

COMPLEXITY OF DEEP COMPUTATIONS VIA TOPOLOGY OF FUNCTION SPACES

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ABSTRACT. We study complexity of deep computations. We use topology of function spaces, specifically, the classification Rosenthal compacta, to identify new complexity classes. We use the language of model theory, specifically, the concept of the independence from Shelah’s classification theory, to translate between topology and computation.

INTRODUCTION

In this paper we study limit behavior of real-valued computations as the value of certain parameters of the computation model tend towards infinity, or towards zero, or towards some other fixed value, e.g., the depth of a neural network tending to infinity, or the time interval between layers of the network tending toward zero. Recently, particular cases of this situation have attracted considerable attention in deep learning research (e.g., Neural Ordinary Differential Equations [CRBD], Physics-Informed Neural Networks [RPK19], deep equilibrium models [BKK], among others). In this paper, we combine ideas of topology, measure theory, and model theory to study these limit phenomena from a unified viewpoint.

Informed by model theory, to each computation in a given computation model, we associate a continuous real-valued function, called the *type* of the computation, that describes the logical properties of this computation with respect to the rest of the model. This allows us to view computations in any given computational model as elements of a space of real-valued functions, which is called the *space of types* of the model. The idea of embedding models of theories into their type spaces is central in model theory. The embedding of computations into spaces of types allows us to utilize the vast theory of topology of function spaces, known as C_p -theory, to obtain results about complexity of topological limits of computations. As we shall indicate next, recent classification results for spaces of functions provide an elegant and powerful machinery to classify computations according to their levels of “tameness” or “wildness”, with the former corresponding roughly to polynomial approximability and the latter to exponential approximability. The viewpoint of spaces of types, which we have borrowed from model theory, thus becomes a “Rosetta stone” that allows us to interconnect various classification programs: In topology, the classification of Rosenthal compacta pioneered by Todorčević [Tod99]; in logic, the classification of theories developed by Shelah [She90]; and in statistical learning, the notion PAC learning and VC dimension pioneered by Vapkins and Chervonenkis [VC74, VC71].

³⁶ In a previous paper [ADIW24], we introduced the concept of limits of computations, which we called *ultracomputations* (given they arise as ultrafilter limits of

³⁸ standard computations) and *deep computations* (following usage in machine learning [BKK]). There is a technical difference between both designations, but in this
³⁹ paper, to simplify the nomenclature, we will ignore the difference and use only the
⁴⁰ term “deep computation”.

⁴¹ In [ADIW24], we proved a new “tame vs wild” (i.e., polynomial vs exponential)
⁴² dichotomy for complexity of deep computations by invoking a classical result of
⁴³ Grothendieck from late 50s [Gro52]. Under our model-theoretic Rosetta stone,
⁴⁴ polynomial approximability in the sense of computation becomes identified with the
⁴⁵ notion of continuous extendability in the sense of topology, and with the notions of
⁴⁶ *stability* and *type definability* in the sense of model theory.
⁴⁷

⁴⁸ In this paper, we follow a more general approach, i.e., we view deep computations
⁴⁹ as pointwise limits of continuous functions. In topology functions that arise as the
⁵⁰ pointwise limit of a sequence of continuous are called *functions of the first Baire*
⁵¹ class, or *Baire class 1* functions, or *Baire-1* for short; Baire class 1 form a step above
⁵² simple continuity in the hierarchy of functions studied in real analysis (Baire class
⁵³ 0 functions being continuous functions). Intuitively, Baire-1 functions represent
⁵⁴ functions with “controlled” discontinuities, so they are crucial in topology and set
⁵⁵ theory.

⁵⁶ We prove a new “tame vs wild” Ramsey-theoretic dichotomy for complexity of
⁵⁷ general deep computations by invoking a famous paper by Bourgain, Fremlin and
⁵⁸ Talagrand from the late 70s [BFT78], and a new trichotomy for the class of “tame”
⁵⁹ deep computations by invoking an equally celebrated result of Todorčević, from the
⁶⁰ late 90s, for functions of the first Baire class [Tod99].

⁶¹ Todorčević’s trichotomy regards *Rosenthal compacta*; these are special classes of
⁶² topological spaces, defined as compact spaces that can be embedded (homeomor-
⁶³ phically identified as a subset) within the space of Baire class 1 functions on some
⁶⁴ Polish (separable, complete metric) space, under the pointwise convergence topol-
⁶⁵ ogy. Rosenthal compacta exhibit “topological tameness,” meaning that they behave
⁶⁶ in relatively controlled ways, and since the late 70’s, they have played a crucial role
⁶⁷ for understanding complexity of structures of functional analysis, especially, Banach
⁶⁸ spaces. Todorčević’s trichotomy has been utilized to settle longstanding problems
⁶⁹ in topological dynamics and topological entropy [GM22].

⁷⁰ Through our Rosetta stone, Rosenthal compacta in topology correspond to the
⁷¹ important concept of “No Independence Property” (known as “NIP”) in model
⁷² theory, identified by Shelah [She71, She90], and to the concept of Probably Ap-
⁷³ proximately Correct learning (known as “PAC learnability”) in statistical learning
⁷⁴ theory identified by Valiant [Val84].

⁷⁵ Going beyond Todorčević’s trichotomy, we invoke a more recent heptachotomy
⁷⁶ for Rosenthal compacta obtained by Argyros, Dodos and Kanellopoulos [ADK08].
⁷⁷ Argyros, Dodos and Kanellopoulos identified seven fundamental “prototypes” of
⁷⁸ separable Rosenthal compacta, and proved that any non-metrizable separable Rosen-
⁷⁹ thal compactum must contain a “canonical” embedding of one of these prototypes.
⁸⁰ They showed that if a separable Rosenthal compactum is not hereditarily separable,
⁸¹ it must contain an uncountable discrete subspace of the size of the continuum.

⁸² We believe that the results presented in this paper show practitioners of com-
⁸³ putation, or topology, or descriptive set theory, or model theory, how classification
⁸⁴ invariants used in their field translate into classification invariants of other fields.
⁸⁵ However, in the interest of accessibility, we do not assume previous familiarity with

86 high-level topology or model theory, or computing. The only technical prerequisite
 87 of the paper is undergraduate-level topology and measure theory. The necessary
 88 topological background beyond undergraduate topology is covered in section 1.

89 In section 1, we present the basic topological and combinatorial preliminaries,
 90 and in section 2, we introduce the structural/model-theoretic viewpoint (no previ-
 91 ous exposure to model theory is needed). Section 3 is devoted to the classification
 92 of deep computations. The final section, section 4, presents the probabilistic view-
 93 point.

94 Throughout the paper, we focus on classical computation; however, by refining
 95 the model-theoretic tools, the results presented here can be extended to quantum
 96 computation and open quantum systems. This extension will be addressed in a
 97 forthcoming paper.

98

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123

1. GENERAL TOPOLOGICAL PRELIMINARIES: FROM CONTINUITY TO BAIRE
CLASS 1

124

125 In this section we present the preliminaries from general topology and function
 126 space theory. We include some of the proofs for completeness, but the reader
 127 familiar with these topics may skip them.

128 Recall that a subset of a topological space is F_σ if it is a countable union of
 129 closed sets, and G_δ if it is a countable intersection of closed sets. Note that in a
 130 metrizable space, every open set is F_σ ; equivalently, every closed set is G_δ .

131 A *Polish space* is a separable and completely metrizable topological space. The
 132 most important examples are the reals \mathbb{R} , the Cantor space $2^\mathbb{N}$ (the set of all infinite
 133 binary sequences, endowed with the product topology), and the Baire space $\mathbb{N}^\mathbb{N}$ (the
 134 set of all infinite sequences of naturals, also with the product topology). Countable
 135 products of Polish spaces are Polish; this includes spaces like $\mathbb{R}^\mathbb{N}$, the space of
 136 sequences of real numbers.

137 In this paper, we shall often discuss subspaces, and so there is a pertinent subtlety
 138 of the definitions worth mentioning: *completely metrizable space* is not the same as
 139 *complete metric space*; for an illustrative example, the interval $(0, 1)$ with the metric
 140 inherited from the reals is not complete, but it is Polish since it is homeomorphic to
 141 the real line. Being Polish is a topological property.

142 The following result is a cornerstone of descriptive set theory, closely tied to the
 143 work of Waclaw Sierpiński and Kazimierz Kuratowski, with proofs often built upon
 144 their foundations and formalized later, notably, involving Stefan Mazurkiewicz's
 145 work on complete metric spaces.

146 **Fact 1.1.** *A subset A of a Polish space X is itself Polish in the subspace topology
 147 if and only if it is a G_δ set. In particular, closed subsets and open subsets of Polish
 148 spaces are also Polish spaces.*

149 Given two topological spaces X and Y we denote by $C_p(X, Y)$ the set of all
 150 continuous functions $f : X \rightarrow Y$ endowed with the topology of pointwise conver-
 151 gence. When $Y = \mathbb{R}$, we denote this collection simply as $C_p(X)$. A natural ques-
 152 tion is, how do topological properties of X translate into $C_p(X)$ and vice versa?
 153 These questions, and in general the study of these spaces, are the concern of C_p -
 154 theory, an active field of research in general topology which was pioneered by A. V.
 155 Arhangel'ski and his students in the 1970's and 1980's. This field has found many
 156 applications in model theory and functional analysis. Recent surveys on the topics
 157 include [HT23] and [Tka11].

158 A *Baire class 1* function between topological spaces is a function that can be
 159 expressed as the pointwise limit of a sequence of continuous functions. If X and Y
 160 are topological spaces, the Baire class 1 functions $f : X \rightarrow Y$ endowed with the
 161 topology of pointwise convergence is denoted $B_1(X, Y)$. As above, in the special
 162 case $Y = \mathbb{R}$ we denote $B_1(X, Y)$ as $B_1(X)$. Clearly, $C_p(X, Y) \subseteq B_1(X, Y)$.
 163 The Baire hierarchy of functions was introduced by René-Louis Baire in his 1899
 164 doctoral thesis, *Sur les fonctions de variables réelles*. His work moved away from
 165 the 19th-century preoccupation with “pathological” functions toward a constructive
 166 classification based on pointwise limits.

167 A topological space X is *perfectly normal* if it is normal and every closed subset
 168 of X is a G_δ (equivalently, every open subset of X is a G_δ). Note that every
 169 metrizable space is perfectly normal.

170 The following fact was established by Baire in thesis. A proof can be found in
 171 Section 10 of [Tod97].

172 **Fact 1.2** (Baire). *If X is perfectly normal, then the following conditions are equiv-
 173 alent for a function $f : X \rightarrow \mathbb{R}$:*

- f is a Baire class 1 function, that is, f is a pointwise limit of continuous functions..
 - $f^{-1}[U]$ is an F_σ subset of X whenever $U \subseteq Y$ is open.
 - For every closed $F \subseteq X$, the restriction $f|_F$ has a point of continuity.
- Moreover, if X is Polish and $f \notin B_1(X)$, then there exists countable $D_0, D_1 \subseteq X$ and reals $a < b$ such that

$$D_0 \subseteq f^{-1}(-\infty, a], \quad D_1 \subseteq f^{-1}[b, \infty), \quad \overline{D_0} = \overline{D_1}.$$

A subset L of a topological space X is *relatively compact* in X if the closure of L in X is compact. Relatively compact subsets of $B_1(X)$ (for X Polish) have been objects of interest for researchers in Analysis and Topological Dynamics. We begin with the following well-known result. Recall that a set $A \subseteq \mathbb{R}^X$ of real-valued functions is *pointwise bounded* if for every $x \in X$ there is $M_x > 0$ such that $|f(x)| < M_x$ for all $f \in A$. We include a proof for the reader's convenience:

Lemma 1.3. *Let X be a Polish space and $A \subseteq B_1(X)$ be pointwise bounded. The following are equivalent:*

- (i) A is relatively compact in $B_1(X)$.
- (ii) A is relatively countably compact in $B_1(X)$, i.e., every countable subset of A has an accumulation point in $B_1(X)$.
- (iii) $\overline{A} \subseteq B_1(X)$, where \overline{A} denotes the closure in \mathbb{R}^X .

Proof. Since A is pointwise bounded, for each $x \in X$, fix $M_x > 0$ such that $|f(x)| \leq M_x$ for every $f \in A$.

(i) \Rightarrow (ii) holds in general.

(ii) \Rightarrow (iii) Assume that A is relatively countably compact in $B_1(X)$ and that $f \in \overline{A} \setminus B_1(X)$. By Fact 1.2, there are countable $D_0, D_1 \subseteq X$ with $\overline{D_0} = \overline{D_1}$, and $a < b$ such that $D_0 \subseteq f^{-1}(-\infty, a]$ and $D_1 \subseteq f^{-1}[b, \infty)$. We claim that there is a sequence $\{f_n\}_{n \in \mathbb{N}} \subseteq A$ such that $\lim_{n \rightarrow \infty} f_n(x) = f(x)$ for all $x \in D_0 \cup D_1$. Indeed, use the countability to enumerate $D_0 \cup D_1$ as $\{x_n\}_{n \in \mathbb{N}}$. Then for each positive n find $f_n \in A$ with $|f_n(x_i) - f(x_i)| < \frac{1}{n}$ for all $i \leq n$. The claim follows.

By relative countable compactness of A , there is an accumulation point $g \in B_1(X)$ of $\{f_n\}_{n \in \mathbb{N}}$. It is straightforward to show that since f and g agree on $D_0 \cup D_1$, g does not have a point of continuity on the closed set $\overline{D_0} = \overline{D_1}$, which contradicts Fact 1.2.

(iii) \Rightarrow (i) Suppose that $\overline{A} \subseteq B_1(X)$. Then $\overline{A} \cap B_1(X) = \overline{A}$ is a closed subset of $\prod_{x \in X} [-M_x, M_x]$; Tychonoff's theorem states that the product of compact spaces is always compact, and since closed subsets of compact spaces are compact, \overline{A} must be compact, as desired. \square

1.1. From Rosenthal's dichotomy to the Bourgain-Fremlin-Talagrand dichotomy to Shelah's NIP. In metrizable spaces, points of closure of some subset can always be approximated by points inside the set, via a convergent sequence. For more complicated spaces, such as $C_p(X)$, this fails in remarkable ways. To see an example, consider the Cantor space $X = 2^\mathbb{N}$, and for each $n \in \mathbb{N}$ define $p_n : X \rightarrow \{0, 1\}$ by $p_n(x) = x(n)$ for each $x \in X$. Then p_n is continuous for each n , but one can show (see Chapter 1.1 of [Tod97] for details) that the only continuous functions in the closure of $\{p_n\}_{n \in \mathbb{N}}$ are the functions p_n themselves; moreover, none of the subsequences of $\{p_n\}_{n \in \mathbb{N}}$ converge. In some sense, this example is the worst possible scenario for convergence. The topological space obtained from this

closure is well-known: it is the *Stone-Čech compactification* of the discrete space of natural numbers, or $\beta\mathbb{N}$ for short, and it is an important object of study in general topology.

The following theorem, established by Haskell Rosenthal in 1974, is fundamental in functional analysis, and describes a sharp division in the behavior of sequences in a Banach spaces. I

Theorem 1.4 (Rosenthal's Dichotomy, [Ros74]). *If X is Polish and $\{f_n\} \subseteq C_p(X)$ is pointwise bounded, then either $\{f_n\}_{n \in \mathbb{N}}$ contains a convergent subsequence or a subsequence whose closure (in \mathbb{R}^X) is homeomorphic to $\beta\mathbb{N}$.*

In other words, a pointwise bounded set of continuous functions either contains a convergent subsequence, or a subsequence whose closure is essentially the same as the example mentioned in the previous paragraphs (the “wildest” possible scenario). Note that in the preceding example, the functions are trivially pointwise bounded in \mathbb{R}^X as the functions can only take values 0 and 1.

The genesis of Theorem 1.4 was Rosenthal's ℓ_1 theorem, which states that the only reason why Banach space can fail to have an isomorphic copy of ℓ_1 (the space of absolutely summable sequences) is the presence of a bounded sequence with no weakly Cauchy subsequence. The theorem is famous for connecting diverse areas of mathematics, namely, Banach space geometry, Ramsey theory, set theory, and topology of function spaces.

As we move from $C_p(X)$ to the larger space $B_1(X)$, we find a similar dichotomy. Either every point of closure of the set of functions will be a Baire class 1 function, or there is a sequence inside the set that behaves in the wildest possible way. The theorem is usually not phrased as a dichotomy, but rather as an equivalence:

Theorem 1.5 (“The BFT Dichotomy”). Bourgain-Fremlin-Talagrand [BFT78, Theorem 4G]). *Let X be a Polish space and $A \subseteq C_p(X)$ be pointwise bounded. The following are equivalent:*

- (i) *A is relatively compact in $B_1(X)$, i.e., $\overline{A} \subseteq B_1(X)$.*
- (ii) *For every $\{f_n\}_{n \in \mathbb{N}} \subseteq A$ and every $a < b$ there is $I \subseteq \mathbb{N}$ such that*

$$\bigcap_{n \in I} f_n^{-1}(-\infty, a] \cap \bigcap_{n \notin I} f_n^{-1}[b, \infty) = \emptyset.$$

Definition 1.6. We shall say that a set $A \subseteq \mathbb{R}^X$ satisfies the *Independence Property*, or IP for short, if it satisfies the following condition: There exists every $\{f_n\}_{n \in \mathbb{N}} \subseteq A$ and $a < b$ such that for every pair of disjoint sets $E, F \subseteq \mathbb{N}$, we have

$$\bigcap_{n \in E} f_n^{-1}(-\infty, a] \cap \bigcap_{n \in F} f_n^{-1}[b, \infty) \neq \emptyset.$$

If A satisfies the negation of this condition, we will say that A satisfies NIP, or that has the NIP.

Remark 1.7. Note that if X is compact and $A \subseteq C_p(X)$, then A satisfies the NIP if and only if for every $\{f_n\}_{n \in \mathbb{N}} \subseteq A$ and for every $a < b$ there is $I \subseteq \mathbb{N}$ such that

$$\bigcap_{n \in I} f_n^{-1}(-\infty, a] \cap \bigcap_{n \notin I} f_n^{-1}[b, \infty) = \emptyset.$$

To summarize, the particular case of Theorem 1.8 for X compact can be stated in the following way:

255 **Theorem 1.8.** *Let X be a compact Polish space. Then, for every pointwise bounded
256 $A \subseteq C_p(X)$, one and exactly one of the following two conditions must hold:*

- 257 (i) $\overline{A} \subseteq B_1(X)$.
258 (ii) A has NIP.

259 The Independence Property was first isolated by Saharon Shelah in model theory
260 as a dividing line between theories whose models are “tame” (corresponding to
261 NIP) theories of models are “wild” (corresponding to IP). See [She71, Definition
262 4.1],[She90]. We will discuss this dividing line in more detail in the next section.

263 **1.2. NIP as universal dividing line between polynomial and exponential
264 complexity.** The particular case of the BFT dichotomy (Theorem 1.8) when A
265 consists of $\{0, 1\}$ -valued (i.e., {Yes, No}-valued) strings was discovered indepen-
266 dently, around 1971-1972 in many foundational contexts related to polynomial
267 (“tame”) vs exponential (“wild”) complexity: In model theory, by Saharon She-
268 lah [She71],[She90], in combinatorics, by Norbert Sauer [Sau72], and Shelah [She72,
269 She90], and in statistical learning, by Vladimir Vapnik and Alexey Chervonenkis [VC71,
270 VC74].

271 **In model theory:** Shelah’s classification theory is a foundational program
272 in mathematical logic devised to categorize first-order theories based on
273 the complexity and structure of their models. A theory T is considered
274 classifiable in Shelah’s sense if the number of non-isomorphic models of T
275 of a given cardinality can be described by a bounded number of numerical
276 invariants. In contrast, a theory T is unclassifiable if the number of models
277 of T of a given cardinality is the maximum possible number. A key fact
278 is that the number of models of T is directly impacted by the number of
279 “types” over of parameters in models of T ; a controlled number of types is
280 a characteristic of a classifiable theory.

281 In Shelah’s classification program [She90], theories without the indepen-
282 dence property (called NIP theories, or dependent theories) have a well-
283 behaved, “tame” structure; the number of types over a set of parameters
284 of size κ of such a theory is of polynomially or similar “slow” growth on κ .
285 In contrast, Theories with the Independence Property (called IP theories)
286 are considered “intractable” or “wild”. A theory with the Independence
287 Property produces the maximum possible number of types over a set of
288 parameters; for a set of parameters of cardinality κ , the theory will have
289 2^{2^κ} -many distinct types.

290 **In combinatorics:** Sauer [Sau72] and Shelah [She72] proved the following:
291 If $\mathcal{F} = \{S_0, S_1, \dots\}$ is a family of subsets of some infinite set S , then
292 either for every $n \in \mathbb{N}$, there is either a set $A \subseteq S$ with $|A| = n$ such that
293 $|\{S_i \cap A) : i \in \mathbb{N}\}| = 2^n$ (yielding exponential complexity), or there exists
294 $N \in \mathbb{N}$ such that for every $A \subseteq S$ with $|A| \geq N$, one has

$$|\{S_i \cap A) : i \in \mathbb{N}\}| \leq \sum_{i=0}^{N-1} \binom{|A|}{i} \approx O(|A|^N)$$

295 (yielding polynomial complexity). This answered a question of Erdős.

296 **In machine learning:** Readers familiar with statistical learning may rec-
297 ognize the Sauer-Shelah lemma as the dichotomy discovered and proved

slightly earlier (1971) by Vapknis and Chervonenkis [VC71, VC74] to address the problem of uniform convergence in statistics. The least integer N given by the preceding paragraph, when it exists, is called the *VC-dimension* of \mathcal{F} . This is a core concept in machine learning. If such an integer N does not exist, we say that the VC-dimension of \mathcal{F} is infinite. The lemma provides upper bounds on the number of data points (sample size m) needed to learn a concept class with VC dimension $d \in \mathbb{N}$ by showing this number grows polynomially with m and d (namely, $\sum_{i=0}^d \binom{m}{i} \approx O(m^d)$), not exponentially. The Fundamental Theorem of Statistical Learning states that a hypothesis class is PAC-learnable (PAC stands for “Probably Approximately Correct”) if and only if its VC dimension is finite.

1.3. Rosenthal compacta. The comprehensiveness of Theorem 1.8, attested by the examples outlined in the preceding section, led to the following definition (isolated by Gilles Godefroy [God80]):

Definition 1.9. A Rosenthal compactum is a compact Hausdorff topological space K that can be topologically embedded as a compact subset into the space of all functions of the first Baire class on some Polish space X , equipped with the topology of pointwise convergence.

Rosenthal compacta are characterized by significant topological and dynamical tameness properties. They play an important role in functional analysis, measure theory, dynamical systems, descriptive set theory, and model theory. In this paper, we introduce their applicability in deep computation. For this, we shall first focus on countable languages, which is the theme of the next subsection.

1.4. The special case $B_1(X, \mathbb{R}^{\mathcal{P}})$ with \mathcal{P} countable. Our goal now is to characterize relatively compact subsets of $B_1(X, Y)$ for the particular case when $Y = \mathbb{R}^{\mathcal{P}}$ with \mathcal{P} countable. Given $P \in \mathcal{P}$ we denote the projection map onto the P -coordinate by $\pi_P : \mathbb{R}^{\mathcal{P}} \rightarrow \mathbb{R}$. From a high-level topological interpretation, the next lemma states that, in this context, the spaces \mathbb{R} and $\mathbb{R}^{\mathcal{P}}$ are really not that different, and that if we understand the Baire class 1 functions of one space, then we also understand the functions of both.

Lemma 1.10. Let X be a Polish space and \mathcal{P} be a countable set. Then, $f \in B_1(X, \mathbb{R}^{\mathcal{P}})$ if and only if $\pi_P \circ f \in B_1(X)$ for all $P \in \mathcal{P}$.

Proof. Only one implication needs a proof. Suppose that $\pi_P \circ f \in B_1(X)$ for all $P \in \mathcal{P}$. Let V be a basic open subset of $\mathbb{R}^{\mathcal{P}}$. That is, there exists a finite $\mathcal{P}' \subseteq \mathcal{P}$ such that $V = \bigcap_{P \in \mathcal{P}'} \pi_P^{-1}[U_P]$ where U_P is open in \mathbb{R} . Then,

$$f^{-1}[V] = \bigcap_{P \in \mathcal{P}'} (\pi_P \circ f)^{-1}[U_P]$$

is an F_σ set. Since \mathcal{P} is countable, $\mathbb{R}^{\mathcal{P}}$ is second countable so every open set U in $\mathbb{R}^{\mathcal{P}}$ is a countable union of basic open sets. Hence, $f^{-1}[U]$ is F_σ . \square

Below we consider \mathcal{P} with the discrete topology. For each $f : X \rightarrow \mathbb{R}^{\mathcal{P}}$ denote $\hat{f}(P, x) := \pi_P \circ f(x)$ for all $(P, x) \in \mathcal{P} \times X$. Similarly, for each $g : \mathcal{P} \times X \rightarrow \mathbb{R}$ denote $\check{g}(x)(P) := g(P, x)$. Given $A \subseteq (\mathbb{R}^{\mathcal{P}})^X$, we denote \hat{A} as the set of all \hat{f} such that $f \in A$. Note that the map $(\mathbb{R}^{\mathcal{P}})^X \rightarrow \mathbb{R}^{\mathcal{P} \times X}$ given by $f \mapsto \hat{f}$ is a homeomorphism and its inverse is given by $g \mapsto \check{g}$.

337 **Lemma 1.11.** *Let X be a Polish space and \mathcal{P} be countable. Then, $f \in B_1(X, \mathbb{R}^{\mathcal{P}})$*
338 *if and only if $\hat{f} \in B_1(\mathcal{P} \times X)$.*

Proof. (\Rightarrow) By Lemma 1.10, given an open set of reals U , we have $f^{-1}[\pi_P^{-1}[U]]$ is F_σ for every $P \in \mathcal{P}$. Given that \mathcal{P} is a discrete countable space, we observe that

$$\hat{f}^{-1}[U] = \bigcup_{P \in \mathcal{P}} (\{P\} \times f^{-1}[\pi_P^{-1}[U]])$$

339 is an F_σ as well.

(\Leftarrow) By lemma 1.10 it suffices to show that $\pi_P \circ f \in B_1(X)$ for all $P \in \mathcal{P}$. Fix an open $U \subseteq \mathbb{R}$. Write $\hat{f}^{-1}[U] = \bigcup_{n \in \mathbb{N}} F_n$ where F_n is closed in $\mathcal{P} \times X$. Then,

$$(\pi_P \circ f)^{-1}[U] = \bigcup_{n \in \mathbb{N}} \{x \in X : (P, x) \in F_n\}$$

340 which is F_σ . □

341 Given $A \subseteq Y^X$ and $K \subseteq X$ we write $A|_K := \{f|_K : f \in A\}$, i.e., the set of
342 all restrictions of functions in A to K . The following Theorem is a slightly more
343 general version of Theorem 1.8.

344 **Theorem 1.12.** *Assume that \mathcal{P} is countable, X is a Polish space, and $A \subseteq C_p(X, \mathbb{R}^{\mathcal{P}})$ is such that $\pi_P \circ A$ is pointwise bounded for all $P \in \mathcal{P}$. The following are equivalent for every compact $K \subseteq X$:*

- 347 (1) $\overline{A|_K} \subseteq B_1(K, \mathbb{R}^{\mathcal{P}})$.
- 348 (2) $\pi_P \circ A|_K$ satisfies the NIP for every $P \in \mathcal{P}$.

Proof. (1) \Rightarrow (2). Let $P \in \mathcal{P}$. Fix $\{f_n\}_{n \in \mathbb{N}} \subseteq A$ and $a < b$. By (1), we have $\overline{A|_K} \subseteq B_1(K, \mathbb{R}^{\mathcal{P}})$. Applying the homeomorphism $f \mapsto \hat{f}$ and using lemma 1.11 we get $\hat{A}|_{\mathcal{P} \times K} \subseteq B_1(\mathcal{P} \times K)$. By Theorem 1.8, there is $I \subseteq \mathbb{N}$ such that

$$(\mathcal{P} \times K) \cap \bigcap_{n \in I} \hat{f}_n^{-1}(-\infty, a] \cap \bigcap_{n \notin I} \hat{f}_n^{-1}[b, \infty) = \emptyset$$

Hence,

$$K \cap \bigcap_{n \in I} (\pi_P \circ f_n)^{-1}(-\infty, a] \cap \bigcap_{n \notin I} (\pi_P \circ f_n)^{-1}[b, \infty) = \emptyset$$

By the compactness of K , there are finite $E \subseteq I$ and $F \subseteq \mathbb{N} \setminus I$ such that

$$K \cap \bigcap_{n \in E} (\pi_P \circ f_n)^{-1}(-\infty, a] \cap \bigcap_{n \in F} (\pi_P \circ f_n)^{-1}[b, \infty) = \emptyset$$

349 Thus, $\pi_P \circ A|_L$ satisfies the NIP.

350 (2) \Rightarrow (1) Fix $f \in \overline{A|_K}$. By lemma 1.10 it suffices to show that $\pi_P \circ f \in B_1(K)$
351 for all $P \in \mathcal{P}$. By (2), $\pi_P \circ A|_K$ satisfies the NIP. Hence, by Theorem 1.8 we have
352 $\pi_P \circ A|_K \subseteq B_1(K)$. But then, $\pi_P \circ f \in \pi_P \circ A|_K \subseteq B_1(K)$. □

353 Lastly, a simple but useful lemma that helps understand when we restrict a set
354 of functions to a specific subspace of the domain space, we may always assume that
355 the subspace is closed, as replacing the subspace by its closure has no effect on NIP.

356 **Lemma 1.13.** *Assume that X is Hausdorff and that $A \subseteq C_p(X)$. The following*
357 *are equivalent for every $L \subseteq X$:*

- 358 (i) A_L satisfies the NIP.

359 (ii) $A|_{\bar{L}}$ satisfies the NIP.

Proof. It suffices to show that (i) \Rightarrow (ii). Suppose that (ii) does not hold, i.e., that there are $\{f_n\}_{n \in \mathbb{N}} \subseteq A$ and $a < b$ such that for all finite disjoint $E, F \subseteq \mathbb{N}$:

$$\bar{L} \cap \bigcap_{n \in E} f_n^{-1}(-\infty, a] \cap \bigcap_{n \in F} f_n^{-1}[b, \infty) \neq \emptyset.$$

Pick $a' < b'$ such that $a < a' < b' < b$. Then, for any finite disjoint $E, F \subseteq \mathbb{N}$ we can choose

$$x \in \bar{L} \cap \bigcap_{n \in E} f_n^{-1}(-\infty, a') \cap \bigcap_{n \in F} f_n^{-1}(b', \infty)$$

By definition of closure:

$$L \cap \bigcap_{n \in E} f_n^{-1}(-\infty, a'] \cap \bigcap_{n \in F} f_n^{-1}[b', \infty) \neq \emptyset.$$

360 This contradicts (i). □

361 2. COMPOSITIONAL COMPUTATION STRUCTURES: A STRUCTURAL APPROACH TO
362 FLOATING-POINT COMPUTATION

363 In this section, we connect function spaces with floating point computation. We
364 start by summarizing some basic concepts from [ADIW24].

365 A *computation states structure* is a pair (L, \mathcal{P}) , where L is a set whose elements we
366 call *states* and \mathcal{P} is a collection of real-valued functions on L that we call *predicates*.
367 For a state $v \in L$, *type* of v is defined as the indexed family

$$\text{tp}(v) = (P(v))_{P \in \mathcal{P}} \in \mathbb{R}^{\mathcal{P}}.$$

368 For each $P \in \mathcal{P}$, we call real value $P(v)$ the P -th *feature* of v . A *transition* of a
369 computation states structure (L, \mathcal{P}) is a map $f : L \rightarrow L$.

370 Intuitively, L is the set of states of a computation, and the predicates $P \in \mathcal{P}$
371 are primitives that are given and accepted as computational. We think of each
372 state $v \in L$ as being uniquely characterized by its type $\text{tp}(v)$. Thus, in practice,
373 we identify L with a subset of $\mathbb{R}^{\mathcal{P}}$. A typical case will be when $L = \mathbb{R}^{\mathbb{N}}$ or $L = \mathbb{R}^n$
374 for some positive integer n and there is a predicate $P_i(v) = v_i$ for each of the
375 coordinates v_i of v . We regard the space of types as a topological space, endowed
376 with the topology of pointwise convergence inherited from $\mathbb{R}^{\mathcal{P}}$. In particular, for
377 each $P \in \mathcal{P}$, the projection map $v \mapsto P(v)$ is continuous.

378 **Definition 2.1.** Given a computation states structure (L, \mathcal{P}) , any element of $\mathbb{R}^{\mathcal{P}}$
379 in the image of L under the map $v \mapsto \text{tp}(v)$ will be called a *realized type*. The
380 topological closure of the set of realized types in $\mathbb{R}^{\mathcal{P}}$ (endowed with the point-
381 wise convergence topology) will be called the *space of types* of (L, \mathcal{P}) , denoted \mathcal{L} .
382 Elements of $\mathcal{L} \setminus L$ will be called *unrealized types*.

383 In traditional model theory, the space of types of a structure is viewed as a sort
384 of compactification of the structure, and the compactness of type spaces plays a
385 central role. However, the space \mathcal{L} defined above is not necessarily compact. To
386 bypass this obstacle, we follow the idea introduced in [ADIW24] of covering \mathcal{L} by
387 “thin” compact subspaces that we call *shards*. The formal definition of shard is
388 next.

389 **Definition 2.2.** A *sizer* is a tuple $r_\bullet = (r_P)_{P \in \mathcal{P}}$ of positive real numbers indexed
390 by \mathcal{P} . Given a sizer r_\bullet , we define the r_\bullet -*shard* as:

$$L[r_\bullet] = L \cap \prod_{P \in \mathcal{P}} [-r_P, r_P].$$

391 For a sizer r_\bullet , the r_\bullet -*type shard* is defined as $\mathcal{L}[r_\bullet] = \overline{L[r_\bullet]}$. We define \mathcal{L}_{sh} , as
392 the union of all type-shards.

393 **Definition 2.3.** A *Compositional Computation Structure* (CCS) is a triple (L, \mathcal{P}, Γ) ,
394 where

- 395 • (L, \mathcal{P}) is a computation states structure, and
396 • $\Gamma \subseteq L^L$ is a semigroup under composition.

397 The elements of the semigroup Γ are called the *computations* of the structure
398 (L, \mathcal{P}, Γ) .

399 If $\Delta \subseteq \Gamma$, we say that $\Delta \subseteq \Gamma$ is *R-confined* if $\gamma|_{L[r_\bullet]} : L[r_\bullet] \rightarrow L[r_\bullet]$ for every
400 $r_\bullet \in R$ and $\gamma \in \Delta$. Elements in $\overline{\Delta} \subseteq \mathcal{L}_{\text{sh}}$ are called (real-valued) *deep computations*
401 or *ultracomputations*.

402 A tenet of our approach is that a map $f : L \rightarrow \mathcal{L}$ is to be considered “effectively
403 computable” if, for each $Q \in \mathcal{P}$, the output feature $Q \circ f : L \rightarrow \mathbb{R}$ is a *definable*
404 predicate in the following sense:

405 Given any arbitrary $\varepsilon > 0$ and any $K \subseteq L$ wherein every input feature $P(v)$
406 remains bounded in magnitude there is an ε -approximating continuous “algebraic”
407 operator $\varphi(P_1, \dots, P_n)$ of finitely many input predicates $P_1, \dots, P_n \in \mathcal{P}$, such that
408 the following holds: for all $v \in K$, the output feature $Q(f(v))$ is ε -approximated
409 by $\varphi(P_1(v), \dots, P_n(v))$. By “algebraic”, we mean that, aside from the primitives
410 P_1, \dots, P_n , the approximating operator $\varphi(P_1, \dots, P_n)$ uses only the algebra operations
411 of $\mathbb{R}^\mathcal{P}$, i.e., vector addition, vector multiplication, and scalar addition.

412 It is shown in [ADIW24]) that:

- 413 (1) For a definable $f : L \rightarrow \mathcal{L}$, the approximating operators φ may be taken to
414 be *polynomials* of the input features, and
- 415 (2) Definable transforms $f : L \rightarrow \mathcal{L}$ are precisely those that extend to contin-
416 uous $\tilde{f} : \mathcal{L} \rightarrow \mathcal{L}$ (this is the property of *extendibility* mentioned above).

417 This motivates the following definition.

418 **Definition 2.4.** We say that a CCS (L, \mathcal{P}, Γ) satisfies the *Extendability Axiom* if
419 for all $\gamma \in \Gamma$, there is $\tilde{\gamma} : \mathcal{L}_{\text{sh}} \rightarrow \mathcal{L}_{\text{sh}}$ such that for every sizer r_\bullet there is a sizer s_\bullet
420 such that $\tilde{\gamma}|_{\mathcal{L}[r_\bullet]} : \mathcal{L}[r_\bullet] \rightarrow \mathcal{L}[s_\bullet]$ is continuous. We refer to $\tilde{\gamma}$ as a *free* extension
421 of γ .

422 By the preceding remarks, the Extendability Axiom says that the elements of
423 the semigroup Γ are definable. For the rest of the paper, fix for each $\gamma \in \Gamma$ a free
424 extension $\tilde{\gamma}$ of γ . For any $\Delta \subseteq \Gamma$, let $\tilde{\Delta}$ denote $\{\tilde{\gamma} : \gamma \in \Delta\}$.

425 For a detailed discussion of the Extendability Axiom, we refer the reader to [ADIW24].

426 For an illustrative example, we can frame Newton’s polynomial root approxima-
427 tion method in the context of a CCS (see Example 5.6 of [ADIW24] for details) as
428 follows. Begin by considering the extended complex numbers $\hat{\mathbb{C}} := \mathbb{C} \cup \{\infty\}$ with
429 the usual Riemann sphere topology that makes it into a compact space (where
430 unbounded sequences converge to ∞). In fact, not only is this space compact,

but it is covered by the shard given by the sizer $(1, 1, 1)$ (the unit sphere is contained in the cube $[-1, 1]^3$). The space $\hat{\mathbb{C}}$ is homeomorphic to the usual unit sphere $S^2 := \{(x, y, z) : x^2 + y^2 + z^2 = 1\}$ of \mathbb{R}^3 , by means of the stereographic projection and its inverse $\hat{\mathbb{C}} \rightarrow S^2$. This function is regarded as a triple of predicates $x, y, z : \hat{\mathbb{C}} \rightarrow [-1, 1]$ where each will map an extended complex number to its corresponding real coordinate on the cube $[-1, 1]^3$. Now fix the cubic complex polynomial $p(s) := s^3 - 1$, and consider the map which performs one step in Newton's method at a particular (extended) complex number s , for finding a root of p , $\gamma_p : \hat{\mathbb{C}} \rightarrow \hat{\mathbb{C}}$. The explicit inner workings of γ_p are irrelevant for this example, except for the fact that it is a continuous mapping. It follows that $(S^2, \{x, y, z\}, \{\gamma_p^k : k \in \mathbb{N}\})$ is a CCS. The idea is that repeated applications of $\gamma_p(s), \gamma_p \circ \gamma_p(s), \gamma_p \circ \gamma_p \circ \gamma_p(s), \dots$ would approximate a root of p provided s was a good enough initial guess.

3. CLASSIFYING DEEP COMPUTATIONS

3.1. NIP, Rosenthal compacta, and deep computations. Under what conditions are deep computations Baire class 1, and thus well-behaved according to our framework, on type-shards? The following theorem says that, under the assumption that \mathcal{P} is countable, the space of deep computations is a Rosenthal compactum (when restricted to shards) if and only if the set of computations satisfies the NIP feature by feature. Hence, we can import the theory of Rosenthal compacta into this framework of deep computations.

Theorem 3.1. *Let (L, \mathcal{P}, Γ) be a compositional computational structure (Definition 2.3) satisfying the Extendability Axiom (Definition 2.4) with \mathcal{P} countable. Let R be an exhaustive collection of sizers. Let $\Delta \subseteq \Gamma$ be R -confined. The following are equivalent.*

- (1) $\overline{\tilde{\Delta}|_{\mathcal{L}[r_\bullet]}} \subseteq B_1(\mathcal{L}[r_\bullet], \mathcal{L}[r_\bullet])$ for all $r_\bullet \in R$.
- (2) $\pi_P \circ \Delta|_{L[r_\bullet]}$ satisfies the NIP for all $P \in \mathcal{P}$ and $r_\bullet \in R$; that is, for all $P \in \mathcal{P}$, $r_\bullet \in R$, $a < b$, $\{\gamma_n\}_{n \in \mathbb{N}} \subseteq \Delta$ there are finite disjoint $E, F \subseteq \mathbb{N}$ such that

$$L[r_\bullet] \cap \bigcap_{n \in E} (\pi_P \circ \gamma_n)^{-1}(-\infty, a] \cap \bigcap_{n \in F} (\pi_P \circ \gamma_n)^{-1}[b, \infty) = \emptyset.$$

Moreover, if any (hence all) of the preceding conditions hold, then every deep computation $f \in \overline{\Delta}$ can be extended to a Baire-1 function on shards, i.e., there is $\tilde{f} : \mathcal{L}_{sh} \rightarrow \mathcal{L}_{sh}$ such that $\tilde{f}|_{\mathcal{L}[r_\bullet]} \in B_1(\mathcal{L}[r_\bullet], \mathcal{L}[r_\bullet])$ for all $r_\bullet \in R$. In particular, on each shard every deep computation is the pointwise limit of a countable sequence of computations.

Proof. Since \mathcal{P} is countable, $\mathcal{L}[r_\bullet] \subseteq \mathbb{R}^\mathcal{P}$ is Polish. Also, the Extendability Axiom implies that $\pi_P \circ \tilde{\Delta}|_{\mathcal{L}[r_\bullet]}$ is a pointwise bounded set of continuous functions for all $P \in \mathcal{P}$. Hence, Theorem 1.12 and Lemma 1.13 prove the equivalence of (1) and (2). If (1) holds and $f \in \overline{\Delta}$, then write $f = \mathcal{U}\lim_i \gamma_i$ as an ultralimit. Define $\tilde{f} := \mathcal{U}\lim_i \tilde{\gamma}_i$. Hence, for all $r_\bullet \in R$ we have $\tilde{f}|_{\mathcal{L}[r_\bullet]} \in \overline{\tilde{\Delta}|_{\mathcal{L}[r_\bullet]}} \subseteq B_1(\mathcal{L}[r_\bullet], \mathcal{L}[r_\bullet])$. That every deep computation is a pointwise limit of a countable sequence of computations follows from the fact that for a Polish space X every compact subset of $B_1(X)$ is Fréchet-Urysohn (that is, a space where topological closures coincide with sequential closures, see Theorem 3F in [BFT78] or Theorem 4.1 in [Deb13]). \square

471 **3.2. The Todorčević trichotomy and levels of PAC learnability.** Given a
 472 countable set Δ of computations satisfying the NIP on features and shards (con-
 473 dition (2) of Theorem 3.1) we have that $\overline{\tilde{\Delta}_{\mathcal{L}[r_\bullet]}}$ (for a fixed sizer r_\bullet) is a separable
 474 Rosenthal compactum (see Definition 1.9). Todorčević proved a remarkable tri-
 475 chotomy for Rosenthal compacta [Tod99], and later Argyros, Dodos, Kanellopou-
 476 los [ADK08] proved an heptachotomy that refined Todorčević’s classification. In
 477 this section, inspired by the work of Glasner and Megrelishvili [GM22], we study
 478 ways in which this classification allows us obtain different levels of PAC-learnability
 479 and NIP.

480 Recall that a topological space X is *hereditarily separable* (HS) if every subspace
 481 is separable and that X is *first countable* if every point in X has a countable
 482 local basis. Every separable metrizable space is hereditarily separable, and R. Pol
 483 proved that every hereditarily separable Rosenthal compactum is first countable
 484 (see section 10 of [Deb13]). This suggests the following definition:

485 **Definition 3.2.** Let (L, \mathcal{P}, Γ) be a CCS satisfying the Extendability Axiom and R
 486 be an exhaustive collection of sizers. Let $\Delta \subseteq \Gamma$ be an R -confined countable set of
 487 computations satisfying the NIP on shards and features (condition (2) in Theorem
 488 3.1). We say that Δ is:

- 489 (i) NIP_1 if $\overline{\tilde{\Delta}_{\mathcal{L}[r_\bullet]}}$ is first countable for every $r_\bullet \in R$.
- 490 (ii) NIP_2 if $\overline{\tilde{\Delta}_{\mathcal{L}[r_\bullet]}}$ is hereditarily separable for every $r_\bullet \in R$.
- 491 (iii) NIP_3 if $\overline{\tilde{\Delta}_{\mathcal{L}[r_\bullet]}}$ is metrizable for every $r_\bullet \in R$.

492 Observe that $\text{NIP}_3 \Rightarrow \text{NIP}_2 \Rightarrow \text{NIP}_1 \Rightarrow \text{NIP}$. A natural question that would con-
 493 tinue this work is to find examples of CCS that separate these levels of NIP. In
 494 [Tod99], Todorčević isolates three canonical examples of Rosenthal compacta that
 495 witness the failure of the converse implications above.

496 We now present some separable and non-separable examples of Rosenthal com-
 497 pacta:

498 **Examples 3.3.**

- 499 (1) *Alexandroff compactification of a discrete space of size continuum.* For
 500 each $a \in 2^\mathbb{N}$ consider the map $\delta_a : 2^\mathbb{N} \rightarrow \mathbb{R}$ given by $\delta_a(x) = 1$ if $x = a$ and
 501 $\delta_a(x) = 0$ otherwise. Let $A(2^\mathbb{N}) = \{\delta_a : a \in 2^\mathbb{N}\} \cup \{0\}$, where 0 is the zero
 502 map. Notice that $A(2^\mathbb{N})$ is a compact subset of $B_1(2^\mathbb{N})$, in fact $\{\delta_a : a \in 2^\mathbb{N}\}$
 503 is a discrete subspace of $B_1(2^\mathbb{N})$ and its pointwise closure is precisely $A(2^\mathbb{N})$.
 504 Hence, this is a Rosenthal compactum which is not first countable. Notice
 505 that this space is also not separable.
- 506 (2) *Extended Alexandroff compactification.* For each finite binary sequence $s \in$
 507 $2^{<\mathbb{N}}$, let $v_s : 2^\mathbb{N} \rightarrow \mathbb{R}$ be given by $v_s(x) = 1$ if x extends s and $v_s(x) = 0$
 508 otherwise. Let $\hat{A}(2^\mathbb{N})$ be the pointwise closure of $\{v_s : s \in 2^{<\mathbb{N}}\}$, i.e.,
 509 $\hat{A}(2^\mathbb{N}) = A(2^\mathbb{N}) \cup \{v_s : s \in 2^{<\mathbb{N}}\}$. Note that this space is a separable
 510 Rosenthal compactum which is not first countable.
- 511 (3) *Split Cantor.* Let $<$ be the lexicographic order in the space of infinite
 512 binary sequences, i.e., $2^\mathbb{N}$. For each $a \in 2^\mathbb{N}$ let $f_a^- : 2^\mathbb{N} \rightarrow \mathbb{R}$ be given by
 513 $f_a^-(x) = 1$ if $x < a$ and $f_a^-(x) = 0$ otherwise. Let $f_a^+ : 2^\mathbb{N} \rightarrow \mathbb{R}$ be given
 514 by $f_a^+(x) = 1$ if $x \leq a$ and $f_a^+(x) = 0$ otherwise. The split Cantor is the
 515 space $S(2^\mathbb{N}) = \{f_a^- : a \in 2^\mathbb{N}\} \cup \{f_a^+ : a \in 2^\mathbb{N}\}$. This is a separable Rosenthal
 516 compactum. One example of a countable dense subset is the set of all f_a^+

517 and f_a^- where a is an infinite binary sequence that is eventually constant.
 518 Moreover, it is hereditarily separable, but it is not metrizable.

- (4) *Alexandroff Duplicate.* Let K be any compact metric space and consider the Polish space $X = C(K) \sqcup K$, i.e., the disjoint union of $C(K)$ (with its supremum norm topology) and K . For each $a \in K$ define $g_a^0, g_a^1 : X \rightarrow \mathbb{R}$ as follows:

$$g_a^0(x) = \begin{cases} x(a), & x \in C(K) \\ 0, & x \in K \end{cases}$$

$$g_a^1(x) = \begin{cases} x(a), & x \in C(K) \\ \delta_a(x), & x \in K \end{cases}$$

519 Let $D(K) = \{g_a^0 : a \in K\} \cup \{g_a^1 : a \in K\}$. Notice that $D(K)$ is a first
 520 countable Rosenthal compactum. It is not separable if K is uncountable.
 521 The interesting case will be when $K = 2^{\mathbb{N}}$.

- (5) *Extended Alexandroff Duplicate of the split Cantor.* For each finite binary sequence $t \in 2^{<\mathbb{N}}$ let $a_t \in 2^{\mathbb{N}}$ be the sequence starting with t and ending with 0's and let $b_t \in 2^{\mathbb{N}}$ be the sequence starting with t and ending with 1's. Define $h_t : 2^{\mathbb{N}} \rightarrow \mathbb{R}$ by

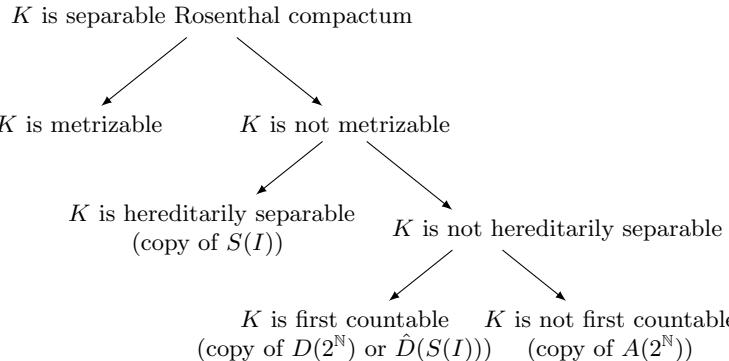
$$h_t(x) = \begin{cases} 0, & x < a_t \\ 1/2, & a_t \leq x \leq b_t \\ 1, & b_t < x \end{cases}$$

522 Let $\hat{D}(S(2^{\mathbb{N}}))$ be the pointwise closure of the set $\{h_t : t \in 2^{<\mathbb{N}}\}$. Hence,
 523 $\hat{D}(S(2^{\mathbb{N}}))$ is a separable first countable Rosenthal compactum which is not
 524 hereditarily separable. In fact, it contains an uncountable discrete subspace
 525 (see Theorem 5 in [Tod99]).

526 **Theorem 3.4** (Todorčević's Trichotomy, [Tod99], Theorem 3 in [ADK08]). *Let K
 527 be a separable Rosenthal Compactum.*

- 528 (i) *If K is hereditarily separable but non-metrizable, then $S(2^{\mathbb{N}})$ embeds into K .*
 529 (ii) *If K is first countable but not hereditarily separable, then either $D(2^{\mathbb{N}})$ or
 530 $\hat{D}(S(2^{\mathbb{N}}))$ embeds into K .*
 531 (iii) *If K is not first countable, then $A(2^{\mathbb{N}})$ embeds into K .*

532 We thus have the following classification:



533 The definitions provided here for NIP_i ($i = 1, 2, 3$) are topological. This raises
 534 the following question:

535 536 **Question 3.5.** Is there a non-topological characterization for NIP_i , $i = 1, 2, 3$?

537 **3.3. The Argyros-Dodos-Kanellopoulos heptachotomy, and approxima-
538 bility of deep computation by minimal classes.** In the three separable three
539 cases given in 3.3, namely, ($\hat{A}(2^{\mathbb{N}})$, $S(2^{\mathbb{N}})$ and $\hat{D}(S(2^{\mathbb{N}}))$), the countable dense sub-
540 sets are indexed by the binary tree $2^{<\mathbb{N}}$. This choice of index is useful for two
541 reasons:

- 542 (1) Our emphasis is computational. Elements of $2^{<\mathbb{N}}$ represent finite bitstrings,
543 i.e., standard computations, while Rosenthal compacta represent deep com-
544 putations, i.e., limits of finite computations. Mathematically, deep computa-
545 tions are pointwise limits of standard computations. However, computa-
546 tionally, we are interested in the manner (and the efficiency) in which the
547 approximations can occur.
- 548 (2) The Ramsey theory of perfect subsets of the Cantor space $2^{\mathbb{N}}$ can be im-
549 ported to analyze the behavior of the accumulation points. Since $2^{<\mathbb{N}}$ is
550 countable, we can always choose this index for the countable dense subsets.
551 This is done in [ADK08].

552 **Definition 3.6.** Let X be a Polish space.

- 553 (1) If I is a countable and $\{f_i : i \in I\} \subseteq \mathbb{R}^X$, $\{g_i : i \in I\} \subseteq \mathbb{R}^X$ are two
554 pointwise families by I , we say that $\{f_i : i \in I\}$ and $\{g_i : i \in I\}$ are
555 *equivalent* if and only if the map $f_i \mapsto g_i$ is extended to a homeomorphism
556 from $\overline{\{f_i : i \in I\}}$ to $\overline{\{g_i : i \in I\}}$.
- 557 (2) If $\{f_t : t \in 2^{<\mathbb{N}}\}$ is a pointwise bounded family, we say that $\{f_t : t \in 2^{<\mathbb{N}}\}$
558 is *minimal* if and only if for every dyadic subtree $\{s_t : t \in 2^{<\mathbb{N}}\}$ of $2^{<\mathbb{N}}$,
559 $\{f_{s_t} : t \in 2^{<\mathbb{N}}\}$ is equivalent to $\{f_t : t \in 2^{<\mathbb{N}}\}$.

560 One of the main results in [ADK08] is that, up to equivalence, there are seven
561 minimal families of Rosenthal compacta and that for every relatively compact $\{f_t :
562 t \in 2^{<\mathbb{N}}\} \subseteq B_1(X)$ there is a dyadic subtree $\{s_t : t \in 2^{<\mathbb{N}}\}$ such that $\{f_{s_t} : t \in 2^{<\mathbb{N}}\}$
563 is equivalent to one of the minimal families. We shall describe the seven minimal
564 families next. We follow the same notation as in [ADK08]. For any node $t \in 2^{<\mathbb{N}}$,
565 let us denote by $t^\frown 0^\infty$ ($t^\frown 1^\infty$) the infinite binary sequence starting with t and
566 continuing will all 0's (respectively, all 1's). Fix a regular dyadic subtree $R = \{s_t :
567 t \in 2^{<\mathbb{N}}\}$ of $2^{<\mathbb{N}}$ (i.e., a dyadic subtree such that every level of R is contained
568 in a level of $2^{<\mathbb{N}}$) with the property that for all $s, s' \in R$, $s^\frown 0^\infty \neq s'^\frown 0^\infty$ and
569 $s^\frown 1^\infty \neq s'^\frown 1^\infty$. Given $t \in 2^{<\mathbb{N}}$, let v_t be the characteristic function of the set
570 $\{x \in 2^{\mathbb{N}} : x \text{ extends } t\}$. Let $<$ be the lexicographic order in $2^{\mathbb{N}}$. Given $a \in 2^{\mathbb{N}}$,
571 let $f_a^+ : 2^{\mathbb{N}} \rightarrow \{0, 1\}$ be the characteristic function of $\{x \in 2^{\mathbb{N}} : a \leq x\}$ and let
572 $f_a^- : 2^{\mathbb{N}} \rightarrow \{0, 1\}$ be the characteristic function of $\{x \in 2^{\mathbb{N}} : a < x\}$. Given two
573 maps $f, g : 2^{\mathbb{N}} \rightarrow \mathbb{R}$ we denote by $(f, g) : 2^{\mathbb{N}} \sqcup 2^{\mathbb{N}} \rightarrow \mathbb{R}$ the function which is f on
574 the first copy of $2^{\mathbb{N}}$ and g on the second copy of $2^{\mathbb{N}}$.

- 575 (1) $D_1 = \{\frac{1}{|t|+1} v_t : t \in 2^{<\mathbb{N}}\}$. This is discrete in $\overline{D_1} = A(2^{\mathbb{N}})$.
- 576 (2) $D_2 = \{s_t^\frown 0^\infty : t \in 2^{<\mathbb{N}}\}$. This is discrete in $\overline{D_2} = 2^{\leq N}$.
- 577 (3) $D_3 = \{f_{s_t^\frown 0^\infty}^+ : t \in 2^{<\mathbb{N}}\}$. This is a discrete in $\overline{D_3} = S(2^{\mathbb{N}})$.
- 578 (4) $D_4 = \{f_{s_t^\frown 1^\infty}^- : t \in 2^{<\mathbb{N}}\}$. This is discrete in $\overline{D_4} = S(2^{\mathbb{N}})$.
- 579 (5) $D_5 = \{v_t : t \in 2^{<\mathbb{N}}\}$. This is discrete in $\overline{D_5} = \hat{A}(2^{\mathbb{N}})$.
- 580 (6) $D_6 = \{(v_{s_t}, s_t^\frown 0^\infty) : t \in 2^{<\mathbb{N}}\}$. This is discrete in $\overline{D_6} = \hat{D}(2^{\mathbb{N}})$.
- 581 (7) $D_7 = \{(v_{s_t}, x_{s_t^\frown 0^\infty}^+) : t \in 2^{<\mathbb{N}}\}$. This is discrete in $\overline{D_7} = \hat{D}(S(2^{\mathbb{N}}))$

Theorem 3.7 (Heptacotomy of minimal families, Theorem 2 in [ADK08]). *Let X be Polish. For every relatively compact $\{f_t : t \in 2^{<\mathbb{N}}\} \subseteq B_1(X)$, there exists $i = 1, 2, \dots, 7$ and a regular dyadic subtree $\{s_t : t \in 2^{<\mathbb{N}}\}$ of $2^{<\mathbb{N}}$ such that $\{f_{s_t} : t \in 2^{<\mathbb{N}}\}$ is equivalent to D_i . Moreover, all D_i are minimal and mutually non-equivalent.*

4. MEASURE-THEORETIC VERSIONS OF NIP AND UNIVERSAL MONTE CARLO COMPUTABILITY OF DEEP COMPUTATIONS

The countability assumption on \mathcal{P} played a crucial role in the proof of Theorem 1.12 essentially because it makes $\mathbb{R}^{\mathcal{P}}$ a Polish space. In this section, we do not assume that \mathcal{P} is countable. We replace deterministic computability by measure-theoretic ('Monte Carlo') computability.

593 **4.1. A measure-theoretic version of NIP.** Recall that the *raison d'être* of the
 594 class of Baire-1 functions is to have a class that contains the continuous functions
 595 but is closed under pointwise limits, and that (Fact 1.2) for perfectly normal X , a
 596 function f is in $B_1(X, Y)$ if and only if $f^{-1}[U]$ is an F_σ subset of X for every open
 597 $U \subseteq Y$. This motivates the following definition:

Definition 4.1. Given a Hausdorff space X and a measurable space (Y, Σ) , we say that $f : X \rightarrow Y$ is *universally measurable* (with respect to Σ) if $f^{-1}(E)$ is Borel for every $E \in \Sigma$, i.e., $f^{-1}(E)$ is μ -measurable for every Radon measure μ on X . When $Y = \mathbb{R}$ we will always take $\Sigma = \mathcal{B}(\mathbb{R})$, the Borel σ -algebra of \mathbb{R} .

602 *Remark 4.2.* A function $f : X \rightarrow \mathbb{R}$ is universally measurable if and only if $f^{-1}(U)$
 603 is μ -measurable for every Radon probability measure μ on X and every open set
 604 $U \subseteq \mathbb{R}$.

605 Intuitively, a function is universally measurable if it is “measurable no matter
 606 which reasonable way you try to measure things on its domain”. The concept
 607 of universal measurability emerged from work of Kallianpur and Sazonov, in the
 608 late 1950’s and 1960s, , with later developments by Blackwell, Darst, and others,
 609 building on earlier ideas of Gnedenko and Kolmogorov from the 1950s. See [Pap02,
 610 Chapters 1 and 2].

Notation 4.3. Following [BFT78], the collection of all universally measurable real-valued functions will be denoted by $M_r(X)$.

In the context of deep computations, we will be interested in transition maps from a state space $L \subseteq \mathbb{R}^{\mathcal{P}}$ to itself. There are two natural σ -algebras one can consider in the product space $\mathbb{R}^{\mathcal{P}}$: the Borel σ -algebra, i.e., the σ -algebra generated by open sets in $\mathbb{R}^{\mathcal{P}}$, and the cylinder σ -algebra, i.e., the σ -algebra generated by the sub-basic open sets in $\mathbb{R}^{\mathcal{P}}$. Note that when \mathcal{P} is countable, both σ -algebras coincide, but in general the cylinder σ -algebra is strictly smaller. We will use the cylinder σ -algebra to define universally measurable maps $f : \mathbb{R}^{\mathcal{P}} \rightarrow \mathbb{R}^{\mathcal{P}}$. The reason for this choice is the following characterization:

Lemma 4.4. Let X be a Hausdorff space and $Y = \prod_{i \in I} Y_i$ be any product of measurable spaces (Y_i, Σ_i) for $i \in I$. Let Σ_Y be the cylinder σ -algebra generated by the measurable spaces (Y_i, Σ_i) . Let $f : X \rightarrow Y$. The following are equivalent:

- (i) $f : X \rightarrow Y$ is universally measurable (with respect to Σ_Y).
(ii) $\pi_i \circ f : X \rightarrow Y_i$ is universally measurable (with respect to Σ_i) for all $i \in I$.

626 *Proof.* (i) \Rightarrow (ii) is clear since the projection maps π_i are measurable and the com-
 627 position of measurable functions is measurable. To prove (ii) \Rightarrow (i), suppose that
 628 $C = \prod_{i \in I} C_i$ is a measurable cylinder and let J be the finite set of $i \in I$ such that
 629 $C_i \neq Y_i$. Then, $C = \bigcap_{i \in J} \pi_i^{-1}(C_i)$, so $f^{-1}(C) = \bigcap_{i \in J} (\pi_i \circ f)^{-1}(C_i)$ is a universally
 630 measurable set by assumption. \square

631 The preceding lemma says that a transition map is universally measurable if and
 632 only if it is universally measurable on all its features; in other words, we can check
 633 measurability of a transition just by checking measurability feature by feature. We
 634 will denote by $M_r(X, \mathbb{R}^{\mathcal{P}})$ the collection of all universally measurable functions
 635 $f : X \rightarrow \mathbb{R}^{\mathcal{P}}$ (with respect to the cylinder σ -algebra), endowed with the topology
 636 of pointwise convergence.

637 We will need the following result about NIP and universally measurable func-
 638 tions:

639 **Theorem 4.5** (Bourgain-Fremlin-Talagrand, Theorem 2F in [BFT78]). *Let X be a
 640 Hausdorff space and $A \subseteq C(X)$ be pointwise bounded. The following are equivalent:*

- 641 (i) $\overline{A} \subseteq M_r(X)$.
- 642 (ii) *For every compact $K \subseteq X$, $A|_K$ satisfies the NIP.*
- 643 (iii) *For every Radon measure μ on X , A is relatively countably compact in
 644 $\mathcal{M}^0(X, \mu)$, i.e., every countable subset of A has an accumulation point in
 645 $\mathcal{M}^0(X, \mu)$.*

646 **4.2. Universal Monte Carlo computability of deep computations.** We now
 647 wish to define the concept of a deep computation being computable except a set
 648 of arbitrarily small measure “no matter which reasonable way you try to measure
 649 things on its domain” (see the remarks following definition). This is the concept
 650 of *universal Monte Carlo computability* defined below (Definition). To motivate
 651 the definition, we need to recall two facts:

- 652 (1) Littlewoood’s second principle states that every Lebesgue measurable func-
 653 tion is “nearly continuous”. The formal version of this, which is Luzin’s
 654 theorem, states that if (X, Σ, μ) a Radon measure space and Y be a second-
 655 countable topological space (e.g., $Y = \mathbb{R}^{\mathcal{P}}$ with \mathcal{P} countable) equipped with
 656 a Borel algebra, then any given $f : X \rightarrow Y$ is measurable if and only if for
 657 every $E \in \Sigma$ and every $\varepsilon > 0$ there exists a closed $F \subseteq E$ such that the
 658 restriction $f|F$ is continuous.
- 659 (2) Computability of deep computations can is characterized in terms of con-
 660 tinuous extendibility of computations. This is at the core of [ADIW24].

661 These two facts motivate the following definition:

662 **Definition 4.6.** Let (L, \mathcal{P}, Γ) be a CCS. We say that a transition $f : L \rightarrow L$
 663 is *universally Monte Carlo computable* if and only if there exists $\tilde{f} : \mathcal{L}_{\text{sh}} \rightarrow \mathcal{L}_{\text{sh}}$
 664 extending f such that for every sizer r_{\bullet} there is a sizer s_{\bullet} such that the restriction
 665 $\tilde{f}|_{\mathcal{L}[r_{\bullet}]} : \mathcal{L}[r_{\bullet}] \rightarrow \mathcal{L}[s_{\bullet}]$ is universally measurable, i.e., $\pi_P \circ \tilde{f}|_{\mathcal{L}[r_{\bullet}]} : \mathcal{L}[r_{\bullet}] \rightarrow [-s_P, s_P]$
 666 is μ -measurable for every Radon probability measure μ on $\mathcal{L}[r_{\bullet}]$.

667 **4.3. Bourgain-Fremlin-Talagrand, NIP, and universal Monte Carlo com-
 668 putability of deep computations.** Theorem 4.5 immediately yields the follow-
 669 ing.

Theorem 4.7. *Let (L, \mathcal{P}, Γ) be a CCS satisfying the Extendability Axiom. Let R be an exhaustive collection of sizers. Let $\Delta \subseteq \Gamma$ be R -confined. If $\pi_P \circ \Delta|_{L[r_\bullet]}$ satisfies the NIP for all $P \in \mathcal{P}$ and all $r_\bullet \in R$, then every deep computation is universally Monte Carlo computable.*

Proof. By the Extendability Axiom, Theorem 4.5 and lemma 1.13 we have that $\pi_P \circ \tilde{\Delta}|_{\mathcal{L}[r_\bullet]} \subseteq M_r(\mathcal{L}[r_\bullet])$ for all $r_\bullet \in R$ and $P \in \mathcal{P}$. Let $f \in \overline{\Delta}$ be a deep computation. Write $f = \mathcal{U}\lim_i \gamma_i$ as an ultralimit of computations in Δ . Define $\tilde{f} := \mathcal{U}\lim_i \tilde{\gamma}_i$. Then, for all $r_\bullet \in R$ and $P \in \mathcal{P}$ $\pi_P \circ \tilde{\gamma}_i|_{\mathcal{L}[r_\bullet]} \in M_r(\mathcal{L}[r_\bullet])$ for all i , so $\pi_P \circ f|_{\mathcal{L}[r_\bullet]} \in \pi_P \circ \tilde{\Delta}|_{\mathcal{L}[r_\bullet]} \subseteq M_r(\mathcal{L}[r_\bullet])$. \square

Question 4.8. Under the same assumptions of the preceding theorem, suppose that every deep computation of Δ is universally Monte Carlo computable. Must $\pi_P \circ \Delta|_{L[r_\bullet]}$ have the NIP for all $P \in \mathcal{P}$ and all $r_\bullet \in R$?

4.4. Talagrand stability, Fremlin's dichotomy, NIP, and universal Monte Carlo computability of deep computations. There is another notion closely related to NIP, introduced by Talagrand in [Tal84] while studying Pettis integration. Suppose that X is a compact Hausdorff space and $A \subseteq \mathbb{R}^X$. Let μ be a Radon probability measure on X . Given a μ -measurable set $E \subseteq X$, a positive integer k and real numbers $a < b$. we write:

$$D_k(A, E, a, b) = \bigcup_{f \in A} \{x \in E^{2k} : f(x_{2i}) \leq a, f(x_{2i+1}) \geq b \text{ for all } i < k\}$$

We say that A is *Talagrand μ -stable* if and only if for every μ -measurable set $E \subseteq X$ of positive measure and for every $a < b$ there is $k \geq 1$ such that

$$(\mu^{2k})^*(D_k(A, E, a, b)) < (\mu(E))^{2k},$$

where μ^* denotes the outer measure (we work with outer since the sets $D_k(A, E, a, b)$ need not be μ -measurable). This is certainly the case when A is a countable set of continuous (or μ -measurable) functions.

Notation 4.9. For a measure μ on a set X , the set of all μ -measurable functions will denoted by $\mathcal{M}^0(X, \mu)$.

The following lemma establishes that Talagrand stability is a way to ensure that deep computations are definable by measurable functions.

Lemma 4.10. *If A is Talagrand μ -stable, then \overline{A} is also Talagrand μ -stable and $\overline{A} \subseteq \mathcal{M}^0(X, \mu)$.*

Proof. First, observe that a subset of a μ -stable set is μ -stable. To show that \overline{A} is μ -stable, observe that $D_k(\overline{A}, E, a, b) \subseteq D_k(A, E, a', b')$ where $a < a' < b' < b$ and E is a μ -measurable set with positive measure. It suffices to show that $\overline{A} \subseteq \mathcal{M}^0(X, \mu)$. Suppose that there exists $f \in \overline{A}$ such that $f \notin \mathcal{M}^0(X, \mu)$. By a characterization of measurable functions (see 413G in [Fre03]), there exists a μ -measurable set E of positive measure and $a < b$ such that $\mu^*(P) = \mu^*(Q) = \mu(E)$ where $P = \{x \in E : f(x) \leq a\}$ and $Q = \{x \in E : f(x) \geq b\}$. Then, for any $k \geq 1$: $(P \times Q)^k \subseteq D_k(\{f\}, E, a, b)$ so $(\mu^{2k})^*(D_k(\{f\}, E, a, b)) = (\mu^*(P)\mu^*(Q))^k = (\mu(E))^{2k}$. Thus, $\{f\}$ is not μ -stable, but we argued before that a subset of a μ -stable set must be μ -stable. \square

709 We say that A is *universally Talagrand stable* if A is Talagrand μ -stable for every
 710 Radon probability measure μ on X . An argument similar to the proof of 4.5, yields
 711 the following:

712 **Theorem 4.11.** *Let (L, \mathcal{P}, Γ) be a CCS satisfying the Extendability Axiom. If
 713 $\pi_P \circ \Delta|_{L[r_\bullet]}$ is universally Talagrand stable for all $P \in \mathcal{P}$ and all sizers r_\bullet , then
 714 every deep computation is universally Monte Carlo computable.*

715 It is then natural to ask: what is the relationship between Talagrand stability
 716 and the NIP? The following dichotomy will be useful.

717 **Lemma 4.12** (Fremlin's Dichotomy, 463K in [Fre03]). *If (X, Σ, μ) is a perfect
 718 σ -finite measure space (in particular, for X compact and μ a Radon probability
 719 measure on X) and $\{f_n : n \in \mathbb{N}\}$ be a sequence of real-valued measurable functions
 720 on X , then one (and only one) of the following conditions holds:*

- 721 (i) $\{f_n : n \in \mathbb{N}\}$ has a subsequence that converges μ -almost everywhere,
- 722 (ii) $\{f_n : n \in \mathbb{N}\}$ has a subsequence with no μ -measurable accumulation point
 723 in \mathbb{R}^X .

724 The preceding lemma can be considered as a measure-theoretic version of Rosen-
 725 thal's dichotomy. Combining this dichotomy with Theorem 4.5, we get the following
 726 result:

727 **Theorem 4.13.** *Let X be a Hausdorff space and $A \subseteq C(X)$ be pointwise bounded.
 728 The following are equivalent:*

- 729 (i) $\overline{A} \subseteq M_r(X)$.
- 730 (ii) For every compact $K \subseteq X$, $A|_K$ satisfies the NIP.
- 731 (iii) For every Radon measure μ on X , A is relatively countably compact in
 732 $\mathcal{M}^0(X, \mu)$, i.e., every countable subset of A has an accumulation point in
 733 $\mathcal{M}^0(X, \mu)$.
- 734 (iv) For every Radon measure μ on X and every sequence $\{f_n : n \in \mathbb{N}\} \subseteq A$,
 735 there is a subsequence that converges μ -almost everywhere.

736 *Proof.* Notice that the equivalence (i)-(iii) is Theorem 4.5. Notice that the equivalence
 737 of (iii) and (iv) is Fremlin's Dichotomy (Theorem 4.12). \square

738 Finally, it is natural to ask what the connection is between Talagrand stability
 739 and NIP.

740 **Proposition 4.14.** *Let X be a compact Hausdorff space and $A \subseteq C(X)$ be point-
 741 wise bounded. If A is universally Talagrand stable, then A satisfies the NIP.*

742 *Proof.* By Theorem 4.5, it suffices to show that A is relatively countably compact in
 743 $\mathcal{M}^0(X, \mu)$ for all Radon probability measure μ on X . Since A is Talagrand μ -stable
 744 for any such μ , we have $\overline{A} \subseteq \mathcal{M}^0(X, \mu)$. In particular, A is relatively countably
 745 compact in $\mathcal{M}^0(X, \mu)$. \square

746 **Question 4.15.** Is the converse true?

747 The following two results suggest that the precise connection between Talagrand
 748 stability and NIP may be sensitive to set-theoretic axioms (even assuming count-
 749 ability of A).

Theorem 4.16 (Talagrand, Theorem 9-3-1(a) in [Tal84]). *Let X be a compact Hausdorff space and $A \subseteq M_r(X)$ be countable and pointwise bounded. Assume that $[0, 1]$ is not the union of $< \mathfrak{c}$ closed measure zero sets. If A satisfies the NIP, then A is universally Talagrand stable.*

Theorem 4.17 (Fremlin, Shelah, [FS93]). *It is consistent that there exists a countable pointwise bounded set of Lebesgue measurable functions with the NIP which is not Talagrand stable with respect to Lebesgue measure.*

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