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ON THE SIMPLEST INVERSE PROBLEM FOR SUMS OF SETS IN SEVERAL DIMENSIONS

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We describe the structure of d-dimensional sets having the smallest cardinality of the sum set. Let $K \subseteq \mathbb{R}^d$ be a finite d-dimensional set such that $|K+K| = (d+1)|K| - \frac{d(d+1)}{2}$. If |K| > d+4, then K consists of d parallel arithmetic progressions with the same common difference. We also establish the structure of K in the remaining cases d < |K| < d+5.

0. Notation

In what follows, K is a finite subset of \mathbb{R}^d —the d-dimensional Euclidean space, \mathbb{Z}^d is the integer point lattice in \mathbb{R}^d , \mathbb{N} will denote the nonnegative integers $0, 1, 2, \ldots$, and |X| is the *cardinality* of the set X.

Let A and B be two subsets of \mathbb{R}^d . As usual their sum is defined by

$$A + B = \{ x \in \mathbb{R}^d | x = a + b , a \in A , b \in B \}$$

and we put

$$2A = A + A$$
.

The affine dimension $\dim A$ of a set $A \subseteq \mathbb{R}^d$ is defined as the dimension of the smallest hyperplane containing A. We denote by

$$e_0 = (0, 0, ..., 0); e_1 = (1, 0, ..., 0); ...; e_d = (0, 0, ..., 1)$$

the (d+1) vertices of the standard d-simplex in \mathbb{R}^d . The convex hull of a set M is denoted by conv M. A vector will also be called a *point* and will be written in the form (x_1, \ldots, x_n) where the x_i , $1 \le i \le n$, are the coordinates of the vector.

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1. Introduction

In the general case, for every finite sets $A, B \subseteq \mathbb{R}^d$ with $|A|, |B| \ge 2$, nothing more than the obvious $|A+B| \ge |A| + |B| - 1$ can be stated, which holds with equality if and only if A and B are arithmetic progressions with the same difference.

In [1, lemma 1.14] G.A.Freiman proved the following important theorem:

(1)
$$|A+A| \ge (d+1)|A| - \frac{d(d+1)}{2},$$

for every d-dimensional set A. Recently I. Z. Ruzsa [3] proved the analogue of this result for the sum A+B of two finite sets. The case B=-A was previously studied in [2].

The inequality (1) is tight. It holds for a union of d parallel arithmetic progressions with the same common difference. Indeed, define $A_i = \{e_i + te_d | 0 \le t \le k_i - 1\}$ for $0 \le i \le d - 1$ and put $A = A_0 \cup A_1 \cup \cdots \cup A_{d-1}$. Then $|A_i| = k_i$, dim A = d, $|A| = k = \sum_{0 \le i \le d-1} k_i$. It is not difficult to show that

(2)
$$|A+A| = (d+1)|A| - \frac{d(d+1)}{2}.$$

Indeed, we will prove this equality by induction on d. Put $A_* = A \setminus A_{d-1}$, $\dim A_* = d-1$. Therefore, $|A+A| = |A_* + A_*| + |A_* + A_{d-1}| + |A_{d-1} + A_{d-1}| = |A_* + A_*| + |A_*| + |A_*$

The function |A+A| is an affine invariant of the set A; it follows that every d-dimensional set K which consists of d parallel arithmetic progressions with the same common difference also satisfies (2).

The inverse problem for A+A is to find extremal sets such that

$$|A + A| = (d+1)|A| - \frac{d(d+1)}{2},$$

 $\dim A > d.$

Note that if $\dim A = r > d$, then inequality (1) implies $|A + A| \ge (r+1)|A| - \frac{r(r+1)}{2} > (d+1)|A| - \frac{d(d+1)}{2}$. Therefore, we may assume without loss of generality that $\dim A = d$.

Not all extremal sets are disjoint unions of parallel arithmetic progressions with the same common difference. Here are some examples (see Figure 1).

For d=2, we take vertices of a two-dimensional simplex plus three mid-points of its three edges. Therefore

$$K_2 = \{e_0, e_1, e_2, 2e_1, e_1 + e_2, 2e_2\}, |K_2| = 6 \text{ and } |K_2 + K_2| = 15 = 3|K_2| - 3.$$

For d > 2, we increase the dimension of K_2 adding points one-by-one. More precisely, we embed K_2 into \mathbb{R}^d and put

$$K_d = K_2 \cup \{e_3, e_4, \dots, e_d\}.$$

Then the elements of $K_d + K_d$ are elements of $K_2 + K_2$, the points $e_i + e_j$, for $3 \le i, j \le d$ and those of $K_2 + e_i$. Hence

$$|K_d + K_d| = 15 + \frac{(d-1)(d-2)}{2} + 6(d-2) = (d+1)|K_d| - \frac{d(d+1)}{2}.$$

We shall prove that these examples are the only examples of extremal sets that are not unions of d parallel arithmetic progressions with the same common difference.

2. Main Result

Let $d \geq 2$. The following theorem describes the structure of d-dimensional sets having the smallest cardinality of the sum-set.

Theorem. Let $K \subseteq \mathbb{R}^d$ be a finite set such that

$$\dim K = d,$$

(4)
$$|K+K| = (d+1)|K| - \frac{d(d+1)}{2}.$$

Then the following cases are possible:

- (i) K lies on d parallel lines and consists of d parallel arithmetic progressions with the same common difference.
- (ii) $K = \{v_0, v_1, \dots, v_d\} \cup \{2v_1, v_1 + v_2, 2v_2\}$, where $v_i, 0 \le i \le d$, are the vertices of a d-dimensional simplex.

Let us mention that the result, for d=2, is a particular case of Theorem 1.17 in [1].

Remarks.

(a) If K satisfies (i), we will say that K has the standard structure. In this case there is a supporting (d-1)-dimensional hyperplane $\mathcal L$ for $\operatorname{conv}(K)$ such that

$$|K \cap \mathcal{L}| = d$$
, $\dim(K \cap \mathcal{L}) = d - 1$.

(b) If K satisfies (ii), we will say that K has the nonstandard structure. In this case there is $v \in K$ such that $K_0 = K \setminus \{v\}$ and $\{v\}$ lie on two parallel hyperplanes and K_0 has the nonstandard structure in dimension d-1. Moreover, there is no supporting hyperplane \mathcal{L} for conv (K) such that $|K \cap \mathcal{L}| = d$. Indeed, there are d+1 supporting hyperplanes having the intersection numbers given by: $d+1, d+1, d+3, \ldots, d+3$, respectively.

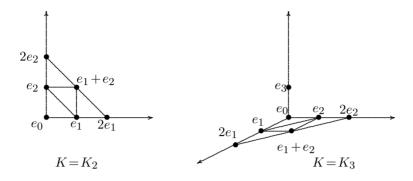


Figure 1. The nonstandard structure for d=2 and d=3

3. Proof

Let $v_0 = (v_{01}, \dots, v_{0d})$ be a vertex of the convex polytope spanned by the set K. Let

$$K_0 = K \setminus \{v_0\}.$$

There are two possibilities $\dim K_0 = d - 1$ or $\dim K_0 = d$.

Case a. Suppose that K_0 is contained in a (d-1)-dimensional hyperplane \mathcal{P} . Then by (1) we obtain

$$|K + K| \ge 1 + |v_0 + K_0| + |K_0 + K_0| \ge 1 + |K_0| + d|K_0| - \frac{(d-1)d}{2}$$

= $(d+1)|K| - \frac{d(d+1)}{2}$.

By hypothesis (4) it follows that $|K_0+K_0|=d|K_0|-\frac{(d-1)d}{2}$. Thus, K_0 is a (d-1)-dimensional finite set with minimal doubling.

If K_0 has the standard structure, then K_0 consist of d-1 parallel arithmetic progressions with the same common difference. Therefore, the set K has the standard structure.

If K_0 has the nonstandard structure, then $|K_0| = (d-1)+4$, $|K| = 1+|K_0| = d+4$, and K has the nonstandard structure too.

Case b. Now suppose that $\dim K_0 = d$ and consider the smallest polytope containing K_0 . Let the hyperplane \mathcal{L} be its (d-1)-dimensional face such that the point v_0 and the set K_0 lie in distinct half-spaces with the common boundary \mathcal{L} .

Since dim $(K_0 \cap \mathcal{L}) = d - 1$, we have $|K_0 \cap \mathcal{L}| \ge d$. Then

$$|K + K| \ge |K_0 + K_0| + |v_0 + (K_0 \cap \mathcal{L})| + 1$$

$$\ge (d+1)|K_0| - \frac{d(d+1)}{2} + |K_0 \cap \mathcal{L}| + 1 \ge (d+1)|K| - \frac{d(d+1)}{2}.$$

By hypothesis (4) it follows that

(5)
$$|K_0 + K_0| = (d+1)|K_0| - \frac{d(d+1)}{2}$$

and

$$|K_0 \cap \mathcal{L}| = d.$$

We apply the induction hypothesis for K_0 . Note that (i) \mathcal{L} is a face of the convex hull of K_0 , (ii) $\dim(K_0 \cap \mathcal{L}) = d-1$, (iii) $|K_0 \cap \mathcal{L}| = d$, which gives that K_0 has the standard structure; K_0 lies on d parallel lines $\ell_0, \ell_1, \ldots, \ell_{d-1}$ and consists of d parallel arithmetic progressions with the same common difference w.

After an affine isomorphism of \mathbb{R}^d we may suppose that

$$\mathcal{L} = (x_d = 0),$$

(8)
$$K_0 \subseteq (x_d \ge 0),$$

(9)
$$K_0 \cap \mathcal{L} = \{e_0, e_1, \dots, e_{d-1}\},\$$

(10)
$$v_0 \in (x_d < 0).$$

Case b.1. $w_d = \langle e_d, w \rangle = 0$. If $w = (w_1, ..., w_d)$ lies in \mathcal{L} , there is no loss in generality in assuming that

$$(11) w = e_1.$$

In other words, the direction of every ℓ_i is given by e_1 . (We use (9) and the standard structure of K_0 .)

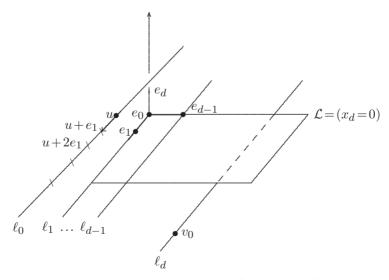


Figure 2. K consists of d+1 affinely independent points $\{e_0,...,e_{d-1},v_0\}$ and a finite arithmetic progression $\{u,u+e_1,u+2e_1,...\}$

Take another point of K_0 ,

(12)
$$u \in K_0 \setminus \{e_0, e_1, \dots, e_{d-1}\}\$$

such that K lies on d+1 parallel lines $\ell_0, \ell_1, \dots, \ell_d$ defined by

$$\begin{aligned} &\ell_1 = \{te_1 \mid t \in \mathbb{R}\}, & K \cap \ell_1 = \{e_0, e_1\}, \\ &\ell_i = e_i + \ell_1, & K \cap \ell_i = \{e_i\}, & 2 \le i \le d - 1, \\ &\ell_0 = u + \ell_1, & K \cap \ell_0 = \{u + re_1 \mid 0 \le r \le k - d - 2, r \in \mathbb{Z}\}, \end{aligned}$$

and

$$\ell_d = v_0 + \ell_1, \quad K \cap \ell_d = \{v_0\},\$$

and on three parallel hyperplanes

$$\begin{split} \mathcal{L}_1 &= (x_d = u_d) \;, \; |K \cap \mathcal{L}_1| = |K| - (d+1), \; K \cap \mathcal{L}_1 = K \cap \ell_0, \\ \mathcal{L} &= (x_d = 0) \;, \; K \cap \mathcal{L} = \{e_0, e_1, \dots, e_{d-1}\}, \\ \mathcal{L}_{-1} &= (x_d = v_{0d}) \;, \; K \cap \mathcal{L}_{-1} = \{v_0\}. \end{split}$$

See Figure 2. Remark that e_d may not belong to K. After an affine isomorphism of \mathbb{R}^d we may suppose that

$$(13) v_0 = -e_d.$$

First we determine the intersection of the line ℓ_0 with the hyperplane $(x_1 = 0)$. We will prove that $\ell_0 = (P + e_d) + \ell_1$, where $P \in \{e_0, e_2, \dots, e_{d-1}\} + \{e_0, e_2, \dots, e_{d-1}\}$. Moreover, we will show that K has at most three points on ℓ_0 and $K \cap \ell_0 \subseteq \{P + e_d, P + e_d + e_1, P + e_d + 2e_1\}$.

Take an arbitrary point $x = (x_1, ..., x_d) \in K \cap \mathcal{L}_1 = K \cap \ell_0$.

Note that

(14)
$$x + v_0 \in (K \cap \mathcal{L}) + (K \cap \mathcal{L}) = \{e_0, e_1, \dots, e_{d-1}\} + \{e_0, e_1, \dots, e_{d-1}\}.$$

(Otherwise, the removal of v_0 from K would reduce the cardinality of K+K by at least d+2: the d+1 usual ones $2v_0$, v_0+e_i , $(0 \le i \le d-1)$ and $x+v_0$. Thus $|K+K| \ge (d+2) + |K_0+K_0|$ which, in view of (5), contradicts the minimality of |K+K|).

Since ℓ_0 is parallel to e_1 and $x = e_i + e_j - v_0 = e_i + e_j + e_d \in \ell_0$ (for some i, j $0 \le i, j \le d - 1$) then

$$(15) \ \ell_0 \cap (x_1 = 0) = P + e_d, \quad \text{where} \quad P \in \{e_0, e_2, \ldots, e_{d-1}\} + \{e_0, e_2, \ldots, e_{d-1}\},$$

$$(16) \ \ell_0 = (P + e_d) + \ell_1,$$

and for every $x \in K \cap \mathcal{L}_1 = K \cap \ell_0 \subseteq (K \cap \mathcal{L}) + (K \cap \mathcal{L}) + e_d$ we have

(17)
$$x_i \in \mathbb{N}$$
, $x_1 + \dots + x_{d-1} \le 2$, $x_d = 1$.

This gives

(18)
$$K \cap \ell_0 \subseteq \{P + e_d, P + e_d + e_1, P + e_d + 2e_1\},$$

$$(19) |K \cap \ell_0| < 3, |K| < d + 4.$$

We complete the proof of case b.1. by studying three simple situations.

(i) If $P = e_i + e_j$ with $2 \le i, \ j \le d-1$, then K has the *standard structure*. Indeed, in view of (15), (16), (17), (18) we obtain that $\ell_0 \cap (x_1 = 0) = e_i + e_j + e_d$, $\ell_0 = (e_i + e_j + e_d) + \ell_1$,

(20)
$$K \cap \ell_0 = \{e_i + e_j + e_d\}, |K| = d + 2,$$

and so K lies on the following two parallel hyperplanes:

$$K \cap (x_1 = 0) = \{e_0, -e_d; e_2, \dots, e_{d-1}; e_i + e_j + e_d\},\$$

 $K \cap (x_1 = 1) = \{e_1\}.$

We are in the case described in Figure 3.

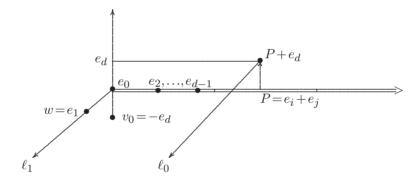


Figure 3. (see case (i): $P = e_i + e_j$; $2 \le i, j \le d - 1$) K has the standard structure

If i=j, then the points $e_i+e_j+e_d=2e_i+e_d$, $e_i,-e_d$ are collinear and so K lies on d parallel lines and has the standard structure: d arithmetic progressions with the common difference $w_0=e_i+e_d$.

If $i \neq j$, then the 4 points $\{e_i + e_j + e_d, e_j\} \cup \{e_i, -e_d\}$ define two parallel lines and it is clear that $K \cap (x_1 = 0)$ lies on d-1 parallel lines. In conclusion K itself lies on d parallel lines and has the standard structure: d arithmetic progressions with the common difference $w_0 = e_i + e_d$.

(ii) If $P = e_0 + e_i = e_i$ with $2 \le i \le d - 1$, then K has also the standard structure. Indeed, from (15),(16),(17),(18) it follows that $\ell_0 \cap (x_1 = 0) = e_i + e_d$, $\ell_0 = (e_i + e_d) + \ell_1$,

(21)
$$K \cap \ell_0 \subseteq \{e_i + e_d, e_i + e_d + e_1\}, |K| \le d + 3,$$

and so K lies on the following two parallel hyperplanes:

$$\{e_0, -e_d, e_2, \dots, e_{d-1}\} \subseteq K \cap (x_1 = 0) \subseteq \{e_0, -e_d, e_2, \dots, e_{d-1}, e_i + e_d\},$$
$$e_1 \in K \cap (x_1 = 1) \subseteq \{e_1, e_i + e_d + e_1\}.$$

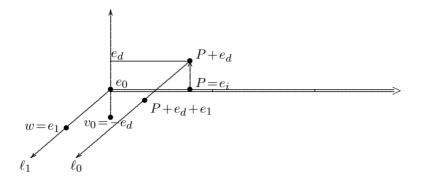


Figure 4. (see case (ii): $P = e_i, 2 \le i \le d-1$) K has the standard structure

We are in the case described in Figure 4.

The 6 points $\{e_0, e_i + e_d\}$, $\{e_1, e_i + e_d + e_1\}$, $\{-e_d, e_i\}$ lie on three parallel lines. Therefore, K itself lies on d parallel lines and has the standard structure: d arithmetic progressions with the common difference $w_0 = e_i + e_d$.

(iii) If $P = e_0$, then K has the standard structure, unless $|K \cap \ell_0| = 3$. In this case K has the nonstandard structure. Indeed, in view of (15),(16),(17),(18) it follows that $\ell_0 \cap (x_1 = 0) = e_d, \ell_0 = e_d + \ell_1$,

(22)
$$K \cap \ell_0 \subseteq \{e_d, e_d + e_1, e_d + 2e_1\}, |K| \le d + 4,$$

and so K lies on at most three parallel hyperplanes:

$$\{e_0, -e_d, e_2, \dots, e_{d-1}\} \subseteq K \cap (x_1 = 0) \subseteq \{e_0, -e_d; e_2, \dots, e_{d-1}; e_d\},$$

$$e_1 \in K \cap (x_1 = 1) \subseteq \{e_1, e_d + e_1\},$$

$$K \cap (x_1 = 2) \subseteq \{e_d + 2e_1\}.$$

If $K \cap \ell_0 = \{e_d, e_d + e_1, e_d + 2e_1\}$, then K has the nonstandard structure: in the plane π spanned by (e_1, e_d) the two-dimensional nonstandard set $\{-e_d; e_0, e_1; e_d, e_d + e_1, e_d + 2e_1\}$ to whom we add d-2 linearly independent vectors e_2, \ldots, e_{d-1} . See Figure 5.

If $|K \cap \ell_0| = 2$ or 1, then $K \cap \pi$ has at most 5 points and lies on 2 parallel lines; $K \setminus \pi = \{e_2, \dots, e_{d-1}\}$ and therefore K has the standard structure: d parallel arithmetic progressions with the same common difference $w_0 = e_d$, if $e_d + 2e_1 \notin K$, or $w_0 = e_1 + e_d$, if $e_d + 2e_1 \in K$. See Figure 6.

Remark that the case $K \cap \ell_0 = \{e_d, e_d + 2e_1\}$ is not allowed. Indeed, if $K \cap \ell_1 = \{e_0, e_1\}$ and $K \cap \ell_0 = \{e_d, e_d + 2e_1\}$, then we contradict the standard structure of K_0 : d parallel arithmetic progressions with the same common difference $w = e_1$. The proof of Theorem B in case b.1. is now complete.

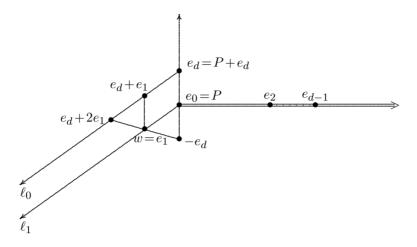


Figure 5. (see case (iii): $P = e_0$ and $|K \cap \ell_0| = 3$) K has the non-standard structure

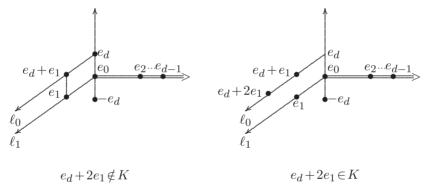


Figure 6. K has the standard structure, if $P = e_0$ and $|K \cap \ell_0| \le 2$

Case b.2. $w_d \neq 0$. If w doesn't lie in \mathcal{L} , there is no loss of generality in assuming that

$$(23) w = e_d.$$

It follows that K_0 lies on d parallel lines $\ell_0 = \{te_d \mid t \in \mathbb{R}\}, \ \ell_i = e_i + \ell_0, \ 1 \le i \le d - 1,$ and $K = K_0 \cup \{v_0\}$ with $v_{0d} < 0$. We are in the case described in Figure 7 and we will prove that K has the standard structure.

 K_0 consists of d parallel arithmetic progressions with the same common difference $e_d, K_0 \subseteq (x_d \ge 0)$ and $\dim K_0 = d$. Moreover, $e_i \in K_0$ for every $0 \le i \le d-1$. Therefore, there is $i_0, 0 \le i_0 \le d-1$ such that $x = e_{i_0} + e_d \in K_0$.

Note that $x+v_0=e_{i_0}+v_0+e_d\in\{e_0,e_1,\ldots,e_{d-1}\}+\{e_0,e_1,\ldots,e_{d-1}\}$. (Otherwise the removal of v_0 from K would reduce the cardinality of K+K by at least d+2: the d+1 usual ones $2v_0, v_0+e_i, (0\leq i\leq d-1)$ and $x+v_0$. Thus $|K+K|\geq (d+2)+|K_0+K_0|$

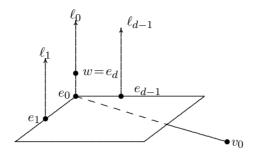


Figure 7

which contradicts the minimality of |K+K|, in view of (5)). For simplicity suppose $i_0=0$, which gives $x=e_d$. Up to this point we know that

$$\{e_0, e_d\} \subseteq K_0 \cap \ell_0,$$

(25)
$$v_0 \in (\{e_0, e_1, \dots, e_{d-1}\} + \{e_0, e_1, \dots, e_{d-1}\}) - e_d.$$

- α) If $v_0 = e_i e_d$, with $0 \le i \le d-1$, then K consists of d parallel arithmetic progressions with the same common difference $w_0 = e_d$; K lies on d parallel lines $\ell_i, 0 \le i \le d-1$.
- β) If $v_0 = (e_i + e_j) e_d$, with $1 \le i, j \le d 1$, then K lies on three parallel hyperplanes

$$\begin{split} \kappa_0 : x_1 + x_2 + \dots + x_{d-1} &= 0, \ K \cap \kappa_0 = K \cap \ell_0, \\ \kappa_1 : x_1 + x_2 + \dots + x_{d-1} &= 1, \ K \cap \kappa_1 = K \cap \left(\ell_1 \cup \dots \cup \ell_{d-1}\right) \supseteq \{e_1, \dots, e_{d-1}\}, \\ \kappa_2 : x_1 + x_2 + \dots + x_{d-1} &= 2, \ K \cap \kappa_2 &= \{v_0\}. \end{split}$$

We will prove that the minimality of |K+K| implies

(26)
$$|K \cap \kappa_1| = d - 1, \ K \cap \kappa_1 = \{e_1, \dots, e_{d-1}\}$$
 and

(27)
$$K = \{v_0; e_0, e_1, \dots, e_{d-1}; e_d\} = \{e_i + e_j - e_d, e_0, \dots, e_d\}.$$

It follows that K has the standard structure: d parallel arithmetic progressions with the same common difference $w_0 = v_0 - e_i$. We complete the proof by showing that (26) and (27) are true.

If $|K \cap \kappa_1| \ge d+1$, then we would obtain $|K+K| \ge 1 + |v_0 + (K \cap \kappa_1)| + |K_0 + K_0| \ge d+2 + |K_0 + K_0|$, which contradicts the minimality of |K+K|, in view of (5).

If $|K \cap \kappa_1| = d$, then there is only one $j_0, 1 \le j_0 \le d-1$ such that $K \cap \ell_{j_0} = \{e_{j_0}, e_{j_0} + e_d\}$. It follows that $K \supseteq \{v_0; e_0, e_1, \dots, e_{d-1}; e_d, e_{j_0} + e_d\}$ and K lies on at least three parallel hyperplanes

$$\mathcal{H}_0: x_1 + x_2 + \dots + x_d = 0, K \cap \mathcal{H}_0 = \{e_0\},\$$

 $\mathcal{H}_1: x_1 + x_2 + \dots + x_d = 1, K \cap \mathcal{H}_1 = \{e_1, \dots, e_d; v_0\}, \dim(K \cap \mathcal{H}_1) = d - 1,\$
 $\mathcal{H}_2: x_1 + x_2 + \dots + x_d = 2, K \cap \mathcal{H}_2 \supseteq \{e_{j_0} + e_d\}.$

Put $K^* = K \setminus \{e_0\}$ and note that $\dim K^* = d$. The removal of e_0 from K would reduce the cardinality of K + K by at least d + 2. Indeed, we have $|K + K| \ge 1 + |e_0 + (K \cap \mathcal{H}_1)| + |K^* + K^*| = 1 + (d+1) + |K^* + K^*| = (d+2) + |K^* + K^*|$, which again contradicts the minimality of |K + K|.

Therefore (26) is true and

$$K \cap \kappa_1 = \{e_1, \dots, e_{d-1}\}, K \cap \ell_i = \{e_i\}, 1 \le i \le d-1, |K \cap \ell_0| = |K| - d.$$

The set $K \setminus \{v_0, e_0, e_1, \dots, e_{d-1}\}$ lies on $\ell_0 \cap (x_d > 0)$. It remains to show that $|K \cap \ell_0| = 2$. If the arithmetic progression on ℓ_0 has more than two elements (that is, if $e_0 + 2e_d \in K$), then the removal of v_0 from K reduces the cardinality of K + K by at least d+2 elements: $2v_0, v_0 + e_i, 0 \le i \le d-1$, and $v_0 + 2e_d$. This contradicts the minimality of |K + K|, in view of (5). In conclusion (27) is true. The proof is now complete.

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