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- REFLECTION PRINCIPLES AND LARGE
- 5 CARDINALS
- Bakalářská práce

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- $_{10}\,\,$ Prohlašuj, že jsem bakalářkou práci vypracoval samostatně a že jsem uvedl
- všechny použité prameny a literaturu.
- 12 V Praze 14. dubna 2015

13 Mikuláš Mrva

14 Abstract

Práce zkoumá vztah tzv. principů reflexe a velkých kardinálů. Lévy ukázal, že v ZFC platí tzv. věta o reflexi a dokonce, že věta o reflexi je ekvivalentní schématu nahrazení a axiomu nekonečna nad teorií ZFC bez axiomu nekonečna a schématu nahrazení. Tedy lze na větu o reflexi pohlížet jako na svého druhu axiom nekonečna. Práce zkoumá do jaké míry a jakým způsobem lze větu o reflexi zobecnit a jaký to má vliv na existenci tzv. velkých kardinálů. Práce definuje nedosažitelné, Mahlovy a nepopsatelné kardinály a ukáže, jak je lze zavést pomocí reflexe. Přirozenou limitou kardinálů získaných reflexí jsou kardinály nekonzistentní s L. Práce nabídne intuitivní zdůvodněn, proč tomu tak je.

26 Abstract

This thesis aims to examine relations between so called "Reflection Principles" and Large cardinals. Lévy has shown that Reflection Theorem is a sound theorem of ZFC and it is equivalent to Replacement Scheme and the Axiom of Infinity. From this point of view, Reflection theorem can be seen a specific version of an Axiom of Infinity. This paper aims to examine the Reflection Principle and it's generalisations with respect to existence of Large Cardinals. This thesis will establish Inaccessible, Mahlo and Indescribable cardinals and their definition via reflection. A natural limit of Large Cardinals obtained via reflection are cardinals inconsistent with L. The thesis will offer an intuitive explanation of why this is the case.

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$_{\scriptscriptstyle \mathrm{51}}$ 1 Introduction

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1.1 Motivation and Origin

The Universe of sets cannot be uniquely characterized (i. e. distinguished from all its initial elements) by any internal structural property of the membership relation in it, which is expressible in any logic of finite of transfinite type, including infinitary logics of any cardinal order.

— Kurt Gödel [9]

To understand why do need reflection in the first place, let's think about infinity for a moment. In the intuitive sense, infinity is an upper limit of all numbers. But for centuries, this was merely a philosophical concept, closely 70 bound to religious and metaphysical way of thinking, considered separate 71 from numbers used for calculations or geometry. It was a rather vague con-72 cept. In ancient Greece, Aristotle's response to famous Zeno's paradoxes 73 introduced the distinction between actual and potential infinity. He argued, 74 that potential infinity is (in today's words) well defined, as opposed to actual infinity, which remained a vague incoherent concept. He didn't think it's pos-76 sible for infinity to inhabit a bounded place in space or time, rejecting Zeno's 77 thought experiments as a whole. Aristotle's thoughts shaped western think-78 ing partly due to Aquinas, who himself believed actual infinity to be more 79 of a metaphysical concept for describing God than a mathematical property 80 attributed to any other entity. In his Summa Theologica ¹ he argues: 81

> A geometrician does not need to assume a line actually infinite, but takes some actually finite line, from which he subtracts whatever he finds necessary; which line he calls infinite.

Less than hundred years later, Gregory of Rimini wrote

If God can endlessly add a cubic foot to a stone—which He can—then He can create an infinitely big stone. For He need only add one cubic foot at some time, another half an hour later, another a quarter of an hour later than that, and so on ad infinitum. He would then have before Him an infinite stone at the end of the hour.

Which is basically a Zeno's Paradox made plausible with God being the actor.
In contrast to Aquinas' position, Gregory of Rimini theoretically constructs
an object with actual infinite magnitude that is essentially different from
God.

¹Part I, Question 7, Article 3, Reply to Objection 1

Even later, in the 17th century, pushing the property of infinitness from the Creator to his creation, Nature, Leibniz wrote to Foucher in 1962:

I am so in favor of the actual infinite that instead of admitting that Nature abhors it, as is commonly said, I hold that Nature makes frequent use of it everywhere, in order to show more effectively the perfections of its Author. Thus I believe that there is no part of matter which is not, I do not say divisible, but actually divided; and consequently the least particle ought to be considered as a world full of an infinity of different creatures.

But even though he used potential infinity in what would become foundations of modern Calculus and argued for actual infinity in Nature, Leibniz refused the existence of an infinite, thinking that Galileo's Paradoxon² is in fact a contradiction. The so called Galileo's Paradoxon is an observation Galileo Galilei made in his final book "Discourses and Mathematical Demonstrations Relating to Two New Sciences". He states that if all numbers are either squares and non–squares, there seem to be less squares than there is all numbers. On the other hand, every number can be squared and every square has it's square root. Therefore, there seem to be as many squares as there are all numbers. Galileo concludes, that the idea of comparing sizes makes sense only in the finite realm.

Salviati: So far as I see we can only infer that the totality of all numbers is infinite, that the number of squares is infinite, and that the number of their roots is infinite; neither is the number of squares less than the totality of all the numbers, nor the latter greater than the former; and finally the attributes "equal," "greater," and "less," are not applicable to infinite, but only to finite, quantities. When therefore Simplicio introduces several lines of different lengths and asks me how it is possible that the longer ones do not contain more points than the shorter, I answer him that one line does not contain more or less or just as many points as another, but that each line contains an infinite number.

Leibniz insists in part being smaller than the whole saying

Among numbers there are infinite roots, infinite squares, infinite cubes. Moreover, there are as many roots as numbers. And there are as many squares as roots. Therefore there are as many squares

²zneni galileova paradoxu

as numbers, that is to say, there are as many square numbers as there are numbers in the universe. Which is impossible. Hence it follows either that in the infinite the whole is not greater than the part, which is the opinion of Galileo and Gregory of St. Vincent, and which I cannot accept; or that infinity itself is nothing, i.e. that it is not one and not a whole.

TODO nejakej Hegel-strucne?

TODO Cantor

TODO mene teologie, vice matematiky

TODO definovat pojmy (trida etc)

TODO neni V v nejakem smyslu porad potencialni nekonecno, zatimco mnoziny vetsi nez omega jsou aktualni? nebo jsou potencialni protoze se staveji pres indukci, od spoda.

In his work, he defined transfinite numbers to extend existing natural number structure so it contains more objects that behave like natural numbers and are based on an object (rather a meta-object) that doesn't explicitly exist in the structure, but is closely related to it. This is the first instance of reflection. This paper will focus on taking this principle a step further, extending Cantor's (or Zermelo–Fraenkel's, to be more precise) universe so it includes objects so big, they could be considered the universe itself, in a certain sense.

TODO dal asi smazat

The original idea behind reflection principles probably comes from what could be informally called "universality of the universe". The effort to precisely describe the universe of sets was natural and could be regarded as one of the impulses for formalization of naive set theory. If we try to express the universe as a set $\{x|x=x\}$, a paradox appears, because either our set is contained in itself and therefore is contained in a set (itself again), which contradicts the intuitive notion of a universe that contains everything but is not contained itself.

TODO ???

If there is an object containing all sets, it must not be a set itself. The notion of class seems inevitable. Either directly the ways for example the Bernays–Gödel set theory, we will also discuss later in this paper, does in, or on a meta–level like the Zermelo–Fraenkel set theory, that doesn't refer to them in the axioms but often works with the notion of a universal class. duet Another obstacle of constructing a set of all sets comes from Georg Cantor, who proved that the set of all subsets of a set (let A be the set and $\mathcal{P}(()A)$ its powerset) is strictly larger that A. That would turn every aspiration to

finally establish an universal set into a contradictory infinite regression.³. We will use V to denote the class of all sets. From previous thoughts we can easily argue, that it is impossible to construct a property that holds for V and no set and is neither paradoxical like $\{x|x=x\}$ nor trivial. Previous observation can be transposed to a rather naive formulation of the reflection principle:

Reflection Any property which holds in V already holds in some initial segment of V.

To avoid vagueness of the term "property", we could informally reformulate the above statement into a schema:

For every first-order formula⁴ φ holds in $V \leftrightarrow \varphi$ holds in some initial segment of V.

Interested reader should note that this is a theorem scheme rather than a single theorem. ⁵

1.2 A few historical remarks on reflection

Reflection made it's first in set-theoretical appearance in Gödel's proof of GCH in L (citace Kanamori? Lévy and set theory), but it was around even earlier as a concept. Gödel himself regarded it as very close to Russel's reducibility axiom (an earlier equivalent of the axiom schema of Zermelo's separation). Richard Montague then studied reflection properties as a tool for verifying that Replacement is not finitely axiomatizable (citace?). a few years later Lévy proved in [2] the equivalence of reflection with Axiom of infinity together with Replacement in proof we shall examine closely in chaper 2.

TODO co dal? recent results?

³An intuitive analogy of this reductio ad infinitum is the status of ω , which was originally thought to be an unreachable absolute, only to become starting point of Cantor's hierarchy of sets growing beyond all boundaries around the end of the 19^{th} century

⁴this also works for finite sets of formulas [3, p. 168]

 $^{^5}$ If there were a single theorem stating "for any formula φ that holds in V there is an initial segment of V where φ also holds", we would obtain the following contradiction with the second Gödel's theorem: In ZFC, any finite group of axioms of ZFC holds in some initial segment of the universe. If we take the largest of those initial segments it is still strictly smaller than the universe and thus we have, via compactness, constructed a model of ZFC within ZFC. That is, of course a harsh contradiction. This also leads to an elegant way to prove that ZFC is not finitely axiomatizable.

199 1.3 Notation (??) TODO

- 200 1. Reflection je obecne reflexe (jaka presne)
- 201 2. $Reflection_1$ je reflexe prvoradovych formuli
- $3.\ Reflection_2$ je reflexe druhoradovych formuli
- 4. etc...

2 Levy's first-order reflection

2.1 Introduction

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This section will try to present Lévy's proof of a general reflection principle being equivalent to Replacement and Infinity under ZF minus Replacement and Infinity. We will first introduce a few axioms and definitions that were a different in Lévy's paper[2], but are equivalent to today's terms. We will write them in contemporary notation, our aim is the result, not history of set theory notation.

Please note that Lévy's paper was written in a period when Set theory was oriented towards semantics, which means that everything was done in a model. All proofs were theodel that of ZFC was V_{α} (notated as $R(\alpha)$ at the time) for some cardinal α , which means that α is a inaccessible cadinal. Please bear in mind that this is vastly different from saying that there is an inaccessible α inside the model. This V_{α} is also referred to as $Scm^{\mathbb{Q}}(u)$, which means that u ($u = V_{\alpha}$ in our case) is a standard complete model of an undisclosed axiomatic set theory Q formulated in the "non-simple applied first order functional calculus", which is second-order theory is today's terminology, we are allowed to quantify over functions and thus get rid of axiom schemes. (Note that Lévy always speaks of "the axiom of replacement"). Besides placeholder set theory Q and ZF, which the reader should be familiar with, theories Z, S, and SF are used in the text. Z is ZF minus replacement, S is ZF minus replacement and infinity, and finally SF is ZF minus infinity. "The axiom of subsets" is an older name for the axiom scheme of specification (and it's not a scheme since we are now working in second order logic). Also note that universal quantifier does not appear, $\forall x \varphi(x)$ would be written as $(x)\varphi(x)$, the symbol for negation is " \sim ".

2.2 Lévy's Original Paper

The following are a few definitions that are used in Lévy's original article. ⁶

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Definition 2.1 Relativization
TODO (jech:161)
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Next two definitions are not used in contemporary set theory, but they illustrate 1960's set theory mind-set and they are used heavily in Lévy's text,

⁶While some of them won't be of much use in this paper, they will provide extremely helpful when reading the original article as set theory notation and terminology has evolved in the last 50 years considerably.

so we will include and explain them for clarity. Generally in this chapter, Q stands for an undisclosed axiomatic set theory, u is usually a model, counterpart of today's V^7 , e is a relation that serves as \in in the given model.

TODO je to relativizovany, jak rika shepherdson?

240 **Definition 2.2** Standard model of a set theory

We say the u is a standard model of Q with a membership relation e, written as $Sm^{Q}(u)$, if both of the following hold

- $(i) (x,y) \in e \leftrightarrow y \in u \& x \in y$
- $(ii) y \in u \& x \in y \to x \in u$

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Definition 2.3 Standard complete model of a set theory

We say that that u is a standard complete model of a set theory Q with a membership relation e if:

- (i) u is a transitive set with respect to \in
- 249 (ii) $\forall e((x,y) \in e \leftrightarrow (y \in u \& x \in y) \& Sm^{\mathbb{Q}}(u,e))$

this is written as $Scm^{\mathbb{Q}}(u)$.

TODO what is "simple first-order functional calculus" a "non-simple first-order functional calculus"? Levyho ucebnice?

Definition 2.4 Cardinal inaccessible with respect to Q

$$In^{\mathbf{Q}}(\alpha) = Scm^{\mathbf{Q}}(V_{\alpha}) \tag{2.1}$$

TODO tohle je lepsi protoze nepotrebujes AC

Definition 2.5 Strictly increasing function

A function $F(\alpha)$ defined on the ordinal number into the ordinal numbers is said to be strictly increasing if $\forall \alpha, \beta \in On(\alpha < \beta \rightarrow F(\alpha) < F(\beta))$.

260 **Definition 2.6** Continuous function

A function $F(\alpha)$ defined on the ordinal number into the ordinal numbers is said to be continuous if for any limit α , $F(\alpha) = \lim_{\beta < \alpha} F(\beta)$.

263 **Definition 2.7** Normal function

A function $F(\alpha)$ defined on the ordinal number into the ordinal numbers is said to be normal if it is strictly increasing and continuous

⁷Which is of course not referred to as a model, but it is used in a similar fashion, in this case the term "model" was a metamathematical notion because it was not based on any underlying structure of theory. It can be easily formalized in any set theory, but it's not helpful for our case.

TODO jak znacim usporadane dvojice?

TODO porovnani Mahlovy a Lévyho konstrukce, viz ref{mahlovy kardinaly}

TODO asi doplnit jak to souvisi se soucasnou definici slabe Mahlovych kardinalu pres stacionarni mnoziny?

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Lévy's article mentions various schemata that are not instances of reflection themselves. We will mention them because they are equivalent to N_0 and because they are fixed-point theorems, which we will find useful later in this thesis.

Definition 2.8 M Every normal function defined for all ordinals has at least one inaccessible number in its range.

Definition 2.9 M' Every normal function defined for all ordinals has at least one fixed point which is inaccessible.

Definition 2.10 M" Every normal function defined for all ordinals has arbitrarily great fixed points which are inaccessible.

Theorem 2.11

$$M \leftrightarrow M' \leftrightarrow M''$$
 (2.2)

We will omit this proof because it is not essential for our goal. An interested reader will find it in [2,].

TODO z M se pak odvodi Mahlovska hierarchie?

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The following is a principle of complete reflection over ZF.

Definition 2.12 $N(\varphi)$

$$\exists u(Scm^{\mathsf{ZF}}(u) \& \forall x_1, \dots, x_n(x_1, \dots, x_n \in u \to \varphi \leftrightarrow \varphi^u))$$
 (2.3)

where φ is a formula which does not contain free variables except x_1, \ldots, x_n .

Note that this by (2.4) equivalent to $\exists u(In^{\mathsf{ZF}}(u) \& \forall x_1, \ldots, x_n(x_1, \ldots, x_n \in u \to \varphi \leftrightarrow \varphi^u))$, where $In(\alpha)$ is equivalent to the standard notion of inaccessibility.

Theorem 2.13

$$M \leftrightarrow N$$
 (2.4)

292 Proof. TODO (Theorem 3)? neudelam ho spis v dalsi sekci v modernejsi variante? □

$_{\mathsf{P4}} \;\; \mathbf{2.3} \;\;\; \mathsf{S} \models \pmb{Reflection} \; \leftrightarrow \; (\pmb{Replacement} \; \& \; \pmb{Infinity})$

⁹⁵ **Definition 2.14** $N_0(\varphi)$

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$$\exists u(Scm^{\mathsf{S}}(u) \& \forall x_1, \dots, x_n(x_1, \dots, x_n \in u \to \varphi \leftrightarrow \varphi^u))$$
 (2.5)

where φ is a formula which does not contain free variables except x_1, \ldots, x_n .

Note that the only difference between N and N_0 is the set theory used.

Theorem 2.15 In S, the schema N_0 implies the Axiom of Infinity.

Proof. For any φ , N_0 gives us $\exists uScm^{\mathsf{S}}(u)$, which means that there is a set u299 that is identical to V_{α} for some alpha, so $\exists \alpha Scm^{\mathsf{S}}(V_{\alpha})$. We don't know the 300 exact size of this α , but we know that $\alpha \geq \omega$, otherwise α would be finite, 301 therefore not closed under the powerset operation, which would contradict 302 the axiom of powersets. In order to prove that it is a model of S, we would 303 need to verify all axioms of S. We have already shown that ω is closed under 304 the powerset operation. Foundation, extensionality and comprehension are 305 clear from the fact that we work in ZF^8 , pairing is clear from the fact, that 306 given two sets A, B, they have ranks a, b, without loss of generality we can 307 assume that $a \leq b$, which means that $A \in V_a \in V_b$, therefore V_b is a set that 308 satisfies the paring axiom: it contains both A and B. 309

TODO vyhodit axiomy, staci vyrobit ω

We now want to prove that V_{α} leads to existence of an inductive set, which is a set that satisfies $\exists A(\emptyset \in A \& \forall x \in A ((x \cup \{x\}) \in A))$. If we can find a way to construct V_{ω} from any V_{α} satisfying $\alpha \geq \omega$, we are done. Since ω is the least limit ordinal, all we need is the following

$$\bigcap \{ V_{\kappa} \mid \forall \lambda (\lambda < \kappa \to \exists \mu (\lambda < \mu < \kappa)) \}$$
 (2.6)

because V_{κ} is a transitive set for every κ , thus the intersection is non-empty unless empty set satisfies the property or the set of V_{κ} s is itself empty. \square

Theorem 2.16 In S, the schema N_0 implies Replacement schema.

Proof. TODO vysvetlit! (podle contemporary verze)

⁸We only need to verify axioms that provide means of constructing larger sets from smaller to make sure they don't exceed ω . Since ω is an initial segment of ZF, the axiom scheme of specification can't be broken, the same holds for foundation and extensionality.

Let $\varphi(v, w)$ be a formula wth no free variables except v, w, x_1, \ldots, x_n where n is any natural number. Let χ be an instance of replacement schema for this φ :

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\chi = \forall r, s, t(\varphi(r, s) \& \varphi(r, t) \to s = t) \to \forall x \exists y \forall w (w \in y \leftrightarrow \exists v (v \in x \& \varphi(v, w))) 
(2.7)
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We can deduce the following from N_0 :

- (i) $x_1, \ldots, x_n, v, w \in u \to (\varphi \leftrightarrow \varphi^u)$
- (ii) $x_1, \ldots, x_n, v \in u \to (\exists w \varphi \leftrightarrow (\exists w \varphi)^u)$
 - (iii) $x_1, \ldots, x_n, x \in u \to (\chi \leftrightarrow \chi^u)$

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(iv) $\forall x_1, \dots, x_n \forall x (\chi \leftrightarrow (\forall x_1, \dots, x_n \forall x \chi)^u)$

Note that (i), (ii), (iii) are obtained from instances of N_0 for φ , $\exists w\varphi$ and χ respectively. From relativization we also know that $(\exists w\varphi)^u$ is equivalent to $\exists w(w \in u\&\varphi^u)$. Therefore (ii) is equivalent to $x_1,\ldots,x_n,v\in u\to (\exists w(w\in u\&\varphi^u))$.

TODO btw co je x? nemela by tam tam byt nejaka volna promenna?

TODO shrnout zbytek clanku, fixed-point vety a spol

TODO S-¿ZM-¿ZM'-¿ZM", neco jako mahlovy kardinaly

2.4 Contemporary restatement

TODO nejaky uvod.

TODO Levy rika ze existuje $Scm^S(u)$ reflektujici varphi, coz uz nepotrebujeme. atd.

TODO Ze prvoradova reflexe je theorem ZFC, vys uz max jako axiom/schema.

TODO?

The following lemma is usually done in more parts, the first being with one formula and the other with n. We will only state and prove the generalised version for n formulas, knowing that n=1 is just a specific case and the proof is exactly the same.

⁹axiom of subsets in Levy's version

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Lemma 2.17 Lemma Let $\varphi_1, \ldots, \varphi_n$ be any formulas with m parameters¹⁰.

(i) For each set M_0 there is such M that $M_0 \subset M$ and the following holds for every i < n:

$$\exists x \varphi_i(u_1, \dots, u_{m-1}, x) \to (\exists x \in M) \varphi_i(u_1, \dots, u_{m-1}, x)$$
 (2.8)

for every $u_1, \ldots, u_{m-1} \in M$.

(ii) Furthermore there is an ordinal α such that $M_0 \subset V_\alpha$ and the following holds for each i < n:

$$\exists x \varphi_i(u_1, \dots, u_{m-1}, x) \to (\exists x \in V_\alpha) \varphi_i(u_1, \dots, u_{m-1}, x)$$
 (2.9)

for every $u_1, \ldots, u_{m-1} \in M$.

Proof. We will simultaneously prove statements (i) and (ii), denoting M^T the transitive set required by part (ii). Unless explicitly stated otherwise for specific steps, it is thought to be equivalent to M.

Let us first define operation $H(u_1, \ldots, u_{m-1})$ that gives us the set of x's with minimal rank satisfying $\varphi_i(u_1, \ldots, u_{m-1}, x)$ for given parameters u_1, \ldots, u_{m-1} for every $i \leq n$.

$$H_i(u_1, \dots, u_n) = \{ x \in C_i : (\forall z \in C)(rank(x) \le rank(z)) \}$$
 (2.10)

for each $i \leq n$, where

$$C_i = \{x : \varphi_i(u_1, \dots, u_{m-1}, x)\} \text{ for } i \le n$$
 (2.11)

Next, let's construct M from given M_0 by induction.

$$M_{i+1} = M_i \cup \bigcup_{j=0}^n \bigcup \{H_j(u_1, \dots, u_{m-1}) : u_1, \dots, u_{m-1} \in M_i\}$$
 (2.12)

In other words, in each step we add the elements satisfying $\varphi(u_1, \ldots, u_{m-1}, x)$ for all parameters that were either available earlier or were added in the previous step. For statement (ii), this is the only part that differs from (i).

¹⁰For formulas with different number of parameters take for m the highest number of parameters among given formulas. Add spare parameters to the other formulas so that x remains the last parameter. That can be done in a following manner: Let φ'_i be the a formula with k parameters, k < m. Let us set $\varphi_i(u_1, \ldots, u_{m-1}, x) = \varphi'_i(u_1, \ldots, u_{k-1}, u_k, \ldots, u_{m-1}, x)$, notice that u_k, \ldots, u_{m-1} are spare variables added just for formal simplicity.

Let us take for each step transitive closure of M_{i+1} from (i). In other words, let γ be the smallest ordinal such that

$$(M_i^T \cup \bigcup_{j=0}^n \{ \bigcup \{ H_j(u_1, \dots, u_{m-1}) : u_1, \dots, u_{m-1} \in M_i \} \}) \subset V_\gamma$$
 (2.13)

Then the incremetal step is like so:

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$$M_{i+1}^T = V_{\gamma} \tag{2.14}$$

The final M is obtained by joining all incremental steps together.

$$M = \bigcup_{i=0}^{\infty} M_i, \ M^T = \bigcup_{i=0}^{\infty} M_i^T$$
 (2.15)

Let's try to construct a set M' that satisfies the same conditions like 379 M but is kept as small as possible. Assuming the Axiom of Choice, we can modify the process so that cardinality of M' is at most $|M_0| \cdot \aleph_0$. Note that the 381 size of M' is determined by the size of M_0 an, most importantly, by the size of 382 $H_i(u_1,\ldots,u_{m-1})$ for any $i\leq n$ in individual levels of the construction. Since 383 the lemma only states existence of some x that satisfies $\varphi_i(u_1,\ldots,u_{m-1},x)$ 384 for any $i \leq n$, we only need to add one x for every set of parameters but 385 $H_i(u_1,\ldots,u_{m-1})$ can be arbitrarily large. Since Axiom of Choice ensures 386 that there is a choice function, let F be a choice function on $\mathscr{P}(()M')$. Also let $h_i(u_1,\ldots,u_{m-1})=F(H_i(u_1,\ldots,u_{m-1}))$ for $i\leq n$, which means that h is 388 a function that outputs an x that satisfies $\varphi_i(u_1,\ldots,u_{m-1},x)$ for $i\leq n$ and 389 has minimal rank among all such witnesses. The induction step needs to be 390 redefined to 391

$$M'_{i+1} = M'_i \cup \bigcup_j = 0^n \{ h_j(u_1, \dots, u_{m-1}) : u_1, \dots, u_{m-1} \in M'_i \}$$
 (2.16)

In every step, the amount of elements added in M'_{i+1} is equivalent to the amount of sets of parameters the yielded elements not included in M'_i . So the cardinality of M'_{i+1} exceeds the cardinality of M'_i only for finite M'_i . It is easy to see that if M_0 is finite, M' is countable because it was built from countable union of finite sets. If M_0 is countable or larger, cardinaly of M' is equal to the cardinality of M_0 . Therefore $|M'| \leq |M_0| \cdot \aleph_0$

TODO proc
$$\leq$$
 a ne $=$?

¹¹It can not be smaller because $|M'_{i+1}| \ge |M'_i|$ for every i. It may not be significantly larger because the maximum of elements added is the number of n-tuples in M'_i , which is of the same cardinality is M'_i . ((proc? Ramsey?))

401 Theorem 2.18 First-order Reflection

Let $\varphi(x_1,\ldots,x_n)$ be a first-order formula.

(i) For every set M_0 there exists M such that $M_0 \subset M$ and the following holds:

$$\varphi^M(x_1,\ldots,x_n) \leftrightarrow \varphi(x_1,\ldots,x_n)$$
 (2.17)

for every x_1, \ldots, x_n .

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(ii) For every set M_0 there is a transitive set M, $M_0 \subset M$ such that the following holds:

$$\varphi^M(x_1,\ldots,x_n) \leftrightarrow \varphi(x_1,\ldots,x_n)$$
 (2.18)

for every x_1, \ldots, x_n .

(iii) For every set M_0 there is α such that $M_0 \subset V_\alpha$ and the following holds:

$$\varphi^{V_{\alpha}}(x_1,\ldots,x_n) \leftrightarrow \varphi(x_1,\ldots,x_n)$$
 (2.19)

for every x_1, \ldots, x_n .

(iv) Assuming the Axiom of Choice, for every set M_0 there is M such that $M_0 \subset M$ and $|M| \leq |M_0| \cdot \aleph_0$ and the following holds:

$$\varphi^M(x_1,\ldots,x_n) \leftrightarrow \varphi(x_1,\ldots,x_n)$$
 (2.20)

for every x_1, \ldots, x_n .

Proof. Let's prove (i) for one formula φ via induction by complexity first. We can safely assume that φ contains no quantifiers besides \exists and no logical connectives other than \neg and &. Assume that this M is obtained from lemma 2.17. The fact, that atomic formulas are reflected in every M comes directly from definition of relativization and the fact that they contain no quantifiers. The same holds for formulas in the form of $\varphi = \neg \varphi'$. Let us recall the definition of relativization for those formulas in 2.1.

$$(\neg \varphi_1)^M \leftrightarrow \neg (\varphi_1^M) \tag{2.21}$$

Because we can assume from induction that $\varphi'^M \leftrightarrow \varphi'$, the following holds:

$$(\neg \varphi')^M \leftrightarrow \neg (\varphi'^M) \leftrightarrow \neg \varphi' \tag{2.22}$$

The same holds for $\varphi = \varphi_1 \& \varphi_2$. From the induction hypothesis we know that $\varphi_1^M \leftrightarrow \varphi_1$ and $\varphi_2^M \leftrightarrow \varphi_2$, which together with relativization for formulas in the form of $\varphi_1 \& \varphi_2$ gives us

$$(\varphi_1 \& \varphi_2)^M \leftrightarrow \varphi_1^M \& \varphi_2^M \leftrightarrow \varphi_1 \& \varphi_2$$
 (2.23)

¹²Note that this does not hold generally for relativizations to M, E, but only for relativization to M, \in , which is our case.

Let's now examine the case when from the induction hypethesis, M reflects $\varphi'(u_1, \ldots, u_n, x)$ and we are interested in $\varphi = \exists x \varphi'(u_1, \ldots, u_n, x)$. The induction hypothesis tells us that

$$\varphi'^{M}(u_1,\ldots,u_n,x) \leftrightarrow \varphi'(u_1,\ldots,u_n,x)$$
 (2.24)

so, together with above lemma 2.17, the following holds:

$$\varphi(u_1, \dots, u_n, x)
\leftrightarrow \exists x \varphi'(u_1, \dots, u_n, x)
\leftrightarrow (\exists x \in M) \varphi'(u_1, \dots, u_n, x)
\leftrightarrow (\exists x \in M) \varphi'^M(u_1, \dots, u_n, x)
\leftrightarrow (\exists x \varphi'(u_1, \dots, u_n, x))^M
\leftrightarrow \varphi^M(u_1, \dots, u_n, x)$$
(2.25)

Which is what we have needed to prove:

So far we have proven part (i) of this theorem for one formula φ , we only need to verify that the same holds for any finite number of formulas. This has in fact been already done since lemma 2.17 gives us M for any (finite) amount of formulas. We can than use the induction above to verify that it reflects each of the formulas individually.

Now we want to verify other parts of our theorem. Since V_{α} is a transitive set, by proving (iii) we also satisfy (ii). To do so, we only need to look at part (ii) of lemma 2.17. All of the above proof also holds for $M = V_{\alpha}$. To finish part (iv)

Theorem 2.19 Reflection is equivalent to Infinity & Replacement under ZFC minus Infinity & Replacement

Proof. Since 2.18 already gives one side of the implication, we are only interested in showing the converse which we shall do in two parts:

 $Reflection \rightarrow Infinity$

Let us first find a formula to be reflected that requires a set M at least as large as V_{ω} . Let us consider the following formula:

$$\varphi'(x) = \forall \lambda (\lambda < x \to \exists \mu (\lambda < \mu < x)) \tag{2.26}$$

Because φ says "there is a limit ordinal", if it holds for some x, the Infinity axiom is very easy to satisfy. But we know that there are limit ordinals in ZF, therefore $\varphi = \exists x \varphi'(x)$ is a valid statement. Reflection then gives us a set M in which φ^M holds, that is, a set that contains a limit ordinal. So the set of off limit ordinals is non-empty and because ordinals are well-founded, it has a minimal element. Let's call it μ .

$$\mu = \bigcap \{V_{\kappa} : \forall \lambda (\lambda < \kappa \to \exists \mu (\lambda < \mu < \kappa))\}$$
 (2.27)

We can see that μ is the least limit ordinal and therefore it satisfies *Infinity*.

 $Reflection \rightarrow Replacement$

Given a formula $\varphi(x, y, u_1, \dots, u_n)$, we can suppose that it is reflected in any M^{13} What we want to obtain is the following:

$$\forall x, y, z(\varphi(x, y, u_1, \dots, u_n) \& \varphi(x, z, u_1, \dots, u_n) \to y = z) \to (2.28)$$

$$\rightarrow \forall X \exists Y \forall y \ (y \in Y \leftrightarrow \exists x (\varphi(x, y, u_1, \dots, u_n) \& x \in X))$$
 (2.29)

We do also know that $x, y \in M$, in other words for every $X, Y = \{y \mid \varphi(x, y, u_1, \ldots, u_n)\}$ we know that $X \subset M$ and $Y \subset M$, which, together with the comprehension schema¹⁴ implies that Y, the image of X over φ , is a set. Which is exactly the Replacement Schema we hoped to obtain. \square

We have shown that Reflection for first-order formulas, $Reflection_1$ is a theorem of ZF, which means that it won't yield us any large cardinals. We have also shown that it can be used instead of the Axiom of Infinity and Replacement Scheme, but $ZF + Reflection_1$ is a conservative extension of ZF. Besides being a starting point for more general and powerful statements, it can be used to show that ZF is not finitely axiomatizable. That is because Reflection gives a model to any finite number of (consistent) formulas. So if $\varphi_1, \ldots, \varphi_n$ for any finite n would be the axioms of ZF, Reflection would always contain a model of itself, which would in turn contradict the Second Gödel's Theorem¹⁵. Notice that, in a way, reflection is complementary to compactness. Compactness argues that given an infinite¹⁶ set of sentences, if every finite subset yields a model, so does the whole set. Reflection, on the other hand, says that while the whole set has no model in the underlying theory, every finite subset does have one.

¹³Which means that for $x, y, u_1, \ldots, u_n \in M$, $\varphi^M(x, y, u_1, \ldots, u_n) \leftrightarrow \varphi(x, y, u_1, \ldots, u_n)$.

¹⁴Called the axiom of subsets in Levy's proof.

¹⁵See chapter 3.3 for further details.

¹⁶Countable?

Also, notice how reflection can be used in ways similar to upward Löwenheim-Skolem theorem. Since Reflection extends any set M_0 into a model of given formulas $\varphi_1, \ldots, \varphi_n$, we can choose M_0 such that the final M is at least as big as we need it to be. Todo znacit Reflection asi jako Reflection, pokud mluvime o prvoradovych formulich (definice je nahore v posledni subsection section 1)

In the next section, we will try to generalize Reflection in a way that transcends ZF and finally yields some large cardinals.

¹⁷Too vague?

Reflecting Large Cardinals 3

In this chapter we aim to explore the possible generalisations of Reflection for 493 second- and higher-order formulas and use those to establish the existence of various large cardinals. We will also argue whether there is a limit to the 495 size of large cardinals obtainable via generalised form of Reflection. 496

3.1Reflecting Second-order Formulas 497

To see that there is a way to transcend ZF, let us briefly show how a model 498 of ZF can be obtained in ZF₂+"second-order reflection" ¹⁸. This will be more 499 closely examined in section 3.3. 500

We know that ZF can not be finitely axiomatized in first-order formulas, however if Replacement and Comprehension schemes can be substituted by second-order formulas, ZF becomes ZF₂, which is finitely axiomatizable in second-order logic. Therefore if we take second-order reflection into consideration, we can obtain a set M that is a model of ZF_2 . For now, we have left out the details of how exactly is first-order reflection generalised into stronger statements and how second-order axiomatization of ZF looks like as we will examine those problems closely in the following pages.

We will now define reflection for second-order formulas.

Definition 3.1 Second-order reflection 510 TODO

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TODO see Hanf-Scott [kanamori:61]?
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TODO full reflection, partial reflection? viz Levy60, ten druhy clanek

3.2**Preliminaries** 514

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But first, let's establish some elementary terms that will allow us to define the relevant large cardinals. 516

Definition 3.2 (limit cardinal) kappa is a limit cardinal if it is \aleph_{α} for some limit ordinal α .

Definition 3.3 (strong limit cardinal) kappa is a strong limit cardinal if for every $\lambda < \kappa$, $2^{\lambda} < \kappa$

¹⁸ZF₂ is an axiomatization of ZF in second-order formulas, to be more rigorously established later.

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We also need to rigorously define ZF_2 , the second-order axiomatization of ZF we have already used in the previous section. Let's take advantage of second-order variables and replace Replacement and Specification schemes with a single Replacement and a Specification axiom respectively. Lower-case letters represent first-order variables and upper-case P represents a second-order variable. [8]

Definition 3.4 Replacement²

$$\forall P(\forall x, y, z(P(x, y) \& P(x, z) \to y = z) \to \\ \to (\forall x \exists y \forall z(z \in y \leftrightarrow \exists w \in x(P(w, z)))))$$
(3.30)

530 We will denote this axiom Replacement₂.

Definition 3.5 Specification $_2$

$$\forall P \forall x \exists y \forall z \, (z \in y \leftrightarrow [z \in x \& P(z, x)]) \tag{3.31}$$

Definition 3.6 ZF_2

Let ZF₂ be a theory with all axioms identical with the axioms of ZF with the exception of Replacement and Specification schemes, which are replaced with Replacement₂ and Specification₂ respectively.

TODO vsechny jmena axiomu emph? TODO sjednotit $Replacement_2$ s $Replacement^2$

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TODO budeme potrebovat club sety, stacionarni mnoziny? treba abychom dokazali ekvivalence?

3.3 Inaccessibility

The inaccessible cardinal is the smallest of large cardinals ¹⁹

Definition 3.7 (weak inaccessibility) An uncountable cardinal κ is weakly inaccessible \leftrightarrow it is regular and limit.

Definition 3.8 (inaccessibility) An uncountable cardinal κ is inaccessible \leftrightarrow it is regular and strongly limit.

¹⁹citation needed.

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To see why this is important, let's dedicate a few lines to the intuition behind the notions of limitness, regularity and inaccessibility in a manner strongly influenced by [7]. To see why limit and strongly limit cardinals are worth mentioning, note that they are "limit" not only in a sense of being a supremum of an ordinal sequence, they also show that a certain way of obtaining bigger objects from smaller ones²⁰ limited in terms of possibilities. \aleph_{λ} is a limit cardinal iff there is no α such that $\aleph_{\alpha+1} = \aleph_{\lambda}$. Strongly limit cardinals point to the limits of the powerset operation. It has been too obvious so far, so let's look at the regular cardinals in this manner. Regular cardinals are those that cannot be²¹, expressed as a supremum of smaller amount of smaller objects²². More precisely, κ is regular if there is no way to define it as u union of less than κ ordinals, all smaller than κ . It is interesting to point out, that many of these sets wouldn't be considered sets without Replacement, therefore regular cardinals are, in a way, "limits" of how far can we get by taking limits of increasing sequences of ordinals obtained via Replacement.

That all being said, it is easy to see that no cardinals in ZF are both strongly limit and regular, the only exception being \aleph_0 . This makes it clear why the definition 3.8 explicitly calls for $\kappa > \aleph_0$. It should be also obvious why the fact that κ is inaccessible implies that $\kappa = \aleph_{\kappa}$.²³

The above should make a clear picture of why *Infinity* is a specific case of *Reflection*.

TODO proc je Refl zaroven zobecneny replacement?

We will now show that the above notion is equivalent to the definition Levy uses in [2], which is, in more contemporary notation, the following:

Theorem 3.9 The following are equivalent:²⁴

```
1. \kappa in inaccessible
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2.
$$\langle V_{\kappa}, \in \rangle \models \mathsf{ZFC}$$

Proof. Let's first prove that if κ is inaccessible, it is a model of ZFC. We will do that by verifying the axioms of ZFC just like Kanamori does it in 1.2 in [1]. Because κ is a limit ordinal, there's no need for us to verify the Powerset, Foundation, Extensionality, Subset, Pairing and Union axioms

²⁰TODO elegantnejsi formulace?

²¹Assuming *Choice*.

 $^{^{22} \}rm{Just}$ like ω can not be expressed as a supremum of a finite set consisting solely of finite numbers.

²³This doesn't work backwards, the first fixed point of the \aleph function is the limit of $\{\aleph_0, \aleph_{\aleph_0}, \aleph_{\aleph_0}, \ldots\}$ is singular since the sequence has countably many elements.

²⁴TODO skutecne plati na obe strany?

and the Specification scheme. Thus we only have the Replacement Scheme to verify.

Given an arbitrary set $x \in V_{\kappa}$ and a function $F: x \to V_{\kappa}$, we need to verify that y = F[x] is indeed a set and that it is an element of V_{κ} . The fact that F is a function implies that $|y| \leq |x|$. It follows from Specification that $y \subset V_{\kappa}$, which is still not exactly what we want. Let $\alpha < \kappa$ be the least ordinal such that $y \in V_{\alpha}^{25}$, since $V_{\alpha+1} = \mathscr{P}(()V_{\alpha}), y \in V_{\alpha+1}$, together with $\alpha + 1 < \kappa$ this means that $y \in V_{\kappa}$.

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We will now show that if a set is a model of ZFC, it is in fact an inaccessible cardinal. So let V_{κ} be a model of ZFC which means that it is closed under the powerset operation, in other words:

$$\forall \lambda (\lambda < \kappa \to 2^{\lambda} < \kappa) \tag{3.32}$$

which is exactly the definition of strong limitness. κ is regular from the following argument by contradiction:

Let us suppose for a moment that κ is singular. Therefore there is an ordinal $\alpha < \kappa$ and a function $F: \alpha \to \kappa$ such that the range of F in unbounded in κ , in other words, $F[\alpha] \subseteq V_{\kappa}$ and $sup(F[\alpha]) = \kappa$. In order to achieve the desired contradiction, we need to see that it is the case that $F[\alpha] \in V_{\kappa}$. Let $\varphi(x,y)$ be the following first-order formula:

$$F(x) = y (3.33)$$

Then there is an instance of Axiom Schema of Replacement that states the following:

$$(\forall x, y, z(\varphi(x, y)\&\varphi(x, z) \to y = z)) \to \to (\forall x \exists y \forall z (z \in y \leftrightarrow \exists w(\varphi(w, z))))$$
(3.34)

Which in turn means that there is a set $y = F[\alpha]$ and $y \in V_{\kappa}$, which is the contradiction with $sup(y) = \kappa$ we are looking for.

The same holds for ZF_2 , the proof is very similar.

Theorem 3.10

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$$V_{\kappa} \models \mathsf{ZF}_2 \leftrightarrow \kappa \text{ is inaccessible}$$
 (3.35)

Proof. κ is a strong limit cardinal because from ZF_2 and the Powerset Axiom we know that for every $\lambda < \kappa$, we know that $2^{\lambda} < \kappa$.

²⁵TODO pozor – jak vime ze takove alpha existuje?

 κ is also regular, because otherwise there would be an ordinal α and a function $F: \alpha \to \kappa$ with a range unbounded in κ . Replacement² gives us a set $y = F[\alpha]$, so $y \in V_{\kappa}$, which contradicts the fact that $sup(y) = \kappa$. It can not be the case that $\kappa \in V_{\kappa}$.

The other direction is exactly like the first part of above theorem 3.9. \square

We have transcended ZF, but that is just a start. Naturally, we could go on and consider the next inaccessible cardinal, which is inaccessible with respect to the theory ZF + $\exists \kappa (\kappa \models \mathsf{ZF})$. But let's try to find a faster way up, informally at first.

TODO muzu rict "inaccessible cardinals are unbounded in V"?

Since we can find an inaccessible set larger than any chosen set M_0 , it is clear that inaccessible cardinals are unbounded in V. If V were a cardinal, we could say that there are V inaccesible cardinals less than V, but this statement of course makes na sense in a set theory as is because V is not a set. But being more careful, we could find a property that can be formalized in first- or second-order logic and reflect it to an initial segment of V. That would allow us to construct large cardinals more efficiently than by adding inaccessibles one by one. The property we are looking for ought to look like something like this:

$$\kappa$$
 is an inaccessible cardinal and there are κ inaccessible cardinals $\mu < \kappa$ (3.36)

This is in fact a fixed-point type of statement. We shall call those cardinals hyper-inaccessible. Now consider the following definition.

Definition 3.11 0-hyper-inaccessible cardinal

⁶³³ A cardinal κ is 0-hyper-inaccessible if it is inaccessible.

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Definition 3.12 \alpha-hyper-inaccessible cardinal
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For any ordinal α , κ is called α -hyper-inaccessible, if κ is inaccessible and for each β ; α , the set of β -hyper-inaccessible cardinals less than κ is unbounded in κ .

TODO nepotrebuju treba vzit zvlast v uvahu limitni α ?

Because κ is inaccessible and therefore regular, the number of β -inaccessibles below κ is equal to κ . We have therefore successfully formalized the above vague notion of hyper-inaccessible cardinal into a hierarchy of α -hyper-inaccessibles.

TODO mention fixed-point property!

Let's now consider iterating this process over again. Since, informally, V would be α -hyper-inaccessible for any α , this property of the universal class could possibly be reflected to an initial segment, the smallest of those will be the first hyper-hyper-inaccessible cardinal. Such κ is larger than any α -hyper-inaccessible since from regularity of κ , for given $\alpha < \kappa$, κ is κ -th α -hyper-inaccessible cardinal. It is in fact "inaccessible" via α -hyper-inaccessibility.

Definition 3.13 Hyper-hyper-inaccessible cardinal

 κ is called the hyper-hyper-inaccessible, also 0-hyper-hyper-inaccessible, cardinal if it is α -inaccessible for every $\alpha < \kappa$.

Definition 3.14 α -hyper-hyper-inaccessible cardinal

For any ordinal α , κ is called α -hyper-hyper-inaccessible cardinal if for each ordinal $\beta < \alpha$, the set of β -hyper-hyper-inaccessible cardinals less the κ is inbounded in κ .

Obviously we could go on and iterate it ad libitum, but the nomenclature would be increasingly confusing. A smarter way to accomplish the same goal is carried out in the following section.

TODO typografie – mezery kolem vsech = a asi i vyrokovych ostatnich spojek

3.4 Mahlo Cardinals

While the previous chapter introduced us to a notion of inaccessibility and the possibility of iterating it ad libitum in new theories, there is an even faster way to travel upwards in the cumulative hierarchy, that was proposed by Paul Mahlo in his paper [4], [5] and [6] at the very beginning of the 20th century, and which can be easily reformulated using (Reflection). To see how Lévy's initial statement of reflection was influenced by Mahlo's work, refer to section 2.2. The aim of the following paragraphs is to give an intuitive explanation

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of the idea behind Mahlo's hierarchy of cardinals, all claims made here ought
676
    to be stated formally later in the very same chapter.
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       At the very end of section 3.3, we have tried to establish the notion
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   of hyper-inaccessibility and iterate it to yield even larger large cardinals.
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    In order to avoid too bulky cardinal names, let's try a different route and
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    establish those cardinals directly via reflection.
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        The following two definitions come from [7] and while they are rather
683
   informal, we will find them very helpful for understanding Mahlo cardinals.
684
   Definition 3.15 Fixed-point property
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   For \varphi(x) which is any property of ordinals, we say that a property \psi is a
686
   fixed-point property if \psi has the form
    x is an inaccessible cardinal and there are x ordinals less than x that have the property \varphi(x)
                                                                               (3.37)
       TODO druhoradova? proverit, zkontrolovat.
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    Definition 3.16 Fixed-point reflection
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    TODO jako reflexe ale jenom pro fixed-point properties
691
692
       TODO define stationary set
693
       TODO asi podle Jecha?
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       TODO via reflection?
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698
   Definition 3.17 Weakly Mahlo Cardinals
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    \kappa is weakly Mahlo \leftrightarrow it is a limit ordinal and the set of all regular ordinals
700
    less then \kappa is stationary in \kappa
701
702
       TODO napsat co to znamena, proc stacionarni?
703
704
       Thus a Mahlo cardinal \kappa is not only inaccessible, but also has \kappa inacces-
705
    sibles below it.
706
```

Definition 3.18 Mahlo cardinals

709 The following definitions are equivalent:

(i) κ is Mahlo

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- 711 (ii) κ is weakly Mahlo and strong limit
- 712 (iii) κ is inaccessible and the regular cardinals below κ form a stationary 713 subset of κ .
- (iv) κ is regular and the stationary sets below κ form a stationary subset of κ .
 - (v) $\{\lambda < \kappa : \lambda isinaccessible\}$ is stationary in κ .

TODO κ is hyper-Mahlo iff κ is inaccessible and the set $\{\lambda < \kappa : \lambda isMahlo\}$ is stationary in κ .

Note that Mahlo cardinals were first described in 1911, almost 50 years before Lévy's reflection, which was heavily inspired by them.

" We also state the appropriate generalization for greatly Mahlo cardinals."

3.5 Weakly Compact Cardinals

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TODO souvislost s reflexi!
TODO co je "partition property"?
```

Definition 3.19 A cardinal κ is weakly compact if it is uncountable and satisfies the partition property $\kappa \to (\kappa)^2$

729 opsano z jecha!

3.6 Indescribable Cardinals

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TODO uvod / intuice
TODO souvislost s reflexi
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3.7 Bernays-Gödel Set Theory

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    TODO Plagiat – prepsat a vysvetlit
    TODO
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3.8 Reflection and the constructible universe

TODO reflektovat muzeme jenom kardinaly konzistentni s V=L, proc? TODO Plagiat – prepsat a vysvetlit

L was introduced by Kurt Gödel in 1938 in his paper The Consistency of the Axiom of Choice and of the Generalised Continuum Hypothesis and denotes a class of sets built recursively in terms of simpler sets, somewhat similar to Von Neumann universe V. Assertion of their equality, V=L, is called the axiom of constructibility. The axiom implies GCH and therefore also AC and contradicts the existence of some of the large cardinals, our goal is to decide whether those introduced earlier are among them.

On order to formally establish this class, we need to formalize the notion of definability first:

TODO zduvodneni

TODO kratka diskuse jestli refl
 implikuje transcendenci na L- polemika, nazor
 - V=L a slaba kompaktnost a dalsi

TODO asi nekde bude meritelny kardinal

Higher-order reflection

TODO rict ze to je zobecneni a nejaky dalsi uvodni veci

758 **4.1** Sharp

TODO je tohle higher-order vec?

⁷⁶⁰ 4.2 Welek: Global Reflection Principles

TODO ma to vubec cenu?

5 Conclusion

TODO na konec

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