Sauer-Shelah Lemma

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Abstract

The Sauer-Shelah Lemma is a fundemental result in extremal set theory and combinatorics, that guarentees the existence of a set T of size k which is shattered by a family of sets $\mathcal{F}$, if the cardinality of the family is greater than some bound dependent on k. A set T is said to be shattered by a family $\mathcal{F}$ if every subset of T can be obtained as an intersection of T with some set $S \in \mathcal{F}$. The Sauer-Shelah Lemma has found use in diverse fields such as computational geometry, approximation algorithms and machine learning. In this entry we formalize the notion of shattering and prove the generalized and standard versions of the Sauer-Shelah Lemma.

Contents

1 Introduction

The goal of this entry is to formalize the Sauer-Shelah Lemma. The result was first published by Sauer [2] and Shelah [3] independent from one another. The proof presented in this entry is based on an article by Kalai [1].

The lemma has a wide range of applications. Vapnik and Chervonenkis [4] reproved and used the lemma in the context of statistical learning theory. For instance, the VC-dimension of a family of sets is defined as the size of the largest set the family shatters. In this context the Sauer-Shelah Lemma is a result tying the VC-dimension of a family to the number of sets in the family.

2 Definitions and lemmas about shattering

theory *Shattering*
  imports *Main*
begin

2.1 Intersection of a family of sets with a set

abbreviation *IntF* :: $'a\ set\ set \Rightarrow\ 'a\ set \Rightarrow\ 'a\ set\ set$ (**infixl** $\cap*$ *60*)
  where $F \cap* S \equiv ((\cap)\ S)\ `\ F$

lemma *idem-IntF*:
  assumes $\bigcup A \subseteq Y$
  shows $A \cap* Y = A$
proof −
  from *assms* **have** $A \subseteq A \cap* Y$ **by** *blast*
  thus *?thesis* **by** *fastforce*
qed

lemma *subset-IntF*:
  assumes $A \subseteq B$
  shows $A \cap* X \subseteq B \cap* X$
  using *assms* **by** (*rule image-mono*)

lemma *Int-IntF*: $(A \cap* Y) \cap* X = A \cap* (Y \cap X)$
proof
  show $A \cap* Y \cap* X \subseteq A \cap* (Y \cap X)$
  proof
    fix S
    assume $S \in A \cap* Y \cap* X$
    then obtain *a-y* **where** *A-Y0*: $a\text{-}y \in A \cap* Y$ **and** *A-Y1*: $a\text{-}y \cap X = S$ **by** *blast*
    from *A-Y0* **obtain** a **where** *A0*: $a \in A$ **and** *A1*: $a \cap Y = a\text{-}y$ **by** *blast*
    from *A-Y1 A1* **have** $a \cap (Y \cap X) = S$ **by** *fast*
    with *A0* **show** $S \in A \cap* (Y \cap X)$ **by** *blast*
  qed
next
  show $A \cap* (Y \cap X) \subseteq A \cap* Y \cap* X$
  proof
    fix S
    assume $S \in A \cap* (Y \cap X)$

then obtain *a* **where** *A0*: $a \in A$ **and** *A1*: $a \cap (Y \cap X) = S$ **by** *blast*
from *A0* **have** $a \cap Y \in A \cap* Y$ **by** *blast*
with *A1* **show** $S \in (A \cap* Y) \cap* X$ **by** *blast*
qed
qed

insert distributes over IntF

lemma *insert-IntF*:
shows *insert x* ‘ $(H \cap* S) = ($*insert x* ‘ $H) \cap* ($*insert x S*$)$
proof
show *insert x* ‘ $(H \cap* S) \subseteq ($*insert x* ‘ $H) \cap* ($*insert x S*$)$
proof
fix *y-x*
assume *y-x* $\in$ *insert x* ‘ $(H \cap* S)$
then obtain *y* **where** *0*: $y \in (H \cap* S)$ **and** *1*: *y-x* $= y \cup \{x\}$ **by** *blast*
from *0* **obtain** *yh* **where** *2*: $yh \in H$ **and** *3*: $y = yh \cap S$ **by** *blast*
from *1 3* **have** *y-x* $= (yh \cup \{x\}) \cap (S \cup \{x\})$ **by** *simp*
with *2* **show** *y-x* $\in ($*insert x* ‘ $H) \cap* ($*insert x S*$)$ **by** *blast*
qed
next
show *insert x* ‘ $H \cap* ($*insert x S*$) \subseteq$ *insert x* ‘ $(H \cap* S)$
proof
fix *y-x*
assume *y-x* $\in$ *insert x* ‘ $H \cap* ($*insert x S*$)$
then obtain *yh-x* **where** *0*: *yh-x* $\in (\lambda Y.\ Y \cup \{x\})$ ‘ H **and** *1*: *y-x* $=$ *yh-x* $\cap$ $(S \cup \{x\})$ **by** *blast*
from *0* **obtain** *yh* **where** *2*: $yh \in H$ **and** *3*: *yh-x* $= yh \cup \{x\}$ **by** *blast*
from *1 3* **have** *y-x* $= (yh \cap S) \cup \{x\}$ **by** *simp*
with *2* **show** *y-x* $\in$ *insert x* ‘ $(H \cap* S)$ **by** *blast*
qed
qed

2.2 Definition of shattering

abbreviation *shatters* :: *'a set set* $\Rightarrow$ *'a set* $\Rightarrow$ *bool* (**infixl** *shatters 70*)
where *H shatters A* $\equiv H \cap* A =$ *Pow A*

definition *VC-dim* :: *'a set set* $\Rightarrow$ *nat*
where *VC-dim F* $=$ *Sup* $\{$*card S* $\mid$ *S. F shatters S*$\}$

definition *shattered-by* :: *'a set set* $\Rightarrow$ *'a set set*
where *shattered-by F* $\equiv \{A.$ *F shatters A*$\}$

lemma *shattered-by-in-Pow*:
shows *shattered-by F* $\subseteq$ *Pow* $(\bigcup F)$
unfolding *shattered-by-def* **by** *blast*

lemma *subset-shatters*:
assumes $A \subseteq B$ **and** *A shatters X*
shows *B shatters X*

proof $-$
  from *assms*(*1*) **have** $A \cap* X \subseteq B \cap* X$ **by** *blast*
  with *assms*(*2*) **have** $Pow\ X \subseteq B \cap* X$ **by** *presburger*
  thus *?thesis* **by** *blast*
qed

lemma *supset-shatters*:
  assumes $Y \subseteq X$ **and** *A shatters X*
  shows *A shatters Y*
proof $-$
  have *h*: $\bigcup(Pow\ Y) \subseteq Y$ **by** *simp*
  from *assms* **have** *0*: $Pow\ Y \subseteq A \cap* X$ **by** *auto*
  from *subset-IntF*[*OF 0*, *of Y*] *Int-IntF*[*of Y X A*] *idem-IntF*[*OF h*] **have** $Pow\ Y \subseteq A \cap* (X \cap Y)$ **by** *argo*
  with *Int-absorb2*[*OF assms*(*1*)] *Int-commute*[*of X Y*] **have** $Pow\ Y \subseteq A \cap* Y$ **by** *presburger*
  then show *?thesis* **by** *fast*
qed

lemma *shatters-empty*:
  assumes $F \neq \{\}$
  shows *F shatters* $\{\}$
using *assms* **by** *fastforce*

lemma *subset-shattered-by*:
  assumes $A \subseteq B$
  shows *shattered-by* $A \subseteq$ *shattered-by B*
unfolding *shattered-by-def* **using** *subset-shatters*[*OF assms*] **by** *force*

lemma *finite-shattered-by*:
  assumes *finite* $(\bigcup F)$
  shows *finite* (*shattered-by F*)
  using *assms rev-finite-subset*[*OF - shattered-by-in-Pow*, *of F*] **by** *fast*

The following example shows that requiring finiteness of a family of sets is not enough

lemma $\exists F$::*nat set set*. *finite F* $\wedge$ *infinite* (*shattered-by F*)
proof $-$
  let $?F = \{odd -` \{True\}, odd -` \{False\}\}$
  have *0*: *finite ?F* **by** *simp*

  let $?f = \lambda n$::*nat*. $\{n\}$
  let *?N* = *range ?f*
  have *inj* $(\lambda n.\ \{n\})$ **by** *simp*
  with *infinite-iff-countable-subset*[*of ?N*] **have** *infinite-N*: *infinite ?N* **by** *blast*
  have *F-shatters-any-singleton*: *?F shatters* $\{n$::*nat*$\}$ **for** *n*
  proof $-$
    have *Pow-n*: $Pow\ \{n\} = \{\{n\}, \{\}\}$ **by** *blast*
    have *1*: $Pow\ \{n\} \subseteq ?F \cap* \{n\}$

proof (*cases odd n*)
case *True*
from *True* **have** $(odd -` \{False\}) \cap \{n\} = \{\}$ **by** *blast*
hence *0*: $\{\} \in$ *?F* $\cap* \{n\}$ **by** *blast*
from *True* **have** $(odd -` \{True\}) \cap \{n\} = \{n\}$ **by** *blast*
hence *1*: $\{n\} \in$ *?F* $\cap* \{n\}$ **by** *blast*
from *0 1 Pow-n* **show** *?thesis* **by** *simp*
next
case *False*
from *False* **have** $(odd -` \{True\}) \cap \{n\} = \{\}$ **by** *blast*
hence *0*: $\{\} \in$ *?F* $\cap* \{n\}$ **by** *blast*
from *False* **have** $(odd -` \{False\}) \cap \{n\} = \{n\}$ **by** *blast*
hence *1*: $\{n\} \in$ *?F* $\cap* \{n\}$ **by** *blast*
from *0 1 Pow-n* **show** *?thesis* **by** *simp*
qed
thus *?thesis* **by** *fastforce*
qed
then have *?N* $\subseteq$ *shattered-by ?F* **unfolding** *shattered-by-def* **by** *force*
from *0 infinite-super*[*OF this infinite-N*] **show** *?thesis* **by** *blast*
qed

end

3 Lemmas involving the cardinality of sets

theory *Card-Lemmas*
imports *Main*
begin

lemma *card-diff*:
assumes *finite A*
shows *card A* = *card* $(A - B)$ + *card* $(A \cap B)$
proof −
from *assms* **have** *fin0*: *finite* $(A - B)$ **and** *fin1*: *finite* $(A \cap B)$ **by** *blast+*
have *A-equ*: $A = (A - B) \cup (A \cap B)$ **and** *disjoint*: $(A - B) \cap (A \cap B) = \{\}$ **by** *blast+*
from *card-Un-disjoint*[*OF fin0 fin1 disjoint*] *A-equ* **show** *?thesis* **by** *argo*
qed

lemma *card-Int-copy*:
assumes *finite X* **and** $A \cup B \subseteq X$ **and** $\exists f.$ *inj-on f* $(A \cap B) \land (A \cup B) \cap (f ` (A \cap B)) = \{\} \land f ` (A \cap B) \subseteq X$
shows *card A* + *card B* $\leq$ *card X*
proof −
from *rev-finite-subset*[*OF assms*(*1*), *of A*] *rev-finite-subset*[*OF assms*(*1*), *of B*] *assms*(*2*)
have *finite-A*: *finite A* **and** *finite-B*: *finite B* **by** *blast+*
then have *finite-A-Un-B*: *finite* $(A \cup B)$ **and** *finite-A-Int-B*: *finite* $(A \cap B)$ **by**

blast+
from *assms*(*3*) **obtain** *f* **where** *f-inj-on*: *inj-on f* $(A \cap B)$ **and** *f-disjnt*: $(A \cup B) \cap (f\ `\ (A \cap B)) = \{\}$ **and** *f-imj-in*: $f\ `\ (A \cap B) \subseteq X$ **by** *blast*
from *finite-A-Int-B* **have** *finite-f-img*: *finite* $(f\ `\ (A \cap B))$ **by** *blast*
from *assms*(*2*) *f-imj-in* **have** *union-in*: $(A \cup B) \cup f\ `\ (A \cap B) \subseteq X$ **by** *blast*

from *card-Un-Int*[*OF finite-A finite-B*] **have** *card A* + *card B* = *card* $(A \cup B)$ + *card* $(A \cap B)$ **.**
also from *card-image*[*OF f-inj-on*] **have** ... = *card* $(A \cup B)$ + *card* $(f\ `\ (A \cap B))$ **by** *presburger*
also from *card-Un-disjoint*[*OF finite-A-Un-B finite-f-img f-disjnt*] **have** ... = *card* $((A \cup B) \cup f\ `\ (A \cap B))$ **by** *argo*
also from *card-mono*[*OF assms*(*1*) *union-in*] **have** ... $\leq$ *card X* **by** *blast*
finally show *?thesis* **.**
qed

lemma *card-ge-0*:
assumes $A \neq \{\}$ **and** *finite A*
shows *0* < *card A*
proof −
from *assms*(*1*) **have** $\{\} \subset A$ **by** *blast*
from *psubset-card-mono*[*OF assms*(*2*) *this*] **show** *?thesis* **by** *force*
qed

lemma *finite-diff-not-empty*:
assumes *finite Y* **and** *card Y* < *card X*
shows $X - Y \neq \{\}$
proof
assume $X - Y = \{\}$
hence $X \subseteq Y$ **by** *simp*
from *card-mono*[*OF assms*(*1*) *this*] *assms*(*2*) **show** *False* **by** *linarith*
qed

lemma *obtain-difference-element*:
fixes *F* :: *'a set set*
assumes *2* $\leq$ *card F*
obtains *x* **where** $x \in \bigcup F$ $x \notin \bigcap F$
proof −
from *assms card-le-Suc-iff*[*of 1 F*] **obtain** *A F'* **where** *0*: *F* = *insert A F'* **and** *1*: $A \notin F'$ **and** *2*: *1* $\leq$ *card F'* **by** *auto*
from *2 card-le-Suc-iff*[*of 0 F'*] **obtain** *B F''* **where** *3*: *F'* = *insert B F''* **by** *auto*
from *1 3* **have** *A-noteq-B*: $A \neq B$ **by** *blast*
from *0 3* **have** *A-in-F*: $A \in F$ **and** *B-in-F*: $B \in F$ **by** *blast+*
from *A-noteq-B* **have** $(A - B) \cup (B - A) \neq \{\}$ **by** *simp*
with *A-in-F B-in-F that* **show** *thesis* **by** *blast*
qed

end

4 Lemmas involving the binomial coefficient

theory *Binomial-Lemmas*
imports *Main*
begin

lemma *choose-mono*:
assumes $x \leq y$
shows x *choose* $n \leq y$ *choose* n
proof −
have *finite* $\{0..<y\}$ **by** *blast*
with *finite-Pow-iff*[*of* $\{0..<y\}$] **have** *finiteness*: *finite* $\{K \in Pow\ \{0..<y\}.\ card\ K = n\}$ **by** *simp*
from *assms* **have** $Pow\ \{0..<x\} \subseteq Pow\ \{0..<y\}$ **by** *force*
then have $\{K \in Pow\ \{0..<x\}.\ card\ K = n\} \subseteq \{K \in Pow\ \{0..<y\}.\ card\ K = n\}$ **by** *blast*
from *card-mono*[*OF finiteness this*] **show** *?thesis* **unfolding** *binomial-def* **.**
qed

lemma *choose-row-sum-set*:
assumes *finite* $(\bigcup F)$
shows *card* $\{S.\ S \subseteq \bigcup F \wedge card\ S \leq k\} = (\sum i{\leq}k.\ card\ (\bigcup\ F)\ choose\ i)$
proof (*induction* k)
case *0*
from *rev-finite-subset*[*OF assms*] **have** $S \subseteq \bigcup F \wedge card\ S \leq 0 \longleftrightarrow S = \{\}$ **for** S **by** *fastforce*
then show *?case* **by** *simp*
next
case (*Suc k*)
let $?FS = \{S.\ S \subseteq \bigcup\ F \wedge card\ S \leq Suc\ k\}$
and $?F\text{-}Asm = \{S.\ S \subseteq \bigcup\ F \wedge card\ S \leq k\}$
and $?F\text{-}Step = \{S.\ S \subseteq \bigcup\ F \wedge card\ S = Suc\ k\}$

from *finite-Pow-iff*[*of* $\bigcup F$] *assms* **have** *finite-Pow-Un-F*: *finite* $(Pow\ (\bigcup\ F))$ **..**
have $?F\text{-}Asm \subseteq Pow\ (\bigcup\ F)$ **and** $?F\text{-}Step \subseteq Pow\ (\bigcup\ F)$ **by** *fast+*
with *rev-finite-subset*[*OF finite-Pow-Un-F*] **have** *finite-F-Asm*: *finite ?F-Asm* **and** *finite-F-Step*: *finite ?F-Step* **by** *presburger+*

have *F-Un*: $?FS = ?F\text{-}Asm \cup ?F\text{-}Step$ **and** *F-disjoint*: $?F\text{-}Asm \cap ?F\text{-}Step = \{\}$ **by** *fastforce+*
from *card-Un-disjoint*[*OF finite-F-Asm finite-F-Step F-disjoint*] *F-Un* **have** *card* $?FS = card\ ?F\text{-}Asm + card\ ?F\text{-}Step$ **by** *argo*
also from *Suc* **have** $... = (\sum i{\leq}k.\ card\ (\bigcup\ F)\ choose\ i) + card\ ?F\text{-}Step$ **by** *argo*
also from *n-subsets*[*OF assms*, *of Suc k*] **have** $... = (\sum i{\leq}Suc\ k.\ card\ (\bigcup\ F)\ choose\ i)$ **by** *force*
finally show *?case* **by** *blast*
qed

end

5 Sauer-Shelah Lemma

theory *Sauer-Shelah-Lemma*
imports *Main Shattering Card-Lemmas Binomial-Lemmas*
begin

5.1 Generalized Sauer-Shelah Lemma

lemma *sauer-shelah-0*:
fixes $F :: 'a\ set\ set$
shows $finite\ (\bigcup\ F) \Longrightarrow card\ F \leq card\ (shattered\text{-}by\ F)$
proof (*induction F rule*: *measure-induct-rule*[*of card*])
case (*less F*)
note *finite-F* = *finite-UnionD*[*OF less*(*2*)]
note *finite-shF* = *finite-shattered-by*[*OF less*(*2*)]
show *?case*
proof (*cases* $2 \leq card\ F$)
case *True*
from *obtain-difference-element*[*OF True*] **obtain** $x :: 'a$ **where** *x-in-Union-F*: $x \in \bigcup F$ **and** *x-not-in-Int-F*: $x \notin \bigcap F$ **by** *blast*

Define F0 as the subfamily of F containing those sets that don't contain x

let $?F0 = \{S \in F.\ x \notin S\}$
from *x-in-Union-F* **have** *F0-psubset-F*: $?F0 \subset F$ **by** *blast*
from *F0-psubset-F* **have** *F0-in-F*: $?F0 \subseteq F$ **by** *blast*
from *subset-shattered-by*[*OF F0-in-F*] **have** *shF0-subset-shF*: $shattered\text{-}by\ ?F0 \subseteq shattered\text{-}by\ F$ **.**
from *F0-in-F* **have** *Un-F0-in-Un-F*: $\bigcup\ ?F0 \subseteq \bigcup\ F$ **by** *blast*

F0 shatters at least as many sets as |F0| by the induction hypothesis

note *IH-F0* = *less*(*1*)[*OF psubset-card-mono*[*OF finite-F F0-psubset-F*] *rev-finite-subset*[*OF less*(*2*) *Un-F0-in-Un-F*]]

Define F1 as the subfamily of F containing those sets that contain x

let $?F1 = \{S \in F.\ x \in S\}$
from *x-not-in-Int-F* **have** *F1-psubset-F*: $?F1 \subset F$ **by** *blast*
from *F1-psubset-F* **have** *F1-in-F*: $?F1 \subseteq F$ **by** *blast*
from *subset-shattered-by*[*OF F1-in-F*] **have** *shF1-subset-shF*: $shattered\text{-}by\ ?F1 \subseteq shattered\text{-}by\ F$ **.**
from *F1-in-F* **have** *Un-F1-in-Un-F*: $\bigcup\ ?F1 \subseteq \bigcup\ F$ **by** *blast*

F1 shatters at least as many sets as |F1| by the induction hypothesis

note *IH-F1* = *less*(*1*)[*OF psubset-card-mono*[*OF finite-F F1-psubset-F*] *rev-finite-subset*[*OF less*(*2*) *Un-F1-in-Un-F*]]

from *shF0-subset-shF shF1-subset-shF* **have** *shattered-subset*: $(shattered\text{-}by\ ?F0) \cup (shattered\text{-}by\ ?F1) \subseteq shattered\text{-}by\ F$ **by** *simp*

There is a set with the same cardinality as the intersection of *shattered-by* $\{S \in F.\ x \notin S\}$ and *shattered-by* $\{S \in F.\ x \in S\}$ which is disjoint from their union, which is also contained in *shattered-by F*.

have *f-copies-the-intersection*:
$\exists f.$ *inj-on f* (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) $\wedge$
(*shattered-by ?F0* $\cup$ *shattered-by ?F1*) $\cap$ (*f* ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*)) = {} $\wedge$
f ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) $\subseteq$ *shattered-by F*
proof
have *x-not-in-shattered*: $\forall$ *S*$\in$(*shattered-by ?F0*) $\cup$ (*shattered-by ?F1*). $x \notin S$ **unfolding** *shattered-by-def* **by** *blast*

This set is precisely the image of the intersection under *insert x*.

let *?f* = *insert x*
have *0*: *inj-on ?f* (*shattered-by ?F0* $\cap$ *shattered-by ?F1*)
proof
fix *X Y*
assume *x0*: *X* $\in$ (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) **and** *y0*: *Y* $\in$ (*shattered-by ?F0* $\cap$ *shattered-by ?F1*)
and *0*: *?f X* = *?f Y*
from *x-not-in-shattered x0* **have** *X* = *?f X* − {*x*} **by** *blast*
also from *0* **have** ... = *?f Y* − {*x*} **by** *argo*
also from *x-not-in-shattered y0* **have** ... = *Y* **by** *blast*
finally show *X* = *Y* **.**
qed

The set is disjoint from the union.

have *1*: (*shattered-by ?F0* $\cup$ *shattered-by ?F1*) $\cap$ *?f* ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) = {}
proof (*rule ccontr*)
assume (*shattered-by ?F0* $\cup$ *shattered-by ?F1*) $\cap$ *?f* ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) $\neq$ {}
then obtain *S* **where** *10*: *S* $\in$ (*shattered-by ?F0* $\cup$ *shattered-by ?F1*) **and** *11*: *S* $\in$ *?f* ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) **by** *auto*
from *10 x-not-in-shattered* **have** $x \notin S$ **by** *blast*
with *11* **show** *False* **by** *blast*
qed

This set is also in *shattered-by F*.

have *2*: *?f* ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*) $\subseteq$ *shattered-by F*
proof
fix *S-x*
assume *S-x* $\in$ *?f* ` (*shattered-by ?F0* $\cap$ *shattered-by ?F1*)
then obtain *S* **where** *20*: *S* $\in$ *shattered-by ?F0* **and** *21*: *S* $\in$ *shattered-by ?F1* **and** *22*: *S-x* = *?f S* **by** *blast*
from *x-not-in-shattered 20* **have** *x-not-in-S*: $x \notin S$ **by** *blast*

from *22 Pow-insert*[*of x S*] **have** *Pow S-x* = *Pow S* $\cup$ *?f* ` *Pow S* **by** *fast*

also from *20* **have** ... = (*?F0* ∩∗ *S*) ∪ (*?f* ' *Pow S*) **unfolding** *shattered-by-def* **by** *blast*

also from *21* **have** ... = (*?F0* ∩∗ *S*) ∪ (*?f* ' (*?F1* ∩∗ *S*)) **unfolding** *shattered-by-def* **by** *force*

also from *insert-IntF*[*of x S ?F1*] **have** ... = (*?F0* ∩∗ *S*) ∪ (*?f* ' *?F1* ∩∗ (*?f S*)) **by** *argo*

also from *22* **have** ... = (*?F0* ∩∗ *S*) ∪ (*?F1* ∩∗ *S-x*) **by** *blast*

also from *22* **have** ... = (*?F0* ∩∗ *S-x*) ∪ (*?F1* ∩∗ *S-x*) **by** *blast*

also from *subset-IntF*[*OF F0-in-F*, *of S-x*] *subset-IntF*[*OF F1-in-F*, *of S-x*] **have** ... ⊆ (*F* ∩∗ *S-x*) **by** *blast*

finally have *Pow S-x* ⊆ (*F* ∩∗ *S-x*) **.**

thus *S-x* ∈ *shattered-by F* **unfolding** *shattered-by-def* **by** *blast*

qed

from *0 1 2* **show** *inj-on ?f* (*shattered-by ?F0* ∩ *shattered-by ?F1*) ∧
(*shattered-by ?F0* ∪ *shattered-by ?F1*) ∩ (*?f* ' (*shattered-by ?F0* ∩ *shattered-by ?F1*)) = {} ∧
?f ' (*shattered-by ?F0* ∩ *shattered-by ?F1*) ⊆ *shattered-by F* **by** *blast*

qed

have *F0-union-F1-is-F*: *?F0* ∪ *?F1* = *F* **by** *fastforce*

from *finite-F* **have** *finite-F0*: *finite ?F0* **and** *finite-F1*: *finite ?F1* **by** *fastforce+*

have *disjoint-F0-F1*: *?F0* ∩ *?F1* = {} **by** *fastforce*

Thus we have the following lower bound on the cardinality of *shattered-by F*

from *F0-union-F1-is-F card-Un-disjoint*[*OF finite-F0 finite-F1 disjoint-F0-F1*]

have *card F* = *card ?F0* + *card ?F1* **by** *argo*

also from *IH-F0*

have ... ≤ *card* (*shattered-by ?F0*) + *card ?F1* **by** *linarith*

also from *IH-F1*

have ... ≤ *card* (*shattered-by ?F0*) + *card* (*shattered-by ?F1*) **by** *linarith*

also from *card-Int-copy*[*OF finite-shF shattered-subset f-copies-the-intersection*]

have ... ≤ *card* (*shattered-by F*) **by** *argo*

finally show *?thesis* **.**

next

If F contains less than 2 sets, the statement follows trivially

case *False*

hence *card F* = *0* ∨ *card F* = *1* **by** *force*

thus *?thesis*

proof

assume *card F* = *0*

thus *?thesis* **by** *auto*

next

assume *asm*: *card F* = *1*

hence *F-not-empty*: *F* ≠ {} **by** *fastforce*

from *shatters-empty*[*OF F-not-empty*] **have** {{}} ⊆ *shattered-by F* **unfolding** *shattered-by-def* **by** *fastforce*

from *card-mono*[*OF finite-shF this*] *asm* **show** *?thesis* **by** *fastforce*
qed
qed
qed

5.2 Sauer-Shelah Lemma

corollary *sauer-shelah*:
fixes F :: *'a set set*
assumes *finite* $(\bigcup F)$ **and** $(\sum i \le k.$ *card* $(\bigcup F)$ *choose* $i) <$ *card* F
shows $\exists S.$ (F *shatters* $S \wedge$ *card* $S = k + 1$)
proof −
let $?K = \{S.\ S \subseteq \bigcup F \wedge$ *card* $S \le k\}$
from *finite-Pow-iff*[*of F*] *assms*(*1*) **have** *finite-Pow-Un*: *finite* (*Pow* $(\bigcup F)$) **by** *fast*

from *sauer-shelah-0*[*OF assms*(*1*)] *assms*(*2*) **have** $(\sum i \le k.$ *card* $(\bigcup F)$ *choose* $i) <$ *card* (*shattered-by* F) **by** *linarith*
with *choose-row-sum-set*[*OF assms*(*1*), *of k*] **have** *card* $?K <$ *card* (*shattered-by* F) **by** *presburger*

from *finite-diff-not-empty*[*OF finite-subset*[*OF - finite-Pow-Un*] *this*]
obtain S **where** $S \in$ *shattered-by* $F - ?K$ **by** *blast*
then have *F-shatters-S*: F *shatters* S **and** $S \subseteq \bigcup F$ **and** $\neg(S \subseteq \bigcup F \wedge$ *card* $S \le k)$ **unfolding** *shattered-by-def* **by** *blast+*
then have *card-S-ge-Suc-k*: $k + 1 \le$ *card* S **by** *simp*
from *obtain-subset-with-card-n*[*OF card-S-ge-Suc-k*] **obtain** S' **where** *card* $S' = k + 1$ **and** $S' \subseteq S$ **by** *blast*
from *this*(*1*) *supset-shatters*[*OF this*(*2*) *F-shatters-S*] **show** *?thesis* **by** *blast*
qed

5.3 Sauer-Shelah Lemma for hypergraphs

corollary *sauer-shelah-2*:
fixes X :: *'a set set* **and** S :: *'a set*
assumes *finite* S **and** $X \subseteq$ *Pow* S **and** $(\sum i \le k.$ *card* S *choose* $i) <$ *card* X
shows $\exists Y.$ (X *shatters* $Y \wedge$ *card* $Y = k + 1$)
proof −
from *assms*(*2*) **have** *0*: $\bigcup X \subseteq S$ **by** *blast*
from *sum-mono*[*OF choose-mono*[*OF card-mono*[*OF assms*(*1*) *0*]]] **have** $(\sum i \le k.$ *card* $(\bigcup X)$ *choose* $i) \le (\sum i \le k.$ *card* S *choose* $i)$ **by** *fast*
with *sauer-shelah*[*OF finite-subset*[*OF 0 assms*(*1*)]] *assms*(*3*) **show** *?thesis* **by** *simp*
qed

5.4 Alternative statement of the Sauer-Shelah Lemma

corollary *sauer-shelah-alt*:
assumes *finite* $(\bigcup F)$ **and** *VC-dim* $F = k$
shows *card* $F \le (\sum i \le k.$ *card* $(\bigcup F)$ *choose* $i)$

proof (*rule ccontr*)
assume $\neg$ *card F* $\leq$ ($\sum i \leq k$. *card* ($\bigcup F$) *choose i*) **hence** ($\sum i \leq k$. *card* ($\bigcup F$) *choose i*) < *card F* **by** *linarith*
from *sauer-shelah*[*OF assms*(*1*) *this*] **obtain** *S* **where** *F shatters S* **and** *card S* = *k* + *1* **by** *blast*
from *this*(*1*) *this*(*2*)[*symmetric*] **have** *k* + *1* $\in$ {*card S* | *S*. *F shatters S*} **by** *blast*
from *cSup-upper*[*OF this bdd-above-finite*[*OF finite-image-set*[*OF finite-shattered-by*[*unfolded shattered-by-def*, *OF assms*(*1*)]]], *folded VC-dim-def*]
assms(*2*) **show** *False* **by** *force*
qed

end

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