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Unavoidable subhypergraphs: \mathbf{a} -clusters

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ABSTRACT

One of the central problems of extremal hypergraph theory is the description of unavoidable subhypergraphs, in other words, the Turán problem. Let $\mathbf{a} = (a_1, \dots, a_p)$ be a sequence of positive integers, $k = a_1 + \dots + a_p$. An \mathbf{a} -partition of a k -set F is a partition in the form $F = A_1 \cup \dots \cup A_p$ with $|A_i| = a_i$ for $1 \leq i \leq p$. An \mathbf{a} -cluster \mathcal{A} with host F_0 is a family of k -sets $\{F_0, \dots, F_p\}$ such that for some \mathbf{a} -partition of F_0 , $F_0 \cap F_i = F_0 \setminus A_i$ for $1 \leq i \leq p$ and the sets $F_i \setminus F_0$ are pairwise disjoint. The family \mathcal{A} has $2k$ vertices and it is unique up to isomorphisms. With an intensive use of the delta-system method we prove that for $k > p$ and sufficiently large n , if \mathcal{F} is a k -uniform family on n vertices with $|\mathcal{F}|$ exceeding the Erdős–Ko–Rado bound $\binom{n-1}{k-1}$, then \mathcal{F} contains an \mathbf{a} -cluster. The only extremal family consists of all the k -subsets containing a given element.

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1. Introduction

1.1. History

Let \mathcal{F} be a family of k subsets of the n -set $[n] = \{1, 2, \dots, n\}$, $\mathcal{F} \subset \binom{[n]}{k}$, $n \geq k \geq 2$. The Erdős–Ko–Rado (EKR) theorem [6] states that if any two sets intersect and $n \geq 2k$, then $|\mathcal{F}| \leq \binom{n-1}{k-1}$. Katona proposed in 1980 the following related problem: Suppose that every three members $F_1, F_2, F_3 \in \mathcal{F}$ meet ($F_1 \cap F_2 \cap F_3 \neq \emptyset$) whenever their union is small, $|F_1 \cup F_2 \cup F_3| \leq 2k$. It was proved by Frankl and the first author [8] that then the same EKR-type upper bound holds for $|\mathcal{F}|$ for $n > n_1(k)$.

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The case $3k/2 \leq n < 2k$ follows from a result of Frankl [7] (also see Mubayi and Verstraëte [19]), and finally Mubayi [16] gave a nice short proof that $|\mathcal{F}| \leq \binom{n-1}{k-1}$ holds for all $n \geq 2k$ (with equality only for $\bigcap \mathcal{F} \neq \emptyset$) so $n_1(k) = \lceil 3k/2 \rceil$. Mubayi [17] showed that the EKR bound also holds, if $|F_1 \cup F_2 \cup F_3 \cup F_4| \leq 2k$ implies $F_1 \cap F_2 \cap F_3 \cap F_4 \neq \emptyset$ (for $n > n_2(k)$). This led him to the following conjecture.

Conjecture 1. Call a family of k -sets $\{F_1, \dots, F_d\}$ a (k, d) -cluster if

$$|F_1 \cup F_2 \cup \dots \cup F_d| \leq 2k \quad \text{and} \quad F_1 \cap F_2 \cap \dots \cap F_d = \emptyset.$$

Let $k \geq d \geq 2$, $n \geq dk/(d-1)$ and suppose that \mathcal{F} is a k -uniform family on n elements containing no (k, d) -cluster. Then $|\mathcal{F}| \leq \binom{n-1}{k-1}$, with equality only if $\bigcap \mathcal{F} \neq \emptyset$.

The case $d = k$ follows from a theorem of Chvátal [5] as it was observed by Chen, Liu, and Wang [4]. Keevash and Mubayi [14] proved Conjecture 1 when both k/n and $n/2 - k$ are bounded away from zero, and Mubayi and Ramadurai [18] for $n > n_3(k)$. The present authors also proved Conjecture 1 in 2007 for $n > n_4(k)$ with a different approach (unpublished). Recently, Jiang, Pikhurko, and Yilma [13] proved a more general result concerning the so-called strong simplices.

In Theorem 2, we give a stronger generalization which not only implies Conjecture 1 and all the above results for sufficiently large n but also gives an explicit structure of the unavoidable subhypergraphs.

In our notation, $A \subset B$ also includes the case that $A = B$. We write $A \subsetneq B$ for the case $A \subset B$ and $A \neq B$.

1.2. \mathbf{a} -Clusters

Let $\mathbf{a} = (a_1, \dots, a_p)$ be a sequence of positive integers, $p \geq 2$, $k = a_1 + \dots + a_p$. An \mathbf{a} -partition of a k -set F is a partition in the form $F = A_1 \cup \dots \cup A_p$ with $|A_i| = a_i$ for $1 \leq i \leq p$. An \mathbf{a} -cluster \mathcal{A} with host F_0 is a family of k -sets $\{F_0, \dots, F_p\}$ such that for some \mathbf{a} -partition of F_0 , $F_0 \cap F_i = F_0 \setminus A_i$ for $1 \leq i \leq p$ and the sets $F_i \setminus F_0$ are pairwise disjoint. The family \mathcal{A} has $2k$ vertices and it is unique up to isomorphisms.

Theorem 2. Suppose that $k > p > 1$, $\mathcal{F} \subset \binom{[n]}{k}$ with $|\mathcal{F}| > \binom{n-1}{k-1}$ and n is sufficiently large ($n > N(k)$). Then \mathcal{F} contains any \mathbf{a} -cluster, $\mathbf{a} \neq \mathbf{1}$. Moreover, if $|\mathcal{F}| = \binom{n-1}{k-1}$, \mathbf{a} -cluster-free, then it consists of all the k -subsets containing a given element.

Our $N(k)$ is very large, it is double exponential in k . In the proof of Theorem 2, we use the delta-system method and a complicated version of the stability method developed in [10] by Frankl and the first author of this paper. Note that the case $k = p$, i.e., $\mathbf{a} = (1, 1, \dots, 1)$, is different as described in Section 3.2.

1.3. The delta-system method

It is natural to investigate the intersection structure of \mathcal{F} . This is exactly where the delta-system method can be applied.

The intersection structure of $F \in \mathcal{F}$ with respect to the family \mathcal{F} is defined as

$$\mathcal{I}(F, \mathcal{F}) = \{F \cap F' : F' \in \mathcal{F}, F \neq F'\}.$$

If the set F is given, $A \subset F$ with $(F \setminus A) \in \mathcal{I}(F, \mathcal{F})$, then we use the notation $F(A)$ for a k -set in \mathcal{F} such that $F(A) \cap F = F \setminus A$.

A k -uniform family $\mathcal{F} \subset \binom{[n]}{k}$ is k -partite if one can find a partition $[n] = X_1 \cup \dots \cup X_k$ with $|F \cap X_i| = 1$ for all $F \in \mathcal{F}$, $1 \leq i \leq k$. If \mathcal{F} is k -partite, then for any set $S \subset [n]$, its projection $\Pi(S)$ is defined as

$$\Pi(S) = \{i : S \cap X_i \neq \emptyset\} \quad \text{and} \quad \Pi(\mathcal{I}(F, \mathcal{F})) = \{\Pi(S) : S \in \mathcal{I}(F, \mathcal{F})\}.$$

A family $\{D_1, D_2, \dots, D_s\}$ is called a *delta-system* of size s and with center C if $D_i \cap D_j = C$ holds for all $1 \leq i < j \leq s$. The delta-system method is described in the following theorem due to the first author.

Theorem 3. (See [12].) For any positive integers s and k with $s > k$, there exists a positive constant $c(k, s)$ such that every family $\mathcal{F} \subset \binom{[n]}{k}$ contains a subfamily $\mathcal{F}^* \subset \mathcal{F}$ satisfying

$$(3.1) \quad |\mathcal{F}^*| \geq c(k, s)|\mathcal{F}|,$$

$$(3.2) \quad \mathcal{F}^* \text{ is } k\text{-partite},$$

$$(3.3) \quad \text{there is a family } \mathcal{J} \subset 2^{\{1, 2, \dots, k\}} \setminus \{[k]\} \text{ such that } \Pi(\mathcal{I}(F, \mathcal{F}^*)) = \mathcal{J} \text{ holds for all } F \in \mathcal{F}^*,$$

$$(3.4) \quad \mathcal{J} \text{ is closed under intersection (i.e., } A, B \in \mathcal{J} \text{ imply } A \cap B \in \mathcal{J}),$$

$$(3.5) \quad \text{every member of } \mathcal{I}(F, \mathcal{F}^*) \text{ is the center of a delta-system } \mathcal{D} \text{ of size } s \text{ formed by members of } \mathcal{F}^* \text{ and containing } F, F \in \mathcal{D} \subset \mathcal{F}^*.$$

We call a family \mathcal{F}^* *homogeneous* if \mathcal{F}^* satisfies (3.2)–(3.5). In this paper, we fix $s = 2k$ in Theorem 3.

Lemma 4. Suppose that $\mathcal{F}^* \subset \mathcal{F}$, where \mathcal{F}^* is obtained by using Theorem 3 with $s = 2k$. If $G_1 \in \mathcal{F}^*$, $G_2 \in \mathcal{F}$, $M \in \mathcal{I}(G_1, \mathcal{F}^*)$, $M \subset G_2$ and $M \cap S = \emptyset$, where $|S| \leq k$, then there exists a $G_3 \in \mathcal{F}^*$ such that $G_2 \cap G_3 = M$ and $S \cap G_3 = \emptyset$.

Proof. Let $\{F'_1, F'_2, \dots, F'_{2k}\} \subset \mathcal{F}^*$ be a delta-system centered at M , where $F'_1 = G_1$. Since the sets $F'_1 \setminus M, \dots, F'_{2k} \setminus M$ are pairwise disjoint, and $|G_2 \setminus M| < k$ and $|S| \leq k$ there is an F'_i avoiding both $(1 \leq i \leq 2k)$. Then $G_2 \cap F'_i = M$ and $S \cap F'_i = \emptyset$. \square

2. Proof of the main theorem

2.1. Rank and shadow of \mathbf{a} -cluster-free families

Throughout the proof of Theorem 2, we will be mostly interested in the *rank* of \mathcal{J} , which is defined as

$$r(\mathcal{J}) = \min\{|A| : A \subset [k], \nexists B \in \mathcal{J}, A \subset B\}.$$

The rank of \mathcal{J} is k only if $\mathcal{J} = 2^{[k]} \setminus \{[k]\}$; otherwise, it is at most $k - 1$.

From now on, $\mathcal{F} \subset \binom{[n]}{k}$ is an arbitrary k -family containing no \mathbf{a} -cluster, where $\mathbf{a} = (a_1, \dots, a_p)$ is a non-increasing sequence with $a_1 \geq 2$. We will show that $|\mathcal{F}| \geq \binom{n-1}{k-1}$ implies $\bigcap \mathcal{F} \neq \emptyset$ for sufficiently large n .

Frankl and the first author [9] developed a method while proving a conjecture of Erdős that is used in [10] to show that a family $\mathcal{F} \subset \binom{[n]}{k}$ has a common element ($\bigcap \mathcal{F} \neq \emptyset$) if certain intersection constraints are fulfilled. Here we revisit that result and modify that proof to obtain a version for \mathbf{a} -cluster-free families.

For the rest of the paper, we let $\mathcal{F}^* \subset \mathcal{F}$ be a homogeneous subfamily of \mathcal{F} .

Corollary 5. Let $F = \{x_1, \dots, x_k\} \in \mathcal{F}^*$. If $r(\mathcal{J}) \geq k - 1$, then $r(\mathcal{J}) = k - 1$, i.e., it is impossible that $(F \setminus \{x_i\}) \in \mathcal{I}(F, \mathcal{F}^*)$ for all $1 \leq i \leq k$.

Proof. Assume, on the contrary, that $r(\mathcal{J}) = k$. Because \mathcal{J} is closed under intersection, we have $\mathcal{J} = 2^{[k]} \setminus \{[k]\}$. Therefore, $\mathcal{I}(F, \mathcal{F}^*)$ contains all proper subsets of F . Consider an \mathbf{a} -partition of $F = (A_1, \dots, A_p)$. Using Lemma 4 p times with $G_1 = F$, $M = F \setminus A_i$ and $S = \bigcup_{j < i} (F_j \setminus F)$ we obtain $F_1, \dots, F_p \in \mathcal{F}^*$ such that, for $i \in [p]$, $F \cap F_i = F \setminus \{A_i\}$ and the sets $F_i \setminus F$ are disjoint. Therefore, $\{F_1, \dots, F_p, F\}$ is an \mathbf{a} -cluster with host F . \square

We use the notation $\Delta_\ell(\mathcal{H})$ for the ℓ -shadow of the family \mathcal{H} , i.e.,

$$\Delta_\ell(\mathcal{H}) := \{L: |L| = \ell, \exists H \in \mathcal{H} \text{ with } L \subset H\}.$$

Lemma 6. \mathcal{F} is not too dense, i.e., $|\Delta_{k-1}(\mathcal{G})| \geq c_1(k)|\mathcal{G}|$ for all $\mathcal{G} \subset \mathcal{F}$, where $c_1(k) := c(k, 2k)$ from (3.1).

Proof. Apply Theorem 3 to \mathcal{G} to obtain a k -partite \mathcal{G}^* with a homogeneous intersection structure $\mathcal{J} \subset 2^{[k]}$, i.e., $\Pi(\mathcal{I}(G, \mathcal{G}^*)) = \mathcal{J}$ for all $G \in \mathcal{G}^*$. Corollary 5 implies that the rank of \mathcal{J} is at most $k-1$ so each $G \in \mathcal{G}^*$ has a $(k-1)$ -subset that is not contained by another member of \mathcal{G}^* . We obtain $|\Delta_{k-1}(\mathcal{G}^*)| \geq |\mathcal{G}^*|$, and hence

$$|\Delta_{k-1}(\mathcal{G})| \geq |\Delta_{k-1}(\mathcal{G}^*)| \geq |\mathcal{G}^*| \geq c(k, 2k)|\mathcal{G}|. \quad \square \quad (1)$$

2.2. The intersection structure of rank- $(k-1)$ subfamilies

For a subset $S \subset F \in \mathcal{F}$, denote the degree of S in \mathcal{F} by

$$\deg_{\mathcal{F}}(S) = |\{F: F \in \mathcal{F}, S \subset F\}|.$$

A subset of $F \in \mathcal{F}$ is called an own subset of F , if its degree in \mathcal{F} is one.

Lemma 7. Let $F_0 \in \mathcal{F}^*$ and $\{A_1, \dots, A_p\}$ an \mathbf{a} -partition of F_0 . Assume that there exists an $H \in \mathcal{F}$ and $i \in [p]$ such that $F_0 \cap H = (F_0 \setminus A_i)$. Suppose $F_0 \setminus A_j \in \mathcal{I}(F_0, \mathcal{F}^*)$ for each $j \in [p]$ when $j \neq i$. Then there is an \mathbf{a} -cluster in \mathcal{F} with host F_0 .

Proof. Call H to F_i . Use Lemma 4 ($p-1$) times to define F_j for $j \in [p] \setminus \{i\}$ with $G_1 = H$, $M = F_0 \setminus A_j \in \mathcal{I}(F_0, \mathcal{F}^*)$ and $S = (F_i \setminus F_0) \cup_{\ell < j} (F_\ell \setminus F_0)$. Note that $|S| < k$ at each step. \square

Lemma 7 can be generalized to allow more than one member with properties of H as used in the proof of Lemma 9.

Lemma 8. Let $F = \{x_1, \dots, x_k\} \in \mathcal{F}^*$. If $r(\mathcal{J}) = k-1$, and there are $k-1$ $(k-1)$ -sets in \mathcal{J} , say $F \setminus \{x_i\} \in \mathcal{I}(F, \mathcal{F}^*)$ for $2 \leq i \leq k$, then $F \setminus \{x_1\}$ is an own subset of F in \mathcal{F} . Moreover, in this case

$$F_1 \in \mathcal{F}, \quad |F_1 \cap F| \geq k-2 \quad \text{imply } x_1 \in F_1. \quad (2)$$

Such an F (and \mathcal{J} and \mathcal{F}^*) is called of type I. Note that we claim that $F \setminus \{x_1\}$ is an own subset of F in \mathcal{F} , not only in \mathcal{F}^* .

Proof. Suppose, on the contrary, that there exists an $F_1 \in \mathcal{F}$ such that $F_1 = \{y, x_2, \dots, x_k\}$, $y \notin F_1$. This will enable us to find an \mathbf{a} -cluster (with a host F_2 to be defined later), a contradiction.

Choose a subset M of F such that $x_1 \in M$ and $|M| = k - a_1 + 1$ ($< k$). Note that (3.4) implies that

$$\{E: E \subsetneq F, x_1 \in E\} \subset \mathcal{I}(F, \mathcal{F}^*). \quad (3)$$

So $M \in \mathcal{I}(F, \mathcal{F}^*)$ and by Lemma 4 we can pick another member $F_2 \in \mathcal{F}^*$ such that $F \cap F_2 = M$ and $y \notin F_2$. We obtain

$$F_2 \cap F_1 = M \setminus \{x_1\} \quad \text{hence} \quad |F_2 \cap F_1| = k - a_1.$$

Consider an \mathbf{a} -partition of F_2 such that $A_1 = F_2 \setminus F_1$, i.e. $F_1 = F_2(A_1)$. Since $F_2 \in \mathcal{F}^*$ and \mathcal{F}^* is homogeneous, by (3) and (3.3) of Theorem 3, we have

$$\{E: E \subsetneq F_2, x_1 \in E\} \subset \mathcal{I}(F_2, \mathcal{F}^*).$$

Therefore, $F_2 \setminus A_i \in \mathcal{I}(F_2, \mathcal{F}^*)$ for $2 \leq i \leq p$ and we obtain an \mathbf{a} -cluster by Lemma 7, a contradiction.

The proof of (2) when $|F_1 \cap F| = k - 2$, assuming $x_1, x_2 \notin F_1$, is similar and we omit the details. To prove this case, one needs to follow the same steps assuming that $x_1, x_2 \in M$ and have to choose M and F_2 such that $|M| = k - a_1 + 2$ and $F_2 \cap F_1 = M \setminus \{x_1, x_2\}$, respectively, except in the case $a_1 = 2$ when we define $F_2 = F$. \square

Lemma 9. If $r(\mathcal{J}) = k - 1$, and there are exactly $k - t$ $(k - 1)$ -sets in \mathcal{J} with $2 \leq t \leq k$, say $F \setminus \{x_i\} \in \mathcal{I}(F, \mathcal{F}^*)$ for $t < i \leq k$ then

$$\sum_{1 \leq i \leq t} \frac{1}{\deg_{\mathcal{F}}(F \setminus \{x_i\})} \geq 1 + \frac{1}{k - 1}.$$

These $F \in \mathcal{F}^*$ (and \mathcal{J} and \mathcal{F}^*) are called type II.

Proof. Define a bipartite graph G with partite sets $X = \{x_1, \dots, x_t\}$ and $Y = [n] \setminus F$ and edges xy for $x \in X$ and $y \in Y$ if and only if $(F \setminus \{x\}) \cup \{y\} \in \mathcal{F}$. We claim that the maximum number of independent edges in this graph, $\nu(G)$, is at most $t - 2$. This indeed implies Lemma 9 as follows. By the König–Hall theorem the size of a minimum vertex cover S of G is at most $t - 2$. Let $|X \setminus S| = \ell$, we have $\ell \geq 2$ and $|S \cap Y| \leq \ell - 2$. Since each vertex $v \in X \setminus S$ has neighbors only in $S \cap Y$, we have

$$\deg_{\mathcal{F}}(F \setminus \{v\}) = \deg_G(v) + 1 \leq |S \cap Y| + 1 \leq \ell - 1.$$

This yields

$$\sum_{v \in X \setminus S} \frac{1}{\deg_{\mathcal{F}}(F \setminus \{v\})} \geq \frac{\ell}{\ell - 1} \geq \frac{k}{k - 1}.$$

To prove $\nu(G) \leq t - 2$ suppose, on the contrary, that there are $F_i := (F \setminus \{x_i\}) \cup \{y_i\} \in \mathcal{F}$ for $2 \leq i \leq t$, where y_i 's are distinct elements outside F . We will see this leads to the existence of an **a**-cluster. First, we describe the intersection structure of F in \mathcal{F}^* by using repeatedly the fact that $\mathcal{I}(F, \mathcal{F}^*)$ is closed under intersection.

Note that

$$\text{if } A \subseteq \{x_{t+1}, \dots, x_k\} \text{ then } F \setminus A \in \mathcal{I}(F, \mathcal{F}^*). \quad (4)$$

Also, if $A \subset F$, $|A| < k$ and

$$|A \cap \{x_1, \dots, x_t\}| \geq 2 \text{ then } (F \setminus A) \in \mathcal{I}(F, \mathcal{F}^*). \quad (5)$$

Indeed, the rank of \mathcal{J} exceeds $k - 2$, so we have that $F \setminus \{x_u\}, F \setminus \{x_v\} \notin \mathcal{I}(F, \mathcal{F}^*)$ ($1 \leq u < v \leq t$), but $F \setminus \{x_u, x_v\} \in \mathcal{I}(F, \mathcal{F}^*)$. Also $F \setminus \{x_w\} \in \mathcal{I}(F, \mathcal{F}^*)$ for $t < w \leq k$. Since \mathcal{J} is closed under intersection, we obtain that

$$F \setminus A = \left(\bigcap_{x_u, x_v \in A, u < v \leq t} (F \setminus \{x_u, x_v\}) \right) \cap \left(\bigcap_{x_w \in A, w > t} (F \setminus \{x_w\}) \right) \in \mathcal{I}(F, \mathcal{F}^*).$$

In the rest of the proof, we specify how one can build an **a**-cluster with host F using Lemma 7 if each A_i in an **a**-partition of F satisfies either one of (4) and (5) or $A_i = \{x_j\}$ with $1 < j \leq k$. There are several cases to consider.

Recall that $a_1 \geq a_2 \geq \dots \geq a_p$ and $a_1 \geq 2$. Define the positive integers i and ℓ as follows.

$$a_1 + \dots + a_{i-1} < t \leq a_1 + \dots + a_i,$$

$$\ell = t - (a_1 + \dots + a_{i-1}).$$

Except the last case, the host of the **a**-cluster is F .

Case 1: $\ell \geq 2$. Then $a_1, \dots, a_i \geq \ell \geq 2$.

Let $A_1, A_2, \dots, A_{i-1} \subset X = \{x_1, \dots, x_t\}$ and $|A_i \cap \{x_1, \dots, x_t\}| = \ell$.

Case 2: $\ell = 1$ and $a_i = 1$.

By our assumption, there exist $F_i := (F \setminus \{x_i\} \cup \{y_i\}) \in \mathcal{F}$ for $2 \leq i \leq t$, where y_i 's are distinct elements outside F . Let $A_1 \cup A_2 \cup \dots \cup A_i = \{x_1, \dots, x_t\}$, $x_1 \in A_1$.

From now on, $\ell = 1$ and $a_i \geq 2$ so $i \geq 2$.

Case 3: $\ell = 1$, $a_i \geq 2$ and $a_1 \geq 3$.

Let $A_1 \cup A_2 \cup \dots \cup A_i \supseteq \{x_1, \dots, x_t, x_{t+1}\}$, $x_{t+1} \in A_1$ and $A_2 \cup \dots \cup A_{i-1} \subset \{x_1, \dots, x_t\}$. We have that $|X \cap A_1|, |X \cap A_i| \geq 2$.

Case 4: $\ell = 1$, $a_i \geq 2$, $a_1 \leq 2$ and $a_p = 1$. Then $a_1 = \dots = a_i = 2$.

Let $A_1 \cup A_2 \cup \dots \cup A_{i-1} \cup A_p = \{x_1, \dots, x_t\}$, $A_p := \{x_t\}$.

Case 5: $\ell = 1$, $a_1 = \dots = a_p = 2$.

This implies that t is odd, $t \geq 3$, and $k = 2p$ is even so $t < k$. Pick a member F_0 from \mathcal{F}^* such that $F_0 = F \setminus \{x_k\} \cup \{y\}$ for some $y \neq y_2$. Choose an \mathbf{a} -partition of F_0 such that $A_1 = \{y, x_2\}$, which means $F_2 = F_0(A_1)$. The other parts are $A_2 = \{x_1, x_3\}$ and $A_j = \{x_{2j-2}, x_{2j-1}\}$ for $3 \leq j \leq p$. By (3.3) of Theorem 3, the intersection structure $\mathcal{I}(F_0, \mathcal{F}^*)$ is isomorphic to $\mathcal{I}(F, \mathcal{F}^*)$ so (4) and (5) imply that $F \setminus A_j \in \mathcal{I}(F_0, \mathcal{F}^*)$ for $2 \leq j \leq p$. Then Lemma 7 implies that there is an \mathbf{a} -cluster with host F_0 . \square

2.3. Type I dominates, a partition of \mathcal{F}

Apply Theorem 3 to \mathcal{F} to obtain $\mathcal{G}_1 := (\mathcal{F})^*$ with the intersection structure $\mathcal{J}_1 \subset 2^{[k]}$. Then we apply Theorem 3 again to $\mathcal{F} \setminus \mathcal{G}_1$ to obtain $\mathcal{G}_2 = (\mathcal{F} \setminus \mathcal{G}_1)^*$ and \mathcal{J}_2 , then apply to $\mathcal{F} \setminus (\mathcal{G}_1 \cup \mathcal{G}_2)$ and so on, until either $\mathcal{F} \setminus (\mathcal{G}_1 \cup \dots \cup \mathcal{G}_m) = \emptyset$ or $r(\mathcal{J}_{m+1}) \leq k - 2$ for some m . Let \mathcal{F}_1 be the union of those \mathcal{G}_i 's, where \mathcal{J}_i contains exactly $k - 1$ $(k - 1)$ -sets (type I families) and let \mathcal{F}_2 be the union of the rest of these families (type II families)

$$\mathcal{F}_2 := \bigcup_j \{ \mathcal{G}_j : r(\mathcal{J}_j) = k - 1, \text{ but } \mathcal{J}_j \text{ does not contain exactly } (k - 1) \text{ } (k - 1)\text{-sets} \}.$$

Finally, let

$$\mathcal{F}_3 := \mathcal{F} \setminus (\mathcal{G}_1 \cup \dots \cup \mathcal{G}_m) = \mathcal{F} \setminus (\mathcal{F}_1 \cup \mathcal{F}_2).$$

Lemma 10. If $\mathcal{F} \subset \binom{[n]}{k}$ is \mathbf{a} -cluster-free with $|\mathcal{F}| \geq \binom{n-1}{k-1}$, then

$$|\mathcal{F}_2| + |\mathcal{F}_3| \leq \frac{k}{c_1(k)} \binom{n}{k-2} + (k-1) \binom{n-1}{k-2} < c_2(k) n^{k-2},$$

where $c_1(k) := c(k, 2k)$ from (3.1).

Proof. Since the rank of \mathcal{J}_{m+1} is at most $k - 2$, each member of \mathcal{G}_{m+1} has its own $(k - 2)$ -subset in \mathcal{G}_{m+1} . We obtain as in (1) that

$$c(k, 2k) |\mathcal{F} \setminus (\mathcal{G}_1 \cup \dots \cup \mathcal{G}_m)| \leq |\mathcal{G}_{m+1}| \leq |\Delta_{k-2}(\mathcal{G}_{m+1})| \leq \binom{n}{k-2},$$

therefore we can write

$$\frac{k}{k-1} |\mathcal{F}_3| \leq \frac{k}{(k-1)c_1(k)} \binom{n}{k-2}.$$

Lemma 8 implies that every $F \in \mathcal{F}_1$ contains an own $(k - 1)$ -set. This and Lemma 9 give

$$|\mathcal{F}_1| + \frac{k}{k-1} |\mathcal{F}_2| \leq \sum_{F \in \mathcal{F}} \left(\sum_{v \in F} \frac{1}{\deg_{\mathcal{F}}(F \setminus \{v\})} \right) = |\Delta_{k-1}(\mathcal{F})| \leq \binom{n}{k-1}.$$

Compare the sum of the above two inequalities to $\binom{n-1}{k-1} \leq |\mathcal{F}_1| + |\mathcal{F}_2| + |\mathcal{F}_3|$. A simple calculation completes the proof. \square

2.4. Another partition, the stability of the extremum

For every $F \in \mathcal{F}_1$ there exists a type I family $\mathcal{G}_i \subset \mathcal{F}$, $F \in \mathcal{G}_i$. By the definition of type I family, there exists a (unique) $\ell := \ell(F)$ such that $\{E: \ell \in E \subset F\} \subset \mathcal{I}(F, \mathcal{G}_i)$. Classify the members $F \in \mathcal{F}_1$ according to $\ell(F)$, let $\mathcal{H}_i := \{F \in \mathcal{F}_1: \ell(F) = i\}$, $i \in [n]$. Let

$$\tilde{\mathcal{H}}_i := \{H \setminus \{i\}: H \in \mathcal{H}_i\}.$$

These families are pairwise disjoint, $\tilde{\mathcal{H}}_i \cap \tilde{\mathcal{H}}_j = \emptyset$. The shadows $\Delta_{k-2}(\tilde{\mathcal{H}}_i)$ are pairwise disjoint, too. Otherwise, for a set $H \in \Delta_{k-2}(\tilde{\mathcal{H}}_i) \cap \Delta_{k-2}(\tilde{\mathcal{H}}_j)$, $i \neq j$, (2) implies that $H' = H \cup \{i, j\} \in \mathcal{H}_i \cap \mathcal{H}_j$ contradicting with the uniqueness of $\ell(H')$.

Given a positive integer d and real x define $\binom{x}{d}$ as $x(x-1)\cdots(x-d+1)/d!$. We will need the following version of the Kruskal–Katona theorem due to Lovász.

Theorem 11. (See [15].) Suppose that $\mathcal{H} \subset \binom{[n]}{d}$ and $|\mathcal{H}| = \binom{x}{d}$, $x \geq d$. Then $|\Delta_h(\mathcal{H})| \geq \binom{x}{h}$ holds for all $d > h \geq 0$.

In case of $\mathcal{H}_i \neq \emptyset$ let x_i be a real number such that $x_i \geq k-1$ and $|\tilde{\mathcal{H}}_i| = \binom{x_i}{k-1}$. Without loss of generality, let x_1 be the maximal one, i.e. $n-1 \geq x_1 \geq x_i$. We obtain for all $i \in [n]$ that

$$|\mathcal{H}_i| = |\tilde{\mathcal{H}}_i| \leq \binom{x_i}{k-1} |\Delta_{k-2}(\tilde{\mathcal{H}}_i)| \leq \frac{x_1 - k + 2}{k-1} |\Delta_{k-2}(\tilde{\mathcal{H}}_i)| \leq \frac{n - k + 1}{k-1} |\Delta_{k-2}(\tilde{\mathcal{H}}_i)|. \quad (6)$$

We assume that $|\mathcal{F}| \geq \binom{n-1}{k-1}$. Then Lemma 10 gives a lower bound for $|\mathcal{F}_1| = \sum |\mathcal{H}_i|$,

$$\binom{n-1}{k-1} - c_2 n^{k-2} \leq \sum_{i \in [n]} |\mathcal{H}_i| \leq \frac{x_1 - k + 2}{k-1} \left(\sum_{i \in [n]} |\Delta_{k-2}(\tilde{\mathcal{H}}_i)| \right) \leq \frac{x_1 - k + 2}{k-1} \binom{n}{k-2}.$$

This inequality implies that $x_1 > n - c_3$ for some constant $c_3 = c_3(k)$. Therefore there exists a constant $c_4 := c_4(k)$ such that

$$\sum_{2 \leq i \leq k} |\mathcal{H}_i| = \sum_{2 \leq i \leq k} |\tilde{\mathcal{H}}_i| \leq \binom{n}{k-1} - \binom{n-c_3}{k-1} < c_4 n^{k-2}.$$

This and Lemma 10 lead to

$$|\mathcal{F} \setminus \mathcal{H}_1| \leq (c_2 + c_4) n^{k-2}. \quad (7)$$

Note that (with minor modifications) the arguments in the above two sections lead to the following stability result.

Theorem 12. For every $\varepsilon > 0$ there exists a $\delta > 0$ and $n_0 = n_0(k, \varepsilon)$ such that the following holds. If $\mathcal{F} \subset \binom{[n]}{k}$ contains no **a**-cluster and $|\mathcal{F}| > (1 - \delta) \binom{n-1}{k-1}$, $n > n_0$, then there exists an element $v \in [n]$ such that all but at most $\varepsilon \binom{n-1}{k-1}$ members of \mathcal{F} contains v .

2.5. The extremal family is unique, the end of the proof

In this section we complete the proof of Theorem 2. We have given a family $\mathcal{F} \subset \binom{[n]}{k}$ containing no **a**-cluster and of size $|\mathcal{F}| \geq \binom{n-1}{k-1}$. In previous sections we have already defined $\mathcal{H}_1 \subset \mathcal{F}_1$, \mathcal{F}_2 , and \mathcal{F}_3 and showed in (7) that \mathcal{H}_1 constitutes the bulk of \mathcal{F} . One can see (as we have seen in Lemma 8) that

$$F \in \mathcal{F}, H \in \mathcal{H}_1, |F \cap H| \geq k - a_1 \quad \text{imply} \quad 1 \in F. \quad (8)$$

Let us split \mathcal{F} into four subfamilies

$$\mathcal{B} = \{B: 1 \notin B \in \mathcal{F}\},$$

$$\mathcal{C} = \{C: 1 \in C \in \mathcal{F} \text{ and } |C \cap B| \geq k - a_1 \text{ for some } B \in \mathcal{B}\},$$

$$\mathcal{D} = \{D: 1 \in D \in \mathcal{F} \setminus \mathcal{C} \text{ and every } S \text{ with } 1 \in S \subsetneq D \\ \text{is a center of some delta-system of } \mathcal{F} \text{ of size } 2k\},$$

$$\mathcal{E} = \{E: 1 \in E \in \mathcal{F}\} \setminus (\mathcal{C} \cup \mathcal{D}).$$

We have $\mathcal{H}_1 \subset \mathcal{D}$. In (16), (17) and (20) we will prove that for sufficiently large n with respect to k , one has

$$|\mathcal{D}| + 4|\mathcal{B}| \leq \binom{n-1}{k-1}, \quad |\mathcal{D}| + 4|\mathcal{C}| \leq \binom{n-1}{k-1}, \quad |\mathcal{D}| + 4|\mathcal{E}| \leq \binom{n-1}{k-1}. \quad (9)$$

By adding these three, we have

$$3|\mathcal{F}| + (|\mathcal{B}| + |\mathcal{C}| + |\mathcal{E}|) \leq 3\binom{n-1}{k-1}$$

implying $\mathcal{B} = \mathcal{C} = \mathcal{E} = \emptyset$. Thus $\mathcal{F} = \mathcal{D}$, $\bigcap \mathcal{F} \neq \emptyset$, and we are done.

Before starting the proof of (9), let us define the following subfamilies:

$$\tilde{\mathcal{C}} := \{C \setminus \{1\}: C \in \mathcal{C}\}, \quad \tilde{\mathcal{D}} := \{D \setminus \{1\}: D \in \mathcal{D}\}, \quad \tilde{\mathcal{E}} := \{E \setminus \{1\}: E \in \mathcal{E}\}. \quad (10)$$

We also apply Theorem 3 with $c_1(k) := c(k, s)$ and $s = 2k$ to $\tilde{\mathcal{C}}$ and $\tilde{\mathcal{E}}$ to obtain $(k-1)$ -partite subfamilies $\mathcal{C}^* \subset \tilde{\mathcal{C}}$ and $\mathcal{E}^* \subset \tilde{\mathcal{E}}$. By (3.1), we have

$$|\mathcal{C}^*| \geq c_1(k)|\tilde{\mathcal{C}}| = c_1(k)|\mathcal{C}| \quad \text{and} \quad |\mathcal{E}^*| \geq c_1(k)|\tilde{\mathcal{E}}| = c_1(k)|\mathcal{E}|. \quad (11)$$

Since each member of $\tilde{\mathcal{D}}$ has $(k-1)$ subsets of size $k-2$ and every $(k-2)$ -set is contained in at most $(n-k+1)$ members of $\tilde{\mathcal{D}}$ we have that $(n-k+1)|\Delta_{k-2}(\tilde{\mathcal{D}})| \geq (k-1)|\tilde{\mathcal{D}}|$. Rearranging and using $|\tilde{\mathcal{D}}| = |\mathcal{D}|$ we obtain

$$\frac{n-k+1}{k-1} |\Delta_{k-2}(\tilde{\mathcal{D}})| \geq |\mathcal{D}|. \quad (12)$$

Subfamily \mathcal{B} . By definition of \mathcal{D} and Lemma 8, we have $|D \cap B| \neq k-2$ for all $D \in \tilde{\mathcal{D}}$ and $B \in \mathcal{B}$. In other words, $\Delta_{k-2}(\tilde{\mathcal{D}}) \cap \Delta_{k-2}(\mathcal{B}) = \emptyset$. Hence,

$$\binom{n-1}{k-2} \geq |\Delta_{k-2}(\tilde{\mathcal{D}})| + |\Delta_{k-2}(\mathcal{B})|.$$

Multiplying (14) with $(n-k+1)/(k-1)$ and using (12), we obtain

$$\binom{n-1}{k-1} \geq |\mathcal{D}| + \frac{n-k+1}{k-1} |\Delta_{k-2}(\mathcal{B})|. \quad (13)$$

Let $x \geq k-1$ be a real number such that $|\Delta_{k-1}(\mathcal{B})| = \binom{x}{k-1}$. By Theorem 11, we have

$$|\Delta_{k-2}(\mathcal{B})| \geq \frac{k-1}{x-k+2} |\Delta_{k-1}(\mathcal{B})|. \quad (14)$$

By Lemma 6,

$$|\Delta_{k-1}(\mathcal{B})| \geq c_1(k)|\mathcal{B}|. \quad (15)$$

Then (13)–(15) yield

$$\binom{n-1}{k-1} \geq |\mathcal{D}| + c_1(k) \frac{n-k+1}{x-k+2} |\mathcal{B}|. \quad (16)$$

Since \mathcal{B} is contained in $\mathcal{F} \setminus \mathcal{H}_1$ inequality (7) gives

$$\binom{x}{k-1} = |\Delta_{k-1}(\mathcal{B})| \leq k|\mathcal{B}| < k(c_2 + c_4)n^{k-2}$$

implying that $x < c_5 n^{(k-2)/(k-1)}$ for some constant c_5 . Therefore, the coefficient of $|\mathcal{B}|$ in (16) is at least 4 for sufficiently large n .

Subfamily \mathcal{C} . We denote the homogeneous intersection structure of \mathcal{C} by $\mathcal{J}_{\mathcal{C}}$.

Claim 13. Each $C' \in \mathcal{C}^*$ has a $(k-2)$ -set such that it is contained neither in $\Delta_{k-2}(\tilde{\mathcal{D}})$ nor in $\mathcal{I}(C', \mathcal{C}^*)$.

Proof. Suppose, on the contrary, that for some $C' = \{x_1, \dots, x_{k-1}\} \in \mathcal{C}^*$ with $C = C' \cup \{1\} \in \mathcal{C}$, we have

$$C' \setminus \{x_i\} \in \begin{cases} \mathcal{I}(C', \tilde{\mathcal{D}}), & i = 1, \dots, r, \\ \mathcal{I}(C', \mathcal{C}^*), & i = r+1, \dots, k-1. \end{cases}$$

All subsets of $C' \setminus \{x_i\}$ are contained in $\mathcal{I}(C', \tilde{\mathcal{D}})$, for $1 \leq i \leq r$, and all supersets of the set $\{x_1, \dots, x_r\}$ in C' , except C' itself, are contained in $\mathcal{I}(C', \mathcal{C}^*)$. So, for all $S \subset C'$, there is a delta-system of size $2k$ with center $S \cup \{1\}$.

We claim that $r \geq 1$. Otherwise $\mathcal{J}_{\mathcal{C}} = 2^{[k-1]} \setminus \{[k-1]\}$ and there exists a member $C'' \in \mathcal{C}$ such that $C'' \setminus \{1\} \in \mathcal{C}^*$ and $|C'' \cap B| = k - a_1$ for some $B \in \mathcal{B}$. Then one can build an \mathbf{a} -cluster with host C'' such that $C''(A_1) = B$.

Let $D_i \in \mathcal{D}$ such that $C \cap D_i = C \setminus \{x_i\}$, for $i = 1, \dots, r$ and choose a $B \in \mathcal{B}$ with $|C \cap B| \geq k - a_1$. By definition of \mathcal{D} ,

$$|D_i \cap B| \leq k - a_1 - 1.$$

We also have

$$|D_i \cap B| + 1 \geq |C' \cap B| = |C \cap B| \geq k - a_1.$$

Therefore, $x_i \in C \cap B$ for all $i = 1, \dots, r$ and $|C \cap B| = k - a_1$ and one can build an \mathbf{a} -cluster with host C and $C(A_1) = B$, a contradiction. \square

By Claim 13, we have

$$\binom{n-1}{k-2} \geq |\Delta_{k-2}(\tilde{\mathcal{D}})| + |\mathcal{C}^*|.$$

Multiplying this by $\frac{n-k+1}{k-1}$ and applying (11) and (12) we obtain

$$\binom{n-1}{k-1} \geq |\mathcal{D}| + c_1(k) \frac{n-k+1}{k-1} |\mathcal{C}|. \quad (17)$$

Subfamily \mathcal{E} . First we show that each $E' \in \mathcal{E}^*$ has a $(k-2)$ -subset that is neither in $\mathcal{I}(E', \mathcal{E}^*)$ nor in $\mathcal{I}(E', \tilde{\mathcal{D}})$. Suppose, on the contrary, that for some $E \in \mathcal{E}$, $E' := E \setminus \{1\} \in \mathcal{E}^*$, $E' = \{x_1, \dots, x_{k-1}\}$ such that

$$E' \setminus \{x_i\} \in \begin{cases} \mathcal{I}(E', \tilde{\mathcal{D}}), & i = 1, \dots, r, \\ \mathcal{I}(E', \mathcal{E}^*), & i = r+1, \dots, k-1. \end{cases} \quad (18)$$

All subsets of $E' \setminus \{x_i\}$ are contained in $\mathcal{I}(E', \tilde{\mathcal{D}})$, for $1 \leq i \leq r$, and all supersets of the set $\{x_1, \dots, x_r\}$ in E' , except E' itself, are contained in $\mathcal{I}(E', \mathcal{E}^*)$. So, for all $S \subset E'$, there is a delta-system of size $2k$ with center $S \cup \{1\}$. This contradicts to $E \notin \mathcal{D}$.

Since every $E' \in \mathcal{E}^*$ contains a $(k-2)$ -set that is not contained in any member of $\tilde{\mathcal{D}}$ or another member of \mathcal{E}^* , we have

$$\binom{n-1}{k-2} \geq |\Delta_{k-2}(\tilde{\mathcal{D}})| + |\mathcal{E}^*|. \quad (19)$$

After multiplying (19) with $\frac{n-k+1}{k-1}$ and applying the inequalities (11) and (12), we obtain

$$\binom{n-1}{k-1} \geq |\mathcal{D}| + c_1(k) \frac{n-k+1}{k-1} |\mathcal{E}|. \quad (20)$$

3. Concluding remarks

3.1. Finding a $(k, k+1)$ -cluster

Our first observation is, that in Conjecture 1 the constraint $d \leq k$ is not necessary. We prove the case $d = k+1$. It is not clear what is the possible maximum value of d . We need a classical result of Bollobás [3]. A *cross-intersecting set system*, $\{A_i, B_i\}$ for $i \in [m]$, is a collection of pairs of sets such that $A_i \cap B_i = \emptyset$ and $A_i \cap B_j \neq \emptyset$ for $i \neq j$. If $|A_i| \leq a$ and $|B_i| \leq b$ (for all $1 \leq i \leq m$) then

$$m \leq \binom{a+b}{a}.$$

Equality holds only if $\{A_1, \dots, A_m\} = \binom{[a+b]}{a}$ and $B_i = [a+b] \setminus A_i$.

Theorem 14. If $\mathcal{F} \subset \binom{[n]}{k}$ contains no $(k, k+1)$ -cluster and $n \geq k$, then $|\mathcal{F}| \leq \binom{n-1}{k-1}$. Here equality holds only if $\bigcap \mathcal{F} \neq \emptyset$.

Proof. Every $F \in \mathcal{F}$ has a $(k-1)$ -subset $B(F) \subset F$ that is not contained by any other member of \mathcal{F} , otherwise there are sets $F_1, \dots, F_k \in \mathcal{F}$ such that $F = \{x_1, \dots, x_k\}$ and $F \cap F_i = F \setminus \{x_i\}$, a contradiction. Therefore, the sets $\{B(F), [n] - F\}$ form an intersecting set pair system and the result of Bollobás yields $|\mathcal{F}| \leq \binom{(k-1)+(n-k)}{k-1} = \binom{n-1}{k-1}$. \square

3.2. Trees in hypergraphs, Kalai's conjecture

A system of k -sets $\mathbb{T} := \{E_1, E_2, \dots, E_q\}$ is called a *tree* (k -tree) if for every $2 \leq i \leq q$ we have $|E_i \setminus \bigcup_{j < i} E_j| = 1$, and there exists an $\alpha = \alpha(i) < i$ such that $|E_\alpha \cap E_i| = k-1$. The case $k=2$ corresponds to the usual trees in graphs. Let \mathbb{T} be a k -tree on v vertices, and let $\text{ex}_k(n, \mathbb{T})$ denote the maximum size of a k -family on n elements without \mathbb{T} . We have

$$\text{ex}_k(n, \mathbb{T}) \geq (1 + o(1)) \frac{v-k}{k} \binom{n}{k-1}. \quad (21)$$

Indeed, consider a $P(n, v-1, k-1)$ packing P_1, \dots, P_m on the vertex set $[n]$. This means that $|P_i| = v-1$ and $|P_i \cap P_j| < k-1$ for $1 \leq i < j \leq m$. Rödl's [21] theorem gives a packing of the size $m = (1 + o(1)) \binom{n}{k-1} / \binom{v-1}{k-1}$, when $n \rightarrow \infty$. Put a complete k -hypergraph into each P_i , the obtained k -graph does not contain \mathbb{T} .

Conjecture 15. (Erdős and Sós for graphs, Kalai 1984 for all k , see in [10].)

$$\text{ex}_k(n, \mathbb{T}) \leq \frac{v-k}{k} \binom{n}{k-1}.$$

This was proved for *star-shaped* trees by Frankl and the first author [10], i.e., whenever \mathbb{T} contains an edge which intersects all other edges in $k - 1$ vertices. (For $k = 2$ these are the diameter 3 trees, i.e., 'brooms'.)

Note that a **1**-cluster is a k -tree with $v = 2k$, here $\mathbf{1} := (1, 1, \dots, 1)$. A Steiner system $S(n, k, t)$ is a *perfect* packing, a family of k -subsets of $[n]$ such that each t -subset of $[n]$ is contained in a unique member of that family. So if an $S(n, 2k - 1, k - 1)$ exists then construction (21) gives a cluster-free k -family of size $\binom{n}{k-1}$, slightly exceeding the EKR bound. (Such designs exist, e.g., for $k = 3$ and $n \equiv 1$ or $5 \pmod{20}$, see [2].) On the other hand, the result of Frankl and the first author [10] (cited above) implies that if $\mathcal{F} \subset \binom{[n]}{k}$ is a family with more than $\binom{n}{k-1}$ members, then \mathcal{F} contains every star-shaped tree with $k + 1$ edges, especially it contains a **1**-cluster.

3.3. Traces

Theorem 2 is related to the trace problem of uniform hypergraphs. Given a hypergraph H , its trace on $S \subseteq V(H)$ is defined as the set $\{E \cap S : E \in \mathcal{E}(H)\}$. Let $\text{Tr}(n, r, k)$ denote the maximum number of edges in an r -uniform hypergraph of order n and not admitting the power set $2^{[k]}$ as a trace. For $k \leq r \leq n$, the bound $\text{Tr}(n, r, k) \leq \binom{n}{k-1}$ was proved by Frankl and Pach [11]. Mubayi and Zhao [20] slightly reduced this upper bound by $\log_p n - k!k^k$ in the case when $k - 1$ is a power of the prime p and n is large. On the other hand, Ahlswede and Khachatrian [1] showed $\text{Tr}(n, k, k) \geq \binom{n-1}{k-1} + \binom{n-4}{k-3}$ for $n \geq 2k \geq 6$.

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