

# Some reflection principles at large continuum

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① Stationary Logic and reflection principles

② Consistency Result

## Definition (WRP)

For every regular  $\eta \geq \aleph_2$ , every stationary  $S \subseteq [\eta]^{\aleph_0}$  and every  $X \in [\eta]^{\aleph_1}$ , there is  $Y \in [\eta]^{\aleph_1}$  such that

- 1  $X \subseteq Y$ ;
- 2  $S \cap [Y]^{\aleph_0}$  is stationary in  $[Y]^{\aleph_0}$ .

(in Jech's book, this principle is called just RP)

WRP imposes the following boundary for the size of the continuum:

## Theorem (Todorćević)

WRP implies  $2^{\aleph_0} \leq \aleph_2$ .

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## Theorem (Todorćević)

WRP implies  $2^{\aleph_0} \leq \aleph_2$ .

- WRP is consistent with CH, because it holds if we Levy collapse a supercompact cardinal to  $\aleph_2$ .
- WRP is also compatible with  $\neg$ CH since WRP follows from MM, and  $\text{MM} \Rightarrow 2^{\aleph_0} = \aleph_2$ .
- Now we present a characterization of WRP:

## Lemma

*WRP is equivalent to the following statement:*

*For any uncountable cardinal  $\eta$ , any stationary  $S \subseteq [\mathcal{H}(\eta)]^{\aleph_0}$  and any structure  $\mathfrak{A} = \langle \mathcal{H}(\eta), \in, \dots \rangle$  in signature of size  $\leq \aleph_1$ , there is  $M \in [\mathcal{H}(\eta)]^{\aleph_1}$  such that*

- ①  $\mathfrak{A} \upharpoonright M \prec \mathfrak{A}$ ;
- ②  $S \cap [M]^{\aleph_0}$  is stationary in  $[M]^{\aleph_0}$ .

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Define the weak second order logic  $\mathcal{L}^{\aleph_0}$  as follows:

- first order variables (lowercase letters)  $x, y, z, \dots$ ;
- weak second order variables (capital letters)  $X, Y, Z, \dots$  to be interpreted as countable subsets of the underlying set of a structure;
- first order quantifiers  $\forall x, \exists x$ ;
- we introduce in this logic the symbol “ $\varepsilon$ ”:  
 $x \varepsilon X$  shall be interpreted as  $x \in X$ , and it must be used with a first and a second order variable respectively.

Define also  $\mathcal{L}^{\aleph_0, II}$  by adding the second order quantifiers  $\forall X, \exists Y$  to  $\mathcal{L}^{\aleph_0}$ .

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Now define  $\mathcal{L}_{\text{stat}}^{\aleph_0}$  by adding to  $\mathcal{L}^{\aleph_0}$  a new quantifier “stat $X$ ” for second order variables to be interpreted as follows:

Let  $\varphi$  be an  $\mathcal{L}_{\text{stat}}^{\aleph_0}$ -formula.  $\text{stat}X\varphi(X)$  means that  $\varphi$  holds for stationary many  $X$ , i.e. given a structure  $\mathfrak{A} = \langle A, \dots \rangle$  we define

$$\begin{aligned} \mathfrak{A} \models \text{“stat}X\varphi(X)\text{”} \\ \Updownarrow \\ \{B \in [A]^{\aleph_0} : \mathfrak{A} \models \text{“}\varphi(B)\text{”}\} \text{ is stationary in } [A]^{\aleph_0} \end{aligned}$$

In  $\mathcal{L}_{\text{stat}}^{\aleph_0}$  we can also define  $\text{aa}X$  (for almost all  $X$ ) the dual quantifier for  $\text{stat}X$ .  $\text{aa}X\varphi(X)$  is an abbreviation for  $\neg\text{stat}X\neg\varphi(X)$ . In other words:

$$\begin{aligned} \mathfrak{A} \models \text{“aa}X\varphi(X)\text{”} \\ \Updownarrow \\ \{B \in [A]^{\aleph_0} : \mathfrak{A} \models \text{“}\varphi(B)\text{”}\} \text{ contains a club subset of } [A]^{\aleph_0} \end{aligned}$$

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# $\mathcal{L}$ -elementary substructure

Let  $\mathcal{L}$  be a logic (or family of formulas in a logic), structures  $\mathfrak{A}, \mathfrak{B}$  in the same signature,  $\mathfrak{B} \subseteq \mathfrak{A}$ . We say that

$$\mathfrak{B} \prec_{\mathcal{L}} \mathfrak{A}$$

( $\mathfrak{B}$  is an  $\mathcal{L}$ -*elementary substructure* of  $\mathfrak{A}$ ) iff: for all formulas  $\varphi(x_0, \dots, x_n, X_0, \dots, X_m)$  in  $\mathcal{L}$ , for all  $b_0, \dots, b_n$  first order objects of  $\mathfrak{B}$ , all  $B_0, \dots, B_m$  second order objects of  $\mathfrak{B}$ , we have

$$\mathfrak{B} \models \varphi(b_0, \dots, b_n, B_0, \dots, B_m) \Leftrightarrow \mathfrak{A} \models \varphi(b_0, \dots, b_n, B_0, \dots, B_m)$$

Similarly, we write

$$\mathfrak{A} \prec_{\mathcal{L}}^{-} \mathfrak{B}$$

iff for all formulas  $\varphi$  in  $\mathcal{L}$  **which have only first order free variables** and for all  $b_0, \dots, b_n$  first order objects in  $\mathfrak{B}$ , we have

$$\mathfrak{B} \models \text{“}\varphi(b_0, \dots, b_n)\text{”} \Leftrightarrow \mathfrak{A} \models \text{“}\varphi(b_0, \dots, b_n)\text{”}$$

# Strong Downwards Löwenheim-Skolem reflection

Let  $\mathcal{L}$  be a logic and  $\mu$  an infinite cardinal. Define:

**SDLS( $\mathcal{L}, < \mu$ )**

For any structure  $\mathfrak{A}$  of countable signature of cardinality  $\geq \mu$ , there is  $\mathfrak{B} \prec_{\mathcal{L}} \mathfrak{A}$  of cardinality  $< \mu$ .

Similarly, define:

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## Example

$SDLS^-(\mathcal{L}^{\aleph_0}, < \aleph_1)$  is just the usual Downward Löwenheim-Skolem Theorem for the first order logic, and thus holds in ZFC.

## Example

$SDLS^-(\mathcal{L}^{\aleph_0, II}, < \aleph_2)$  implies CH.

Rough idea: we can use the following “trick” to code second order objects into first order objects. Consider the structure  $\mathfrak{A} = \langle \omega \cup \mathcal{P}(\omega), \omega, E \rangle$ , where  $E = \{ \langle n, a \rangle : n \in a \subseteq \omega \}$ . Consider also the formula

$$\psi = \forall X (X \subset \omega \rightarrow \exists x \forall n \in \omega (n \in X \leftrightarrow nEx))$$

Clearly  $\mathfrak{A} \models \psi$ . By  $SDLS^-(\mathcal{L}^{\aleph_0, II}, < \aleph_2)$ , there is some  $\mathfrak{B} \prec_{\mathcal{L}^{\aleph_0, II}}^- \mathfrak{A}$  ( $\mathfrak{B} = \langle B, \dots \rangle, |B| < \aleph_2$ ) such that  $\mathfrak{B} \models \psi$ . Then  $\mathcal{P}(\omega) \subseteq B$ , thus  $2^{\aleph_0} < \aleph_2$ .

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Actually, we have much more:

## Lemma

*In ZFC, the following are equivalent:*

- 1 CH;
- 2  $SDLS(\mathcal{L}^{\aleph_0}, < \aleph_2)$ ;
- 3  $SDLS^-(\mathcal{L}^{\aleph_0, II}, < \aleph_2)$ ;
- 4  $SDLS(\mathcal{L}^{\aleph_0, II}, < \aleph_2)$ ;

## Lemma

- (Magidor, 2016)  $SDLS^-(\mathcal{L}_{stat}^{\aleph_0}, < \aleph_2)$  implies FRP;
- $SDLS^-(\mathcal{L}_{stat}^{\aleph_0}, < \aleph_2)$  implies WRP.
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*In ZFC, the following are equivalent:*

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Therefore we have

$$\text{SDLS}^-(\mathcal{L}_{stat}^{\aleph_0}, < \aleph_2) \Rightarrow \text{WRP} \Rightarrow 2^{\aleph_0} \leq \aleph_2$$

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Recall the previous characterization of WRP:

## WRP equivalent to:

For any uncountable cardinal  $\lambda$ , stationary  $S \subseteq [\mathcal{H}(\lambda)]^{\aleph_0}$  and structure  $\mathfrak{A} = \langle \mathcal{H}(\lambda), \in, \dots \rangle$  in signature of size  $\leq \aleph_1$ , there is  $M \in [\mathcal{H}(\lambda)]^{\aleph_1}$  such that

- 1  $\mathfrak{A} \upharpoonright M \prec \mathfrak{A}$ ;
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We now present some reflection statements which can also characterize some of the SLDS statements.

Let  $\kappa \geq \aleph_2$  be a regular cardinal. Define:

$(*)_{<\kappa}^-$

Given any  $\eta > \kappa$ , for any structure  $\mathfrak{A} = \langle \mathcal{H}(\eta), \in, \dots \rangle$  in countable signature and any family  $S = \langle S_a : a \in \mathcal{H}(\eta) \rangle$  of stationary subsets of  $[\mathcal{H}(\eta)]^{\aleph_0}$ , there is some  $N \in [\mathcal{H}(\eta)]^{<\kappa}$  satisfying:

- 1  $\mathfrak{A} \upharpoonright N \prec \mathfrak{A}$ ;
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- ①  $N$  is internally club, i.e.,  $N$  contains a club subset of  $[N]^{\aleph_0}$ ;
- ②  $\mathfrak{A} \upharpoonright N \prec \mathfrak{A}$ ;
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Similarly to WRP, for any regular  $\kappa \geq \aleph_2$ , the consistency of  $(*)_{<\kappa}^+$  (denote by  $(*)_{<\kappa}^+$ ) can be obtained by Levy collapsing a supercompact cardinal bigger than  $\kappa$  to become  $\kappa^+$ .

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# Diagonal Reflection Principle

$(*)_{<\kappa}$  is a variation of the following principle introduced by Sean Cox.

Let  $\mathcal{C}$  be a class of sets of cardinality  $\aleph_1$  and  $\theta > \aleph_1$  be a cardinal of uncountable cofinality.

## DRP( $\theta, \mathcal{C}$ )

There are stationarily many  $M \in [\mathcal{H}((\theta^{\aleph_0})^+)]^{\aleph_1}$  such that

- 1  $M \cap \mathcal{H}(\theta) \in \mathcal{C}$ ;
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$(*)_{<\aleph_2} \Leftrightarrow \text{DRP}(\theta, \text{IC}_{\omega_1})$  holds for all regular  $\theta \geq \aleph_2$

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① Stationary Logic and reflection principles

② Consistency Result

# Consistency Result

Notice that  $\text{SDLS}(\mathcal{L}_{\text{stat}}^{\aleph_0}, < 2^{\aleph_0})$  is always false (thus  $(*)_{< 2^{\aleph_0}}^+$  is also false). However the weaker principle  $(*)_{< 2^{\aleph_0}}^-$  is consistent. Actually, we have a simple example of a model  $W$  such that

$$W \models "(*)_{\leq 2^{\aleph_0}}^+ \wedge (* )_{< 2^{\aleph_0}}^-".$$

## Proof.

- Start assuming  $V \models "MM \wedge \exists \lambda \text{ supercompact cardinal}";$
- $MM$  implies  $2^{\aleph_0} = \aleph_2$  and also implies  $(*)_{< \aleph_2}^-;$
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For this proof we needed  $2^{\aleph_0} = \aleph_2$  and  $(2^{\aleph_0})^+ = \aleph_3$ . This rises the question: is  $(*)_{\leq 2^{\aleph_0}}^+ \wedge (*)_{< 2^{\aleph_0}}^-$  consistent with  $2^{\aleph_0}$  being arbitrarily big? Is it consistent with the continuum having some large cardinal property?

Yes

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Assume GCH and assume there exists  $\kappa < \lambda$  supercompact cardinals. We construct  $W$  such that

$$W \models “ (* )_{\leq 2^{\aleph_0}}^+ \wedge (* )_{< 2^{\aleph_0}}^- \wedge 2^{\aleph_0} \text{ carries a } \sigma\text{-saturated ideal} ”$$

We construct  $W$  by first adding  $\kappa$  many reals, and then we collapse  $\lambda$  to  $\kappa^+$ . However just simply adding reals (say, with a Cohen forcing) does not work.

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$$j(f)(\kappa) = \lambda$$

Since  $\kappa$  is supercompact, the set

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# Rough description of the iteration

We define a mixed support iteration  $\vec{\mathbb{P}} = \langle \mathbb{P}_\alpha : \alpha \leq \kappa \rangle$ :  
(this iteration is a modification of a construction by Krueger)

- at step  $\alpha \in S$ , we collapse (via usual Lévy collapse) all the cardinals between  $\alpha$  and  $f(\alpha)$ ;
- at every other step, we add a Cohen real;
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We have

$$\Vdash_{\mathbb{P}_\kappa} \text{“} \kappa \text{ is weakly Mahlo and } 2^{\aleph_0} = \kappa \text{”}$$

Furthermore,  $\mathbb{P}_\kappa$  is designed to have the following property:

### Lemma (Key lemma)

*For any  $\eta \geq \lambda$ , there is an  $\eta$ -supercompact embedding  $j : V \rightarrow M$  with critical point  $\kappa$  such that in  $M$  we have:*

- ①  $\mathbb{P}_\kappa * \text{Col}(\kappa, < \lambda) \in j(\mathbb{P}_\kappa)$ ;
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In particular,  $j(\vec{\mathbb{P}})$  is an iteration of length  $j(\kappa)$  such that

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# Sketch of the proof

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We also sketch the following proof:

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Assume  $V \models \text{“GCH”}$ . Then:

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In  $V[G]$ ,  $j(\mathbb{P}_\kappa * \text{Col}(\kappa, < \lambda))/G$  is a projection of  $\mathbb{R} \times \mathbb{S}$ , where  $\mathbb{S}$  is ccc and  $\mathbb{R}$  is  $< \lambda^+$ -closed (in  $M[G]$ ).

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Let  $H_{\mathbb{S}}$  be a  $\mathbb{S}$ -generic over  $V[G]$ . It follows from the  $< \lambda^+$ -closedness of  $\mathbb{R}$  that

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*There is  $H \in V[G * H_{\mathbb{S}}]$  such that  $j$  can be extended into an elementary embedding  $J : V[G] \rightarrow M[G * H]$ .*

Therefore, in  $V[G]$ , we can prove define

$$I := \{x \subseteq \kappa : \Vdash_{\mathbb{S}} \text{“}\kappa \notin J(x)\text{”}\}$$

Since  $\mathbb{S}$  is ccc, it follows that  $I$  is a  $\sigma$ -saturated ideal.  $\square$



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Thank you very much!



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