

CS34110 Discrete Mathematics and Graph Theory

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UNIT – II, Module – 2

## Lecture 12: Counting

[ Countable set; Countably infinite set; Cantor-Schröder-Bernstein theorem; Countability of  $\mathbb{Z}$ ; Uncountable set; Uncountability of  $(0,1)$  and  $\mathbb{R}$  ]

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## Counting

- **Counting:** problem concerned with enumeration of objects with specific properties in field of 'Combinatorics.'
- **Set counting:** application of counting principles for deriving properties of finite and infinite sets.

## Set counting

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- **Countable set  $S$ :** (i) if  $S = \text{finite set}$ , or (ii) if  $S = \text{infinite set}$ , and in  $S$ , possibility to arrange its elements as sequence (i.e., presence of some **bijective** function  $f: \mathbb{N} \rightarrow S$  to list elements indexed by positive integers taken from " $\mathbb{N} \setminus \{0\}$ ").
- Property:: In countable set  $S$ ,  $|S| \leq \aleph_0$ .
- Property:: **Countably infinite set  $S$ :** if and only if (i) countable set  $S \neq \text{finite set}$ , (ii)  $|S| = \aleph_0$ , (iii) bijection  $f: \mathbb{N} \rightarrow S$  resulting in terms of sequence  $a_1, a_2, \dots, a_n, \dots$ , where  $a_1 = f(1), a_2 = f(2), \dots, a_n = f(n)$  and so on.

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## Set counting

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- **Countable set:**
  - Property:: (**Theorem**): For countable sets  $A$  and  $B$ ,  $A \cup B$  also to become countable, i.e., union of countable sets to become countable.
  - Property:: (**Theorem**): Subset of countable set also countable, i.e., if  $B \subseteq A$  for countable set  $A$ , then  $B$  also to become countable.
  - Property:: (**Cantor–Schröder–Bernstein theorem**): If sets  $A$  and  $B$  satisfy  $|A| \leq |B|$  and  $|B| \leq |A|$ , then  $|A| = |B|$ .  
[Proof strategy:  $((A \subseteq B) \wedge (B \subseteq A)) \rightarrow (A = B)$ ]  
i.e., if injective functions  $f: A \rightarrow B$  and  $g: B \rightarrow A$  present, then bijection between  $A$  and  $B$  also present.

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## Set counting

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- **Countable set theorems and proofs:**
  - Proof of (**Theorem**): Union of countable sets to become countable.  
**Proof:** Given:  $A$  and  $B$  to be countable sets. **Three cases** to prove.  
Assumptions, without loss of generality —  
(i)  $A$  and  $B$  to be disjoint; if not, then  $B$  to be updated as  $B = B \setminus A$ , as  $A \cap (B \setminus A) = \emptyset$ , and  $A \cup (B \setminus A) = A \cup B$ ;  
(ii) for different nature of countability (i.e., one finite, while other countably infinite),  $B$  to be finite set.  
**Case-1:**  $A$  and  $B$  both finite sets. So, their union  $A \cup B$  also finite set.  
So,  $A \cup B$  to become countable.

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## Set counting

- Countable set theorems and proofs:

Proof (contd.): **Case-2:** A to be countably infinite set and B finite set.  
Then, elements of A to be listed in infinite sequence  $a_1, a_2, \dots, a_n, \dots$ , and so on. Also, elements of B to be listed in sequence  $b_1, b_2, \dots, b_m$ , for some  $m, n \in \mathbb{N} \setminus \{0\}$ .

For  $A \cup B$ , a new sequence to list elements of  $A \cup B$  as:

$$b_1, b_2, \dots, b_m, a_1, a_2, \dots, a_n, \dots$$

For above sequence, bijection  $f: \mathbb{N} \rightarrow (A \cup B)$  possible, and so  $A \cup B$  to become countable.

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## Set counting

- Countable set theorems and proofs:

Proof (contd-2.): **Case-3:** A and B both countably infinite sets.  
Then, elements of A and B to be respectively listed in infinite sequences  $a_1, a_2, \dots, a_n, \dots$ , and  $b_1, b_2, \dots, b_n, \dots$

For  $A \cup B$ , another new sequence to list elements of  $A \cup B$  as:

$$a_1, b_1, a_2, b_2, a_3, b_3, \dots, a_n, b_n, \dots$$

For above sequence, another bijection  $g: \mathbb{N} \rightarrow (A \cup B)$  possible, and so  $A \cup B$  to become countable.

Thus, proof to show  $A \cup B$  countable in all three cases complete. ■

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## Set counting

- Countable set theorems and proofs:

Property:: (**Theorem**): Union of a countable number of countable sets to become countable.

**Proof:** Given: multiple  $A_i$  (where,  $1 \leq i \leq n, n \in \mathbb{N}$ ); each countable set.  
To find: countability of  $\mathcal{A}$ , where  $\mathcal{A} = \bigcup_{i=1}^n A_i$  and  $n$  possibly infinite.

As  $A_i$  countable, possibility of listing of elements of  $A_i$  in a sequence:

$$a_{i1}, a_{i2}, a_{i3}, \dots$$

Let a new sequence to be created by listing all elements of  $\mathcal{A}$  as per following fashion: first listing all terms  $a_{ij}$  with  $i+j=2$ , then all terms  $a_{ij}$  with  $i+j=3$ , then all terms  $a_{ij}$  with  $i+j=4$ , and so on.

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## Set counting

- Set counting examples:

Example-2:: to decide **countability** of "set of all integers" —  
For given case, to exhibit **bijection** between positive integers  $\mathbb{N} \setminus \{0\}$  and "set of all integers"  $\mathbb{Z}$ , and thus, inferring  $\mathbb{Z}$  as countable set.  
Considering function  $f: \mathbb{N} \rightarrow \mathbb{Z}$ , with  $f(1) = 0$ , and  

$$f(n) = \begin{cases} n/2, & n = \text{even} \\ -(n-1)/2, & n = \text{odd}, n > 1 \end{cases}$$

**Injection of  $f$ :** Let  $f(n) = f(m)$ , where arbitrary  $n, m \in \mathbb{N} \setminus \{0\}$ .  
Then, either  $\frac{n}{2} = \frac{m}{2}$ , or  $\frac{-(n-1)}{2} = \frac{-(m-1)}{2}$ .  
In both cases,  $n = m$ , establishing injection of  $f$ .

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## Set counting

- Set counting examples:

Example-2 (contd.):  
**Surjection of  $f$ :** Let  $i$  = any arbitrarily-chosen integer, i.e.  $i \in \mathbb{Z}$ .  
Considering  $i > 0$ ,  $i = f(x) = \frac{x}{2} \Leftrightarrow x = 2 \cdot i > 0$ , and so  $x \in \mathbb{N} \setminus \{0\}$ .  
For  $i < 0$ ,  $i = f(x) = \frac{-(x-1)}{2} \Leftrightarrow x = (-2) \cdot i + 1 > 0$ , and so  $x \in \mathbb{N} \setminus \{0\}$ .  
When  $i = f(x) = 0$ ,  $x = 1$ . So,  $x \in \mathbb{N} \setminus \{0\}$ , showing surjection of  $f$ .  
Combinedly, injection and surjection of  $f$  shown in following.

Set of all integers: 0 1 -1 2 -2 3 3 -3 4 -4 5 -5 6 -6 ...
   
 (Injection + Surjection) ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓
   
 $\mathbb{N} \setminus \{0\}$ : 1 2 3 4 5 6 7 8 9 10 11 12 13 ...

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## Set counting

- Set counting examples:

Example-3:: to decide **countability** of "set of all rational numbers in  $[0, 1]$ " —  
"Set of all rational numbers in  $[0, 1]$ " =  $(\mathbb{Q} \cap [0, 1]) = \{\frac{p}{q} \mid p \in \mathbb{N}, q \in \mathbb{Z}^+, \frac{p}{q} \leq 1\}$ , where  $[0, 1] =$  set of all real numbers between 0 and 1, including 0 and 1, i.e., closed interval of real numbers between 0 and 1.  
For given case, to exhibit **bijection** between positive integers  $\mathbb{N} \setminus \{0\}$  and  $(\mathbb{Q} \cap [0, 1])$ , and thus, inferring  $(\mathbb{Q} \cap [0, 1])$  as countable set.  
Now, to prepare sequence all numbers in  $(\mathbb{Q} \cap [0, 1])$ , starting with  $p = 0, q = 1$  and increment  $q$  by 1, and for each such  $q$  ( $0 \leq p \leq q$ ), to add rational number  $\frac{p}{q}$  to list, if not already present.

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## Set counting

- Set counting examples:

- Example-3 (contd.):

Final sequence:  $0, 1, \frac{1}{2}, \frac{1}{3}, \frac{2}{3}, \frac{1}{4}, \frac{3}{4}, \frac{1}{5}, \frac{2}{5}, \frac{3}{5}, \frac{4}{5}, \frac{1}{6}, \frac{5}{6}, \dots$ .  
 Clearly, after completion of listing, enumerating this sequence also possible, i.e., bijection function  $f: \mathbb{N} \rightarrow (\mathbb{Q} \cap [0, 1])$  to exist, as shown in following.

$\mathbb{Q} \cap [0, 1]$ :	0	1	$\frac{1}{2}$	$\frac{1}{3}$	$\frac{2}{3}$	$\frac{1}{4}$	$\frac{3}{4}$	$\frac{1}{5}$	$\frac{2}{5}$	$\frac{3}{5}$	$\frac{4}{5}$	$\frac{1}{6}$	$\frac{5}{6}$	$\dots$
$\langle \text{Bijection} \rangle$	↑	↑	↓	↑	↑	↑	↓	↑	↓	↑	↓	↑	↓	↑
$\mathbb{N} \setminus \{0\}$ :	1	2	3	4	5	6	7	8	9	10	11	12	13	$\dots$

So, set of all rational numbers in  $[0, 1] = (\mathbb{Q} \cap [0, 1])$  to become countably infinite i.e., countable.

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## Set counting

- Set counting examples:

- Example-4:: to show  $|(0,1)| = |[0,1]|$ , i.e., cardinality of open unit interval and mixed (i.e., open-close) unit interval to be same.

Plan: in order to show equality, to exhibit one-to-one correspondence between sets in L.H.S. and R.H.S., i.e. to show their respective injections first, and then to apply Cantor-Schröder-Bernstein theorem.

**Case-1 – injective** function from  $(0, 1)$  to  $(0, 1]$ : as  $(0, 1) \subset (0, 1]$ , with  $f: (0, 1) \rightarrow (0, 1]$ , choosing  $f(x) = x$ , for arbitrary  $a, b \in (0, 1)$ , if  $a \neq b$ , then  $f(a) = a \neq b = f(b)$ , and if  $a = b$ ,  $f(a) = a = b = f(b)$ .

Thus, injection of  $f$  concluded.

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## Set counting

- Set counting examples:

- Example-4 (contd.):

**Case-2 – injective** function from  $(0,1]$  to  $(0,1)$ : as  $(0, \frac{1}{2}] \subset (0,1)$ , with  $g: (0,1] \rightarrow (0, \frac{1}{2}]$ , choosing  $g(x) = x/2$ , for arbitrary  $c, d \in (0,1]$ , if  $c \neq d$ , then  $g(c) = c/2 \neq d/2 = g(d)$ , and if  $c = d$ ,  $g(c) = c/2 = d/2 = g(d)$ . Thus, injection of  $g$  concluded, which inferring presence of injective function from  $(0,1]$  to  $(0,1)$ .

Using above two intermediate results and applying Cantor-Schröder-Bernstein theorem,  $|((0,1)| = |([0,1])|$ .

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## Set counting

- **Uncountable set  $S'$ :** if infinite set  $S' \neq$  countable set, i.e., no bijective function  $f: \mathbb{N} \rightarrow S'$  possible, and so no listing of elements of  $S'$  based on indexing by positive integers from " $\mathbb{N} \setminus \{0\}$ ".
- Property:: (**Theorem**): Superset of uncountable set also uncountable, i.e., if uncountable set  $A \subseteq B$ , then  $B$  also to become uncountable.
- Property:: Set of real numbers  $\mathbb{R} =$  uncountable set.
- Property:: Cardinality of Continuum =  $|\mathbb{R}| = c$  (Fraktur 'c') =  $\aleph_1$ .
- Property:: (**Theorem**):  $|\mathbb{N}| < |\mathcal{P}(\mathbb{N})|$ , i.e.,  $\aleph_0 < 2^{\aleph_0}$ .
- Property:: (**Theorem**):  $|\mathcal{P}(\mathbb{N})| = |\mathbb{R}|$ , and so,  $c = 2^{\aleph_0}$ .
- Property::  $c = \aleph_1 = 2^{\aleph_0} > \aleph_0$ .

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## Set counting

- Uncountable set:
- Property:: (**Cantor's theorem**): For any (finite/infinite) set  $S$ ,  $|S| < |\mathcal{P}(S)|$ .
- Property:: (**Continuum hypothesis**): No cardinal number between  $\aleph_0$  and  $c$  (i.e.,  $\aleph_1$ ), i.e., no finite/infinite set  $X$  such that:  $\aleph_0 < |X| < \aleph_1 = c$ .

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## Set counting

- Set counting examples:
  - Example-5:: to decide **uncountability** of "set of all real numbers" — [Proof by contradiction]  
Let  $\neg p \equiv \text{"}\mathbb{R}\text{ be countable"$  (premise). So,  $(0, 1) \subseteq \mathbb{R}$  also countable, as "subset of countable sets also countable." So  $q \equiv "f: \mathbb{N} \rightarrow (0, 1)$  bijective."
  - Then,  $q \equiv \text{TRUE}$ , and so possibility of  $f(i)$  to enumerate any  $r_i \in (0, 1)$ ,  $i \in \mathbb{N} \setminus \{0\}$ , with decimal representation  $r_i = 0.d_{i1}d_{i2}d_{i3}d_{i4}\dots$
- |  |  |
|--|--|
| $r_1 = 0.d_{11}d_{12}d_{13}d_{14} \dots$ | $r_2 = 0.d_{21}d_{22}d_{23}d_{24} \dots$ |
| $r_3 = 0.d_{31}d_{32}d_{33}d_{34} \dots$ | .....                                    |
- where,  $d_{ij} \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$ ,  $j \in \mathbb{N}$ . (contd. to next slide)

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## Set counting

- Set counting examples:

- Example-5 (contd.): arbitrary

Now, to form a 'new' real number  $r \in (0, 1)$  **stage-wise** (while building sequence) having decimal representation  $r_1 = 0.d_{11}d_{12}d_{13}d_{14} \dots$

$r = 0.d'_1d'_2d'_3d'_4\dots$ , where each  $d'_i$  given by,

digit  $d'_i = \begin{cases} 1, & \text{if } d_{ii} \neq 1 \\ 2, & \text{if } d_{ii} = 1. \end{cases}$  Purpose:  $d'_i \neq d_{ii}$ , i.e., not to make equal.

Continuing in this manner,  $r$  finally formed

once all real numbers in  $(0, 1)$  enumerated, and  $r$  not present in that ordering, as its creation kept  $r$  distinct at every stage of enumeration

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$$\begin{aligned}r_1 &= 0.\textcolor{red}{d}_{11}d_{12}d_{13}d_{14}\dots \\r_2 &= 0.d_{21}\textcolor{red}{d}_{22}d_{23}d_{24}\dots \\r_3 &= 0.d_{31}d_{32}\textcolor{red}{d}_{33}d_{34}\dots \\r_4 &= 0.d_{41}d_{42}d_{43}\textcolor{red}{d}_{44}\dots \\\vdots &\quad \vdots\end{aligned}$$

Continuing in this manner,  $r$  finally formed

once all real numbers in  $(0, 1)$  enumerated, and  $r$  not present in that ordering, as its creation kept  $r$  distinct at every stage of enumeration

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## Set counting

- Set counting examples:

- Example-5 (contd-2.)::

So,  $r$  not enumerated, i.e.,  $r \neq f(i)$ ,  $\forall i \in \mathbb{N} \setminus \{0\}$ . Thus,  $f: \mathbb{N} \rightarrow (0, 1)$

not surjective. So,  $f: \mathbb{N} \rightarrow (0, 1)$  not bijective, i.e.,  $\neg q \equiv \text{TRUE}$ . Contradiction.

Then,  $(0, 1)$  uncountable, and so based on “superset of uncountable set also uncountable,” its superset  $\mathbb{R}$  also to be **uncountable**.

**Note:** creating new  $r$  allowed to be arbitrary, with only restriction of  $d'_i \neq 9$ . [Reason: real number with terminated decimal expansion also having second decimal expansion ending with infinite sequence of 9s, because  $0.5 = 0.4999\dots$ .]

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## Summary

- Focus: Set countability.
  - Set counting.
  - Countable set and countably infinite set, with examples.
  - Countable set related theorems and properties.
  - Countability of set of integers.
  - Cantor-Schröder-Bernstein theorem, with examples.
  - Uncountable set, and related theorems and properties.
  - Uncountability of set of real numbers.

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## References

- [Ros21] Kenneth H. Rosen, Kamala Krithivasan, *Discrete Mathematics and its Applications*, Eighth edition, McGraw-Hill Education, 2021.
  - [Ross12] Kenneth A. Ross, Charles R. B. Wright, *Discrete Mathematics*, Fifth edition, Pearson Education, 2012.
  - [Mot15] Joe L. Mott, Abraham Kandel, Theodore P. Baker, *Discrete Mathematics for Computer Scientists and Mathematicians*, Second edition, Pearson Education, 2015.
  - [Lip07] Seymour Lipschutz, Marc L. Lipson, *Schaum's Outline of Theory and Problems of Discrete Mathematics*, Third edition, McGraw-Hill Education, 2007.
  - <https://www.math.cmu.edu/~wgunther/127m12/notes/CSB.pdf>.

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## Further Reading

- Countable set: [Ros19]:180-183.
  - Countably infinite set: [Ros19]:181-183.
  - Countability of set of integers: [Ros19]:182.
  - Schröder-Bernstein theorem: [Ros19]:184-185.
  - Uncountable set: [Ros19]:183-184.

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## Lecture Exercises: Problem 1 [Ref: Gate 2021,Q.11,p.16(Set2)]

Consider the following sets, where  $n \geq 2$ :

$S_1$ : Set of all  $n \times n$  matrices with entries from the set  $\{a, b, c\}$   
 $S_2$ : Set of all functions from the set  $\{0, 1, 2, \dots, n^2 - 1\}$  to the set  $\{0, 1, 2\}$

Which of the following choice(s) is/are correct?

- (a) There does not exist a bijection from  $S_1$  to  $S_2$ .
  - (b) There exists a surjection from  $S_1$  to  $S_2$ .
  - (c) There exists a bijection from  $S_1$  to  $S_2$ .
  - (d) There does not exist an injection from  $S_1$  to  $S_2$ .

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**Lecture Exercises: Problem 2 [Ref: Gate 2018, Set-3, Q.27, p.8]**

Let  $\mathbb{N}$  be the set of natural numbers. Consider the following sets.

P: set of Rational numbers (positive and negative)

Q: set of functions from  $\{0,1\}$  to  $\mathbb{N}$

R: set of functions from  $\mathbb{N}$  to  $\{0,1\}$

S: set of finite subsets of  $\mathbb{N}$ .

Which of the sets above are countable?

(a) Q and S only.

(b) P and S only.

(c) P and R only.

(d) P, Q and S only.

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**Lecture Exercises: Problem 2 Ans**

- Countable sets = Finite sets + Countably infinite sets.
- Countability of P:: [based on countability theorems]

Using proof method for **theorem**, "set of all rational numbers in  $[0, 1]$  to be countable," proof possible for "set of all **rational** numbers in  $[n, n+1]$  to be countable, for any arbitrary  $n \in \mathbb{Z}$ ," i.e.,  $(\mathbb{Q} \cap [n, n+1])$  countable.

Then,  $\forall n \in \mathbb{Z} (\mathbb{Q} \cap [n, n+1])$  to become countable, based on **universal generalization** rule.

Based on **theorem** "union of countable sets to be countable," and **corollary** "countable union of countable sets to be countable,"

$\bigcup_{n \in \mathbb{Z}} (\mathbb{Q} \cap [n, n+1]) = \mathbb{Q}$  to become countable.

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**Lecture Exercises: Problem 2 Ans (contd.)**

- Countability of Q:: [based on countability definition]

Given,  $Q = \{f \mid f: \{0,1\} \rightarrow \mathbb{N}\}$ .

For each  $f \in Q$ , range =  $\{f(0), f(1)\}$ , such that  $f(0), f(1) \in \mathbb{N}$ .

Consequently, each range to contain two ordered pairs:  $(f(0), f(1))$  and  $(f(1), f(0))$ . Then,

Q to become set of all such ordered pairs from infinite count of functions. An infinite sequence created as follows for all such ordered pairs of Q:

$(f_1(0), f_1(1)), (f_1(1), f_1(0)), (f_2(0), f_2(1)), (f_2(1), f_2(0)), \dots,$   
 $(f_n(0), f_n(1)), (f_n(1), f_n(0)), \dots \infty$

Then, some bijective function  $g: \mathbb{N} \rightarrow Q$  possible based on above.

So, Q to become countably infinite, i.e., countable.

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**Lecture Exercises: Problem 2 Ans (contd-2.)**

- Countability of  $\mathbb{R}$ : [based on product rule and uncountability theorems]  
Given,  $\mathbb{R} = \{f \mid f: \mathbb{N} \rightarrow \{0,1\}\}$ , i.e., each  $f$  in  $\mathbb{R}$  to map to either 0 or 1.  
Number of ways of performing such mapping for each  $f$ : 2.  
For any two  $f, g \in \mathbb{R}$ , mapping of  $f$  independent of mapping of  $g$ .  
Then, as per **product rule**, number of mappings of all functions = (number of mapping of 1<sup>st</sup> function) · (number of mapping of 2<sup>nd</sup> function) · (number of mapping of 3<sup>rd</sup> function) · · · =  $\underbrace{2 \cdot 2 \cdot 2 \cdots}_{N_0 \text{ terms}} = 2^{N_0} = c$ , where  $N_0$  = cardinality of  $\mathbb{N}$ ,  $c = N_1$  = cardinality of  $\mathbb{R}$ . Then,  $|\mathbb{R}| = |\mathbb{R}|$ .  
Based on **theorem** "set of all real numbers uncountable,"  $\mathbb{R}$  to become uncountable.

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**Lecture Exercises: Problem 2 Ans (contd-3.)**

- Countability of  $S$ : [based on set countability theorems]  
Given,  $S = \{s \mid s \subseteq \mathbb{N}, s \text{ finite}\}$ , i.e., finite count of natural numbers in  $s$ .  
Then, a largest finite element of  $s$  also possible, say  $n \in \mathbb{N}$ .  
So  $s$  to be considered subset of set  $\mathfrak{C} = \{0,1,2, \dots, n\}$ , where  $|\mathfrak{C}| = n+1$ .  
Let  $s_n$  be **set of all subsets** of  $\mathfrak{C}$  with largest element  $n$  in it, i.e.,  $s_n = \mathcal{P}(\mathfrak{C})$ , where  $\mathcal{P}(\mathfrak{C})$  = power set of  $\mathfrak{C}$ , and  $|s_n| = 2^{n+1}$ .  
As  $n \in \mathbb{N}$  and  $n$  finite, so  $s_n$  to become countable (based on **definition of countability**).  
Then,  $S = \bigcup_{n \in \mathbb{N}} s_n$ , i.e.,  $S$  to become union of countable number of countable sets.  $\therefore S$  also countable, based on **theorem** 'countable union of countable sets to become countable.'

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