The Art of Realizability

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Abstract

This work presents the correspondance between a ultrafilter of the ground model which naturally arises from realizability algebras and the ultrafilter which generates the realizability model.

1 Context

Griffin [4] enables to extend Curry-Howard correspondence to classical logic. Indeed, in [4] it has been shown that Pierce's Law $(\neg A \to A) \to A$ is an admissible type for call/cc. This has been a major achievement in the constructivization of mathematics, since proof-programs correspondence was hitherto limited to intuitionistic logic. About this latter, in 1945 Kleene [5] exposed a method, namely realizability, which employed recursive functions as witnesses for the satisfiability of a formula for a fixed language, which eventually was a generalisation of intuitionistic semantics. Combining Griffin's result with Kleene's tradition, Krivine [6] has developed realizability for classical set theory, introducing a structure called realizability algebra.

Definition 1. A realizability algebra is a tuple $\mathcal{A} = \langle \Lambda_{\mathsf{c}}, \Pi, \succ, \bot \rangle$, where:

• Λ_c is the set of terms generated by

• Π is the set of *stacks* generated by

$$t := x |\operatorname{cc}| \lambda x.t | (t)t | k_{\pi}$$

$$\pi \in \Pi$$

$$\pi_{0} \in \Pi_{0}, t \in \Lambda_{c}$$

with k_{π} continuation of π ;

for a fixed set Π_0 of stack constants;

• \succ is a reduction relation $\langle t, \pi \rangle \succ \langle u, \rho \rangle$ between processes $\langle t, \pi \rangle$, $\langle u, \rho \rangle$, for $t, u \in \Lambda_c, \pi, \rho \in \Pi$. For sake of readability (and history), we note $t \star \pi$ for a process $\langle t, \pi \rangle$. \succ is defined as the transitive closure of following rules

$$\lambda x.t \star u \cdot \pi \succ t[u/x] \star \pi, \tag{grab}$$

$$(t)u \star \pi \succ t \star u \cdot \pi, \tag{push}$$

$$\operatorname{cc} \star t \cdot \pi \succ t \star k_{\pi} \cdot \pi,$$
 (save)

$$k_{\pi} \star t \cdot \rho \succ t \star \pi;$$
 (restore)

• \mathbb{L} , called *pole*, is a fixed subset of processes closed for anti-reduction, i.e., for $t, u \in \Lambda_c, \pi, \rho \in \Pi$,

$$t\star\pi\succ u\star\rho,\, u\star\rho\in\mathbb{L}\implies t\star\pi\in\mathbb{L}\;.$$

 \perp induces a notion of orthogonality between sets of λ_c -terms and sets of stacks. Then, for any set of stacks $X \subseteq \Pi$ we can define

$$X^{\perp} := \{ t \in \mathbf{Q} \mid \forall \pi \in X (t \star \pi \in \perp) \}.$$

In order to have a consistent set of realized formulæ, fix a set Q of Λ_c , such that $cc \in Q, \Lambda^{\circ} \subset Q$ and $\forall t \in \mathbf{Q} \exists \pi \in \Pi(t \star \pi \notin \mathbb{L})^1$. \mathbf{Q} is the set of *quasi-proofs*. For any set $X \subseteq \Pi$, X is *realized* $X^{\mathbb{L}} \cap \mathbf{Q} \neq \emptyset$. For any formula F of a language \mathcal{L} , a set $||F|| \subset \Pi$ is associated to it, and F is said to be realized if $(Q \cap ||F||^{\perp}) \neq \emptyset$, where $||F||^{\perp} \subseteq \Lambda_c$ is the orthogonal of ||F|| with the respect to \perp . A term $t \in \Lambda_c$ is a realizer for F, in symbols $t \Vdash F$, if $t \in (||F||^{\perp} \cap Q)$. We denote $\Vdash F$ if there exists a realizer for F.

This new application has therefore produced set-theoretical models that supply programs associated to ZF-theorems.

During last twenty years, Krivine has realized relevant mathematical principles, like the Axiom of Dependent Choice (DC_{\aleph_0}), which can be viewed as a further extension of proof-programs correspondence to (at least) real analysis. Recent developments have extended even further this correspondence, realizing choice principles on arbitrary cardinals and large cardinals axioms (in [2, 3]). Nowadays, realizability stands as a well-grounded technique, which enables to built ZF-models encompassing a "constructive behaviour". For instance, while the formulæ $\top \land \bot \to \bot$ and $\bot \land \top \to \bot$ can be considered the same one in a classical set-up, from a computational point of view these have a slightly different meaning, the former behaving has a right projection, the latter as a left one, hence they are not realized by the same program in general. In fact, assuming the existence of such a program ∩, verifying $\pitchfork \Vdash \top \land \bot \to \bot, \pitchfork \Vdash \bot \land \top \to \bot$, introduces non-deterministic processes in the underlying calculus. Furthermore, it turns out that \uparrow transforms the realizability model in a forcing one. Forcing technique, a wide-spread tool of modern set-theory developed by Cohen [1] in 1963, can be viewed as a special case of realizability, where every formula is realized by the same program, thus it is considered as a trivialization of realizability.

2 Renovating realizability

We present an improved formalism for Krivine's realizability, developed by Fontanella, Geoffroy and Matthews (in [2, 3, 7]) which strengthens this framework with a forcing-like definition of the realizability model.

For a fixed model \mathcal{M} of ZF, the realizability model \mathcal{N} generated by a realizability algebra $\mathcal{A} \in \mathcal{M}$ is a first-order model satisfying formulæ of $\mathcal{L} = \{ \not\in, \not\in, \subseteq \}$. \mathcal{L} is a slight modification of set theory signature, due to technical reasons, which defines a conservative extension of ZF, namely ZF_{ε}

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\operatorname{ZF}_{\varepsilon} := \left\{ \begin{array}{ll} \in \text{-}Extensionality} & \equiv & \forall x \forall y (x \in y \leftrightarrow \exists z \, \varepsilon \, y (x \simeq z)); \\ \subseteq \text{-}Extensionality} & \equiv & \forall x \forall y (x \subseteq y \leftrightarrow \forall z \, \varepsilon \, x (z \in y)); \\ Foundation & \equiv & \forall \vec{x} \forall a (\forall x (\forall y \, \varepsilon \, x \, F (y, \vec{x}) \to F (x, \vec{x})) \to F (a, \vec{x})); \\ Comprehension & \equiv & \forall \vec{x} \forall a \exists b \forall x (x \, \varepsilon \, b \leftrightarrow (x \, \varepsilon \, a \land F (x, \vec{x}))); \\ Paring & \equiv & \forall a \forall b \exists c (a \, \varepsilon \, c \land b \, \varepsilon \, c); \\ Union & \equiv & \forall a \exists b \forall x \, \varepsilon \, a \forall y \, \varepsilon \, x (y \, \varepsilon \, b); \\ Power \, Set & \equiv & \forall a \exists b \forall x \, \varepsilon \, a \forall y \, \varepsilon \, x (y \, \varepsilon \, b); \\ Collection & \equiv & \forall \vec{x} \forall a \exists b \forall x \, \varepsilon \, a (\exists y \, F (x, y, \vec{x}) \to \exists y \, \varepsilon \, b \, F (x, y, \vec{x})); \\ Infinity & \equiv & \forall \vec{x} \forall a \exists b (a \, \varepsilon \, b \land (\exists y \, F (x, y, \vec{x}) \to \exists y \, \varepsilon \, b \, F (x, y, \vec{x}))) \end{array} \right\}.
                                                                                                                                      \exists-Extensionality \equiv \forall x \forall y (x \in y \leftrightarrow \exists z \, \varepsilon \, y (x \simeq z));
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 $\not\in$ is the negation of membership, \subseteq is the subset relation. $\not\in$ is the negation of a non-extensional membership relation. Extensional equality, defined as usual by use of \subseteq , is denoted as \simeq^2 . Nonextensional equality is denoted as $=^3$.

Since the realizability relation is defined inductively on the structure of formulæ, it suffices to well-define it for atomic formulæ of the language. For this purpose, we introduce names.

Definition 2. The class of A-names is defined inductively as

$$\bullet$$
 $M_0^{\mathcal{A}} := \emptyset$

We denote Λ° the set of closed λ -terms. The last condition is necessary to obtain a model. Observe that for $\mathbb{L} \neq \emptyset$, $Q \neq \Lambda_c$. Indeed, if $t \star \pi \in \mathbb{L}$, for any $\rho \in \Pi$, $(k_\pi)t \star \rho \succ t \star \pi \Longrightarrow (k_\pi)t \star \rho \in \mathbb{L}$, thus $(k_\pi)t \notin Q$.

 $^{^3}x = y := \forall z (x \not\in z \longleftrightarrow y \not\in z)$

- $M_{\alpha+1}^{\mathcal{A}} := \mathcal{O}(M_{\alpha}^{\mathcal{A}} \times \Pi)$, for $\alpha \in Ord$;
- $M_{\lambda}^{\mathcal{A}} := \bigcup_{\alpha \in \lambda} \mathcal{P}(M_{\alpha}^{\mathcal{A}} \times \Pi)$, for λ limit ordinal;
- $M^{\mathcal{A}} := \bigcup_{\alpha \in Ord} M_{\alpha}^{\mathcal{A}}$.

Names allow to interpret closed \mathcal{L} -formulæ into $\mathcal{P}(\Pi)$. Indeed, we will define by induction on the structure of $F \in \mathcal{F}_{\mathcal{L}}$ the set of falsity values $||F|| \subseteq \mathcal{P}(\Pi)$. Names play a fundamental role in the atomic-formulæ cases and the universal-quantifier case. In order to define ||F||, a definition of rank for names is needed.

Definition 3. For every $a \in M^{\mathcal{A}}$, we define the rank of a in $M^{\mathcal{A}}$ as

$$\operatorname{rank}^{\mathcal{A}}(a) = \min\{\alpha \in Ord | a \in M_{\alpha+1}^{\mathcal{A}}\}.$$

Definition 4. We define $||a \notin b|| := \{\pi \in \Pi \mid \langle a, \pi \rangle \in b\}$ for every $a, b \in M^{\mathcal{A}}$. Moreover, by induction on $\langle \operatorname{rank}^{\mathcal{A}}(a), \operatorname{rank}^{\mathcal{A}}(b) \rangle$, we set:

- $||a \notin b|| := \bigcup_{c \in M^A} \{t \cdot t' \cdot \pi \in \Pi \mid \langle c, \pi \rangle \in b, t \Vdash c \subseteq a, t' \Vdash a \subseteq c\}$
- $||a \subseteq b|| := \bigcup_{c \in M^A} \{t \cdot \pi \in \Pi \mid \langle c, \pi \rangle \in a, t \Vdash c \not\in b\}$

The set of falsity values $||F|| \subseteq \mathcal{P}(\Pi)$ for a formula $F \in \mathcal{F}_{\mathcal{L}}$ is defined by induction of the structure of F:

- $||\top|| := \emptyset$, $||\bot|| := \Pi$;
- atomic cases as above;
- $||G_1 \to F_2|| := \{t \cdot \pi \in \Pi \mid t \in ||F_1||^{\perp}, \pi \in ||F_2||\};$
- $||\forall x F(x)|| := \bigcup_{a \in M^A} ||F(a)||$.

Following Definition 1, It is possible to associate a realizer $t \in ||F||^{\perp}$ for any formula F - if it exists. As expected, ZF-axioms are realized (see [6]).

 $M^{\mathcal{A}}$ allows to define basic objects of \mathcal{N} in a more explicit way, consequently it represents an improvement in the comprehension of pre-existing results. A class of canonical representatives for elements of the ground model is defined, denoted as $\Im M^4$.

Definition 5. By induction on $\rho(a)$ we define $\exists (a) = \{ \langle \exists (b), \pi \rangle \mid b \in a, \pi \in \Pi \}$. We denote $\exists (M) = \{ \exists (a) | a \in M \}$.

Among the elements of $\exists M, \exists 2 = \{\langle \exists b, \pi \rangle \mid b = 0, 1; \pi \in \Pi \}$ turns out to have a relevant role, as the canonical representative of 2 in \mathcal{N} may contain arbitrary copies of 0 and 1, distinguished by the relation ε introduced with the language \mathcal{L} above. The cardinality of $\exists 2$ is strictly related with realizability model as $\vdash \forall x \varepsilon \exists 2(x = \exists 0 \lor x = \exists 1)$ if, and only if, \mathcal{N} is a forcing model. The left-to-right implication holds if one assumes that an instruction quote is in Λ_c , this term acting like an enumerator for closed λ_c -terms. Thus, $\exists 2$ allows to establish whether \mathcal{A} produces a forcing model or not.

In order to get more information about the nature of \mathcal{N} , it is possible to add a boolean-algebra structure on \mathbb{Z}^2 , induced by the minimal boolean algebra $\langle 2, \leq 0, 1 \rangle$ in \mathcal{M} , to fix a *complete* theory containing the one of realized formulæ. Let $\langle \mathbb{Z}^2, \leq, \mathbb{Z}^2, \mathbb{Z}^2 \rangle$ be the induced algebra. With respect to the extensional equality \mathbb{Z} , it is the minimal boolean-algebra of \mathbb{Z}^2 , \mathbb

Definition 6. For any $X, Y \in \mathcal{P}(\Pi)$, $X \leq Y$ if, and only if, $\mathbb{Q} \cap (X \to Y)^{\perp} \neq \emptyset$ (or $\vdash X \to Y$), where

$$X \to Y := \{t \cdot \pi \in \Pi \mid t \in X^{\perp}, \pi \in Y\}.$$

⁴It is a subclass of $M^{\mathcal{A}}$.

The induced poset has a boolean-algebra structure $\langle \mathcal{S}(\Pi), \leq, \Pi, \emptyset \rangle$, which can be related via representatives $u_X \in M^A$, for $X \in \mathcal{P}(\Pi)$, to the boolean algebra on \mathbb{R}^2 .

Definition 7. For $X \in \mathcal{P}(\Pi)$, $u_X := \{\langle \exists 0, \pi \rangle \mid \pi \in X\}$.

Theorem 1. The following results hold:

- 1. For any $X \in \mathcal{P}(\Pi)$, $\mathcal{N} \models u_X \simeq \exists 0 \lor u_X \simeq \exists 1$:
- 2. For any formula F of \mathcal{L} , \Vdash F if, and only if, $\mathcal{N} \models u_{||F||} \simeq \exists 0$;
- 3. $\mathfrak{G} := \{X \in \mathcal{P}(\Pi) \mid \mathcal{N} \models u_X \simeq \exists 0\} \text{ is an ultrafilter of } (\mathcal{P}(\Pi), \leq);$

The theorem states that (1.) any u_X is extensionally equal either to $\neg 0$ or to $\neg 1$, i.e. it is contained in $\exists 2^5$, (2.) formulæ whose falsity value is sent to $\exists 0$ in \mathcal{N} are precisely those that are realized, (3.) these formulæ generate a filter in $\mathcal{S}(\Pi)$ which is contained in a ultrafilter \mathfrak{G} of $\mathcal{S}(\Pi)$, thus \mathfrak{G} determines a complete theory containing every realized formula.

Proof. 1. Fix $X \in \mathcal{P}(\Pi)$.

First, we show that $\lambda x.x \Vdash u_X \subseteq_{\varepsilon} \exists 1^6$.

 $\begin{aligned} ||u_X \subseteq_\varepsilon \exists 1|| &= \bigcup_{c \in M^A} ||c \not \in \exists 1 \xrightarrow{} c \not \in u_X|| = \bigcup_{c \in M^A} \{t \cdot \pi \mid t \in ||c \not \in \exists 1||^{\perp}, \pi \in ||c \not \in u_X||\}. \\ \text{For } c \neq \exists 0, \ ||c \not \in u_X|| = \emptyset, \text{ thus} \end{aligned}$

$$\begin{aligned} ||u_X \subseteq_{\varepsilon} \exists 1|| &= \{t \cdot \pi \mid t \in ||\exists 0 \not\in \exists 1||^{\perp}, \pi \in ||\exists 0 \not\in u_X||\} \\ &= \{t \cdot \pi \mid t \in ||\bot||^{\perp}, \pi \in X\} \\ &= \Pi \to X \end{aligned}$$

which is realized by the identity $\lambda x.x.$

Next, we show that $\Vdash \exists 0 \in c \longrightarrow \exists 1 \subseteq c$ for any name $c \in M^A$. Consider falsity values associated with the formula

$$|| \exists 0 \, \varepsilon \, c \longrightarrow \exists 1 \subseteq c || = \{ t \, \boldsymbol{\cdot} \, u \, \boldsymbol{\cdot} \, \pi \, | \, t \in || \exists 0 \, \varepsilon \, c ||^{\perp}, u \in || \exists 0 \not \in c ||^{\perp}, \pi \in \Pi \}.$$

Let $t \in ||\exists 0 \varepsilon c||^{\perp} = ||(\exists 0 \not\in c) \to \bot||^{\perp}$. For any λ_c -term $u \in ||\exists 0 \not\in c||^{\perp}$, $uWW \in ||\exists 0 \not\in c||^{\perp}$, thus $t(uWW) \in ||\bot||^{\perp}$ for $t \in ||\neg 0 \varepsilon c||^{\perp}$. Then, $\lambda xy.x(yWW) \Vdash \neg 0 \varepsilon c \longrightarrow \neg 1 \subseteq c$, in particular for $c = u_X$.

Observe that for $\pi \in || \exists 0 \notin u_X ||, k_{\pi} \in || \exists 0 \in u_X ||^{\perp}$. Consider now

$$||\forall x(u_X\not\simeq \lnot 1\longrightarrow x\not\in u_X)||=\{t\centerdot\pi\,|\,t\in||(u_X\subseteq \lnot 1\land\lnot 1\subseteq u_X)\longrightarrow \bot||^{\perp\!\!\!\!\perp},\pi\in X\};$$

as just shown, $I \Vdash u_X \subseteq \exists 1$; moreover, from the discussion above, $(\lambda xy.x(yWW))k_{\pi} \in ||\exists 1 \subseteq u_X||^{\perp}$ for any $\pi \in X$, thus $tI(\lambda xy.x(yWW))k_{\pi} \in ||\bot||^{\perp}$. This shows that

$$\lambda x. \mathsf{cc} \lambda k. x I(\lambda x y. x (yWW)) k \Vdash \forall x (u_X \not\simeq \exists 1 \longrightarrow x \not\in u_X)$$

and implies that there exists a realizer for $u_X \not\simeq \neg 1 \longrightarrow \forall x (x \not\in u_X)$.

Lastly, it suffices to show that $\vdash \forall x (\forall y (y \not\in x) \longleftrightarrow x \simeq \neg 0)$. The formula can be reduce to $\forall x (\forall y (y \not\in x))$ $x) \longleftrightarrow x \subseteq \exists 0$).

We first show the left-to-right implication. $||\forall x(\forall y(y \not\in x) \longrightarrow x \subseteq \exists 0)|| = \bigcup_{c \in MA} \{t \cdot \pi \mid t \in ||\forall y(y \not\in x) \cap x \subseteq \exists 0\}||$ |c| |c|

$$\pi = u \boldsymbol{\cdot} \rho \in \bigcup_{d \in M^A} \{ u \boldsymbol{\cdot} \rho \, | \, u \in ||d \not\in \mathsf{IO}||^{\perp}, \pi \in ||d \not\in c|| \}.$$

This is not the case from the non-extensional point of view: for $X \neq \Pi$, $\mathcal{N} \models (u_X \neq \neg 0 \land u_X \neq \neg 1)$. $^6x \subseteq_{\varepsilon} y := \forall z (z \notin y \to z \notin x)$. It is easy to show that $\operatorname{ZF}_{\varepsilon} \vdash \forall x, y (x \subseteq_{\varepsilon} y \to x \subseteq y)$

 $⁷Y := (\lambda x \lambda y.(y)(x)xy)\lambda x \lambda y.(y)(x)xy, W := (Y)\lambda x \lambda y.(y)xx$. It is easy to see that for any $c \in M^A$, $W \Vdash c \subseteq c$, then $\lambda x.xWW \Vdash c \simeq c.$

Since $t \star \rho \in \mathbb{L}$, $\lambda xy.x \Vdash \forall x(\forall y(y \not\in x) \longrightarrow x \subseteq \exists 0)$. We show the left-to-right implication. $||\forall x(x \subseteq \exists 0) \longrightarrow \forall y(y \not\in x))|| = \bigcup_{c \in M^A} \{t \cdot \pi \mid t \in ||c \subseteq \exists 0||^{\perp}, \pi \in ||\forall y(y \not\in c)||\}$. Fix such a falsity value $t \cdot \pi$. $t \in ||\forall y(y \not\in \exists 0) \longrightarrow y \not\in c)||^{\perp}$. It is easy to see that $||d \not\in \exists 0|| = \emptyset$ for any $d \in M^A$, hence any $u \in Q$ realizes $d \not\in \exists 0$, which implies $tu \in ||d \not\in c||^{\perp}$. Without loss of generality, suppose u = I. Then, $tI \in ||\forall y(y \not\in c)||^{\perp}$, which proves $\lambda x.xI \Vdash \forall x(x \subseteq \exists 0 \longrightarrow \forall y(y \not\in x))$.

To conclude, we showed that for any $X \in \Pi$

$$\Vdash u_X \not\simeq \exists 1 \longrightarrow \forall x (x \not\in u_X),$$
$$\Vdash \forall x (x \not\in u_X) \longleftrightarrow u_X \simeq \exists 0,$$

which implies that

$$\Vdash u_X \not\simeq \exists 1 \longrightarrow u_X \simeq \exists 0.$$

2. For any closed formula $F \in \mathcal{F}_{\mathcal{L}}$ with parameters in $M^{\mathcal{A}}$

- 3. Consider $\mathfrak{G} = \{X \in \mathcal{P}(\Pi) \mid \mathcal{N} \models u_X \simeq \mathbb{k}^{-1} 0\}.$
- \mathfrak{G} is upward closed for \leq . Let $X \in \mathfrak{G}, Y \in \mathfrak{S}(\Pi), X \leq Y$. By hypothesis, there exists $u \Vdash \forall x (x \not\in u_X), t \Vdash X \longrightarrow Y$, the latter equivalent to $t \Vdash \forall x (x \not\in u_X) \longrightarrow \forall x (x \not\in u_Y)$. Thus, $(t)u \Vdash \forall x (x \not\in u_Y)$.
- \mathfrak{G} is closed for meets. Fix $X,Y \in \mathfrak{G}$. Then, $||\forall x(x \notin u_{X \wedge Y})|| = || \exists 0 \notin u_{X \wedge Y})|| = X \wedge Y^8$. By hypothesis, there exists $t,u \in \mathbb{Q}$ such that $t \Vdash X, u \Vdash Y$, thus $\lambda x.xtu \Vdash \forall x(x \notin u_{X \wedge Y})$.
- \mathfrak{G} is maximal. Consider $X \in \mathcal{P}(\Pi)$. We show that $\Vdash (u_X \simeq \exists 0 \longrightarrow \bot) \longleftrightarrow u_{X \to \bot} \simeq \exists 0$, which is equivalent to $\Vdash (\forall x (x \not\in u_X) \longrightarrow \bot) \longleftrightarrow \forall x (x \not\in u_{X \to \bot})$. Observe that

$$\begin{aligned} ||\forall x(x \not\in u_X) \longrightarrow \bot|| &= \{t \cdot \pi \mid t \in ||\forall x(x \not\in u_X)||^{\perp}, \pi \in \Pi\} \\ &= \{t \cdot \pi \mid t \in || \exists 0 \not\in u_X||^{\perp}, \pi \in \Pi\} \\ &= \{t \cdot \pi \mid t \in X^{\perp}, \pi \in \Pi\} \\ &= || \exists 0 \not\in u_{X \to \bot}|| \\ &= || \forall x(x \not\in u_{X \to \bot})|| \end{aligned}$$

Thus, $\lambda x.xII \Vdash (\forall x(x \notin u_X) \longrightarrow \bot) \longleftrightarrow \forall x(x \notin u_{X \to \bot}).$

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 $^{^{8}}X \wedge Y \equiv (X \longrightarrow Y \longrightarrow \bot) \longrightarrow \bot$

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