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DIPLOMARBEIT

Gitik's Model

or

A model of ZF where all uncountable
cardinals are singular

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1 Abstract

In my Master's Thesis I want to show the following result by Gitik [G]: Assuming the consistency of arbitrarily large strongly compact cardinals, we show the consistency of $ZF + \forall \alpha \in \text{Lim}: \text{cf} \alpha = \omega$, where Lim is the class of all limit ordinals.

To this end, we will start with a countable transitive model M of

$$ZFC + \text{'}\forall \alpha \in \text{On} \exists \kappa > \alpha: \kappa \text{ is strongly compact'}$$

force with a proper class forcing to get a model $M[G]$ satisfying $ZF^- + \text{'}\forall x: x \text{ is countable'}$, where ZF^- is ZF without Power Set but Collection included, and finally define a symmetric submodel N_G , which will have the required properties.

The logic behind the consistency result can be found in Kunen [K].

2 The forcing and other prerequisites

We start with a ctm M of $ZFC + \forall \alpha \in \text{On} \exists \kappa > \alpha : \kappa$ is strongly compact'. W.l.o.g. we can assume, that there is no regular limit of strongly compact cardinals in M , since if there were one, the smallest such α , named α' , would be strongly inaccessible, and the set $\{x \in M : \text{rank}^M(x) < \alpha'\}$ would be a model with the required properties. Furthermore, we can assume, that M has a predicate WO_M , which is a global well-order of M , and the model satisfies Replacement with respect to the predicate WO_M . This can be easily seen, as we can always add such a global well-order by class forcing (see Felgner [F]).

Let $(\kappa_\alpha)_{\alpha \in \text{On}}$ list the strongly compact cardinals in M , where $\kappa_0 = \omega$. Now we consider $\alpha \in \text{Reg}$, the class of regular cardinals, and want to distinguish 3 cases:

- $\alpha < \kappa_1$: Let $\Phi_\alpha = \{X \subseteq \alpha : |\alpha - X| < \alpha\}$ be the co-bounded filter on α .
- There exist a maximal strongly compact cardinal $\kappa \leq \alpha$: Let Φ_α be the least κ -complete uniform ultrafilter on α . By least we refer to the well-order WO_M and by uniform we mean that $X \in \Phi_\alpha$ implies $|X| = \alpha$.
- There is no such κ : Let $\beta = \sup\{\kappa : \kappa < \alpha \wedge \kappa \text{ is strongly compact}\}$. By our earlier assumption β must be singular. Let $\gamma = \text{cf} \beta$. Let $(\kappa_\nu)_{\nu \in \gamma}$ be the least γ -sequence of strongly compact cardinals cofinal in β . We now define $\Phi_{\alpha, \nu}$ to be the least κ_ν -complete uniform ultrafilter on α for all $\nu < \gamma$.

In the second case we define $\text{cf}' \alpha := \alpha$, and in the third case we shall say $\text{cf}' \alpha := \gamma$.

We now consider the class $\text{Reg} \times \omega \times \text{On}$. For $x \subseteq \text{Reg} \times \omega \times \text{On}$ we shall now define $\text{dom}_1(x) := \{\alpha : \exists n \exists \beta (\alpha, n, \beta) \in x\}$ and $\text{dom}_{1,2}(x) := \{(\alpha, n) : \exists \beta (\alpha, n, \beta) \in x\}$. Furthermore, we define

$$P_1 := \{p \subseteq \text{Reg} \times \omega \times \text{On} :$$

$$p : \text{Reg} \xrightarrow{\text{par}} (\omega \xrightarrow{\text{par}} \text{On}) \wedge |\text{dom}_{1,2}(p)| < \omega \wedge \forall \alpha \in \text{dom}_1(p) [p(\alpha) \text{ is 1-1} \wedge \text{ran}(p(\alpha)) \subseteq \alpha]\}.$$

For $p_1, p_2 \in P_1$ we shall say $p_1 \approx p_2$, if $p_1|(\text{Reg} - \kappa_1) = p_2|(\text{Reg} - \kappa_1)$.

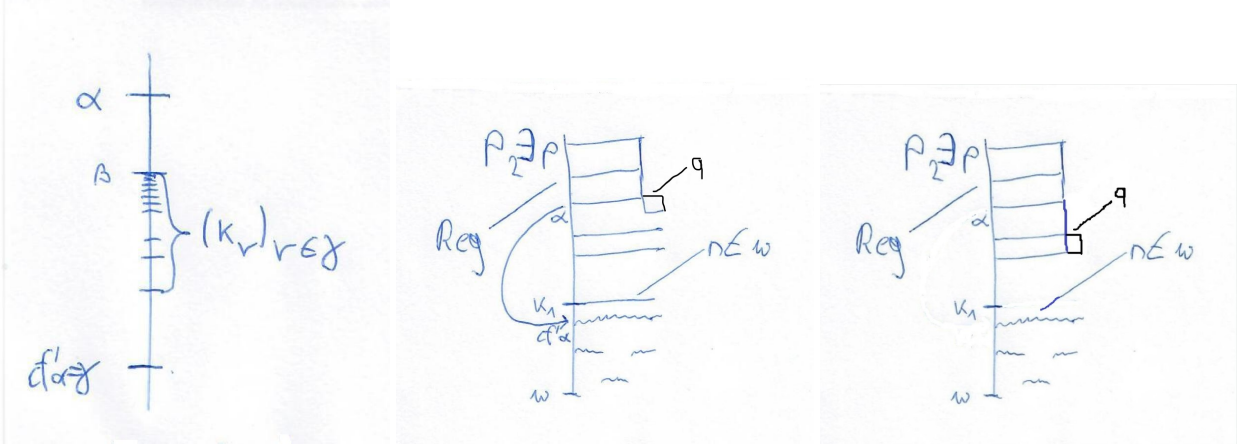
For technical reasons we are only going to use a subclass of P_1 . Define P_2 as the class of $p \in P_1$ such that the following conditions hold:

- $\forall \alpha \in \text{dom}_1(p) : \text{cf}' \alpha \in \text{dom}_1(p)$.
- $\forall \alpha \in \text{dom}_1(p) : \text{dom}(p(\alpha)) \subseteq \text{dom}(p(\text{cf}' \alpha))$.
- $\exists \alpha \in \text{dom}_1(p), \alpha \geq \kappa_1, \exists n \in \omega : \forall \alpha' \in (\text{dom}_1(p) - \alpha) \text{ dom}(p(\alpha')) = n \wedge \forall \alpha' \in \text{dom}_1(p) \cap (\alpha - \kappa_1) \text{ dom}(p(\alpha')) = n+1$.

Since α and n are obviously uniquely determined, we shall set $\alpha(p) = \alpha$ and $n(p) = n$. $(\alpha(p), n(p))$ will be the first coordinate we will have to fill, if we want to extend p .

Definition 2.1. We shall call $p \in P_2$ extendable, iff $\exists q \in P_2: \text{dom}_1(q) = \text{dom}_1(p) \wedge q|_{\kappa_1} = p|_{\kappa_1} \wedge p \subsetneq q$. Therefore we see that a function p is extendable iff either $\text{cf}' \alpha(p) = \alpha(p)$ or $(\text{cf}' \alpha(p), n(p)) \in \text{dom}_{1,2}(p)$.

So we see that if $\text{cf}' \alpha(p) \geq \kappa_1$, p is extendable.

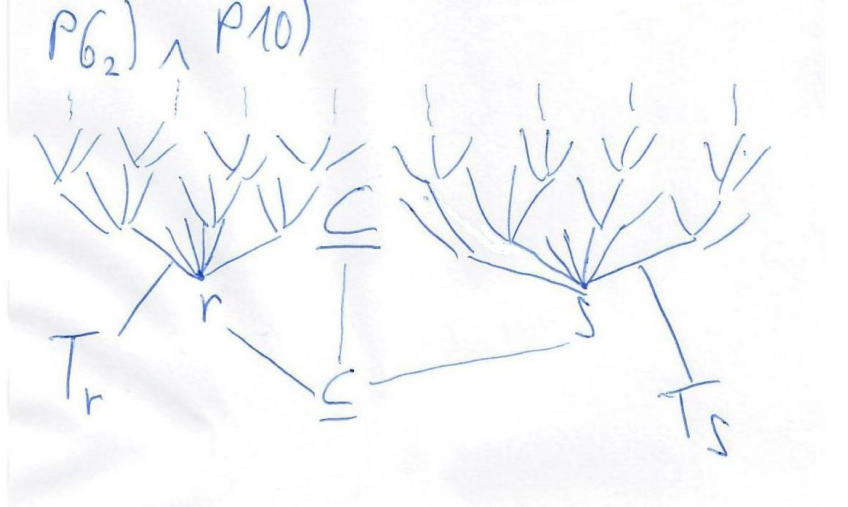
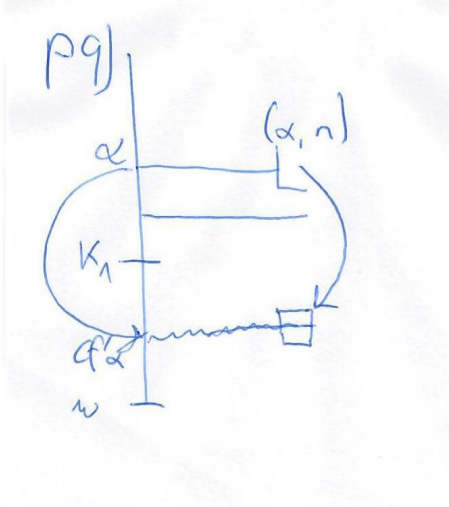


Definition 2.2. We can now define the forcing. We set P_3 to be the class of pairs (p, U) such that the following conditions hold:

- (P1) $p \in P_2$.
- (P2) $U \subseteq P_2$.
- (P3) $p \in U$.
- (P4) $\forall q \in U: p \subseteq q \wedge \text{dom}_1(p) = \text{dom}_1(q)$.
- (P5) $\forall r \in U, r \approx p, \forall (\alpha, n):$
 $(\alpha, n) \in (\text{dom}_1(p) \cap \kappa_1) \times \omega - \text{dom}_{1,2}(r) \Rightarrow \{\beta: r \cup \{(\alpha, n, \beta)\} \in U\} \in \Phi_\alpha$.
- (P6) $\forall r_1, r_2 \in U, r_1, r_2 \approx p: (r_1 \cup r_2 \in P_1 \Rightarrow r_1 \cup r_2 \in U) \wedge (r_1 \subseteq r_2 \Rightarrow T_{r_1} \subseteq T_{r_2})$, where $T_r = T_r^U := \{q \in U: q|_{\kappa_1} = r|_{\kappa_1}\}$ for $r \approx p$. The sign \subseteq should be interpreted as the embedding $\iota: T_{r_1} \ni q \mapsto q \cup r_2$.
- (P7) $\forall q \in U \forall a \subseteq \kappa_1 \times \omega \times \kappa_1: p \cup (q \cap a) \in U$.
- (P8) $\forall q \in U, \text{cf}' \alpha(q) = \alpha(q): \{\beta: q \cup \{(\alpha(q), n(q), \beta)\} \in U\} \in \Phi_{\alpha(q)}$.
- (P9) $\forall q \in U, \text{cf}' \alpha(q) < \alpha(q):$
 $n(q) \in \text{dom}(q(\text{cf}' \alpha(q))) \Rightarrow \{\beta: q \cup \{(\alpha(q), n(q), \beta)\} \in U\} \in \Phi_{\alpha(q), q(\text{cf}' \alpha(q))(n(q))}$.
- (P10) $\forall q \in U, q \not\approx p, \exists q' \in U \exists (\alpha, n) \in \text{dom}_{1,2}(q) \exists \beta \in \text{On}: q = q' \cup \{(\alpha, n, \beta)\} \wedge (\alpha(q'), n(q')) = (\alpha, n)$. We shall denote this q' by q^- .

The partial order will be defined at the end of this chapter.

If q is extendable, then we shall denote the corresponding ultrafilter by Φ_q .



Lemma 1. Let (p, U) be a forcing condition and $a \subseteq \text{Reg}$ such that $\alpha \in a \Rightarrow \text{cf}' \alpha \in a$, then $(p|a, U|a)$, where $U|a = \{q|a : q \in U\}$, is a forcing condition too.

Proof. As can be easily seen, only conditions (P5), (P6) and (P10) are non-trivial. For (P5) let $q \in U|a$, $q = r|a$ with some $r \in U$ and $q \approx p|a$. By (P7) we can assume that $r \approx p$. Let $(\alpha, n) \in (\text{dom}_1(p|a) \cap \kappa_1) \times \omega - \text{dom}_{1,2}(q)$, and it follows that also $(\alpha, n) \in (\text{dom}_1(p) \cap \kappa_1) \times \omega - \text{dom}_{1,2}(r)$. So we see that $\{\beta : r \cup \{(\alpha, n, \beta)\} \in U\} \subseteq \{\beta : q \cup \{(\alpha, n, \beta)\} \in U|a\} \in \Phi_\alpha$.

For (P6) let $q_1, q_2 \in U|a$ with $q_i = r_i|a$ for $i = 1, 2$. Again by (P7) and $q_i \approx p|a$ we can assume that $r_i = p \cup q_i$. Now if $q_1 \cup q_2 \in P_1$ then also $r_1 \cup r_2 \in P_1$, and since U satisfies (P6), we have $q_1 \cup q_2 = (r_1 \cup r_2)|a \in U|a$. Since $T_{r_1}|a \subseteq T_{r_2}|a$, if $r_1 \subseteq r_2$, it follows that $T_{q_1}^{U|a} = \bigcup_{r \in U : r \approx p \wedge r|a = q_1} T_r|a \subseteq \bigcup_{r \in U : r \approx p \wedge r|a = q_1} T_{r \cup r_2}|a \subseteq T_{q_2}^{U|a}$, if $q_1 \subseteq q_2$.

For (P10) let $q \in U|a$ with $q = t|a$ and t minimal with respect to cardinality. It must be that $t \not\approx p$, since $q \not\approx p|a$. Now $t = t^- \cup \{(\alpha, n, \beta)\}$. We see that $(\alpha, n, \beta) \in q$ due to the minimality of t . It easily follows that $(\alpha, n) = (\alpha(q), n(q))$ and $q = t^-|a \cup \{(\alpha, n, \beta)\}$, so that $q^- = t^-|a \in U|a$. \square

Lemma 2. If (p, U) is a forcing condition and $s \in U$, then (s, U_s) is a forcing condition too, where $U_s = \{t \in U : s \subseteq t\}$.

Proof. Only (P5)-(P7) are non-trivial. For (P5) let $q \in U_s$ and $q \approx s$. Since U satisfies (P7), we have $p \cup q|_{\kappa_1} \in U$. Let $(\alpha, n) \in (\text{dom}_1(p) \cap \kappa_1) \times \omega - \text{dom}_{1,2}(q)$. Then we have that $E = \{\beta : p \cup q|_{\kappa_1} \cup \{(\alpha, n, \beta)\} \in U\} \in \Phi_\alpha$. Now since $\forall \beta \in E : T_{p \cup q|_{\kappa_1}} \subseteq T_{p \cup q|_{\kappa_1} \cup \{(\alpha, n, \beta)\}}$, we see that $\forall \beta' \in E : q \cup \{(\alpha, n, \beta')\} \in U$. Therefore it holds that $E \subseteq \{\beta : q \cup \{(\alpha, n, \beta)\} \in U_s\} \in \Phi_\alpha$.

For (P6) let $r_1, r_2 \in U_s$ and $r_i \approx s$ for $i = 1, 2$. Again by (P7), $p \cup r_i | \kappa_1 \in U$ for $i = 1, 2$. It follows that $(p \cup r_1 | \kappa_1) \cup (p \cup r_2 | \kappa_1) \in P_1$, since we assume that $r_1 \cup r_2 \in P_1$. Therefore $(p \cup r_1 | \kappa_1) \cup (p \cup r_2 | \kappa) \in U$. By (P6) $r_1 \cup r_2 \in T_{p \cup (r_1 \cup r_2) | \kappa_1}$, so that $r_1 \cup r_2 \in T_{s \cup (r_1 \cup r_2) | \kappa_1}^{U_s}$. It easily follows that if $r_1 \subseteq r_2$, then $T_{r_1}^{U_s} \subseteq T_{r_2}^{U_s}$.
For (P7) let $q \in U_s$ and let $a \subseteq \kappa_1 \times \omega \times \kappa_1$. We have that $p \cup (q \cap a) \in U$ and therefore also $p \cup (q \cap a) \cup s | \kappa_1 \in U$. By (P6) it follows that $s \cup (q \cap a) \in T_{p \cup (q \cap a) \cup s | \kappa_1}$ and so it follows that $s \cup (q \cap a) \in U_s$. \square

Definition 2.3. If $p \in P_2$, $b \supseteq \text{dom}_1(p)$ such that b is closed under cf' and $b \subseteq \text{Reg}$ finite, then we call $p' \in P_2$ a b-extension of p , if $\text{dom}_1(p') = b$ and $p' | \text{dom}_1(p) = p$.

Lemma 3. Let $(p, U) \in P_3$, $b \supseteq \text{dom}_1(p)$, closed under cf', and $b \subseteq \text{Reg}$ finite. Let p' be a b-extension of p and set $U' := \{q' \in P_2 : q' \supseteq p' \wedge \exists q \in U [q' \text{ is a b-extension of } q]\}$. Then (p', U') is a condition.

Proof. Straightforward checking of the conditions (P1)-(P10). \square

Lemma 4. If $(p, U), (p, V) \in P_3$ then $(p, U \cap V)$ is a condition too.

Proof. We note that $q \in P_2$ being extendable only depends on $\text{dom}_{1,2}(q)$. All the conditions follow, since filters are closed under intersection. \square

We can now define the partial order of the forcing.

Definition 2.4. Let $(p, U), (q, V) \in P_3$. We say that (q, V) is stronger than (p, U) , in terms $(q, V) \geq (p, U)$, if $V | \text{dom}_1(p) \subseteq U$.

3 The symmetric extension

We consider the group of partial permutations of $\text{Reg} \times \omega \times \text{On}$. We define a subclass Gr as the permutations π satisfying:

1. $|\text{dom}_1(\text{dom}(\pi))| < \omega$.
2. For every $\alpha \in \text{dom}_1(\text{dom}(\pi))$ there is a permutation π^α of α with finite domain, such that $\forall n < \omega : \text{'If } \beta \in \text{dom}(\pi^\alpha) \text{ then } \pi((\alpha, n, \beta)) = (\alpha, n, \pi^\alpha(\beta)), \text{ and } \pi((\alpha, n, \beta)) = (\alpha, n, \beta) \text{ otherwise'}$.

If $a \subseteq \text{Reg}$ finite we define

$$H_a := \{\pi \in Gr : \forall \alpha \in a \cap \text{dom}_1(\text{dom}(\pi)) [\pi^\alpha \text{ is the identity function}]\}.$$

We easily see that H_a is a normal subgroup of Gr . Furthermore, for each $\pi \in Gr$ we define a dense subclass $P^\pi \subseteq P_3$ as the forcing conditions (p, U) with the following properties:

1. $\text{dom}_1(p) \supseteq \text{dom}_1(\text{dom}(\pi))$.
2. $\forall \alpha \in \text{dom}_1(p): \text{dom}(p(\text{cf}' \alpha)) = \text{dom}(p(\alpha))$.
3. $\forall \alpha \in \text{dom}_1(\text{dom}(\pi)): \text{rng}(p(\alpha)) \supseteq \{\beta \in \text{dom}(\pi^\alpha): \exists q \in U \beta \in \text{rng}(q(\alpha))\}$.

The density follows easily.

For a $(p, U) \in P^\pi$ we define $\pi((p, U))$ to be $(\pi p, \pi U)$ with

$$\begin{aligned} \pi p &:= \pi[p \upharpoonright \text{dom}_1(\text{dom}(\pi))] \cup p \upharpoonright \text{dom}_1(\text{dom}(\pi)) \quad \text{and} \\ \pi U &:= \{\pi[q \upharpoonright \text{dom}_1(\text{dom}(\pi))] \cup q \upharpoonright \text{dom}_1(\text{dom}(\pi)): q \in U\}. \end{aligned}$$

The reason why we restrict ourselves to P^π is the following lemma.

Lemma 5. *For every $\pi \in Gr$ the mapping $(p, U) \mapsto (\pi p, \pi U)$ is an automorphism of (P^π, \geq) .*

Proof. First we need to check that $(\pi p, \pi U)$ is a forcing condition. Only condition (P9) is non-trivial. Let $q \in U$ be extendable and we note that $(\alpha(q), n(q)) = (\alpha(\pi q), n(\pi q))$. Now let $\text{cf}' \alpha(q) < \alpha(q)$ and assume that $\gamma = q(\text{cf}' \alpha(q))(n(q)) \in \text{dom}(\pi^{\text{cf}' \alpha(q)})$. Now it follows that $\gamma \in \text{ran}(p(\text{cf}' \alpha(q)))$ and that $(\text{cf}' \alpha(q), n(q)) \notin \text{dom}_{1,2}(p)$. But this is a contradiction to $q(\text{cf}' \alpha(q))$ being 1-1. Therefore $\gamma \notin \text{dom}(\pi^{\text{cf}' \alpha(q)})$ and we see that

$$\{\beta: \pi q \cup (\alpha(q), n(q), \beta) \in \pi U\} \supseteq \{\beta: q \cup (\alpha(q), n(q), \beta) \in U\} \setminus \text{dom}(\pi^{\alpha(q)}) \in \Phi_{\alpha(q), \gamma} = \Phi_{\pi q}.$$

Since $\text{dom}(\pi) = \text{ran}(\pi)$ we immediately see that $(\pi p, \pi U) \in P^\pi$. Similarly, it follows that $P^{\pi^{-1}} = P^\pi$ and therefore the mapping is an automorphism. \square

We note that P_3 has a unique Boolean completion $\text{RO}(P_3)$, since all M -definable anti-chains are sets in M , which we will show later. Therefore, every $\pi \in Gr$ uniquely extends to an automorphism of $\text{RO}(P_3)$.

Now let G be a M -generic subclass of P_3 , i.e. G meets all M -definable dense subclasses, and denote the generic extension by $M[G]$.

Definition 3.1. By N_G we shall denote the symmetric extension generated by the filter base $\{H_a: a \subseteq \text{Reg finite}\}$. In more detail: Call a name \mathbf{x} symmetric iff $\exists a \subseteq \text{Reg finite}$ such that $\text{sym}(\mathbf{x}) = \{\pi \in Gr: \tilde{\pi}(\mathbf{x}) = \mathbf{x}\} \supseteq H_a$, where $\tilde{\pi}$ is defined recursively by $\tilde{\pi}(\mathbf{x}) := \{(\tilde{\pi}(\sigma), \pi(p)): (\sigma, p) \in \mathbf{x}\}$. Define HS as the class of all hereditarily symmetric names. Set the symmetric extension $N_G := \{\mathbf{x}^G: \mathbf{x} \in HS\}$ (see Jech[J]).

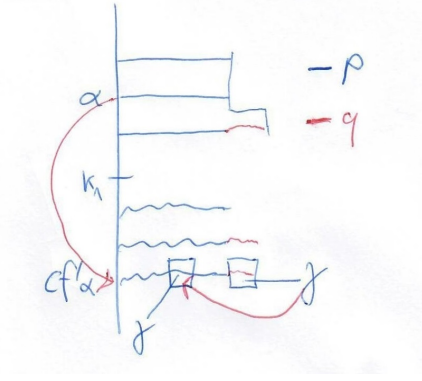
It can be easily seen that $M[G]$ and N_G are models of Extensionality, Pairing, Union and Infinity.

For $\alpha \in \text{Reg}$ we shall set $P_\alpha := \{(p, U) \in P_3: \text{dom}_1(p) \subseteq \alpha\}$ and $G_\alpha = G \cap P_\alpha$.

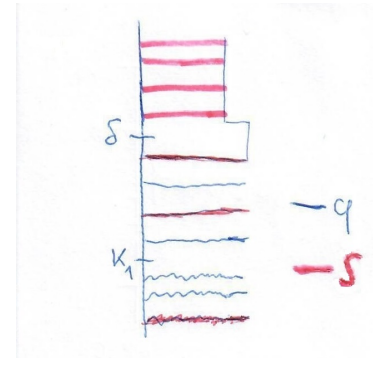
Lemma 6. $\forall \alpha \in \text{Reg}: P_\alpha$ is a complete subforcing of P_3 , $M[G] = \bigcup_{\alpha \in \text{Reg}} M[G_\alpha]$ and $N_G = \bigcup_{\alpha \in \text{Reg}} N_{G_\alpha}$.

Proof. We shall show that every maximal antichain in P_α , $\alpha \in \text{Reg}$ arbitrary, is also maximal in P_3 . Let A be a maximal antichain in P_α and $(p, U) \in P_3$. W.l.o.g. $(p|_\alpha, U|_\alpha) \neq (\emptyset, \{\emptyset\})$ and it follows that $(p|_\alpha, U|_\alpha)$ is compatible with some element $r \in A$. Let $(q, V) \geq (p|_\alpha, U|_\alpha), r$ with $(q, V) \in P_\alpha$ and w.l.o.g. we can assume that $\exists m \in \omega \forall \alpha' \in \text{dom}_1(q): \text{dom}(q(\alpha')) = m$. Let $t = q|(\text{dom}_1(p) \cap \alpha) \in U|_\alpha$ and let $s \in U$ with $s|_\alpha = t$. We note that $(s, U_s) \geq (p, U)$. Now $s \cup q \in P_2$, $(s \cup q)|\text{dom}_1(q) = q$ and $(s \cup q)|\text{dom}_1(s) = s$, since $s|_\alpha = q|_\alpha$. Therefore $(s \cup q, W) \geq (q, V)$ as a b -extension of (q, V) and $(s \cup q, X) \geq (s, U_s)$ as a b -extension of (s, U_s) . So we see that $(s \cup q, W \cap X) \geq (q, V)$, $(s, U_s) \geq r$, (p, U) .

The second statement follows easily, since every (symmetric) P_3 -name is a (symmetric) P_α -name for some $\alpha \in \text{Reg}$, and G_α is an M -generic filter of P_α . \square



Lemma 5



Lemma 6

Note that the definability of the forcing relation and the forcing theorem are non-trivial, but we will take care of these technicalities later. The following lemma is a generalization of the Symmetry lemma. It refers to \Vdash as well as to \Vdash^{HS} .

Lemma 7. Let $\varphi(\mathbf{x}_1, \dots, \mathbf{x}_n)$ be a formula with $\mathbf{x}_1, \dots, \mathbf{x}_n \in HS$. Let $a \subseteq \text{Reg}$ finite such that a is closed under cf and $\text{sym}(\mathbf{x}_1, \dots, \mathbf{x}_n) \supseteq H_a$. If $(p, U) \Vdash \varphi(\mathbf{x}_1, \dots, \mathbf{x}_n)$, then already $(p|_a, U|_a) \Vdash \varphi(\mathbf{x}_1, \dots, \mathbf{x}_n)$.

Proof. Suppose not. Then there is $(q, V) \geq (p|_a, U|_a)$ and $(q, V) \Vdash_{\text{RO}(P_3)} \neg \varphi(\mathbf{x}_1, \dots, \mathbf{x}_n)$. Again, let q be of the form $\exists m \in \omega \forall \alpha \in \text{dom}_1(q): \text{dom}(q(\alpha)) = m$. It will now suffice to show that there are conditions $(p', U') \geq (p, U)$ and $(q', V') \geq (q, V)$ and a permutation $\pi \in H_a$ with $(p', U') \in P^\pi$ such that $\pi((p', U')) = (q', V')$. This will yield a contradiction, since $\pi((p', U')) \Vdash_{\text{RO}(P_3)} \varphi(\mathbf{x}_1, \dots, \mathbf{x}_n)$.

Since $(q, V) \geq (p|_a, U|_a)$ it follows that $q|(a \cap \text{dom}_1(p)) \in U|_a$. Let $t \in U$ with $t|_a = q|(a \cap \text{dom}_1(p))$ and such that $t \cup q|_a \in P_2$. We set $p^* = t \cup q|_a$ and let $(p^*, U^*) \geq (p, U)$,

as a b -extension, with $p^*|a = q|a$. We can now extend (p^*, U^*) and (q, V) to (p_1, U_1) and (q_1, V_1) such that $\text{dom}_1(p_1) = \text{dom}_1(q_1)$,

$$\forall \alpha \in \text{dom}_1(p_1): \text{dom}(p_1(\alpha)) = \text{dom}(p_1(\text{cf}' \alpha)) = \text{dom}(q_1(\text{cf}' \alpha)) = \text{dom}(q_1(\alpha)),$$

and still $p_1|a = q_1|a$, since the filters are closed under intersection. We define

$$U'_1 := \{t \in U_1: \forall \alpha \in \text{dom}_1(p_1) - a \ [\text{ran}(t(\alpha)) - \text{ran}(p_1(\alpha)) \cap \text{ran}(q_1(\alpha)) = \emptyset]\} \text{ and}$$

$$V'_1 := \{t \in V_1: \forall \alpha \in \text{dom}_1(q_1) - a \ [\text{ran}(t(\alpha)) - \text{ran}(q_1(\alpha)) \cap \text{ran}(p_1(\alpha)) = \emptyset]\}.$$

We can now define the permutation π : For every $\alpha \in \text{dom}_1(p_1) - a$ and $n \in \omega$ we set $\pi^\alpha(p_1(\alpha)(n)) = q_1(\alpha)(n)$, if defined. Since $q_1(\alpha)$ is 1-1, we can extend every π^α to a finite permutation. Of course, it holds that the resulting $\pi \in Gr$. Furthermore, one can easily show that $(p_1, U'_1) \in P^\pi$. We set $(q', V') := (\pi p'_1, \pi U'_1 \cap V'_1) \geq (q_1, V'_1)$ and $(p', U') := \pi^{-1}((\pi p'_1, \pi U'_1 \cap V'_1)) \geq (p'_1, U'_1)$. \square

4 Separation and Replacement

Now we want to introduce three new predicates for the model $M[G]$: $B(x_1)$ will assert that $x_1 \in M$, $A(x_1, x_2)$ will assert that $(x_1, x_2) \in G$ and $WO(x_1, x_2)$ will assert that $x_1, x_2 \in M$ and $(x_1, x_2) \in WO_M$.

Furthermore, we extend the forcing language by the following predicates:

- $t \Vdash \check{B}(\mathbf{x}_1)$ iff $\forall t' \geq t \exists t'' \geq t' \exists y: t'' \Vdash \mathbf{x}_1 = \check{y}$.
- $t \Vdash \check{A}(\mathbf{x}_1, \mathbf{x}_2)$ iff $\forall t' \geq t \exists t'' \geq t' \exists y_1, y_2: (y_1, y_2) \in P_3 \wedge t'' \Vdash \mathbf{x}_1 = \check{y}_1 \wedge t'' \Vdash \mathbf{x}_2 = \check{y}_2 \wedge t'' \geq (y_1, y_2)$.
- $t \Vdash \check{W}O(\mathbf{x}_1, \mathbf{x}_2)$ iff $\forall t' \geq t \exists t'' \geq t' \exists y_1, y_2: WO_M(y_1, y_2) \wedge t'' \Vdash \mathbf{x}_1 = \check{y}_1 \wedge t'' \Vdash \mathbf{x}_2 = \check{y}_2$.

Lemma 8. *The forcing relation for the expanded language is definable. Furthermore, let $\varphi(x_1, \dots, x_n)$ be a formula in the language $(\in, =, A, B, WO)$. Then $M[G] \models \varphi(\mathbf{x}_1^G, \dots, \mathbf{x}_n^G)$ iff $\exists t \in G: t \Vdash \check{\varphi}(\mathbf{x}_1, \dots, \mathbf{x}_n)$.*

Proof. Define the forcing relation for atomic formulas as follows: $p \Vdash \mathbf{x} \in \mathbf{y}$ iff

$$\exists \alpha \in \text{Reg} \forall \alpha' \geq \alpha: p \in P_{\alpha'} \wedge p \Vdash_{P_{\alpha'}} \mathbf{x} \in \mathbf{y}.$$

Similarly for $\mathbf{x} = \mathbf{y}$. This definition works, because Δ_0 -formulas are absolute between transitive models. The general case is defined by the usual induction over the number of quantifiers, e.g. $p \Vdash \forall x \check{\varphi}(x)$ iff $\forall \mathbf{x} \in M^{P_3}: p \Vdash \check{\varphi}(\mathbf{x})$. For more details see Shoenfield [S] and Zarach [Z]. \square

Lemma 9. $M[G]$ can be definably well-ordered.

Proof. First we note that $\forall \alpha \in \text{Reg}: M[G_\alpha]$ is definable in $M[G]$. The definition is the same formula defining ‘ $M[G_\alpha]$ ’ as the forcing extension of M with poset P_α and filter G_α in $M[G_\alpha]$, i.e.

$M[G_\alpha] = \{y: \exists \mathbf{z} \in M^{P_\alpha} \phi_{G_\alpha}(\mathbf{z}, y)\}$ where $\phi_{G_\alpha}(\mathbf{z}, y)$ is the formula for $\mathbf{z}^{G_\alpha} = y$ in $M[G_\alpha]$.

Note that $\phi_{G_\alpha}(\mathbf{z}, y)$ is of the form $\exists x \psi(x, \mathbf{z}, y)$ and $\psi(x, \mathbf{z}, y)$ is Δ_0 . By the upward absoluteness of Σ_1 -formulas $M[G] \models \forall \mathbf{z} \in M^{P_\alpha} \exists y: \phi_{G_\alpha}(\mathbf{z}, y)$. Finally, one can easily check by induction that $M[G] \models \forall \mathbf{z} \in M^{P_\alpha} \exists! y: \phi_{G_\alpha}(\mathbf{z}, y)$ and that the recursion is absolute.

For $x \in M[G]$ we define $\Delta(x) := \min\{\alpha \in \text{Reg}: x \in M[G_\alpha]\}$. For $x, y \in M[G]$ we say $x < y$ iff either $\Delta(x) < \Delta(y)$ or

$$\Delta(x) = \Delta(y) \text{ and } \min_{WO}\{\mathbf{z} \in M^{P_3}: \mathbf{z}^G = x\} <_{WO} \min_{WO}\{\mathbf{z} \in M^{P_3}: \mathbf{z}^G = y\}.$$

□

Theorem 10. $M[G]$ satisfies Collection, i.e.

$$\forall a: \forall x \in a \exists y \varphi(x, y) \rightarrow \exists b \forall x \in a \exists y \in b \varphi(x, y),$$

for any formula $\varphi(x, y)$ in the language $(\in, =, A, B, WO)$.

Proof. First we show that every definable antichain of P_3 is a set in M . Suppose not. Let $((p_\alpha, U_\alpha))_{\alpha \in \text{On}}$ be an M -definable antichain. W.l.o.g. we can assume that $|\text{dom}_1(p_\alpha)|$ is independent of α and $\text{dom}(p_\alpha(\alpha')) \subseteq \omega$ is independent of α and α' . Let $f_i(\alpha)$ denote the i th $\alpha' \in \text{dom}_1(p_\alpha)$ for $i < |\text{dom}_1(p_\alpha)|$. Now there must be a i such that $\{f_i(\alpha): \alpha \in \text{On}\}$ is unbounded. Choose i minimal. Let $\beta = \sup\{f_j(\alpha): j < i \wedge \alpha \in \text{On}\}$ and choose $((p'_\alpha, U'_\alpha))_{\alpha \in \text{On}}$ such that $\text{dom}_1(p'_\alpha)$ are pairwise disjoint above β . Now choose $((p''_\alpha, U''_\alpha))_{\alpha \in \text{On}}$ such that $p''_\alpha \upharpoonright \beta^+$ are identical. But this is a contradiction, since now all (p''_α, U''_α) are compatible.

Now to Collection: Let $\varphi(x, y)$ be a given formula, and $a \in M[G]$. Let us assume that $M[G] \models \forall x \in a \exists y: \varphi(x, y)$. For $x \in a$ let $\psi(x, \alpha)$ denote ‘ α is the least regular cardinal such that $\exists y \in R_\alpha^{M[G_\alpha]}: \varphi(x, y)$ ’. Note that for every $\mathbf{x} \in \text{dom}(\mathbf{a})$ there is a $\beta_{\mathbf{x}}$ such that $\forall \gamma \geq \beta_{\mathbf{x}} \forall t \in P_3: t \Vdash \neg \psi(\mathbf{x}, \check{\gamma})$, since otherwise we would obtain a M -definable antichain which would not be a set in M . Now we use Replacement in M to define $\beta = \sup\{\beta_{\mathbf{x}}: \mathbf{x} \in \text{dom}(\mathbf{a})\}$. Let α be the least regular cardinal $\geq \beta$. Now $M[G] \models \forall x \in a \exists y \in R_\alpha^{M[G_\alpha]}: \varphi(x, y)$. It follows that $R_\alpha^{M[G_\alpha]} \in M[G_\alpha] \subseteq M[G]$, since $M[G_\alpha]$ satisfies ZFC. □

Theorem 11. $M[G]$ satisfies Separation for any formula in the language $(\in, =, A, B, WO)$.

Proof. Let $\varphi(x)$ be a given formula, and $a \in M[G]$. For $(\mathbf{x}, p) \in \mathbf{a}$ we define $A_{(\mathbf{x}, p)}$ to be a maximal antichain below p such that $\forall t \in A_{(\mathbf{x}, p)}: t \Vdash \check{\varphi}(\mathbf{x})$. We set $\tau := \bigcup_{(\mathbf{x}, p) \in \mathbf{a}} \{\mathbf{x}\} \times A_{(\mathbf{x}, p)}$. We are left to show $M[G] \models \forall x: x \in \tau^G \leftrightarrow x \in a \wedge \varphi(x)$. Let $x \in \tau^G$. This means that there is a $(\mathbf{x}, q) \in \tau$ with $q \in G$ and $(\mathbf{x}, p) \in \mathbf{a}$ with $q \geq p$ and $q \Vdash \check{\varphi}(\mathbf{x})$. It follows that $x \in a$ and $\varphi(x)$. Now let $x \in a$ and $\varphi(x)$. It follows that there is a $(\mathbf{x}, p) \in \mathbf{a}$ with $p \in G$. Therefore, G must meet with $A_{(\mathbf{x}, p)}$, so that $x \in \tau^G$. \square

Now Replacement easily follows from Collection and Separation in $M[G]$.

Replacement in N_G can be shown similarly, although one has to work for Separation to show that the name τ is symmetric. A more elegant proof uses replacement in $M[G]$ and the fact that $N_G \models$ Power Set, which we will show without using any axioms in N_G .

Theorem 12. N_G satisfies Replacement for any formula in the language $(\in, =)$.

Proof. Let $\varphi(x, y)$ be a given formula, $a \in N_G$ and $N_G \models \forall x \in a \exists! y: \varphi(x, y)$. Now $N_G = \bigcup_{\alpha \in \text{On}} (R_\alpha^{N_G})$ is a definable subclass of $M[G]$. Note that $R_\alpha^{N_G} \in N_G$ only because $N_G \models$ Power Set and if λ is a limit ordinal then $R_\lambda^{N_G} \in M[G]$ and $R_\lambda^{N_G} \subseteq N_{G_\alpha}$ for some $\alpha \in \text{Reg}$. Since $N_{G_\alpha} \models \text{ZF}$ and rank is absolute, it follows that $R_\lambda^{N_G} \in N_{G_\alpha} \subseteq N_G$. Since $M[G] \models$ Replacement, we can now use Reflection. So we get an α such that $R_\alpha^{N_G} \prec_{\varphi, \psi} N_G$ and $a \in R_\alpha^{N_G}$, where $\psi(z)$ is the formula $\forall x \in z \exists! y: \varphi(x, y)$. Let α' be the least regular cardinal such that $R_\alpha^{N_G} \in N_{G_{\alpha'}}$. Finally we use Separation in $N_{G_{\alpha'}}$ to get $b = \{y \in R_\alpha^{N_G} : \exists x \in a \varphi^{R_\alpha^{N_G}}(x, y)\} \in N_{G_{\alpha'}} \subseteq N_G$. \square

5 The axiom of Power Set in N_G

The problem with Power set is that it does not hold in $M[G]$. Indeed, since all limit ordinals have cofinality ω and AC holds within $M[G]$, every set must be countable in $M[G]$. So even the reals form a proper class, and so do all the R_α 's for $\alpha > \omega$.

Let $\mathbf{x} \in HS$ be a hereditarily symmetric name. First we define the support of such a name: $\text{supp}(\mathbf{x}) := \min_{\subseteq} \{a \subseteq \text{Reg finite} : \text{sym}(\mathbf{x}) \supseteq H_a\}$. Note that this minimum exists, since if $\pi \in H_{a_1 \cap a_2}$ then $\pi = \pi_2 \circ \pi_1$ with $\pi_i \in H_{a_i}$. So if \mathbf{x} is supported by a_1 and a_2 , then it is also supported by $a_1 \cap a_2$.

Let $x \in N_G$. In contrast to the other axioms, it might be that the supports of names \mathbf{y} for subsets of x are cofinal in the ordinals, such that at each α new subsets arise. Therefore, we shall show that $\mathcal{P}^{N_G}(x) \in M[G]$, which will yield Power Set, since with Replacement in $M[G]$ we get an α with $\mathcal{P}^{N_G}(x) \subseteq N_{G_\alpha}$ and $x \in N_{G_\alpha}$, and since $N_{G_\alpha} \models \text{ZF}$ and being a subset of x is absolute for transitive models, we get $\mathcal{P}^{N_G}(x) \in N_{G_\alpha} \subseteq N_G$.

Let \mathbf{x} be a symmetric name for x . We define $\delta := \sup\{\bigcup \text{supp}(\mathbf{z}) \cup \bigcup \text{supp}(\mathbf{x}) : \mathbf{z} \in \text{dom}(\mathbf{x})\}$. Let κ be the smallest strongly compact cardinal $> \delta^+$. We shall call $\alpha < \kappa$ small coordinates and $\alpha \geq \kappa$ big ones.

Lemma 13. *Let (p, U) be a forcing condition. Then there is a $(q, V) \geq (p, U)$ such that the following conditions hold:*

- $\forall t \in V : \alpha(t) \geq \kappa \Rightarrow \Phi_t$ is κ -complete.
- for every $s \in V$ such that s is extendable and $\alpha(s) < \kappa$ the set

$$E_s := \{\beta \in \alpha(s) : s \cup \{(\alpha(s), m(s), \beta)\} \in V\}$$

of possible extensions is independent of the values at the big coordinates, i.e. if $q_1 \upharpoonright \kappa = q_2 \upharpoonright \kappa$ then $E_{q_1} = E_{q_2}$.

Proof. First we want to find $(p', W) \geq (p, U)$ with $p' \in U$ and $n \in \omega$ such that $\forall \alpha \in \text{dom}_1(p') : \text{dom}(p'(\alpha)) = n$ and $\forall t \in W : \alpha(t) \geq \kappa \Rightarrow \Phi_t$ is κ -complete. Find such a p' and consider the condition $(p', U_{p'})$. For $\alpha \in \text{dom}_1(p')$ with $\gamma = \text{cf}' \alpha < \alpha$ and $\alpha \geq \kappa$ let $c_{\gamma, \alpha} := \min\{\nu \in \gamma : \gamma_\alpha(\nu) \geq \kappa\}$. Note that γ_α was the WO_M minimal cofinal sequence of length γ in $\sup\{\kappa' : \kappa' < \alpha \wedge \kappa' \text{ is strongly compact}\}$. For $\gamma \in \text{dom}_1(p')$ we define $c_\gamma := \max\{c_{\gamma, \alpha} : \alpha \in \text{dom}_1(p') \wedge \alpha \geq \kappa \wedge \gamma = \text{cf}' \alpha < \alpha\}$. We define $W := \{t \in U_{p'} : \forall \gamma \in \text{dom}_1(p') \forall m \geq n t(\gamma)(m) \geq c_\gamma\}$. (p', W) is now a condition with the required property. So w.l.o.g we can assume that the condition (p, U) also has this property.

Choose $q \in U$ with $\alpha(q) \geq \kappa$. We will now work with the condition (q, U_q) . Let $r \in U_q$, $r \approx q$. Let $k_r \leq \omega$ denote the number of levels of the tree T_r . For $i < k_r$ let T_r^i denote the tree, where we cut off T_r above the i 'th level. We set $F_r^i := T_r^i \setminus T_r^{i-1}$. Let $x_r(i) := \text{dom}_{1,2}(s)$ for $s \in F_r^i$. This is obviously well defined. We fix i and shall inductively define $T_r^{i,j}$ for $1 \leq j \leq i$.

We set $T_r^{i,i} := T_r^i$. Now let $T_r^{i,j}$ be defined. We set

$$V_r^{i,j} := \{s \in T_r^{i-1} : \forall n \in \{j, \dots, i-1\} s \upharpoonright x_r(n) \in T_r^{i,n}\}.$$

We assume as induction hypothesis that for $s, t \in V_r^{i,j}$ and $s \upharpoonright x_r(j) \in F_r^j$ if $s \upharpoonright x_r(j-1) = t \upharpoonright x_r(j-1)$, $s \upharpoonright \kappa = t \upharpoonright \kappa$ and $\alpha(s) < \kappa$, then we have $E_s = E_t$.

Now let $s \in F_r^{j-1}$. If $\alpha(s^-) < \kappa$ we set $T_r^{i,j-1} := T_r^{j-1}$. Obviously, for $t, u \in V_r^{i,j-1}$ and $t \upharpoonright x_r(j-1) \in F_r^{j-1}$ if $t \upharpoonright x_r(j-2) = u \upharpoonright x_r(j-2)$, $t \upharpoonright \kappa = u \upharpoonright \kappa$ and $\alpha(t) < \kappa$, then we have $E_t = E_u$, since we can deduce $t \upharpoonright x_r(j-1) = u \upharpoonright x_r(j-1)$ and use the induction hypothesis. Note that if $t \in F_r^{j-1}$ then $t = u$.

If $\alpha(s^-) \geq \kappa$ we do the following: First fix

$$f \in C_{s^-} := \{g \in P_2 : \exists h \in V_r^{i,j} [h \supseteq s^- \wedge h \upharpoonright \kappa = g]\}.$$

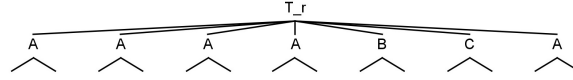
Let $t \supseteq s^-$, $t \in V_r^{i,j}$ with $t|x_r(j-1) \in F_r^{j-1}$ and $t|\kappa = f$. We know that if $\alpha(t) < \kappa$, then E_t only depends on $t(\alpha(s^-))(n(s^-))$. Since $|\mathcal{P}(\alpha(t))| < \kappa$ and Φ_{s^-} is κ -complete, there exists an $A \in \Phi_t$ such that

$$D_{s^-,f} := \{\beta \in \alpha(s^-) : \forall u \supseteq s^- \cup \{(\alpha(s^-), n(s^-), \beta)\} [u|\kappa = f \wedge \alpha(u) < \kappa \Rightarrow E_u = A]\} \in \Phi_{s^-}.$$

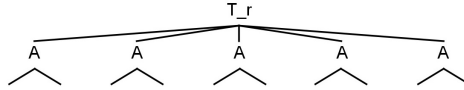
Note that A , $(\alpha(t), n(t))$ and Φ_t only depend on f . We define $D_{s^-} := \bigcap_{f \in C_{s^-}} D_{s^-,f} \in \Phi_{s^-}$. We set $T_r^{i,j-1} := T_r^{j-2} \cup \bigcup_{s \in F_r^{j-1}} \{s^- \cup \{(\alpha(s^-), n(s^-), \beta)\} : \beta \in D_{s^-}\}$. Again we see that for $t, u \in V_r^{i,j-1}$ and $t|x_r(j-1) \in F_r^{j-1}$ if $t|x_r(j-2) = u|x_r(j-2)$, $t|\kappa = u|\kappa$ and $\alpha(t) < \kappa$, then we have $E_t = E_u$, since we can deduce that $\exists s \in F_r^{j-1} : t, u \supseteq s^-$ and for $f = t|\kappa = u|\kappa$ the set $D_{s^-} \subseteq D_{s^-,f}$ is homogeneous.

We set $V'_r := \{t \in T_r : \forall i < k_r [t \in T_r^i \Rightarrow t \in V_r^{i,1}]\}$ and $V' := \bigcup_{r \in U_q : r \approx q} V'_r$. Now let $s, t \in V'$ with $s|\kappa = t|\kappa$ and $\alpha(s) < \kappa$. Suppose that $E_s \neq E_t$. Then there exists a $r \in U_q$, $r \approx q$ and an i such that $s, t \in V_r^{i,1}$, which contradicts the homogeneity of $V_r^{i,1}$. (q, V') satisfies all conditions except possibly (P6). Therefore, we set $T_r^V := \bigcap_{s \supseteq r : s \approx q} V'_s$ and $V := \bigcup_{r \in U_q : r \approx q} T_r^V$. Obviously, if $s \supseteq r$ then $T_s^V \supseteq T_r^V$. So (q, V) is the desired condition. \square

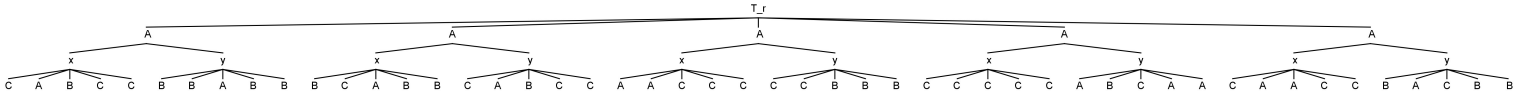
The following graphics show the process from the previous lemma with a condition whose domain consists only of one small and one big coordinate:



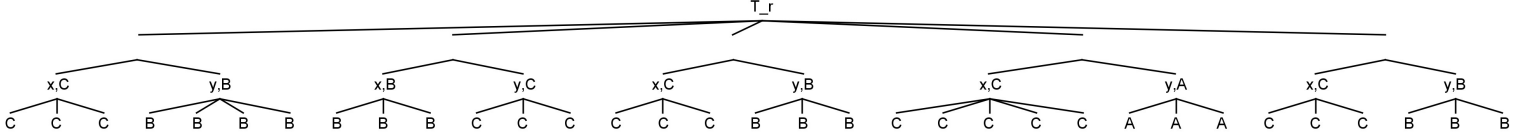
Tree at level 1



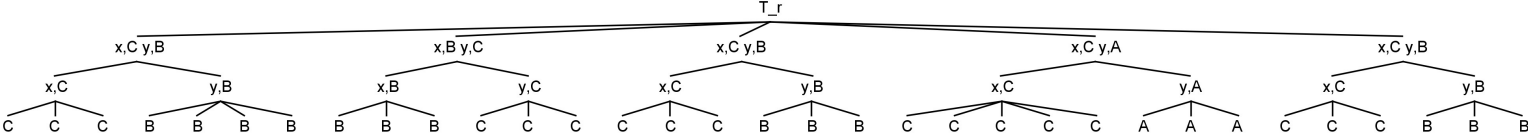
Tree made homogeneous at level 1



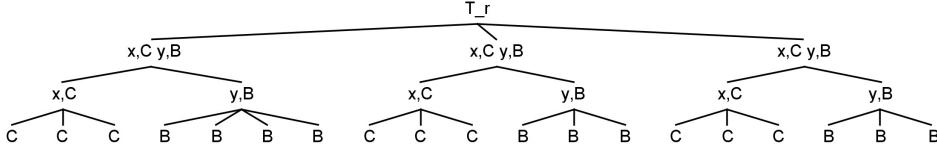
Tree at level 3, small extension at level 2, homogeneous at level 1



Tree made homogeneous at level 3, depending on small extension at level 2



Coloring level 1 with the possible small extensions and corresponding homogeneous sets



Tree made homogeneous at level 3 independent of small extension at level 2

Note that in the previous lemma, as well as in all the following lemmas the strengthened condition (q, V) has the following property: if $t \in V$ with $\alpha(t) < \kappa$, then $\{\beta \in \alpha(t) : t \cup \{(\alpha(t), n(t), \beta)\} \in U\} = \{\beta \in \alpha(t) : t \cup \{(\alpha(t), n(t), \beta)\} \in V\}$.

The following lemma will give an idea why Power Set might hold.

Lemma 14. *The strongly compact cardinals κ are not collapsed in N_G , i.e. they remain cardinals.*

Proof. Let κ be strongly compact and let τ be a symmetric name such that $(p, U) \Vdash \tau : \lambda \rightarrow \kappa$ onto, with $\lambda < \kappa$, $\text{dom}_1(p) \subseteq \text{supp}(\tau)$ and (p, U) has the properties from the previous lemma.

Let $\varphi_{n,\beta}$ be the formula $(n, \check{\beta}) \in \tau$ for $n \in \lambda$ and $\beta \in \kappa$. Now we want to make V homogeneous: Find a $W \subseteq V$ such that for $s, t \in W$, $s \upharpoonright \kappa = t \upharpoonright \kappa$ and $\text{dom}_{1,2}(s) = \text{dom}_{1,2}(t)$ the following holds:

- $\exists X \subseteq W_s : (s, X) \Vdash \neg \varphi_{n,\beta}$ iff $\exists X \subseteq W_s : (t, X) \Vdash \neg \varphi_{n,\beta}$
- $\exists Y \subseteq W_s : (s, Y) \Vdash \varphi_{n,\beta}$ iff $\exists Y \subseteq W_s : (t, Y) \Vdash \varphi_{n,\beta}$.

Note that (s, X) and (s, Y) cannot contradict each other, since they are compatible. We use the notation from the previous lemma. Let $r \in V$ with $r \approx p$. We fix $i < k_r$ and shall define $T_r^{i,j}$ for $0 \leq j \leq i$. Again we set $T_r^{i,i} := T_r^i$. Now let $T_r^{i,j}$ be defined. We set $W_r^{i,j} := \{s \in T_r^i : \forall n \in \{j, \dots, i\} s \upharpoonright x_r(n) \in T_r^{i,n}\}$. Set $F_{n,\beta}(s)$ to be

- 0 if $\exists X \subseteq W_s : (s, X) \Vdash \neg \varphi_{n,\beta}$
- 1 if $\exists Y \subseteq W_s : (s, Y) \Vdash \varphi_{n,\beta}$
- 2 otherwise.

For $s, t \in W_r^{i,j}$, $s \upharpoonright \kappa = t \upharpoonright \kappa$, $\text{dom}_{1,2}(s) = \text{dom}_{1,2}(t)$ and $s \upharpoonright x_r(j) \in F_r^j$ we assume inductively that $F_{n,\beta}(s) = F_{n,\beta}(t)$.

Now let $s \in F_r^{j-1}$. If $\alpha(s) < \kappa$ we set $T_r^{i,j-1} := T_r^j$. Obviously, for $t, u \in W_r^{i,j-1}$ and $t \upharpoonright x_r(j-1) \in F_r^{j-1}$ if $t \upharpoonright x_r(j-1) = u \upharpoonright x_r(j-1)$, $t \upharpoonright \kappa = u \upharpoonright \kappa$ and $\text{dom}_{1,2}(t) = \text{dom}_{1,2}(u)$, then we have $F(t) = F(u)$, since we can prove $t \upharpoonright x_r(j) = u \upharpoonright x_r(j)$ and use the induction hypothesis. Note that if $t \in F_r^{j-1}$ then $t = u$.

If $\alpha(s) \geq \kappa$ we do the following: Let us fix $f \in C_s := \{g \in P_2 : \exists h \in W_r^{i,j} [h \supseteq s \wedge h \upharpoonright \kappa = g]\}$. Let $t \supseteq s$, $t \in W_r^{i,j}$ with $t \upharpoonright x_r(j) \in F_r^j$ and $t \upharpoonright \kappa = f$. We know that $F(t)$ only depends on $t(\alpha(s))(n(s))$ and $\text{dom}_{1,2}(t)$. Therefore, for every $m \in \omega$ there is $l < 3$ such that

$$D_{s,f,m} := \{\beta \in \alpha(s) : \forall u \supseteq s \cup \{(\alpha(s), n(s), \beta)\} [u \upharpoonright \kappa = f \wedge |\text{dom}_{1,2}(u)| = m \Rightarrow F_{n,\beta}(u) = l]\}$$

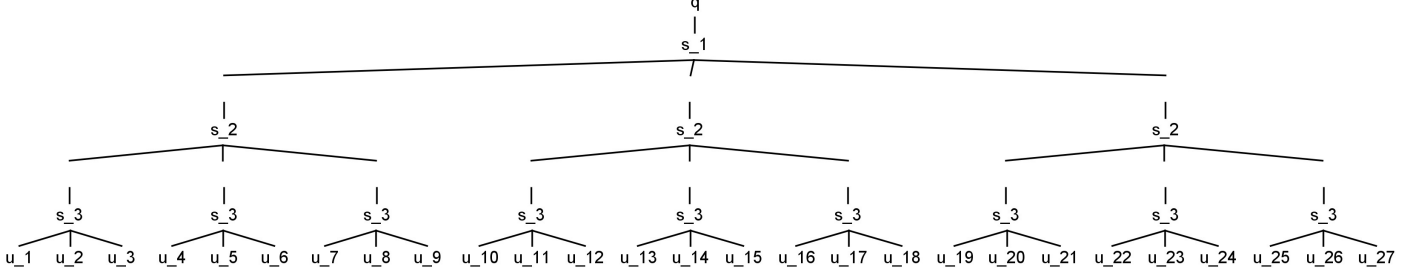
is in the filter $\in \Phi_s$. So $D_s := \bigcap_{f \in C_s} \bigcap_{m \in \omega} D_{s,f,m} \in \Phi_s$. We set

$$T_r^{i,j-1} := T_r^{j-1} \cup \bigcup_{s \in F_r^{j-1}} \{s \cup \{(\alpha(s), n(s), \beta)\} : \beta \in D_s\}.$$

We also set $W'_r := \{t \in T_r : \forall i < k_r [t \in T_r^i \Rightarrow t \in W_r^{i,0}]\}$ and $W'_{n,\beta} := \bigcup_{r \in V : r \approx q} W'_r$. Obviously, $W'_{n,\beta}$ is homogeneous with respect to $F_{n,\beta}$.

Choose $\nu \in \text{Reg}$ with $\kappa > \nu > \lambda, |(V \upharpoonright \kappa) \times \aleph_0|$. Let $(p, W) \geq (p, V)$ be a condition which is homogeneous with respect to $F_{n,\beta}$ for every $n \in \lambda$ and $\beta \in \nu$. We get such a condition by intersecting $W'_{n,\beta}$ for $n \in \lambda$ and $\beta \in \nu$ and fixing (P6). It follows that there are only $|(V \upharpoonright \kappa) \times \aleph_0|$ equivalence classes (for $s, t \in W$ define $s \approx_{\Vdash} t$ iff for every $n \in \lambda$ and every $\beta \in \nu$ $F_{n,\beta}(s) = F_{n,\beta}(t)$ holds) of what can be forced below (p, W) . But then τ cannot even be onto ν , because for every $n \in \lambda$ and $\beta \in \nu$ the formula $(n, \beta) \in \tau$ must be decided below (p, W) . \square

Definition 5.1. For $q \in V$ and $s \in V \upharpoonright \kappa$ with $q \upharpoonright \kappa \subseteq s$ we say that $q \cup s$ reaches V if either $q \cup s \in V$ or the set $V_{q \cup s}^* := \{t \in T_{p \cup s \upharpoonright \kappa_1} : \exists u \in V [u \supseteq q \cup s \wedge u \upharpoonright \kappa = s \wedge t \subseteq u]\}$ satisfies the following property: $V_{q \cup s}^*$ is non-empty and for $t \in V_{q \cup s}^*$ if $q \subseteq t$, $\alpha(t) \geq \kappa$ and $t \upharpoonright \kappa \neq s$, then $\{\beta \in \alpha(t) : t \cup \{(\alpha(t), n(t), \beta)\} \in V_{q \cup s}^*\} \in \Phi_t$.



A pruned tree: Only the corresponding values of s are allowed at the small extensions

Lemma 15. *Let (p, V) be a condition as in the lemma 13. Then there exists a $W \subseteq V$ such that (p, W) is a condition and for $s \in W \upharpoonright \kappa$ and $q \in W$ with $q \upharpoonright \kappa \subseteq s$ we have that $q \cup s$ reaches W .*

Proof. First we shall show that $\forall q \in V: p \cup q \upharpoonright \kappa$ reaches V . If $q = r$ with $r \approx p$ this is obvious. Now let $q \in V$ such that $p \cup q \upharpoonright \kappa$ reaches V : If $\alpha(q) \geq \kappa$ and q is extendable then obviously

$$\forall \beta \in \alpha(q): q \cup \{(\alpha(q), n(q), \beta)\} \in V \Rightarrow p \cup (q \cup \{(\alpha(q), n(q), \beta)\}) \upharpoonright \kappa$$

reaches V . If $\alpha(q) < \kappa$ and q is extendable, then let $\beta \in \alpha(q)$ with $q \cup \{(\alpha(q), n(q), \beta)\} \in V$ be arbitrary. If $p \cup q \upharpoonright \kappa \in V$ then $p \cup q \upharpoonright \kappa = q$, so that trivially $\cup (q \cup \{(\alpha(q), n(q), \beta)\}) \upharpoonright \kappa \in V$. Otherwise let $u \supseteq p \cup q \upharpoonright \kappa$ with $u \upharpoonright \kappa = q \upharpoonright \kappa$, $u \in V$ and u is not extendable in $V_{p \cup q \upharpoonright \kappa}^*$. It follows that $(\alpha(u), n(u)) = (\alpha(q), n(q))$. From lemma 13 we may assume that $E_u = E_q$, so that $u \cup \{(\alpha(q), n(q), \beta)\} \in V$. This shows that $V_{p \cup q \upharpoonright \kappa}^* \subseteq V_{p \cup (q \cup \{(\alpha(q), n(q), \beta)\}) \upharpoonright \kappa}^*$. If $t \in V_{p \cup (q \cup \{(\alpha(q), n(q), \beta)\}) \upharpoonright \kappa}^*$ with $t \upharpoonright \kappa \neq (q \cup \{(\alpha(q), n(q), \beta)\}) \upharpoonright \kappa$ and $\alpha(t) \geq \kappa$, then it easily follows that $t \in V_{p \cup q \upharpoonright \kappa}^*$. Now if $t \upharpoonright \kappa \neq q \upharpoonright \kappa$ then $\{\beta \in \alpha(t): t \cup \{(\alpha(t), n(t), \beta)\} \in V_{p \cup q \upharpoonright \kappa}^*\} \in \Phi_t$ by definition. If $p \cup q \upharpoonright \kappa \subseteq t$ then $\{\beta \in \alpha(t): t \cup \{(\alpha(t), n(t), \beta)\} \in V_{p \cup q \upharpoonright \kappa}^*\} \in \Phi_t$ by definition of the forcing. So that $p \cup (q \cup \{(\alpha(t), n(t), \beta)\}) \upharpoonright \kappa$ reaches V .

Inductively, we shall now define W' and show that $\forall q \in W' \forall s \in V \upharpoonright \kappa: q \upharpoonright \kappa \subseteq s \Rightarrow q \cup s$ reaches V . We put $r \approx p$ with $r \in V$ in W' . Let $s \in V \upharpoonright \kappa$ with $r \upharpoonright \kappa \subseteq s$. Since $r \cup s = p \cup s$ the statement follows from what we have shown before.

Now let $q \in W'$ and assume $\forall s \in V \upharpoonright \kappa: q \upharpoonright \kappa \subseteq s \Rightarrow q \cup s$ reaches V as the induction hypothesis. If q is extendable and $\alpha(q) < \kappa$ we put $q \cup \{(\alpha(q), n(q), \beta)\}$ with $q \cup \{(\alpha(q), n(q), \beta)\} \in V$ in W' . For $s \supseteq (q \cup \{(\alpha(q), n(q), \beta)\}) \upharpoonright \kappa$, $s \in V \upharpoonright \kappa$ we see that $q \cup \{(\alpha(q), n(q), \beta)\} \cup s = q \cup s$ and we can use the induction hypothesis to show that $q \cup \{(\alpha(q), n(q), \beta)\} \cup s$ reaches V .

If $\alpha(q) \geq \kappa$, we fix $s \supseteq q \upharpoonright \kappa$ with $s \in V \upharpoonright \kappa$. Since $q \cup s$ reaches V , if $q \cup s \notin V$ then we have

$$C_s := \{\beta \in \alpha(q): q \cup \{(\alpha(q), n(q), \beta)\} \in V \wedge (q \cup \{(\alpha(q), n(q), \beta)\}) \cup s \upharpoonright \kappa_1 \in V_{q \cup s}^*\} \in \Phi_q$$

by definition. It easily follows that $\forall \beta \in C_s: (q \cup \{(\alpha(q), n(q), \beta)\}) \cup s$ reaches V . Therefore, if we set $C := \bigcap_{s \in V|_\kappa} C_s \in \Phi_q$, it follows that

$$\forall \beta \in C \forall s \in V|_\kappa: (q \cup \{(\alpha(q), n(q), \beta)\}) \cup s$$

reaches V . Note that if $q \cup s \in V$, then $q|_\kappa \cup s|_{\kappa_1} = s$ so that $(q \cup \{(\alpha(q), n(q), \beta)\}) \cup s = (q \cup \{(\alpha(q), n(q), \beta)\}) \cup s|_{\kappa_1} \in V$, if $q \cup \{(\alpha(q), n(q), \beta)\} \in V$. As in the previous lemma, (p, W') satisfies all conditions except possibly (P6). But as before, we can fix this to get a $W \subseteq W'$.

Now we show $\forall q \in W \forall s \in W|_\kappa: q|_\kappa \subseteq s \Rightarrow q \cup s$ reaches W . Let $q \in W$ and $s \in W|_\kappa$ be arbitrary. If $q \cup s \in V$ and $\alpha(q) < \kappa$, we note that $q \cup s|_{\kappa_1} \in W$ and that $q \cup s|_{\kappa_1}$ only has to be extended at small coordinates to become $q \cup s$, so with induction on $|q \cup s - q \cup (s|_{\kappa_1})|$ it can be shown that $q \cup s \in W'$. If $r \in V$ with $r \approx p$ and $r|_{\kappa_1} \supseteq (q \cup s)|_{\kappa_1}$, then $q \cup r \in W \subseteq W'$. With the same argument as before, one can inductively show that $(q \cup s) \cup r = (q \cup r) \cup s \in W'$. It follows that $q \cup s \in W$.

If $q \cup s \notin V$ we shall show that $W_{q \cup s}^* = V_{q \cup s}^* \cap W$ which will obviously yield that $q \cup s$ reaches W . The \subseteq inclusion is trivial. Now let $t \in V_{q \cup s}^* \cap W$. We shall show that $\exists u \in W: u \supseteq q \cup s \wedge u|_\kappa = s \wedge t \subseteq u$. If $t \supseteq q \cup s$ we are done. Otherwise we shall inductively define increasing $t_0, \dots, t_n \in V_{q \cup s}^* \cap W$ such that $t_n \supseteq q \cup s \wedge t_n|_\kappa = s$. W.l.o.g. $t = q \cup s|_{\kappa_1}$ and we set $t_0 = t$. Let t_i be defined, and assume that $t_i \not\supseteq q \cup s$, since otherwise we are done. Then we shall define t_{i+1} as follows: If $\alpha(t_i) \geq \kappa$ we set $t_{i+1} = t_i \cup \{(\alpha(t_i), n(t_i), \beta)\}$ for some β which belongs to

$$\{\beta' \in \alpha(t_i): t_i \cup \{(\alpha(t_i), n(t_i), \beta')\} \in V_{q \cup s}^*\} \cap \{\beta' \in \alpha(t_i): t_i \cup \{(\alpha(t_i), n(t_i), \beta')\} \in W\} \in \Phi_{t_i}.$$

If $\alpha(t_i) < \kappa$ then we see that $t_i \cup \{(\alpha(t_i), n(t_i), s(\alpha(t_i))(n(t_i)))\} \in V$, so that $t_{i+1} = t_i \cup \{(\alpha(t_i), n(t_i), s(\alpha(t_i))(n(t_i)))\} \in W$. $t_{i+1} \in V_{q \cup s}^*$ follows trivially. Therefore (p, W) is the required condition. \square

In $M[G]$ we shall define a 1-1 mapping from $\mathcal{P}^{NG}(x)$ onto $\mathfrak{Z}^{\text{dom}(\mathbf{x}) \times P_2|_\kappa}$. For $y \in \mathcal{P}^{NG}(x)$ let \mathbf{y} be the smallest symmetric name for y . For convenience in the proofs we will assume that $\max(\text{supp}(\mathbf{y}) \cap \kappa) \geq \delta^+$ and $\kappa_1 \in \text{supp}(\mathbf{y})$, where δ was defined at the beginning of this chapter.

Lemma 16. *Let (p, U) be a condition with $\text{dom}_1(p) = \text{supp}(\mathbf{x}, \mathbf{y})$, $(p, U) \Vdash \mathbf{y} \subseteq \mathbf{x}$ and the property from the previous lemma. Then there is a $V \subseteq U$ such that (p, V) is a condition and the following property holds: For every $\mathbf{z} \in \text{dom}(\mathbf{x})$ and for every $s \in P_2|_{(\max(\text{supp}(\mathbf{y}) \cap \kappa))^+}$ the set V is homogeneous meaning that exclusively one statement holds:*

- $\exists q \in V \exists W \subseteq P_2: q|_\kappa \subseteq s \wedge P_3 \ni (q \cup s, W) \geq (p, V) \wedge (q \cup s, W) \Vdash \neg \mathbf{z} \in \mathbf{y}$

- or $\exists q \in V \exists W \subseteq P_2: q \upharpoonright \kappa \subseteq s \wedge P_3 \ni (q \cup s, W) \geq (p, V) \wedge (q \cup s, W) \Vdash \mathbf{z} \in \mathbf{y}$
- or neither holds.

Proof. Let us fix $\mathbf{z} \in \text{dom}(\mathbf{x})$ and $s \in P_2 \upharpoonright (\max(\text{supp}(\mathbf{y}) \cap \kappa))^+$. First we note that $(q \cup s, X)$ and $(q \cup s, Y)$ cannot contradict each other, since they are compatible. Next we check if $s \upharpoonright \text{dom}_1(p) \in U \upharpoonright \kappa$. If not, then we are done, since neither of the first two statements can hold. In this case we set $V_{\mathbf{z},s} := U$. Otherwise we define

$$U_{\mathbf{z},s}^* := \{t \in T_{p \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1)}: \exists u \in U [u \supseteq t \wedge u \upharpoonright \kappa \subseteq s \wedge u \cup (s \upharpoonright \text{dom}_1(p)) \in U]\}.$$

Now for every $t \in U_{\mathbf{z},s}^*$, if $\alpha(t) \geq \kappa$ and t is extendable, then

$$\{\beta \in \alpha(t): t \cup \{(\alpha(t), n(t), \beta)\} \in U_{\mathbf{z},s}^*\} \in \Phi_t,$$

since $t \cup s \upharpoonright \text{dom}_1(p)$ reaches U . Note that if $q \in U$, $q \upharpoonright \kappa \subseteq s$ and $\exists W: P_3 \ni (q \cup s, W) \geq (p, V)$, then $q \in U_{\mathbf{z},s}^*$.

For $q \in \{t \in U_{\mathbf{z},s}^*: t \text{ is not extendable in } U_{\mathbf{z},s}^*\}$ we define $F(q)$ to be

- 0 iff $\exists W \subseteq P_2: q \upharpoonright \kappa \subseteq s \wedge P_3 \ni (q \cup s, W) \geq (p, V) \wedge (q \cup s, W) \Vdash \neg \mathbf{z} \in \mathbf{y}$,
- 1 iff $\exists W \subseteq P_2: q \upharpoonright \kappa \subseteq s \wedge P_3 \ni (q \cup s, W) \geq (p, V) \wedge (q \cup s, W) \Vdash \mathbf{z} \in \mathbf{y}$
- 2 otherwise.

We can make $U_{\mathbf{z},s}^*$ homogeneous with respect to $F(q)$. The homogeneous set we shall call $U'_{\mathbf{z},s}$. We define

$$V_{\mathbf{z},p \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1)} := \{t \in T_{p \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1)}: t \in U'_{\mathbf{z},s} \vee [t \notin U_{\mathbf{z},s}^* \wedge \exists t' \in U'_{\mathbf{z},s} (t \supseteq t' \vee t \cup s \notin P_1)]\}.$$

We set $V_{\mathbf{z},s} := \bigcup_{r \in U: r \approx p \wedge r \neq p \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1)} T_r \cup V_{\mathbf{z},p \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1)}$. Next we intersect with respect to \mathbf{z} and s : $V' := \bigcap_{\mathbf{z} \in \text{dom}(\mathbf{x})} \bigcap_{s \in P_2 \upharpoonright (\max(\text{supp}(\mathbf{y}) \cap \kappa))^+} V_{\mathbf{z},s}$. Furthermore, we fix condition (P6) and get a forcing condition (p, V) .

Now we must show that (p, V) satisfies the required property. Let us fix $\mathbf{z} \in \text{dom}(\mathbf{x})$ and $s \in P_2 \upharpoonright (\max(\text{supp}(\mathbf{y}) \cap \kappa))^+$. Assume that there exist $t_1, t_2 \in V$ and $W_1, W_2 \subseteq P_2$ such that $t_i \upharpoonright \kappa \subseteq s$, $(t_i \cup s, W_i)$ are conditions stronger than (p, U) and they contradict each other. First we note that w.l.o.g. we can assume $t_i \in T_{p \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1)}$, since $t_i \cup s = t_i \cup s \upharpoonright (\text{dom}_1(p) \cap \kappa_1) \cup s$. Next we may assume that t_i are not extendable in $U_{\mathbf{z},s}^*$. This follows because one can show by induction on $|\text{dom}_{1,2}(t') - \text{dom}_{1,2}(t_i)|$ for some $t' \in U_{\mathbf{z},s}^*$, which is not extendable in $U_{\mathbf{z},s}^*$, that

$$\{t \in U_{\mathbf{z},s}^*: t \text{ is not extendable in } U_{\mathbf{z},s}^*\} \cap W_i \upharpoonright \text{dom}_1(p)$$

is non-empty, since the t_i 's need only be extended at big coordinates and the filters are closed under intersection. Let q_i witness that the intersection is non-empty. It follows that $q_i \cup s \in W_i$ so that $(q_i \cup s, W_i \upharpoonright q_i \cup s)$ contradict each other. So w.l.o.g. $q_i = t_i$. But if the t_i 's are not extendable in $U_{\mathbf{z},s}^*$, they contradict the homogeneity of $U'_{\mathbf{z},s}$. \square

Now we can define the mapping: For $y \in \mathcal{P}^{N_G}(x)$ let $(p(\mathbf{y}), U(\mathbf{y}))$ be the least condition in G with $\text{dom}_1(p(\mathbf{y})) = \text{supp}(\mathbf{x}, \mathbf{y})$, $(p(\mathbf{y}), U(\mathbf{y})) \Vdash \mathbf{y} \subseteq \mathbf{x}$ and the property from the previous lemma. We define $f(y): \text{dom}(\mathbf{x}) \times P_2 \upharpoonright \kappa \rightarrow 3$ as follows:

- $(\mathbf{z}, s) \mapsto 0$ iff $s \in P_2 \upharpoonright (\max(\text{supp}(\mathbf{y}) \cap \kappa))^+ \wedge \exists q \in U(\mathbf{y}) \exists W \subseteq P_2$:
 $q \upharpoonright \kappa \subseteq s \wedge P_3 \ni (q \cup s, W) \geq (p, V) \wedge (q \cup s, W) \Vdash \neg \mathbf{z} \in \mathbf{y}$
- $(\mathbf{z}, s) \mapsto 1$ iff $s \in P_2 \upharpoonright (\max(\text{supp}(\mathbf{y}) \cap \kappa))^+ \wedge \exists q \in U(\mathbf{y}) \exists W \subseteq P_2$:
 $q \upharpoonright \kappa \subseteq s \wedge P_3 \ni (q \cup s, W) \geq (p, V) \wedge (q \cup s, W) \Vdash \mathbf{z} \in \mathbf{y}$
- and $(\mathbf{z}, s) \mapsto 2$ otherwise.

Note that only due to the previous lemma the mapping is well defined. Assuming that $f(\cdot)$ is 1-1, we see that $\mathcal{P}^{N_G}(x) = f^{-1}[\mathfrak{3}^{\text{dom}(\mathbf{x}) \times P_2 \upharpoonright \kappa}] \in M[G]$.

Theorem 17. *The mapping $f(\cdot): \mathcal{P}^{N_G}(x) \rightarrow \mathfrak{3}^{\text{dom}(\mathbf{x}) \times P_2 \upharpoonright \kappa}$ is 1-1, so the Power Set axiom holds in N_G .*

Proof. Let $y_1, y_2 \in \mathcal{P}^{N_G}(x)$ with $y_1 \neq y_2$. Case 1: $\max(\text{supp}(\mathbf{y}_1) \cap \kappa) > \max(\text{supp}(\mathbf{y}_2) \cap \kappa)$. W.l.o.g. let y_1 be non-empty and $\mathbf{z} \in \text{dom}(\mathbf{x})$ such that $\mathbf{z}^G \in \mathbf{y}_1^G$. Let $G \ni (t, V) \geq (p(\mathbf{y}_1), U(\mathbf{y}_1))$ with $\text{dom}_1(t) = \text{dom}_1(p(\mathbf{y}_1)) \cup \text{supp}(\mathbf{z})$ and $(t, V) \Vdash \mathbf{z} \in \mathbf{y}_1$. If we set $s = t \upharpoonright \kappa$, $W = V$ and $q = t \upharpoonright \text{dom}_1(p(\mathbf{y}_1)) \in U(\mathbf{y}_1)$ we see that $(t, V) = (q \cup s, W) \Vdash \mathbf{z} \in \mathbf{y}_1$. So it follows that $f(y_1)(\mathbf{z}, s) = 1$ while $f(y_2)(\mathbf{z}, s) = 2$, since $s \notin P_2 \upharpoonright (\max(\text{supp}(\mathbf{y}_2) \cap \kappa))^+$.

Case 2: $\max(\text{supp}(\mathbf{y}_1) \cap \kappa) = \max(\text{supp}(\mathbf{y}_2) \cap \kappa)$. Since $y_1 \neq y_2$ there is a $\mathbf{z} \in \text{dom}(\mathbf{x})$ such that w.l.o.g. $\mathbf{z}^G \in \mathbf{y}_1^G$ but $\mathbf{z}^G \notin \mathbf{y}_2^G$. Let $G \ni (t, V) \geq (p(\mathbf{y}_i), U(\mathbf{y}_i))$ for $i = 1, 2$ such that $\text{dom}_1(t) = \text{dom}_1(p(\mathbf{y}_1)) \cup \text{dom}_1(p(\mathbf{y}_2)) \cup \text{supp}(\mathbf{z})$ and $(t, V) \Vdash \mathbf{z} \in \mathbf{y}_1 \wedge \mathbf{z} \notin \mathbf{y}_2$. We set $s = t \upharpoonright \kappa$, $W_i = V \upharpoonright (\text{dom}_1(p(\mathbf{y}_i)) \cup \kappa)$ and $q_i = t \upharpoonright \text{dom}_1(p(\mathbf{y}_i)) \in U(\mathbf{y}_i)$. If we set $a_i = \text{dom}_1(p(\mathbf{y}_i)) \cup \kappa$ it follows that $(t \upharpoonright a_i, V \upharpoonright a_i) = (q_i \cup s, W_i)$. Since $\text{supp}(\mathbf{y}_i, \mathbf{z}) \subseteq a_i$, we see that $(q_1 \cup s, W_1) \Vdash \mathbf{z} \in \mathbf{y}_1$ and $(q_2 \cup s, W_2) \Vdash \mathbf{z} \notin \mathbf{y}_2$. Therefore, $f(y_1)(\mathbf{z}, s) = 1$ and $f(y_2)(\mathbf{z}, s) = 0$.

Now $\mathcal{P}^{N_G}(x) \in M[G]$ holds by Replacement. Again by Replacement we get an $\alpha \in \text{Reg}$ such that $\mathcal{P}^{N_G}(x) \subseteq N_{G_\alpha}$. Now being a subset of x is absolute for transitive models, and $N_{G_\alpha} \models \text{ZF}$, so that $\mathcal{P}^{N_G}(x) = \mathcal{P}^{N_{G_\alpha}}(x) \in N_{G_\alpha} \subseteq N_G$ follows. \square

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