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On the exact structure of multidimensional sets with small doubling property

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1. Direct and inverse problems of additive and combinatorial number theory

Additive number theory is the study of sums of sets and we can distinguish two main lines of research.

In a <u>direct problem</u> of additive number theory we start with a particular known set A and attempt to determine the structure and properties of the h-folds sumset hA. These are the classical direct problems in additive number theory: Waring's problem, Goldbach conjecture...

As a counterbalance to this direct approach, an <u>inverse problem</u> in additive number theory is a problem in which we study properties of a set A, if some characteristic of the h-fold sumset hA is given.

Sumsets can be defined in any Abelian group G, for example in

- ullet the group of integers,
- $\mathbb{Z}/m\mathbb{Z}$ the group of congruence classes modulo m,
- ullet \mathbb{Z}^n the group of integer lattice points,
- ullet \mathbb{R}^d the d-dimensional Euclidean space.

Freiman proposed an unifying "algorithm" for solving inverse additive problems:

- Step 1. Consider some (usually numerical) characteristic of the set under study.
- Step 2. Find an extremal value of this characteristic within the framework of the problem that we are studying.
- Step 3. Study the structure of the set when its characteristic is equal to its extremal value.
- Step 4. Study the structure of the set when its characteristic is near to its extremal value.
- Step 5.Continue, taking larger and larger neighborhoods for the characteristic.

Let us choose as characteristic the *cardinality* of the sumset:

$$2K = K + K,$$

or equivalently the "measure of doubling":

$$\sigma = \frac{|K + K|}{|K|}.$$

We will examine in detail the **exact structure** of a finite set

$$K \subseteq G$$
,

in the case of a torsion free Abelian group

$$G = \mathbb{Z}^n$$
 or $G = \mathbb{R}^d$,

assuming that the doubling constant is small.

REMARK: If σ is an arbitrary doubling constant, then Freiman's fundamental result (1966) asserts that such a set is a large subset of a multidimensional arithmetic progression; see also Freiman (1987), Bilu (1993), Ruzsa (1994), Nathanson (1996), or Tao and Vu (2006).

2. Small doubling property on the plane \mathbb{Z}^2

Let us describe some results concerning the structure of *planar sets* with small sumset.

We begin with the following basic inequality:

Theorem 1 (Freiman 1966). If $K \subseteq \mathbb{Z}^2$ lies on exactly $s \ge 2$ parallel lines, then

$$|\mathcal{K} + \mathcal{K}| \ge (4 - \frac{2}{s})|\mathcal{K}| - 2s + 1 \ge 3k - 3.$$
 (1)

Moreover, using Freiman's 3k-4 theorem we easily conclude that a planar set of lattice points $\mathcal{K} \subset \mathbb{Z}^2$ with

$$|\mathcal{K} + \mathcal{K}| < 3|\mathcal{K}| - 3$$

lies on a straight line and is contained in an arithmetic progression of no more than

$$v = |\mathcal{K} + \mathcal{K}| - |\mathcal{K}| + 1$$

terms. Step 2 is completely solved.

Therefore, a natural problem is to concentrate on the study of Steps 3 and 4.

We ask for the structure of a finite *planar set* of lattice points with small doubling $|\mathcal{K} + \mathcal{K}|$. As one can expect, this question is easier to answer when the cardinality $|\mathcal{K} + \mathcal{K}|$ is close to its minimal possible value $3|\mathcal{K}|-3$, and becomes much more complicated if we choose bigger values for $|\mathcal{K} + \mathcal{K}|$. To be more specific, we may ask the following

Problem.

Find the exact structure of planar sets of lattice points under the doubling hypothesis:

$$|\mathcal{K} + \mathcal{K}| < (4 - \frac{2}{s+1})|\mathcal{K}| - (2s+1).$$

Let us examine the first case s = 2.

Though, the Freiman's $(2^n - \epsilon)$ theorem gives a first indication on the structure of \mathcal{K} , still this is not so precise as the following

Theorem 2 (Freiman 1966, S. 1998). Let $\mathcal{K} \subseteq \mathbb{Z}^2$ be a finite of dimension dim $\mathcal{K} = 2$.

- (i) $|\mathcal{K}| \ge 11$ and $|\mathcal{K} + \mathcal{K}| < \frac{10}{3} |\mathcal{K}| 5$ then \mathcal{K} lies on two parallel lines.
- (ii) If K lies on two parallel lines and

$$|\mathcal{K} + \mathcal{K}| < 4|\mathcal{K}| - 6$$

then K is included in two parallel arithmetic progressions with the same common having together no more than v = |2K| - 2k + 3 terms.

This means that the total number of holes satisfies

$$h \leq |2\mathcal{K}| - (3k - 3).$$

FIGURE:

The following theorem incorporates Freiman's previous result as a particular case:

Theorem 3 (S. 1998). Let K be a finite set of \mathbb{Z}^2 and $s \ge 1$ be a natural number. If |K| is sufficiently large, i.e. $k \ge O(s^3)$, and

$$|\mathcal{K} + \mathcal{K}| < \left(4 - \frac{2}{s+1}\right)|\mathcal{K}| - (2s+1),$$
 (2)

then there exist s parallel lines which cover the set K.

This is a best possible result, because it cannot be improved by increasing the upper bound for $|\mathcal{K}+\mathcal{K}|$, or by reducing the number of lines that cover \mathcal{K} .

EXAMPLE: ...

The theorem is effective and recently Serra and Grynkiewicz obtained an explicit value for the constant $k_0(s) = 2s^2 + s + 1$. They also succeeded to extend the result for sums of different sets A + B:

Theorem 4 (Grynkiewicz and Serra 2007). Let $\mathcal{A}, \mathcal{B} \subseteq \mathbb{R}^2$ be finite subsets and $s \geq 1$ be a natural number.

(i) If
$$||A| - |B|| \le s + 1$$
, $|A| + |B| \ge 4s^2 + 2s + 1$ and

$$|\mathcal{A} + \mathcal{B}| < (2 - \frac{1}{s+1})(|\mathcal{A}| + |\mathcal{B}|) - (2s+1)$$

then there exist 2s (not necessarily distinct) parallel lines which cover the sets A and B.

(ii) If
$$|\mathcal{A}| > |\mathcal{B}| + s$$
, $|\mathcal{B}| \ge 2s^2 + \frac{s}{2}$ and $|\mathcal{A} + \mathcal{B}| < |\mathcal{A}| + (3 - \frac{2}{s+1})|\mathcal{B}| - (s+1)$

then there exist 2s (not necessarily distinct) parallel lines which cover the sets A and B.

The next natural question is to consider a finite set \mathcal{K} of lattice points on a plane having the small doubling property

$$|2\mathcal{K}| < (4 - \frac{2}{s+1})|\mathcal{K}| - (2s+1)$$

and ask for a reasonable estimate for the number of lattice points of a "minimal" parallelogram that covers the set \mathcal{K} .

More precisely, if \mathcal{L} is a lattice generated by \mathcal{K} , we are interested in precise upper bounds for the number of points of \mathcal{L} that lie in the convex hull of \mathcal{K} . Our main result asserts that \mathcal{K} is located inside a parallelogram that lies on a few lines which are well filled:

Theorem 5 (S. 2007). Let $s \ge 19$ be an integer and let K be a finite subset of \mathbb{Z}^2 that lies on exactly s parallel lines. If

$$|2\mathcal{K}| < (4 - \frac{2}{s+1})|\mathcal{K}| - (2s+1),$$

then there is a lattice $\mathcal{L}\subseteq\mathbb{Z}^2$ and a parallelogram \mathcal{P} such that

$$\mathcal{K} \subseteq (\mathcal{P} \cap \mathcal{L}) + v$$

and

$$|\mathcal{P} \cap \mathcal{L}| \le 24(|\mathcal{K} + \mathcal{K}| - 2|\mathcal{K}| + 1),$$

for some $v \in \mathbb{Z}^2$.

Conjecture. We believe that for a best possible result, the constant factor 24 of Theorem 5 should be replaced by $\frac{1}{2}(1+\frac{1}{s-1})$, i.e.

$$|\mathcal{P} \cap \mathcal{L}| \leq \frac{s}{2(s-1)} (|\mathcal{K} + \mathcal{K}| - 2|\mathcal{K}| + 2s - 1).$$

So far inequality this estimate has been proved only for s=2 (Freiman 1966) and s=3 (S. 1999).

3. Planar sets with no three collinear points on a line

Let $\mathcal{A}\subseteq\mathbb{Z}^2$ be a finite set, not containing any three collinear points. Freiman asked in 1966 for a lower bound for $|\mathcal{A}+\mathcal{A}|$. As a first step in the investigation of this problem we showed that $\frac{|\mathcal{A}\pm\mathcal{A}|}{|\mathcal{A}|}$ is unbounded, as $\lim |\mathcal{A}|=\infty$:

Theorem 6 (S.2002). Let $A \subseteq \mathbb{Z}^2$ be a finite set of n lattice points. If A does not contain any three collinear points, then there is a positive absolute constant $\delta > 0$ such that

$$|\mathcal{A} \pm \mathcal{A}| \gg n(\log n)^{\delta}. \tag{3}$$

The constant δ can be easily computed: for instance, any positive δ smaller than 0.125 will do.

There is an intimate connection between two seemingly unrelated problems:

- (i) non-averaging sets of integers of ordet t and
- (ii) planar sets with no three points on a line.

Definition. A finite set of integers $\mathcal{B} \subseteq \mathbb{Z}$ is called a <u>non-averaging set of order t</u>, if for every $1 \leq m, n \leq t$ the equation

$$mX_1 + nX_2 = (m+n)X_3,$$

have no nontrivial solutions with $X_i \in \mathcal{B}$.

Let

$$s_t(n)$$

be the maximal cardinality of a *non-averaging* set of order t included in the interval [1, n].

It is clear that a non-averaging set of order 1 is simply an integer set containing no arithmetic progressions. Bourgain's bound for Roth's theorem gives:

$$s_t(n) \le s_1(n) = r_3(n) \ll \frac{n}{(\log n)^{\frac{1}{2}}} (\log \log n)^{\frac{1}{2}}.$$

Remark. We also obtained a *more exact* inequality, valid for sets $A \subseteq \mathbb{Z}^2$ containing no k-terms arithmetic progressions: for every integer $t \ge 1$ we have

$$|\mathcal{A} \pm \mathcal{A}| \ge \frac{1}{2} |\mathcal{A}| \left(\frac{n}{s_t(n)}\right)^{\frac{1}{4t}}. \tag{4}$$

We formulate the following:

Problem S. Suppose that $t \geq 1$ is a fixed, positive, but rather large integer. Is it true that $s_t(n) \ll \frac{n}{(\log n)^{4t}}$, or at least $s_t(n) \ll \frac{n}{(\log n)^c}$, for a positive absolute constant $c \geq \frac{1}{2}$?

Note that Freiman's question asks for a non trivial lower estimate of $|\mathcal{A} + \mathcal{A}|$ for a set $\mathcal{A} \subseteq \mathbb{Z}^2$ containing no three collinear points and in Problem S we want to estimate the density of a sequence of natural numbers \mathcal{B} , assuming that t linear equations does not hold for \mathcal{B} . Inequality (4) shows that any upper bound for $s_t(n)$, better than the trivial one $r_3(n)$ will lead to a corresponding sharpening of (3) and (4).

As regards lower bounds, we have:

Theorem 7 (S. 2002).

(i) For every $t \ge 1$, there is a positive constant c_t such that for every n one has

$$s_t(n) \ge n \exp(-c_t \sqrt{\log n}).$$

(ii) There is no $\epsilon_0 > 0$ such that the inequality $|\mathcal{A} + \mathcal{A}| \gg |\mathcal{A}|^{1+\epsilon_0}$

holds for every finite set $A \subseteq \mathbb{Z}^2$ containing no three collinear points.

The proof uses Freiman's fundamental concept of isomorphism, Behrend's method and a result of Ruzsa about sets of integers containing no non-trivial three term arithmetic progressions.

A recent improvement of the lower bound (3), was obtained by T. Sanders (2006):

$$|\mathcal{A} + \mathcal{A}| \gg_{\epsilon} |\mathcal{A}| (\log |\mathcal{A}|)^{\frac{1}{3} - \epsilon}.$$

4. The simplest inverse problem for sums of sets in several dimensions

It is a well known fact that $|A+B| \ge |A| + |B| - 1$ for every two finite sets A and B of \mathbb{Z}^d , equality being attained when A and B are arithmetic progressions with the same difference.

It is possible to obtain a much better estimate. The first result connecting geometry and additive properties is

Theorem 8 (Freiman 1966). For every finite set $A \subseteq \mathbb{Z}^d$ of affine dimension dim A = d, one has

$$|A + A| \ge (d+1)|A| - \frac{1}{2}d(d+1).$$
 (5)

This lower bound is tight, i.e. Step 2 is solved.

EXAMPLE:

Let us investigate now Step 3. What is the *exact structure* of multi-dimensional sets having the *smallest cardinality* of the sumset?

The following result is an analogue of the well known Vosper's theorem (1956), $\mathbb{Z}/p\mathbb{Z}$ being here replaced by the d-dimensional space \mathbb{R}^d .

Theorem 9 (S. 1998). Let $A \subseteq \mathbb{R}^n$ be a finite set such that dim $A \ge d$ and

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

If $|A| \neq d+4$, then A is a d-dimensional set and A consists of d parallel arithmetic progressions with the same common difference.

Moreover, if $|\mathcal{A}| = d + 4$, then

$$\mathcal{A} = \{v_0, v_1, ..., v_d\} \cup \{2v_1, v_1 + v_2, 2v_2\},\$$

where v_i are the vertices of a d-dimensional simplex.

EXAMPLE:

Further developments:

<u>Ruzsa</u> (1994): If $|A| \ge |B|$ and dim(A+B) = d, then

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

<u>Gardner</u> and <u>Gronchi</u> (2001): If $|A| \ge |B|$ and $\dim(B) = d$, then

$$|A + B| \ge$$

$$\geq |A| + (d-1)|B| + \sqrt[d]{(|A|-d)^{d-1}(|B|-d)} - \frac{d(d-1)}{2}$$

Green and Tao (2006)

Suppose that $A \subseteq \mathbb{R}^m$ is a finite set which contains a parallelepiped $P = \{0,1\}^d \subseteq \mathbb{Z}^d \subseteq \mathbb{R}^m$.

Then

$$|A + A| \ge 2^{d/2}|A|$$
.

5. Exact Structure Results for Multidimensional Inverse Additive Problems

A natural question is to generalize Theorem 3 to the multidimensional case $d = \dim(\mathcal{K}) \geq 3$:

Assume that the doubling coefficient of the sum set $2\mathcal{K}$ is not much exceeding the minimal one, i.e.

$$d+1 \le \sigma = \frac{|2\mathcal{K}|}{|\mathcal{K}|} < \rho_d.$$

What can be said about the exact structure of ${\cal K}$? The expected result is: if

$$\rho_d = d + 1 + \frac{1}{3},$$

then the set K is contained in d "short" arithmetical progressions.

The problem was first solved for the first open case d = 3:

Theorem 10 (S. 2005). Let \mathcal{K} be a finite subset of \mathbb{Z}^3 of affine dimension dim $\mathcal{K}=3$.

(i) If $|K| > 12^3$ and

$$|\mathcal{K} + \mathcal{K}| < \frac{13}{3}|K| - \frac{25}{3}$$

then K lies on three parallel lines.

(ii) If K lies on three parallel lines and

$$|\mathcal{K} + \mathcal{K}| < 5|\mathcal{K}| - 10,$$

then \mathcal{K} is contained in three arithmetic progressions with the same common difference, having together no more than

$$v = |\mathcal{K} + \mathcal{K}| - 3|\mathcal{K}| + 6$$

terms.

The structure of $\mathcal K$ can be also be described for sets of dimension $d \geq 3$:

Theorem 11 (S. 2008). Let $K \subseteq \mathbb{Z}^d$ be a finite set of dimension $d \ge 2$.

(i) If $k > 3 \cdot 4^d$ and

$$|\mathcal{K} + \mathcal{K}| < (d + \frac{4}{3})|\mathcal{K}| - c_d,$$

where $c_d = \frac{1}{6}(3d^2 + 5d + 8)$, then K lies on d parallel lines.

(ii) If K lies on d parallel lines and

$$|\mathcal{K} + \mathcal{K}| < (d+2)|\mathcal{K}| - \frac{1}{2}(d+1)(d+2),$$

then K is contained in d parallel arithmetic progressions with the same common difference, having together no more than

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

These results are best possible and cannot be sharpened by reducing the quantity v or by increasing the upper bounds for $|\mathcal{K} + \mathcal{K}|$.

EXAMPLES:

We found that a similar inequality can be formulated for d-dimensional sets that have a small doubling coefficient $C_d = d + 2 - \frac{2}{s-d+3}$ (where $s \geq d$ is a positive integer). In this case we prove that $\mathcal K$ lies on no more than s parallel lines.

These results can be used to make Freiman's Main Theorem more precise.

In a joint work with Freiman (2008) we study the exact structure of d-dimensional sets satisfying the small doubling property

$$|2K| < (d+2-\epsilon)|K|.$$

6. Difference Sets

We will present now some results on difference sets in a d-dimensional Euclidean space. The need for lower estimates for $|\mathcal{A}-\mathcal{A}|$ in terms of $|\mathcal{A}|$ has been raised by Uhrin (1981), where the trivial $|\mathcal{A}-\mathcal{A}| \geq 2|\mathcal{A}|-1$ is used to prove theorems sharpening the classical theorem of Minkowski-Blichfeldt in geometry of numbers.

It can be stated that the sharper estimation for |A-A| we have, the sharper results in geometry of numbers can be proved.

Let $A \subseteq \mathbb{R}^d$ be a finite set and (as Step 1 of Freiman's algorithm requires) we choose as numerical characteristic the cardinality of the difference set A - A.

The following inequality is analogous to (5):

Theorem 12 (Freiman-Heppes-Uhrin 1989). *If* dim $A \ge 1$, *then*

$$|A - A| \ge (d+1)|A| - \frac{1}{2}d(d+1).$$
 (6)

This immediately yields that if

- d=1 and $\mathcal{A}\subseteq\mathbb{R},$ then $|\mathcal{A}-\mathcal{A}|\geq 2|\mathcal{A}|-1$ and if
- d=2 and $\mathcal{A}\subseteq\mathbb{R}^2$, then $|\mathcal{A}-\mathcal{A}|\geq 3|\mathcal{A}|-3$.

These two inequalities cannot be strengthened. However, the lower bound (6) is not exact for dimension d=3.

Freiman-Heppes-Uhrin (1989) and Ruzsa (1994) conjectured that the "correct" lower bound for $\dim \mathcal{A}=3$ is

$$|\mathcal{A} - \mathcal{A}| \ge 4.5|\mathcal{A}| - 9 . \tag{7}$$

This conjecture is correct and (7) is a best possible lower bound for |A - A|:

Theorem 13 (S. 1998). Let A be a finite set of \mathbb{R}^3 and let $\{e_1, e_2, e_3\}$ be the standard basis of \mathbb{R}^3 .

- (i) If dim A = 3, then $|A A| \ge 4.5|A| 9$.
- (ii) Equality is attained if and only if A is a union of four parallel arithmetic progressions: $A = \{0, e_1, e_2, e_1 + e_2\} + \{0, e_3, 2e_3, ..., ke_3\}.$

For 2-dimensional sets the situation is similar:

Theorem 14 (S. 1998). Let \mathcal{D} be a finite set in \mathbb{R}^2 of affine dimension dim $\mathcal{D}=2$. Then $|\mathcal{D}-\mathcal{D}|=3|\mathcal{D}|-3$, if and only if \mathcal{D} consists of two parallel arithmetic progressions with the same number of elements and the same common difference.

This solves Steps 2 and 3 of Freiman's algorithm: it gives the structure of 2 and 3 dimensional sets having the smallest cardinality of the difference set.

Let us give now a short description of the multidimensional case $d \ge 4$.

Let s_d be the maximal positive number for which the inequality

$$|\mathcal{A} - \mathcal{A}| \ge s_d |\mathcal{A}| - t_d$$

holds for every finite set \mathcal{A} of affine dimension $\dim \mathcal{A} = d$.

What can one say about s_d ?

The exact value of s_d is known only for d=1, d=2 and d=3 and Ruzsa conjectured

Conjecture. (Ruzsa, 1994) For every $d \ge 4$ we have

$$s_d = 2d - 2 + \frac{2}{d}.$$

EXAMPLES:

The following upper bound for s_d is true:

Theorem 15 (S. 2001). For every integer d, d > 2 one has

$$s_d \le 2d - 2 + \frac{1}{d-1}$$
.

This readily disproves Ruzsa's conjecture. Moreover, in view of inequality (7) and Theorem 15, it seems that the equality $s_d = 2d-2+\frac{1}{d-1}$ is true for every $d \geq 2$. Thus, we suggest the following:

Conjecture 16 (S. 2001). For every finite set \mathcal{A} of affine dimension dim $\mathcal{A}=d\geq 2$, one has

$$|\mathcal{A} - \mathcal{A}| \ge (2d - 2 + \frac{1}{d-1})|\mathcal{A}| - (2d^2 - 4d + 3).$$

Of course, in view of Theorem 15, if the above inequality is true, then is best possible.

EXAMPLES for dimension 2, 3 and 4...

7. Finite Abelian groups

Similar questions can be asked for any group G. A short and incomplete list of results for

$$G = \mathbf{F}_p, G = (\mathbf{F}_2)^d, G = \mathbb{Z}/n\mathbb{Z}$$

will show that additive questions in finite abelian groups are generally more difficult than analogous problems in \mathbb{Z} .

• Consider for the beginning sums of *congruence classes modulo a prime* p. Take two finite sets A and B in \mathbf{F}_p and choose as characteristic the *cardinality of the sum*

$$A + B = \{a + b : a \in A, b \in B\}.$$

Then the solution of Step 2 is <u>Cauchy-Davenport</u> theorem:

$$|A + B| \ge \min\{p, |A| + |B| - 1\}.$$

The answer to Step 3 is given by <u>Vosper</u>'s theorem (1956), which classify those pairs A, B of sets of residues for which equality holds in Cauchy-Davenport inequality.

The next natural question is to consider Step 4 and to analyze the case when the cardinality of the sum is not much exceeding its extremal value.

Freiman (1966), generalized Vosper's theorem for sumsets of the form A + A in \mathbf{F}_p , by describing the structure of A in the case

$$|2A| < c|A| - 3,$$

with c < 2.4; either |A| is large or the set A is located in a short arithmetic progression.

This has been recently extended to any c by <u>Green and Ruzsa</u> (2006), using the rectification principle of <u>Freiman</u> and <u>Bilu-Lev-Ruzsa</u> (1998).

• For sumsets in *vector spaces over finite fields*, Eliahou and Kervaire proved in (1998) that

$$|A+B| \geq \min \Big\{ p^t \Big(\lceil \frac{|A|}{p^t} \rceil + \lceil \frac{|B|}{p^t} \rceil - 1 \Big) : 0 \leq t \leq d \Big\},$$

for every two sets A and B included in $(\mathbf{F}_p)^d$. Step 2 is solved.

Deshouillers-Hennecart-Plagne gave in (2004) an answer to Steps 3 and 4 by obtaining a structure theorem under the assumption

$$A \subseteq \mathbb{F}_2^d, |A + A| = c|A|, 1 \le c < 4.$$

In this instance the set A is contained in a coset a+H of order at most $\frac{|A|}{u(c)}$ where u(c)>0 is an explicit function depending only c.

• Recently Step 5 was solved by Ruzsa and Green (2008), not only for $G = \mathbf{F}_p^d$, but also for commutative torsion groups:

If A is a subset of a commutative group G of exponent r and if

$$|A + A| < k|A|,$$

then A is contained in a coset of a subspace of size no more than

$$k^2r^{2k^2-2}$$
.

• Let G is an arbitrary Abelian group. Kneser (1953) gave a deep generalization of Cauchy-Davenport's theorem:

Let A and B be two finite subsets of an Abelian group G. One has

$$|A + B| \ge |A| + |B| - |H|,$$

where H is the stabilizer of A + B.

Important results concerning the equality case in Kneser's theorem are due to Kemperman (1960) and Lev (1999).

In a step beyond Kneser's theorem, <u>Deshouillers</u> and <u>Freiman</u> (2003) proved a structural result for the cyclic group

$$G = \mathbb{Z}/n\mathbb{Z}$$

assuming that

$$|A + A| < 2.04|A|$$

and |A| sufficiently small.