

## 21-329: SET THEORY LECTURES

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### 1. FRIDAY MARCH 20

Without the axiom of choice, we cannot prove that any set can be well ordered. For example, the reals  $\mathbb{R}$  cannot be proven to have a well order. The reals  $\mathbb{R}$  do have a linear order (the natural order). Without choice, cannot prove that any set admits some linear order. For example, for  $\mathcal{P}(\mathbb{R})$  we cannot prove that there is a linear order on it, without using some form of choice.

The selection principle: For any set  $X$  such that for any  $A \in X$ ,  $|A| \geq 2$ , then there is a selection function  $g$  with domain  $X$  such that for  $A \in X$ ,  $g(A) \subseteq A$  (strict subset),  $g(A) \neq \emptyset$ .

**Theorem 1.1.** T.F.A.E

- (1) The selection principle.
- (2) For any set  $X$  there is an ordinal  $\alpha$  and an injective map  $g: X \hookrightarrow \mathcal{P}(\alpha)$ .

Proof of (2) implies (1). Reminder: We identify  $\mathcal{P}(\alpha)$  with  $2^\alpha$ , functions from  $\alpha$  to  $\{0, 1\}$ , which we identify as binary sequences of length  $\alpha$ , which we think of as branches in a binary tree of height  $\alpha$ .

Fix a set  $X$  such that for all  $A \in X$ ,  $|A| \geq 2$ . Let  $Y = \bigcup X$ . By (2) there is an injective map  $h: Y \rightarrow \mathcal{P}(\alpha)$  for some ordinal  $\alpha$ . Want to define  $g$ ,  $g(A) \subseteq A$ . Given  $A \in X$ , let  $\beta < \alpha$  be minimal such that there are  $a, b \in A$  with  $\beta$  the first coordinate where  $h(a)$  and  $h(b)$  disagree. Now let  $g(A)$  be all  $a \in A$  such that  $h(a)(\beta) = 0$ . By choice of  $\beta$ ,  $g(A)$  and  $A \setminus g(A)$  are not empty. So  $g$  is a selection function as desired.

Back to (1) implies (2). Fix some set  $X$ . Let  $C$  be the set of all subsets of  $X$  with at least 2 elements. By the selection principle, there is a selection map  $g$  with domain  $C$ . Choose  $\alpha$  a Hartog ordinal for  $\mathcal{P}(X)$  (that is, there is not injective map  $\alpha \hookrightarrow \mathcal{P}(X)$ ). We defined  $X^t$  for  $t \in 2^{<\alpha}$  recursively. ( $t \in 2^\beta$  for some  $\beta$ , recursion along  $\beta$ .) If  $X^t$  has at least two elements,  $X^{t \smallfrown 0} = g(X^t)$ ,  $X^{t \smallfrown 1} = X^t \setminus X^{t \smallfrown 0}$ . If  $X^t$  has 1 element or less let  $X^{t \smallfrown i} = \emptyset$  for  $i = 0, 1$ . For limit stages ( $t \in 2^\beta$ ,  $\beta$  limit ordinal (e.g.  $\omega$ ),  $X^t = \bigcap_{\gamma < \beta} X^{t \restriction \gamma}$ .

Finally, we defined a map  $X \rightarrow 2^\alpha$  as follows. Given  $x \in X$ , “follow the sets where  $x$  is in”. We will define a map  $\psi: X \rightarrow 2^\alpha$ .  $\psi(x) = h$  defined recursively on  $\beta$  so that:  $x \in X^{h \restriction \beta}$  (as long as  $X^{h \restriction \beta}$  is not empty.) Once  $X^{h \restriction \beta}$  is empty or is  $\{x\}$ , just define  $h(\beta) = 0$ .

Show that  $x \mapsto h$  is injective.

## 2. MONDAY MARCH 23

A clarification:

Axiom of choice is equivalent to: Let  $I$  be a set and  $\langle A_i; i \in I \rangle$  an  $I$ -indexed sequence of sets (this is just a function  $f$  with domain  $I$  such that  $f(i) = A_i$ .) If each  $A_i$  is not empty, then the product  $\prod_i A_i$  is not empty, that is, there is an indexed sequence  $\langle a_i; i \in I \rangle$  such that  $a_i \in A_i$ .

Given AC, and let  $\langle A_i; i \in I \rangle$  be such that  $A_i$  is not empty for each  $i \in I$ . Let  $Y$  be such that  $C \in Y$  if and only if there is some  $i \in I$  such that  $C = \{ \langle i, x \rangle; x \in A_i \}$ . ( $Y$  is a set by comprehension.) (for each  $C \in Y$ ,  $C$  is not empty) By AC, there is some choice function  $f$  whose domain is  $Y$  and for any  $C \in Y$ ,  $f(C) \in C$ . Define  $a_i$  to be  $f(C)$  for the unique  $C \in Y$  where  $C = \{ \langle i, x \rangle; x \in A_i \}$ . Now  $\langle a_i; i \in I \rangle$  is a choice function in  $\prod_{i \in I} A_i$ .

To see these statements are equivalent: Suppose we have choice for indexed sets. Let  $X$  be a set of non empty sets. Define  $g: X \rightarrow X$ ,  $g(A) = A$ . (so  $g$  is an indexed sequence of sets indexed by  $X$ ),  $\langle A_A; A \in X \rangle$ . Now by assumption  $\prod_{A \in X} A$  is not empty, so there is  $f$  with domain  $X$  such that  $f(A) \in A_A = A$ , so  $f$  is a choice function.

**Theorem 2.1** (Using AC). : If  $I$  is a countable set and  $A_i$  for  $i \in I$  are countable sets, then  $\bigcup_{i \in I} A_i$  is countable.

Recall (w/o AC) Suppose  $I = \omega$ , suppose  $\langle f_i; i \in I \rangle$  is a sequence of bijections,  $f_i$  a bijection from  $A_i$  to  $\omega$ . Then  $\bigcup_i A_i$  is countable.

Now given  $\langle A_i; i \in I \rangle$  as above, define  $C_i$  to be the set of all bijections from  $A_i$  to  $\omega$ . By assumption,  $\langle C_i; i \in I \rangle$  is an  $I$ -indexed sequence of non-empty sets. So there is  $\langle f_i; i \in I \rangle$  such that  $f_i$  is a bijection from  $A_i$  to  $\omega$ . (Also can fix some bijection from  $I$  to  $\omega$ , so w.l.o.g.  $I$  is  $\omega$ .)

**Question 2.2.** Is there a natural weakening of AC that implies the theorem above?

Yes, many in fact. One of the most natural and commonly used is the following:

**Definition 2.3.** DC (the axiom of dependent choices) given a relation  $R$  (on some set) such that for any  $x$  in the domain of  $R$  there is some  $y$  such that  $xRy$  ( $(x, y) \in R$ ). Then: there is an infinite sequence  $\langle x_n; n \in \omega \rangle$  satisfying  $x_n R x_{n+1}$ .

Fact: DC follows AC, it is strictly weaker than AC, and it implies that a countable union of countable sets is countable.

**A Hierarchy of sets.** We define by recursion on the ordinal sets  $V_\alpha$  for an ordinal  $\alpha$ . (one way to formalize is, given any ordinal  $\gamma$  we define  $V_\alpha$  for  $\alpha < \gamma$ ) as follows:

- Define  $V_0 = \emptyset$ .
- Given  $V_\alpha$  define  $V_{\alpha+1} = \mathcal{P}(V_\alpha)$ .
- If  $\alpha$  is a limit and  $V_\beta$  was defined for any  $\beta < \alpha$  then  $V_\alpha = \bigcup_{\beta < \alpha} V_\beta$ .

Note:  $V_n$  is a finite set for each  $n \in \omega$ .  $V_\omega = \bigcup_{n \in \omega} V_n$  is infinite, contains finite sets of finite sets.... In  $V_{\omega+1}$  we have  $\omega$ .  $2^\omega$  is in  $V_{\omega+2}$ . (In  $V_{\omega+1}$  can talk about  $\mathbb{Q}$ . so in  $V_{\omega+2}$  can talk about subsets of rationals, so can talk about reals numbers.)

**Proposition 2.4.** For each  $\alpha$ ,  $V_\alpha$  is transitive. (if  $a \in V_\alpha$  and  $b \in a$  then  $b \in V_\alpha$ ).

*Proof.* By induction on the ordinals. (nothing to prove for  $V_0$ .) We saw: if  $V_\alpha$  is transitive then  $V_{\alpha+1} = \mathcal{P}(V_\alpha)$  is transitive. For limit stage: if  $\alpha$  is a limit ordinal,

$V_\beta$  is transitive for each  $\beta < \alpha$ . Then  $V_\alpha = \bigcup_{\beta < \alpha} V_\beta$  is transitive (Check: a union of transitive sets is transitive).  $\square$

**Exercise 2.5.** if  $\alpha < \beta$ ,  $V_\alpha \subseteq V_\beta$ .

**Proposition 2.6.** For each ordinal  $\alpha$ ,  $\alpha \subseteq V_\alpha$  and  $\alpha \notin V_\alpha$ .

*Proof.* We prove by induction on ordinals. (nothing to prove for  $V_0$ ). Successor stage: suppose this is true for  $V_\alpha$ . Want to show this for  $\alpha + 1$ : That is, want that  $\alpha + 1 \subseteq V_{\alpha+1}$ , that is,  $\alpha \in V_{\alpha+1}$ . By assumption  $\alpha \subseteq V_\alpha$  and so  $\alpha \in V_{\alpha+1}$ . We show  $\alpha + 1 \notin V_{\alpha+1}$ . assume for contradiction that  $\alpha + 1 \in V_{\alpha+1}$ , then by definition  $\alpha + 1 \subseteq V_\alpha$ , which implies  $\alpha \in V_\alpha$  (since  $\alpha \in \alpha + 1$ ), a contradiction.

If  $\alpha$  is a limit ordinal and we know the proposition for  $\beta < \alpha$ . Then  $\beta \subseteq V_\beta$  and so  $\alpha = \bigcup_{\beta < \alpha} \beta \subseteq V_\alpha$ . And if  $\alpha \in V_\alpha$ , then by definition  $\alpha \in V_\beta$  for some  $\beta < \alpha$ . Now we get  $\beta \in \alpha \in V_\beta$  so since  $V_\beta$  is transitive,  $\beta \in V_\beta$  a contradiction.  $\square$

### 3. WEDNESDAY MARCH 25

We defined  $V_\alpha$  for ordinals  $\alpha$ .  $V_\alpha$  is transitive,  $V_\alpha \subseteq V_\beta$  for  $\alpha < \beta$ .  $V_0 = \emptyset$  and  $V_{\alpha+1} = \mathcal{P}(V_\alpha)$ . We also saw:  $\alpha \subseteq V_\alpha$  and  $\alpha \notin V_\alpha$ .

**Lemma 3.1.** Let  $\alpha$  be an ordinal. Then  $V_\alpha$  satisfies the axioms of extensionality, comprehension and union. That is,

- For any  $A, B \in V_\alpha$ ,  $A = B$  if and only if for all  $x \in V_\alpha$ ,  $x \in A \iff x \in B$ .
- If  $A \in V_\alpha$  and  $P(x)$  is a property (of a variable  $x$ ), then  $\{x \in A; P(x) \text{ holds}\} \in V_\alpha$ .
- If  $A \in V_\alpha$  then  $\bigcup A \in V_\alpha$ .

*Proof.* First, we saw that  $V_\alpha$  is transitive, that is, for  $x \in A \in V_\alpha$ ,  $x \in V_\alpha$ . If  $A = B$  then for any  $x$ ,  $x \in A \iff x \in B$  and so this is true for  $x \in V_\alpha$ . If for all  $x \in V_\alpha$ ,  $x \in A \iff x \in B$  then in fact for any  $x$ ,  $x \in A \iff x \in B$ . So by extensionality we get that  $A = B$ .

For second part, let  $A \in V_\alpha$  and  $P$  a property. Note that  $A \subseteq V_\beta$  for some  $\beta < \alpha$ . (If  $\alpha$  is a successor  $\alpha = \beta + 1$ , then by definition  $A \subseteq V_\beta$ . If  $\alpha$  is a limit, then by definition  $A \in V_\beta$  for some  $\beta < \alpha$  and so  $A \subseteq V_\beta$ .) Now  $B = \{x \in A; P(x) \text{ holds}\} \subseteq V_\beta$  (and it is a set by comprehension). So  $B \in \mathcal{P}(V_\beta) = V_{\beta+1} \subseteq V_\alpha$ .

Lastly, if  $A \in V_\alpha$  then  $A \subseteq V_\beta$  for some  $\beta < \alpha$ , then  $\bigcup A \subseteq V_\beta$  (since  $V_\beta$  is transitive). So  $\bigcup A \in V_{\beta+1} \subseteq V_\alpha$ . So  $\bigcup A \in V_\alpha$ .  $\square$

Note: for  $\alpha > \omega$  then  $\omega \in V_\alpha$ , so the axiom of infinity holds in  $V_\alpha$ .

**Exercise 3.2.** Let  $\alpha$  be a limit ordinal (e.g.  $\omega$ ,  $\omega + \omega$ ,  $\omega_1$ ). Then  $V_\alpha$  satisfies pairing and powerset. That is,

- If  $A, B \in V_\alpha$  then  $\{A, B\} \in V_\alpha$ .
- $A \in V_\alpha$  then  $\mathcal{P}(A) \in V_\alpha$ .

**Proposition 3.3.** (Assuming the axiom of choice) Let  $\alpha$  be a limit ordinal, then  $V_\alpha$  satisfies the axiom of choice. That is,  $X \in V_\alpha$ ,  $\emptyset \notin X$ , then there is a function  $f \in V_\alpha$  with domain  $X$  and such that  $f(A) \in A$  for any  $A \in X$ .

*Proof.* Let  $X \in V_\alpha = \bigcup_{\beta < \alpha} V_\beta$ . There is  $\beta < \alpha$  such that  $X \in V_\beta$ . By the axiom of choice there is a choice function  $f$ . So  $f: X \rightarrow \bigcup X$ , so  $f \subseteq X \times \bigcup X$ . We know

that  $\bigcup X \in V_\alpha$  and  $X \in V_\alpha$ . By the exercise above,  $X \times \bigcup X \in V_\alpha$ . So there is some  $\gamma < \alpha$  with  $X \times \bigcup X \in V_\gamma$ , now  $f \in V_{\gamma+1} \subseteq V_\alpha$  so  $f \in V_\alpha$ .  $\square$

**Theorem 3.4.** In  $V_{\omega+\omega}$  : the axioms of extensionality, pairing, union, comprehension, infinity, powerset and the axiom of choice all hold. However, the axiom of replacement fails in  $V_{\omega+\omega}$ .

So the axioms without replacement cannot directly prove the axiom of replacement. So the axiom of replacement is *independent* from the rest of the axioms. (Note: we used the axiom of replacement to define the set  $V_{\omega+\omega}$ .)

*Proof of the theorem.* Since  $\omega + \omega$  is a limit ordinal above  $\omega$ , all these axioms hold. To see that replacement fails: note that  $\omega + \omega \notin V_{\omega+\omega}$ , so it cannot be that all the axioms hold. (more directly, we have the property  $P(n, y)$  defined by  $P(n, y)$  holds if and only if  $n \in \omega$  and  $y = \omega + n$ . Then for any  $n \in \omega$  there is a unique  $y \in V_{\omega+\omega}$  such that  $P(n, y)$  holds. Yet there is no  $Y \in V_{\omega+\omega}$  containing  $\omega + n$  for all  $n$ .)  $\square$

#### 4. THE AXIOM OF FOUNDATION.

Can there be a set  $x$  such that  $x \in x$ ? (we will soon assume this cannot happen)  
Note: we proved that for an ordinal  $\alpha$ ,  $\alpha \notin \alpha$ .

**Definition 4.1.** The axiom of foundations (sometimes called the axiom of regularity) is the following statement:

*For any non-empty set  $x$  there is an element  $y \in x$  such that  $y$  and  $x$  contain no common elements (that is  $x \cap y = \emptyset$ ).*

**Remark 4.2.** The axiom of foundation implies that  $z \notin z$  for any set  $z$ . Otherwise, assume that there is a  $z$  with  $z \in z$ . Define  $x = \{z\}$ . Now for any  $y \in x$ ,  $y = z$ . And since  $z \in z$  then  $z \cap x \ni z$ . So  $y \cap x$  is not empty for any  $y \in x$ , contradicting the axiom of foundation.

We will see that in  $V_\alpha$  the axiom of foundation always holds, for any  $\alpha$ .

#### 5. FRIDAY MARCH 27

Recall: The axiom of foundation: For any set  $X$  there is some  $y \in X$  such that  $y \cap x = \emptyset$ . This implies there is not set  $z$  such that  $z \in z$ .

**Theorem 1.** (not assuming the axiom of foundation) The follow are equivalent:

- (1) The axiom of foundation.
- (2) For any set  $x$  there is an ordinal  $\alpha$  such that  $x \in V_\alpha$ .

*Proof.* (2) implies (1). Assume (2), take any set  $x$  and let  $\beta$  be minimal such that  $x \cap V_\beta \neq \emptyset$ . Let  $y \in x \cap V_\beta$ .  $y \in V_\beta$  then for any  $z \in y$ , there is some  $\gamma < \beta$  with  $z \in V_\gamma$ . By definition of  $\beta$ , for any  $\gamma < \beta$ ,  $x \cap V_\gamma = \emptyset$ . So  $x \cap y = \emptyset$ .

(1) implies (2) Assume (1). Let  $x$  be a set, we want to find  $\alpha$  with  $x \in V_\alpha$ . Let  $T$  be a transitive set such that  $x \in T$ . ( $a \in b \in T$  then  $a \in T$ ). (For example,  $T$  can be chosen as the transitive closure of  $\{x\}$ . [tc(Y) is minimal transitive set containing Y.]  $[T = \{x\} \cup x \cup \bigcup x \cup \bigcup \bigcup x \cup \dots]$ )

Remark: If  $z$  is a set and for any  $y \in z$  there is some  $\alpha$  such that  $y \in V_\alpha$ , then there is some  $\beta$  such that  $z \in V_\beta$ .

Why? Consider the definable map sending  $y \in z$  to the minimal  $\alpha_y$  such that  $y \in V_{\alpha_y}$ . By Replacement there is a set  $B = \{\alpha_y; y \in z\}$ , then  $\beta' = \bigcup B$  is an

ordinal such that  $z \subseteq V_{\beta'}$ , and so  $z \in V_{\beta'+1}$ . So take  $\beta = \beta' + 1$ . So if  $T$  satisfies that for any  $y \in T$  there is some  $\alpha$  with  $y \in V_\alpha$  we are done. (since  $x \in T$ ). Assume otherwise, let  $C$  be the set of all  $y \in T$  such that there is no  $\alpha$  for which  $y \in V_\alpha$ . Take any  $y \in C$ . By the remark, there must be some  $z \in y$  such that  $z \notin V_\alpha$  for any ordinal  $\alpha$ . Since  $T$  is transitive,  $z \in y$  implies  $z \in T$ . And so  $z \in C$ . So for any  $y \in C$  there is some  $z \in y \cap C$ . So  $C$  contradicts the axiom of foundation.  $\square$

Axioms of ZFC:

- Extensionality
- Comprehension
- Pairing
- Union
- Power set
- Infinity
- Replacement
- Choice
- Foundation

**Remark 5.1.** (without assuming foundation). We defined a collection “ $\bigcup_\alpha V_\alpha$ ” (just the collection of all sets  $x$  for which there is some  $\alpha$  such that  $x \in V_\alpha$ . This collection always satisfies the axiom of foundation and the rest of the axioms. (all axioms but replacement are true in  $V_\alpha$  whenever  $\alpha$  is a limit.) But in this non-set collection  $\bigcup_\alpha V_\alpha$ , replacement holds: in the sense that Given a property  $P(x, y)$  and a set  $X \in V_\alpha$ , if for any  $x \in X$  there is a unique  $y$  such that  $y \in V_\gamma$  for some  $\gamma$  and  $P(x, y)$  holds. Then there is a set  $B$  in some  $V_\beta$  such that for any  $x \in X$  there is a  $y \in B$  such that  $P(x, y)$  holds. We essentially proved it today: by replacement there is some set  $B$  with  $y \in B$  if and only if  $y \in V_\alpha$  for some  $\alpha$  and  $P(x, y)$  holds for some  $x \in X$ . Any  $y \in B$  is in some  $V_\alpha$ , so  $B$  is in some  $V_\beta$  by a previous remark.

## 6. MONDAY MARCH 30

Recall: Axioms of ZFC (Zermelo, Fraenkel with choice):

- Extensionality
- Comprehension
- Pairing
- Union
- Power set
- Infinity
- Replacement
- Choice
- Foundation

Foundation = the collection  $\bigcup_\alpha V_\alpha$  is the entire universe.

**Cofinality:** Given ordinals  $\alpha$  and  $\beta$ , a map  $f: \alpha \rightarrow \beta$  is said to be cofinal if for any  $\delta < \beta$  there is  $\gamma < \alpha$  with  $f(\gamma) \geq \delta$ . (equivalently:  $\sup\{f(\gamma); \gamma < \alpha\} = \beta$ ) (Let's assume both  $\alpha$  and  $\beta$  are limit ordinals.)

**Definition 6.1.** Given a limit ordinal  $\beta$ , its **cofinality**,  $\text{cf}(\beta)$  is the minimal ordinal  $\alpha$  such that there is a cofinal map from  $\alpha$  to  $\beta$ . Examples:  $\text{cf}(\omega) = \omega$ .  $\text{cf}(\omega + \omega) = \omega$ .

**Lemma 6.2.** If  $f: \alpha \rightarrow \beta$  is a cofinal then there is an ordinal  $\bar{\alpha} \leq \alpha$  and a cofinal increasing map  $g: \bar{\alpha} \rightarrow \beta$ . That is: for  $\gamma < \delta < \bar{\alpha}$ ,  $g(\gamma) < g(\delta)$ , and  $g$  is cofinal.

*Proof.* Define  $g$  recursively by:  $g(0) = f(0)$ .  $g(\gamma) = \max\{\sup\{g(\delta); \delta < \gamma\}, f(\gamma)\} + 1$  - as long as this is defined (that is, as long as  $\max\{\sup\{g(\delta); \delta < \gamma\}, f(\gamma)\} < \beta$ ). Let  $\bar{\alpha}$  be the first ordinal such that this construction stops. (It is possible that  $\bar{\alpha} = \alpha$ .) Check:  $g$  is cofinal.  $\square$

**Claim 6.3.**  $\text{cf}(\omega_1) = \omega_1$ . (Using AC!)

*Proof.* Need to show for any  $\alpha < \omega_1$  (that is for any countable ordinal), there is no cofinal map from  $\alpha$  to  $\omega_1$ . Suppose  $\alpha$  is a countable ordinal and  $f: \alpha \rightarrow \omega_1$ , then  $\beta = \sup\{f(\gamma); \gamma < \alpha\} = \bigcup\{f(\gamma); \gamma < \alpha\}$  which is countable! (it is a countable union of countable sets). So  $\beta$  is a countable ordinal, and so  $\beta < \omega_1$ .  $[f(\gamma) \in \omega_1$ , which is a countable ordinal]  $\square$

Examples:  $\text{cf}(\omega_1 + \omega) = \omega$ .  $\text{cf}(\omega_1 \cdot \omega) = \omega$ .

**Definition 6.4.** An ordinal  $\alpha$  is **regular** if it is equal to its cofinality,  $\text{cf}(\alpha) = \alpha$ .

Examples:  $\omega$ ,  $\omega_1$  are regular.  $\omega + \omega$ ,  $\omega_1 \cdot \omega$ ,  $\omega_1 + \omega_1$  are not regular. ( $\alpha$  is not regular if and only if  $\text{cf}(\alpha) < \alpha$ .)

**Definition 6.5.** Let  $\kappa$  is a cardinal. Let  $\kappa^+$  be the smallest  $\alpha > \kappa$  such that  $\alpha$  is a cardinal. Equivalently: the smallest  $\alpha > \kappa$  such that there is no injective map from  $\alpha$  to  $\kappa$ .

For example,  $\omega^+ = \omega_1$ .

For a cardinal  $\theta$ , say that  $\theta$  is a **successor cardinal** if there exists a cardinal  $\kappa$  such that  $\theta = \kappa^+$ . Examples:  $\omega$  is not a successor cardinal.  $\omega_1$  is a successor.

**Theorem 6.6** (Using AC). If  $\theta$  is a successor cardinal then it is regular,  $\text{cf}(\theta) = \theta$ .

First note: for any cardinal  $\kappa$ , a union of  $\kappa$ -many sets of size  $\kappa$  has size  $\kappa$ . Given  $A_\alpha$  for  $\alpha < \kappa$ ,  $|A_\alpha| \leq \kappa$ , we can choose  $f_\alpha$  for  $\alpha < \kappa$ ,  $f_\alpha: A_\alpha \hookrightarrow \kappa$  injective. Now given  $x \in \bigcup A_\alpha$ , let  $\gamma$  be the minimal such that  $x \in A_\gamma$  and define  $g(x) = (\gamma, f_\gamma(x))$ . Check:  $g: \bigcup_{\alpha < \kappa} A_\alpha \rightarrow \kappa \times \kappa$  is injective. Similarly, if  $A_\alpha$  for  $\alpha < \delta$  and  $|\delta| = \kappa$  can do similar trick.

Proof of theorem: If  $\theta = \kappa^+$ , then for any  $\gamma < \kappa^+$  and any map  $f: \gamma \rightarrow \kappa^+$ . As before,  $\sup\{f(\zeta); \zeta < \gamma\}$  has size  $\kappa$  and so is strictly below  $\kappa^+$ .

## 7. WEDNESDAY APRIL 1ST

In Q2 in HW, can use ZFC.

Last time: we showed that if  $\theta$  is a successor cardinal (that is,  $\theta = \kappa^+$  for some cardinal  $\kappa$ ), then  $\theta$  is a regular cardinal.

[We used the axiom of choice: to show that a union of  $\kappa$  many sets of size  $\kappa$ , has size  $\kappa$ . (even for  $\omega_1$  is regular, need AC.)]

[[Recall:  $\omega_1$  was defined as the minimal ordinal  $\alpha$  such that  $\alpha$  is not countable. [Recall: we proved (without using AC) – Hartog's theorem – that there is an uncountable ordinal.] Note:  $\omega_1 = \omega^+$ .]]

Recall:  $V_{\omega+\omega}$  satisfies all of ZFC but replacement.

We will see that (ZFC - powerset) does not imply the powerset axiom.

**Definition 7.1.** A set  $X$  is called hereditarily countable (HC) if the transitive closure of  $X$ ,  $\text{tc}(X)$  is countable.

[ $X$  is countable,  $\bigcup X$  is countable,  $\bigcup(\bigcup X)$  is countable,...]

Note: if  $X$  is transitive, then  $X$  is hereditarily countable if and only if it is countable.

Examples:  $\omega$  is HC,  $V_\omega$  is HC.

$\omega_1$ ,  $\mathbb{R}$  are not countable, so not HC.

$\{\omega_1\}$  is countable, but not HC.

**Definition 7.2.** HC is the collection of all sets  $x$  such that  $x$  is hereditarily countable.

**Claim 7.3** (Using the axiom of foundation).  $\text{HC} \subseteq V_{\omega_1}$ .

**Corollary 7.4.** HC is a set (by comprehension).

*Proof of the claim.* By the axiom of foundation, any set  $x$  is in some  $V_\alpha$  for some ordinal  $\alpha$ . For a set  $x$ , let  $\rho(x)$  be the minimal ordinal  $\alpha$  such that  $x \in V_{\alpha+1}$ . (minimal  $\alpha$  such that  $x \subseteq V_\alpha$ ).

Subclaim: If  $x$  is in HC, and  $y \in x$  then  $y$  is in HC.

proof: since  $y \in x$  then  $\text{tc}(y) \subseteq \text{tc}(x)$ . Since  $\text{tc}(x)$  is countable, so is  $\text{tc}(y)$ , and so  $y$  is in HC.

Back to the proof: Suppose for contradiction that there is some  $x$  in HC but not in  $V_{\omega_1}$  and take such  $x$  with minimal  $\rho(x) = \alpha$ . Now  $x \subseteq V_\alpha$  and  $x \subseteq \text{HC}$ . By minimality of  $\rho(x)$ ,  $x \subseteq V_{\omega_1}$ . [all  $y \in x$  have smaller degree,  $\rho(y) < \rho(x)$  and by minimality, there can be no  $y \in x$  with  $y \in \text{HC} \setminus V_{\omega_1}$ . So if  $y \in \text{HC}$  then  $y \in V_{\omega_1}$ ]

Since  $x \subseteq V_{\omega_1}$  and  $x$  is countable then there is a countable ordinal  $\beta < \omega_1$  with  $x \subseteq V_\beta$  and so  $x \in V_{\beta+1} \subseteq V_{\omega_1}$ . So  $x \in V_{\omega_1}$ , a contradiction.  $\square$

**Theorem 7.5.** HC satisfies all axioms of ZFC but the powerset axiom.

First,  $\omega \in \text{HC}$  and  $\mathcal{P}(\omega)$  is not countable, and so is not in HC, so powerset fails.

Extensionality follows since HC is transitive. (if  $A$  and  $B$  are in HC, then  $A = B$  if and only if for any  $x \in \text{HC}$ ,  $x \in A \iff x \in B$ .)

Pairing:  $\text{tc}(\{A, B\}) = \{A, B\} \cup \text{tc}(A) \cup \text{tc}(B)$ . So if both  $\text{tc}(A)$  and  $\text{tc}(B)$  are countable, so is  $\text{tc}(\{A, B\})$ .

Union: follows since countable union of countable sets is countable.

Infinity:  $\omega \in \text{HC}$ .

Note: if  $x \subseteq \text{HC}$  and  $x$  is countable then  $x \in \text{HC}$ . (proof in picture)

Replacement: Suppose  $P(x, y)$  is a property and  $A$  in HC is a set such that for any  $x \in A$  there is a unique  $y \in \text{HC}$  such that  $P(x, y)$  holds. Need to show that there is a set  $B$  in HC such that for any  $x \in A$  there is a  $y \in B$  such that  $P(x, y)$  holds. Let  $B$  be the set of all  $y$  such that there is  $x \in A$  with  $P(x, y)$ .  $B$  is a set by comprehension and  $B \subseteq \text{HC}$  by assumption. So  $B \in \text{HC}$ . (See picture.)