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4 REFLECTION PRINCIPLES AND LARGE  
5 CARDINALS  
6 Bakalářská práce

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<sup>10</sup> Prohlašuj, že jsem bakalářskou práci vypracoval samostatně a že jsem uvedl  
<sup>11</sup> všechny použité prameny a literaturu.

<sup>12</sup> V Praze 14. dubna 2015

## 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 zdůvodnění, proč tomu tak je.

## 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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# 1 Introduction

## 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 or transfinite type, including infinitary logics of any cardinal order.

— Kurt Gödel [9]

To understand why we 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 bound to religious and metaphysical way of thinking, considered separate from numbers used for calculations or geometry. It was a rather vague concept. In ancient Greece, Aristotle's response to famous Zeno's paradoxes introduced the distinction between actual and potential infinity. He argued, 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 possible for infinity to inhabit a bounded place in space or time, rejecting Zeno's thought experiments as a whole. Aristotle's thoughts shaped western thinking partly due to Aquinas, who himself believed actual infinity to be more of a metaphysical concept for describing God than a mathematical property attributed to any other entity. In his *Summa Theologica* <sup>1</sup> he argues:

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.

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<sup>1</sup>Part I, Question 7, Article 3, Reply to Objection 1

Even later, in the 17th century, pushing the property of infiniteness from the Creator to his creation, Nature, Leibniz wrote to Foucher in 1662:

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 Paradoxon<sup>2</sup> 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 its 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

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<sup>2</sup>zneni 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 stavaji 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 than  $A$ . That would turn every aspiration to

finally establish an universal set into a contradictory infinite regression.<sup>3</sup> 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 formula<sup>4</sup>  $\varphi$  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.<sup>5</sup>

## 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 chapter 2.

TODO co dal? recent results?

<sup>3</sup>An intuitive analogy of this *reductio ad infinitum* is the status of  $\omega$ , 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<sup>th</sup> century

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

<sup>5</sup>If there were a single theorem stating "for any formula  $\varphi$  that holds in  $V$  there is an initial segment of  $V$  where  $\varphi$  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.



**1.3 Notation (??) TODO**

1. *Reflection* je obecne reflexe (jaka presne)
  2. *Reflection*<sub>1</sub> je reflexe prvoradovych formul
  3. *Reflection*<sub>2</sub> je reflexe druhoradovych formul
  4. etc...
- $V$  a  $V_\alpha$  odkazuji k Von Neumannove hierarchii (pro jistotu)

## 2 Levy's first-order reflection

### 2.1 Introduction

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  $V_\alpha$  (notated as  $R(\alpha)$  at the time) for some cardinal  $\alpha$ , which means that  $\alpha$  is a inaccessible cadinal. Please bear in mind that this is vastly different from saying that there is an inaccessible  $\alpha$  inside the model. This  $V_\alpha$  is also referred to as  $Scm^Q(u)$ , 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. <sup>6</sup>

**Definition 2.1** *Relativization*[3, Definition 12.6]

Let  $M$  be a class,  $E$  a binary relation on  $M$  and let  $\varphi(x_1, \dots, x_n)$  be a formula. The relativization of  $\varphi$  to  $M$  and  $E$  is the formula

$$\varphi^{M,E}(x_1, \dots, x_n) \quad (2.1)$$

<sup>6</sup>While 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.

232 Defined in the following inductive manner:

$$\begin{aligned}
 (x \in y)^{M,E} &\leftrightarrow xEx \\
 (x = y)^{M,E} &\leftrightarrow x = y \\
 (\neg\varphi)^{M,E} &\leftrightarrow \neg\varphi^{M,E} \\
 (\varphi \ \& \ \psi)^{M,E} &\leftrightarrow \varphi^{M,E} \ \& \ \psi^{M,E} \\
 (\exists x\varphi)^{M,E} &\leftrightarrow (\exists x \in M)\varphi^{M,E}
 \end{aligned} \tag{2.2}$$

233 Next two definitions are not used in contemporary set theory, but they  
 234 illustrate 1960's set theory mind-set and they are used heavily in Lévy's text,  
 235 so we will include and explain them for clarity. Generally in this chapter,  $\mathbf{Q}$   
 236 stands for an undisclosed axiomatic set theory,  $u$  is usually a model, coun-  
 237 terpart of today's  $V^7$ ,  $e$  is a relation that serves as  $\in$  in the given model.

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

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

- 241 (i)  $(x, y) \in e \leftrightarrow y \in u \ \& \ x \in y$   
 242 (ii)  $y \in u \ \& \ x \in y \rightarrow x \in u$

243 **Definition 2.3** *Standard complete model of a set theory*

244 We say that that  $u$  is a standard complete model of a set theory  $\mathbf{Q}$  with a  
 245 membership relation  $e$  if:

- 246 (i)  $u$  is a transitive set with respect to  $\in$   
 247 (ii)  $\forall e((x, y) \in e \leftrightarrow (y \in u \ \& \ x \in y) \ \& \ Sm^{\mathbf{Q}}(u, e))$   
 248 this is written as  $Scm^{\mathbf{Q}}(u)$ .

249

250 **Definition 2.4** *Cardinal inaccessible with respect to  $\mathbf{Q}$*

$$In^{\mathbf{Q}}(\kappa) = Scm^{\mathbf{Q}}(V_{\kappa}) \tag{2.3}$$

251 This definition is more general than the usual one<sup>8</sup>, we will often write  
 252  $In(\kappa)$  as a shorthand for  $In^{\mathbf{ZF}}(\kappa)$ .

253 The following is a principle of complete reflection over  $\mathbf{ZF}$ .

---

<sup>7</sup>Which 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.

<sup>8</sup>Which says that a cardinal  $\kappa$  is inaccessible iff it is a strong limit regular cardinal.

## 2.3 $S \models \text{Reflection} \leftrightarrow (\text{Replacement} \ \& \ \text{Infinity})$ Levy's first-order reflection

254 **Definition 2.5**  $N(\varphi)$

$$\exists u(Scm^{\text{ZF}}(u) \ \& \ \forall x_1, \dots, x_n(x_1, \dots, x_n \in u \rightarrow \varphi \leftrightarrow \varphi^u)) \quad (2.4)$$

255 where  $\varphi$  is a formula which does not contain free variables except  $x_1, \dots, x_n$ .

256 Note that this by (??) equivalent to  $\exists u(In^{\text{ZF}}(u) \ \& \ \forall x_1, \dots, x_n(x_1, \dots, x_n \in$   
 257  $u \rightarrow \varphi \leftrightarrow \varphi^u))$ , where  $In(\alpha)$  is equivalent to the standard notion of inacces-  
 258 sibility.

## 259 **2.3** $S \models \text{Reflection} \leftrightarrow (\text{Replacement} \ \& \ \text{Infinity})$

260 **Definition 2.6**  $N_0(\varphi)$

$$\exists u(Scm^S(u) \ \& \ \forall x_1, \dots, x_n(x_1, \dots, x_n \in u \rightarrow \varphi \leftrightarrow \varphi^u)) \quad (2.5)$$

261 where  $\varphi$  is a formula which does not contain free variables except  $x_1, \dots, x_n$ .

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

263 **Theorem 2.7** *In  $S$ , the schema  $N_0$  implies the Axiom of Infinity.*

264 *Proof.* For any  $\varphi$ ,  $N_0$  gives us  $\exists u Scm^S(u)$ , which means that there is a set  $u$   
 265 that is identical to  $V_\alpha$  for some alpha, so  $\exists \alpha Scm^S(V_\alpha)$ . We don't know the  
 266 exact size of this  $\alpha$ , but we know that  $\alpha \geq \omega$ , otherwise  $\alpha$  would be finite,  
 267 therefore not closed under the powerset operation, which would contradict  
 268 the axiom of powersets. In order to prove that it is a model of  $S$ , we would  
 269 need to verify all axioms of  $S$ . We have already shown that  $\omega$  is closed under  
 270 the powerset operation. Foundation, extensionality and comprehension are  
 271 clear from the fact that we work in  $\text{ZF}^9$ , pairing is clear from the fact, that  
 272 given two sets  $A, B$ , they have ranks  $a, b$ , without loss of generality we can  
 273 assume that  $a \leq b$ , which means that  $A \in V_a \in V_b$ , therefore  $V_b$  is a set that  
 274 satisfies the paring axiom: it contains both  $A$  and  $B$ .

275 Note that any limit cardinal is a model of  $S$ .

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

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

---

<sup>9</sup>We only need to verify axioms that provide means of constructing larger sets from smaller to make sure they don't exceed  $\omega$ . Since  $\omega$  is an initial segment of  $ZF$ , the axiom scheme of specification can't be broken, the same holds for foundation and extensionality.

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

**Theorem 2.8** *In  $S$ , the schema  $N_0$  implies Replacement schema.*

*Proof.* TODO vysvetlit! (podle contemporary verze)

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

$$\chi = \forall r, s, t(\varphi(r, s) \& \varphi(r, t) \rightarrow s = t) \rightarrow \forall x \exists y \forall w (w \in y \leftrightarrow \exists v (v \in x \& \varphi(v, w))) \quad (2.7)$$

We can deduce the following from  $N_0$ :

- (i)  $x_1, \dots, x_n, v, w \in u \rightarrow (\varphi \leftrightarrow \varphi^u)$
- (ii)  $x_1, \dots, x_n, v \in u \rightarrow (\exists w \varphi \leftrightarrow (\exists w \varphi)^u)$
- (iii)  $x_1, \dots, x_n, x \in u \rightarrow (\chi \leftrightarrow \chi^u)$
- (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  $\varphi$ ,  $\exists w \varphi$  and  $\chi$  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  $x_1, \dots, x_n, v \in u \rightarrow (\exists w (w \in u \& \varphi^u))$ .

If  $\varphi$  is a function  $(\forall r, s, t(\varphi(r, s) \& \varphi(r, t) \rightarrow r = t))$ , then for every  $x \in u$ , which is also  $x \subset u$  by  $Scm^S(u)$ , it maps elements of  $x$  onto  $u$ . From the axiom scheme of comprehension<sup>10</sup>, we can find a set of all images of elements of  $x$ . Let's call it  $y$ . That gives us  $x_1, \dots, x_n, x \in u \rightarrow \chi$ . By (iii) we get  $x_1, \dots, x_n, x \in u \rightarrow \chi^u$ , closure of this formula is  $(\forall x_1, \dots, x_n \forall x \chi)^u$ , which together with (iv) yields  $\forall x_1, \dots, x_n \forall x \chi$ . By the means of specification we end up with  $\chi$ , which is all we need for now.  $\square$

What we have just proven in only a single theorem form said article, we will introduce other interesting propositions later in this thesis in their appropriate context<sup>11</sup>.

## 2.4 Contemporary restatement

We will now prove what is also Lévy's reflection theorem, but a little stronger, rephrased with more up to date set theory. The main difference is, that while

<sup>10</sup>axiom of subsets in Levy's version

<sup>11</sup>See chapter 3

311 Lévy reflects  $\varphi$  from  $V$  into a set  $u$  that is a "standard complete model of  
312  $\mathbf{S}$ "<sup>12</sup>, we say that there is a  $V_\alpha$  that reflects  $\varphi$ .

313 We will prove the equivalence of *Reflection*<sub>1</sub> with *Replacement* and *In-*  
314 *finiteness* in two parts. First, we will show that *Reflection*<sub>1</sub> is a theorem of  
315  $\mathbf{ZF}$ , then the second implication which proves *Infinity* and *Replacement* from  
316 *Reflection*<sub>1</sub> in  $\mathbf{S}$ .

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

321 **Lemma 2.9** *Lemma Let  $\varphi_1, \dots, \varphi_n$  be any formulas with  $m$  parameters*<sup>13</sup>.

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

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

324 *for every  $u_1, \dots, u_{m-1} \in M$ .*

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

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

327 *for every  $u_1, \dots, u_{m-1} \in M$ .*

328 (iii) *Assuming Choice, there is  $M$ ,  $M_0 \subset M$  such that 2.8 holds for every*  
329  *$M$ ,  $i \leq n$  and  $|M| \leq |M_0| \cdot \aleph_0$ .*

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

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

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

<sup>12</sup>Any limit ordinal is in fact a model of  $\mathbf{S}$ , we shall pay more attention to that in a moment.

<sup>13</sup>For 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  $\varphi'_i$  be the a formula with  $k$  parameters,  $k < m$ . Let us set  $\varphi_i(u_1, \dots, u_{m-1}, x) = \varphi'_i(u_1, \dots, u_{k-1}, u_k, \dots, u_{m-1}, x)$ , notice that  $u_k, \dots, u_{m-1}$  are spare variables added just for formal simplicity.

336 for each  $i \leq n$ , where

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

337

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

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

339 In other words, in each step we add the elements satisfying  $\varphi(u_1, \dots, u_{m-1}, x)$   
 340 for all parameters that were either available earlier or were added in the  
 341 previous step. For statement (ii), this is the only part that differs from (i).  
 342 Let us take for each step transitive closure of  $M_{i+1}$  from (i). In other words,  
 343 let  $\gamma$  be the smallest ordinal such that

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

344 Then the incremental step is like so:

$$M_{i+1}^T = V_\gamma \quad (2.14)$$

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

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

346

347 We have yet to finish part (iii). Let's try to construct a set  $M'$  that  
 348 satisfies the same conditions like  $M$  but is kept as small as possible. Assuming  
 349 the Axiom of Choice, we can modify the process so that cardinality of  $M'$  is  
 350 at most  $|M_0| \cdot \aleph_0$ . Note that the size of  $M'$  is determined by the size of  $M_0$  an,  
 351 most importantly, by the size of  $H_i(u_1, \dots, u_{m-1})$  for any  $i \leq n$  in individual  
 352 levels of the construction. Since the lemma only states existence of some  $x$   
 353 that satisfies  $\varphi_i(u_1, \dots, u_{m-1}, x)$  for any  $i \leq n$ , we only need to add one  $x$  for  
 354 every set of parameters but  $H_i(u_1, \dots, u_{m-1})$  can be arbitrarily large. Since  
 355 Axiom of Choice ensures that there is a choice function, let  $F$  be a choice  
 356 function on  $\mathcal{P}(\bigcup_{i=0}^n M_i)$ . Also let  $h_i(u_1, \dots, u_{m-1}) = F(H_i(u_1, \dots, u_{m-1}))$  for  
 357  $i \leq n$ , which means that  $h$  is a function that outputs an  $x$  that satisfies  
 358  $\varphi_i(u_1, \dots, u_{m-1}, x)$  for  $i \leq n$  and has minimal rank among all such witnesses.  
 359 The induction step needs to be redefined to

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

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, cardinality of  $M'$  is equal to the cardinality of  $M_0$ .<sup>14</sup> Therefore  $|M'| \leq |M_0| \cdot \aleph_0$   $\square$

And now for the theorem itself

**Theorem 2.10** *First-order Reflection*

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

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

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

for every  $x_1, \dots, x_n$ .

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

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

for every  $x_1, \dots, x_n$ .

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

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

for every  $x_1, \dots, x_n$ .

(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:

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

for every  $x_1, \dots, x_n$ .

*Proof.* Let's prove (i) for one formula  $\varphi$  via induction by complexity first. We can safely assume that  $\varphi$  contains no quantifiers besides  $\exists$  and no logical connectives other than  $\neg$  and  $\&$ . Assume that this  $M$  is obtained from lemma 2.9. The fact, that atomic formulas are reflected in every  $M$  comes directly from definition of relativization and the fact that they contain no

<sup>14</sup>It can not be smaller because  $|M'_{i+1}| \geq |M'_i|$  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  $M'_i$ .



quantifiers.<sup>15</sup> 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.

$$(\neg\varphi_1)^M \leftrightarrow \neg(\varphi_1^M) \quad (2.21)$$

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

$$(\neg\varphi')^M \leftrightarrow \neg(\varphi'^M) \leftrightarrow \neg\varphi' \quad (2.22)$$

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

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

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

$$\varphi'^M(u_1, \dots, u_n, x) \leftrightarrow \varphi'(u_1, \dots, u_n, x) \quad (2.24)$$

so, together with above lemma 2.9, the following holds:

$$\begin{aligned} & \varphi(u_1, \dots, u_n, x) \\ & \leftrightarrow \exists x\varphi'(u_1, \dots, u_n, x) \\ & \leftrightarrow (\exists x \in M)\varphi'(u_1, \dots, u_n, x) \\ & \leftrightarrow (\exists x \in M)\varphi'^M(u_1, \dots, u_n, x) \\ & \leftrightarrow (\exists x\varphi'(u_1, \dots, u_n, x))^M \\ & \leftrightarrow \varphi^M(u_1, \dots, u_n, x) \end{aligned} \quad (2.25)$$

Which is what we have needed to prove:

So far we have proven part (i) of this theorem for one formula  $\varphi$ , we only need to verify that the same holds for any finite number of formulas. This has in fact been already done since lemma 2.9 gives us  $M$  for any (finite) amount of formulas. We can then use the induction above to verify that it reflects each of the formulas individually.

<sup>15</sup>Note that this does not hold generally for relativizations to  $M, E$ , but only for relativization to  $M, \in$ , which is our case.

Now we want to verify other parts of our theorem. Since  $V_\alpha$  is a transitive set, by proving (iii) we also satisfy (ii). To do so, we only need to look at part (ii) of lemma 2.9. All of the above proof also holds for  $M = V_\alpha$ .

To finish part (iv), we take  $M$  of size  $\leq |M_0| \cdot \aleph_0$ , which exists due to part (iii) of lemma 2.9, the rest being identical.  $\square$

**Theorem 2.11** *Reflection is equivalent to Infinity & Replacement under ZFC minus Infinity & Replacement*

*Proof.* Since 2.10 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  $V_\omega$ . Let us consider the following formula:

$$\varphi'(x) = \forall \lambda (\lambda < x \rightarrow \exists \mu (\lambda < \mu < x)) \quad (2.26)$$

Because  $\varphi$  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  $\varphi^M$  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  $\mu$ .

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

We can see that  $\mu$  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  $M$ <sup>16</sup> What we want to obtain is the following:

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

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

We do also know that  $x, y \in M$ , in other words for every  $X, Y = \{y \mid \varphi(x, y, u_1, \dots, u_n)\}$  we know that  $X \subset M$  and  $Y \subset M$ , which, together

<sup>16</sup>Which means that for  $x, y, u_1, \dots, u_n \in M$ ,  $\varphi^M(x, y, u_1, \dots, u_n) \leftrightarrow \varphi(x, y, u_1, \dots, u_n)$ .

432 with the comprehension schema<sup>17</sup> implies that  $Y$ , the image of  $X$  over  $\varphi$ , is  
 433 a set. Which is exactly the Replacement Schema we hoped to obtain.  $\square$

434  
 435 We have shown that *Reflection* for first-order formulas, *Reflection*<sub>1</sub> is  
 436 a theorem of ZF, which means that it won't yield us any large cardinals.  
 437 We have also shown that it can be used instead of the Axiom of Infinity and  
 438 Replacement Scheme, but ZF + *Reflection*<sub>1</sub> is a conservative extension of  
 439 ZF. Besides being a starting point for more general and powerful statements,  
 440 it can be used to show that ZF is not finitely axiomatizable. That is because  
 441 *Reflection* gives a model to any finite number of (consistent) formulas. So  
 442 if  $\varphi_1, \dots, \varphi_n$  for any finite  $n$  would be the axioms of ZF, *Reflection* would  
 443 always contain a model of itself, which would in turn contradict the Second  
 444 Gödel's Theorem<sup>18</sup>. Notice that, in a way, reflection is complementary to  
 445 compactness. Compactness argues that given an infinite<sup>19</sup> set of sentences,  
 446 if every finite subset yields a model, so does the whole set. Reflection, on  
 447 the other hand, says that while the whole set has no model in the underlying  
 448 theory, every finite subset does have one.

449 Also, notice how reflection can be used in ways similar to upward Löwenheim–Skolem  
 450 theorem. Since Reflection extends any set  $M_0$  into a model of given formulas  
 451  $\varphi_1, \dots, \varphi_n$ , we can choose  $M_0$  such that the final  $M$  is at least as big as we  
 452 need it to be.<sup>20</sup>

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

---

<sup>17</sup>Called the axiom of subsets in Levy's proof.

<sup>18</sup>See chapter 3.3 for further details.

<sup>19</sup>Countable?

<sup>20</sup>Too vague?

### 3 Reflecting To Large Cardinals

In this chapter we aim to examine stronger reflection properties in order to reach cardinals unavailable in ZF. Like we said in the first chapter, the variety of reflection principles comes from the fact that there are many way to formalize "properties of the universal class". It is not always obvious what properties hold for  $V$  because, unlike Lévy's approach, not much attention is paid to what exactly is this  $V$ , and, more importantly, there are many ways to formalize the notion of property. We have shown that reflecting properties as first-order formulas doesn't allow us to leave ZF. We will broaden the class of admissible properties to be reflected and see whether there is a natural limit in the height or width on the reflected universe and also see that no matter how far we go, the universal class is still as elusive as it is when seen from  $S$ . That is because for every process for obtaining larger sets such as for example the powerset operation in ZF, this process can't reach  $V$  and thus, from reflection, there is an initial segment of  $V$  that can't be reached via said process.

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 ones limited in terms of possibilities.  $\aleph_\lambda$  is a limit cardinal iff there is no  $\alpha$  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 be<sup>21</sup>, expressed as a supremum of smaller amount of smaller objects<sup>22</sup>. More precisely,  $\kappa$  is regular if there is no way to define it as a union of less than  $\kappa$  ordinals, all smaller than  $\kappa$ . So unless there already is a set of size  $\kappa$ , *Replacement* is useless in determining whether  $\kappa$  is really a set. Note that assuming *Choice*, successor cardinals are always regular, so most<sup>23</sup> limit cardinals are singular cardinals. So if one is traversing the class of all cardinals upwards, successor steps are still sets thanks to the powerset axiom while singular limit cardinal are not proper classes because they are images of smaller sets via *Replacement*. Regular cardinals are, in a way, limits of how far can we get by taking limits of increasing sequences of ordinals obtained via *Replacement*.

<sup>21</sup> Assuming *Choice*.

<sup>22</sup> Just like  $\omega$  can not be expressed as a supremum of a finite set consisting solely of finite numbers.

<sup>23</sup> All provable to exist in ZF

491 That all being said, it is easy to see that no cardinals in  $\mathbf{ZF}$  are both  
 492 strongly limit and regular because there is no way in  $\mathbf{ZF}$  to ensure they are  
 493 sets and not proper classes. The only exception to this rule is  $\aleph_0$  which need  
 494 a special axiom for itself to exist. It should now be obvious why the fact that  
 495  $\kappa$  is inaccessible implies that  $\kappa = \aleph_\kappa$ .<sup>24</sup>

496 We will also examine the connection between reflection principles and  
 497 fixed points of ordinal functions in a manner proposed by Lévy in [2]. We will  
 498 also see that, like Lévy [2] has proposed, there is a meaningful way to extend  
 499 the relation between  $\mathbf{S}$  and  $\mathbf{ZF}$  into a hierarchy of axiomatic set theories.  
 500 Those are the three lines of thinking that we will find are in fact different  
 501 facets of the same gem, especially in the section devoted to Inaccessible and  
 502 Mahlo cardinals.

### 503 3.1 Fixed-point phenomena and axioms

504 This small chapter is dedicated to

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

509 **Definition 3.1** *Strictly increasing function*

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

512 **Definition 3.2** *Continuous function*

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

515 **Definition 3.3** *Normal function*

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

518 **Definition 3.4** *Fixed point*

519 *We say  $\alpha$  is a fixed point of ordinal function  $f$  when  $\alpha = f(\alpha)$ .*

520 Lévy ([2]) proposes those axioms as equivalent to one on his reflection  
 521 principles. Similar axiom is used in [?], but !!!!.

---

<sup>24</sup>This doesn't work backwards, the first fixed point of the  $\aleph$  function is the limit of  $\{\aleph_0, \aleph_{\aleph_0}, \aleph_{\aleph_{\aleph_0}}, \dots\}$  is singular since the sequence has countably many elements.

522 **Definition 3.5** *M* Every normal function defined for all ordinals has at least  
 523 one inaccessible number in its range.

524 **Definition 3.6** *M'* Every normal function defined for all ordinals has at  
 525 least one fixed point which is inaccessible.

526 **Definition 3.7** *M''* Every normal function defined for all ordinals has arbi-  
 527 trarily great fixed points which are inaccessible.

528

**Theorem 3.8**

$$M \leftrightarrow M' \leftrightarrow M'' \quad (3.30)$$

529 An interested reader will find the proof in [2, ].

530

### 531 3.2 Reflecting Second-order Formulas

532 To see that there is a way to transcend ZF, let us briefly show how a model  
 533 of ZF can be obtained in  $ZF_2 + \text{"second-order reflection"}^{25}$ . This will be more  
 534 closely examined in section 3.3.

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

543 Lower-case letters represent first-order variables and upper-case  $P$  repre-  
 544 sents a second-order variable. [8]

545 **Definition 3.9**  $\text{Replacement}_2$

546

$$\begin{aligned} &\forall P(\forall x, y, z(P(x, y) \& P(x, z) \rightarrow y = z) \rightarrow \\ &\rightarrow (\forall x \exists y \forall z(z \in y \leftrightarrow \exists w \in x(P(w, z)))) \end{aligned} \quad (3.31)$$

547 We will denote this axiom  $\text{Replacement}_2$ .

---

<sup>25</sup> $ZF_2$  is an axiomatization of ZF in second-order formulas, to be more rigorously established later.

548 **Definition 3.10**  $\text{Specification}_2$

549

$$\forall P \forall x \exists y \forall z (z \in y \leftrightarrow [z \in x \& P(z, x)]) \quad (3.32)$$

550 **Definition 3.11**  $\text{ZF}_2$

551 *Let  $\text{ZF}_2$  be a theory with all axioms identical with the axioms of  $\text{ZF}$  with the*  
 552 *exception of Replacement and Specification schemes, which are replaced with*  
 553 *Replacement<sub>2</sub> and Specification<sub>2</sub> respectively.*

554 TODO see Hanf-Scott [kanamori:61]?

555 TODO full reflection, partial reflection

### 556 3.3 Inaccessibility

557 **Definition 3.12** (*limit cardinal*) *kappa is a limit cardinal if it is  $\aleph_\alpha$  for*  
 558 *some limit ordinal  $\alpha$ .*

559 **Definition 3.13** (*strong limit cardinal*) *kappa is a strong limit cardinal if*  
 560 *for every  $\lambda < \kappa$ ,  $2^\lambda < \kappa$*

561 The two above definition become equivalent when we assume *GCH*.

562 **Definition 3.14** (*weak inaccessibility*) *An uncountable cardinal  $\kappa$  is weakly*  
 563 *inaccessible  $\leftrightarrow$  it is regular and limit.*

564 **Definition 3.15** (*inaccessibility*) *An uncountable cardinal  $\kappa$  is inaccessible*  
 565 *(written  $\text{In}(\alpha)$ )  $\leftrightarrow$  it is regular and strongly limit.*

566

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

569 **Theorem 3.16** *The following are equivalent:*

570 1.  $\kappa$  *in inaccessible*

571 2.  $\langle V_\kappa, \in \rangle \models \text{ZFC}$

572 *Proof.* Let's first prove that if  $\kappa$  is inaccessible, it is a model of ZFC. We  
 573 will do that by verifying the axioms of ZFC just like Kanamori does it in  
 574 1.2 in [1]. Because  $\kappa$  is a limit ordinal, there's no need for us to verify  
 575 the Powerset, Foundation, Extensionality, Subset, Pairing and Union axioms  
 576 and the Specification scheme. Thus we only have the Replacement Scheme  
 577 to verify.

578 Given an arbitrary set  $x \in V_\kappa$  and a function  $F : x \rightarrow V_\kappa$ , we need to  
 579 verify that  $y = F[x]$  is indeed a set and that it is an element of  $V_\kappa$ . The  
 580 fact that  $F$  is a function implies that  $|y| \leq |x|$ . It follows from Specification  
 581 that  $y \subset V_\kappa$ , which is still not exactly what we want. Let  $\alpha < \kappa$  be the least  
 582 ordinal such that  $y \in V_\alpha$ <sup>26</sup>, since  $V_{\alpha+1} = \mathcal{P}(V_\alpha)$ ,  $y \in V_{\alpha+1}$ , together with  
 583  $\alpha + 1 < \kappa$  this means that  $y \in V_\kappa$ .

584  
 585 We will now show that if a set is a model of ZFC, it is in fact an inaccessible  
 586 cardinal. So let  $V_\kappa$  be a model of ZFC which means that it is closed under  
 587 the powerset operation, in other words:

$$\forall \lambda (\lambda < \kappa \rightarrow 2^\lambda < \kappa) \quad (3.33)$$

588 which is exactly the definition of strong limitness.  $\kappa$  is regular from the  
 589 following argument by contradiction:

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

$$F(x) = y \quad (3.34)$$

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

$$\begin{aligned} &(\forall x, y, z (\varphi(x, y) \& \varphi(x, z) \rightarrow y = z)) \rightarrow \\ &\rightarrow (\forall x \exists y \forall z (z \in y \leftrightarrow \exists w (\varphi(w, z)))) \end{aligned} \quad (3.35)$$

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

599  
 600 The same holds for  $\text{ZF}_2$ , the proof is very similar.

### Theorem 3.17

$$V_\kappa \models \text{ZF}_2 \leftrightarrow \kappa \text{ is inaccessible} \quad (3.36)$$

601 *Proof.*  $\kappa$  is a strong limit cardinal because from  $\text{ZF}_2$  and the Powerset Axiom  
 602 we know that for every  $\lambda < \kappa$ , we know that  $2^\lambda < \kappa$ .

603  $\kappa$  is also regular, because otherwise there would be an ordinal  $\alpha$  and  
 604 a function  $F : \alpha \rightarrow \kappa$  with a range unbounded in  $\kappa$ . *Replacement*<sup>2</sup> gives us

<sup>26</sup>TODO pozor – jak vime ze takove alpha existuje?



605 a set  $y = F[\alpha]$ , so  $y \in V_\kappa$ , which contradicts the fact that  $\sup(y) = \kappa$ . It  
 606 can not be the case that  $\kappa \in V_\kappa$ .

607

608 The other direction is exactly like the first part of above theorem 3.16.  
 609 □

610

611 This is how the existence of an inaccessible cardinal is established in [2].

612 **Definition 3.18**  $N$

613

$$\exists u(In(\alpha) \ \& \ \forall x_1, \dots, x_n (x_1, \dots, x_n \in u \rightarrow (\varphi \leftrightarrow \varphi^u))) \quad (3.37)$$

614 It is interesting to see that the above schema yields the first inaccessible  
 615 cardinal if we take for  $\varphi$  the conjunction of all axioms of  $\mathbf{ZF}_2$ .

616

617 To see that inaccessible cardinal can be also obtained by a fixed-point  
 618 axiom (or a scheme if were in first-order logic), see the following theorem by  
 619 Lévy, we won't repeat the proof here, it is available in [2, Theorem 3],

**Theorem 3.19**

$$M \leftrightarrow N \quad (3.38)$$

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

624 Since we can find an inaccessible set larger than any chosen set  $M_0$ , it  
 625 is clear that there are arbitrarily large inaccessible cardinals in  $V$ , they are  
 626 "unbounded"<sup>27</sup> in  $V$ . If  $V$  were a cardinal, we could say that there are  $V$   
 627 inaccessible cardinals less than  $V$ , but this statement of course makes no sense  
 628 in set theory as is because  $V$  is not a set. But being more careful, we could  
 629 find a property that can be formalized in second-order logic and reflect it to  
 630 an initial segment of  $V$ . That would allow us to construct large cardinals  
 631 more efficiently than by adding inaccessibles one by one. The property we  
 632 are looking for ought to look like something like this:

$$\begin{aligned} &\kappa \text{ is an inaccessible cardinal and} \\ &\text{there are } \kappa \text{ inaccessible cardinals } \mu < \kappa \end{aligned} \quad (3.39)$$

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

635

---

<sup>27</sup>The notion is formally defined for sets, but the meaning should be obvious.

**Definition 3.20** *0-inaccessible cardinal*  
*A cardinal  $\kappa$  is 0-inaccessible if it is inaccessible.*

We can define  $\alpha$ -weakly-inaccessible cardinals analogously with the only difference that those are limit, not strongly limit.

**Definition 3.21**  *$\alpha$ -hyper-inaccessible cardinal*  
*For any ordinal  $\alpha$ ,  $\kappa$  is called  $\alpha$ -inaccessible, if  $\kappa$  is inaccessible and for each  $\beta \upharpoonright \alpha$ , the set of  $\beta$ -inaccessible cardinals less than  $\kappa$  is unbounded in  $\kappa$ .*

Because  $\kappa$  is inaccessible and therefore regular, the number of  $\beta$ -inaccessibles below  $\kappa$  is equal to  $\kappa$ . We have therefore successfully formalized the above vague notion of hyper-inaccessible cardinal into a hierarchy of  $\alpha$ -inaccessibles.

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

**Definition 3.22** *Hyper-inaccessible cardinal*  
 *$\kappa$  is called the hyper-inaccessible, also 0-hyper-inaccessible, cardinal if it is  $\alpha$ -inaccessible for every  $\alpha < \kappa$ .*

**Definition 3.23**  *$\alpha$ -hyper-inaccessible cardinal*  
*For any ordinal  $\alpha$ ,  $\kappa$  is called  $\alpha$ -hyper-inaccessible cardinal if for each ordinal  $\beta < \alpha$ , the set of  $\beta$ -hyper-inaccessible cardinals less than  $\kappa$  is unbounded in  $\kappa$ .*

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.

### 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 papers (see [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 of the idea behind Mahlo's hierarchy of cardinals, all claims made here ought to be stated formally later in the very same chapter.

At the very end of section 3.3, we have tried to establish the notion of hyper-inaccessibility and iterate it to yield even larger large cardinals. In order to avoid too bulky cardinal names, let's try a different route and establish those cardinals directly via reflection.

The following two definitions come from [7] and while they are rather informal, we will find them very helpful for understanding the Mahlo cardinals.

**Definition 3.24** *Fixed-point property*

For any  $\psi(x, u_1, \dots, u_n)$  which is any property of ordinals, we say that a property  $\varphi$  is a fixed-point property if  $\varphi$  has the form

$$\begin{aligned} & x \text{ is an inaccessible cardinal and} \\ & \text{there are } x \text{ ordinals less than } x \text{ that have the property } \psi(x, u_1, \dots, u_n). \end{aligned} \tag{3.40}$$

**Definition 3.25** *Fixed-point reflection*

If  $\varphi$  is a fixed-point property that holds for  $V$ , it also holds for some  $V_\alpha$ , an initial segment of  $V$ .

Obviously those are in on way rigorous definitions because we have no idea what  $\psi(x, u_1, \dots, u_n)$  looks like. Let's try to restate the same idea in a useful way. But first, let's show that the formal counterpart of the idea of containing "enough" ordinals with a property is the notion of stationary set.

**Definition 3.26** *Supremum*

Given  $A$  a set of ordinals, the supremum of  $A$ , denoted  $\sup(A)$ , is the least upper bound of  $A$ .

$$\sup(A) = \bigcup A \tag{3.41}$$

where  $\alpha$  is an ordinal.

699 **Definition 3.27** *Limit point*

700 *Given  $A$ , a set of ordinals and an ordinal  $\alpha$ , we say that  $\alpha$  is a limit point*  
 701 *of  $A$  if  $\sup(A \cap \alpha) = \alpha$*

702 **Definition 3.28** *Club set*

703 *For a regular uncountable  $\kappa$ , a set  $A \subset \kappa$  is a closed unbounded subset*  
 704 *(often abbreviated as a club set) iff  $A$  is both closed, which means it contains*  
 705 *all it's limit points, and unbounded, which means that for every  $\beta \prec \kappa$  there*  
 706 *is a  $\beta' \in A$  such that  $\beta < \beta' < \kappa$ .*

707 **Definition 3.29** *Stationary set*

708 *For a regular uncountable  $\kappa$ , a set  $A \subset \kappa$  is stationary if it intersects every*  
 709 *club subset of  $\kappa$ .*

710 **Theorem 3.30** *The intersection of fewer than  $\kappa^{28}$  club subsets of  $\kappa$  is a club*  
 711 *set.*

712 For proof, see [3, Theorem 8.3]

713 **Definition 3.31** *Weakly Mahlo Cardinal*

714  *$\kappa$  is weakly Mahlo  $\leftrightarrow$  it is a regular limit ordinal and the set of all regular*  
 715 *ordinals less than  $\kappa$  is stationary in  $\kappa$*

716 **Definition 3.32** *Mahlo Cardinal*

717  *$\kappa$  is a Mahlo Cardinal iff it is an inaccessible cardinal and the set of all*  
 718 *inaccessible ordinals less than  $\kappa$  is stationary in  $\kappa$ .*

719 It is interesting to note, that weakly-Mahlo cardinals are fixed points of  
 720  $\alpha$ -weakly inaccessible cardinals, so if  $\kappa$  is weakly mahlo, .. viz Kanamori  
 721 Proposition 1.1

722 Analogously,

723 **Definition 3.33**  *$\alpha$ -Mahlo Cardinal*

724  *$\kappa$  is a  $\alpha$ -Mahlo Cardinal iff it is an  $\alpha$ -inaccessible cardinal and the set of all*  
 725  *$\alpha$ -inaccessible ordinals less than  $\kappa$  is stationary in  $\kappa$ .*

726

727 In other words,  $\kappa$  is a mahlo cardinal if it is inaccessible and every club  
 728 set in  $\kappa$  contains an inaccessible cardinal. This is exactly the notion of fixed-  
 729 point reflection we were trying to show earlier.

730

731 TODO cite drake?

---

<sup>28</sup> $\kappa$  is again a regular uncountable cardinal and it will always be when we will be talking about club sets.

**Definition 3.34** *The following definitions are equivalent:*

- (i)  $\kappa$  is Mahlo
- (ii)  $\kappa$  is weakly Mahlo and strong limit
- (iii) The set  $\{\lambda < \kappa : \lambda \text{ is inaccessible}\}$  is stationary in  $\kappa$ .
- (iv) Every normal function on  $\kappa$  has an inaccessible fixed point.

*Proof.* (i)  $\leftrightarrow$  (ii) Let  $\kappa_1$  be a mahlo cardinal and let  $\kappa_2$  be a strong limit weakly Mahlo cardinal. We know from the definitions that the set  $\{\lambda < \kappa : \lambda \text{ is inaccessible}\}$  is stationary in both  $\kappa_1$  and  $\kappa_2$ , the only difference being that  $\kappa_1$  is a strongly limit cardinal, but  $\kappa_2$  would be limit from weak Mahloness, wasn't it for the fact that it is also strong limit. This eliminates the only difference between them and therefore  $\kappa_1$  is also strong limit weakly Mahlo cardinal and  $\kappa_2$  is Mahlo.

(i)  $\rightarrow$  (iii) We know that  $\kappa$  is uncountable, regular, strong limit and that the set  $S = \{\lambda < \kappa : \lambda \text{ is regular}\}$  is stationary in  $\kappa$ . We want to prove that  $S' = \{\lambda < \kappa : \lambda \text{ is inaccessible}\}$  is thus also stationary in  $\kappa$ .

Since stationary set intersects every club set in  $\kappa$ , let  $C$  be any such set. Let  $D = \{\lambda < \kappa : \lambda \text{ is strong limit}\}$ .  $D$  is a club set because TODO. Since intersection of less than  $\kappa$  club sets is a club set,  $C \cap D \neq \emptyset$ .

TODO proc  $\lambda = S \cap C \cap D$  je inaccessible?

(iii)  $\rightarrow$  (iv)

TODO jak to dela Levy?

(iv)  $\rightarrow$  (i)

TODO jak to dela Levy?

range kazde normalni funkce je club v On. (nevadi ze On je trida?)

co treba lemma ze pevne body tvori taky club set

mozna by stacilo ze jsou unbounded, tedy kazda normalni funkce ma libovolne velke pevne body.  $\square$

TODO obdoba pro  $\alpha$ -Mahlo kardinaly

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

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

### 3.5 Indescribability

TODO indescribable – reflecting indescribability – we can't reach  $V$  by a  $\Sigma_1^1$  formula, so there's some initial segment  $V_\alpha$  that is also unreachable (we

770 say indescribable) by the means of a ... formula

771 TODO co je "partition property"?

772 TODO pak dk. ekvivalenci

773 TODO Kanamori 6.3

774 **Definition 3.35** A cardinal  $\kappa$  is weakly compact if it is uncountable and  
 775 satisfies the partition property  $\kappa \rightarrow (\kappa)^2$

776 opsano z jecha!

777 TODO definice pres nepopsatelnost, ekvivalence

## 778 3.6 Bernays–Gödel Set Theory

779

780 TODO Plagiat – prepsat a vysvetlit

781 TODO

## 782 3.7 Reflection and the constructible universe

783 TODO reflektovat muzeme jenom kardinaly konzistentni s  $V=L$ , proc?

784 TODO Plagiat – prepsat a vysvetlit

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

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

794 TODO zduvodneni

795

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

798

799 TODO asi nekde bude meritelny kardinal

800 **4 Conclusion**

801 TODO na konec

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