

Elementary Set Theory

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Coming up next

Cardinal Numbers

Cardinal

Cardinal arithmetic, I

Cofinality

Cardinality

We use injective functions to compare the size of sets.

Definition 1

1. $X \approx Y$ iff there is a bijection from X to Y .
2. $X \preccurlyeq Y$ iff there is an injection from X to Y .¹
3. $X \prec Y$ iff $X \preccurlyeq Y$ and $\neg(Y \preccurlyeq X)$.

¹Note that empty function is injective.

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Easy to check:

Proposition 2

1. \approx is an equivalence relation.
2. \preccurlyeq is transitive.

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Cantor-Bernstein

Next is a much deeper result

Theorem 3 (Cantor-Bernstein-Schröder)

Let X, Y be any two sets. Then

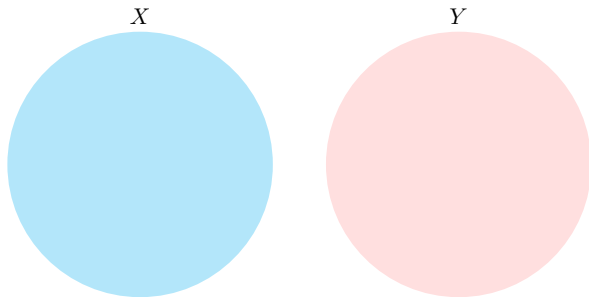
$$X \preccurlyeq Y \wedge Y \preccurlyeq X \implies X \approx Y.$$

A bit history

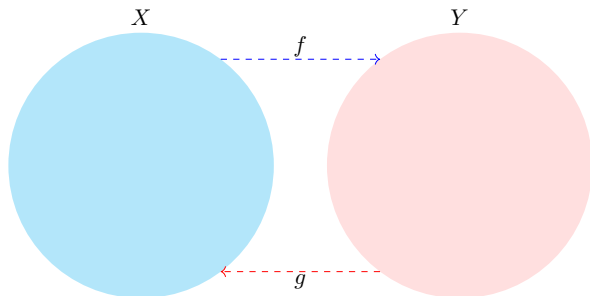
As it is often the case in mathematics, the name of this theorem does not truly reflect its history.

- ▶ The traditional name "Schröder-Bernstein" is based on two proofs published independently in 1898.
- ▶ Cantor is often added because he investigated it around 1870s, and first stated it as a theorem in 1895,
- ▶ while Schröder's name is often omitted because his proof turned out to be flawed
- ▶ and while the name of the mathematician who first proved it (Dedekind, 1887, 1897) is not connected with the theorem.

Proof of Cantor-Bernstein

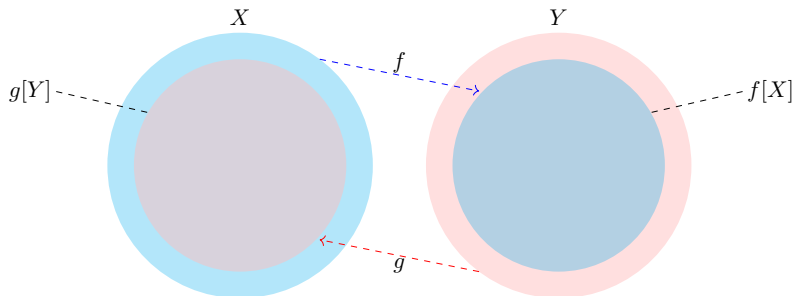


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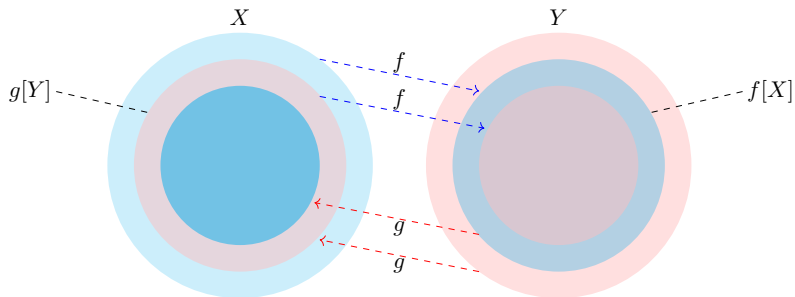


If f (or g) is onto, then we are done!
 f (or g^{-1}) is a bijection.

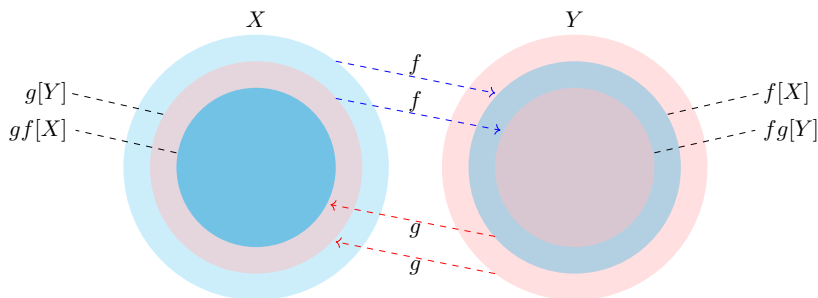
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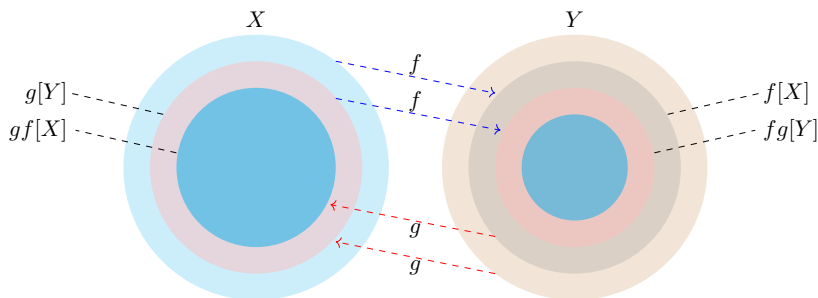


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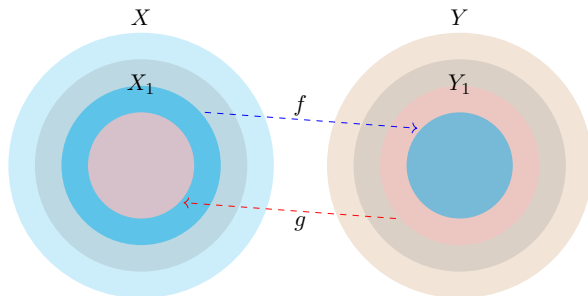
$$g[Y] - gf[X] \approx Y - f[X] \text{ via } g^{-1}$$

Proof of Cantor-Bernstein



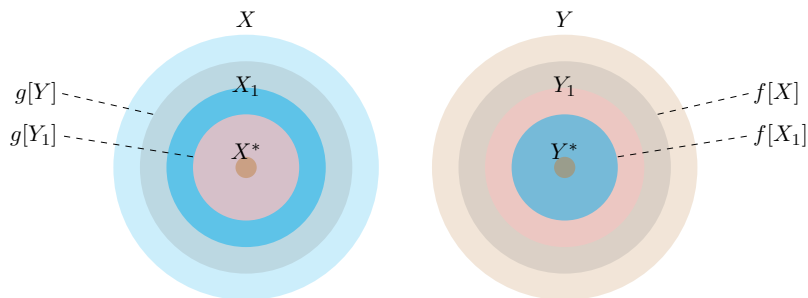
$$\begin{aligned}
 g[Y] - gf[X] &\approx Y - f[X] \text{ via } g^{-1} \\
 X - g[Y] &\approx f[X] - fg[Y] \text{ via } f
 \end{aligned}$$

Proof of Cantor-Bernstein



Thus $X - X_1 \approx Y - Y_1$,
also we have $f : X_1 \rightarrow Y_1$, $g : Y_1 \rightarrow X_1$.

Proof of Cantor-Bernstein

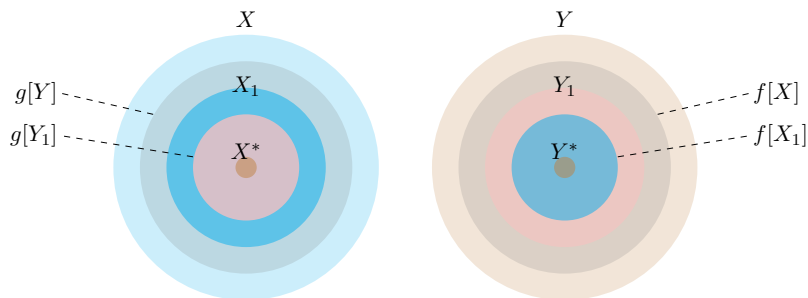


$$X \supset X_1 \supset X_2 \cdots \supset X_n \supset \cdots$$

$$Y \supset Y_1 \supset Y_2 \cdots \supset Y_n \supset \cdots$$

Let $X^* = \bigcap_i X_i$ and $Y^* = \bigcap_i Y_i$. By induction, $X - X^* \approx Y - Y^*$

Proof of Cantor-Bernstein



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But $f[X] \supset Y_1 \supset f[X_1] \supset Y_2 \supset \cdots$. Thus $Y^* = \bigcap_i f[X_i] = f[X^*]$. \square

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Thus we can assign to each set X its **cardinal number** $|X|$ so that

$$X \approx Y \quad \text{iff} \quad |X| = |Y|$$

Cardinal numbers can be defined

- ▶ either via equivalence classes (need **Regularity**),
- ▶ (von Neumann) or using ordinals (need AC).

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- ▶ (von Neumann) or using ordinals (need AC).
 - We shall use this definition.

Cardinality

One determines the size of a finite set by counting it. More generally,

Definition 4

If X can be well-ordered, then $X \approx \alpha$ for some $\alpha \in \text{Ord}$, and the least such α is called the **cardinality** of X , $|X|$.

Some simple facts.

- ▶ If $X \preccurlyeq \alpha$, then X can be well-ordered.
- ▶ $|\alpha| \leq \alpha$, for all $\alpha \in \text{Ord}$.
- ▶ Under AC, every set can be well-ordered, so $|X|$ is defined for every X .

For the rest of this Chapter, we assume AC.

Cardinal

Definition 5

An ordinal α is a **cardinal** if $|\alpha| = \alpha$.

We use κ, λ, δ etc to denote cardinals.

Some simple facts.

- ▶ α is a cardinal iff $\forall \beta < \alpha (\beta \not\approx \alpha)$.
- ▶ If $|\alpha| \leq \beta \leq \alpha$, then $|\beta| = |\alpha|$.
- ▶ Every infinite cardinal is a limit ordinal.
- ▶ For every $n \in \omega$, $n \not\approx n + 1$.
- ▶ If $n \in \omega$, then for all α , $\alpha \approx n \rightarrow \alpha = n$.

Finite-Countable-Uncountable

Corollary 6

ω is a cardinal and each $n \in \omega$ is a cardinal.

Finite-Countable-Uncountable

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Definition 7

- ▶ X is **finite** iff $|X| < \omega$. **Infinite** means not finite.
- ▶ X is **countable** iff $|X| \leq \omega$. **Uncountable** means not countable.

Finite-Countable-Uncountable

Example

- ▶ Every $n \in \omega$ is finite.
- ▶ $\omega, \mathbb{N}, \mathbb{Z}, \mathbb{Q}$ is countable. (To be discussed later)
- ▶ (Cantor). \mathbb{R} is uncountable. (To be proved in Chapter 4)

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- ▶ (Cantor). \mathbb{R} is uncountable. (To be proved in Chapter 4)

REMARK. One cannot prove on the basis of ZFC – **Power Set** that uncountable sets exist. In fact, it is consistent with ZFC – **Power Set** that the only infinite cardinal is ω .

Uncountable Cardinal

Before Cantor's proof of " \mathbb{R} is uncountable", it was not known that there are more than one infinite cardinal.

Theorem 8

For any set X , $X \prec \mathcal{P}(X)$.

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Proof.

- ▶ Identify every set X with its characteristic function $C_X : X \rightarrow \{0, 1\}$. Hence $\mathcal{P}(X) \approx {}^X 2$.
- ▶ Suppose $F : X \rightarrow {}^X 2$ is an arbitrary injection. Construct an $Z \in {}^X 2 - \text{ran}(F)$ by diagonalization:

$$C_Z(x) = 1 \quad \text{iff} \quad C_{f(x)}(x) = 0,$$

i.e. $Z = \{x \in X \mid x \notin f(x)\}$. F is **not** surjective! □

In fact, Card is “unbounded” along Ord.

Corollary 9

For any set $S \subset \text{Card}$, there is a cardinal κ s.t.

$$\forall \lambda \in S (\lambda < \kappa).$$

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For any set $S \subset \text{Card}$, there is a cardinal κ s.t.

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Without assume AC, the following is not easy to prove.

Theorem (Halbeisen and Shelah, 1994)

For all infinite set A ,

$$\text{fin}(A) \prec \mathcal{P}(A),$$

where $\text{fin}(A) := \{x \subseteq A \mid x \text{ is finite}\}$.

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Operations on Cardinals

The arithmetic operations on cardinals are defined as follows

Definition 10

1. $\kappa + \lambda = |\kappa \times \{0\} \cup \lambda \times \{1\}|$
2. $\kappa \cdot \lambda = |\kappa \times \lambda|.$
3. $\kappa^\lambda = |{}^\lambda \kappa|.$

κ, λ on the right are referred as sets.

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Exercise

Verify that these definitions are well defined.

We've shown that $|\mathcal{P}(X)| = 2^{|X|}$ and $\forall \kappa (\kappa < 2^\kappa)$.

Simple Facts About Cardinal Arithmetics

- ▶ Unlike the ordinal operations, $+$ and \cdot are associative, commutative and distributive.
- ▶ $(\kappa \cdot \lambda)^\mu = \kappa^\mu \cdot \lambda^\mu$.
- ▶ $\kappa^{\lambda+\mu} = \kappa^\lambda \cdot \kappa^\mu$.
- ▶ $(\kappa^\lambda)^\mu = \kappa^{\lambda \cdot \mu}$.
- ▶ If $\kappa \leq \lambda$, then $\kappa + \mu \leq \lambda + \mu$, $\kappa \cdot \mu \leq \lambda \cdot \mu$ and $\kappa^\mu \leq \lambda^\mu$.
- ▶ If $0 < \lambda \leq \mu$, then $\kappa^\lambda \leq \kappa^\mu$.
- ▶ $\kappa^0 = 1$, $1^\kappa = 1$, $0^\kappa = 0$ if $\kappa > 0$.
- ▶ When $\kappa, \lambda < \omega$, $\kappa + \lambda$, $\kappa \cdot \lambda$ and κ^λ are the same as the corresponding operations on natural numbers.

Alephs

Since $\text{Card} \subset \text{Ord}$, Card is well-ordered and the elements of Card can be enumerated with Ord as indices. Consider infinite cardinals only.

Definition 11

For any cardinal κ , κ^+ denotes the least cardinal $> \kappa$. The Aleph function \aleph is defined by the transfinite recursion:

$$\begin{aligned}\aleph_0 &= \omega, \\ \aleph_{\alpha+1} &= \aleph_\alpha^+, \\ \aleph_\sigma &= \lim_{\alpha \rightarrow \sigma} \aleph_\alpha, \quad \lambda \text{ is a limit ordinal.}\end{aligned}$$

An infinite cardinal is called a **successor** cardinal if it is of the form $\aleph_{\alpha+1}$ for some α , otherwise is called a **limit** cardinal.

Alephs

\aleph_α are often written as ω_α .

This definition is legitimate due to the following facts

- ▶ For every κ , there is a λ s.t. $\kappa < \lambda$.
Hence, κ^+ exists for every cardinal κ .
- ▶ For every set $S \subset \text{Card}$, $\sup(S)$ is a cardinal.
In particular, $\lim_{\alpha < \sigma} \aleph_\alpha$ is a cardinal.

These ensure that $\text{dom}(\aleph) = \text{Ord}$. Since for each $\alpha \in \text{Ord}$,

$$\aleph_\alpha = \min\{\kappa \in \text{Card} \mid \forall \beta < \alpha (\aleph_\beta < \kappa)\},$$

$$\text{ran}(\aleph) = \text{Card} \setminus \omega.$$

Alephs

REMARK. The existence of κ^+ (κ infinite) can be shown without referring to 2^κ and AC:

$$\kappa^+ = \sup\{\text{ordertype}(\prec) \mid (\kappa, \prec) \text{ is a well-ordering.}\}$$

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Lemma 12

Card is a proper class.

In general, $A \subset \text{Ord}$ is unbounded iff A is proper.

Cardinality of Sets,

Corollary 13

The following sets are countable:

- ▶ \mathbb{Z}, \mathbb{Q} are countable.
- ▶ The set of all algebraic numbers, \mathbb{A} , is countable.

Assume that $|\mathbb{R}| = 2^{\aleph_0}$. Then the following sets are of size 2^{\aleph_0} .

- ▶ The set of all points in the n -dimensional space, \mathbb{R}^n .
- ▶ The set of all complex numbers, \mathbb{C} .
- ▶ The set of all ω -sequences of natural numbers, ω^ω .
- ▶ The set of all ω -sequences of real numbers, \mathbb{R}^ω

Lemma 14 (AC)

If $|A| < |B|$ then $|B - A| = |B|$.

In fact, one can prove the following without using AC.

Lemma 15

If $A \subseteq B$, $|A| = \aleph_0$ and $|B| = 2^{\aleph_0}$, then $|B - A| = 2^{\aleph_0}$.

As corollary, we have

Corollary 16

The set of irrationals, $\mathbb{R} - \mathbb{Q}$, and the set of transcendental numbers, $\mathbb{R} - \mathbb{A}$, are of cardinality 2^{\aleph_0} .

Addition and Multiplication are trivial

Theorem 17 (AC)

Let κ, λ be infinite cardinals. Then

1. $\kappa + \lambda = \kappa \cdot \lambda = \max\{\kappa, \lambda\}$.
2. $|\text{}^{<\omega}\kappa| = \kappa$.

They follow from the lemma on next page.

Lemma 18

For every $\alpha \in \text{Ord}$, $\aleph_\alpha \cdot \aleph_\alpha = \aleph_\alpha$.

Proof of Theorem.

We prove (2) only.

- ▶ For each $n \in \omega$, pick an injection $f_n : {}^n\kappa \rightarrow \kappa$.
- ▶ Combining them gives us an injection

$$f : \bigcup_n {}^n\kappa \rightarrow \omega \times \kappa, \quad f(\sigma) = (|\sigma|, f_{|\sigma|}(\sigma))$$

whence $|\text{}^{<\omega}\kappa| \leq \omega \cdot \kappa = \kappa$.



Next, we prove the lemma.

A Well-Ordering of $\kappa \times \kappa$, $\kappa = \aleph_{\delta+1}$

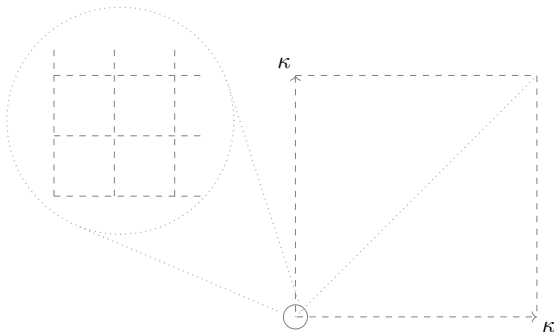
Proof of Lemma

$$\begin{aligned}(a_1, b_1) \prec (a_2, b_2) &\Leftrightarrow \max(a_1, b_1) < \max(a_2, b_2) \\ &\vee (\max(a_1, b_1) = \max(a_2, b_2) \wedge b_1 < b_2) \\ &\vee (\max(a_1, b_1) = \max(a_2, b_2) \wedge b_1 = b_2 \wedge a_1 < a_2)\end{aligned}$$

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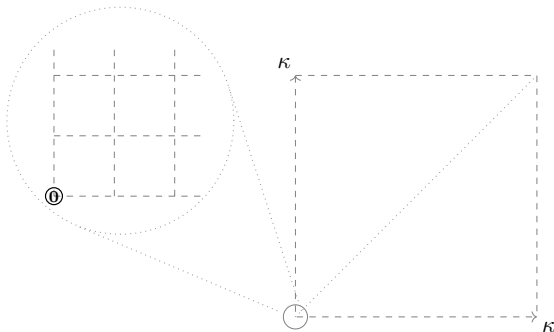
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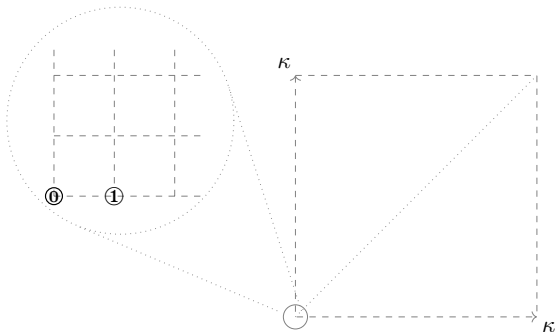
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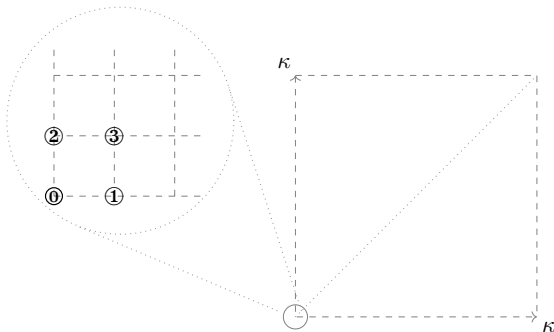
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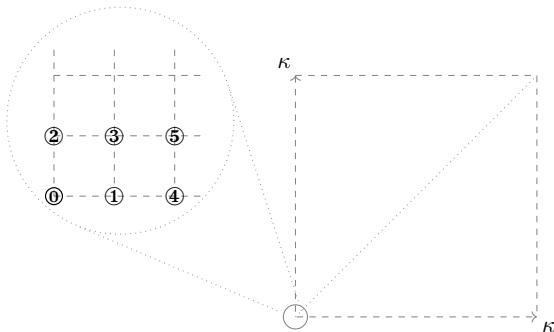
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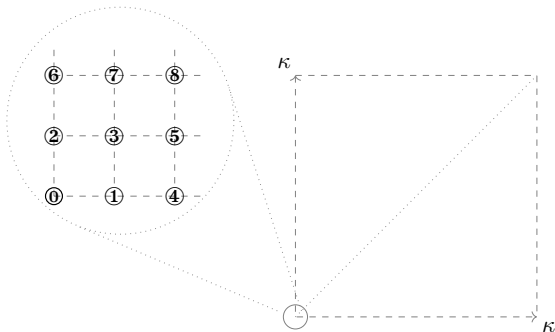
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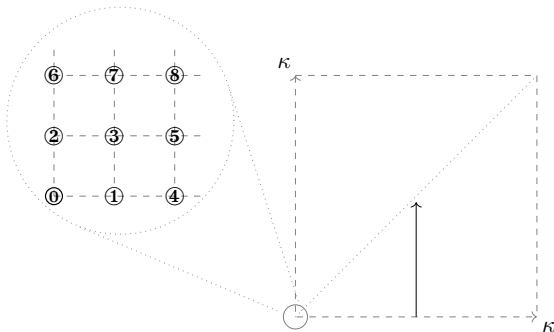
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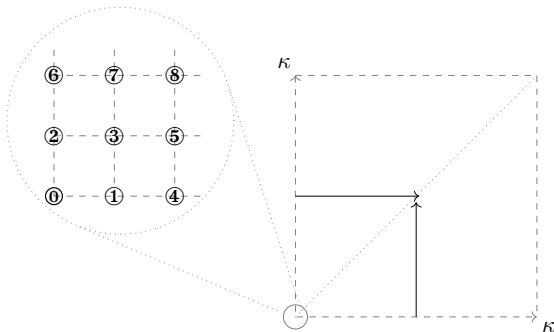
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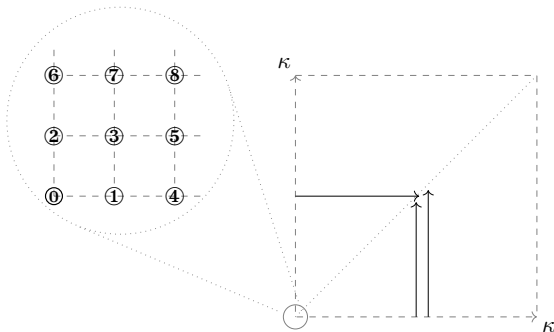
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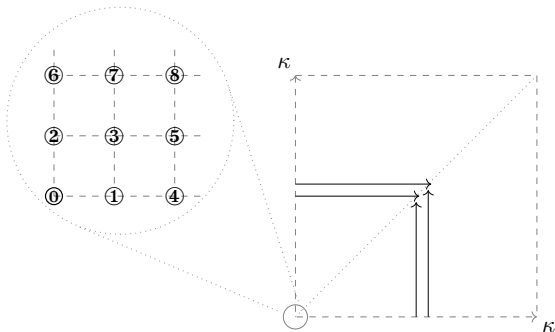
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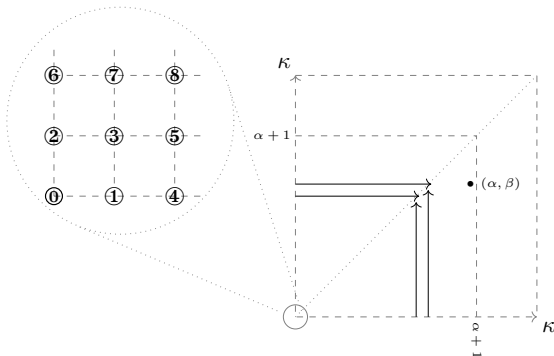
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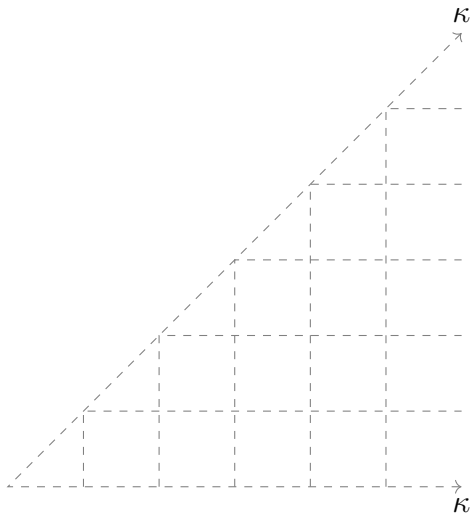
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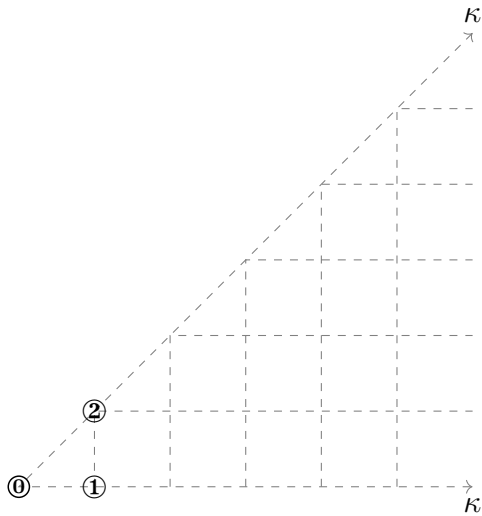
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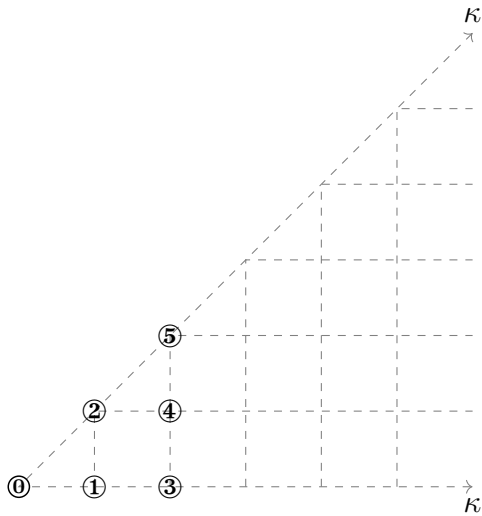
Another ordering



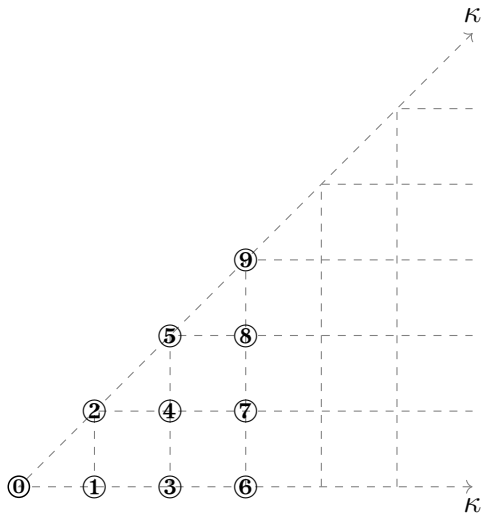
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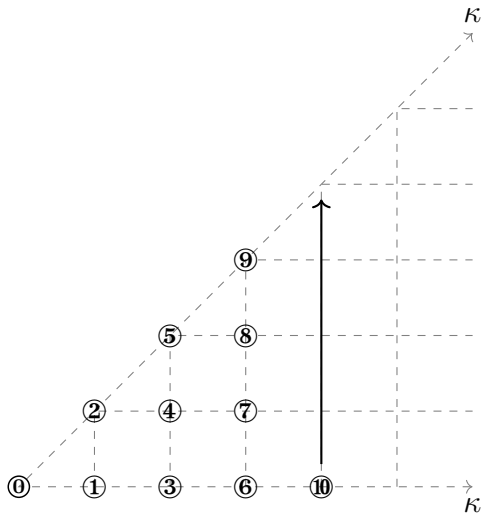
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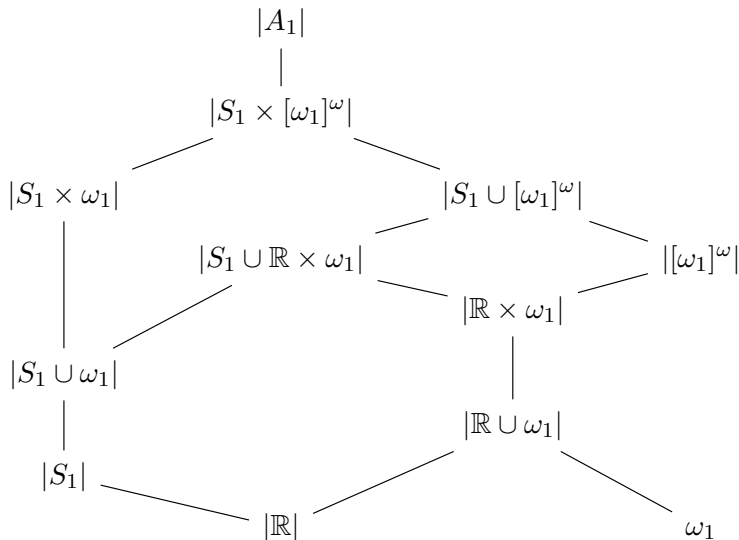
Another ordering



Another ordering



Small cardinals, when no full AC (Woodin, 2006)



Impact of AC

AC is equivalent to the assertion that

“Every set can be well-ordered”. (WO)

Many of the basic properties of cardinals need AC.

Write $X \preceq^* Y$ if $X = \emptyset$ or there is a surjection $f : Y \xrightarrow{\text{onto}} X$.

Lemma 19 (AC)

1. If $X \preceq^* Y$, then $X \preceq Y$.
2. If $\kappa \geq \omega$ and $X_\alpha \preceq \kappa$ for all $\alpha < \kappa$, then $\bigcup_{\alpha < \kappa} X_\alpha \preceq \kappa$.

Proof.

1. Let \prec well-orders X . Define $g : Y \rightarrow X$ as

$$g(y) = \prec\text{-least element of } f^{-1}(\{y\}).$$

2.
 - ▶ For each α , pick an injection $f_\alpha : X_\alpha \rightarrow \kappa$.
 f_α are selected via a well-ordering of $\mathcal{P}(\bigcup X_\alpha \times \kappa)$.
 - ▶ Use them to define an injection from $\bigcup X_\alpha \rightarrow \kappa \times \kappa$. \square

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An important application of Lemma 19-2 is the **Downward Löwenheim-Skolem-Tarski Theorem** in model theory.

An Application, Definitions

Definition 20

1. An **n -ary operation** on X is a function $f : X^n \rightarrow X$ if $n > 0$, or an element of X if $n = 0$.
2. If $Y \subset X$, Y is **closed under** f iff $f[Y^n] \subset Y$ (or $f \in Y$ when $n = 0$).
3. A **finitary operation** is an n -ary operation for some $n < \omega$.
4. If \mathcal{E} is a set of finitary operations on X and $Y \subset X$, the closure of Y under \mathcal{E} , denoted as $\text{cl}_{\mathcal{E}}(Y)$, is the least $Y^* \subset X$ such that $Y \subset Y^*$, and Y^* is closed under all the operations in \mathcal{E} .

An Application, Theorem

Theorem 21 (AC)

Let κ be an infinite cardinal. Suppose $Y \subset X$, $|Y| \leq \kappa$, and \mathcal{E} is a set of $\leq \kappa$ finitary operations on X . Then $|\text{cl}_{\mathcal{E}}(Y)| \leq \kappa$.

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EXAMPLE. Every infinite group has a countably infinite subgroup.

An Application, Theorem

Proof.

- ▶ Let $E_0 \subset \mathcal{E}$ be the set of all 0-ary operations in \mathcal{E} .
- ▶ Let $C_0 = Y \cup E_0$. We may assume that \mathcal{E} has no 0-ary operations.
- ▶ By induction on $n < \omega$, define

$$C_{n+1} = C_n \cup (\bigcup \{f[{}^k C_n] \mid f \in \mathcal{E}, f \text{ is } k\text{-ary.}\})$$

- ▶ Take $C_\omega = \bigcup_n C_n$. Check that $C_\omega = \text{cl}_{\mathcal{E}}(Y)$. □

Homework (Midterm Quiz)

1. Prove the following statements.
 - 1.1 If $x \cap y = \emptyset$ and $x \cup y \preccurlyeq y$, then $\omega \times x \preccurlyeq y$.
 - 1.2 If $x \cap y = \emptyset$ and $\omega \times x \preccurlyeq y$, then $x \cup y \approx y$.
2. Ex.3.1-3.3 in textbook.
3. Prove that $\kappa^\kappa \leq 2^{\kappa \cdot \kappa}$.
4. If $A \preccurlyeq B$, then $A \preccurlyeq^* B$.
5. If $A \preccurlyeq^* B$, then $\mathcal{P}(A) \preccurlyeq \mathcal{P}(B)$.²
6. Let X be a set. If there is an injective function $f : X \rightarrow X$ such that $\text{ran}(f) \subsetneq X$, then X is infinite.

²Don't forget the case $A = \emptyset$.

REMARK.

- ▶ Assuming AC, the converse of (4) is true (see Lemma 19).
- ▶ (6) is related to so called “Dedekind-infinite”. (see textbook Ex.3.14-3.16)

Exercises*

1. α is called an **epsilon number** iff $\alpha = \omega^\alpha$ (ordinal exponentiation). Show that
 - ▶ the first epsilon number ε_0 is countable.
 - ▶ for each $\alpha \in \text{Ord} - \{0\}$, \aleph_α is an epsilon number.
 - ▶ for each $\alpha \in \text{Ord} - \{0\}$, the set of epsilon numbers is unbounded below \aleph_α . Hence, there are \aleph_α epsilon numbers below \aleph_α .
2. There is a well-ordering of the class of all finite sequences of ordinals such that for each α , the set of all finite sequences in ω_α is an initial segment and its order-type is ω_α .

Continuum Hypothesis

Since Cantor could show (under AC) that $\aleph_1 \leq 2^{\aleph_0}$, and had no way producing cardinals between \aleph_1 and 2^{\aleph_0} , he conjectured that

CONTINUUM HYPOTHESIS (CH)

$$\aleph_1 = 2^{\aleph_0}?$$

Continuum Hypothesis

More generally,

GENERALIZED CONTINUUM HYPOTHESIS (GCH)

For every $\alpha \in \text{Ord}$,

$$\aleph_{\alpha+1} = 2^{\aleph_{\alpha}}?$$

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GENERALIZED CONTINUUM HYPOTHESIS (GCH)

For every $\alpha \in \text{Ord}$,

$$\aleph_{\alpha+1} = 2^{\aleph_{\alpha}}?$$

REMARK. Without AC, it is possible that $\aleph_1 \not\leq 2^{\aleph_0}$; however, one can still show that $\aleph_{\alpha+1} < 2^{2^{\aleph_{\alpha}}}$, for every $\alpha \in \text{Ord}$. (see textbook Ex.3.7-3.11)

Coming up next

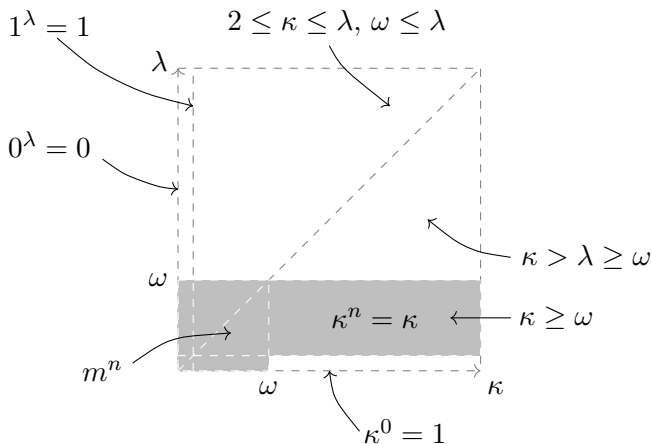
Cardinal Numbers

Cardinal

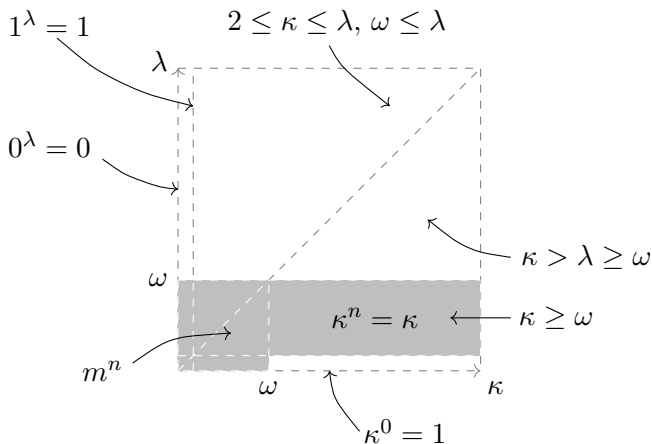
Cardinal arithmetic, I

Cofinality

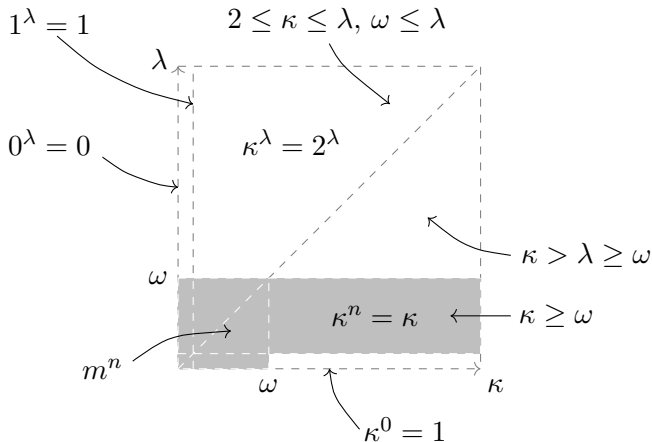
Exponentiation of Cardinals



Exponentiation of Cardinals



Exponentiation of Cardinals



Exponentiation of Cardinals

Lemma 22

If $\lambda \geq \omega$ and $2 \leq \kappa \leq \lambda$, then $\kappa^\lambda = 2^\lambda$.

Exponentiation of Cardinals

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If $\lambda \geq \omega$ and $2 \leq \kappa \leq \lambda$, then $\kappa^\lambda = 2^\lambda$.

Under GCH, κ^λ can be easily computed, but the notion of **cofinality** is needed.

Cofinality

Definition 23

1. If $f : \alpha \rightarrow \beta$, f maps α **cofinally** iff $\text{ran}(f)$ is unbounded in β .
2. The cofinality of β , $\text{cf}(\beta)$, is the least α s.t. there is a map from α cofinally into β .

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Clearly, $\text{cf}(\alpha) \leq \alpha$, and

- ▶ if α is a successor, $\text{cf}(\alpha) = 1$.
- ▶ if α is a limit ordinal, $\text{cf}(\alpha)$ is a limit ordinal $\geq \omega$.

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- ▶ if α is a limit ordinal, $\text{cf}(\alpha)$ is a limit ordinal $\geq \omega$.

EXAMPLE. $\text{cf}(\omega^n) = \text{cf}(\aleph_\omega) = \omega$.

Properties of $\text{cf}(\cdot)$

Lemma 24

1. *There is a cofinal map $f : \text{cf}(\alpha) \rightarrow \alpha$ which is strictly increasing, i.e. $\xi < \eta \rightarrow f(\xi) < f(\eta)$.*
2. *If α is a limit ordinal and $f : \alpha \rightarrow \beta$ is a strictly increasing cofinal map, then $\text{cf}(\alpha) = \text{cf}(\beta)$.*

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Corollary 25

1. $\text{cf}(\text{cf}(\alpha)) = \text{cf}(\alpha)$.
2. *If α is a limit ordinal, then $\text{cf}(\aleph_\alpha) = \text{cf}(\alpha)$.*

Regular Cardinal

Definition 26

α is **regular** iff α is a limit ordinal and $\text{cf}(\alpha) = \alpha$. Otherwise, α is **singular**.

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Lemma 27

1. *For every limit ordinal α , $\text{cf}(\alpha)$ is regular.
In particular, ω is regular.*
2. *If α is regular, then α is a cardinal.*

Singular Cardinal

Lemma 28 (AC)

An infinite cardinal κ is singular iff there exists a cardinal $\lambda < \kappa$ and a family $\{S_\xi \mid \xi < \lambda\}$ of subsets of κ s.t. $|S_\xi| < \kappa$ for each $\xi < \lambda$, and $\kappa = \bigcup_{\xi < \lambda} S_\xi$. The least cardinal λ that satisfies the condition is $\text{cf}(\kappa)$.

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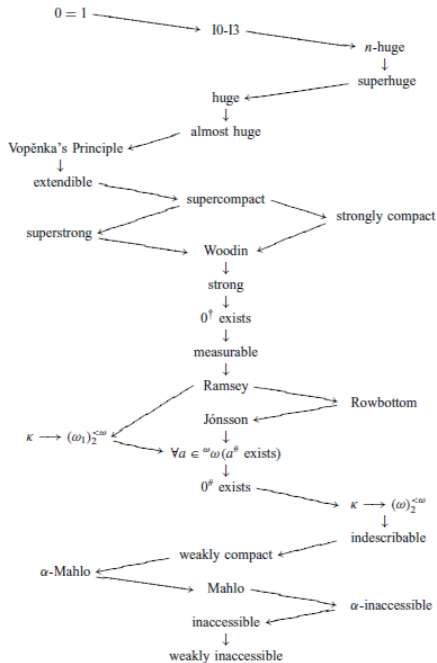
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REMARK. Without AC, it is consistent that $\text{cf}(\omega_1) = \omega$, i.e., ω_1 is a countable union of countable sets. In contrast, in ZF one can show that ω_2 cannot be a countable union of countable sets.

Large cardinals

- ▶ There are arbitrarily large singular cardinals.
For each α , $\text{cf}(\aleph_{\alpha+\omega}) = \omega$.
- ▶ It is unknown whether one can prove in ZF that there exists a cardinal κ with $\text{cf}(\kappa) > \omega$.
- ▶ (Hausdorff, 1908) κ is **weakly inaccessible** if κ is a regular limit cardinal. Every weak inaccessible is a fix point of the \aleph -sequence. The first weakly inaccessible cardinal is rather large. And it's existence is independent of ZFC.
- ▶ (Sierpiński-Tarski, Zermelo, 1930). κ is **strongly inaccessible** iff $\kappa > \omega$, κ is regular and $\forall \lambda < \kappa (2^\lambda < \kappa)$. Strong inaccessibles are weak inaccessibles. Under GCH, these two notions coincide.



König's Theorem

Theorem 30 (König)

Assume AC. If κ is an infinite cardinal then $\kappa < \kappa^{\text{cf}(\kappa)}$.

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- ▶ Let $\{f_\alpha \mid \alpha < \kappa\}$ be an arbitrary subset of ${}^{\text{cf}(\kappa)}\kappa$ of size κ .
- ▶ Construct an $f : \text{cf}(\kappa) \rightarrow \kappa$ different from all f_α , $\alpha < \kappa$.
- ▶ Suppose $\kappa = \lim_{\xi < \text{cf}(\kappa)} \alpha_\xi$. For each $\xi < \text{cf}(\kappa)$, $f(\xi)$ is selected to ensure that at ξ , $f \neq f_\alpha$ for all $\alpha < \alpha_\xi$. □

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Corollary 31 (AC)

If $\lambda \geq \omega$, then $\text{cf}(2^\lambda) > \lambda$.

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If $\lambda \geq \omega$, then $\text{cf}(2^\lambda) > \lambda$.

Further results in cardinal arithmetics will appear in Chapter 5.