

Lower bounds of P-point ultrafilters

Boriša Kuzeljević

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Joint work with Dilip Raghavan (Singapore) and Jonathan Verner (Prague)

Definition

For a non-empty set X we say that $\mathcal{U} \subseteq \mathcal{P}(X)$ is an *ultrafilter* on X if:

- $\emptyset \notin \mathcal{U}$;
- $a \cap b \in \mathcal{U}$ for every $a, b \in \mathcal{U}$;
- $b \in \mathcal{U}$ whenever there is an $a \in \mathcal{U}$ such that $a \subseteq b$;
- for each $a \subseteq X$, either $a \in \mathcal{U}$ or $X \setminus a \in \mathcal{U}$.

There is a natural topology on the space of all ultrafilters on \mathbb{N} , and with this topology it is usually denoted $\beta\mathbb{N}$.

As it turns out, $\beta\mathbb{N}$ coincides with the Čech-Stone compactification of a discrete countable space \mathbb{N} .

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$$a \in \mathcal{U} \Leftrightarrow n \in a.$$

The space of all non-principal ultrafilters on \mathbb{N} is denoted \mathbb{N}^* . Hence

$$\mathbb{N}^* = \beta\mathbb{N} \setminus \mathbb{N}.$$

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Investigation whether all non-principal ultrafilters look alike is responsible for a significant amount of work since the mid-twentieth century.

One way to formalize this vague question is whether for any two non-principal ultrafilters on \mathbb{N} , say \mathcal{U} and \mathcal{V} , there is a homeomorphism of the space \mathbb{N}^* which maps \mathcal{U} to \mathcal{V} ?

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Another way to ask this question is whether there is a bijection $f : \mathbb{N} \rightarrow \mathbb{N}$ such that $a \in \mathcal{V} \Leftrightarrow f[a] \in \mathcal{U}$?

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Definition (Gillman-Henriksen, 1954)

For a topological space X , we say that $x \in X$ is a *P-point* if the only prime ideal of $C(X, \mathbb{R})$ at x is the maximal ideal M_x .

Note that this is equivalent to the fact that intersection of any countably many neighborhoods of x is a neighborhood of x .

Again, in the space $\beta\mathbb{N}$, this is equivalent to saying that an ultrafilter \mathcal{U} is a P-point iff for any collection $\{a_n : n \in \mathbb{N}\} \subseteq \mathcal{U}$ there is an $a \in \mathcal{U}$ such that $a \setminus a_n$ is finite for all $n \in \mathbb{N}$.

Typically, one would write $a \subseteq^* a_n$ instead of saying that $a \setminus a_n$ is finite.

Another equivalent condition for an ultrafilter \mathcal{U} to be a P-point is that for every function $f : \mathbb{N} \rightarrow \mathbb{N}$ either f is finite-to-one on an element of \mathcal{U} or f is constant on an element of \mathcal{U} .

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Theorem (W. Rudin, 1956)

Assume CH. Then there is a P-point ultrafilter in $\beta\mathbb{N}$. Thus \mathbb{N}^ is not a homogeneous space.*

Theorem (Shelah, 1970s)

There is a model of ZFC with no P-point ultrafilters.

$\text{MA}(\sigma\text{-centered})$ ensures the existence of $2^{\mathfrak{c}}$ many P-points. Note that

$$\text{CH} \Rightarrow \text{MA} \Rightarrow \text{MA}(\sigma\text{-centered}).$$

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Let \mathcal{U} and \mathcal{V} be ultrafilters on \mathbb{N} . We say that \mathcal{U} is *Rudin-Keisler reducible* to \mathcal{V} if there is a function $f : \mathbb{N} \rightarrow \mathbb{N}$ such that for every $a \subseteq \mathbb{N}$:

$$a \in \mathcal{U} \Leftrightarrow f^{-1}[a] \in \mathcal{V}.$$

We also say that \mathcal{U} is Rudin-Keisler below \mathcal{V} and write $\mathcal{U} \leq_{RK} \mathcal{V}$.

Note that this is equivalent to the condition that $f[a] \in \mathcal{U}$ for each $a \in \mathcal{V}$. This motivates the notation $f(\mathcal{V}) = \mathcal{U}$ which is sometimes used.

Observation

For ultrafilters \mathcal{U} and \mathcal{V} there is a bijection $f : \mathbb{N} \rightarrow \mathbb{N}$ such that $a \in \mathcal{U} \Leftrightarrow f^{-1}[a] \in \mathcal{V}$ if and only if $\mathcal{U} \leq_{RK} \mathcal{V}$ and $\mathcal{V} \leq_{RK} \mathcal{U}$.

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The analysis of a variant of Rudin-Keisler ordering on ultrafilters led to the proof that (in ZFC) ω^* is not homogeneous.

Theorem (Kunen, 1970)

There are ultrafilters \mathcal{U} and \mathcal{V} on \mathbb{N} such that $\mathcal{U} \not\leq_{RK} \mathcal{V}$ and $\mathcal{V} \not\leq_{RK} \mathcal{U}$.

Note that if \mathcal{V} is a P-point and $\mathcal{U} \leq_{RK} \mathcal{V}$, then \mathcal{U} is also a P-point.

Note that no ultrafilter can have more than \mathfrak{c} many RK predecessors (since there are only \mathfrak{c} many functions from \mathbb{N} to \mathbb{N}).

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An ultrafilter \mathcal{U} is *selective* (Ramsey) iff for every function $f : \mathbb{N} \rightarrow \mathbb{N}$, either f is 1-1 on an element of \mathcal{U} or f is constant on an element of \mathcal{U} .

Theorem (Blass, 1970)

*An ultrafilter \mathcal{U} on \mathbb{N} is selective iff it is minimal in the RK ordering.
(i.e. \mathcal{U} is selective iff for any non-principal \mathcal{V} : $\mathcal{V} \leq_{RK} \mathcal{U} \Rightarrow \mathcal{U} \leq_{RK} \mathcal{V}$).*

Note that Kunen showed in the early 1970s that there are no selective ultrafilters in the random real model.

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Under CH, there are $2^{\mathfrak{c}}$ pairwise RK incomparable selective ultrafilters.

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Theorem (Keisler, early 1970s)

Under CH, there are 2^c pairwise RK incomparable selective ultrafilters.

Conjecture

Assume $\text{MA}(\sigma - \text{centered})$. Let \mathbb{P} be a partial order of size at most $2^{\mathfrak{c}}$ where every element has at most \mathfrak{c} many predecessors. Then \mathbb{P} embeds into the set of P -points under the RK ordering (and under the Tukey ordering as well).

Theorem (Blass, 1973)

Both ω_1 and $(\mathbb{R}, <)$ embed into the set of P -points under the RK ordering.

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If a countable set $\{\mathcal{U}_n : n \in \mathbb{N}\}$ of P -points has an upper bound which is a P -point, then there is an ultrafilter \mathcal{U} such that $\mathcal{U} \leq_{RK} \mathcal{U}_n$ for each $n \in \mathbb{N}$.

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Theorem (Rosen, 1985)

Ordinal ω_1 embeds into the set of P-points under the RK ordering as an initial segment, i.e. there is a set of P-points $\{\mathcal{U}_\alpha : \alpha < \omega_1\}$ such that

- *$\mathcal{U}_\alpha <_{RK} \mathcal{U}_\beta$ for all $\alpha < \beta < \omega_1$ and*
- *for any ultrafilter \mathcal{U} , if there is $\alpha < \omega_1$ such that $\mathcal{U} \leq_{RK} \mathcal{U}_\alpha$, then there is some $\gamma < \omega_1$ such that $\mathcal{U}_\gamma \equiv_{RK} \mathcal{U}$.*

Theorem (Laflamme, 1989)

For each $1 \leq \alpha < \omega_1$, there is an ultrafilter \mathcal{U}_α , generic for a partial order \mathbb{P}_α with the following properties:

- *\mathcal{U}_α is a rapid P-point ultrafilter.*
- *There is a sequence $\langle \mathcal{V}_\gamma : \gamma < \alpha + 1 \rangle$ of P-points such that $\mathcal{V}_0 = \mathcal{U}_\alpha$, that $\mathcal{V}_\gamma <_{RK} \mathcal{V}_\beta$ for all $\beta < \gamma < \alpha + 1$, and that for any \mathcal{U} with $\mathcal{U} \leq_{RK} \mathcal{U}_\alpha$ there is $\gamma < \alpha + 1$ such that $\mathcal{U} \equiv_{RK} \mathcal{V}_\gamma$.*

Theorem (Raghavan-Shelah, 2014)

Assume $\text{MA}(\sigma - \text{centered})$. Then $(P(\mathbb{N})/\text{Fin}, \subseteq^)$ embeds into the set of P -points under the RK ordering (and under the Tukey ordering as well).*

In particular, this implies that every poset of size at most \mathfrak{c} embeds.

Theorem (K-Raghavan, 2018)

Assume CH. Then \mathfrak{c}^+ embeds into the set of P -points under the RK ordering (and under the Tukey ordering as well).

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Theorem (Raghavan-Shelah, 2014)

Assume $\text{MA}(\sigma - \text{centered})$. Then $(P(\mathbb{N})/\text{Fin}, \subseteq^)$ embeds into the set of P -points under the RK ordering (and under the Tukey ordering as well).*

In particular, this implies that every poset of size at most \mathfrak{c} embeds.

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Assume CH. Then \mathfrak{c}^+ embeds into the set of P -points under the RK ordering (and under the Tukey ordering as well).

The language L consists of symbols for all relations and all functions on \mathbb{N} .

\mathcal{N} is the standard model for this language.

\mathcal{M} is an elementary extension of \mathcal{N} .

Note that if $a \in \mathcal{M}$, then the set $\{^*f(a) : f \in \mathbb{N}^{\mathbb{N}}\}$ is the domain of an elementary submodel of \mathcal{M} . Submodels like this are called *principal*.

Then a principal submodel generated by a is isomorphic to the ultrapower of the standard model by the ultrafilter $\mathcal{U}_a = \{b \subseteq \mathbb{N} : a \in ^*b\}$, i.e.

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For $A, B \subseteq \mathcal{M}$, we say that they are *cofinal with each other* iff

$$(\forall a \in A)(\exists b \in B) a \leq^* b \text{ and } (\forall b \in B)(\exists a \in A) b \leq^* a.$$

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There is a reformulation of being a P-point in model theoretic terms.

Lemma

An ultrafilter \mathcal{U} on \mathbb{N} is a P-point if and only if every nonstandard elementary submodel of $\mathcal{N}^{\mathbb{N}}/\mathcal{U}$ is cofinal with $\mathcal{N}^{\mathbb{N}}/\mathcal{U}$.

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For ultrafilters \mathcal{U} and \mathcal{V} on \mathbb{N} :

$\mathcal{U} \leq_{RK} \mathcal{V}$ if and only if $\mathcal{N}^{\mathbb{N}}/\mathcal{U}$ can be elementary embedded in $\mathcal{N}^{\mathbb{N}}/\mathcal{V}$.

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Theorem (Blass, 1973)

If a countable set $\{\mathcal{U}_n : n \in \mathbb{N}\}$ of P -points has an upper bound which is a P -point, then there is an ultrafilter \mathcal{U} such that $\mathcal{U} \leq_{RK} \mathcal{U}_n$ for each $n \in \mathbb{N}$.

This theorem has two immediate consequences.

Corollary

Any RK -decreasing 'sequence' of P -points has an RK -lower bound.

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If two P -points have an upper bound, then they also have a lower bound.

The latter may be viewed as a witness to the fact that, under MA for example, the RK ordering of P -points is not upwards directed.

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Definition

An ultrafilter \mathcal{U} on \mathbb{N} is a $P_{\mathfrak{c}}$ -point if for any $\alpha < \mathfrak{c}$ and any collection $\{a_i : i < \alpha\} \subseteq \mathcal{U}$ there is some $a \in \mathcal{U}$ such that $a \subseteq^* a_i$ for each $i < \alpha$.

Lemma

Let $\alpha < \mathfrak{c}$ and $\{\mathcal{M}_i : i < \alpha\}$ be a collection of submodels of \mathcal{M} such that:

- each \mathcal{M}_i is generated by a_i ,
- $\mathcal{M}_j \subseteq \mathcal{M}_i$ whenever $i < j < \alpha$,
- each \mathcal{M}_i is cofinal with \mathcal{M}_0 .

Suppose moreover that $\mathcal{U}_0 = \{b \subseteq \mathbb{N} : a_0 \in {}^*b\}$ is a $P_{\mathfrak{c}}$ -point.

Then there is a family $\{f_i : i < \alpha\} \subseteq \mathbb{N}^{\mathbb{N}}$ of finite-to-one maps such that:

- ${}^*f_i(a_0) = a_i$ for $i < \alpha$,
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Definition

Let α be an ordinal, let $\mathcal{F} = \{f_i : i < \alpha\} \subseteq \mathbb{N}^{\mathbb{N}}$ be a family of functions, and let A be a subset of α . We say that a set $d \subseteq \mathbb{N}$ is (A, \mathcal{F}) -closed if $f_i^{-1}[f_i[d]] \subseteq d$ for each $i \in A$.

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Let $\alpha < \mathfrak{c}$ and let $\mathcal{F} = \{f_i : i < \alpha\} \subseteq \mathbb{N}^{\mathbb{N}}$ be a family of finite-to-one maps. Suppose that for each $i < j < \alpha$ there is $k \in \mathbb{N}$ such that $f_j(n) = f_j(m)$ whenever $f_i(n) = f_i(m)$ and $n, m \geq k$. Then for each finite $A \subseteq \alpha$ and each $w \in \mathbb{N}$, there is a finite (A, \mathcal{F}) -closed set $d \subseteq \mathbb{N}$ such that $w \in d$.

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Lemma

Assume MA_α . Let $\mathcal{F} = \{f_i : i < \alpha\} \subseteq \mathbb{N}^\mathbb{N}$ be a family of finite-to-one functions. Suppose that for each non-empty finite set $A \subseteq \alpha$, and each $w \in \mathbb{N}$, there is a finite (A, \mathcal{F}) -closed set $d \subseteq \mathbb{N}$ containing w as an element. Then there is a finite-to-one function $h \in \mathbb{N}^\mathbb{N}$, and a collection $\{e_i : i < \alpha\} \subseteq \mathbb{N}^\mathbb{N}$ such that for each $i < \alpha$, there is $k \in \mathbb{N}$ such that $h(n) = e_i(f_i(n))$ whenever $n \geq k$.

Theorem (K-Raghavan-Verner 2023)

Assume MA_α . Let \mathcal{M}_i ($i < \alpha$) be a collection of pairwise cofinal submodels of \mathcal{M} . Suppose that \mathcal{M}_0 is principal, and that $\mathcal{U}_0 = \{b \subseteq \mathbb{N} : a_0 \in {}^*b\}$ is a P_c -point, where a_0 generates \mathcal{M}_0 . Then there is an element $c \in \bigcap_{i < \alpha} \mathcal{M}_i$ which generates a principal model cofinal with all \mathcal{M}_i .

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Assume MA . If a collection of fewer than \mathfrak{c} many $P_\mathfrak{c}$ -points has an upper bound which is a $P_\mathfrak{c}$ -point, then it has a lower bound.

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