptyset$. By the shiftedness we may assume that the following three subsets A', B', C' belong to \mathscr{F} :

$$\begin{array}{rcl} A' &=& ([t+4]-\{t\}) \cup A \cup \{2n-t-4i+1: 0 \leq i < j\}, \\ B' &=& ([t+4]-\{t+1\}) \cup B \cup \{2n-t-4i: 0 \leq i < j\}, \\ C' &=& ([t+4]-\{t+2\}) \cup C \cup \{2n-t-4i-1: 0 \leq i < j\}. \end{array}$$

If there exists $F \in \mathscr{F}$ such that $|F \cap [t+4]| \le t+2$ then using the shiftedness we may assume that $F \cap [t+4] = [t+2]$. But this is impossible because $A' \cap B' \cap C' \cap F = [t-1]$, contradicting the 4-wise *t*-intersecting property. So we may assume that $|F \cap [t+4]| \ge t+3$ holds for all $F \in \mathscr{F}$. In other words, walk(F) passes (0, t+4) or (1, t+3). Since walk(F) touches the line L_2 , Proposition 11 implies

$$|\mathscr{F}| \leq \alpha^t \binom{2n-t-4}{n} + (1+\varepsilon)(t+4)\alpha^t \binom{2n-t-4}{n-1} \approx (t+5)\alpha^t 2^{t-4} \binom{2n-2t}{n-t},$$

where $\alpha \approx 0.54$ is the root of the equation $X^4 - 2X + 1 = 0$. The RHS is less than $\binom{2n-2t}{n-t}$ for $t \le 5$ and this contradicts (25).

By Claim 3 and Theorem 1 we have

$$|\mathscr{F}_{1\bar{j}}| \leq \frac{1+o(1)}{2}|\mathscr{A}_{1\bar{j}}| \quad \text{and} \quad |\mathscr{F}_{i\bar{1}}| \leq \frac{1+o(1)}{2}|\mathscr{A}_{i\bar{1}}|.$$

$$(29)$$

Let *I* be the set of 18 pairs of indices:

$$I = \{(i, j) \in \mathbb{N}^2 : i \ge 0, j \ge 0, i + j \le 5, \min\{i, j\} \le 1\}$$

By (27), (28) and (29) we have

$$\sum_{(i,j)\in I} |\mathscr{F}_{i\bar{j}}| \le \frac{1+o(1)}{2} \sum_{(i,j)\in I} |\mathscr{A}_{i\bar{j}}|.$$

$$(30)$$

By Proposition 12 (setting q = r = 4, s = t and u = v = 0) we have

$$\sum_{x,y} |\mathscr{A}_{x,\bar{y}}| \le (1+o(1))\alpha^{2t} \binom{2n}{n}.$$
(31)

Finally, by (30), (31) and (26), we have

$$\begin{split} |\mathscr{F}| &= \sum_{(i,j)\in I} |\mathscr{F}_{i\bar{j}}| + \sum_{(x,y)\notin I} |\mathscr{F}_{x,\bar{y}}| \leq \sum_{(i,j)\in I} |\mathscr{F}_{i\bar{j}}| + \sum_{(x,y)\notin I} |\mathscr{A}_{x,\bar{y}}| \\ &\leq \frac{1+o(1)}{2} \sum_{(i,j)\in I} |\mathscr{A}_{i\bar{j}}| + \left(\sum_{x,y} |\mathscr{A}_{x,\bar{y}}| - \sum_{(i,j)\in I} |\mathscr{A}_{i\bar{j}}|\right) \\ &\leq (1+o(1)) \left(\alpha^{2t} \binom{2n}{n} - \frac{1}{2} \sum_{(i,j)\in I} |\mathscr{A}_{i\bar{j}}|\right) \\ &\approx \left((2\alpha)^{2t} - \frac{1}{2} \sum_{(i,j)\in I} \frac{c_i c_j}{2^{4(i+j)}}\right) \binom{2n-2t}{n-t}. \end{split}$$

Noting that $c_i = \frac{t}{4i+t} \binom{4i+t}{i}$ one can verify that the RHS is less than $0.998 \binom{2n-2t}{n-t}$ for $1 \le t \le 4$, which contradicts (25). This completes the proof of Theorem 8.

5. INTERSECTING SPERNER FAMILIES

Recall that an *r*-wise *t*-intersecting family $\mathscr{F} \subset 2^{[n]}$ is called non-trivial if $|\bigcap_{F \in \mathscr{F}}| < t$. Let $m^*(n,k,r,t)$ be the maximal size of *k*-uniform non-trivial *t*-intersecting families on *n* vertices.

Theorem 18. Let $r \ge 4$ and t be fixed positive integers. Suppose that there exists $\gamma = \gamma(r,t) > 0$ and $\varepsilon = \varepsilon(\gamma) > 0$ such that $m^*(n,k,r,t) \le (1-\gamma) \binom{n-t}{k-t}$ holds for $|\frac{k}{n} - \frac{1}{2}| < \varepsilon$ and $n > n_0(\varepsilon)$. Let $\mathscr{F} \subset 2^{[n]}$ be an r-wise t-intersecting Sperner family. Then we have $|\mathscr{F}| \le \binom{n-t}{\lceil \frac{n-t}{2} \rceil}$ for $n > n_0(\varepsilon)$. Equality holds iff $\mathscr{F} \cong \{F \in \binom{[n]}{k} : [t] \subset F\}$ where $k = t + \lceil \frac{n-t}{2} \rceil$ or $k = t + \lfloor \frac{n-t}{2} \rfloor$.

Proof of Theorem 18. Our proof is based on the idea from [4]. For a family $\mathscr{F} \subset 2^{[n]}$, set $\mathscr{F}_k = \mathscr{F} \cap {[n] \choose k}$. Let $\gamma > 0$ and $\varepsilon > 0$ be as in the theorem and set $K = \{k \in \mathbb{N} : (\frac{1}{2} - \varepsilon)n < k < (\frac{1}{2} + \varepsilon)n\}$. First we prove the following inequality.

Claim 4. Let $\mathscr{F} \subset 2^{[n]}$ be a non-trivial *r*-wise *t*-intersecting Sperner family with $n > n_1(\varepsilon, \gamma)$. Then we have $\sum_{k \in K} |\mathscr{F}_k| / {n-t \choose k-t} < 1 - \gamma$.

Proof. First suppose that $\bigcup_{k \in K} \mathscr{F}_k$ is trivial and $[t] \subset F$ holds for all $F \in \bigcup_{k \in K} \mathscr{F}_k$. Since \mathscr{F} is non-trivial, we can find $F' \in \mathscr{F}$ such that $|[t] \cap F'| < t$. Thus, for each $k \in K$, $\mathscr{F}'_k := \{F - [t] : F \in \mathscr{F}_k\}$ is (r-1)-wise 1-intersecting, and we have

$$|\mathscr{F}_k| = |\mathscr{F}'_k| \le \binom{n-t-1}{k-t-1} < \frac{k}{n} \binom{n-t}{k-t} < (\frac{1}{2}+\varepsilon) \binom{n-t}{k-t},$$

which gives the desired inequality. Thus we may suppose that $\bigcup_{k \in K} \mathscr{F}_k$ is non-trivial. We prove $\sum_{k \in K} |\mathscr{F}_k| / {n-t \choose k-t} < 1 - \gamma$ for $n > n_1$ by induction on the number of nonzero $|\mathscr{F}_k|$'s.

If this number is one then the inequality follows from the assumption of Theorem 18. If it is not the case then let *i* be the smallest and *j* the second-smallest index in *K* for which $|\mathscr{F}_k| \neq 0$. Set $\mathscr{F}_i^c = \{[n] - F : F \in \mathscr{F}_i\} \subset {n \choose n-i}$. Since \mathscr{F}_i is *r*-wise *t*-intersecting, it follows from our assumption on $m^*(n,k,r,t)$ that $|\mathscr{F}_i| = |\mathscr{F}_i^c| \leq {n-t \choose n-i} = {n-t \choose n-i}$. Then by Proposition 13, we have

$$\frac{|\Delta_{n-j}(\mathscr{F}_i^c)|}{|\mathscr{F}_i^c|} \ge \frac{\binom{n-t}{n-j}}{\binom{n-t}{n-i}} = \frac{\binom{n-t}{j-t}}{\binom{n-t}{i-t}}.$$
(32)

Set $\mathscr{G}_j = \{G \in \binom{[n]}{j} : G \supset \exists F \in \mathscr{F}_i\}$. Due to (32) and the fact $\mathscr{G}_j = (\Delta_{n-j}(\mathscr{F}_i^c))^c$, we have $|\mathscr{G}_j| / \binom{n-t}{j-t} \ge |\mathscr{F}_i| / \binom{n-t}{i-t}$. Since \mathscr{F} is Sperner, $\mathscr{F}_j \cap \mathscr{G}_j = \emptyset$ and $\mathscr{H} = (\mathscr{F} - \mathscr{F}_i) \cup \mathscr{G}_j$ is an *r*-wise *t*-intersecting Sperner family. Moreover, the number of nonzero $|\mathscr{H}_k|$'s is one less than that of $|\mathscr{F}_k|$'s. Therefore, by the induction hypothesis and the fact that $\mathscr{F} \bigtriangleup \mathscr{H} = \mathscr{F}_i \cup \mathscr{G}_j$, we have

$$\sum_{k \in K} \frac{|\mathscr{F}_k|}{\binom{n-t}{k-t}} \leq \sum_{k \in K} \frac{|\mathscr{H}_k|}{\binom{n-t}{k-t}} \leq 1-\gamma,$$

which completes the proof of the claim.

We continue to prove Theorem 18. Let $\mathscr{F} \subset 2^{[n]}$ be an *r*-wise *t*-intersecting Sperner family. First suppose that \mathscr{F} fixes *t*-element set, say [t]. Then $\mathscr{G} = \{F \setminus [t] : F \in \mathscr{F}\} \subset$ $2^{[t+1,n]}$ is a Sperner family. Thus by the Sperner Theorem [20] we have

$$|\mathscr{F}| = |\mathscr{G}| \le \binom{n-t}{\lceil (n-t)/2 \rceil}.$$

Equality holds iff $\mathscr{G} \cong {\binom{[n-t]}{\lceil (n-t)/2 \rceil}}$ or ${\binom{[n-t]}{\lfloor (n-t)/2 \rfloor}}$. Next suppose that \mathscr{F} is non-trivial. By Claim 4, we have

$$1-\gamma > \sum_{k \in K} \frac{|\mathscr{F}_k|}{\binom{n-t}{k-t}} \ge \sum_{k \in K} \frac{|\mathscr{F}_k|}{\binom{n-t}{\lceil (n-t)/2\rceil}}.$$

On the other hand, by the Yamamoto (or LYM) inequality [26], we have

$$1 \ge \sum_{\ell \notin K} \frac{|\mathscr{F}_{\ell}|}{\binom{n}{\ell}} \ge \sum_{\ell \notin K} \frac{|\mathscr{F}_{\ell}|}{\binom{n}{(\frac{1}{2} + \varepsilon)n}}.$$

Therefore, we have

$$\mathscr{F}| \le (1-\gamma) \binom{n-t}{\lceil (n-t)/2 \rceil} + \binom{n}{(\frac{1}{2}+\varepsilon)n} < \binom{n-t}{\lceil (n-t)/2 \rceil}$$

for sufficiently large n.

Now set t_r for $4 \le r \le 10$ as follows.

By Theorem 18 and Theorem 17 we have the following result, which includes Theorem 10.

Theorem 19. Let $4 \le r \le 10$, $1 \le t \le t_r$ and let $\mathscr{F} \subset 2^{[n]}$ be an *r*-wise *t*-intersecting Sperner family with $n > n_0$. Then we have $|\mathscr{F}| \le {n-t \choose \lceil n-t \rceil}$. Equality holds iff $\mathscr{F} \cong \{F \in$ $\binom{[n]}{k}$: $[t] \subset F$ where $k = t + \lceil \frac{n-t}{2} \rceil$ or $k = t + \lfloor \frac{n-t}{2} \rfloor$.

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