# Model Theory for Dummies: An Introduction

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# 1  Structures and Theories

## 1.1  Languages and Structures

**Definition 1.1.** A language $\mathcal{L}$ is given by specifying the following data

1. A set of function symbols $\mathcal{F}$ and positive integers $n_f$ for each $f \in \mathcal{F}$

2. a set of relation symbols $\mathcal{R}$ and positive integers $n_R$ for each $R \in \mathcal{R}$

3. a set of constant symbols $\mathcal{C}$

**Definition 1.2.** An $\mathcal{L}$-structure $\mathcal{M}$ is given by the following data

1. a nonempty set $M$ called the **universe**, **domain** or **underlying set** of $\mathcal{M}$

2. a function $f^{\mathcal{M}} : M^{n_f} \to M$ for each $f \in \mathcal{F}$

3. a set $R^{\mathcal{M}} \subseteq M^{n_R}$ for each $R \in \mathcal{R}$

4. an element $c^{\mathcal{M}} \in M$ for each $c \in \mathcal{C}$

We refer to $f^{\mathcal{M}}, R^{\mathcal{M}}, c^{\mathcal{M}}$ as the **interpretations** of the symbols $f, R$ and $c$. We often write the structure as $\mathcal{M} = (M, f^{\mathcal{M}}, R^{\mathcal{M}}, c^{\mathcal{M}} : f \in \mathcal{F}, R \in \mathcal{R}, c \in \mathcal{C})$

**Definition 1.3.** Suppose that $\mathcal{M}$ and $\mathcal{N}$ are $\mathcal{L}$-structures with universes $M$ and $N$ respectively. An $\mathcal{L}$-**embedding** $\eta : \mathcal{M} \to \mathcal{N}$ is a one-to-one map $\eta : M \to N$ that

1. $\eta(f^{\mathcal{M}}(a_1, \dots, a_{n_f})) = f^{\mathcal{N}}(\eta(a_1), \dots, \eta(a_{n_f}))$ for all $f \in \mathcal{F}$ and $a_1, \dots, a_{n_f} \in M$

2. $(a_1, \dots, a_{m_R}) \in R^{\mathcal{M}}$ if and only if $(\eta(a_1), \dots, \eta(a_{m_R})) \in R^{\mathcal{N}}$ for all $R \in \mathcal{R}$ and $a_1, \dots, a_{m_R} \in M$

3. $\eta(c^{\mathcal{M}}) = c^{\mathcal{N}}$ for $c \in \mathcal{C}$

A bijective $\mathcal{L}$-embedding is called an $\mathcal{L}$-**isomorphism**. If $M \subseteq N$ and the inclusion map is an $\mathcal{L}$-embedding, we say either $\mathcal{M}$ is a **substrcture** of $\mathcal{N}$ or that $\mathcal{N}$ is an **extension** of $\mathcal{M}$

The **cardinality** of $\mathcal{M}$ is $|M|$, the cardinality of the universe of $\mathcal{M}$

**Definition 1.4.** The set of $\mathcal{L}$-**terms** is the smallest set $\mathcal{T}$ s.t.

1. $c \in \mathcal{T}$ for each constant symbol $c \in \mathcal{C}$

2. each variable symbol $v_i \in \mathcal{T}$ for $i = 1, 2, \dots$

3. if $t_1, \dots, t_{n_f} \in \mathcal{T}$ and $f \in \mathcal{F}$ then $f(t_1, \dots, n_{n_f}) \in \mathcal{T}$

Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure and that $t$ is a term built using variables from $\bar{v} = (v_{i_1}, \dots, v_{i_m})$. We want to interpret $t$ as a function $t^{\mathcal{M}} : M^m \to M$. For $s$ a subterm of $t$ and $\bar{a} = (a_{i_1}, \dots, a_{i_m}) \in M$, we inductively define $s^{\mathcal{M}}(\bar{a})$ as follows.

1. If $s$ is a constant symbol $c$, then $s^{\mathcal{M}}(\bar{a}) = c^{\mathcal{M}}$

2. If $s$ is the variable $v_{i_j}$, then $s^{\mathcal{M}}(\bar{a}) = a_{i_j}$

3. If $s$ is the term $f(t_1, \dots, t_{n_f})$, where $f$ is a function symbol of $\mathcal{L}$ and $t_1, \dots, t_{n_f}$ are terms, then $s^{\mathcal{M}}(\bar{a}) = f^{\mathcal{M}}(t_1^{\mathcal{M}}(\bar{a}), \dots, t_{n_f}^{\mathcal{M}}(\bar{a}))$

The function $t^{\mathcal{M}}$ is defined by $\bar{a} \mapsto t^{\mathcal{M}}(\bar{a})$

**Definition 1.5.** $\phi$ is an **atomic** $\mathcal{L}$-**formula** if $\phi$ is either

1. $t_1 = t_2$ where $t_1$ and $t_2$ are terms

2. $R(t_1, \dots, t_{n_R})$

The set of $\mathcal{L}$-**formulas** is the smallest set $\mathcal{W}$ containing the atomic formulas s.t.

1. if $\phi \in \mathcal{W}$, then $\neg\phi \in \mathcal{W}$

2. if $\phi, \psi \in \mathcal{W}$, then $(\phi \wedge \psi), (\phi \vee \psi) \in \mathcal{W}$

3. if $\phi \in \mathcal{W}$, then $\exists v_i \phi, \forall v_i \phi \in \mathcal{W}$

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We say a variable $v$ **occurs freely** in a formula $\phi$ if it is not inside a $\exists v$ or $\forall v$ quantifier; otherwise we say that it's **bound**. We call a formula a **sentence** if it has no free variables. We often write $\phi(v_1, \ldots, v_n)$ to make explicit the free variables in $\phi$

**Definition 1.6.** Let $\phi$ be a formula with free variables from $\bar{v} = (v_{i_1}, \ldots, v_{i_m})$ and let $\bar{a} = (a_{i_1}, \ldots, a_{i_m}) \in M^m$. We inductively define $\mathcal{M} \vDash \phi\bar{a}$ as follows

1. If $\phi$ is $t_1 = t_2$, then $\mathcal{M} \vDash \phi(\bar{a})$ if $t_1^{\mathcal{M}}(\bar{a}) = t_2^{\mathcal{M}}(\bar{a})$

2. If $\phi$ is $R(t_1, \ldots, t_{m_R})$ then $\mathcal{M} \vDash \phi(\bar{a})$ if $(t_1^{\mathcal{M}}(\bar{a}), \ldots, t_{m_R}^{\mathcal{M}}(\bar{a})) \in R^{\mathcal{M}}$

3. If $\phi$ is $\neg\psi$ then $\mathcal{M} \vDash \phi(\bar{a})$ if $\mathcal{M} \nvDash \psi(\bar{a})$

4. If $\phi$ is $(\psi \wedge \theta)$ then $\mathcal{M} \vDash \phi(\bar{a})$ if $\mathcal{M} \vDash \psi(\bar{a})$ and $\mathcal{M} \vDash \theta(\bar{a})$

5. If $\phi$ is $(\psi \vee \theta)$ then $\mathcal{M} \vDash \phi(\bar{a})$ if $\mathcal{M} \vDash \psi(\bar{a})$ or $\mathcal{M} \vDash \theta(\bar{a})$

6. If $\phi$ is $\exists v_j \psi(\bar{v}, v_j)$ then $\mathcal{M} \vDash \phi(\bar{a})$ if there is $b \in M$ s.t. $\mathcal{M} \vDash \psi(\bar{a}, b)$

7. If $\phi$ is $\forall v_j \psi(\bar{v}, v_j)$ then $\mathcal{M} \vDash \phi(\bar{a})$ if $\mathcal{M} \vDash \psi(\bar{a}, b)$ for all $b \in M$

If $\mathcal{M} \vDash \phi(\bar{a})$ we say that $\mathcal{M}$ **satisfies** $\phi(\bar{a})$ or $\phi(\bar{a})$ is **true** in $\mathcal{M}$

**Proposition 1.7.** *Suppose that $\mathcal{M}$ is a substrcture of $\mathcal{N}$, $\bar{a} \in M$ and $\phi(\bar{v})$ is a quantifier-free formula. Then $\mathcal{M} \vDash \phi(\bar{a})$ if and only if $\mathcal{N} \vDash \psi(\bar{a})$*

*Proof.* **Claim** If $t(\bar{v})$ is a term and $\bar{b} \in M$ then $t^{\mathcal{M}}(\bar{b}) = t^{\mathcal{N}}(\bar{b})$. $\qquad\square$

**Definition 1.8.** We say that two $\mathcal{L}$-strctures $\mathcal{M}$ and $\mathcal{N}$ are **elementarily equivalent** and write $\mathcal{M} \equiv \mathcal{N}$ if

$$\mathcal{M} \vDash \phi \text{ if and only if } \mathcal{N} \vDash \phi$$

for all $\mathcal{L}$-sentences $\phi$

We let $\mathrm{Th}(\mathcal{M})$, the **full theory** of $\mathcal{M}$ be the set of $\mathcal{L}$-sentences $\phi$ s.t. $\mathcal{M} \vDash \phi$

**Theorem 1.9.** *Suppose that $j : \mathcal{M} \to \mathcal{N}$ is an isomorphism. Then $\mathcal{M} \equiv \mathcal{N}$*

*Proof.* Show by induction on formulas that $\mathcal{M} \vDash \phi(a_1, \ldots, a_n)$ if and only if $\mathcal{N} \vDash \phi(j(a_1), \ldots, j(a_n))$ for all formulas $\phi$ $\qquad\square$

## 1.2 Theories

Let $\mathcal{L}$ be a language. An $\mathcal{L}$-**theory** $T$ is a set of $\mathcal{L}$-sentences. We say that $\mathcal{M}$ is a **model** of $T$ and write $\mathcal{M} \vDash T$ if $\mathcal{M} \vDash \phi$ for all sentences $\phi \in T$. A theory is **satisfiable** if it has a model.

A class of $\mathcal{L}$-structures $\mathcal{K}$ is an **elementary class** if there is an $\mathcal{L}$-theory $T$ s.t. $\mathcal{K} = \{\mathcal{M} : \mathcal{M} \vDash T\}$

**Example 1.1** (Linear Orders)**.** Let $\mathcal{L} = \{<\}$, where $<$ is a binary relation symbol. The class of linear order is axiomatized by the $\mathcal{L}$-sentences

$$\forall x \, \neg(x < x)$$
$$\forall x \forall y \forall z \, ((x < y \wedge y < z) \to x < z)$$
$$\forall x \forall y \, (x < y \vee x = y \vee y < x)$$

**Example 1.2** (Groups)**.** Let $\mathcal{L} = \{\cdot, e\}$ where $\cdot$ is a binary function symbol and $e$ is a constant symbol. The class of groups is axiomatized by

$$\forall x \, e \cdot x = x \cdot e = x$$
$$\forall x \forall y \forall z \, x \cdot (y \cdot z) = (x \cdot y) \cdot z$$
$$\forall x \exists y \, x \cdot y = y \cdot x = e$$

**Example 1.3** (Ordered Abelian Groups)**.** Let $\mathcal{L} = \{+, <, 0\}$, where $+$ is a binary function, $<$ is a binary relation symbol, and $0$ is a constant symbol. The axioms for order groups are

1. the axioms for additive groups

2. the axioms for linear orders

3. $\forall x \forall y \forall z (x < y \to x + z < y + z)$

**Example 1.4** (Left $R$-modules)**.** Let $R$ be a ring with multiplicative identity 1. Let $\mathcal{L} = \{+, 0\} \cup \{r : r \in R\}$ where $+$ is a binary function symbol, $0$ is a constant, and $r$ is a unary function symbol for $r \in R$. In an $R$-module, we will interpret $r$ as scalar multiplication by $R$. The axioms for $R$-modules are

$$\forall x \; r(x + y) = r(x) + r(y) \text{ for each } r \in R$$
$$\forall x \; (r + s)(x) = r(x) + s(x) \text{ for each } r, s \in R$$
$$\forall x \; r(s(x)) = rs(x) \text{ for } r, s \in R$$
$$\forall x \; 1(x) = x$$

**Example 1.5** (Rings and Fields)**.** Let $\mathcal{L}_r$ be the language of rings $\{+,-,\cdot,0,1\}$, where $+,-$ and $\cdot$ are binary function symbols and $0$ and $1$ are constants. The axioms for rings are given by

$$\forall x \forall y \forall z \ (x - y = z \leftrightarrow x = y + z)$$
$$\forall x \ x \cdot 0 = 0$$
$$\forall x \forall y \forall z \ x \cdot (y \cdot z) = (x \cdot y) \cdot z$$
$$\forall x \ x \cdot 1 = 1 \cdot x = x$$
$$\forall x \forall y \forall z \ x \cdot (y + z) = (x \cdot y) + (x \cdot z)$$
$$\forall x \forall y \forall z \ (x + y) \cdot z = (x \cdot z) + (y \cdot z)$$

We axiomatize the class of fields by adding

$$\forall x \forall y \ x \cdot y = y \cdot x$$
$$\forall x \ (x \neq 0 \rightarrow \exists y \ x \cdot y = 1)$$

We axiomatize the class of algebraically closed fields by adding to the field axioms the sentences

$$\forall a_0 \dots \forall a_{n-1} \exists x \ x^n + \sum_{i=1}^{n-1} a_i x^i = 0$$

for $n = 1, 2, \dots$. Let ACF be the axioms for algebraically closed fields.

Let $\psi_p$ be the $\mathcal{L}_r$-sentence $\forall x \ \underbrace{x + \dots + x}_{p\text{-times}} = 0$, which asserts that a field has characteristic $p$. For $p > 0$ a prime, let $\mathsf{ACF}_p = \mathsf{ACF} \cup \{\psi_p\}$ and $\mathsf{ACF}_0 = \mathsf{ACF} \cup \{\neg\psi_p : p > 0\}$ be the theories of algebraically closed fields of characteristic $p$ and zero respectively

**Definition 1.10.** Let $T$ be an $\mathcal{L}$-theory and $\phi$ an $\mathcal{L}$-sentence. We say that $\phi$ is a **logical consequence** of $T$ and write $T \vDash \phi$ if $\mathcal{M} \vDash \phi$ whenever $\mathcal{M} \vDash T$

**Proposition 1.11.**     *1. Let* $\mathcal{L} = \{+, <, 0\}$ *and let* $T$ *be the theory of ordered abelian groups. Then* $\forall x (x \neq 0 \rightarrow x + x \neq 0)$ *is a logical consequence of* $T$

   *2. Let* $T$ *be the theory of groups where every element has order 2. Then*
   $$T \nvDash \exists x_1 \exists x_2 \exists x_3 (x_1 \neq x_2 \land x_2 \neq x_3 \land x_1 \neq x_3)$$

*Proof.*     1. $\mathbb{Z}/2\mathbb{Z} \vDash T \land \neg \exists x_1 \exists x_2 \exists x_3 (x_1 \neq x_2 \land x_2 \neq x_3 \land x_1 \neq x_3)$

$\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\square$

## 1.3 Definable Sets and Interpretability

**Definition 1.12.** Let $\mathcal{M} = (M, \dots)$ be an $\mathcal{L}$-structure. We say that $X \subseteq M^n$ is **definable** if and only if there is an $\mathcal{L}$-formula $\phi(v_1, \dots, v_n, w_1, \dots, w_m)$ and $\bar{b} \in M^b$ s.t. $X = \{\bar{a} \in M^n : \mathcal{M} \vDash \phi(\bar{a}, \bar{b})\}$. We say that $\phi(\bar{v}, \bar{b})$ **defines** $X$. We say that $X$ is $A$**-definable** or **definable over** $A$ if there is a formula $\psi(\bar{v}, w_1, \dots, w_l)$ and $\bar{b} \in A^l$ s.t. $\psi(\bar{v}, \bar{b})$ defines $X$

A number of examples using $\mathcal{L}_r$, the language of rings

- Let $\mathcal{M} = (R, +, -, \cdot, 0, 1)$ be a ring. Let $p(X) \in R[X]$. Then $Y = \{x \in R : p(x) = 0\}$ is definable. Suppose that $p(X) = \displaystyle\sum_{i=0}^m a_i X^i$. Let $\phi(v, w_0, \dots, w_n)$ be the formula

$$w_n \cdot \underbrace{v \cdots v}_{n\text{-times}} + \cdots + w_1 \cdot v + w_0 = 0$$

  Then $\phi(v, a_0, \dots, a_n)$ defines $Y$. Indeed, $Y$ is $A$-definable for any $A \supseteq \{a_0, \dots, a_n\}$

- Let $\mathcal{M} = (\mathbb{R}, +, -, \cdot, 0, 1)$ be the field of real numbers. Let $\phi(x, y)$ be the formula

$$\exists z (z \neq 0 \wedge y = x + z^2)$$

  Because $a < b$ if and only if $\mathcal{M} \vDash \phi(a, b)$, the ordering is $\emptyset$-definable

- Consider the natural numbers $\mathbb{N}$ as an $\mathcal{L} = \{+, \cdot, 0, 1\}$ structure. There is an $\mathcal{L}$-formula $T(e, x, s)$ s.t. $\mathbb{N} \vDash T(e, x, s)$ if and only if the Turing machine with program coded by $e$ halts on input $x$ in at most $s$ steps. Thus the Turing machine with program $e$ halts on input $x$ if and only if

$\mathbb{N} \vDash \exists s\, T(e, x, s)$. So the halting computations is definable

**Proposition 1.13.** *Let $\mathcal{M}$ be an $\mathcal{L}$-structure. Suppose that $D_n$ is a collection of subsets of $M^n$ for all $n \geq 1$ and $\mathcal{D} = (D_n : n \geq 1)$ is the smallest collection s.t.*

1. *$M^n \in D_n$*

2. *for all $n$-ary function symbols $f$ of $\mathcal{L}$, the graph of $f^{\mathcal{M}}$ is in $D_{n+1}$*

3. *for all $n$-ary relation symbols $R$ of $\mathcal{L}$, $R^{\mathcal{M}} \in D_n$*

4. *for all $i, j \leq n$, $\{(x_1, \dots, x_n) \in M^n : x_i = x_j\} \in D_n$*

5. if $X \in D_n$, then $M \times X \in D_{n+1}$

6. each $D_n$ is cloed under complement, union and intersection

7. if $X \in D_{n+1}$ and $\pi : M^{n+1} \rightarrow M^n$ is the projection $(x_1, \dots, x_{n+1}) \mapsto (x_1, \dots, x_n)$, then $\pi(X) \in D_n$

8. if $X \in D_{n+m}$ and $b \in M^m$, then $\{a \in M^n : (a, b) \in X\} \in D_n$

Thus $X \subseteq M^n$ is definable if and only if $X \in D_n$

**Proposition 1.14.** *Let $\mathcal{M}$ be an $\mathcal{L}$-structure. If $X \subset M^n$ is A-definable, then every $\mathcal{L}$-automorphism of $\mathcal{M}$ that fixes $A$ pointwise fixes $X$ setwise (that is, if $\sigma$ is an automorphism of $M$ and $\sigma(a) = a$ for all $a \in A$, then $\sigma(X) = X$)*

*Proof.*
$$\mathcal{M} \vDash \psi(\bar{v}, \bar{a}) \leftrightarrow \mathcal{M} \vDash \psi(\sigma(\bar{v}), \sigma(\bar{a})) \leftrightarrow \mathcal{M} \vDash \psi(\sigma(\bar{v}), \bar{a})$$

In other words, $\bar{b} \in X$ if and only if $\sigma(\bar{b}) \in X$ $\qquad \square$

**Definition 1.15.** A subset $S$ of a field $L$ is **algebraically independent** over a subfield $K$ if the elements of $S$ do not satisfy any non-trivial polynomial equation with coefficients in $K$

**Corollary 1.16.** *The set of real numbers is not definable in the field of complex numbers*

*Proof.* If $\mathbb{R}$ where definable, then it would be definable over a finite $A \subset \mathbb{C}$. Let $r, s \in \mathbb{C}$ be algebraically independent over $A$ with $r \in \mathbb{R}$ and $s \notin \mathbb{R}$. There is an automorphism $\sigma$ of $\mathbb{C}$ s.t. $\sigma|A$ is the identity and $\sigma(r) = s$. Thus $\sigma(\mathbb{R}) \neq \mathbb{R}$ and $\mathbb{R}$ is not definable over $A$ $\qquad \square$

We say that an $\mathcal{L}_0$-structure $\mathcal{N}$ is **definably interpreted** in an $\mathcal{L}$-structure $\mathcal{M}$ if and only if we can find a definable $X \subseteq M^n$ for some $n$ and we can interpret the symbols of $\mathcal{L}_0$ as definable subsets and functions on $X$ so that the resulting $\mathcal{L}_0$-structure is isomorphic to $\mathcal{M}$

For example, let $K$ be a field and $G$ be $\mathrm{GL}_2(K)$, the group of invertible $2 \times 2$ matrices over $K$. Let $X = \{(a, b, c, d) \in K^4 : ad - bc \neq 0\}$. Let $f : X^2 \rightarrow X$ by

$$f((a_1, b_1, c_1, d_1), (a_2, b_2, c_2, d_2)) =$$
$$(a_1 a_2 + b_1 c_2, a_1 b_2 + b_1 d_2, c_1 a_2 + d_1 c_2, c_1 b_2 + d_1 d_2)$$

$X$ and $f$ are definable in $(K, +, \cdot)$, and the set $X$ with operation $f$ is isomorphic to $\mathrm{GL}_2(K)$, where the identity element of $X$ is $(1, 0, 0, 1)$

Clearly, $(\mathrm{GL}_n(K), \cdot, e)$ is definably interpreted in $(K, +, \cdot, 0, 1)$. A **linear algebraic group** over $K$ is a subgroup of $\mathrm{GL}_n(K)$ defined by polynomial equations over $K$. Any linear algebraic group over $K$ is definably interpreted in $K$

Let $F$ be an infinite field and let $G$ be the group of matrices of the form

$$\begin{pmatrix} a & b \\ 0 & 1 \end{pmatrix}$$

where $a, b \in F, a \neq 0$. This group is isomorphic to the group of affine transformations $x \mapsto ax + b$, where $a, b \in F$ and $a \neq 0$

We will show that $F$ is definably interpreted in the group $G$. Let

$$\alpha = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \text{ and } \beta = \begin{pmatrix} \tau & 0 \\ 0 & 1 \end{pmatrix}$$

where $\tau \neq 0$. Let

$$A = \{g \in G : g\alpha = \alpha g\} = \{\begin{pmatrix} 1 & x \\ 0 & 1 \end{pmatrix} : x \in F\}$$

$$B = \{g \in G : g\beta = \beta g\} = \{\begin{pmatrix} x & 0 \\ 0 & 1 \end{pmatrix} : x \neq 0\}$$

Clearly $A, B$ are definable using parameters $\alpha$ and $\beta$

$B$ acts on $A$ by conjugation

$$\begin{pmatrix} x & 0 \\ 0 & 1 \end{pmatrix}^{-1} \begin{pmatrix} 1 & y \\ 0 & 1 \end{pmatrix} \begin{pmatrix} x & 0 \\ 0 & 1 \end{pmatrix} = \begin{pmatrix} 1 & \frac{y}{x} \\ 0 & 1 \end{pmatrix}$$

We can define the map $i : A \setminus \{1\} \to B$ by $i(a) = b$ if and only if $b^{-1}ab = \alpha$, that is

$$i \begin{pmatrix} 1 & x \\ 0 & 1 \end{pmatrix} = \begin{pmatrix} x & 0 \\ 0 & 1 \end{pmatrix}$$

Define an operation $*$ on $A$ by

$$a * b = \begin{cases} i(b)a(i(b))^{-1} & \text{if } b \neq I \\ 1 & \text{if } b = I \end{cases}$$

where $I$ is the identity matrix. Now $(F, +, \cdot, 0, 1) \cong (A, \cdot, *, 1, \alpha)$

Very complicated structures can often be interpreted in seemingly simpler ones. For example, any structure in a countable language can be interpreted in a graph. Let $(A, <)$ be a linear order. For each $a \in A$, $G_A$ will have vertices $a, x_1^a, x_2^a, x_3^a$ and contain the subgraph
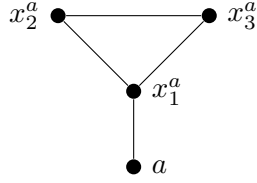
If $a < b$, then $G_A$ will have vertices $y_1^{a,b}, y_2^{a,b}, y_3^{a,b}$ and contain the subgraph
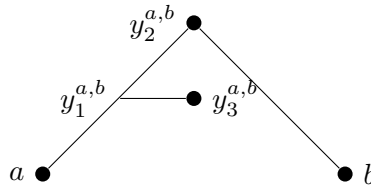


Let $V_A = A \cup \{x_1^a, x_2^a, x_3^a : a \in A\} \cup \{y_1^{a,b}, y_2^{a,b}, y_3^{a,b} : a, b \in A$ and $a < b\}$, and let $R_A$ be the smallest symmetric relation containing all edges drawn above.

For example, if $A$ is the three-element linear order $a < b < c$, then $G_A$ is the graph
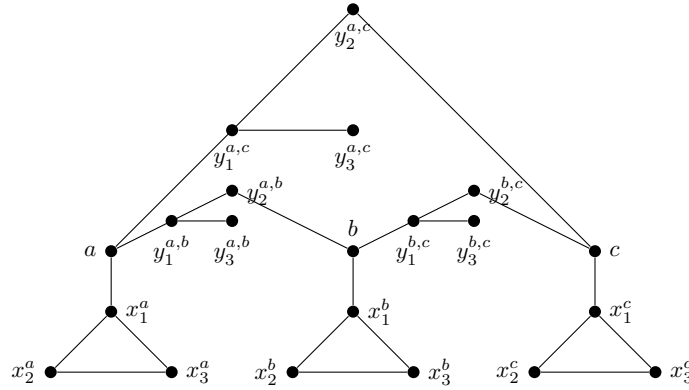


Let $\mathcal{L} = \{R\}$ where $R$ is a binary relation. Let $\phi(x, u, v, w)$ be the formula asserting that $x, u, v, w$ are distinct, there are edges $(x, u), (u, v), (v, w), (u, w)$ and these are the only edges involving $u, v, w$. $G_A \models \phi(a, x_1^a, x_2^a, x_3^a)$ for all $a \in A$.

$\psi(x, y, u, v, w)$ asserts that $x, y, u, v, w$ are distinct. $(x, u), (u, v), (u, w), (v, y)$

Define $\theta_i(z)$ as follows:

$$\theta_0(z) := \exists u \exists v \exists w \; \phi(z, u, v, w)$$
$$\theta_1(z) := \exists x \exists v \exists w \; \phi(x, z, v, w)$$
$$\theta_2(z) := \exists u \exists u \exists w \; \phi(x, u, z, w)$$
$$\theta_3(z) := \exists x \exists y \exists v \exists w \; \psi(x, y, z, v, w)$$
$$\theta_4(z) := \exists x \exists y \exists u \exists w \; \psi(x, y, u, z, w)$$
$$\theta_5(z) := \exists x \exists y \exists u \exists v \; \psi(x, y, u, v, z)$$

If $a, b \in A$ and $a < b$, then

$$G_A \vDash \theta_0(a) \wedge \theta_1(x_1^a) \wedge \theta_2(x_2^a) \wedge \theta_2(x_3^a)$$

and

$$G_A \vDash \theta_3(y_1^{a,b}) \wedge \theta_4(y_2^{a,b}) \wedge \theta_5(y_3^{a,b})$$

**Lemma 1.17.** *If $(A, <)$ is a linear order, then for all vertices $x$ in $G$, there is a unique $i \leq 5$ s.t. $G_A \vDash \theta_i(x)$*

Let $T$ be the $\mathcal{L}$-theory with the following axioms

1. $R$ is symmetric and irreflexive

2. for all $x$, exactly one $\theta_i$ holds

3. if $\theta_0(x)$ and $\theta_0(y)$ then $\neg R(x, y)$

4. if $\exists u \exists v \exists w \; \psi(x, y, u, v, w)$
   then $\forall u_1 \forall v_1 \forall w_1 \neg \psi(y, x, u_1, v_1, w_1)$

5. if $\exists u \exists v \exists w \; \psi(x, y, u, v, w)$ and $\exists u \exists v \exists w \; \psi(y, z, u, v, w)$ then
   $\exists u \exists v \exists w \; \psi(x, z, u, v, w)$

6. if $\theta_0(x)$ and $\theta_0(y)$, then either $x = y$ or $\exists u \exists v \exists w \; \psi(x, y, u, v, w)$ or
   $\exists u \exists v \exists w \; \psi(y, x, u, v, w)$

7. if $\phi(x, u, v, w) \wedge \phi(x, u', v', w')$, then $u = u', v = v', w = w'$

8. if $\psi(x, y, u, v, w) \wedge \psi(x, y, u', v', w')$, then $u' = u, v = v', w = w'$

If $(A, <)$ is a linear order, then $G_A \vDash T$
Suppose $G \vDash T$. Let $X_G = \{x \in G : G \vDash \theta_0(x)\}$

**Lemma 1.18.** *If $(A, <)$ is a linear order, then $(X_{G_A}, <_{G_A}) \cong (A, <)$. Moreover, $G_{X_G} \cong G$ for all $G \vDash T$*

**Definition 1.19.** An $\mathcal{L}_0$-structure $\mathcal{N}$ is **interpretable** in an $\mathcal{L}$-structure $M$ if there is a definable $X \subseteq M^n$, a definable equivalence relation $E$ on $X$, and for each symbol of $\mathcal{L}_0$ we can find definable $E$-invariant sets on X s.t. $X/E$ with the induced structure is isomorphic to $\mathcal{N}$

## 1.4 Answers to Exercises

*Exercise* 1.4.1.　　1. transform $\psi$ to CNF

　　2. prenex normal form

$$
\begin{array}{cc}
s & rs \\
\bullet & \bullet \\
e & r \\
\bullet & \bullet
\end{array}
$$

*Exercise* 1.4.2.　　1.

　　2. enumerate $\mathcal{M}$'s functions, relations and constants

*Exercise* 1.4.3. [1] Note that every $\mathcal{L}$-structure $\mathcal{M}$ of size $\kappa$ is isomorphic to an $\mathcal{L}$-structure with domain $\kappa$. For each relation symbols, we have $2^\kappa$ options. If the language has size $\lambda$, this is at most $(2^\kappa)^\lambda = 2^{\kappa \cdot \lambda} = 2^{\max(\lambda, \kappa)}$

*Exercise* 1.4.4.

$$
\begin{aligned}
T \vDash \phi &\Leftrightarrow \forall \mathcal{M}\ \mathcal{M} \vDash T \to \mathcal{M} \vDash \phi \\
&\Leftrightarrow \forall \mathcal{M}\ \mathcal{M} \vDash T' \to \mathcal{M} \vDash \phi \\
&\Leftrightarrow T' \vDash \phi
\end{aligned}
$$

*Exercise* 1.4.5. Follow the definition

*Exercise* 1.4.6. Since there is no model $\mathcal{M}$ s.t. $\mathcal{M} \vDash T$. It's true that $T \vDash \phi$

*Exercise* 1.4.7.　　1. Suppose $\mathcal{M} \vDash \phi$, then $E^{\mathcal{M}}$ is an equivalent relation and each equivalence class's cardinality is 2

　　2. follows from number theory

　　3. [DJMM12]

*Exercise* 1.4.8. TBD

*Exercise* 1.4.9. $G(f) = \{(\bar{x}, \bar{y}) \in M^{n+m} \mid \phi(\bar{x}, \bar{y})\}$ and $G(g) = \{(\bar{y}, \bar{z}) \in M^{m+l} \mid \psi(\bar{y}, \bar{z})\}$. Hence $G(g \circ f) = \{(\bar{x}, \bar{z}) \in M^{n+l} \mid \phi(\bar{x}, \bar{y}) \wedge \psi(\bar{y}, \bar{z})\}$

*Exercise* 1.4.10. $\phi(\bar{a}, b)$ really defines a function and since $\phi(\bar{a}, y) \to y = b$

---

[1]stackexchange

## 2 Basic Techniques

### 2.1 The Compactness Theorem

Some points of proofs

- Proofs are finite

- (Soundness) If $T \vdash \phi$, then $T \vDash \phi$

- If $T$ is a finite set of sentences, then there is an algorithm that, when given a sequence of $\mathcal{L}$-formulas $\sigma$ and an $\mathcal{L}$-sentence $\phi$, will decide whether $\sigma$ is a proof of $\phi$ from $T$

A language $\mathcal{L}$ is **recursive** if there is an algorithm that decides whether a sequence of symbols is an $\mathcal{L}$-formula. An $\mathcal{L}$-theory $T$ is **recursive** if there is an algorithm that when given an $\mathcal{L}$-sentence $\phi$ as input, decides whether $\phi \in T$

**Proposition 2.1.** *If $\mathcal{L}$ is a recursive language and $T$ is a recursive $\mathcal{L}$-theory, then $\{\phi : T \vdash \phi\}$ is recursively enumerable; that is, there is an algorithm that when given $\phi$ as input will halt accepting if $T \vdash \phi$ and not halt if $T \nvdash \phi$*

*Proof.* There is $\sigma_0, \sigma_1, \ldots$ a computable listing of all finite sequence of $\mathcal{L}$-formulas. At stage $i$, we check to see whether $\sigma_i$ is a proof of $\psi$ from $T$. If it is, then halt. $\square$

**Theorem 2.2** (Gödel's Completeness Theorem). *Let $T$ be an $\mathcal{L}$-theory and $\phi$ an $\mathcal{L}$-sentence, then $T \vDash \phi$ if and only if $T \vdash \phi$*

We say that an $\mathcal{L}$-theory $T$ is **inconsistent** if $T \vdash (\phi \wedge \neg\phi)$ for some sentence $\phi$.

**Corollary 2.3.** *$T$ is consistent if and only if $T$ is satisfiable*

*Proof.* Supose that $T$ is not satisfiable, then every model of $T$ is a model of $\phi \wedge \neg\phi$. Thus by the Completeness theorem $T \vdash (\phi \wedge \neg\phi)$ $\square$

**Theorem 2.4** (Compactness Theorem). *$T$ is satisfiable if and only if every finite subset of $T$ is satisfiable*

*Proof.* If $T$ is not satisfiable, then $T$ is inconsistent. Let $\sigma$ be a proof of a contradiction from $T$. Because $\sigma$ is finite, only finitely many assumptions from $T$ are used in the proof. Thus there is a finite $T_0 \subseteq T$ s.t. $\sigma$ is a proof of a contradiction from $T_0$ $\square$

### 2.1.1 Henkin Constructions

A theory $T$ is **finitely satisfiable** if every finite subset of $T$ is satisfiable. We will show that every finitely satisfiable theory $T$ is satisfiable.

**Definition 2.5.** We say that an $\mathcal{L}$-theory $T$ has the **witness property** if whenever $\phi(v)$ is an $\mathcal{L}$-formula with one free variable $v$, then there is a constant symbol $c \in \mathcal{L}$ s.t. $T \vdash (\exists v \phi(v)) \to \phi(c) \in T$

An $\mathcal{L}$-theory $T$ is **maximal** if for all $\phi$ either $\phi \in T$ or $\neg \phi \in T$

**Lemma 2.6.** *Suppose $T$ is a maximal and finitely satisfiable $\mathcal{L}$-theory. If $\Delta \subseteq T$ is finite and $\Delta \vDash \psi$, then $\psi \in T$*

*Proof.* If $\psi \notin T$, then $\neg\psi \in T$ but $\Delta \cup \{\psi\}$ is unsatisfiable $\qquad\square$

**Lemma 2.7.** *Suppose that $T$ is a maximal and finitely satisfiable $\mathcal{L}$-theory with the witness property. Then $T$ has a model. In fact, if $\kappa$ is a cardinal and $\mathcal{L}$ has at most $\kappa$ constant symbols, then there is $\mathcal{M} \vDash T$ with $|\mathcal{M}| \leq \kappa$*

*Proof.* Let $\mathcal{C}$ be the set of constant symbols of $\mathcal{L}$. For $c, d \in \mathcal{C}$, we say $c \sim d$ if $c = d \in T$

**Claim 1** $\sim$ is an equivalence relation.

The universe of our model will be $M = \mathcal{C}/\sim$. Clearly $|M| \leq \kappa$. We let $c^*$ denote the equivalence class of $c$ and interpret $c$ as its equivalence class, that is, $c^{\mathcal{M}} = c^*$

Suppose that $R$ is an $n$-ary relation symbol of $\mathcal{L}$

**Claim 2** Suppose that $c_1, \dots, c_n, d_1, \dots, d_n \in \mathcal{C}$ and $c_i \sim d_i$ for $i = 1, \dots, n$, then $R(\bar{c})$ if and only if $R(\bar{d})$

By Lemma 2.6, if one of $R(\bar{c})$ and $R(\bar{d})$ is in $T$, then both are in $T$

$$R^{\mathcal{M}} = \{(c_1^*, \dots, c_n^*) : R(c_1, \dots, c_n) \in T\}$$

Suppose that $f$ is an $n$-ary function symbol of $\mathcal{L}$ and $c_1, \dots, c_n \in \mathcal{C}$. Because $\emptyset \vDash \exists v f(c_1, \dots, c_n) = v$, and $T$ has the witness property, then there is $c_{n+1} \in \mathcal{C}$ s.t. $f(c_1, \dots, c_n) = c_{n+1} \in T$. As above, if $d_i \sim c_i$ for $i = 1, \dots, n+1$, then $f(d_1, \dots, d_n) = d_{n+1} \in T$. Thus we get a well-defined function $f^{\mathcal{M}} : M^n \to M$ by

$$f^{\mathcal{M}}(c_1^*, \dots, c_n^*) = d^* \text{ if and only if } f(c_1, \dots, c_n) = d \in T$$

**Claim 3** Suppose that $t$ is a term using free variables from $v_1, \dots, v_n$. If $c_1, \dots, c_n, d \in \mathcal{C}$, then $t(c_1, \dots, c_n) = d \in T$ if and only if $t^{\mathcal{M}}(c_1^*, \dots, c_n^*) = d^*$

($\Rightarrow$) If $t$ is a constant symbol, then $c = d \in T$ and $c^{\mathcal{M}} = c^* = d^*$

If $t$ is the variable $v_i$, then $c_i = d \in T$ and $t^{\mathcal{M}}(c_1^*, \dots, c_n^*) = c_i^* = d^*$

Suppose that the claim is true for $t_1, \ldots, t_m$ and $t$ is $f(t_1, \ldots, t_m)$. Using the witness property and Lemma 2.6, we can find $d, d_1, \ldots, d_n \in \mathcal{C}$ s.t. $t_i(c_1, \ldots, c_n) = d_i \in T$ for $i \leq m$ and $f(d_1, \ldots, d_m) = d \in T$. By our induction hypothesis, $t_i^{\mathcal{M}}(c_1^*, \ldots, c_n^*) = d_i^*$ and $f^{\mathcal{M}}(d_1^*, \ldots, d_m^*) = d^*$. Thus $t^{\mathcal{M}}(c_1^*, \ldots, c_n^*) = d^*$

($\Leftarrow$) Suppose $t^{\mathcal{M}}(c_1^*, \ldots, c_n^*) = d^*$. By the witness property, there is a $e \in \mathcal{C}$ s.t. $t(c_1, \ldots, c_n) = e \in T$. Using the ($\Rightarrow$) direction of the proof, $t^{\mathcal{M}}(c_1^*, \ldots, c_n^*) = e^*$. Thus $e^* = d^*$ and $e = d \in T$

**Claim 4** For all $\mathcal{L}$-formulas $\phi(v_1, \ldots, v_n)$ and $c_1, \ldots, c_n \in \mathcal{C}$, $\mathcal{M} \vDash \phi(\bar{c}^*)$ if and only if $\phi(\bar{c}) \in T$

Suppose that $\phi$ is $t_1 = t_2$. By Lemma 2.6 and the witness property, we can find $d_1$ and $d_2$ s.t. $t_1(\bar{c}) = d_1, t_2(\bar{c}) = d_2 \in T$. By Claim 3, $t_i^{\mathcal{M}}(\bar{c}^*) = d_i^*$. Then

$$\mathcal{M} \vDash \phi(\bar{c}^*) \Leftrightarrow d_1^* = d_2^*$$
$$\Leftrightarrow d_1 = d_2 \in T$$
$$\Leftrightarrow t_1(\bar{c}) = t_2(\bar{c}) \in T$$

Suppose that $\phi$ is $R(t_1, \ldots, t_m)$. There are $d_1, \ldots, d_m \in \mathcal{C}$ s.t. $t_i(\bar{c}) = d_i \in T$. Thus

$$\mathcal{M} \vDash \phi(\bar{c}^*) \Leftrightarrow \bar{d}^* \in R^{\mathcal{M}}$$
$$\Leftrightarrow R(\bar{d}) \in T$$
$$\Leftrightarrow \phi(\bar{c}) \in T$$

Suppose that the claim is true for $\phi$. If $\mathcal{M} \vDash \neg\phi(\bar{c}^*)$, then $\mathcal{M} \nvDash \phi(\bar{c}^*)$. By the inductive hypothesis, $\phi(\bar{c}) \notin T$. Thus by maximality, $\neg\phi(\bar{c}) \in T$. On the other hand, if $\neg\phi(\bar{c}) \in T$, then because $T$ is finitely satisfiable, $\phi(\bar{c}) \notin T$. Thus, by induction, $\mathcal{M} \nvDash \phi(\bar{c}^*)$. $\qquad\square$

**Lemma 2.8.** *Let $T$ be a finitely satisfiable $\mathcal{L}$-theory. There is a language $\mathcal{L}^* \supseteq \mathcal{L}$ and $T^* \supseteq T$ a finitely satisfiable $\mathcal{L}^*$-theory s.t. any $\mathcal{L}^*$-theory extending $T^*$ has the witness property. We can choose $\mathcal{L}^*$ s.t. $|\mathcal{L}^*| = |\mathcal{L}| + \aleph_0$*

*Proof.* We first show that there is a language $\mathcal{L}_1 \supseteq \mathcal{L}$ and a finitely satisfiable $\mathcal{L}_1$-theory $\mathcal{L}_1 \supseteq T$ s.t. for any $\mathcal{L}$-formula $\phi(v)$ there is an $\mathcal{L}_1$-constant symbol $c$ s.t. $T_1 \vDash (\exists v \phi(v)) \rightarrow \phi(c)$. For each $\mathcal{L}$-formula $\phi(v)$, let $c_\phi$ be a new constant symbol and let $\mathcal{L}_1 = \mathcal{L} \cup \{c_\phi : \phi(v) \text{ an } \mathcal{L}\text{-formula}\}$. For each $\mathcal{L}$-formula $\phi(v)$, let $\Theta_\phi$ be the $\mathcal{L}_1$-sentence $(\exists v \phi(v)) \rightarrow \phi(c_\phi)$. Let $T_1 = T \cup \{\Theta_\phi : \phi(v) \text{ an } \mathcal{L}\text{-formula}\}$

**Claim** $T_1$ is finitely satisfiable

Suppose that $\Delta$ is a finite subset of $T_1$. Then $\Delta = \Delta_0 \cup \{\Theta_{\phi_1}, \dots, \Theta_{\phi_n}\}$ where $\Delta_0$ is a finite subset of $T$ and there is $\mathcal{M} \vDash \Delta_0$. We will make $\mathcal{M}$ into an $\mathcal{L} \cup \{c_{\phi_1}, \dots, c_{\phi_n}\}$-structure $\mathcal{M}'$. If $\mathcal{M} \vDash \exists v\phi(v)$, choose $a_i$ some element of $M$ s.t. $\mathcal{M} \vDash \phi(a_i)$ and let $c_{\phi_i}^{\mathcal{M}'} = a_i$. Otherwise, let $c_{\phi_i}^{\mathcal{M}'}$ be any element of $\mathcal{M}$. Clearly $\mathcal{M}' \vDash \Theta_{\phi_i}$ for $i \leq n$. Thus $T_1$ is finitely satisfiable.

We now iterate the construction above to build a sequence of languages $\mathcal{L} \subseteq \mathcal{L}_1 \subseteq \mathcal{L}_2 \subseteq \dots$ and a sequence of finitely satisfiable $\mathcal{L}_i$-theories $T \subseteq T_1 \subseteq T_2 \subseteq \dots$ s.t. if $\phi(v)$ is an $\mathcal{L}_i$-formula then there is a constant symbol $c \in \mathcal{L}_{i+1}$ s.t. $T_{i+1} \vDash (\exists v\phi(v)) \rightarrow \phi(c)$

Let $\mathcal{L}^* = \bigcup \mathcal{L}_i$ and $T^* = \bigcup T_i$. If $|\mathcal{L}_i|$ is the number of relation, function and constant symbols in $\mathcal{L}_i$, then there are at most $|\mathcal{L}_i| + \aleph_0$ formulas in $\mathcal{L}_i$. Thus by induction, $|\mathcal{L}^*| = |\mathcal{L}| + \aleph_0$ $\qquad\square$

**Lemma 2.9.** *Suppose that $T$ is a finitely satisfiable $\mathcal{L}$-theory and $\phi$ is an $\mathcal{L}$-sentence, then either $T \cup \{\phi\}$ or $T \cup \{\neg\phi\}$ is finitely satisfiable*

**Corollary 2.10.** *If $T$ is a finitely satisfiable $\mathcal{L}$-theory, then there is a maximal finitely satisfiable $\mathcal{L}$-theory $T' \supseteq T$*

*Proof.* Let $I$ be the set of all finitely satisfiable $\mathcal{L}$-theory containing $T$. We partially order $I$ by inclusion. If $C \subseteq I$ is a chain, let $T_C = \bigcup\{\Sigma : \Sigma \in C\}$. If $\Delta$ is a finite subset of $T_C$, then there is a $\Sigma \in C$ s.t. $\Delta \subseteq \Sigma$, so $T_C$ is finitely satisfiable and $T_C \supseteq \Sigma$ for all $\Sigma \in C$. Thus every chain in $I$ has an upper bound, and we can apply Zorn's lemma to find a $T' \in I$ maximal w.r.t. the partial order. $\qquad\square$

**Theorem 2.11** (strengthening of Compactness Theorem)**.** *If $T$ is a finitely satisfiable $\mathcal{L}$-theory and $\kappa$ is an infinite cardinal with $\kappa \geq |\mathcal{L}|$, then there is a model of $T$ of cardinality at most $\kappa$*

*Proof.* By Lemma 2.8, we can find $\mathcal{L}^* \supseteq \mathcal{L}$ and $T^* \supseteq T$ a finitely satisfiable $\mathcal{L}^*$-theory s.t. any $\mathcal{L}^*$-theory extending $T^*$ has the witness property and the cardinality of $\mathcal{L}^*$ is at most $\kappa$. By Corollary 2.10, we can find a maximal finitely satisfiable $\mathcal{L}^*$-theory $T' \supseteq T^*$. Because $T'$ has the witness property, Lemma 2.7 ensures that there is $\mathcal{M} \vDash T$ with $|M| \leq \kappa$ $\qquad\square$

**Proposition 2.12.** *Let $\mathcal{L} = \{\cdot, +, <, 0, 1\}$ and let $\mathrm{Th}(\mathbb{N})$ be the full $\mathcal{L}$-theory of the natural numbers. There is $\mathcal{M} \vDash \mathrm{Th}(\mathbb{N})$ and $a \in M$ s.t. $a$ is larger than every natural number*

*Proof.* Let $\mathcal{L}^* = \mathcal{L} \cup \{c\}$ where $c$ is a new constant symbol and let

$$T = \mathrm{Th}(\mathbb{N}) \cup \{\underbrace{1 + 1 + \cdots + 1}_{n\text{-times}} < c : \text{for } n = 1, 2, \dots\}$$

If $\Delta$ is a finite subset of $T$ we can make $\mathbb{N}$ a model of $\Delta$ by interpreting $c$ as a suitably large natural number. Thus $T$ is finitely satisfiable and there is $\mathcal{M} \vDash T$. $\qquad\square$

**Lemma 2.13.** *If $T \vDash \phi$, then $\Delta \vDash T$ for some finite $\Delta \subseteq T$*

*Proof.* Suppose not. Let $\Delta \subseteq T$ be finite. Because $\Delta \nvDash \phi$, $\Delta \cup \{\neg\phi\}$ is satisfiable. Thus $T \cup \{\neg\phi\}$ is finitely satisfiable and by the compactness theorem, $T \nvDash \phi$ $\qquad\square$

## 2.2 Complete Theories

**Definition 2.14.** An $\mathcal{L}$-theory $T$ is called **complete** if for any $\mathcal{L}$-sentence $\phi$ either $T \vDash \phi$ or $T \vDash \neg\phi$

For $\mathcal{M}$ an $\mathcal{L}$-structure, then the full theory

$$\mathrm{Th}(\mathcal{M}) = \{\phi : \phi \text{ is an } \mathcal{L}\text{-sentence and } \mathcal{M} \vDash \phi\}$$

is a complete theory.

**Proposition 2.15.** *Let $T$ be an $\mathcal{L}$-theory with infinite models. If $\kappa$ is an infinite cardinal and $\kappa \geq |\mathcal{L}|$, then there is a model of $T$ of cardinality $\kappa$*

*Proof.* Let $\mathcal{L}^* = \mathcal{L} \cup \{c_\alpha : \alpha < \kappa\}$, where each $c_\alpha$ is new constant symbol, and let $T^*$ be the $\mathcal{L}^*$-theory $T \cup \{c_\alpha \neq c_\beta : \alpha, \beta < \kappa, \alpha \neq \beta\}$. Clearly if $\mathcal{M} \vDash T^*$, then $\mathcal{M}$ is a model of $T$ of cardinality at least $\kappa$. Thus by Theorem 2.11, it suffices to show that $T^*$ is finitely satisfiable. But if $\Delta \subseteq T^*$ is finite, then $\Delta \subseteq T \cup \{c_\alpha \neq c_\beta : \alpha \neq \beta, \alpha, \beta \in I\}$, where $I$ is a finite subset of $\kappa$. Let $\mathcal{M}$ be an infinite model of $T$. We can interpret the symbols $\{c_\alpha : \alpha \in I\}$ as $|I|$ distinct elements of $M$. Because $\mathcal{M} \vDash \Delta$, $T^*$ is finitely satisfiable. $\qquad\square$

**Definition 2.16.** Let $\kappa$ be an infinite cardinal and let $T$ be a theory with models of size $\kappa$. We say that $T$ is $\kappa$-**categorical** if any two models of $T$ of cardinality $\kappa$ are isomorphic.

Let $\mathcal{L} = \{+, 0\}$ be the language of additive groups and let $T$ be the $\mathcal{L}$-theory of torsion-free divisible Abelian groups. The axioms of $T$ are the axioms for Abelian groups together with the axioms

$$\forall x (x \neq 0 \rightarrow \underbrace{x + \cdots + x}_{n\text{-times}} \neq 0)$$

$$\forall y \exists x \underbrace{x + \cdots + x}_{n\text{-times}} = y$$

for $n = 1, 2, \ldots$

**Proposition 2.17.** *The theory of torsion-free divisible Abelian groups is $\kappa$-categorical for all $\kappa > \aleph_0$*

*Proof.* We first argue that models of $T$ are essentially vector spaces over the field of rational numbers $\mathbb{Q}$. If $V$ is any vector space over $\mathbb{Q}$, then the underlying additive group $V$ is a model of $T$. Check StackExchange. On the other hand, if $G \vDash T$, $g \in G$ and $n \in \mathbb{N}$ with $g > 0$, we can find $h \in G$ s.t. $nh = g$. If $nk = g$, then $n(h - k) = 0$. Because $G$ is torsion-free there is a unique $h \in G$ s.t. $nh = g$. We call this element $g/n$. We can view $G$ as a $\mathbb{Q}$-vector space under the action $\frac{m}{n}g = m(g/n)$

Two $\mathbb{Q}$-vector spaces are isomorphic if and only if they have the same dimension. Thus the model of $T$ are determined up to isomorphism by their dimension. If $G$ has dimension $\lambda$, then $|G| = \lambda + \aleph_0$. If $\kappa$ is uncountable and $G$ has cardinality $\kappa$, then $G$ has dimension $\kappa$. Thus for $\kappa > \aleph_0$ any two models of $T$ of cardinality $\kappa$ are isomorphic $\qquad\square$

**Lemma 2.18.** *Field of uncountable cardinality $\kappa$ has transcendence degree $\kappa$* [2]

*Proof.* We prove the theorem for fields with characteristic $p = 0$.

Since each characteristic 0 field contains a copy of $\mathbb{Q}$ as its prime field, we can view $F$ as a field extension over $\mathbb{Q}$. We will show that $F$ has a subset of cardinality $\kappa$ which is algebraically independent over $\mathbb{Q}$.

We build the claimed subset of $F$ by transfinite induction and implicit use of the axiom of choice.

Let $S_0 = \emptyset$

Let $S_1$ be a singleton containing some element of $F$ which is not algebraic over $\mathbb{Q}$. This is possible since algebraic numbers are countable

Define $S_{\alpha+1}$ to be $S_\alpha$ together with an element of $F$ which is not a root of any non-trivial polynomial with coefficients in $\mathbb{Q} \cup S_\alpha$ since there are only $|\mathbb{Q} \cup S_\alpha| = \aleph_0 + |\alpha| < \kappa$ polynomials

Define $S_\beta = \bigcup_{\alpha < \beta} S_\alpha$

Let $P(x_1, \ldots, x_n)$ be a non-trivial polynomial with coefficients in $\mathbb{Q}$ and elements $a_1, \ldots, a_n$ in $F$. W.L.O.G., it is assumed that $a_n$ was added at an ordinal $\alpha + 1$ later than the other elements. Then $P(a_1, \ldots, a_{n-1}, x_n)$ is a polynomial with coefficients in $\mathbb{Q} \cup S_\alpha$. Hence $P(a_1, \ldots, a_n) \neq 0$. $\qquad\square$

**Proposition 2.19.** *ACF$_p$ is $\kappa$-categorical for all uncountable cardinals $\kappa$*

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[2]proofwiki

*Proof.* Two algebraically closed fields are isomorphic if and only if they have the same characteristic and transcendence degree. See `AdvancedModernAlgebra.org`. By Lemma 2.18, an algebraically closed field of transcendence degree $\lambda$ has cardinality $\lambda + \aleph_0$. $\qquad\square$

**Theorem 2.20** (Vaught's Test). *Let $T$ be a satisfiable theory with no finite models that is $\kappa$-categorical for some infinite cardinal $\kappa \geq |\mathcal{L}|$. Then $T$ is complete*

*Proof.* Suppose $T$ is not complete. Then there is a sentence $\phi$ s.t. $T \not\vDash \phi$ and $T \not\vDash \neg\phi$. Because $T \not\vDash \psi$ if and only if $T \cup \{\neg\psi\}$ is satisfiable, the theories $T_0 = T \cup \{\phi\}$ and $T_1 = T \cup \{\neg\phi\}$ are satisfiable. Because $T$ has no finite models, both $T_0$ and $T_1$ have infinite models. By Proposition 2.15 we can find $\mathcal{M}_0$ and $\mathcal{M}_1$ of cardinality $\kappa$ with $\mathcal{M}_i \vDash T_i$. Because $\mathcal{M}_0$ and $\mathcal{M}_1$ disagree about $\phi$, they are not elementarily equivalent, and hence by Theorem 1.9, nonisomorphic. $\qquad\square$

**Definition 2.21.** We say that an $\mathcal{L}$-theory $T$ is **decidable** if there is an algorithm that when given an $\mathcal{L}$-sentence $\phi$ as input decides whether $T \vDash \phi$

**Lemma 2.22.** *Let $T$ be a recursive complete satisfiable theory in a recursive language $\mathcal{L}$. Then $T$ is decidable*

*Proof.* Because $T$ is satisfiable $A = \{\phi : T \vDash \phi\}$ and $B = \{\phi : T \vDash \neg\phi\}$ are disjoint. Because $T$ is consistent $A \cup B$ is the set of all $\mathcal{L}$-sentences. By the Completeness Theorem, $A = \{\phi : T \vdash \phi\}$ and $B = \{\phi : T \vdash \neg\phi\}$. By Proposition 2.1 $A$ and $B$ are recursively enumerable. But any recursively enumerable set with a recursively enumerable complement is recursive. $\qquad\square$

**Corollary 2.23.** *For $p = 0$ or $p$ prime, $ACF_p$ is decidable. In particular, $\mathrm{Th}(\mathbb{C})$, the first-order theory of the field of complex numbers, is decidable*

**Corollary 2.24.** *Let $\phi$ be a sentence in the language of rings. The following are equivalent*

1. *$\phi$ is true in the complex number*

2. *$\phi$ is true in every algebraically closed field of characteristic zero*

3. *$\phi$ is true in some algebraically closed field of characteristic zero*

4. *There are arbitrarily large primes $p$ s.t. $\phi$ is true in some algebraically closed field of characteristic $p$*

5. *There is an $m$ s.t. for all $p > m$, $\phi$ is true in all algebraically closed fields of characteristic $p$*

*Proof.* By Proposition 2.19 and Vaught's Test, $\mathrm{ACF}_p$ is complete.

$(2) \rightarrow (5)$. Suppose that $\mathrm{ACF}_0 \vDash \phi$. By Lemma 2.13, there is a finite $\Delta \subseteq \mathrm{ACF}_0$ s.t. $\Delta \vDash \phi$. Thus if we choose $p$ large enough, then $\mathrm{ACF}_p \vDash \Delta$.

$(4) \rightarrow (2)$. Suppose $\mathrm{ACF}_0 \nvDash \phi$. Because $\mathrm{ACF}_0$ is complete, $\mathrm{ACF}_0 \vDash \neg\phi$.
$\square$

## 2.3 Up and Down

**Definition 2.25.** If $\mathcal{M}$ and $\mathcal{N}$ are $\mathcal{L}$-structures, then an $\mathcal{L}$-embedding $j : \mathcal{M} \rightarrow \mathcal{N}$ is called an **elementary embedding** if

$$\mathcal{M} \vDash \phi(a_1, \dots, a_n) \leftrightarrow \mathcal{N} \vDash \phi(j(a_1), \dots, j(a_n))$$

for all $\mathcal{L}$-formulas $\phi(v_1, \dots, v_n)$ and all $a_1, \dots, a_n \in M$

If $\mathcal{M}$ is a substructure of $\mathcal{N}$, we say that it is an **elementary substructure** and write $\mathcal{M} \prec \mathcal{N}$ if the inclusion map is elementary. $\mathcal{N}$ is an **elementary extension** of $\mathcal{M}$

**Definition 2.26.** $\mathcal{M}$ is an $\mathcal{L}$-structure. Let $\mathcal{L}_M$ be the language where we add to $\mathcal{L}$ constant symbols $m$ for each element of $M$. The **atomic diagram** of $\mathcal{M}$ is $\{\phi(m_1, \dots, m_n) : \phi$ is either an atomic $\mathcal{L}$-formula or the negation of an atomic $\mathcal{L}$-formula and $\mathcal{M} \vDash \phi(m_1, \dots .m_n)\}$. The **elementary diagram** of $\mathcal{M}$ is

$$\{\phi(m_1, \dots, m_n) : \mathcal{M} \vDash \phi(m_1, \dots, m_n), \phi \text{ an } \mathcal{L}\text{-formula}\}$$

We let $\mathrm{Diag}(\mathcal{M})$ and $\mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$ denote the atomic and elementary diagrams of $\mathcal{M}$

**Lemma 2.27.** *1. Suppose that $\mathcal{N}$ is an $\mathcal{L}_M$-structure and $\mathcal{N} \vDash \mathrm{Diag}(\mathcal{M})$, then viewing $\mathcal{N}$ as an $\mathcal{L}$-structure, there is an $\mathcal{L}$-embedding of $\mathcal{M}$ into $\mathcal{N}$*

*2. If $\mathcal{N} \vDash \mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$, then there is an elementary embedding of $\mathcal{M}$ into $\mathcal{N}$*

*Proof.* 1. Let $j : M \rightarrow N$ by $j(m) = m^{\mathcal{N}}$. If $m_1 \neq m_2 \in \mathrm{Diag}(\mathcal{M})$; thus $j(m_1) \neq j(m_2)$ so $j$ is an embedding. If $f$ is a function symbols of $\mathcal{L}$ and $f^{\mathcal{M}}(m_1, \dots, m_n) = m_{n+1}$, then $f(m_1, \dots, m_n) = m_{n+1}$ is a formula in $\mathrm{Diag}(\mathcal{M})$ and $f^{\mathcal{N}}(j(m_1), \dots, j(m_n)) = j(m_{n+1})$. If $R$ is a relation symbol and $\bar{m} \in R^{\mathcal{M}}$, then $R(m_1, \dots, m_n) \in \mathrm{Diag}(\mathcal{M})$ and $(j(m_1), \dots, j(m_n)) \in R^{\mathcal{N}}$. Hence $j$ is an $\mathcal{L}$-embedding

2. $j$ is elementary.
$\square$

**Theorem 2.28** (Upward Löwenheim–Skolem Theorem)**.** *Let $\mathcal{M}$ be an infinite $\mathcal{L}$-structure and $\kappa$ be an infinite cardinal $\kappa \geq |\mathcal{M}| + |\mathcal{L}|$. Then, there is $\mathcal{N}$ an $\mathcal{L}$-structure of cardinality $\kappa$ and $j : \mathcal{M} \to \mathcal{N}$ is elementary*

*Proof.* Because $\mathcal{M} \vDash \mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$, $\mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$ is satisfiable. By Theorem 2.11, there is $\mathcal{N} \vDash \mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$ of cardinality $\kappa$. By Lemma 2.27, there is an elementary $j : \mathcal{M} \to \mathcal{N}$ □

**Proposition 2.29** (Tarski-Vaught Test)**.** *Suppose that $\mathcal{M}$ is a substructure of $\mathcal{N}$. Then $\mathcal{M}$ is an elementary substructure if and only if, for any formula $\phi(v, \bar{w})$ and $\bar{a} \in M$, if there is $b \in N$ s.t. $\mathcal{N} \vDash \phi(b, \bar{a})$, then there is $c \in M$ s.t. $\mathcal{N} \vDash \phi(c, \bar{a})$*

*Proof.* We need to show that for all $\bar{a} \in M$ and all $\mathcal{L}$-formulas $\psi(\bar{v})$

$$\mathcal{M} \vDash \psi(\bar{a}) \Leftrightarrow \mathcal{N} \vDash \psi(\bar{a})$$

In Proposition 1.7, we showed that if $\phi(\bar{v})$ is quantifier free then $\mathcal{M} \vDash \phi(\bar{a})$ if and only if $\phi(\bar{a})$ □

We say that an $\mathcal{L}$-theory $T$ has **built-in Skolem functions** if for all $\mathcal{L}$-formulas $\phi(v, w_1, \dots, w_n)$ there is a function symbol $f$ s.t. $T \vDash \forall\bar{w}((\exists v\phi(v, \bar{w})) \to \phi(f(\bar{w}), \bar{w}))$. In other words, there are enough function symbols in the language to witness all existential statements.

**Lemma 2.30.** *Let $T$ be an $\mathcal{L}$-theory. There are $\mathcal{L}^* \supseteq \mathcal{L}$ and $T^* \supseteq T$ an $\mathcal{L}^*$-theory s.t. $T^*$ has built-in Skolem functions, and if $\mathcal{M} \vDash T$, then we can expand $\mathcal{M}$ to $\mathcal{M}^* \vDash T^*$. We can choose $\mathcal{L}^*$ s.t. $|\mathcal{L}^*| = |\mathcal{L}| + \aleph_0$.*
*We call $T^*$ a **skolemization** of $T$*

*Proof.* We build a sequence of languages $\mathcal{L} = \mathcal{L}_0 \subseteq \mathcal{L}_1 \subseteq \dots$ and $\mathcal{L}_i$-theories $T_i$ s.t. $T = T_0 \subseteq T_1 \subseteq \dots$

Given $\mathcal{L}_i$, let $\mathcal{L}_{i+1} = \mathcal{L} \cup \{f_\phi : \phi(v, w_1, \dots, w_n)$ an $\mathcal{L}_i$-formula, $n = 1, 2, \dots\}$, where $f_\phi$ is an $n$-ary function symbol. For $\phi(v, \bar{w})$ an $\mathcal{L}_i$-formula, let $\Psi_\phi$ be the sentence

$$\forall\bar{w}((\exists v\phi(v, \bar{w})) \to \phi(f_\phi(\bar{w}), \bar{w}))$$

and let $T_{i+1} = T_i \cup \{\Psi_\phi : \phi$ an $\mathcal{L}_i$-formula$\}$

**Claim** If $\mathcal{M} \vDash T_i$, then we can interpret the function symbols of $\mathcal{L}_{i+1} \backslash \mathcal{L}_i$ so that $\mathcal{M} \vDash T_{i+1}$

Let $c$ be some fixed element of $M$. If $\phi(v, w_1, \dots, w_n)$ is an $\mathcal{L}_i$-formula, we find a function $g : M^n \to M$ s.t. $\bar{a} \in M^n$ and $X_{\bar{a}} = \{b \in M : \mathcal{M} \vDash \phi(b, \bar{a})\}$ is nonempty, then $g(\bar{a}) \in X_{\bar{a}}$, and if $X_{\bar{a}} = \emptyset$, then $g(\bar{a}) = c$. Thus if $\mathcal{M} \vDash \exists v\phi(v, \bar{a})$, then $\mathcal{M} \vDash \phi(g(\bar{a}), \bar{a})$. If we interpret $f_\phi$ as $g$, then $\mathcal{M} \vDash \Psi_\phi$

Let $\mathcal{L}^* = \bigcup \mathcal{L}_i$ and $T^* = \bigcup T_i$. If $\phi(v, \bar{w})$ is an $\mathcal{L}^*$-formula, then $\phi \in \mathcal{L}_i$ for some $i$ and $\Psi_\phi \in T_{i+1} \subseteq T^*$, so $T^*$ has built in Skolem functions. By iterating the claim, we see that for any $\mathcal{M} \vDash T$ we can interpret the symbols of $\mathcal{L}^* \backslash \mathcal{L}$ to make $\mathcal{M} \vDash T^*$

$$|\mathcal{L}_{i+1}| = |\mathcal{L}_i| + \aleph_0$$ $\qquad\qquad\square$

**Theorem 2.31** (Löwenheim–Skolem Theorem)**.** *Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure and $X \subseteq M$, there is an elementary submodel $\mathcal{N}$ of $\mathcal{M}$ s.t. $X \subseteq N$ and $|\mathcal{N}| \leq |X| + |\mathcal{L}| + \aleph_0$*

*Proof.* By Lemma 2.30, we may assume that $\mathrm{Th}(\mathcal{M})$ has built in Skolem functions (otherwise we may extend $\mathcal{L}$ to some $\mathcal{L}^*$). Let $X_0 = X$. Given $X_i$, let $X_{i+1} = X_i \cup \{f^{\mathcal{M}}(\bar{a}) : f \text{ an } n\text{-ary function symbol}, \bar{a} \in X_i^n, n = 1, 2, \dots \}$. Let $N = \bigcup X_i$, then $|N| \leq |X| + |\mathcal{L}| + \aleph_0$ If $f$ is an $n$-ary function symbol of $\mathcal{L}$ and $\bar{a} \in N^n$, then $\bar{a} \in X_i^n$ for some $i$ and $f^{\mathcal{M}}(\bar{a}) \in X_{i+1} \subseteq N$. Thus $f^{\mathcal{M}}|N : N^n \to N$. Thus we can interpret $f$ as $f^{\mathcal{N}} = f^{\mathcal{M}}|N^n$. If $R$ is an $n$-ary relation symbol, let $R^{\mathcal{N}} = R^{\mathcal{M}} \cap N^n$. If $c$ is a constant symbol of $\mathcal{L}$, there is a Skolem function $f \in \mathcal{L}$ s.t. $f(x) = c^{\mathcal{M}}$ for all $x \in M$ (for example, $f$ is the Skolem function for the formula $v = c$) . Thus $c^{\mathcal{N}} \in N$

If $\phi(v, \bar{w})$ is any $\mathcal{L}$-formula, $\bar{a}, b \in M$ and $\mathcal{M} \vDash \phi(b, \bar{a})$, then $\mathcal{M} \vDash \phi(f(\bar{a}), \bar{a})$ for some function symbol $f$ of $\mathcal{L}$. By construction, $f^{\mathcal{M}}(\bar{a}) \in N$. Thus by Proposition 2.29 $\mathcal{N} \prec \mathcal{M}$ $\qquad\qquad\square$

**Definition 2.32.** A **universal sentence** is one of the form $\forall \bar{v} \phi(\bar{v})$, where $\phi$ is quantifier-free. We say that an $\mathcal{L}$-theory $T$ has a **universal axiomatization** if there is a set of universal $\mathcal{L}$-sentences $\Gamma$ s.t. $\mathcal{M} \vDash \Gamma$ if and only if $\mathcal{M} \vDash T$ for all $\mathcal{L}$-structures $\mathcal{M}$

**Theorem 2.33.** *An $\mathcal{L}$-theory $T$ has a universal axiomatization if and only if whenever $\mathcal{M} \vDash T$ and $\mathcal{N}$ is a substructure of $\mathcal{M}$, then $\mathcal{N} \vDash T$. In other words, a theory is preserved under substructure if and only if it has a universal axiomatization*

*Proof.* Suppose that $\mathcal{N} \subseteq \mathcal{M}$. By Proposition 1.7, if $\phi(\bar{v})$ is a quantifier-free formula and $\bar{a} \in N$, then $\mathcal{N} \vDash \phi(\bar{a})$ if and only if $\phi(\bar{a})$. Thus if $\mathcal{M} \vDash \forall \bar{v} \phi(\bar{v})$, then so does $\mathcal{N}$

Suppose that $T$ is preserved under substructures. Let $\Gamma = \{\phi : \phi \text{ is universal and } T \vDash \phi\}$. Clearly, if $\mathcal{N} \vDash T$, then $\mathcal{N} \vDash \Gamma$. For the other direction, suppose that $\mathcal{N} \vDash \Gamma$. We claim that $\mathcal{N} \vDash T$

**Claim** $T \cup \mathrm{Diag}(\mathcal{N})$ is satisfiable

Suppose not. Then, by the Compactness Theorem, there is a finite $\Delta \subseteq \mathrm{Diag}(\mathcal{N})$ s.t. $T \cup \Delta$ is not satisfiable. Let $\Delta = \{\psi_1, \dots, \psi_n\}$. Let $\bar{c}$ be the new constant symbols from $N$ used in $\psi_1, \dots, \psi_n$ and say $\psi_i = \phi_i(\bar{c})$, where $\phi_i$ is

a quantifier-free $\mathcal{L}$-formula. Because the constants in $\bar{c}$ do not occur in $T$, if there is a model of $T \cup \{\exists \bar{v} \bigwedge \phi_i(\bar{v})\}$, then by interpreting $\bar{c}$ as witness to the existential formula, $T \cup \Delta$ would be satisfiable. Thus $T \vDash \forall \bar{v} \bigvee \neg \phi_i(\bar{v})$. As the latter formula is universal, $\forall \bar{v} \bigvee \neg \phi_i(\bar{v}) \in \Gamma$, contradicting $\mathcal{N} \vDash \Gamma$.

By Lemma 2.27, there is $\mathcal{M} \vDash T$ with $\mathcal{M} \supseteq \mathcal{N}$. Because $T$ is preserved under substructure, $\mathcal{N} \vDash T$ and $\Gamma$ is a universal axiomatization $\qquad \square$

**Definition 2.34.** Suppose that $(I, <)$ is a linear order. Suppose that $\mathcal{M}_i$ is an $\mathcal{L}$-structure for $i \in I$. We say that $(\mathcal{M}_i : i \in I)$ is a chain of $\mathcal{L}$-strctures if $\mathcal{M}_i \subseteq \mathcal{M}_j$ for $i < j$. If $\mathcal{M}_i \prec \mathcal{M}_j$ for $i < j$, we call $(\mathcal{M}_i : i \in I)$ an **elementary chain**

If $(\mathcal{M}_i : i \in I)$ is a nonempty chain of structures, then we can define $\mathcal{M} = \bigcup_{i \in I} \mathcal{M}_i$, the union of the chain, as follows. $M = \bigcup_{i \in I} M_i$. if $c$ is a constant in the language, then $c^{\mathcal{M}_i} = c^{\mathcal{M}_j}$ for all $i, j \in I$. Let $c^{\mathcal{M}} = c^{\mathcal{M}_i}$.

Suppose that $\bar{a} \in M$. Because $I$ is linearly ordered, we can find $i \in I$ s.t. $\bar{a} \in M_i$. If $f$ is a function symbol of $\mathcal{L}$ and $i < j$, then $f^{\mathcal{M}_i}(\bar{a}) = f^{\mathcal{M}_j}(\bar{a})$. Thus $f^{\mathcal{M}} = \bigcup_{i \in I} f^{\mathcal{M}_i}$ is a well-defined function. Similarly, $R^{\mathcal{M}} = \bigcup_{i \in I} R^{\mathcal{M}_i}$

**Proposition 2.35.** *Suppose that $(I, <)$ is a linear order and $(\mathcal{M}_i : i \in I)$ is an elementary chain. Then $\mathcal{M} = \bigcup_{i \in I} \mathcal{M}_i$ is an elementary extension of each $\mathcal{M}_i$*

*Proof.* We prove by induction on formulas that

$$\mathcal{M} \vDash \phi(\bar{a}) \Leftrightarrow \mathcal{M}_i \vDash \phi(\bar{a})$$

for all $i \in I$, all formulas $\phi(\bar{v})$, and all $\bar{a} \in M_i^n$

Because $\mathcal{M}_i$ is a substructure of $\mathcal{M}$, by Proposition 1.7 this is true for all atomic $\phi$. $\neg \phi$ and $\phi \vee \psi$ is easy.

Suppose that $\phi$ is $\exists v \psi(v, \bar{w})$ and the chain holds for $\psi$. If $\mathcal{M}_i \vDash \psi(b, \bar{a})$, then so does $\mathcal{M}$. Thus if $\mathcal{M}_i \vDash \phi(\bar{a})$, then so does $\mathcal{M}$. On the other hand, if $\mathcal{M} \vDash \psi(b, \bar{a})$, there is $j \geq i$ s.t. $b \in M_j$. By induction, $\mathcal{M}_j \vDash \psi(b, \bar{a})$, so $\mathcal{M}_j \vDash \phi(\bar{a})$. Because $\mathcal{M}_i \prec \mathcal{M}_j$, $\mathcal{M}_i \vDash \phi(\bar{a})$ $\qquad \square$

## 2.4 Back and Forth

### 2.4.1 Dense Linear Orders

Let $\mathcal{L} = \{<\}$ and let DLO be the theory of dense linear orders without endpoints. DLO is axiomatized by the axioms for linear orders plus the axioms

$$\forall x \forall y \ (x < y \rightarrow \exists z \ x < z < y)$$
$$\forall x \exists y \exists z \ y < x < z$$

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**Theorem 2.36.** *The theory DLO is $\aleph_0$-categorical and complete*

*Proof.* Let $(A, <)$ and $(B, <)$ be two countable models of DLO. Let $a_0, a_1, a_2, ...$ and $b_0, b_1, b_2, ...$ be one-to-one enumerations of $A$ and $B$. We will build a sequence of partial bijections $f_i : A_i \to B_i$ where $A_i \subset A$ and $B_i \subset B$ are finite s.t. $f_0 \subseteq f_1 \subseteq ...$ and if $x, y \in A_i$ and $x < y$, then $f_i(x) < f_i(y)$. We call $f_i$ a **partial embedding**. We will build these sequences s.t. $A = \bigcup A_i$ and $B = \bigcup B_i$. In this case, $f = \bigcup f_i$ is the desired isomorphism from $(A, <)$ to $(B, <)$

At odd stages of the construction we will ensure that $\bigcup A_i = A$, and at even stages we will ensure that $\bigcup B_i = B$

<u>stage 0</u>: Let $A_0 = B_0 = f_0 = \emptyset$

<u>stage $n + 1 = 2m + 1$</u>: We will ensure that $a_m \in A_{n+1}$.

If $a_m \in A_n$, then let $A_{n+1} = A_n$, $B_{n+1} = B_n$ and $f_{n+1} = f_n$. Suppose that $a_m \notin A_n$. To add $a_m$ to the domain of our partial embedding, we must find $b \in B \backslash B_n$ s.t.

$$\alpha < a_m \Leftrightarrow f_n(\alpha) < b$$

for all $\alpha \in A_n$. In other words, we must find $b \in B$, which is the image under $f_n$ of the cut of $a_m$ in $A_n$. Exactly one of the following holds:

1. $a_m$ is greater than every element of $A_n$, or

2. $a_m$ is than than every element of $A_n$, or

3. there are $\alpha$ and $\beta \in A_n$ s.t. $\alpha < \beta, \gamma \leq \alpha$ or $\gamma \geq \beta$ for all $\gamma \in A_n$ and $\alpha < a_m < \beta$

In case 1 because $B_n$ is finite and $B \vDash$ DLO, we can find $b \in B$ greater than every element of $B_n$. Similar for case 2. In case 3, because $f_n$ is a partial embedding, $f_n(\alpha) < f_n(\beta)$ and we can choose $b \in B_n$ s.t. $f_n(\alpha) < b < f_n(\beta)$. Note that

$$\alpha < a_m \Leftrightarrow f_n(\alpha) < b$$

for all $\alpha \in A_n$

<u>stage $n + 1 = 2m + 2$</u>: We will ensure $b_m \in B_{n+1}$

Again, if $b_m$ is already in $B_n$, then we make no changes. Otherwise, we must find $a \in A$ s.t. the image of the cut of $a$ in $A_n$ is the cut of $b_m$ in $B_n$. This is done in odd case.

Clearly, at odd stages we have ensured that $\bigcup A_n = A$ and at even stages we have ensured that $\bigcup B_n = B$. Because each $f_n$ is a partial embedding, $f = \bigcup f_n$ is an isomorphism from $A$ onto $B$

But there are no finite dense linear orders, Vaught's test implies that DLO is complete $\qquad\qquad\square$

### 2.4.2 The Random Graph

Let $\mathcal{L} = \{R\}$, where $R$ is a binary relation symbol. We will consider an $\mathcal{L}$-theory containing the graph axioms $\forall x \ \neg R(x,x)$ and $\forall x \forall y \ R(x,y) \rightarrow R(y,x)$. Let $\psi_n$ be the "extension axiom"

$$\forall x_1 \ ... \ \forall x_n \forall y_1 \ ... \ \forall y_n \ \left( \bigwedge_{i=1}^{n} \bigwedge_{j=1}^{n} x_1 \neq y_j \rightarrow \exists z \ \bigwedge_{i=1}^{n} (R(x_i, z) \wedge \neg R(y_i, z)) \right)$$

We let $T$ be the theory of graphs where we add $\{\exists x \exists y \ x \neq y\} \cup \{\psi_n : n = 1, 2, ... \}$ to the graph axioms. A model of $T$ is a graph where for any finite disjoint sets $X$ and $Y$ we can find a vertex with edges going to every vertex in $X$ and no vertex in $Y$

**Theorem 2.37.** *$T$ is satisfiable and $\aleph_0$-categorical. In particular, $T$ is complete and decidable*

*Proof.* We first build a countable model of $T$. Let $G_0$ be any countable graph

 **Claim** There is a graph $G_1 \supseteq G_0$ s.t. $G_1$ is countable and if $X$ and $Y$ are disjoint finite subsets of $G_0$ then there is $z \in G_1$ s.t. $R(x,z)$ for $x \in X$ and $\neg R(y,z)$ for $y \in Y$

 Let the vertices of $G_1$ be the vertices of $G_0$ plus new vertices $z_X$ for each $X \subseteq G_0$. The edges of $G_1$ are the edges of $G$ together with new edges between $x$ and $z_X$ whenever $X \subseteq G_0$ is finite and $x \in X$.

 We iterate this construction to build a sequence of countable graphs $G_0 \subset G_1 \subset ...$ s.t. if $X$ and $Y$ are disjoint finite subsets of $G_i$, then there is $z \in G_{i+1}$ s.t. $R(x,z)$ for $x \in X$ and $\neg R(y,z)$ for $y \in Y$. Thus $G = \bigcup G_n$ is a countable model of $T$

 Next we show that $T$ is $\aleph_0$-categorical. Let $G_1$ and $G_2$ be countable models of $T$. Let $a_0, a_1, ...$ list $G_1$, and let $b_0, b_1, ...$ list $G_2$. We will build a sequence of finite partial one-to-one maps $f_0 \subseteq f_1 \subseteq f_2 \subseteq ...$ s.t. for all $x, y$ in the doamin of $f_s$,

$$G_1 \vDash R(x,y) \Leftrightarrow G_2 \vDash R(f_s(x), f_s(y))$$

Let $f_0 = \emptyset$ <u>stage $s+1 = 2i + 1$</u>: We make sure that $a_i$ is in the domain

 If $a_i$ is in the domain of $f_s$, let $f_{s+1} = f_s$. If not, let $\alpha_1, ..., \alpha_m$ list the domain of $f_s$ and let $X = \{j \leq m : R(\alpha_j, a_i)\}$ and let $Y = \{j \leq m : \neg R(\alpha_j, a_i)\}$. Because $G_2 \vDash T$, we can find $b \in G_2$ s.t. $G_2 \vDash R(f_s(\alpha_j), b)$ for $j \in X$ and $G_2 \vDash \neg R(f_s(\alpha_j), b)$ for $j \in Y$. Let $f_{s+1} = f_s \cup \{(a_i, b)\}$.
 <u>stage $s+1 = 2i + 2$</u>: Similar $\qquad\qquad\qquad\qquad\qquad \square$

Let $\mathcal{G}_N$ be the set of all graphs with vertices $\{1, 2, \dots, N\}$. We consider a probability measure on $\mathcal{G}_N$ where we make all graphs equally likely. This is the same as constructing a random graph where we independently decide whether there is an edge between $i$ and $j$ with probability $\frac{1}{2}$. For any $\mathcal{L}$-sentence $\phi$,

$$p_N(\phi) = \frac{|\{G \in \mathcal{G}_N : G \vDash \phi\}|}{|\mathcal{G}_N|}$$

is the probability that a random element of $\mathcal{G}_N$ satisfies $\phi$

**Lemma 2.38.** $\lim_{N \to \infty} p_N(\psi_n) = 1$

*Proof.* Fix $n$. Let $G$ be a random graph in $\mathcal{G}_N$ where $N > 2n$. Fix $x_1, \dots, x_n, y_1, \dots, y_n, z \in G$ distinct. Let $q$ be the probability that

$$\neg \left( \bigwedge_{i=1}^{n} (R(x_i, z)) \wedge \neg R(y_i, z) \right)$$

Then $q = 1 - 2^{-2n}$. Because these probabilities are independent, the probability that

$$G \vDash \neg \exists z \neg \left( \bigwedge_{i=1}^{n} (R(x_i, z)) \wedge \neg R(y_i, z) \right)$$

is $q^{N-2n}$. Let $M$ be the number of pairs of disjoint subsets of $G$ of size $n$. Thus

$$p_N(\neg \psi_n) \leq M q^{N-2n} < N^{2n} q^{N-2n}$$

Because $q < 1$

$$\lim_{N \to \infty} p_N(\neg \psi_n) = \lim_{N \to \infty} N^{2n} q^N = 0$$

$\square$

**Theorem 2.39** (Zero-One Law for Graphs). *For any $\mathcal{L}$-sentence $\phi$ either $\lim_{N \to \infty} p_N(\phi) = 0$ or $\lim_{N \to \infty} p_N(\phi) = 1$. Moreover, $T$ axiomatizes $\{\phi : \lim_{N \to \infty} p_N(\phi) = 1\}$, the **almost sure theory graphs**. The almost sure theory of graphs is decidable and complete*

*Proof.* If $T \vDash \phi$, then there is $n$ s.t. if $G$ is a graph and $G \vDash \psi_n$, then $G \vDash \phi$. Thus, $p_N(\phi) \geq \phi_N(\psi_n)$ and by Lemma 2.38, $\lim_{N \to \infty} p_N(\phi) = 1$. $\square$

### 2.4.3 Ehrenfeucht-Fraïssé Games

Let $\mathcal{L}$ be a language and $\mathcal{M} = (M, \dots)$ and $\mathcal{N} = (N, \dots)$ be two $\mathcal{L}$-structures with $M \cap N = \emptyset$. If $A \subseteq M, B \subseteq N$ and $f : A \to B$, we wsay that $f$ is a **partial embedding** if $f \cup \{(c^{\mathcal{M}}, c^{\mathcal{N}}) : c \text{ a constant of } \mathcal{L}\}$ is a bijection preserving all relations and functions of $\mathcal{L}$

We will define an infinite two-player game $G_\omega(\mathcal{M}, \mathcal{N})$. We will call the two players player I and player II; together they will build a partial embedding $f$ from $M$ to $N$. A play of the game will consist of $\omega$ stages. At the $i$th-stage, player I moves first and either plays $m_i \in M$, challenging player II to put $m_i$ into the domain of $f$, or $n_i \in N$, challenging player II to put $n_i$ into the range. If player I plays $m_i \in M$, then player II must play $n_i \in N$, whereas if player I plays $n_i \in M$, then player II must play $m_i \in M$. Player II wins the play of the game if $f = \{(m_i, n_i) : i = 1, 2, \dots\}$ is the graph of a partial embedding.

A **strategy** for player II in $G_\omega(\mathcal{M}, \mathcal{N})$ is a function $\tau$ s.t. if player I's first $n$ moves are $c_1, \dots, c_n$, then player II's $n$th move will be $\tau(c_1, \dots, c_n)$. We say that player II uses the strategy $\tau$ in the play of the game if the play looks like

$$
\begin{array}{cc}
\text{Player I} & \text{Player II} \\
c_1 & \\
 & \tau(c_1) \\
c_2 & \\
 & \tau(c_1, c_2) \\
c_3 & \\
 & \tau(c_1, c_2, c_3) \\
\vdots & \vdots
\end{array}
$$

We say that $\tau$ is a **winning strategy** for player II, if for any sequence of plays $c_1, \dots$ player I makes, player II will win by following $\tau$. We define strategies for player I analogously

For example, suppose that $\mathcal{M}, \mathcal{N} \vDash \text{DLO}$. Then player II has a winning strategy. Suppose that up to stage $n$ they have built a partial embedding $g : A \to B$. If player I plays $a \in M$, then player II plays $b \in N$ s.t. the cub $b$ makes in $B$ is the image of the cut of $a$ in $A$ under $g$. Similar for player I's $b \in N$

**Proposition 2.40.** *If $\mathcal{M}$ and $\mathcal{N}$ is countable, then the second player has a wining strategy in $G_\omega$ if and only if $\mathcal{M} \cong \mathcal{N}$*

*Proof.* If $\mathcal{M} \cong \mathcal{N}$, player II can win by playing according to the isomorphism

Suppose that player II has a winning strategy. Let $m_0, m_1, ...$ list $M$ and $n_0, n_1, ...$ list $N$. Consider a play of the game where the second player uses the winning strategy and the first player plays $m_0, n_0, m_1, n_1, m_2, n_2, ....$ If $f$ is the partial embedding build during this play of the game then the domain of $f$ is $M$ and the range of $f$ is $N$. Thus $f$ is an isomorphism $\qquad\square$

Fix $\mathcal{L}$ a finite language with no function symbols, and let $\mathcal{M}$ and $\mathcal{N}$ be $\mathcal{L}$-structures. We define a game $G_n(\mathcal{M}, \mathcal{N})$ for $n = 1, 2, ....$ The game will have $n$ rounds similar to $\omega$ rounds . Player II wins if $\{(a_i, b_i) : i = 1, ..., n\}$ is the graph of a partial embedding from $\mathcal{M}$ into $\mathcal{N}$. We call $G_n(\mathcal{M}, \mathcal{N})$ an **Ehrenfeucht-Fraïssé Games**

**Theorem 2.41.** *Let $\mathcal{L}$ be a finite language without function symbols and let $\mathcal{M}$ and $\mathcal{N}$ be $\mathcal{L}$-structures. Then $\mathcal{M} \equiv \mathcal{N}$ if and only if the second player has a wining strategy in $G_n(\mathcal{M}, \mathcal{N})$ for all $n$*

We need several lemmas.

**Lemma 2.42.** *One of the players has a winning strategy in $G_n(\mathcal{M}, \mathcal{N})$*

*Proof.* Suppose that player II does not have a winning strategy. Then there is some move player I can make in round one so that player II has no move available to force a win. Player I makes that move. Now, whatever player II does, there is still a move that if made by player I means that player II cannot force a win. $\qquad\square$

We inductively define depth($\phi$), the **quantifier depth** of an $\mathcal{L}$-formula $\phi$, as follows
$\text{depth}(\phi) = 0$ if and only if $\phi$ is quantifier-free
$\text{depth}(\neg\phi) = \text{depth}(\phi)$
$\text{depth}(\phi \wedge \psi) = \text{depth}(\phi \vee \psi) = \max\{\text{depth}(\phi), \text{depth}(\psi)\}$
$\text{depth}(\exists v\phi) = \text{depth}(\phi) + 1$
We say that $\mathcal{M} \equiv_n \mathcal{N}$ if $\mathcal{M} \vDash \phi \Leftrightarrow \mathcal{N} \vDash \phi$ for all sentences of depth at most $n$. We will show player II has a winning strategy in $G_n(\mathcal{M}, \mathcal{N})$ if and only if $\mathcal{M} \equiv_n \mathcal{N}$

**Lemma 2.43.** *For each $n$ and $l$, there is a finite list of formulas $\phi_1, ..., \phi_k$ of depth at most $n$ in free variables $x_1, ..., x_l$ s.t. every formula of depth at most $n$ in free variables $x_1, ..., x_l$ is equivalent to some $\phi_i$*

*Proof.* We first prove this for quantifier-free formulas. Because $\mathcal{L}$ is finite and has no function symbols, there are only finitely many atomic $\mathcal{L}$-formulas in free variables $x_1, ..., x_l$. Let $\sigma_1, ..., \sigma_s$ list all such formulas.

If $\phi$ is a Boolean combination of formulas $\tau_1, \dots, \tau_s$, then there is $S$ a collection of subsets of $\{1, \dots, s\}$ s.t.

$$\vDash \phi \leftrightarrow \bigvee_{X \in S} \left( \bigwedge_{i \in X} \tau_i \wedge \bigwedge_{i \notin X} \neg \tau_i \right)$$

This gives a list of $2^{2^s}$ formulas s.t. every Boolean combination of $\tau_1, \dots, \tau_s$ is equivalent to a formula in this list. In particular, because quantifier free formulas are Boolean combinations of atomic formulas, there is a finite list of depth-zero formulas s.t. every depth-zero formula is equivalent to one in the list.

Because formulas of depth $n + 1$ are Boolean combinations of $\exists v \phi$ and $\forall v \phi$ where $\phi$ has depth at most $n$ $\qquad\qquad\qquad\qquad\qquad\qquad$ $\square$

**Lemma 2.44.** *Let $\mathcal{L}$ be a finite language without function symbols and $\mathcal{M}$ and $\mathcal{N}$ be $\mathcal{L}$-structures. The second player has a winning strategy in $G_n(\mathcal{M}, \mathcal{N})$ if and only if $\mathcal{M} \equiv_n \mathcal{N}$*

*Proof.* Induction on $n$

Suppose that $\mathcal{M} \equiv_n \mathcal{N}$. Consider a play of the game where in round one player I plays $a \in M$. We claim that there is $b \in \mathcal{N}$ s.t. $\mathcal{M} \vDash \phi(a) \Leftrightarrow \mathcal{N} \vDash \phi(b)$ whenever $\operatorname{depth}(\phi) < n$. Let $\phi_0(v), \dots, \phi_m(v)$ list, up to equivalance, all formulas of depth less than $n$. Let $X = \{i \leq m : \mathcal{M} \vDash \phi_i(a)\}$, and let $\Phi(v)$ be the formula

$$\bigwedge_{i \in X} \phi_i(v) \wedge \bigwedge_{i \notin X} \neg \phi_i(v)$$

Then, $\operatorname{depth}(\exists v \Phi(v)) \leq n$ and $\mathcal{M} \vDash \Phi(a)$; thus there is $b \in N$ s.t. $\mathcal{N} \vDash \Phi(b)$. Player II plays $b$ in round one

If $n = 1$, the game has now concluded and $a \mapsto b$ is a partial embedding so player II wins. Suppose that $n > 1$

Let $\mathcal{L}^* = \mathcal{L} \cup \{c\}$, where $c$ is a new constant symbol. View $\mathcal{M}$ and $\mathcal{N}$ as $\mathcal{L}^*$-structures $(\mathcal{M}, a)$ and $(\mathcal{N}, b)$ where we interpret the new constant as $a$ and $b$ respectively. Because

$$\mathcal{M} \vDash \phi(a) \Leftrightarrow \mathcal{N} \vDash \phi(b)$$

for $\phi(v)$ an $\mathcal{L}$-formula with $\operatorname{depth}(\phi) < n$, $(\mathcal{M}, a) \equiv_{n-1} (\mathcal{N}, b)$. By induction, player II has a winning strategy in $G_{n-1}((\mathcal{M}, a), (\mathcal{N}, b))$. If player's second play is $d$, player II responds as if $d$ was player I's first play in $G_{n-1}((\mathcal{M}, a), (\mathcal{N}, b))'$ and continues playing using this strategy, that is, in round $i$ player I has plays $a, d_2, \dots, d_i$, then player II plays $\tau(d_2, \dots, d_i)$, where $\tau$ is his winning strategy in $G((\mathcal{M}, a), (\mathcal{N}, b))$. $\qquad\qquad$ $\square$

### 2.4.4   Scott-Karp Analysis

**Definition 2.45.** Let $\mathcal{L}$ be a language and $\kappa$ an infinite cardinal. The formulas of the infinitary logic $\mathcal{L}_{\kappa,\omega}$ are defined inductively as follows:

1. Every atomic $\mathcal{L}$-formula is a formula of $\mathcal{L}_{\kappa,\omega}$

2. If $X$ is a set of formulas of $\mathcal{L}_{\kappa,\omega}$ s.t. all of the free variables come from a fixed finite set and $|X| < \kappa$, then

$$\bigwedge_{\phi \in X} \phi \quad \text{and} \quad \bigvee_{\phi \in X} \phi$$

are formulas of $\mathcal{L}_{\kappa,\omega}$

3. If $\phi$ s a formula of $\mathcal{L}_{\kappa,\omega}$, then so are $\neg\phi$, $\forall v\, \phi$ and $\exists v\, \phi$

We say that $\phi$ is a formula of $\mathcal{L}_{\infty,\omega}$ if it is an $\mathcal{L}_{\kappa,\omega}$-formula for some infinite cardinal $\kappa$.

## 2.5   Exercises

*Exercise* 2.5.1. We say that an ordered group $(G, +, <)$ is **Archimedean** if for all $x, y \in G$ with $x, y > 0$ there is an integer $m$ s.t. $|x| < m|y|$. Show that there are non-Archimedean fields elementarily equivalent to the field of real numbers

*Exercise* 2.5.2. Let $T$ be an $\mathcal{L}$-theory and $T_\forall$ be all of the universal sentences $\phi$ s.t. $T \vDash \phi$. Show that $\mathcal{A} \vDash T_\forall$ if and only if there is $\mathcal{M} \vDash T$ with $\mathcal{A} \subseteq \mathcal{M}$

*Proof.* Comes from Quantifier Elimination Tests and Examples

Consider the theory $T' = T \cup \text{Diag}(\mathcal{A})$ in the language $\mathcal{L}_A$. We will show by contradiction that $T'$ is satisfiable.

Suppose that $T'$ is not satisfiable. Then by the Compactness Theorem, already some finite subset $\Delta \subseteq T'$ is not satisfiable. By forming conjunctions we may assume that the part of $\Delta$ coming from $\text{Diag}(\mathcal{A})$ consists only of one formula $\phi(\bar{a})$ for some $\bar{a} \in A$, where $\phi(\bar{a})$ is a conjunction of atomic formulas and the negation of atomic formulas. Thus we will assume that $T \cup \{\phi(\bar{a})\}$ is not satisfiable.

On the other hand, viewing $T$ as an $\mathcal{L}_{\bar{a}}$-theory, and because $T \cup \{\phi(\bar{a})\}$ is not satisfiable, we obtain $T \vDash \neg\phi(\bar{a})$. We will show that this implies $T \vDash \forall \bar{v}\neg\phi(\bar{v})$: Let $\mathcal{C}$ be an $\mathcal{L}$-structure with $\mathcal{C} \vDash T$. Let $n$ be the number of components in $\bar{a}$ and $c_1, \dots, c_n \in C$. Let $C'$ be the $\mathcal{L}_{\bar{a}}$-structure which expands $\mathcal{C}$ by the constant symbols that we interpret as $c_1, \dots, c_n$ respectively.

Then $\mathcal{C}' \vDash T$ and hence $\mathcal{C}' \vDash \neg\phi(\bar{c})$. As this follows for any tuple in $C$, we get $\mathcal{C} \vDash \forall\bar{v}\neg\phi(\bar{v})$

Since $T_\forall$ consists exactly of the universal formulas which hold in all models of $T$, we obtain $T_\forall \vDash \forall x\neg\phi(x)$. Hence also $\mathcal{A} \vDash \forall x\neg\phi(x)$, a contradiction

Therefore $T'$ is indeed satisfiable $\qquad\square$

*Exercise* 2.5.3. Suppose that $\mathcal{M}_0 \subset \mathcal{M}_1 \subset \mathcal{M}_2$, $\mathcal{M}_0 \prec \mathcal{M}_2$ and $\mathcal{M}_1 \prec \mathcal{M}_2$. Show that $\mathcal{M}_0 \prec \mathcal{M}_1$

*Proof.* In $L(M_0)$, $\mathfrak{M}_0 \prec \mathcal{M}_2$ iff $\mathfrak{M}_2 \vDash \mathrm{Diag}(\mathfrak{M}_0)$. As $\mathcal{M}_1 \prec \mathcal{M}_2$, $\mathfrak{M}_1 \vDash \mathrm{Diag}(\mathfrak{M}_0)$. Thus in the original language, $\mathcal{M}_0 \prec \mathcal{M}_1$ $\qquad\square$

*Exercise* 2.5.4 (Amalgamation). Suppose that $\mathcal{M}_0$, $\mathcal{M}_1$ and $\mathcal{M}_2$ are $\mathcal{L}$-structures and $j_i : \mathcal{M}_0 \to \mathcal{M}_i$ is an elementary embedding for $i = 1, 2$. Show that there is an $\mathcal{L}$-structure $\mathcal{N}$ and elementary embedding $f_i : \mathcal{M}_i \to \mathcal{N}$ s.t. $f_1 \circ j_1 = f_2 \circ j_2$.t

*Proof.* Guide from stack.

Consider $\mathcal{L}_+ = \mathcal{L}(M_1 \sqcup_{M_0} M_2)$ (this set is the disjoint union of $M_1$ and $M_2$ where elements $j_0(x)$ and $j_1(x)$ are identified.

$$M_1 \sqcup_{M_0} M_2 = M_1 \sqcup M_2/\sim$$

where $a \sim b$ iff $a = j_1(x)$ and $b = j_2(x)$) We want to show that the $\mathcal{L}_+$-theory

$$\mathrm{Th}_{M_1}(\mathcal{M}_1) \cup \mathrm{Th}_{M_2}(\mathcal{M}_2)$$

is finitely satisfiable. For any $\varphi(\overline{m}_1) \in \mathrm{Th}_{M_1}(\mathcal{M}_1)$ and $\psi(\overline{m}_2) \in \mathrm{Th}_{M_2}(\mathcal{M}_2)$. As both $\exists\bar{x}\varphi(\bar{x})$ and $\exists\bar{y}\psi(\bar{y})$ are belong to $\mathrm{Th}(\mathcal{M}_0)$, $\mathcal{M}_0 \vDash \varphi(\bar{a})$ and $\mathcal{M}_0 \vDash \psi(\bar{b})$. Then $\mathcal{M}_1 \vDash \varphi(j_1(\bar{a})) \wedge \psi(j_1(\bar{b}))$. Then we can just interpret $\overline{m}_1$ as $j_1(\bar{a})$ and $\overline{m}_2$ as $j_1(\bar{b})$.

Thus we have a model $\mathcal{N}$ of the theory and $\mathcal{N} \vDash \forall x \in M\ j_1(x) = j_2(x)$. Let $f_1$ and $f_2$ be the inclusion $\qquad\square$

# 3 Algebraic Examples

## 3.1 Quantifier Elimination

Let $\phi(a, b, c)$ be the formula

$$\exists x\ ax^2 + bx + c = 0$$

By the quadratic formula,

$$\mathbb{R} \vDash \phi(a, b, c) \leftrightarrow [(a \neq 0 \wedge b^2 - 4ac \geq 0) \vee (a = 0 \wedge (b \neq 0 \vee c = 0))]$$

whereas in the complex numbers

$$\mathbb{C} \vDash \phi(a, b, c) \leftrightarrow (a \neq 0 \vee b \neq 0 \vee c = 0)$$

**Definition 3.1.** We say that a theory $T$ has **quantifier elimination** if for every formula $\phi$ there is a quantifier-free formula $\psi$ s.t.

$$T \vDash \phi \leftrightarrow \psi$$

**Lemma 3.2.** *Let $(A, <)$ and $(B, <)$ be countable dense linear orders, $a_1, \ldots, a_n \in A$, $b_1, \ldots, b_n \in B$, s.t. $a_1 < \cdots < a_n$ and $b_1, \cdots < b_n$. Then there is an isomorphism $f : A \to B$ s.t. $f(a_i) = b_i$ for all $i = 1, \ldots, n$*

*Proof.* Modify the proof of Theorem 2.36 starting with $A_0 = \{a_1, \ldots, a_n\}$, $B_0 = \{b_1, \ldots, b_n\}$, and the partial isomorphism $f_0 : A_0 \to B_0$, where $f_0(a_i) = b_i$. □

**Theorem 3.3.** *DLO has quantifier elimination*

*Proof.* First, suppose that $\phi$ is a sentence. If $\mathbb{Q} \vDash \phi$, then because DLO is complete, DLO $\vDash \phi$, and

$$\mathsf{DLO} \vDash \phi \leftrightarrow x_1 = x_1$$

whereas if $\mathbb{Q} \vDash \neg\phi$

$$\mathsf{DLO} \vDash \phi \leftrightarrow x_1 \neq x_1$$

Now suppose that $\phi$ is a formula with free variables $x_1, \ldots, x_n$ where $n \geq 1$. We will show that there is a quantifier-free formula $\psi$ with free variables from among $x_1, \ldots, x_n$ s.t.

$$\mathbb{Q} \vDash \forall \bar{x}(\phi(\bar{x}) \leftrightarrow \psi(\bar{x}))$$

Because DLO is complete,

$$\mathsf{DLO} \vDash \forall \bar{x}(\phi(\bar{x}) \leftrightarrow \psi(\bar{x}))$$

so this will suffices.

For $\sigma : \{(i, j) : 1 \leq i < j \leq n\} \to 3$, let $\chi_\sigma(x_1, \ldots, x_n)$ be the formula

$$\bigwedge_{\sigma(i,j)=0} x_i = x_j \wedge \bigwedge_{\sigma(i,j)=1} x_i < x_j \wedge \bigwedge_{\sigma(i,j)=2} x_i > x_j$$

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We call $\chi_\sigma$ a **sign condition**.

Let $\mathcal{L}$ be the language of linear orders and $\phi$ be an $\mathcal{L}$-formula with $n \geq 1$ free variables. Let $\Lambda_\phi$ be the set of sign conditions s.t. there is $\bar{a} \in \mathbb{Q}$ s.t. $\mathbb{Q} \vDash \chi_\sigma(\bar{a}) \wedge \phi(\bar{a})$

<u>case 1:</u> $\Lambda_\phi = \emptyset$

Then $\mathbb{Q} \vDash \forall \bar{x} \neg \phi(\bar{x})$ and $\mathbb{Q} \vDash \phi(\bar{x}) \leftrightarrow x_1 \neq x_1$

<u>case 2:</u> $\Lambda_\phi \neq \emptyset$

Let

$$\psi_\phi(\bar{x}) = \bigwedge_{\sigma \in \Lambda_\phi} \chi_\sigma(\bar{x})$$

By choice of $\Lambda_\phi$,

$$\mathbb{Q} \vDash \phi(\bar{x}) \rightarrow \psi_\phi(\bar{x})$$

On the other hand, suppose that $\bar{b} \in \mathbb{Q}$ and $\mathbb{Q} \vDash \psi_\phi(\bar{b})$. Let $\sigma \in \Lambda_\phi$ s.t. $\mathbb{Q} \vDash \chi_\sigma(\bar{b})$. There is $\bar{a} \in \mathbb{Q}$ s.t. $\mathbb{Q} \vDash \phi(\bar{a}) \wedge \chi_\sigma(\bar{a})$. By Theorem 2.36, there is $f$, an automorphism of $(\mathbb{Q}, <)$ s.t. $f(\bar{a}) = \bar{b}$. By Theorem 1.9, $\mathbb{Q} \vDash \phi(\bar{b})$. Thus $\phi(\bar{b}) \leftrightarrow \psi_\phi(\bar{b})$ $\square$

**Theorem 3.4.** *Suppose that $\mathcal{L}$ contains a constant symbol $c$, $T$ is an $\mathcal{L}$-theory, and $\phi(\bar{v})$ is an $\mathcal{L}$-formula. The following are equivalent:*

1. *There is a quantifier-free $\mathcal{L}$-formula $\psi(\bar{v})$ s.t. $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow \psi(\bar{v}))$*

2. *If $\mathcal{M}$ and $\mathcal{N}$ are models of $T$, $\mathcal{A}$ is an $\mathcal{L}$-structure, $\mathcal{A} \subseteq \mathcal{M}$, and $\mathcal{A} \subseteq \mathcal{N}$, then $\mathcal{M} \vDash \phi(\bar{a})$ if and only if $\mathcal{N} \vDash \phi(\bar{a})$ for all $\bar{a} \in \mathcal{A}$*

*Proof.* $(1) \rightarrow (2)$. Suppose that $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow \psi(\bar{v}))$, where $\psi$ is quantifier-free. Let $\bar{a} \in \mathcal{A}$, where $\mathcal{A}$ is a common substructure of $\mathcal{M}$ and $\mathcal{N}$ and the latter structures are models of $T$. In Proposition 1.7, we saw that quantifer-free formulas are preserved under substructure and extension. Thus

$$\begin{aligned} \mathcal{M} \vDash \phi(\bar{a}) &\Leftrightarrow \mathcal{M} \vDash \psi(\bar{a}) \\ &\Leftrightarrow \mathcal{A} \vDash \psi(\bar{a}) \\ &\Leftrightarrow \mathcal{N} \vDash \psi(\bar{a}) \\ &\Leftrightarrow \mathcal{N} \vDash \phi(\bar{a}) \end{aligned}$$

$(2) \rightarrow (1)$. First, if $T \vDash \forall \bar{v} \phi(\bar{v})$, then $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow c = c)$. Second, if $T \vDash \forall \bar{v} \neg \phi(\bar{v})$, then $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow c \neq c)$.

Thus, we may assume that both $T \cup \{\phi(\bar{v})\}$ and $T \cup \{\neg \phi(\bar{v})\}$ are satisfiable

Let $\Gamma(\bar{v}) = \{\psi(\bar{v}) : \psi$ is quantifier free and $T \vDash \forall \bar{v}(\phi(\bar{v}) \rightarrow \psi(\bar{v}))\}$. Let $d_1, \dots, d_m$ be new constant symbols. We will show that $T \cup \Gamma(\bar{d}) \vDash \phi(\bar{d})$.

Then, by compactness, there are $\psi_1, \ldots, \psi_n \in \Gamma$ s.t. Let $p(\bar{v}) = \{\psi(\bar{v}) \to \phi(\bar{v}) \mid \psi(\bar{v}) \in \Gamma(\bar{v})\}$. Then $T \vDash p(\bar{d})$ and we apply the compactness.

$$T \vDash \forall \bar{v} \left( \bigwedge_{i=1}^{n} \psi_i(\bar{v}) \to \phi(\bar{v}) \right)$$

Thus

$$T \vDash \forall \bar{v} \left( \bigwedge_{i=1}^{n} \psi_i(\bar{v}) \leftrightarrow \phi(\bar{v}) \right)$$

and $\displaystyle\bigwedge_{i=1}^{n} \psi_i(\bar{v})$ is quantifier-free

**Claim** $T \cup \Gamma(\bar{d}) \vDash \phi(\bar{d})$

Suppose not. Let $\mathcal{M} \vDash T \cup \Gamma(\bar{d}) \cup \{\neg\phi(\bar{d})\}$. Let $\mathcal{A}$ be the substructure of $\mathcal{M}$ generated by $\bar{d}$

Let $\Sigma = T \cup \mathrm{Diag}(\mathcal{A}) \cup \phi(\bar{d})$. If $\Sigma$ is unsatisfiable, then there are quantifier-free formulas $\psi_1(\bar{d}), \ldots, \psi_n(\bar{d}) \in \mathrm{Diag}(\mathcal{A})$ s.t.

$$T \vDash \forall \bar{v} \left( \bigwedge_{i=1}^{n} \psi_i(\bar{v}) \to \neg\phi(\bar{v}) \right)$$

as $T \cup \mathrm{Diag}(\mathcal{A})$ is consistent. The only evildoer is $\phi(\bar{d})$. Then we have $T \cup \mathrm{Diag}(\mathcal{A}) \vDash \phi(\bar{d})$ and again by compactness. But then

$$T \vDash \forall \bar{v} \left( \phi(\bar{v}) \to \bigvee_{i=1}^{n} \neg\psi_i(\bar{v}) \right)$$

so $\displaystyle\bigvee_{i=1}^{n} \neg\psi_i(\bar{v}) \in \Gamma$ and $\mathcal{A} \vDash \displaystyle\bigvee_{i=1}^{n} \neg\psi_i(\bar{d})$, a contradiction. Thus, $\Sigma$ is satisfiable

Let $\mathcal{N} \vDash \Sigma$. Then $\mathcal{N} \vDash \phi(\bar{d})$. Because $\Sigma \supseteq \mathrm{Diag}(\mathcal{A})$, $\mathcal{A} \subseteq \mathcal{N}$, by Lemma 2.27. But $\mathcal{M} \vDash \neg\phi(\bar{d})$; thus $\mathcal{N} \vDash \neg\phi(\bar{d})$, a contradiction $\qquad\square$

if $\mathcal{L}$ doesn't contain a constant symbol, there are no quantifier-free sentences, but for each sentence we can find a quantifier-free formula $\psi(v_1)$ s.t. $T \vDash \phi \leftrightarrow \psi(v_1)$

**Lemma 3.5.** *Let $T$ be an $\mathcal{L}$-theory. Suppose that for every quantifier-free $\mathcal{L}$-formula $\theta(\bar{v}, w)$ there is a quantifier-free formula $\psi(\bar{v})$ s.t. $T \vDash \exists w \theta(\bar{v}, w) \leftrightarrow \psi(\bar{v})$. Then $T$ has quantifier elimination*

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*Proof.* Let $\phi(\bar{v})$ be an $\mathcal{L}$-formula. We wish to show to show that $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow \psi(\bar{v}))$ for some quantifier-free formula $\psi(\bar{v})$

If $\phi$ is quantifier-free, there is nothing to prove. Suppose that for $i = 0, 1$, $T \vDash \forall \bar{v}(\theta_i(\bar{v}) \leftrightarrow \psi_i(\bar{v}))$, where $\psi_i$ is quantifier-free.

If $\phi(\bar{v}) = \neg \theta_0(\bar{v})$, then $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow \neg\psi_0(\bar{v}))$

Suppose that $T \vDash \forall \bar{v}(\theta(\bar{v}, w) \leftrightarrow \psi_0(\bar{v}, w))$, where $\psi_0$ is quantifier-free and $\phi(\bar{v}) = \exists w \theta(\bar{v}, w)$. Then $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow \exists w \psi_0(\bar{v}, w))$. By our assumptions, there is a quantifier-free $\psi(\bar{v})$ s.t. $T \vDash \forall \bar{v}(\exists w \psi_0(\bar{v}, w) \leftrightarrow \psi(\bar{v}))$. But then $T \vDash \forall \bar{v}(\phi(\bar{v}) \leftrightarrow \psi(\bar{v}))$ $\qquad \square$

Combining Theorem 3.4 and Lemma 3.5 gives us the following test for quantifier elimination (Restrict the form of $\phi$)

**Corollary 3.6.** *Let $T$ be an $\mathcal{L}$-theory. Suppose that for all quantifier-free formulas $\phi(\bar{v}, w)$, if $\mathcal{M}, \mathcal{N} \vDash T$, $\mathcal{A}$ is a common substructure of $\mathcal{M}$ and $\mathcal{N}$, $\bar{a} \in A$, and there is $b \in M$ s.t. $\mathcal{M} \vDash \phi(\bar{a}, b)$, then there is $c \in N$ s.t. $\mathcal{N} \vDash \phi(\bar{a}, c)$. Then $T$ has a quantifier elimination*

*Proof.* Check this notes Quantifier Elimination Tests and Examples

We need to show that $T \vDash \forall \bar{v}(\exists w \phi(\bar{v}, w) \leftrightarrow \psi(\bar{v}))$. Suppose that $\mathcal{M} \vDash \exists w \phi(\bar{v}, w)$, then $\mathcal{N} \vDash \exists w \phi(\bar{v}, w)$. Note that $\mathcal{M}$ and $\mathcal{N}$ are interchangeable.

We are actually talks about $\exists v \phi(\bar{a}, v)$ $\qquad \square$

### 3.1.1 Divisible Abelian Groups

In Proposition 2.17 we showed that the theory of nontrivial torsion-free divisible Abelian groups is $\kappa$-categorical for uncountable cardinals and hence complete by Vaught's test.

Work with the language $\mathcal{L} = \{+, -, 0\}$ because its convenient

Let DAG be the $\mathcal{L}$-theory of nontrivial torsion-free divisible Abelian groups

**Lemma 3.7.** *Suppose $G$ and $H$ are nontrivial torsion free divisible Abelian groups, $G \subseteq H$, $\psi(\bar{v}, w)$ is quantifier-free, $\bar{a} \in G$, $b \in H$, and $H \vDash \phi(\bar{a}, b)$. Then there is $c \in G$ s.t. $G \vDash \phi(\bar{a}, c)$*

*Proof.* We first note that $\psi$ can be put in disjunctive normal form, namely there are atomic or negated atomic formulas $\theta_{i,j}(\bar{v}, w)$ s.t.

$$\psi(\bar{v}, w) \leftrightarrow \bigvee_{i=1}^{n} \bigwedge_{j=1}^{m} \theta_{i,j}(\bar{v}, w)$$

Because $H \vDash \psi(\bar{a}, b)$, $H \vDash \bigwedge_{j=1}^{m} \theta_{i,j}(\bar{a}, b)$ for some $i$. Thus, without loss of generality, we may assume that $\psi$ is a conjunction of atomic and negated atomic formulas. If $\theta(v_1, \ldots, v_m, w)$ is an atomic formula, then for some integers $n_1, \ldots, n_m, m$, $\theta(\bar{v}, w)$ is $\sum n_i v_i + mw = 0$

Thus we may assume that

$$\psi(\bar{a}, w) = \bigwedge_{i=1}^{s} \sum_{j=1}^{m} n_{i,j} a_j + m_i w = 0 \wedge \bigwedge_{i=1}^{s} \sum_{j=1}^{m} n'_{i,j} a_j + m'_i w \neq 0$$

Let $g_i = \sum n_{i,j} a_j$ and $h_i = \sum n'_{i,j} a'_j$. Then $g_i, h_i \in G$ and

$$\psi(\bar{a}, w) \leftrightarrow \bigwedge g_i + m_i w = 0 \wedge \bigwedge h_i + m'_i w \neq 0$$

If any $m_i \neq 0$, then $b = -g_i/m_i \in G$ and $G \vDash \theta(\bar{a}, b)$, so suppose that $\psi(\bar{a}, w) = \bigwedge h_i + m'_i w \neq 0$. Thus $\psi(\bar{a}, w)$ is satisfied by any element of $H$ that is not equal to any one of $\frac{-h_1}{m'_1}, \ldots, \frac{-h_s}{m'_s}$. Because $G$ is infinite, there is an element of $G$ satisfying $\psi(\bar{a}, w)$ $\qquad\square$

**Lemma 3.8.** *Suppose that $G$ is a torsion-free Abelian group. Then there is a torsion-free divisible Abelian group $H$, called the **divisible hull** of $G$, and an embedding $i : G \to H$ s.t. if $j : G \to H'$ is an embedding of $G$ into a torsion-free divisible Abelian group, then there is $h : H \to H'$ s.t. $j = h \circ i$*

*Proof.* If $G$ is the trivial group, then we take $H = \mathbb{Q}$ since every torsion free divisible Abelian group can be viewed as a vector space over $\mathbb{Q}$. So suppose that $G$ is non-trivial

Let $X = \{(g, n) : g \in G, n \in \mathbb{N}, n > 0\}$. We think of $(g, n)$ as $g/n$

We define an equivalence relation $\sim$ on $X$ by $(g, n) \sim (h, m)$ if and only if $mg = nh$. Let $H = X/\sim$. For $(g, n) \in X$, let $[(g, n)]$ denote the $\sim$-class of $(g, n)$. We define $+$ on $H$ by $[(g, n)] + [(h, m)] = [(mg + nh, mn)]$. We must show that $+$ is well defined

Suppose that $(g_0, n_0) \sim (g, n)$. We claim that $(mg_0 + n_0 h, mn_0) \sim (mg + nh, mn)$.

Similarly we can define $-$ by $[(g, n)] - [(h, m)] = [(mg - nh, mn)]$. It is easy to show that $(H, +)$ is an Abelian group

If $[(g, m)] \in H$ and $n > 0$, then $n[(g, m)] = [(ng, m)]$. If $(ng, m) \sim (0, k)$, then $kng = 0$. Because $k, n > 0$ and $G$ is torsion free, $g = 0$. Then $[(g, m)] = [(0, 1)]$. Thus $H$ is torsion free.

Suppose that $[(g, m)] \in H$ and $n > 0$, then $n[(g, mn)] = [(g, m)]$. Thus $H$ is divisible.

We can embed $G$ into $H$ by the map $i(g) = [(g, 1)]$

Suppose that $H'$ is a divisible torsion-free Abelian group and $j : G \to H'$ is an embedding. Let $h : H \to H'$ by $h([g, n]) = j(g)/n$ □

**Theorem 3.9.** *DAG has quantifier elimination*

*Proof.* Suppose that $G_0$ and $G_1$ are torsion-free divisible Abelian groups, $G$ is a common subgroup of $G_0$ and $G_1$, $\bar{g} \in G$, $h \in G_0$ and $G_0 \vDash \phi(\bar{g}, h)$, where $\phi$ is quantifier-free. Let $H$ be the divisible hull of $G$. Because we can embed $H$ into $G_0$, by Lemma 3.7, $H \vDash \exists w \phi(\bar{g}, w)$. Because we can embed $H$ into $G_1$, there is $h' \in G_1$ s.t. $G_1 \vDash \phi(\bar{g}, h')$. By Corollary 3.6, DAG has quantifier elimination □

Quantifier elimination gives us a good picture of the definable sets in a model of DAG. Suppose that $\phi(v_1, \dots, v_n, w_1, \dots, w_m)$ is an atomic formula. Then there are integers $k_1, \dots, k_n$ and $l_1, \dots, l_m$ s.t. $\phi(\bar{v}, \bar{w}) \leftrightarrow \sum k_i x_i + \sum l_i y_i = 0$. If $G \vDash$ DAG and $a_1, \dots, a_m \in G$, $\phi(\bar{v}, \bar{a})$ defines $\{\bar{g} \in G^n : \sum k_i g_i + \sum l_i a_i = 0\}$, a hyperplane in $G^n$. Because any $\mathcal{L}$-formula $\phi(\bar{v}, \bar{w})$ is equivalent in DAG to a Boolean combination of atomic $\mathcal{L}$-formulas, every definable subset of $G^n$ is a Boolean combination of hyperplanes

In particular, suppose that $\bar{a} \in G^m$ and $\phi(v, \bar{a})$ defines a subset of $G$. The "hyperplanes" in $G$ are just single points. Thus, $\{g \in G : G \vDash \phi(g, \bar{a})\}$ is either finite or cofinite. Thus every definable subset of $G$ was definable already in the language of equality

**Definition 3.10.** We say that an $\mathcal{L}$-theory $T$ is **strongly minimalx** if for any $\mathcal{M} \vDash T$ every definable subset of $M$ is either finite or cofinite

**Corollary 3.11.** *DAG is strongly minimal*

If $T$ is a theory then $T_\forall$ is the set of all universal consequences of $T$. In Exercise 2.5.2 we saw that $\mathcal{A} \vDash T_\forall$ if and only if there is $\mathcal{M} \vDash T$ with $\mathcal{A} \subseteq \mathcal{M}$. One consequence of Lemma 3.8 is that every torsion-free Abelian group is a substructure of a nontrivial divisible Abelian group. Because the axioms for torsion-free Abelian groups are universal, *DAG$_\forall$ is exactly the theory of torsion-free Abelian groups.*

We say that a theory $T$ has **algebraically prime models** if for any $\mathcal{A} \vDash T_\forall$ there is $\mathcal{M} \vDash T$ and an embedding $i : \mathcal{A} \to \mathcal{M}$ s.t. for all $\mathcal{N} \vDash T$ and embeddings $j : \mathcal{A} \to \mathcal{N}$ there is $h : \mathcal{M} \to \mathcal{N}$ s.t. $j = h \circ i$.

$$\mathcal{A} \vDash T_\forall \xrightarrow{\ i\ } \mathcal{M} \vDash T$$
$$\searrow_{j} \qquad \downarrow^{h}$$
$$\mathcal{N} \vDash T$$

If $\mathcal{M}, \mathcal{N} \vDash T$ and $\mathcal{M} \subseteq \mathcal{N}$, we say that $\mathcal{M}$ is **simply closed** in $\mathcal{N}$ and write $\mathcal{M} \prec_s \mathcal{N}$ if for any quantifier free formula $\phi(\bar{v}, w)$ and any $\bar{a} \in M$, if $\mathcal{N} \vDash \exists w \, \phi(\bar{a}, w)$ then so does $\mathcal{M}$. Lemma 3.7 says that if $G$ and $H$ are models of DAG and $G \subseteq H$, then $G \prec_s H$

**Corollary 3.12.** *Suppose that $T$ is an $\mathcal{L}$-theory s.t.*

1. *$T$ has algebraically prime models and*

2. *$\mathcal{M} \prec_s \mathcal{N}$ whenever $\mathcal{M} \subseteq \mathcal{N}$ are models of $T$*

*Then $T$ has quantifier elimination*

**Definition 3.13.** An $\mathcal{L}$-theory $T$ is **model-complete** $\mathcal{M} \prec \mathcal{N}$ whenever $\mathcal{M} \subseteq \mathcal{N}$ and $\mathcal{M}, \mathcal{N} \vDash T$

**Proposition 3.14.** *If $T$ has quantifier elimination, then $T$ is model-complete*

*Proof.* Suppose that $\mathcal{M} \subseteq \mathcal{N}$ are models of $T$. Let $\phi(\bar{v})$ be an $\mathcal{L}$-formula, and let $\bar{a} \in M$. There is a quantifier-free formula $\psi(\bar{v})$ s.t. $\mathcal{M} \vDash \forall \bar{v}(\phi(\bar{v} \leftrightarrow \psi(\bar{v})))$. Because quantifier-free formulas are preserved under substructures and extensions, $\mathcal{M} \vDash \psi(\bar{a})$ if and only if $\mathcal{N} \vDash \psi(\bar{a})$. Thus $\mathcal{M} \prec \mathcal{N}$ □

**Proposition 3.15.** *Let $T$ be a model-complete theory. Suppose that there is $\mathcal{M}_0 \vDash T$ s.t. $\mathcal{M}_0$ embeds into every model of $T$. Then $T$ is complete*

*Proof.* If $\mathcal{M} \vDash T$, then $\mathcal{M}_0 \prec \mathcal{M}$. In particular $\mathcal{M}_0 \equiv \mathcal{M}$. □

Because $(\mathbb{Q}, +, 0)$ embeds in every model of DAG, this gives another proof of the completeness of DAG

### 3.1.2 Ordered Divisible Abelian Groups

Let $\mathcal{L} = \{+, 0, <, 0\}$ and let ODAG be the theory of nontrivial divisible ordered Abelian groups. The axioms for ordered Abelian groups are universal and hence contained in $\text{ODAG}_\forall$.

We start by trying to identify $\text{ODAG}_\forall$. Axioms for ordered Abelian groups are universal and hence contained in $\text{ODAG}_\forall$. We claim that these axioms suffice. We must show that every ordered Abelian group embeds in an ordered divisible Abelian group. Because ordered groups are torsion-free, it suffices to show that the ordering of the group extends to an ordering of the divisible hull.

**Lemma 3.16.** *Let $G$ be an ordered Abelian group and $H$ be the divisible hull of $G$. We can order $H$ s.t. $i : G \to H$ is order-preserving, $(H, +, <) \vDash$ ODAG and if $H' \vDash$ ODAG and $j : G \to H'$ is an embedding, then there is an embedding $h : H \to H'$ s.t. $j = h \circ i$*

*Proof.* We let $\frac{g}{n}$ denote $[(g, n)]$. We can order $H$ by $\frac{g}{n} < \frac{h}{m}$ if and only if $mg < nh$. If $g < h$, then $\frac{g}{1} < \frac{h}{1}$ so this extends the ordering of $G$. If $\frac{g_1}{n_1} < \frac{g_2}{n_2}$ and $\frac{h_1}{m_1} \leq \frac{h_2}{m_2}$, then $n_2 g_1 < n_1 g_2$ and $m_2 h_1 \leq m_1 h_2$. Then,

$$m_1 m_2 n_2 g_1 + n_1 n_2 m_2 h_1 < m_1 m_2 n_1 g_2 + n_1 n_2 m_1 h_2$$

and

$$\frac{m_1 g_1 + n_1 h_1}{m_1 n_1} < \frac{m_2 g_2 + n_2 h_2}{m_2 n_2}$$

Thus, $<$ makes $H$ an ordered group

If $H'$ is another ordered disivible Abelian group and $j : G \to H'$ is an embedding, let $h$ be as in Lemma 3.8 $\qquad \square$

To prove quantifier elimination, we must how that if $G$ and $H$ are ordered divisible Abelian groups and $G \subseteq H$, then $G \prec_s H$

Suppose that $\phi(v, \bar{w})$ is a quantifier-free formula, $\bar{a} \in G$, and for some $b \in H$, $H \vDash \phi(b, \bar{a})$. As above, it suffices to consider the case where $\phi$ is a conjunction of atomic and negated atomic formulas. If $\theta(v, \bar{w})$ is atomic, then $\theta$ is equivalent to either $\sum n_i w_i + mv = 0$ or $\sum n_i w_i + mv > 0$ for some $n_i, m \in \mathbb{Z}$. In particular, there is an element $g \in G$ s.t. $\theta(v, \bar{a})$ is of the form $mv = g$ or $mv > g$. Also not that for any formula $mv \neq g$ is equivalent to $mv > g$ or $-mv > g$. Thus we may assume that

$$\phi(v, \bar{a}) \leftrightarrow \bigwedge m_i v = g_i \bigwedge n_i v > h_i$$

where $g_i, h_i \in G$ and $m_i, n_i \in \mathbb{Z}$

If there is actually a conjunct $m_i v = g_i$, then we must have $b = \frac{g_i}{m_i} \in G$; otherwise $\phi(v, \bar{a}) = \bigwedge m_i v > h_i$. Let $k_0 = \min\{\frac{h_i}{m_i} : m_i < 0\}$ and $k_i = \max\{\frac{h_i}{m_i} : m_i > 0\}$. Then $c \in H$ satisfies $\phi(v, \bar{a})$ if and only if $k_0 < v < k_1$. Because $b$ satisfies $\phi$, we must have $k_0 < k_1$. But any ordered divisible Abelian group is densely ordered because if $g < h$ then $g < \frac{g+h}{2} < h$, so there is $d \in G$ s.t. $k_0 < d < k_1$. Thus $G \prec_s H$

**Corollary 3.17.** *ODAG is a complete decidable theory with quantifier elimination. In particular, every ordered divisible Abelian group is elementarily equivalent to $\mathbb{Q}, +, <$*

*Proof.* By Lemma 3.16, $\text{ODAG}_\forall$ is the theory of ordered Abelian groups and ODAG has algebraically prime models. From Corollary 3.12 we see that ODAG has quantifier elimination. The ordered group of rational embeds into every ordered divisible Abelian group; thus by Proposition 3.15, ODAG is complete. Because ODAG has a recursive axiomatization, it is decidable by Lemma 2.22 □

ODAG is not strongly minimal. For example, $\{a \in \mathbb{Q} : a < 0\}$ is infinite and coinfinite. On the other hand, *definable subsets are quite well-behaved*. Suppose that $G$ is an ordered divisible Abelian group and $X \subseteq G$ definable. By quantifier elimination, $X$ is a Boolean combination of sets defined by atomic formulas. If $\phi(v, w_1, \ldots, w_n)$ is atomic, then there are integers $k_0, \ldots, k_n$ s.t. $\phi$ is equivalent to either

$$k_0 v + \sum k_i w_i = 0$$

or

$$k_0 v + \sum k_i w_i > 0$$

If $\bar{a} \in G^n$, in the first case $\phi(v, \bar{a})$ defines a finite set whereas in the second case it defines an interval. It follows that $X$ is a finite union of points and intervals with endpoints in $G \cup \{\pm\infty\}$

**Definition 3.18.** We say the an ordered structure $(M, <, \ldots)$ is **o-minimal** if for any definable $X \subseteq M$ there are finitely many intervals $I_1, \ldots, I_m$ with endpoints in $M \cup \{\pm\infty\}$ and a finite set $X_0$ s.t. $X = X_0 \cup I_1 \cup \cdots \cup I_m$

### 3.1.3 Presburger Arithmetic

Let $\mathcal{L} = \{+, -, <, 0, 1\}$ and consider the $\mathcal{L}$-theory of the ordered group of integers. In fact this theory will not have quantifer elimination in the language $\mathcal{L}$. Let $\psi_n(v)$ be the formula

$$\exists y \; v = \underbrace{y + \cdots + y}_{n\text{-times}}$$

It turns out that this is the only obstruction to quantifer elimination. Let $\mathcal{L}^* = \mathcal{L} \cup \{P_n : n = 2, 3, \ldots\}$ where $P_n$ is a unary predicate which we will interpret as the elements divisible by $n$. We will see that the $\mathcal{L}^*$-theory of $\mathbb{Z}$ has quantifier elimination and is decidable. Because we are only adding predicates for sets that we define already in the language $\mathcal{L}$, we will not change the definable sets (See Exercise **??**)

For any language $\mathcal{L}$ and $\mathcal{L}$-theory $T$, there is a language $\mathcal{L}' \supseteq \mathcal{L}$ and an $\mathcal{L}'$-theory $T' \supseteq T$ s.t. for any $\mathcal{M} \vDash T$ we can interpret the new symbols of $\mathcal{L}'$ to make $\mathcal{M}' \vDash T'$ s.t. for any subset of $M^k$ definable using $\mathcal{L}'$ is already definable using $\mathcal{L}$, and any $\mathcal{L}'$-formula is equivalent to an atomic $\mathcal{L}'$-formula

Let $\mathcal{L}' = \mathcal{L} \cup \{R_\phi : \phi \text{ an } \mathcal{L}\text{-formula}\}$, where if $\phi$ is a formula in $n$ free variables, $R_\phi$ is an $n$-ary predicate symbol. Let $T'$ be the theory obtained by adding to $T$ the sentences

$$\forall \bar{v}(\phi(\bar{v}) \leftrightarrow R_\phi(\bar{v}))$$

Consider the $\mathcal{L}^*$-theory, which we call Pr for **Presburger arithmetic**, with axioms:

1. axioms for ordered Abelian groups

2. $0 < 1$

3. $\forall x(x \leq 0 \vee x \geq 1)$

4. $\forall x(P_n(x) \leftrightarrow \exists y\ x = \underbrace{y + \cdots + y}_{n\text{-times}})$, for $n = 2, 3, ...$

5. $\forall x \bigvee_{i=0}^{n-1}[P_n(x + \underbrace{1 + \cdots + 1}_{i\text{ times}}) \wedge \bigwedge_{j \neq i} \neg P_n(x + \underbrace{1 + \cdots + 1}_{j\text{ times}})]$ for $n = 2, 3, ...$

Suppose that $(G, +, -, <, 0, 1)$ is a model of Pr. For each $n$, axiom (4) asserts that $P_n^G = nG$. Axiom (5) asserts that $\frac{G}{nG} \cong \frac{\mathbb{Z}}{n\mathbb{Z}}$

Axioms 1,2,3 and 5 are universal, whereas axiom 4 is not. Let us define a theory $T$ that we will eventually show is $\text{Pr}_\forall$. The axioms for $T$ are:
axioms 1,2,3 and 5

6. $P_n$ is closed under + and -

7. $\forall x, y\ (\underbrace{y + \cdots + y}_{n\text{ times}} = x) \rightarrow P_n(x)$

8. (for $m$ dividing $n$) $\forall x(P_m(x) \rightarrow P_n(x))$

9. $\forall x(P_{kn}(\underbrace{x + \cdots + x}_{k\text{ times}}) \rightarrow P_n(x))$ for $k, n = 2, 3, ...$

6 ensures that the $P_n$ are additive subgroups. Axiom 7 asserts that $nG \subset P_n$. Axiom 8 asserts that if $m \mid n$, then $P_n \subset P_m$. Axiom 9 asserts that if $kx \in P_{kn}$ then $x \in P_n$. Clearly $T \subseteq \text{Pr}_\forall$

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**Lemma 3.19.** *Let $(G, +, <, P_2, P_3, \dots) \vDash T$. There is $H \supseteq G$ s.t. $H \vDash Pr$ and if $H' \supseteq G$ and $H' \vDash Pr$, then there is $h : H \to H'$ s.t. $h|G$ is the identity*

*Proof.* □

## 3.2 Algebraically Closed Fields

**Lemma 3.20.** *Check this.*
  *$\mathsf{ACF}_\forall$ is the theory of integral domains*
  *$\mathsf{ACF}_\forall$ axiomatize the theory of integral domains. Actually this is what we want as we consider integral domains later and prove a stronger version*

Consider a different version. Let $\mathcal{L} = \{0, 1, +, -, *\}$ be the language of rings and $T$ is the theory of fields, then $T_\forall$ is the theory of integral domains. For if $R$ is an integral domain, then it is a subring of its field of fractions $K$, and $K \vDash T$ and hence $R \vDash T_\forall$ by Exercise 2.5.2. So any integral domain models $T_\forall$. Conversely, if $S$ is a ring and $S \vDash T_\forall$ then we need to check that $S$ is an integral domain, so we need to check $0 \neq 1$, that $xy = yx$ and that $xy = 0 \Rightarrow x = 0 \lor y = 0$.

*Proof.* The axioms for integral domains are universal consequences of ACF. If $D$ is an integral domain, then the algebraic closure of the fraction field of $D$ is a model of ACF. Because every integral domain is a subring of an algebraically closed field, $\mathsf{ACF}_\forall$ is the theory of integral domains by Exercise 2.5.2 □

**Theorem 3.21.** *ACF has quantifier elimination*

*Proof.* We will apply Corollary 3.12. If $D$ is an integral domain, then the algebraic closure of the fraction field of $D$ embeds into any algebraically closed field containing $D$. Thus ACF has algebraically prime models

To prove quantifier elimination, we need only show that if $K$ and $F$ are algebraically closed fields, $F \subseteq K$, $\phi(x, \bar{y})$ is quantifier-free, $\bar{a} \in F$, and $K \vDash \phi(b, \bar{a})$ for some $b \in K$, then $F \vDash \exists v \, \phi(v, \bar{a})$

As in Lemma 3.7, we may assume that $\phi(x, \bar{y})$ is a conjunction of atomic and negated atomic formulas. In the language of rings, atomic formulas $\phi(v_1, \dots, v_n)$ are of the form $p(\bar{v}) = 0$, where $p \in \mathbb{Z}[x_1, \dots, x_n]$. If $p(X, \bar{Y}) \in \mathbb{Z}[X, \bar{Y}]$, we can view $p(X, \bar{a})$ as a polynomial in $F[X]$. Thus there are polynomials $p_1, \dots, p_n, q_1, \dots, q_m \in F[X]$ s.t. $\phi(v, \bar{a})$ is equivalent to

$$\bigwedge_{i=1}^{n} p_i(v) = 0 \land \bigwedge_{i=1}^{m} q_i(v) \neq 0$$

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If any of the polynomials $p_i$ are nonzero, then $b$ is algebraic over $F$. In this case, $b \in F$ because $F$ is algebraically closed. Thus we may assume that $\phi(v, \bar{a})$ is equivalent to

$$\bigwedge_{i=1}^{m} q_i(v) \neq 0$$

But $q_i(X) = 0$ has only finitely many solutions for each $i \leq m$. Thus there are only finitely many elements of $F$ that do not satisfy $F$. Because algebraically closed fields are infinite, there is a $c \in F$ s.t.

$$F \vDash \phi(c, \bar{a})$$

$\square$

**Corollary 3.22.** *ACF is model-complete and* $\mathsf{ACF}_p$ *is complete where* $p = 0$ *or* $p$ *is prime*

*Proof.* Suppose that $K, L \vDash \mathsf{ACF}_p$. Let $\phi$ be any sentence in the language of rings. By quantifer elimination, there is a quantifier-free sentence $\psi$ s.t.

$$\mathsf{ACF} \vDash \phi \leftrightarrow \psi$$

Because quantifier-free sentences are preserved under extension and sub-structure,

$$K \vDash \psi \Leftrightarrow \mathbb{F}_p \vDash \psi \Leftrightarrow L \vDash \psi$$

Thus $K \equiv L$ and $\mathsf{ACF}_p$ is complete $\square$

### 3.2.1 Zariski Closed and Constructible Sets

Let $K$ be a field. If $S \subseteq K[X_1, ..., X_n]$, let $V(S) = \{a \in K^n : p(a) = 0 \text{ for all } p \in S\}$. If $Y \subseteq K^n$, we let $I(Y) = \{f \in K[X_1, ..., X_n] : f(\bar{a}) = 0 \text{ for all } \bar{a} \in Y\}$. We say $X \subseteq K^n$ is **Zariski closed** if $X = V(S)$ for some $S \subseteq K[X_1, ..., X_n]$

The **radical** of an ideal $I$ in a commutative ring $R$ , denoted by $\sqrt{I}$, is defined as

$$\sqrt{I} = \{r \in R \mid r^n \in I \text{ for some } n \in \mathbb{Z}^+\}$$

$I$ is a radical ideal iff $I = \sqrt{I}$

**Lemma 3.23.** *Let $K$ be a field*

1. *If $X \subseteq K^n$, then $I(X)$ is a radical ideal*

2. *If $X$ is Zariski closed, then $X = V(I(X))$*

3. *If $X$ and $Y$ are Zariski closed and $X \subseteq Y \subseteq K^n$, then $I(Y) \subseteq I(X)$*

4. *If $X, Y \subseteq K^n$ are Zariski closed, then $X \cup Y = V(I(X) \cap I(Y))$ and $X \cap Y = V(I(X) + I(Y))$*

*Proof.*    1. Suppose that $p, q \in I(X)$ and $f \in K[X_1, \dots, X_n]$. If $a \in X$, then $p(a) + q(a) = f(a)p(a) = 0$. Thus $p + q, fp \in I(X)$ and $I(X)$ is an ideal. If $f^n \in I(X)$ and $a \in X$, then $f^n(a) = 0$ so $f(a) = 0$. Thus $f \in I(X)$ and $I(X)$ is a radical ideal

2. If $a \in X$ and $p \in I(X)$, then $p(a) = 0$. Thus $X \subseteq V(I(X))$. If $a \in V(I(X)) \setminus X$, then there is $p \in I(X)$ s.t. $p(a) \neq 0$, a contradiction

3. If $p \in I(Y)$ and $a \in X$, then $p(a) = 0$ and $I(Y) \subseteq I(X)$. By (2), if $I(X) = I(Y)$, then $X = Y$

4. If $p \in I(X) \cap I(Y)$, then $p(a) = 0$ for $a \in X$ or $a \in Y$. Thus $X \cup Y \subseteq V(I(X) \cap I(Y))$. If $a \notin X \cup Y$, there are $p \in I(X)$ and $q \in I(Y)$ s.t. $p(a) \neq 0$ and $q(a) \neq 0$. But then $p(a)q(a) \neq 0$. Because $pq \in I(X) \cap I(Y)$, $a \notin V(I(X) \cap I(Y))$

   If $a \in X \cap Y$, $p \in I(X)$, $q \in I(Y)$, then $p(a) + q(a) = 0$. Thus $X \cap Y \subseteq V(I(X) + I(Y))$. If $a \notin X$, then there is $p \in I(X) \subseteq I(X) + I(Y)$ s.t. $p(a) \neq 0$. Thus $a \notin V(I(X) + I(Y))$. Similarly, if $a \notin Y$, then $a \notin V(I(X) + I(Y))$

   $\square$

**Theorem 3.24** (Hilbert's Basis Theorem). *If $K$ is a field, then the polynomial ring $K[X_1, \dots, X_n]$ is a Noetherian ring, (i.e., there are no infinite ascending chains of ideals). In particular, every ideal is finitely generated*

**Corollary 3.25.**    1. *There are no infinite descending sequences of Zariski closed sets*

2. *If $X_i$ is Zariski closed for $i \in I$, then there is a finite $I_0 \subseteq I$ s.t.*

$$\bigcap_{i \in I} X_i = \bigcap_{i \in I_0} X_i$$

*In particular, an arbitrary intersection of Zariski closed sets is Zariski closed*

## 3.3 Exercises

*Exercise* 3.3.1.    1. Show that the theory of $(\mathbb{Z}, s)$ has quantifier elimination where $s(x) = x + 1$. Show that this theory is strongly minimal and that $\text{acl}(A)$ is the set of elements "reachable" from $A$

2. Show that the theory of $(\mathbb{N}, s)$ does not have quantifier elimination

*Proof.* StackExchange

Let $T = \text{Th}((\mathbb{Z}, s))$, suppose $\mathfrak{M}, \mathfrak{N} \vDash T$, $(\mathbb{Z}, s)$ is a common substructure of $\mathfrak{M}$ and $\mathfrak{N}$. For any quantifier free $\varphi$,

$$\varphi(\bar{v}, w) \leftrightarrow \bigvee_{i=1}^{n} \bigwedge_{j=1}^{m} \theta_{i,j}(\bar{v}, w)$$

where each $\theta_{i,j}(\bar{v}, w)$ is atomic or negated atomic formula.

Atomic formula of $\mathcal{L} = \{s\}$ is $s^m(x) = s^n(y)$ for $m, n \in \mathbb{N}$. Thus if $\mathfrak{M} \vDash \varphi(\bar{a}, b)$

$$\varphi(\bar{a}, x) \leftrightarrow \bigwedge_i s^{m_i}(x) = s^{n_i}(a_i) \wedge \bigwedge_i s^{m'_i}(x) \neq s^{n'_i}(a_i)$$

For $(\mathbb{Z}, s)$, $\forall x, y(s(x) = s(y) \rightarrow x = y) \in T$.

But this is not true in $(\mathbb{N}, s)$ as we can't establish comparison without a base element. Thus

$$\varphi \leftrightarrow \bigwedge_i s^{m_i}(x_i) = y_i \wedge \bigwedge_i s^{m'_i}(x'_i) \neq y'_i$$

$\square$

# 4  Realizing and Omitting Types

## 4.1  Types

Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure and $A \subseteq M$. Let $\mathcal{L}_A$ be the language obtained by adding to $\mathcal{L}$ constant symbols for each $a \in A$. We can naturally view $\mathcal{M}$ as an $\mathcal{L}_A$-structure by interpreting the new symbols in the obvious way. Let $\text{Th}_A(\mathcal{M})$ be the set of all $\mathcal{L}_A$-sentences true in $\mathcal{M}$. Note that $\text{Th}_A(\mathcal{M}) \subseteq \text{Diag}_{el}(\mathcal{M})$

**Definition 4.1.** Let $p$ be the set of $\mathcal{L}_A$-formulas in free variables $v_1, \ldots, v_n$. We call $p$ an $n$-**type** if $p \cup \text{Th}_A(\mathcal{M})$ is satisfiable. We say that $p$ is a **complete** $n$-**type** if $\phi \in p$ or $\neg\phi \in p$ for all $\mathcal{L}_A$-formulas $\phi$ with free variables from $v_1, \ldots, v_n$. We let $S_n^{\mathcal{M}}(A)$ be the set of all complete $n$-types.

*Remark.* Wu's remark: guess here $p \cup \mathrm{Th}_A(\mathcal{M})$ is satisfiable means that there is a model $\mathfrak{N} \vDash \mathrm{Th}_A(\mathcal{M})$ that realizes $p$, which is slightly different from "there is an elementary extension of $\mathfrak{M}$ that realizes $p$"

Consider $\mathcal{M} = (\mathbb{Q}, <)$ and $A = \mathbb{N}$, let $q(v) = \{\phi(v) \in \mathcal{L}_A : \mathcal{M} \vDash \phi(\frac{1}{2})\}$. $q(v)$ is a complete 1-type

We sometimes refer to incomplete types as **partial types**

By the compactness theorem, we could replace "satisfiable" by "finitely satisfiable"

If $\mathcal{M}$ is any $\mathcal{L}$-structure, $A \subset M$, and $\bar{a} = (a_1, \ldots, a_n) \in M^n$, let $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A) = \{\phi(v_1, \ldots, v_n) \in \mathcal{L}_A : \mathcal{M} \vDash \phi(a_1, \ldots, a_n)\}$. Then $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A)$ is a complete $n$-type. We write $\mathrm{tp}^{\mathcal{M}}(\bar{a})$ for $\mathrm{tp}^{\mathcal{M}}(\bar{a}/\emptyset)$

**Definition 4.2.** If $p$ is an $n$-type over $A$, we say that $\bar{a} \in M^n$ **realizes** $p$ if $\mathcal{M} \vDash \phi(\bar{a})$ for all $\phi \in p$. If $p$ is not realized in $\mathcal{M}$ we say that $\mathcal{M}$ **omits** $p$.

$1/2$ realizes $q(v)$. And there are many realizations of $q(v)$ in $\mathcal{M}$. Suppose that $r \in \mathbb{Q}$ and $0 < r < 1$. We can construct an automorphism $\sigma$ of $\mathcal{M}$ that fixes every natural number but $\sigma(1/2) = r$. Because $\sigma$ fixes all elements of $A$, $\sigma$ is also an $\mathcal{L}_A$-automorphism. By Theorem 1.9

$$\mathcal{M} \vDash \phi(1/2) \iff \mathcal{M} \vDash \phi(r)$$

In fact, the elements of $\mathbb{Q}$ that realize $q(v)$ are exactly the rational number $s$ s.t. $0 < s < 1$

**Proposition 4.3.** *Let $\mathcal{M}$ be an $\mathcal{L}$-structure, $A \subseteq M$, and $p$ an $n$-type over $A$. There is $\mathcal{N}$ an elementary extension of $\mathcal{M}$ s.t. $p$ is realized in $\mathcal{N}$.*

*Proof.* Let $\Gamma = p \cup \mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$. We claim that $\Gamma$ is satisfiable

Suppose that $\Delta$ is a finite subset of $\Gamma$. W.L.O.G., $\Delta$ is the single formula

$$\phi(v_1, \ldots, v_n, a_1, \ldots, a_m) \wedge \psi(a_1, \ldots, a_m, b_1, \ldots, b_l)$$

where $a_1, \ldots, a_m \in A$, $b_1, \ldots, b_l \in M \setminus A$, $\phi(\bar{v}, \bar{a}) \in p$ and $\mathcal{M} \vDash \psi(\bar{a}, \bar{b})$. Let $\mathcal{N}_0$ be a model of the satisfiable set of sentences $p \cup \mathrm{Th}_A(\mathcal{M})$. Because $\exists \bar{w} \psi(\bar{a}, \bar{w}) \in \mathrm{Th}_A(\mathcal{M})$,

$$\mathcal{N}_0 \vDash \phi(\bar{v}, \bar{a}) \wedge \exists \bar{w} \psi(\bar{a}, \bar{w})$$

By interpreting $b_1, \ldots, b_l$ as witnesses to $\exists \bar{w} \psi(a_1, \ldots, a_m, \bar{w})$, we make $\mathcal{N}_0 \vDash \Delta$. Thus $\Delta$ is satisfiable.

By the Compactness Theorem, $\Gamma$ is satisfiable. Let $\mathcal{N} \vDash \Gamma$. Because $\mathcal{N} \vDash \mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$, the map that sends $m \in M$ to the interpretation of the constant symbol $m$ in $\mathcal{N}$ is an elementary embedding. Let $c_i \in N$ be the interpretation of $v_i$. Then $(c_1, \ldots, c_n)$ is a realization of $p$. $\square$

If $\mathcal{N}$ is an elementary extension of $\mathcal{M}$, then $\text{Th}_A(\mathcal{M}) = \text{Th}_A(\mathcal{N})$. Thus $S_n^{\mathcal{M}}(A) = S_n^{\mathcal{N}}(A)$

**Corollary 4.4.** $p \in S_n^{\mathcal{M}}(A)$ *iff there is an elementary extension $\mathcal{N}$ of $\mathcal{M}$ and $\bar{a} \in N^n$ s.t. $p = \text{tp}^{\mathcal{N}}(\bar{a}/A)$*

*Proof.* If $\bar{a} \in N^n$, then $\text{tp}^{\mathcal{N}}(\bar{a}/A) \in S_n^{\mathcal{N}}(A) = S_n^{\mathcal{M}}(A)$.

On the other hand if $p \in S_n^{\mathcal{M}}(A)$, then by Proposition 4.3 there is an elementary extension $\mathcal{N}$ of $\mathcal{M}$ and $\bar{a} \in \mathcal{M}$ realizing $p$. Because $p$ is complete, if $\phi(\bar{v}) \in \mathcal{L}_A$, then exactly one of $\phi(\bar{v})$ and $\neg\phi(\bar{v})$ is in $p$. Thus $\phi(\bar{v}) \in \text{tp}^{\mathcal{N}}(\bar{a}/A)$ iff $\phi(\bar{v}) \in p$ and $p = \text{tp}^{\mathcal{N}}(\bar{a}/A)$ □

**Proposition 4.5.** *Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure and $A \subseteq M$. Let $\bar{a}, \bar{b} \in M^n$ s.t. $\text{tp}^{\mathcal{M}}(\bar{a}/A) = \text{tp}^{\mathcal{M}}(\bar{b}/A)$. Then there is $\mathcal{N}$ an elementary extension of $\mathcal{M}$ and $\sigma$ an automorphism of $\mathcal{N}$ fixing all elements of $A$ s.t. $\sigma(\bar{a}) = \bar{b}$.*

If $\mathcal{M}$ and $\mathcal{N}$ are $\mathcal{L}$-structures and $B \subseteq M$, we say that $f : B \to N$ is a **partial elementary map** iff

$$\mathcal{M} \vDash \phi(\bar{b}) \iff \mathcal{N} \vDash \phi(f(\bar{b}))$$

for all $\mathcal{L}$-formulas $\phi$ and all finite sequences $\bar{b} \in B$

**Lemma 4.6.** *Let $\mathcal{M}, \mathcal{N}, B$ be as above and let $f : B \to N$ be partial elementary. If $b \in M$, there is an elementary extension $\mathcal{N}_1$ of $\mathcal{N}$ and $g : B \cup \{b\} \to \mathcal{N}_1$ a partial elementary map extending $f$.*

*Proof.* Let $\Gamma = \{\phi(v, f(a_1), \ldots, f(a_n)) : \mathcal{M} \vDash \phi(b, a_1, \ldots, a_n), a_1, \ldots, a_n \in B\} \cup \text{Diag}_{\text{el}}(\mathcal{N})$. Note that here we have the range of $f$ and therefore the range of $\phi(f(\bar{b}))$

Suppose that we find a structure $\mathcal{N}_1$ and an element $c \in N_1$ satisfying all of the formulas in $\Gamma$, then we are done.

Thus it suffices to show that $\Gamma$ is satisfiable. By the Compactness Theorem it suffices to show that every finite subset of $\Gamma$ is satisfiable in $\mathcal{N}$. Taking conjunctions, it is enough to show that if $\mathcal{M} \vDash \phi(, a_1, \ldots, a_n)$, then $\mathcal{N} \vDash \exists v \phi(v, f(a_1), \ldots, f(a_n))$ but this is clear because $\mathcal{M} \vDash \exists v \phi(v, a_1, \ldots, a_n)$ and $f$ is partial elementary □

**Corollary 4.7.** *If $\mathcal{M}$ and $\mathcal{N}$ are $\mathcal{L}$-structures, $B \subseteq M$ and $f : B \to N$ is a partial elementary map, then there is $\mathcal{N}'$ an elementary extension of $\mathcal{N}$ and $g : \mathcal{M} \to \mathcal{N}'$ an elementary embedding*

*Proof.* Let $\kappa = |M|$, and let $\{a_\alpha : \alpha < \kappa\}$ be an enumeration of $M$. Let $\mathcal{N}_0 = \mathcal{N}$, $B_0 = B$, and $g_0 = f$. Let $B_\alpha = B \cup \{a_\beta : \beta < \alpha\}$. We inductively build an elementary chain $(N_\alpha : \alpha < \kappa)$ and $g_\alpha : B_\alpha \to N_\alpha$ partial elementary s.t. $g_\beta \subseteq g_\alpha$ for $\beta < \alpha$

If $\alpha = \beta + 1$ and $g_\beta : B_\beta \to N_\beta$ is partial elementary, then by Lemma 4.6 we can find $N_\beta \prec N_\alpha$ and $g_\alpha : B_\alpha \to N_\alpha$

If $\alpha$ is a limit ordinal, let $N_\alpha = \bigcup_{\beta < \alpha} N_\beta$ and $g_\alpha = \bigcup_{\beta < \alpha} g_\beta$. By Proposition 2.35 $\mathcal{N}_\alpha$ is an elementary extension of $N_\beta$ for $\beta < \alpha$ and $f_\alpha$ is a partial elementary map.

Let $\mathcal{N}' = \bigcup_{\alpha < \kappa} \mathcal{N}_\alpha$ and $g = \bigcup_{\alpha < \kappa} g_\alpha$. Again by Proposition 2.35 $\mathcal{N} \prec \mathcal{N}'$ and $g$ is partial elementary. But $\mathrm{dom}(g) = M$, so $g$ is an elementary embedding of $\mathcal{M}$ into $\mathcal{N}'$ □

*Proof of 4.5.* Let $f : A \cup \{a\} \to A \cup \{b\}$ s.t. $f|A$ is the identity and $f(a) = b$. Because $\mathrm{tp}^{\mathcal{M}}(a/A) = \mathrm{tp}^{\mathcal{M}}(b/A)$, $f$ is a partial elementary map. By Corollary 4.7 there is $\mathcal{N}_0$ an elementary extension of $\mathcal{M}$ and $f_0 : \mathcal{M} \to \mathcal{N}_0$ an elementary embedding extending $f$. We will build a sequence of elementary extensions

$$\mathcal{M} = \mathcal{M}_0 \prec \mathcal{N}_0 \prec \mathcal{M}_1 \prec \mathcal{N}_1 \prec \mathcal{M}_2 \prec \mathcal{N}_2 \prec \ldots$$

and elementary embeddings $f_i : \mathcal{M}_i \to \mathcal{N}_i$ s.t. $f_0 \subseteq f_1 \subseteq f_2 \ldots$ and $N_i$ is contained in the image of $f_{i+1}$. Having done this, let

$$\mathcal{N} = \bigcup_{i < \omega} \mathcal{N}_i = \bigcup_{i < \omega} \mathcal{M}_i$$

and $\sigma = \bigcup f_i$. By Proposition 2.35 $\mathcal{N}$ is an elementary extension of $\mathcal{M}$ and $\sigma : \mathcal{N} \to \mathcal{N}$ is an elementary map s.t. $\sigma|A$ is the identity and $\sigma(a) = b$. By construction $\sigma$ is surjective. Thus $\sigma$ is the desired automorphism.

Given $f_i : \mathcal{M}_i \to \mathcal{N}_i$ we can view $f_i^{-1}$ as a partial elementary map from the image of $f_i$ into $\mathcal{M}_i \prec \mathcal{N}_i$. By Corollary 4.7 we can find $\mathcal{M}_{i+1}$ an elementary extension of $\mathcal{N}_i$ and extend $f_i^{-1}$ to an elementary embedding $g_i : \mathcal{N}_i \to \mathcal{M}_{i+1}$ □

### 4.1.1 Stone Spaces

For $\phi$ an $\mathcal{L}_A$-formula with free variables from $v_1, \ldots, v_n$, let

$$[\phi] = \{p \in S^{\mathcal{M}}(A) : \phi \in p\}$$

If $p$ is a complete type and $\phi \vee \psi \in p$, then $\phi \in p$ or $\psi \in p$. Thus $[\phi \vee \psi] = [\phi] \cup [\psi]$

The **Stone topology** on $S_n^{\mathcal{M}}(A)$ is the topology by taking the sets $[\phi]$ as basic open sets.

**Lemma 4.8.**     1. $S_n^{\mathcal{M}}(A)$ is compact

2. if $S_n^{\mathcal{M}}(A)$ is totally disconnected, that is if $p, q \in S_n^{\mathcal{M}}(A)$ and $p \neq q$, then there is a clopen set $X$ s.t. $p \in X$ and $q \notin X$

*Proof.*     1. It suffices to show that every cover of $S_n^{\mathcal{M}}(A)$ by basic open sets has a finite

subcover. Suppose not. Let $C = \{[\phi_i(\bar{v})] : i \in I\}$ be a cover of $S_n^{\mathcal{M}}(A)$ by basic open sets with no finite subcover. Let

$$\Gamma = \{\neg\phi_i(\bar{v}) : i \in I\}$$

We claim that $\Gamma \cup \mathrm{Th}_A(\mathcal{M})$ is satisfiable. If $I_0$ is a finite subset of $I$, then because there is no finite subcover of $C$, there is a type $p$ s.t.

$$p \notin \bigcup_{i \in I_0} [\phi_i]$$

Let $\mathcal{N}$ be an elementary extension of $\mathcal{M}$ containing a realization $\bar{a}$ of $p$. Then

$$\mathcal{N} \vDash \mathrm{Th}_A(\mathcal{M}) \cup \bigwedge_{i \in I_0} \neg\phi_i(\bar{a})$$

Hence $\Gamma$ is satisfiable

Let $\mathcal{N}$ be an elementary extension of $\mathcal{M}$, and let $\bar{a} \in \mathcal{N}$ realize $\Gamma$. Then

$$\mathrm{tp}^{\mathcal{N}}(\bar{a}/A) \in S_n^{\mathcal{M}}(A) \smallsetminus \bigcup_{i \in I} [\phi_i(\bar{v})]$$

a contradiction

2. if $p \neq q$, there is a formula $\phi$ s.t. $\phi \in p$ and $\neg\phi \in q$. Thus $[\phi]$ is a basic clopen set separating $p$ and $q$.

$\square$

**Lemma 4.9.**     1. If $A \subseteq B \subset M$ and $p \in S_n^{\mathcal{M}}(B)$, let $p|A$ be the set of $\mathcal{L}_A$-formulas in $p$. Then $p|A \in S_n^{\mathcal{M}}(A)$ and $p \mapsto p|A$ is a continuous map from $S_n^{\mathcal{M}}(B)$ onto $S_n^{\mathcal{M}}(A)$

2. *if $f : \mathcal{M} \to \mathcal{N}$ is an elementary embedding and $p \in S_n^{\mathcal{M}}(A)$, let*

$$f(p) = \{\phi(\bar{v}, f(\bar{a})) : \phi(\bar{v}, \bar{a}) \in p\}$$

*Then $f(p) \in S_n^{\mathcal{N}}(f(A))$ and $p \mapsto f(p)$ is continuous*

3. *if $f : A \to \mathcal{N}$ is partial elementary, then $S_n^{\mathcal{M}}(A)$ is homeomorphic to $S_n^{\mathcal{N}}(f(A))$*

*Proof.*  1. Because $p|A \cup \mathrm{Th}_A(\mathcal{M}) \subseteq p \cup \mathrm{Th}_B(\mathcal{M})$, $p|A \cup \mathrm{Th}_A(\mathcal{M})$ is satisfiable. Because $p|A$ is the set of all $\mathcal{L}_A$-formulas in $p$, $p|A$ is complete. If $\phi$ is an $\mathcal{L}_A$-formula, then

$$\{p \in S_n^{\mathcal{M}}(B) : \phi \in p\} = [\phi]$$

Thus the map is continuous. Here we consider the basic open sets.

if $q \in S_n^{\mathcal{M}}(A)$, there is an elementary extension $\mathcal{N}$ of $\mathcal{M}$ and $\bar{a} \in N$ realizing $q$. Then $p = \mathrm{tp}^{\mathcal{N}}(\bar{a}/B) \in S_n^{\mathcal{M}}(B)$ and $p|A = q$. Thus the restriction map is surjective

2. Suppose $\Delta$ is a finite subset of $f(p)$. Say

$$\Delta = \{\phi_1(\bar{v}, f(\bar{a}), \dots, \phi_m(\bar{v}, f(\bar{a})))\}$$

where $\phi_1(\bar{v}, \bar{a}), \dots, \phi_m(\bar{v}, \bar{a}) \in p$. Because $p \cup \mathrm{Th}_A(\mathcal{M})$ is satisfiable,

$$\mathcal{M} \vDash \exists \bar{v} \bigwedge_{i=1}^{m} \phi_i(\bar{v}, \bar{a})$$

Because $f$ is elementary

$$\mathcal{N} \vDash \exists \bar{v} \bigwedge_{i=1}^{m} \phi_i(\bar{v}, \bar{a})$$

and $f(p) \cup \mathrm{Th}_{f(A)}(\mathcal{N})$ is satisfiable. $f(p)$ is complete since $\mathfrak{M} \equiv \mathfrak{N}$.

Because
$$\{p \in S_n^{\mathcal{M}}(A) : \phi(\bar{v}, f(\bar{a})) \in f(p)\} = [\phi(\bar{v}, \bar{a})]$$

$p \mapsto f(p)$ is continuous

3. since we map onto $f(A)$.

$\square$

**Definition 4.10.** We say that $p \in S_n^{\mathcal{M}}(A)$ is **isolated** if $\{p\}$ is an open subset of $S_n^{\mathcal{M}}(A)$

**Proposition 4.11.** *Let $p \in S_n^{\mathcal{M}}(A)$. The following are equivalent*

1. *$p$ is isolated*

2. *$\{p\} = [\phi(\bar{v})]$ for some $\mathcal{L}_A$-formula $\phi(\bar{v})$. We say that $\phi(\bar{v})$ isolates $p$*

3. *There is an $\mathcal{L}_A$-formula $\phi(\bar{v}) \in p$ s.t. for all $\mathcal{L}_A$-formulas $\psi(\bar{v})$, $\psi(\bar{v}) \in p$ iff*

$$\text{Th}_A(\mathcal{M}) \vDash \phi(\bar{v}) \to \psi(\bar{v})$$

*Proof.* $1 \to 2$. If $X$ is open, then

$$X = \bigcup_{i \in I} [\phi_i]$$

for some collection of formulas $\{\phi_i : i \in I\}$. If $\{p\}$ is open, then $\{p\} = [\phi]$ for some formula $\phi$

$2 \to 3$. $\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\square$

### 4.1.2   Examples

**Dense Linear Order.**

Let $\mathcal{L} = \{<\}$. Let $\mathcal{M} = (M, <)$ be a dense linear order without endpoints and let $A \subseteq M$. Let $p \in S_1^{\mathcal{M}}(A)$. If $a \in A$, then because $p$ is a complete type, exactly one of the formulas $v = a$, $v < a$, or $v > a$ is in $p$.

case 1: $p$ is realized in $A$

$v = a \in p$ for some $a \in A$. In this case, $p = \{\psi(v) : \mathcal{M} \vDash \psi(a)\}$ and $p$ is isolated by the formula $v = a$.

case 2: Otherwise

Let $L_p = \{a \in A : a < v \in p\}$ and $U_p = \{a \in A : v < a \in p\}$. If $a < v, v < b \in p$, because $p \cup \text{Th}_A(\mathcal{M})$ is satisfiable, $a < b$. Thus, $a < b$ for $a \in L_p$ and $b \in U_p$ and $L_p$ and $U_p$ determine a cut in the ordering $(A, <)$

Also note that if $A$ is the disjoint union of $L$ and $U$ where $a < b$ for $a \in L$ and $b \in U$, then $\text{Th}_A(\mathcal{M}) \cup \{a < v : a \in L\} \cup \{v < b : b \in U\}$ is satisfiable. Thus, there is a type $p$ with $L_p = L$ and $U_p = U$.

We claim that the cut completely determines $p$; that is,

$$\{p\} = \bigcap_{a \in L_p} [a < v] \cap \bigcap_{a \in U_p} [v < b]$$

Suppose that $q \neq p$, $L_p = L_q$ and $U_p = U_q$. Because the only atomic formulas are $u = v$ and $u < v$, $p$ and $q$ determine the same cut in $A$, and they contain the same atomic formulas. Because quantifier-free formulas are Boolean combinations of atomic formulas, $p$ and $q$ contain the same quantifier-free formulas. Because every formula is equivalent to a quantifier-free formula, $p = q$

Using the identification between types and cuts, we can give a complete description of all types in $S_1^{\mathbb{Q}}(\mathbb{Q})$

For $a \in \mathbb{Q}$, let $p_a$ be the unique type containing $v = a$.

Let $p_{+\infty}$ be the unique type $p$ with $L_p = \infty$ and $U_p = \emptyset$, and let $p_{-\infty}$ be the unique type $p$ with $L_p = \emptyset$ and $U_p = \mathbb{Q}$. For $r \in \mathbb{R} \setminus \mathbb{Q}$, let $p_r$ be the unique type $p$ with $L_p = \{a \in \mathbb{Q} : a < r\}$ and $U_p = \{b \in \mathbb{Q} : r < b\}$. For $c \in \mathbb{Q}$, let $p_{c^+}$ be the unique type $p$ with $L_p = \{a \in \mathbb{Q} : a \leq c\}$ and $U_p = \{b \in \mathbb{Q} : c < b\}$ and $p_{c^-}$ be the unique type $p$ with $L_p = \{a \in \mathbb{Q} : a < c\}$ and $U_p = \{b \in \mathbb{Q} : c \leq b\}$. These are all possible types. Note in particular that $\left| S_1^{\mathbb{Q}}(\mathbb{Q}) \right| = 2^{\aleph_0}$

We return to the general case where $\mathcal{M} \vDash$ DLO and $A \subseteq M$ is nonempty. Aside from the types realized by elements of $A$, what types in $S_1^{\mathcal{M}}$ are isolated? Suppose that $L_p$ has a largest element $a$ and $U_p$ has a smallest element $b$. Then $p \in [a < v < b]$. Moreover, $\mathrm{Th}_A(\mathcal{M}) \vDash a < v < b \rightarrow c < v < d$ for all $c \in L_p$ and $d \in U_p$. Thus $a < v < b$ isolates $p$. Similarly, if $U_p = \emptyset$ and $L_p$ has a greatest element $a$, then $a < v$ isolates $p$, and if $U_p$ has a smallest element $b$ and $L_p = \emptyset$, then $v < b$ isolates $p$.

We claim that these are the only possibilities. For example, suppose that $U_p \neq \emptyset$ and has no least element. Suppose that $\phi(v)$ isolates $p$. Because $U_p$ and $L_p$ determine $p$,

$$\mathrm{Th}_A(\mathcal{M}) \cup \{a < v : a \in L_p\} \cup \{v < b : v \in U_p\} \vDash \phi(v)$$

Thus we can find $a \in L_p \cup \{-\infty\}$ and $b \in U_p$ s.t.

$$\mathrm{Th}_A(\mathcal{M}) \vDash \{a < v < b\} \rightarrow \phi(v)$$

There is $c \in U_p$ s.t. $c < b$. Because $a < c < b$, $\mathcal{M} \vDash \phi(c)$. But then the type containing $v = c$ is in $[\phi(v)]$ contradicting the fact that $[\phi(v)]$ isolates $p$.

**Proposition 4.12.** *Let $\mathcal{M} \vDash$ DLO and let $A \subseteq M$ be nonempty. Types in $S_1^{\mathcal{M}}(A)$ not realized by elements of $A$ correspond to cuts in the ordering of $A$. A nonrealized type $p$ is nonisolated if either $U_p \neq \emptyset$ has no least element or $L_p \neq \emptyset$ has no greatest element*

**Algebraically Closed Fields**.

Let $K \vDash \mathsf{ACF}$, and let $A \subseteq K$. We first argue that, W.L.O.G., we may assume that $A$ is a field. Let $k$ be a subfield of $K$ generated by $A$. If $p \in S_n^K(k)$, then $p|A \in S_n^K(A)$. We claim that the restriction map is a bijection.

By Lemma 4.9, we know it is surjective. Suppose that $q \in S_n^K(A)$. For $b_1, \ldots, b_l \in k$, there are $a_1, \ldots, a_m \in A$ s.t. for each $i$ there is $q_i(\overline{X}) \in \mathbb{Z}[X_1, \ldots, X_l, \overline{Y}]$ s.t. $b_i = q_i(\bar{a})$.

## 4.2 Omitting Types and Prime Models

For $T$ an $\mathcal{L}$-theory, we let $S_n(T)$ be the set of all complete $n$-types $p$ s.t. $p \cup T$ is satisfiable. If $T$ is complete and $\mathcal{M} \vDash T$, then $S_n(T) = S_n^{\mathcal{M}}(\emptyset)$ since $\mathcal{M} \vDash \phi$ iff $T \vDash \phi$. Also, $S_n^{\mathcal{M}}(A) = S_n(\mathrm{Th}_A(\mathcal{M}))$

In particular, $S_n(T)$ is a totally disconnected compact topological space with basic open sets

$$[\phi] = \{p : \phi \in p\}$$

For $p$ a complete type, $p$ is isolated in $S_n(T)$ iff $\{p\} = [\phi]$ for some $\phi$

**Definition 4.13.** Let $\phi(v_1, \ldots, v_n)$ be an $\mathcal{L}$-formula s.t. $T \cup \{\phi(\bar{v})\}$ is satisfiable, and let $p$ be an $n$-type. We say that $\phi$ **isolates** $p$ if

$$T \vDash \forall \bar{v}(\phi(\bar{v}) \rightarrow \psi(\bar{v}))$$

for all $\psi \in p$.

**Proposition 4.14.** *If $\phi(\bar{v})$ isolates $p$, then $p$ is realized in any model of $T \cup \{\exists \bar{v}\ \phi(\bar{v})\}$. In particular, if $T$ is complete, then every isolated type is realized.*

**Theorem 4.15** (Omitting Types Theorems). *Let $\mathcal{L}$ be countable language, $T$ an $\mathcal{L}$-theory, and $p$ a (possibly incomplete) nonisolated $n$-types over $\emptyset$. Then there is a countable $\mathcal{M} \vDash T$ omitting $p$.*

*Proof.* Let $C = \{c_0, c_1, \ldots\}$ be countably many new constant symbols, and let $\mathcal{L}^* = \mathcal{L} \cup C$. As in the proof of the Compactness Theorem, we will build $T^* \supseteq T$, a complete $\mathcal{L}^*$-theory with the witness property and build $\mathcal{M} \vDash T^*$ as in Lemma 2.7. We will arrange the construction s.t. for all $d_1, \ldots, d_n \in C$, there is a formula $\phi(\bar{v}) \in p$ s.t. $T^* \vDash \neg\phi(d_1, \ldots, d_n)$. This will ensure that $d_1^{\mathcal{M}}, \ldots, d_n^{\mathcal{M}}$ does not realize $p$. Because every element of $M$ is the interpretation of a constant symbol in $C$, $\mathcal{M}$ omits $p$.

We will construct a sequence $\theta_0, \theta_1, \theta_2, \ldots$ of $\mathcal{L}^*$-sentences s.t.

$$\vDash \theta_t \rightarrow \theta_s$$

for $t > s$ and $T^* = T \cup \{\theta_i : i = 0, 1, \dots\}$ is a satisfiable extension of $T$

Let $\phi_0, \phi_1, \phi_2, \dots$ list all $\mathcal{L}^*$-sentences. To ensure that $T^*$ is complete, we will either have

$$\vDash \theta_{3i+1} \to \phi_i$$

or

$$\vDash \theta_{3i+1} \to \neg\phi_i$$

If $\phi_i$ is $\exists v\, \psi(v)$ and $\vDash \theta_{3i+1} \to \phi_i$, then

$$\vDash \theta_{3i+2} \to \psi(c)$$

for some $c \in C$. This will ensure that $T^*$ has the witness property. Let $\bar{d}_0, \bar{d}_1, \dots$ list all $n$-tuples from $C$. We will choose $\theta_{3i+3}$ to ensure that $\bar{d}_i^{\mathcal{M}}$ does not realize $p$ in the canonical model of $T^*$

<u>stage 0</u>: Let $\theta_0$ be $\forall x\, x = x$

Suppose that we have constructed $\theta_s$ s.t. $T \cup \theta_s$ is satisfiable. There are three cases to consider

<u>stage $s + 1 = 3i + 1$</u>: (Completeness) If $T \cup \{\theta_s, \phi_i\}$ is satisfiable then $\theta_{s+1}$ is $\theta_s \wedge \phi_i$; otherwise $\theta_{s+1}$ is $\theta_s \wedge \neg\phi_i$. In either case $T \cup \theta_{s+1}$ is satisfiable. Note that if $\theta_s \wedge \phi_i$ is the case, then $\neg(\theta_s \wedge \neg\phi_i) \equiv \theta_s \to \phi_i$

<u>stage $s + 1 = 3i + 2$</u>: (witness property) Suppose that $\phi_i$ is $\exists v\, \psi(v)$ for some formula $\psi$ and $T \vDash \theta_s \to \phi_i$. In this case we want to find a witness for $\psi$. Let $c \in C$ be a constant that does not occur in $T \cup \{\theta_s\}$. Because only finitely many constants from $C$ have been used so far, we can always find such a $c$. Let $\theta_{s+1} = \theta_s \wedge \psi(c)$. If $\mathcal{N} \vDash T \cup \{\theta_s\}$, then there is $a \in N$ s.t. $\mathcal{N} \vDash \psi(a)$. By letting $c^{\mathcal{N}} = a$, we have $\mathcal{N} \vDash \theta_{s+1}$. Thus in this case $T \cup \{\theta_{s+1}\}$ is satisfiable.

If $\phi_i$ is not of the correct form or $T \nvDash \theta_s \to \phi_i$, then let $\theta_{s+1}$ be $\theta_s$

<u>stage $s + 1 = 3i + 3$</u>: (omitting $p$) Let $\bar{d}_i = (e_1, \dots, e_n)$. let $\psi(v_1, \dots, v_n)$ be the $\mathcal{L}$-formula obtained from $\theta_s$ by replacing each occurrence of $e_i$ by $v_i$ and then replacing every other constant symbol $c \in C \setminus \{e_0, \dots, e_n\}$ occuring in $\theta_s$ by the variable $v_c$ and putting a $\exists v_c$ quantifier in front. In particular, we get rid of all of the constants in $\theta_s$ from $C$ either by replacing them by variables or by quantifying over them. For example, if $\theta_s$ is

$$\forall x \exists y\, cx + e_1 e_2 = y^2 + de_2$$

where $c, d, e_1, e_2$ are distinct constants in $C$, then $\psi(v_1, v_2)$ would be

$$\exists v_c \exists v_d \forall x \exists y\, v_c x + v_1 v_2 = y^2 + de_2$$

Because $p$ is nonisolated, there is a formula $\phi(\bar{v}) \in p$ s.t.

$$T \nvDash \forall \bar{v}(\psi(\bar{v}) \to \phi(\bar{v})) \qquad (\star)$$

Let $\theta_{s+1}$ be $\theta_s \wedge \neg\phi(\bar{d}_i)$. We must argue that $T \cup \theta_{s+1}$ is satisfiable. By $(\star)$ there is $\mathcal{N} \vDash T$ with $\bar{a} \in N$ s.t.

$$\mathcal{N} \vDash \psi(\bar{a}) \wedge \neg\phi(\bar{a})$$

We can make $\mathcal{N}$ into a model of $\theta_{s+1}$ by interpreting the constants $c \in C \setminus \{e_1, \dots, e_n\}$ as the witnesses to $v_c$ and $e_i$ as $a_i$

This completes the construction. Let $T^* = T \cup \{\theta_0, \theta_1, \dots\}$. Because $T \cup \{\theta_s\}$ is satisfiable for each $s$, $T^*$ is satisfiable. If $\phi$ is any $\mathcal{L}$-sentence, then $\phi = \phi_i$ for some $i$, and at stage $3i + 1$ we ensure that $T^* \vDash \phi$ or $T^* \vDash \neg\phi$. Thus, $T^*$ is complete

Also, $T^*$ has the witness property.

If $\mathcal{M}$ is the canonical model of $T^*$ constructed as in Lemma 2.7 we claim that $\mathcal{M}$ omits $p$. $\qquad \square$

The proof can be generalized to omit countably many types at once

**Theorem 4.16.** *Let $\mathcal{L}$ be a countable language, and let $T$ be an $\mathcal{L}$-theory. Let $X$ be a countable collection of nonisolated types over $\emptyset$. There is a countable $\mathcal{M} \vDash T$ that omits all of the types $p \in X$*

The assumption of countability of $\mathcal{L}$ is necessary in the Omitting Types Theorem. Suppose that $\mathcal{L}$ is the language with two disjoint sets of constant symbols $C$ and $D$, where $C$ is uncountable and $|D| = \aleph_0$. Let $T$ be the theory $\{a \neq b : a, b \in C\}$ and $p$ be the type $\{v \neq d : d \in D\}$. Because every model of $T$ is uncountable, there is always an element that is not the interpretation of a constant in $D$. Thus, every model of $T$ realizes $p$. On the other hand, if $\phi(v)$ is any $\mathcal{L}$-formula, then, because only countably many constants from $D$ occur in $T \cup \{\phi(v)\}$, there is $d \in D$ s.t. $T \cup \{\phi(d)\}$ is satisfiable. Thus, $p$ is nonisolated

Let $\mathcal{L} = \{+, \cdot, <, 0, 1\}$ and let PA be the axioms for Peano arithmetic PA. Suppose that $\mathcal{M}, \mathcal{N} \vDash$ PA. We say that $\mathcal{N}$ is an **end extension** of $\mathcal{M}$ if $N \supset M$ and $a < b$ for all $a \in M$ and $b \in N \setminus M$

**Theorem 4.17.** *If $\mathcal{M}$ is a countable model of PA, then there is $\mathcal{M} \prec \mathcal{N}$ s.t. $\mathcal{N}$ is a proper end extension of $\mathcal{M}$*

*Proof.* Consider the language $\mathcal{L}^*$ where we have constant symbols for all elements of $M$ and a new constant symbol $c$. Let $T = \text{Diag}_{\text{el}}(\mathcal{M}) \cup \{c > m :$

$m \in M\}$ and for $a \in M \setminus \mathbb{N}$ let $p_a$ be the type $\{v < a, v \neq m : m \in M\}$. if $\mathcal{N}$ omits each $p_a$, then $\mathcal{N}$ is an end extension of $\mathcal{M}$. By Theorem 4.16, it suffices to show that each $p_a$ is nonisolated

Suppose that $\phi(v)$ is an $\mathcal{L}^*$ formula isolating $p_a$. Let $\phi(v) = \theta(v, c)$, where $\theta$ is an $\mathcal{L}_M$-formula. Then

$$T \cup \theta(v, c) \vDash v < a$$

Because $T \cup \{\theta(v, c)\}$ is satisfiable (definition),

$$\mathcal{M} \vDash \forall x \exists y > x \exists v < a \; \theta(v, y)$$

The Pigeonhole Principle is provable in Peano arithmetic. Thus

$$\mathcal{M} \vDash [\forall x \exists y > x \exists v < a \theta(v, y)] \rightarrow \exists v < a \forall x \exists y > x \theta(v, y) \qquad (\star)$$

Thus there is $m < a$ s.t.

$$\mathcal{M} \vDash \forall x \exists y > x \theta(m, y)$$

We claim that $T \cup \{\theta(m, c)\}$ is satisfiable. If not, there is $n \in M$ s.t.

$$\mathrm{Diag}_{\mathrm{el}}(\mathcal{M}) + c > n \vDash \neg \theta(m, c)$$

contradicting $(\star)$. Thus $\phi(v)$ does not isolate $p_a$, a contradiction $\qquad \square$

### 4.2.1  Prime and Atomic Models

We use the Omitting Types Theorem to study small models of a complete theory. For the remainder of this section, we will assume that $\mathcal{L}$ is a countable language and $T$ is a complete $\mathcal{L}$-theory with infinite models

**Definition 4.18.** We say that $\mathcal{M} \vDash T$ is a **prime model** of $T$ if whenever $\mathcal{N} \vDash T$ there is an elementary embedding of $\mathcal{M}$ into $\mathcal{N}$

Let $T = \mathsf{ACF}_0$. If $K \vDash \mathsf{ACF}_0$ and $F$ is the algebraic closure of $\mathbb{Q}$, then there is an embedding of $F$ into $K$. Because $\mathsf{ACF}_0$ is model complete this embedding is elementary. Thus $F$ is a prime model of $\mathsf{ACF}_0$

Consider $\mathcal{L} = \{+, \cdot, <, 0, 1\}$ and let $T$ be $\mathrm{Th}(\mathbb{N})$. If $\mathcal{M} \vDash T$, then we can view $\mathbb{N}$ as an initial segment of $\mathcal{M}$. We claim that this embedding is elementary. We use the Tarski-Vaught test (Proposition 2.29). Let $\phi(v, w_1, \dots, w_m)$ be an $\mathcal{L}$-formula and let $n_1, \dots, n_m \in \mathbb{N}$ s.t. $\mathcal{M} \vDash \exists v \; \phi(v, \bar{n})$. Let $\psi$ be the $\mathcal{L}$-sentence

$$\exists v \; \phi(v, \underbrace{1 + \cdots + 1}_{n_1\text{-times}}, \dots, \underbrace{1 + \cdots + 1}_{n_m\text{-times}})$$

Then $\mathcal{M} \vDash \psi$ and $\mathbb{N} \vDash \psi$ because $\mathcal{M} \equiv \mathbb{N}$. But then, for some $s \in \mathbb{N}$

$$\mathbb{N} \vDash \phi(s, \underbrace{1 + \cdots + 1}_{n_1\text{-times}}, \dots, \underbrace{1 + \cdots + 1}_{n_m\text{-times}})$$

and

$$\mathbb{N} \vDash \phi(\underbrace{1 + \cdots + 1}_{s\text{-times}}, \underbrace{1 + \cdots + 1}_{n_1\text{-times}}, \dots, \underbrace{1 + \cdots + 1}_{n_m\text{-times}})$$

Because the latter statement is an $\mathcal{L}$-sentence,

$$\mathcal{M} \vDash \phi(\underbrace{1 + \cdots + 1}_{s\text{-times}}, \underbrace{1 + \cdots + 1}_{n_1\text{-times}}, \dots, \underbrace{1 + \cdots + 1}_{n_m\text{-times}})$$

and $\mathcal{M} \vDash \phi(s, n_1, \dots, n_m)$. By the Tarski-Vaught test, $\mathcal{N} \prec \mathcal{M}$. Thus $\mathbb{N}$ is a prime model of $T$

Suppose $\mathcal{M}$ is a prime model of $T$. Suppose that $j : \mathcal{M} \to \mathcal{N}$ is an elementary embedding. If $\bar{a} \in M^n$ realizes $p \in S_n(T)$, then so does $j(\bar{a})$ (definition). If $p \in S_n(T)$ is nonisolated, there is $\mathcal{N}$ s.t. $\mathcal{N}$ omits $p$. If $\mathcal{M}$ realizes $p$, then we can elementarily embed $\mathcal{M}$ into $\mathcal{N}$; thus $\mathcal{M}$ must also omit $p$. In particular, if $\bar{a} \in M^n$, then $\mathrm{tp}^{\mathcal{M}}(\bar{a})$ must be isolated. This leads us to the following definition

**Definition 4.19.** $\mathcal{M} \vDash T$ is **atomic** if $\mathrm{tp}^{\mathcal{M}}(\bar{a})$ is isolated for all $\bar{a} \in M^n$

Prime models are atomic

**Theorem 4.20.** *Let $\mathcal{L}$ be a countable language and let $T$ be a complete $\mathcal{L}$-theory with infinite models. Then $\mathcal{M} \vDash T$ is prime iff it is countable and atomic*

*Proof.* $\Rightarrow$. Because $\mathcal{L}$ is countable, $T$ has a countable model. Thus, the prime model must be countable

$\Leftarrow$. Let $\mathcal{M}$ be countable and atomic. Let $\mathcal{N} \vDash T$. We must construct an elementary embedding of $\mathcal{M}$ into $\mathcal{N}$. Let $m_0, m_1, \dots, m_n, \dots$ be an enumeration of $M$. For each $i$, let $\theta_i(v_0, \dots, v_i)$ isolate the type of $(m_0, \dots, m_i)$. We will build $f_0 \subseteq f_1 \subseteq \dots$ a sequence of partial elementary maps from $\mathcal{M}$ into $\mathcal{N}$ where the domain of $f_i$ is $\{m_0, \dots, m_{i-1}\}$. Then $f = \bigcup_{i=0}^{\infty} f_i$ is an elementary embedding of $\mathcal{M}$ into $\mathcal{N}$

Let $f_0 = \emptyset$. Because $\mathcal{M} \equiv \mathcal{N}$, $f_0$ is partial elementary

Given $f_s$, let $n_i = f(m_i)$ for $i < s$. Because $\theta_s(m_0, \dots, m_s)$ and $f_s$ is partial elementary

$$\mathcal{N} \vDash \exists v \theta_s(n_0, \dots, n_{s-1}, v)$$

Let $n_s \in N$ s.t. $\mathcal{N} \vDash \theta_s(n_0, \dots, n_s)$. Because $\theta_s$ isolates $\mathrm{tp}^{\mathcal{M}}(m_0, \dots, m_s)$

$$\mathrm{tp}^{\mathcal{M}}(m_0, \dots, m_s) = \mathrm{tp}^{\mathcal{N}}(n_0, \dots, n_s)$$

Thus $f_{s+1} = f_s \cup \{(m_s, n_s)\}$ is a partial elementary map $\qquad \square$

**Lemma 4.21.** *Suppose that $(\bar{a}, \bar{b}) \in M^{m+n}$ realizes an isolated type in $S_{m+n}(T)$. Then $\bar{a}$ realizes an isolated type in $S_m(T)$. Indeed if $A \subseteq M$ and $(\bar{a}, \bar{b}) \in M^{m+n}$ realizes an isolated type in $S^{\mathcal{M}}_{m+n}(A)$, then $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A)$ is isolated*

*Proof.* Let $\phi(\bar{v}, \bar{w})$ isolate $\mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$. We claim that $\exists \bar{w}\ \phi(\bar{v}, \bar{w})$ isolates $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A)$. Let $\psi(\bar{v})$ be any $\mathcal{L}_A$-formula s.t. $\mathcal{M} \vDash \psi(\bar{a})$. We must show that

$$\mathrm{Th}_A(\mathcal{M}) \vDash \forall \bar{v}(\exists \bar{w} \phi(\bar{v}, \bar{w}) \to \psi(\bar{v}))$$

Suppose no, then there is $\bar{c} \in M^m$ s.t.

$$\mathcal{M} \vDash \exists \bar{w} \phi(\bar{c}, \bar{w}) \wedge \neg\psi(\bar{c})$$

Let $\bar{d} \in M^n$ s.t. $\mathcal{M} \vDash \phi(\bar{c}, \bar{d}) \wedge \neg\psi(\bar{c})$. Because $\phi(\bar{v}, \bar{w})$ isolates $\mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{d}/A)$

$$\mathrm{Th}_A(\mathcal{M}) \vDash \forall \bar{v} \forall \bar{w}(\phi(\bar{v}, \bar{w}) \to \psi(\bar{v}))$$

This is a contradiction because

$$\psi(\bar{v}) \in \mathrm{tp}^{\mathcal{M}}(\bar{a}/A) \subset \mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$$

$\qquad \square$

**Definition 4.22.** The isolated types are **dense** in $T$ if every consistent $L$-formula $\psi(x_1, \dots, x_n)$ belongs to an isolated type $p(x_1, \dots, x_n) \in S_n(T)$

**Theorem 4.23.** *Let $\mathcal{L}$ be a countable language and let $T$ be a complete $\mathcal{L}$-theory with infinite models. Then, the following are equivalent*

1. *$T$ has a prime model*

2. *$T$ has an atomic model $\mathcal{M}$*

3. *the isolated types in $S_n(T)$ are dense for all $n$ (in the sense of topology)*

*Proof.* $2 \to 3$. Let $\phi(\bar{v})$ be an $\mathcal{L}$-formula s.t. $[\phi(\bar{v})]$ is a nonempty open set in $S_n(T)$. We must show that $[\phi(\bar{v})]$ contains an isolated type

Let $\mathcal{M} \vDash T$ be atomic. Because $T$ is complete and $T \cup \{\phi(\bar{v})\}$ is satisfiable, $T \vDash \exists \bar{v} \phi(\bar{v})$. Thus there is $\bar{a} \in M^n$ s.t. $\mathcal{M} \vDash \phi(\bar{a})$. Then $\mathrm{tp}^{\mathcal{M}}(\bar{a}) \in [\phi]$ and because $\mathcal{M}$ is atomic, $\mathrm{tp}^{\mathcal{M}}(\bar{a})$ is isolated.

$3 \to 2$. (From tent) A structure $\mathfrak{M}_0$ is atomic iff for all $n$ the set

$$\Sigma_n(x_1, \dots, x_n) = \{\neg\varphi(x_1, \dots, x_n) \mid \varphi(x_1, \dots, x_n) \text{ complete}\}$$

is not realised in $\mathfrak{M}_0$. By Theorem 4.16 it is enough to show that the $\Sigma_n(x_1, \dots, x_n)$ are not isolated in $T$. This is the case iff for every consistent $\psi(x_1, \dots, x_n)$ there is a complete formula $\varphi(x_1, \dots, x_n)$ with $T \nvDash \forall \bar{x}(\psi(\bar{x}) \to \neg\varphi(\bar{x}))$. We conclude that $\Sigma_n$ is not isolated iff the isolated $n$-types are dense $\quad\square$

**Theorem 4.24.** *Suppose that $T$ is a complete theory in a countable language and $A \subseteq M \vDash T$ is countable. If $\left|S_n^{\mathcal{M}}(A)\right| < 2^{\aleph_0}$, then*

1. *the isolated types in $S_n^{\mathcal{M}}(A)$ are dense*

2. $\left|S_n^{\mathcal{M}}(A)\right| \leq \aleph_0$

*In particular, if $|S_n(T)| < 2^{\aleph_0}$, then $T$ has a prime model*

*Proof.*   1. We first prove that the isolated types are dense. Suppose that there is a formula $\phi$ s.t. $[\phi]$ contains no isolated types. Because $\phi$ does not isolate a type, we can find $\psi$ s.t. $[\phi \wedge \psi] \neq \emptyset$ and $[\phi \wedge \neg\psi] \neq \emptyset$. If we can't, then for all $\psi$, $[\phi \wedge \psi] = \emptyset$ or $[\phi \wedge \neg\psi] = \emptyset$. Thus $\vDash \neg(\phi \wedge \psi)$ or $\vDash \neg(\phi \wedge \neg\psi)$. Therefore either $\vDash \phi \to \psi$ or $\vDash \phi \to \neg\psi$ and $\phi$ is complete. Because $[\phi]$ does not contain an isolated type, neither does $[\phi \wedge \pm\psi]$

We build a binary tree of formulas $(\phi_\sigma : \sigma \in 2^{<\omega})$ s.t.

(a) each $[\phi_\sigma]$ is nonempty but contains no isolated types

(b) if $\sigma \subset \tau$, then $\phi_\tau \vDash \phi_\sigma$

(c) $\phi_{\sigma,i} \vDash \neg\phi_{\sigma,1-i}$

Let $\phi_\emptyset = \phi$ for some formula $\phi$ where $[\phi]$ contains no isolated types. Suppose that $[\phi_\sigma]$ is nonempty but contains no isolated types. As above, we can find $\psi$ s.t. $[\phi_\sigma \wedge \psi]$ and $[\phi_\sigma \wedge \neg\psi]$ are both nonempty and neither contains an isolated type. Let $\phi_{\sigma,0} = \phi \wedge \psi$ and $\phi_{\sigma,1} = \phi \wedge \neg\psi$

Let $f : \omega \to 2$. Because

$$[\phi_{f|0}] \supseteq [\phi_{f|1}] \supseteq [\phi_{f|2}] \supseteq \cdots$$

and $S_n^{\mathcal{M}}(A)$ is compact, there is

$$p_f \in \bigcap_{n=0}^{\infty} [\phi_{f|n}]$$

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If $g \neq f$, we can find $m$ s.t. $f|m = g|m$ but $f(m) \neq g(m)$. By construction, $\phi_{f|m+1} \vDash \neg\phi_{g|m+1}$; thus $p_f \neq p_g$. Because $f \mapsto p_f$ is a one-to-one function from $2^\omega$ into $S_n^{\mathcal{M}}(A)$, $\left|S_n^{\mathcal{M}}(A)\right| = 2^{\aleph_0}$

2. Suppose that $\left|S_n^{\mathcal{M}}(A)\right| > \aleph_0$. We claim that $\left|S_n^{\mathcal{M}}(A)\right| = 2^{\aleph_0}$. Because $\left|S_n^{\mathcal{M}}(A)\right| > \aleph_0$, and there are only countably many $\mathcal{L}_A$-formulas, there is a formula $\phi$ s.t. $|[\phi]| > \aleph_0$ as $S_n^{\mathcal{M}}(A) = \bigcup[\phi]$.

**Claim** if $|[\phi]| > \aleph_0$, there is an $\mathcal{L}_A$-formula $\psi$ s.t. $|[\phi \wedge \psi]| > \aleph_0$ and $|[\phi \wedge \neg\psi]| > \aleph_0$

Suppose not. Let $p = \{\psi(\bar{v}) : |[\phi \wedge \psi]| > \aleph_0\}$. $p$ is complete since $[\phi] = [\phi \wedge \psi] \cup [\phi \wedge \neg\psi]$. We claim that $p$ is satisfiable. Suppose $\psi_1, \dots, \psi_m \in p$. Either $\psi_1 \wedge \cdots \wedge \psi_m \in p$, in which case $\{\psi_1, \dots, \psi_m\} \cup \mathrm{Th}_A(\mathcal{M})$ is satisfiable, or $\neg\psi_1 \vee \cdots \vee \neg\psi_m \in p$. Because

$$[\neg\psi_1 \vee \cdots \vee \neg\psi_m] = [\neg\psi_1] \cup \cdots \cup [\neg\psi_m]$$

We must have $|[\phi \wedge \neg\psi_i]| > \aleph_0$ for some $i$, a contradiction. Thus $p \in S_n^{\mathcal{M}}(A)$. Moreover, if $\psi \notin p$, then $[\phi \wedge \psi] \leq \aleph_0$. But

$$[\phi] = \bigcup_{\psi \notin p}[\phi \wedge \psi] \cup \{p\}$$

(Consider $[\phi] \setminus \bigcup_{\psi \notin p}[\phi \wedge \psi]$, which is exactly $p$) Because $[\phi]$ is the union of at most $\aleph_0$ sets each of size at most $\aleph_0$, we have $|[\phi]| \leq \aleph_0$, a contradiction.

We build a binary tree of formulas $(\phi_\sigma : \sigma \in 2^{<\omega})$ s.t.

(a) if $\sigma \subset \tau$, then $\phi_\tau \vDash \phi_\sigma$

(b) $\phi_{\sigma,i} \vDash \neg\phi_{\sigma,1-i}$

(c) $|[\phi_\sigma]| > \aleph_0$

Let $\phi_\emptyset = \phi$ for some $\phi$ with $|[\phi]| > \aleph_0$. Given $\phi_\sigma$ where $|[\phi_\sigma]| > \aleph_0$, by the chain we can find $\psi$ s.t. $|[\phi_\sigma \wedge \psi]| > \aleph_0$ and $|[\phi_\sigma \wedge \neg\psi]| > \aleph_0$. Let $\phi_{\sigma,0} = \phi_\sigma \wedge \psi$ and $\phi_{\sigma,1} = \phi_\sigma \wedge \neg\psi$

As in 1, for each $f \in 2^\omega$ there is a

$$p_f \in \bigcap_{m=0}^{\infty} [\phi_{f|m}]$$

and if $f \neq g$, then $p_f \neq p_g$. Thus $\left|S_n^{\mathcal{M}}(A)\right| = 2^{\aleph_0}$

$\square$

### 4.2.2 Countable Homogeneous Models

Our next goal is to show that prime models are unique up to isomorphism

**Definition 4.25.** Let $\kappa$ be an infinite cardinal. We say that $\mathcal{M} \vDash T$ is $\kappa$-**homogeneous** if whenever $A \subset M$ with $|A| < \kappa$, $f : A \to M$ is a partial elementary map, and $a \in M$, there is $f^* \supseteq f$ s.t. $f^* : A \cup \{a\} \to M$ is partial elementary
We say that $\mathcal{M}$ is **homogeneous** if it is $|M|$-homogeneous

In homogeneous models, partial elementary maps are just restrictions of automorphisms

**Proposition 4.26.** *Suppose that $\mathcal{M}$ is homogeneous, $A \subset M$, $|A| < |M|$, and $f : A \to M$ is a partial elementary map. Then there is an automorphism $\sigma$ of $\mathcal{M}$ with $\sigma \supseteq f$.*
*In particular, if $\mathcal{M}$ is homogeneous and $\bar{a}, \bar{b} \in M^n$ realize the same $n$-type, then there is an automorphism $\sigma$ of $\mathcal{M}$ with $\sigma(\bar{a}) = \bar{b}$*

*Proof.* Let $|M| = \kappa$ and let $(a_\alpha : \alpha < \kappa)$ be an enumeration of $M$. We build a sequence of partial elementary maps $(f_\alpha : \alpha < \kappa)$ extending $f$ with $f_\alpha \subseteq f_\beta$ for $\alpha < \beta$ s.t. $a_\alpha$ is in the domain and image of $f_{\alpha+1}$ and $|f_{\alpha+1}| \le |f_\alpha| + 2 < \kappa$. Then $\sigma = \bigcup_{\alpha < \kappa} f_\alpha$ is the desired automorphism. Let $f_0 = f$.
If $\alpha$ is a limit ordinal and $f_\beta$ is partial elementary with

$$|f_\beta| \le |A| + |\beta| + \aleph_0 < \kappa$$

for all $\beta < \alpha$, let $f_\alpha = \bigcup_{\beta < \alpha} f_\beta$. Then $f_\alpha$ is partial elementary and

$$|f_\alpha| \le |\alpha|(|A| + |\alpha| + \aleph_0) \le |A| + |\alpha| + \aleph_0 < \kappa$$

Given $f_\alpha$ with $|f_\alpha| < \kappa$, because $\mathcal{M}$ is homogeneous, there is $b \in M$ s.t. if $g_\alpha = f_\alpha \cup \{(a_\alpha, b)\}$, then $g_\alpha$ is partial elementary. Note that $g_\alpha^{-1}$ is also partial elementary. Thus there is $c \in M$ s.t. $g_\alpha^{-1} \cup \{(a_\alpha, c)\}$ is partial elementary. Thus $f_{\alpha+1} = g_\alpha \cup \{(c, a_\alpha)\}$ is partial elementary, $|f_{\alpha+1}| \le |f_\alpha| + 2 \le |A| + |\alpha| + \aleph_0$ and $a_\alpha$ is in the domain and range of $f_{\alpha+1}$ $\qquad \square$

If $\mathcal{M}$ is homogeneous and $\mathrm{tp}^{\mathcal{M}}(\bar{a}) = \mathrm{tp}^{\mathcal{M}}(\bar{b})$, then $\bar{a} \mapsto \bar{b}$ is a partial elementary map that must extend to an automorphism

**Lemma 4.27.** *If $\mathcal{M}$ is atomic, then $\mathcal{M}$ is $\aleph_0$-homogeneous. In particular, countable atomic models are homogeneous*

*Proof.* Suppose that $\bar{a} \mapsto \bar{b}$ is elementary and $c \in M$. Let $\phi(\bar{v}, w)$ isolate $\text{tp}^{\mathcal{M}}(\bar{a}, c)$. Because $\mathcal{M} \vDash \exists w \, \phi(\bar{a}, w)$ and $\bar{a} \mapsto \bar{b}$ is elementary, $\mathcal{M} \vDash \exists w \, \phi(\bar{b}, w)$. Suppose that $\mathcal{M} \vDash \phi(\bar{b}, d)$. Because $\phi(\bar{v}, w)$ isolates a type, $\text{tp}^{\mathcal{M}}(\bar{a}, c) = \text{tp}^{\mathcal{M}}(\bar{b}, d)$. Thus $\bar{a}, c \mapsto \bar{b}, d$ is elementary $\qquad\square$

**Theorem 4.28.** *Let $T$ be a complete theory in a countable language. Suppose that $\mathcal{M}$ and $\mathcal{N}$ are countable homogeneous models of $T$ and $\mathcal{M}$ and $\mathcal{N}$ realize the same types in $S_n(T)$ for $n \geq 1$. Then $\mathcal{M} \cong \mathcal{N}$.*

*Proof.* We build an isomorphism $f : \mathcal{M} \to \mathcal{N}$ by a back-and-forth argument. We will build $f_0 \subset f_1 \subset \cdots$ a sequence of partial elementary maps with finite domain, and let $f = \bigcup_{i=0}^{\infty} f_i$. Let $a_0, a_1, \dots$ enumerate $M$ and $b_0, b_1, \dots$ enumerate $N$. We will ensure that $a_i \in \text{dom}(f_{2i+1})$ and $b_i \in \text{im}(f_{2i+2})$.

 <u>stage 0</u>: Let $f_0 = \emptyset$. Because $T$ is complete $f_0$ is partial elementary

 We inductively assume that $f_s$ is partial elementary. Let $\bar{a}$ be the domain of $f_s$ and $\bar{b} = f_s(\bar{a})$

 <u>stage $s + 1 = 2i + 1$</u>: Let $p = \text{tp}^{\mathcal{M}}(\bar{a}, a_i)$. Because $\mathcal{M}$ and $\mathcal{N}$ realize the same types, we can find $\bar{c}, d \in N$ s.t. $\text{tp}^{\mathcal{N}}(\bar{c}, d) = p$. Note that $\text{tp}^{\mathcal{N}}(\bar{c}) = \text{tp}^{\mathcal{M}}(\bar{a})$ by choice of $\bar{c}$ and $\text{tp}^{\mathcal{M}}(\bar{a}) = \text{tp}^{\mathcal{N}}(\bar{b})$ because $f_s$ is partial elementary. Thus $\text{tp}^{\mathcal{N}}(\bar{c}) = \text{tp}^{\mathcal{N}}(\bar{b})$. Because $\mathcal{N}$ is homogeneous, there is $e \in N$ s.t. $\text{tp}^{\mathcal{N}}(\bar{b}, e) = \text{tp}^{\mathcal{N}}(\bar{c}, d) = p$. Thus $f_{s+1} = f_s \cup \{(a_i, e)\}$ is partial elementary with $a_i$ in the domain

 <u>stage $s + 1 = 2i + 2$</u>: the same $\qquad\square$

**Corollary 4.29.** *Let $T$ be a complete theory in a countable language. If $\mathcal{M}$ and $\mathcal{N}$ are prime models of $T$, then $\mathcal{M} \cong \mathcal{N}$*

*Proof.* By Theorem 4.20, $\mathcal{M}$ and $\mathcal{N}$ are atomic. Because the types in $S_n(T)$ realized in an atomic model are exactly the isolated types, $\mathcal{M}$ and $\mathcal{N}$ realize the same types. By Lemma 4.27, countable atomic models are homogeneous. Thus by Theorem 4.28 $\mathcal{M} \cong \mathcal{N}$ $\qquad\square$

### 4.2.3 Prime Model Extensions of $\omega$-Stable Theories

Suppose that $\mathcal{M} \vDash T$ and $A \subseteq M$. We say that $\mathcal{M}$ is **prime over** $A$ if whenever $\mathcal{N} \vDash T$ and $f : A \to \mathcal{N}$ is partial elementary, there is an elementary $f^* : \mathcal{M} \to \mathcal{N}$ extending $f$

 Let $L$ be any linear order. We build $L^* \vDash$ DLO prime over $L$ as follows. If $L$ has a least element $a$, add a copy of $\mathbb{Q}$ below $a$. If $L$ has a greatest element $b$, add a copy of $\mathbb{Q}$ above $b$. If $c, d \in L$ with $c < d$ but there are no element of $L$ between $c$ and $d$, add a copy of $\mathbb{Q}$ between $c$ and $d$. We add no new

elements. Then $L^* \vDash$ DLO and that if $f : L \to \mathcal{M} \vDash$ DLO, then $f$ extends to $f^* : L^* \to \mathcal{M}$. Because DLO has quantifier elimination, it is model-complete and $f^*$ is elementary

For ACF, if $R$ is any integral domain and $F$ is the algebraic closure of the fraction field of $R$, then $F$ is prime over $R$ and any embedding of $R$ into an algebraically closed field $K$ extends to $F$. Because ACF is model-complete, this map is elementary

**Definition 4.30.** Let $T$ be a complete theory in a countable language, and let $\kappa$ be an infinite cardinal. We say that $T$ is $\kappa$-**stable** if whenever $\mathcal{M} \vDash T$, $A \subseteq M$ and $|A| = \kappa$, then $\left| S_n^{\mathcal{M}}(A) \right| = \kappa$

We say that $\mathcal{M}$ is $\kappa$-**stable** if $\mathrm{Th}(\mathcal{M})$ is $\kappa$-stable

By Corollary **??** ACF is $\omega$-stable. On the other hand, $\left| S_1^{\mathbb{Q}}(\mathbb{Q}) \right| = 2^{\aleph_0}$ so DLO is not $\omega$-stable

**Theorem 4.31.** *Let $T$ be a complete theory in a countable language. If $T$ is $\omega$-stable, then $T$ is $\kappa$-stable for all infinite cardinals $\kappa$*

*Proof.* Suppose that $\mathcal{M} \vDash T$, $A \subseteq M$, $|A| = \kappa$ and $\left| S_n^{\mathcal{M}}(A) \right| > \kappa$. Because there are only $\kappa$ formulas with parameters from $A$, there is some $\mathcal{L}_A$-formula $\phi_\emptyset(\bar{v})$ s.t. $\|[\phi_\emptyset]\| > \kappa$ as $S_n^{\mathcal{M}}(A) = \bigcup [\phi]$ where $\phi$ is consistent with $\mathrm{Th}_A(\mathcal{M})$. The argument from Theorem 4.24 (2) can be extended to show that if $\|[\phi]\| > \kappa$ there is an $\mathcal{L}_A$-formula $\psi$ s.t. $\|[\phi \wedge \psi]\| > \kappa$ and $\|[\phi \wedge \neg\psi]\| > \kappa$

Then we build a binary tree of formulas $(\phi_\sigma : \sigma \in 2^{<\omega})$ s.t.

1. if $\sigma \subset \tau$ then $\phi_\tau \vDash \phi_\sigma$

2. $\phi_{\sigma,i} \vDash \neg\phi_{\sigma,1-i}$

3. $\|[\phi_\sigma]\| > \kappa$

Let $A_0$ be set of all parameters from $A$ occurring in any formula $\phi_\sigma$. $A_0$ is countable. Arguing as in Theorem 4.24 (2) $\left| S_n^{\mathcal{M}}(A_0) \right| = 2^{\aleph_0}$, contradicting the $\omega$-stability of $T$ $\qquad\square$

*Remark.* As long as we make some property $P$ coherent for $\phi$, $\phi \wedge \neg\psi$ and $\phi \wedge \psi$, we can use the technique to make a $\omega$-length tree and get something $\left| S_n^{\mathcal{M}}(A) \right| = 2^{\aleph_0}$

**Proposition 4.32.** *Let $T$ be a complete theory in a countable language. If $T$ is $\omega$-stable, then for all $\mathcal{M} \vDash T$ and $A \subseteq M$, the isolated types in $S_n^{\mathcal{M}}(T)$ are dense*

*Proof.* Suppose not. We can build a binary tree of formulas as in Theorem 4.24 (1). As in Theorem 4.31, we can find a countable $A_0 \subseteq A$ s.t. all parameters come from $A_0$. But then $\left|S_n^{\mathcal{M}}(A_0)\right| = 2^{\aleph_0}$, contradicting the $\omega$-stability $\qquad\square$

**Theorem 4.33.** *Suppose that $T$ is $\omega$-stable. Let $\mathcal{M} \vDash T$ and $A \subseteq M$. There is $\mathcal{M}_0 \prec \mathcal{M}$, a prime model extension of $A$. Moreover, we can choose $\mathcal{M}_0$ s.t. every element of $\mathcal{M}_0$ realizes an isolated type over $A$*

*Proof.* We will find an ordinal $\delta$ and build a sequence of sets $(A_\alpha : \alpha \leq \delta)$ where $A_\alpha \subseteq M$ and

1. $A_0 = A$

2. if $\alpha$ is a limit ordinal, then $A_\alpha = \bigcup_{\beta < \alpha} A_\beta$

3. if no element of $M \setminus A_\alpha$ realizes an isolated type over $A_\alpha$, we stop and let $\delta = \alpha$; otherwise, pick $a_\alpha$ realizing an isolated type over $A_\alpha$, and let $A_{\alpha+1} = A_\alpha \cup \{a_\alpha\}$.

Let $\mathcal{M}_0$ be the substructure of $\mathcal{M}$ with universe $A_\delta$
**Claim 1** $\mathcal{M}_0 \prec \mathcal{M}$.
We apply the Tarski-Vaught test. Suppose that $\mathcal{M} \vDash \exists v \phi(v, \bar{a})$, where $\bar{a} \in A_\delta$. By Proposition 4.32, the isolated types in $S^{\mathcal{M}}(A_\delta)$ are dense. Thus, there is $b \in M$ s.t. $\mathcal{M} \vDash \phi(b, \bar{a})$ and $\text{tp}^{\mathcal{M}}(b/A_\delta)$ is isolated. <span style="color:red">($\phi(x, \bar{a})$ is contained in an isolated type, and isolated type is realised in $\mathcal{M}$)</span> By Choice of $\delta$, $b \in A_\delta$. Thus by Proposition 2.29, $\mathcal{M}_0 \prec \mathcal{M}$
**Claim 2** $\mathcal{M}_0$ is a prime model extension of $A$
Suppose that $\mathcal{N} \vDash T$ and $f : A \to \mathcal{N}$ is partial elementary. We show by induction that there are $f = f_0 \subset \cdots \subset f_\alpha \subset \cdots \subset f_\delta$ where $f_\alpha : A_\alpha \to \mathcal{N}$ is elementary
if $\alpha$ is a limit ordinal, we let $f_\alpha = \bigcup_{\beta < \alpha} f_\beta$

Given $f_\alpha : A_\alpha \to \mathcal{N}$ partial elementary, $\phi(v, \bar{a})$ isolate $\text{tp}^{\mathcal{M}_0}(a_\alpha/A_\alpha)$. Because $f_\alpha$ is partial elementary, by Lemma 4.9 (3), $\phi(v, f_\alpha(\bar{a}))$ isolates $f_\alpha(\text{tp}^{\mathcal{M}}(a_\alpha/A_\alpha))$ in $S_1^{\mathcal{N}}(f_\alpha(A))$. Also, because $f_\alpha$ is partial elementary, there is $b \in N$ with $\mathcal{N} \vDash \phi(b, f_\alpha(\bar{a}))$. Thus $f_{\alpha+1} = f_\alpha \cup \{(a_\alpha, b)\}$ is elementary

In particular, $f_\delta : \mathcal{M}_0 \to \mathcal{N}$ is elementary. Thus $\mathcal{M}_0$ is a prime model extension of $A$ $\qquad\square$

<span style="color:red">So the isolated types are dense in the sense of build elementary maps?</span>

**Lemma 4.34.** *Suppose that $A \subseteq B \subseteq \mathcal{M} \vDash T$ and every $\bar{b} \in B^m$ realizes an isolated type in $S_m^{\mathcal{M}}(A)$. Suppose that $\bar{a} \in M^n$ realizes an isolated type in $S_n^{\mathcal{M}}(B)$. Then $\bar{a}$ realizes an isolated type in $S_n^{\mathcal{M}}(A)$*

*Proof.* Let $\phi(\bar{v}, \bar{w})$ be an $\mathcal{L}$-formula and $\bar{b} \in B^m$ s.t. $\phi(\bar{v}, \bar{b})$ isolates $\mathrm{tp}^{\mathcal{M}}(\bar{a}/B)$. Let $\theta(\bar{w})$ be an $\mathcal{L}_A$-formula isolating $\mathrm{tp}^{\mathcal{M}}(\bar{b}/A)$. We first claim that $\phi(\bar{v}, \bar{w}) \wedge \theta(\bar{w})$ isolates $\mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$

Suppose that $\mathcal{M} \vDash \psi(\bar{a}, \bar{b})$. Because $\phi(\bar{v}, \bar{b})$ isolates $\mathrm{tp}^{\mathcal{M}}(\bar{a}/B)$

$$\mathrm{Th}_A(\mathcal{M}) \vDash \forall \bar{v}(\phi(\bar{v}, \bar{b}) \rightarrow \psi(\bar{v}, \bar{b}))$$

Thus, because $\theta(\bar{w})$ isolates $\mathrm{tp}^{\mathcal{M}}(\bar{b}/A)$

$$\mathrm{Th}_A(\mathcal{M}) \vDash \forall \bar{w}(\theta(\bar{w}) \rightarrow \forall \bar{v}(\phi(\bar{v}, \bar{w}) \rightarrow \psi(\bar{v}, \bar{w})))$$

and

$$\mathrm{Th}_A(\mathcal{M}) \vDash \forall \bar{w} \forall \bar{v}(\theta(\bar{w}) \wedge \phi(\bar{v}, \bar{w}) \rightarrow \psi(\bar{v}, \bar{w}))$$

as desired

Because $\mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$ is isolated, so is $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A)$ by Lemma 4.21 $\qquad \square$

For $\omega$-stable theories (indeed, for theories that are $\kappa$-stable for some $\kappa$), prime model extensions are unique

**Theorem 4.35.** *Let $T$ be $\omega$-stable. Suppose that $\mathcal{M} \vDash T$ and $\mathcal{N} \vDash T$ are prime model extensions of $A$ and $\mathrm{Th}_A(\mathcal{M}) = \mathrm{Th}_A(\mathcal{N})$. Then there is $f : \mathcal{M} \rightarrow \mathcal{N}$, an isomorphism fixing $A$.*

## 4.3  Saturated and Homogeneous Models

Assume that $T$ is a complete theory with infinite models in a countable language $\mathcal{L}$

**Definition 4.36.** Let $\kappa$ be an infinite cardinal. $\mathcal{M} \vDash T$ is $\kappa$**-saturated** if for all $A \subseteq M$, if $|A| < \kappa$ and $p \in S_n^{\mathcal{M}}(A)$, then $p$ is realized in $\mathcal{M}$
$\mathcal{M}$ is **saturated** if it is $|\mathcal{M}|$-saturated

**Proposition 4.37.** *Let $\kappa \geq \aleph_0$. TFAE:*

1. *$\mathcal{M}$ is $\kappa$-saturated*

2. *if $A \subseteq M$ with $|A| < \kappa$ and $p$ is a (possibly incomplete) $n$-type over $A$, then $p$ is realized in $\mathcal{M}$*

3. *if $A \subseteq M$ with $|A| < \kappa$ and $p \in S_1^{\mathcal{M}}(A)$, then $p$ is realized in $\mathcal{M}$*

*Proof.* $3 \to 1$. Induction on $n$. Let $p \in S_n^{\mathcal{M}}(A)$. Let $q \in S_{n-1}^{\mathcal{M}}(A)$ be the type $\{\phi(v_1, \dots, v_{n-1}) : \phi \in p\}$. By induction, $\mathcal{M} \vDash q(\bar{a})$ for some $\bar{a}$. Let $r \in S_1^{\mathcal{M}}(A \cup \{a_1, \dots, a_{n-1}\})$ be the type $\{\psi(\bar{a}, w) : \psi(v_1, \dots, v_n) \in p\}$. Hence we can realize $r$ by some $b$. Then $(\bar{a}, b)$ realizes $p$ $\qquad \square$

Homogeneity is a weak form of saturation

**Proposition 4.38.** *If $\mathcal{M}$ is $\kappa$-saturated, then $\mathcal{M}$ is $\kappa$-homogeneous*

*Proof.* Suppose that $A \subseteq M$, $|A| < \kappa$ and $f : A \to M$ is partial elementary. Let $b \in M \setminus A$. Let

$$\Gamma = \{\phi(v, f(\bar{a})) : \bar{a} \in A^m \wedge \mathcal{M} \vDash \phi(b, \bar{a})\}$$

If $\phi(v, f(\bar{a})) \in \Gamma$, then $\mathcal{M} \vDash \exists v \, \phi(v, \bar{a})$ and hence, because $f$ is partial elementary, $\mathcal{M} \vDash \exists v \, \phi(v, f(\bar{a}))$. Thus because $\Gamma$ is closed under conjunctions, $\Gamma$ is satisfiable (guess by compactness). Because $\mathcal{M}$ is saturated, there is $c \in M$ realizing $\Gamma$. Thus $f \cup \{(b, c)\}$ is elementary and $\mathcal{M}$ is $\kappa$-homogeneous $\qquad \square$

### 4.3.1 Countably Saturated Models

If $\mathcal{M}$ is $\aleph_0$-saturated, then $\mathcal{M}$ realizes every type in $S_n(T)$

**Proposition 4.39.** *If $\mathcal{M} \vDash T$, then $\mathcal{M}$ is $\aleph_0$-saturated iff $\mathcal{M}$ is $\aleph_0$-homogeneous and $\mathcal{M}$ realizes all types in $S_n(T)$*

*Proof.* Since $T$ is complete, $S_n(T) = S_n^{\mathcal{M}}(\emptyset)$

$\Leftarrow$. Let $\bar{a} \in M^m$ and let $p \in S_n^{\mathcal{M}}(\bar{a})$. Let $q \in S_{n+m}(T)$ be the type $\{\phi(\bar{v}, \bar{w}) : \phi(\bar{v}, \bar{a}) \in p\}$. By assumption, there is $(\bar{b}, \bar{c}) \in M^{n+m}$ realizing $q$. Because $\text{tp}^{\mathcal{M}}(\bar{c}) = \text{tp}^{\mathcal{M}}(\bar{a})$ as they realize the same type and $\mathcal{M}$ is $\aleph_0$-homogeneous, there is $\bar{d} \in \mathcal{M}$ s.t. $\text{tp}^{\mathcal{M}}(\bar{a}, \bar{d}) = \text{tp}^{\mathcal{M}}(\bar{c}, \bar{b})$. Hence $\bar{d}$ realizes $p$ and $\mathcal{M}$ is $\aleph_0$-saturated $\qquad \square$

**Corollary 4.40.** *If $\mathcal{M}, \mathcal{N} \vDash T$ are countable saturated models, then $\mathcal{M} \cong \mathcal{N}$*

*Proof.* Because $\mathcal{M}$ and $\mathcal{N}$ are $\aleph_0$-homogeneous and both realize all types in $S_n(T)$ for all $n < \omega$, by Theorem 4.28 $\mathcal{M} \cong \mathcal{N}$ $\qquad \square$

We can extend models to $\aleph_0$-homogeneous models without increasing the cardinality

**Proposition 4.41.** *Let $\mathcal{M} \vDash T$. There is $\mathcal{M} \prec \mathcal{N}$ s.t. $\mathcal{N}$ is $\aleph_0$-homogeneous and $|N| = |M|$*

*Proof.* We first argue that we can find $\mathcal{M} \prec \mathcal{N}_1$ s.t. $|M| = |N_1|$, and if $\bar{a}, \bar{b}, c \in M$ and $\mathrm{tp}^{\mathcal{M}}(\bar{a}) = \mathrm{tp}^{\mathcal{M}}(\bar{b})$, then there is $d \in N_1$ s.t. $\mathrm{tp}^{\mathcal{N}_1}(\bar{a}, c) = \mathrm{tp}^{\mathcal{N}_1}(\bar{b}, d)$

Let $(\bar{a}_\alpha, \bar{b}_\alpha, c_\alpha) : \alpha < |M|$ list all tuples $(\bar{a}, \bar{b}, c)$ where $\bar{a}, \bar{b}, c \in M$ and $\mathrm{tp}^{\mathcal{M}}(\bar{a}) = \mathrm{tp}^{\mathcal{M}}(\bar{b})$. We build an elementary chain $\mathcal{M}_0 \prec \mathcal{M}_1 \prec \cdots \prec \mathcal{M}_\alpha \prec \cdots$ for $\alpha < |M|$

Let $\mathcal{M}_0 = \mathcal{M}$

If $\alpha$ is a limit ordinal, let $\mathcal{M}_\alpha = \bigcup_{\beta < \alpha} \mathcal{M}_\beta$

Given $\mathcal{M}_\alpha$, let $\mathcal{M}_\alpha \prec \mathcal{M}_{\alpha+1}$ with $|M_\alpha| = |M_{\alpha+1}|$ s.t. there is $d \in M_\alpha$ with $\mathrm{tp}^{\mathcal{M}_{\alpha+1}}(\bar{b}, d) = \mathrm{tp}^{\mathcal{M}_{\alpha+1}}(\bar{a}, c)$. First we should note that $\mathrm{tp}^{\mathcal{M}_{\alpha+1}}(\bar{a}, c) = \mathrm{tp}^{\mathcal{M}_\beta}(\bar{a}, c)$ for any $\beta < \alpha + 1$. Let $p(x) = \{\phi(\bar{b}, x) : \phi(\bar{v}, w) \in \mathrm{tp}^{\mathcal{M}}(\bar{a}, c)\}$. $p \cup \mathrm{Th}(\mathcal{M})$ is finitely satisfiable since for each $\phi(\bar{b}, x) \in p(x)$, $\mathcal{M} \vDash \exists x \phi(\bar{b}, x)$ and $p$ is closed under conjunction. Thus $p(x)$ is a type, thus is realized in an elementary extension of $\mathcal{M}_{\alpha+1}$.

Let $\mathcal{N}_1 = \bigcup_{\alpha < |M|} \mathcal{M}_\alpha$. Because $\mathcal{N}_1$ is a union of $|M|$ models of size $|M|$, $|N_1| = |M|$

We now build $\mathcal{N}_0 \prec \mathcal{N}_1 \prec \cdots$ s.t. $|N_i| = |M|$ and if $\bar{a}, \bar{b}, c \in N$ and $\mathrm{tp}^{\mathcal{N}_i}(\bar{a}) = \mathrm{tp}^{\mathcal{N}_i}(\bar{b})$, then there is $d \in N_{i+1}$ s.t. $\mathrm{tp}^{\mathcal{N}_{i+1}}(\bar{a}, c) = \mathrm{tp}^{\mathcal{N}_{i+1}}(\bar{b}, d)$

Let $\mathcal{N} = \bigcup_{i < \omega} \mathcal{N}_i$. Clearly $|N| = |M|$ and $\mathcal{N}$ is $\aleph_0$-homogeneous $\qquad \square$

Propositions 4.40 and 4.41 allows us to characterize theories with countable saturated models

**Theorem 4.42.** *$T$ has a countable saturated model iff $|S_n(T)| \leq \aleph_0$ for all $n$*

*Proof.* $\Rightarrow$. If $T$ has a countable saturated model $\mathcal{M}$, by Proposition 4.39 $\mathcal{M}$ realizes all types in $S_n(T)$, but there are only countably many possibilities.

$\Leftarrow$. Let $p_0, p_1, \ldots$ list all elements of $\bigcup_{n \in \omega} S_n(T)$. Let $\mathcal{M}_0 \vDash T$. Iterating Proposition 4.3, we build $\mathcal{M}_0 \prec \mathcal{M}_1 \prec \cdots$ s.t. $\mathcal{M}_i$ is countable and $\mathcal{M}_{i+1}$ realizes $p_i$. Thus $\mathcal{M} = \bigcup_{i \in \omega} \mathcal{M}_i$ is countable and contains realizations of all types in $S_n(T)$ for $n < \omega$. By proposition 4.41, there is $\mathcal{M} \prec \mathcal{N}$ s.t. $\mathcal{N}$ is countable and $\aleph_0$-homogeneous. By Corollary 4.40 $\mathcal{N}$ is $\aleph_0$-saturated $\qquad \square$

**Corollary 4.43.**    *1. If $T$ has a countable saturated model, then $T$ has a prime model*

   *2. If $T$ has fewer than $2^{\aleph_0}$ countable models, then $T$ has a countable saturated model and a prime model*

*Proof.*    1. if $T$ has a countable saturated model, then $|S_n(T)|$ is countable for all $n$. By Theorem 4.24, the isolated types are dense in $S_n(T)$ for all $n$. Thus, by Theorem 4.23 $T$ has a prime model

2. It suffices to show that $S_n(T)$ is countable for all $n < \omega$. Suppose not. By Theorem 4.24, if $|S_n(T)| > \aleph_0$, then $|S_n(T)| = 2^{\aleph_0}$. Each $n$-type must be realized in some countable model. Because each countable model realizes only countably many $n$-types, if there are $2^{\aleph_0}$ $n$-types, then there must be $2^{\aleph_0}$ nonisomorphic countable models

$\square$

**Example 4.1** (Dense Linear Orders)**.** We will show that $(\mathbb{Q}, <)$ is saturated. Suppose $A \subset \mathbb{Q}$ is finite. Suppose that $A = \{a_1, \ldots, a_n\}$ where $a_1 < \cdots < a_n$. By the analysis of types in DLO, there are exactly $2m + 1$ types in $S_1(A)$. Each type is isolated by one of the formulas $v = a_i$, $v < a_0$, $a_i < v < a_{i+1}$, or $a_m < v$. Clearly all of these types are realized in $\mathbb{Q}$. Note that in this case $\mathbb{Q}$ is both saturated, atomic and prime.

### 4.3.2 Existence of Saturated Models

**Theorem 4.44.** *For all $\mathcal{M}$, there is a $\kappa^+$-saturated $\mathcal{M} \prec \mathcal{N}$ with $|N| \leq |M|^\kappa$*

We need $|M|^\kappa$ since $\kappa^+ \leq 2^\kappa \leq |M^\kappa|$. I guess

*Proof.* **Claim** For any $\mathcal{M}$ there is $\mathcal{M} \prec \mathcal{M}'$ s.t. $|M'| \leq |M|^\kappa$, and if $A \subseteq M$, $|A| \leq \kappa$ and $p \in S_1^{\mathcal{M}}(A)$, then $p$ is realized in $\mathcal{M}'$

We first note that

$$|\{A \subseteq M : |A| \leq \kappa\}| \leq |M|^\kappa$$

because for each such $A$ there is $f$ mapping $\kappa$ onto $A$. Also for each such $A$, $\left|S_1^{\mathcal{M}}(A)\right| \leq 2^\kappa$. Let $(p_\alpha : \alpha < |M|^\kappa)$ list all types in $S_1^{\mathcal{M}}(A)$ for $n < \omega$, $A \subseteq M$ with $|A| \leq \kappa$. We build an elementary chain $(\mathcal{M}_\alpha : \alpha < |M|^\kappa)$ as follows

1. $\mathcal{M}_0 = \mathcal{M}$

2. $\mathcal{M}_\alpha = \bigcup_{\beta < \alpha} \mathcal{M}_\beta$ for $\alpha$ a limit ordinal

3. $\mathcal{M}_\alpha \prec \mathcal{M}_{\alpha+1}$ with $|M_{\alpha+1}| = |M_\alpha|$, $\mathcal{M}_{\alpha+1}$ realizes $p_\alpha$. <span style="color:red">$p_\alpha$ is realized in an elementary extension of $\mathcal{M}_\alpha$ by $\bar{c}$. Then we get the $\mathcal{M}_{\alpha+1}$ by Löwenheim–Skolem Theorem..</span>

By induction we see that $|M_\alpha| \leq |M|^\kappa$. Let $\mathcal{M}' = \bigcup_{\alpha < |M|^\kappa} \mathcal{M}_\alpha$. Then $|M'| \leq |M|^\kappa$ and $\mathcal{M}'$ is the desired model.

We build an elementary chain $(\mathcal{N}_\alpha : \alpha < \kappa^+)$ s.t. each $|N_\alpha| \leq |M|^\kappa$ and

1. $\mathcal{N}_0 = \mathcal{M}$

2. $\mathcal{N}_\alpha = \bigcup_{\beta < \alpha} \mathcal{N}_\beta$ for $\alpha$ a limit ordinal

3. $\mathcal{N}_\alpha \prec \mathcal{N}_{\alpha+1}$, $|\mathcal{N}_\alpha| \leq |M|^\kappa$, and if $A \subseteq N_\alpha$ with $|A| \leq \kappa$ and $p \in S_n^{\mathcal{N}_\alpha}(A)$, then $p$ is realized in $\mathcal{N}_{\alpha+1}$. This is possible because, by induction
$$|N_\alpha|^\kappa \leq \left(|M|^\kappa\right)^\kappa = |M|^\kappa$$

Let $\mathcal{N} = \bigcup_{\alpha < \kappa^+} \mathcal{N}_\alpha$. Because $\kappa^+ \leq |M|^\kappa$, $N$ is the union of at most $|M|^\kappa$ sets of size $|M|^\kappa$ so $|N| \leq |M|^\kappa$. Suppose that $|A| \subseteq N$, $|A| \leq \kappa$, and $p \in S_n^{\mathcal{N}}(A)$. Because $\kappa^+$ is a regular cardinal, there is $\alpha < \kappa^+$ s.t. $\backslash(A \subset \underline{N}\alpha\backslash)\_$ and $p$ is realized in $\mathcal{N}_{\alpha+1} \prec \mathcal{N}$. Thus $\mathcal{N}$ is $\kappa^+$-saturated $\qquad \square$

**Corollary 4.45.** *Suppose that $2^\kappa = \kappa^+$. Then there is a saturated model of $T$ of size $\kappa^+$. In particular, if the Generalized Continuum Hypothesis is true, there are saturated models of size $\kappa^+$ for all $\kappa$*

If $|S_n(T)| = 2^{\aleph_0}$, then any $\aleph_0$-saturated model has size $2^{\aleph_0}$. If $\aleph_1 < 2^{\aleph_0}$, then there is no saturated mode of size $\aleph_1$

**Corollary 4.46.** *Suppose that $\kappa \geq \aleph_1$ is regular and $2^\lambda \leq \kappa$ for $\lambda < \kappa$. Then there is a saturated model of size $\kappa$. In particular, if $\kappa \geq \aleph_1$ is strongly inaccessible, then there is a saturated model of size $\kappa$*

*Proof.* Let $\mathcal{M} \vDash T$ with $|M| = \kappa$. If $\kappa = \lambda^+$ for $\lambda < \kappa$, then the corollary follows from Corollary 4.45. Thus we may assume that $\kappa$ is a limit cardinal. We build an elementary chain $(\mathcal{M}_\lambda : \lambda < \kappa, \lambda$ a cardinal$)$. Each $\mathcal{M}_\lambda$ will have cardinality $\kappa$. Let $\mathcal{M}_0 = \mathcal{M}$

Let $\mathcal{M}_\lambda = \bigcup_{\mu < \lambda} \mathcal{M}_\mu$ for $\lambda$ a limit cardinal. Because $\mathcal{M}_\alpha$ is the union of fewer than $\kappa$ models of size $\kappa$, $|M_\lambda| = \kappa$.

Given $\mathcal{M}_\lambda$, by Theorem 4.44 there is $\mathcal{M}_\lambda \prec \mathcal{M}_{\lambda^+}$ s.t. $\mathcal{M}$ is $\lambda^+$-saturated and $|M_{\lambda^+}| \leq \kappa^\lambda = \kappa$

Let $\mathcal{N} = \bigcup \mathcal{M}_\lambda$. Because $\kappa$ is a regular limit cardinal, $\kappa = \aleph_\kappa$. Thus because $\kappa$ is regular, if $A \subset N$ and $|A| < \kappa$, then there is $\lambda < \kappa$ s.t. $A \subset M_\lambda$. Thus, if $p \in S_n^{\mathcal{N}}(A)$, then $p$ is realized in $\mathcal{M}_{\lambda^+} \prec \mathcal{N}$ $\qquad \square$

The assumption of regularity is necessary for some $T$. For example, suppose that $\mathcal{M} \vDash$ DLO with $|M| = \aleph_\omega$. We claim that $\mathcal{M}$ is not saturated. Let $M = \bigcup_{n < \omega} M_n$ where $|M_n| = \aleph_n$. If $\mathcal{M}$ is saturated, then for each $n < \omega$, we can find $a_n \in M$ s.t. $a_n > b$ for all $b \in M_n$.

**Theorem 4.47.** *Let $\kappa$ be a regular cardinal. If $T$ is $\kappa$-stable, then there is a saturated $\mathcal{M} \vDash T$ with $|M| = \kappa$. Indeed, if $\mathcal{M}_0 \vDash T$ with $|M_0| = \kappa$, then there is a saturated elementary extension $\mathcal{M}$ of $\mathcal{M}_0$ with $|M| = \kappa$*

*In particular, if $T$ is $\omega$-stable, then there are saturated models of size $\kappa$ for all regular cardinals $\kappa$ (Theorem 4.31)*

*Proof.* We build an elementary chain $(\mathcal{M}_\alpha : \alpha < \kappa)$ where $|\mathcal{M}_\alpha| = \kappa$ s.t.

1. $\mathcal{M}_0 \vDash T$ with $|\mathcal{M}_0| = \kappa$

2. $\mathcal{M}_\alpha = \bigcup_{\beta < \alpha} \mathcal{M}_\beta$ for $\alpha$ a limit ordinal

3. $\mathcal{M}_\alpha \prec \mathcal{M}_{\alpha+1}$ and if $p \in S_1^{\mathcal{M}_\alpha}(M_\alpha)$, then $p$ is realized in $\mathcal{M}_{\alpha+1}$.

Because $T$ is $\kappa$-stable, if $|\mathcal{M}_\alpha| = \kappa$, then $\left| S_1^{\mathcal{M}_\alpha}(M_\alpha) \right| = \kappa$. Thus as in Theorem 4.44 we can find $\mathcal{M}_\alpha \prec \mathcal{M}_{\alpha+1}$ s.t. $|M_{\alpha+1}| = \kappa$ and $\mathcal{M}_{\alpha+1}$ realizes all types in $S_1^{\mathcal{M}_\alpha}(M_\alpha)$.

Let $\mathcal{M} = \bigcup \mathcal{M}_\alpha$. Because $\mathcal{M}$ is the union of $\kappa$ models of size $\kappa$, $|M| = \kappa$. We claim that $\mathcal{M}$ is saturated. Let $A \subset M$ with $|A| < \kappa$. Because $\kappa$ is regular, there is an $\alpha < \kappa$ s.t. $A \subseteq M_\alpha$. If $p \in S_1^{\mathcal{M}}(A)$, then there is $q \in S_1^{\mathcal{M}}(M_\alpha) = S_1^{\mathcal{M}_\alpha}(M_\alpha)$ with $p \subseteq q$. Because $q$ is realized in $\mathcal{M}_{\alpha+1}$, $p$ is realized in $\mathcal{M}$. Thus $\mathcal{M}$ is saturated. $\qquad\square$

### 4.3.3  Homogeneous and Universal Models

**Definition 4.48.** $\mathcal{M} \vDash T$ is $\kappa$**-universal** if for all $\mathcal{N} \vDash T$ with $|N| < \kappa$ there is an elementary embedding of $\mathcal{N}$ into $\mathcal{M}$

We say that $\mathcal{M}$ is **universal** if it is $|M|^+$-universal

**Lemma 4.49.** *Let $\kappa \geq \aleph_0$. If $\mathcal{M}$ is $\kappa$-saturated, then $\mathcal{M}$ is $\kappa^+$-universal*

*Proof.* Here, $T$ at least should contain $\text{Th}(\mathcal{M})$

Let $\mathcal{N} \vDash T$ with $|N| \leq \kappa$. Let $(n_\alpha : \alpha < \kappa)$ enumerate $N$. Let $A_\alpha = \{n_\beta : \beta < \alpha\}$. We build a sequence of partial elementary maps $f_0 \subset f_1 \subset \cdots \subset f_\alpha \subset \cdots$ for $\alpha < \kappa$ with $f_\alpha : A_\alpha \to \mathcal{M}$

Let $f_0 = \emptyset$. (Justification )

And if $\alpha$ is a limit ordinal, let $f_\alpha = \bigcup_{\beta < \alpha} f_\beta$

Given $f_\alpha : A_\alpha \to \mathcal{M}$ partial elementary, let

$$\Gamma(v) = \{\phi(v, f_\alpha(\bar{a})) : \mathcal{M} \vDash \phi(n_\alpha, \bar{a})\}$$

Because $f_\alpha$ is partial elementary and $|A_\alpha| < \kappa$, $\Gamma$ is satisfiable and, by $\kappa$-saturation, realized in some $b$ in $\mathcal{M}$. The $f_{\alpha+1} = f_\alpha \cup \{(n_\alpha, b)\}$ is the desired partial elementary map $\qquad\square$

**Theorem 4.50.** *Let $\kappa \geq \aleph_0$. The following are equivalent*

1. $\mathcal{M}$ *is $\kappa$-saturated*

2. $\mathcal{M}$ *is $\kappa$-homogeneous and $\kappa^+$-universal*

*If $\kappa \geq \aleph_1$, 1 and 2 also equivalent to*

3. $\mathcal{M}$ *is $\kappa$-homogeneous and $\kappa$-universal*

*Proof.* By Proposition 4.38 and Lemma 4.49, $1 \to 2$. Clearly $2 \to 3$

$2 \to 1$. Let $A \subseteq M$ with $|A| < \kappa$, and let $p \in S_1^{\mathcal{M}}(A)$. We can find $\mathcal{N} \vDash \mathrm{Th}_A(\mathcal{M})$ s.t. $A \subseteq N$ and there is $a \in N$ realizing $p$. If $\kappa = \aleph_0$, then we can choose $\mathcal{N}$ with $|N| = \aleph_0$. If $\kappa \geq \aleph_1$, then we choose $\mathcal{N}$ with $|N| < \kappa$. By assumption, there is an elementary embedding $f : \mathcal{N} \to \mathcal{M}$. Because $f|A$ is partial elementary, by $\kappa$-homogeneity, there is $b \in M$ s.t.

$$\mathrm{tp}^{\mathcal{M}}(b/A) = \mathrm{tp}^{\mathcal{M}}(f(a)/f(A)) = \mathrm{tp}^{\mathcal{N}}(a/A) = p$$

Thus $\mathcal{M}$ is $\kappa$-saturated

Note that $\mathcal{N}$ is built on $\mathcal{L}_A$. $\qquad\square$

**Corollary 4.51.** *$\mathcal{M}$ is saturated iff it is homogeneous and universal*

**Theorem 4.52.** *If $\mathcal{M}$ and $\mathcal{N}$ are saturated models of $T$ of cardinality $\kappa$, then $\mathcal{M} \cong \mathcal{N}$*

*Proof.* By Corollary 4.40 we may assume that $\kappa \geq \aleph_1$. Let $(m_\alpha : \alpha < \kappa)$ enumerate $\mathcal{M}$ and $(n_\alpha : \alpha < \kappa)$ enumerate $\mathcal{N}$. We build a sequence of partial embeddings $f_0 \subset \cdots \subset f_\alpha \cdots$ for $\alpha < \kappa$ s.t. $m_\alpha \in \mathrm{dom}(f_{\alpha+1})$ and $n_\alpha \in \mathrm{im}(f_{\alpha+1})$. Let $A_\alpha$ denote the domain of $f_\alpha$. We will have $|A_\alpha| \leq |\alpha| + \aleph_0 < \kappa$ for all $\alpha$

Let $f_0 = \emptyset$ WTF? $\qquad\square$

### 4.3.4   Vaught's Two-Cardinal Theorem

<span style="color:red">Tent's is better on this topic□</span>

If $\mathcal{M}$ is an $\mathcal{L}$-structure and $\phi(v_1, \ldots, v_n)$ is an $\mathcal{L}$-formula, we let $\phi(\mathcal{M}) = \{\bar{x} \in M^n : \mathcal{M} \vDash \phi(\bar{x})\}$

**Definition 4.53.** Let $\kappa > \lambda \geq \aleph_0$. We say that an $\mathcal{L}$-theory $T$ has a $(\kappa, \lambda)$-**model** if there is $\mathcal{M} \vDash T$ and $\phi(\bar{v})$ an $\mathcal{L}$-formula s.t. $|M| = \kappa$ and $|\phi(\mathcal{M})| = \lambda$

$(\kappa, \lambda)$-models are an obstruction to $\kappa$-categoricity. If $T$ is a theory in a countable language with infinite models, then an easy compactness argument shows that there is $\mathcal{M} \vDash T$ of cardinality $\kappa$ where every $\emptyset$-definable subsets of $\mathcal{M}$ has cardinality $\kappa$. Guess add $\kappa$ constants, and partition constants into $\omega$ groups of $\kappa$ constants. This is finitely satisfiable. If $T$ also has a $(\kappa, \lambda)$-model, then $T$ is not $\kappa$-categorical. Out main goal is the following theorem of Vaught

**Theorem 4.54.** *If $T$ has a $(\kappa, \lambda)$-model where $\kappa > \lambda \geq \aleph_0$, then $T$ has an $(\aleph_1, \aleph_0)$-model*

**Definition 4.55.** We say that $(\mathcal{N}, \mathcal{M})$ is a **Vaughtian pair** of models of $T$ if $\mathcal{M} \prec \mathcal{N}$, $M \neq N$ and there is an $\mathcal{L}_M$-formula $\phi$ s.t. $\phi(\mathcal{M})$ is infinite and $\phi(\mathcal{M}) = \phi(\mathcal{N})$

For example, if $\mathcal{M}$ and $\mathcal{N}$ are nonstandard models of Peano arithmetic and $\mathcal{N}$ is a proper elementary end extension of $\mathcal{M}$, then $(\mathcal{N}, \mathcal{M})$ is a Vaughtian pair. If $a$ is any infinite element of $\mathcal{M}$, then the formula $v < a$ defines an infinite set containing no elements of $N \setminus M$

**Lemma 4.56.** *If $T$ has a $(\kappa, \lambda)$-model where $\kappa > \lambda \geq \aleph_0$, then there is $(\mathcal{N}, \mathcal{M})$ a Vaughtian pair of models of $T$*

*Proof.* Let $\mathcal{N}$ be a $(\kappa, \lambda)$-model. Suppose that $X = \phi(\mathcal{N})$ has cardinality $\lambda$. By the Löwenheim–Skolem Theorem, there is $\mathcal{M} \prec \mathcal{N}$ s.t. $X \subseteq M$ and $|M| = \lambda$. $\qquad \square$

We would like to show that if there is a Vaughtian pair, then there is a Vaughtian pair of countable models.

Let $\mathcal{L}^* = \mathcal{L} \cup \{U\}$, where $U$ is a unary predicate symbol. If $\mathcal{M} \subseteq \mathcal{N}$ are $\mathcal{L}$-structures, we consider the pair $(\mathcal{N}, \mathcal{M})$ as an $\mathcal{L}^*$-structure by interpreting $U$ as $M$

If $\phi(v_1, \dots, v_n)$ is an $\mathcal{L}$-formula, we define $\phi^U(\bar{v})$, the restriction of $\phi$ to $U$, inductively as follows:

1. if $\phi$ is atomic, then $\phi^U$ is $U(v_1) \wedge \cdots \wedge U(v_n) \wedge \phi$

2. if $\phi$ is $\neg \psi$, then $\phi^U$ is $\neg \psi^U$

3. if $\phi$ is $\psi \wedge \theta$, then $\phi^U$ is $\psi^U \wedge \theta^U$

4. if $\phi$ is $\exists v \, \psi$, then $\phi^U$ is $\exists v \, U(v) \wedge \psi^U$

If $\mathcal{M} \subset \mathcal{N}$, $\bar{a} \in M^k$ and we view $(\mathcal{N}, \mathcal{M})$ as an $\mathcal{L}^*$-structure, then $\mathcal{M} \vDash \phi(\bar{a})$ iff $(\mathcal{N}, \mathcal{M}) \vDash \phi^U(\bar{a})$

guess $U(v)$ iff $v \in M$.

**Lemma 4.57.** *If $(\mathcal{N}, \mathcal{M})$ is a Vaughtian pair for $T$, then there is a Vaughtian pair $(\mathcal{N}_0, \mathcal{M}_0)$ where $\mathcal{N}_0$ is countable*

*Proof.* Let $\phi$ be an $\mathcal{L}_M$-formula s.t. $\phi(\mathcal{M})$ is infinite and $\phi(\mathcal{M}) = \phi(\mathcal{N})$. Let $\overline{m}_0$ be the parameters from $M$ occuring in $\phi$. By the Löwenheim–Skolem Theorem, there is $(\mathcal{N}_0, \mathcal{M}_0)$ a countable $\mathcal{L}^*$-structure s.t. $\overline{m} \in M_0$ and $(\mathcal{N}_0, \mathcal{M}_0) \prec (\mathcal{N}, \mathcal{M})$. Because $\mathcal{M} \prec \mathcal{N}$, for any formula $\psi(v_1, \dots, v_k)$

$$(\mathcal{N}, \mathcal{M}) \vDash \forall \bar{v} \left( \left( \bigwedge_{i=1}^{k} U(v_i) \wedge \psi(\bar{v}) \right) \rightarrow \psi^U(\bar{v}) \right)$$

Because $(\mathcal{N}_0, \mathcal{M}_0) \prec (\mathcal{N}, \mathcal{M})$, these sentences are also true in $(\mathcal{N}_0, \mathcal{M}_0)$, so $\mathcal{M}_0 \prec \mathcal{N}_0$ (Tarski's test)

Let $\phi(\bar{v})$ be an $\mathcal{L}_M$-formula with infinitely (maybe some restrictions) many realizations in $\mathcal{M}$ and none in $\mathcal{N} \setminus \mathcal{M}$., witnessing that $(\mathcal{N}, \mathcal{M})$ is a Vaughtian pair. For each $k$, the sentences

$$\exists \bar{v}_1 \dots \exists \bar{v}_k \left( \bigwedge_{i<j} \bar{v}_i \neq \bar{v}_j \wedge \bigwedge_{i=1}^{k} \phi(\bar{v}_i) \right)$$

hold in $(\mathcal{N}, \mathcal{M})$, as do the sentences $\exists x \, \neg U(x)$ and

$$\forall \bar{v} \, (\phi(\bar{v}) \rightarrow \bigwedge U(v_i))$$

Because these sentences also hold in $(\mathcal{N}_0, \mathcal{M}_0)$, this structure is also a Vaughtian pair. $\square$

**Lemma 4.58.** *Suppose that $\mathcal{M}_0 \prec \mathcal{N}_0$ are countable models of $T$. We can find $(\mathcal{N}_0, \mathcal{M}_0) \prec (\mathcal{N}, \mathcal{M})$ s.t. $\mathcal{N}$ and $\mathcal{M}$ are countable, homogeneous, and realize the same types in $S_n(T)$. By Theorem 4.28 $\mathcal{M} \cong \mathcal{N}$*

*Proof.* **Claim 1** If $\bar{a} \in M_0$ and $p \in S_n(\bar{a})$, then there is $(\mathcal{N}_0, \mathcal{M}_0) \prec (\mathcal{N}', \mathcal{M}')$ s.t. $p$ is realized in $\mathcal{M}'$ (as $\mathcal{M}_0 \prec \mathcal{N}_0$, so $S_n^{\mathcal{M}_0}(\bar{a}) = S_n^{\mathcal{N}_0}(\bar{a})$)

Let $\Gamma(\bar{v}) = \{\phi^U(\bar{v}, \bar{a}) : \phi(\bar{v}, \bar{a}) \in p\} \cup \mathrm{Diag}_{\mathrm{el}}(\mathcal{N}_0, \mathcal{M}_0)$ (ensures $\mathcal{M}_0 \prec \mathcal{N}_0$). If $\phi_1, \dots, \phi_m \in p$, then $\mathcal{N}_0 \vDash \exists \bar{v} \bigwedge \phi_i(\bar{v}, \bar{a})$ as $\exists \bar{v} \bigwedge \phi_i \in p$, thus $\mathcal{M}_0 \vDash \exists \bar{v} \bigwedge \phi_i(\bar{v}, \bar{a})$ and $(\mathcal{N}_0, \mathcal{M}_0) \vDash \exists \bar{v} \bigwedge \phi_i^U(\bar{v}, \bar{a})$. Thus $\Gamma(\bar{v})$ is satisfiable. Let $(\mathcal{N}', \mathcal{M}')$ be a countable elementary extension realizing $\Gamma$.

By iterating Claim 1, we can find $(\mathcal{N}_0, \mathcal{M}_0) \prec (\mathcal{N}^*, \mathcal{M}^*)$ countable s.t. if $\bar{a} \in M_0$ and $p \in S_n(\bar{a})$, then $p$ is realized in $\mathcal{M}^*$

**Claim 2** If $\bar{b} \in N_0$ and $p \in S_n(\bar{b})$, then there is $(\mathcal{M}_0, \mathcal{N}_0) \prec (\mathcal{N}', \mathcal{M}')$ s.t. $p$ is realized in $\mathcal{N}'$

Let $\Gamma(\bar{v}) = p \cup \mathrm{Diag}_{\mathrm{el}}(\mathcal{N}_0, \mathcal{M}_0)$. If $\phi_1, \dots, \phi_m \in p$, then $\mathcal{N}_0 \vDash \exists \bar{v} \bigwedge_i (\bar{v}, \bar{b})$; thus we can find a countable elementary extension of $(\mathcal{N}_0, \mathcal{M}_0)$ realizing $p$.

We build an elementary chain of countable models

$$(\mathcal{N}_0, \mathcal{M}_0) \prec (\mathcal{N}_1, \mathcal{M}_1) \prec \cdots$$

s.t.

1.  if $p \in S_n(T)$ is realized in $\mathcal{N}_{3i}$, then $p$ is realized in $\mathcal{M}_{3i+1}$

2.  if $\bar{a}, \bar{b}, c \in \mathcal{M}_{3i+1}$ and $\mathrm{tp}^{\mathcal{M}_{3i+1}}(\bar{a}) = \mathrm{tp}^{\mathcal{M}_{3i+1}}(\bar{b})$, then there is $d \in M_{3i+2}$ s.t. $\mathrm{tp}^{\mathcal{M}_{3i+2}}(\bar{a}, c) = \mathrm{tp}^{\mathcal{M}_{3i+2}}(\bar{b}, d)$

3.  if $\bar{a}, \bar{b}, c \in \mathcal{N}_{3i+2}$ and $\mathrm{tp}^{\mathcal{N}_{3i+2}}(\bar{a}) = \mathrm{tp}^{\mathcal{N}_{3i+2}}(\bar{b})$, then there is $d \in N_{3i+3}$ s.t. $\mathrm{tp}^{\mathcal{N}_{3i+3}}(\bar{a}, c) = \mathrm{tp}^{\mathcal{N}_{3i+3}}(\bar{b}, d)$

1 and 2 are done by using the first claim, 3 is done by the second claim.

Let $(\mathcal{N}, \mathcal{M}) = \bigcup_{i<\omega} (\mathcal{N}_i, \mathcal{M}_i)$. Then $(\mathcal{N}, \mathcal{M})$ is a countable Vaughtian pair. By 1, $\mathcal{M}$ and $\mathcal{N}$ realize the sames types. By 2 and 3, $\mathcal{M}$ and $\mathcal{N}$ are homogeneous $\qquad \square$

*Proof of 4.54.* Suppose that $T$ has a $(\kappa, \lambda)$-model. By the lemmas above, we can find $(\mathcal{N}, \mathcal{M})$ a countable Vaughtian pair s.t. $\mathcal{M}$ and $\mathcal{N}$ are homogeneous models realizing the same types. Let $\phi(\bar{v})$ be an $\mathcal{L}_M$-formula with infinitely many realizations in $M$ and none in $N \setminus M$.

We build an elementary chain $(\mathcal{N}_\alpha : \alpha < \omega_1)$, each $\mathcal{N}_\alpha$ is isomorphic to $\mathcal{N}$ and $(\mathcal{N}_{\alpha+1}, \mathcal{N}_\alpha) \cong (\mathcal{N}, \mathcal{M})$. In particular, $N_{\alpha+1} \setminus N_\alpha$ contains no elements satisfying $\phi$

Let $\mathcal{N}_0 = \mathcal{N}$. For $\alpha$ a limit ordinal, let $\mathcal{N}_\alpha = \bigcup_{\beta<\alpha} \mathcal{N}_\beta$. Because $\mathcal{N}_\alpha$ is a union of models isomorphic to $\mathcal{N}$, $\mathcal{N}_\alpha$ is homogeneous and realizes the same types as $\mathcal{N}$ so $\mathcal{N}_\alpha \cong \mathcal{N}$ by Theorem 4.28 (interesting)

Given $\mathcal{N}_\alpha \cong \mathcal{N}$, because $\mathcal{N} \cong \mathcal{M}$ there is $\mathcal{N}_{\alpha+1}$ an elementary extension of $\mathcal{N}_\alpha$ s.t. $(\mathcal{N}, \mathcal{M}) \cong (\mathcal{N}_{\alpha+1}, \mathcal{N}_\alpha)$. Clearly $\mathcal{N}_{\alpha+1} \cong \mathcal{N}_\alpha$. Extend $f : \mathcal{M} \cong \mathcal{N}_\alpha$ to $f' : \mathcal{N} \cong \mathcal{N}_{\alpha+1}$

Let $\mathcal{N}^* = \bigcup_{\alpha<\omega_1} \mathcal{N}_\alpha$. Then $|N^*| = \aleph_1$ and if $\mathcal{N}^* \vDash \phi(\bar{a})$, then $\bar{a} \in M$; thus $\mathcal{M}^*$ is an $(\aleph_1, \aleph_0)$-model $\qquad \square$

**Corollary 4.59.** *If $T$ is $\aleph_1$-categorical, then $T$ has no Vaughtian pairs and hence no $(\kappa, \lambda)$ models for $\kappa > \lambda \geq \aleph_0$.*

If $T$ is $\omega$-stable, we can prove a partial converse to Vaught's Theorem

**Lemma 4.60.** *Suppose that $T$ is $\omega$-stable, $\mathcal{M} \vDash T$, and $|M| \geq \aleph_1$. There is a proper elementary extension $\mathcal{N}$ of $\mathcal{M}$ s.t. if $\Gamma(\overline{w})$ is a countable type over $M$ realized in $\mathcal{N}$, then $\Gamma(\overline{w})$ is realized in $\mathcal{M}$*

**Theorem 4.61.** *Suppose that $T$ is $\omega$-stable and there is an $(\aleph_1, \aleph_0)$-model of $T$. If $\kappa > \aleph_1$, then there is a $(\kappa, \aleph_0)$-model of $T$.*

## 4.4 The Number of Countable Models

$T$ a complete theory in a countable language with infinite models

For any infinite cardinal $\kappa$, we let $I(T, \kappa)$ be the number of nonisomorphic model of $T$ of cardinality $\kappa$

$I(\mathsf{DLO}, \aleph_0) = 1$

### 4.4.1 $\aleph_0$-categorical Theories

**Theorem 4.62.** *The following are equivalent*

1. *$T$ is $\aleph_0$-categorical*

2. *Every type in $S_n(T)$ is isolated for $n < \omega$*

3. *$|S_n(T)| < \aleph_0$ for all $n < \omega$*

4. *For each $n < \omega$, there is a finite list of formulas*

$$\phi_1(v_1, \ldots, v_n), \ldots, \phi_m(v_1, \ldots, v_n)$$

*s.t. for every formula $\psi(v_1, \ldots, v_n)$*

$$T \vDash \phi_i(\overline{v}) \leftrightarrow \psi(\overline{v})$$

*for some $i \leq m$*

*Proof.* $1 \rightarrow 2$. If $p \in S_n(T)$ is nonisolated, then there is a countable $\mathcal{M} \vDash T$ omitting $p$. There is also a countable $\mathcal{N} \vDash T$ realizing $p$: as $p \cup T$ is satisfiable, let $\mathcal{N} \vDash p(n) \cup T$ and consider language $\mathcal{L}(c)$. Then by LST, we can get a countable elementary substructure $\mathcal{N}'$ of $\mathcal{N}$. Clearly $\mathcal{M} \not\cong \mathcal{N}$

$2 \rightarrow 3$. Suppose that $S_n(T)$ is infinite. For each $p \in S_n(T)$, let $\phi_p$ isolates $p$. Because $\bigcup_{p \in S_n(T)} [\phi_p] = S_n(T)$ and $S_n(T)$ is compact, there are $p_1, \ldots, p_m$ s.t $[\phi_{p_1}] \cup \cdots \cup [\phi_{p_m}] = S_n(T)$. Because $[\phi_p] = \{p\}$, $S_n(T)$ is finite

$3 \to 4$. for each $i$, we can find a formula $\theta_i$ s.t. $\theta_i \in p_i$ and $\neg\theta_i \in p_j$ for $i \neq j$ (e.g. $\neg\psi_1 \wedge \cdots \wedge \neg\psi_{i-1} \wedge \psi_i \wedge \neg\psi_{i+1} \wedge \cdots \wedge \psi_n$). Then $\theta_i$ isolates $p_i$. For any formula $\psi(v_1, \ldots, v_n)$

$$T \vDash \psi(\bar{v}) \leftrightarrow \bigvee_{\psi \in p_i} \theta_i$$

Thus each $\psi$ with free variables $v_1, \ldots, v_n$ is equivalent to $\bigvee_{i \in S} \theta_i$ for some $S \subseteq \{1, \ldots, m\}$. There are at most $2^m$ such formulas.

$4 \to 1$. Let $\mathcal{M}$ be a countable model of $T$. If $\bar{a} \in M^n$, let $S_{\bar{a}} = \{i \leq m : \mathcal{M} \vDash \phi_i(\bar{a})\}$. Then $\mathrm{tp}^{\mathcal{M}}(\bar{a})$ is isolated by

$$\bigwedge_{i \in S_{\bar{a}}} \phi_i(\bar{v}) \wedge \bigwedge_{i \notin S_{\bar{a}}} \neg\phi(\bar{v})$$

Thus $\mathcal{M}$ is atomic and hence by Theorem 4.20 prime. Because there is a unique prime model, $T$ is $\aleph_0$-categorical $\qquad \square$

$b$ is **algebraic over** $A$ if there is a formula $\phi(v, \bar{w})$ and $\bar{a} \in A$ s.t. $\mathcal{M} \vDash \phi(b, \bar{a})$ and $\{x \in M : \mathcal{M} \vDash \phi(x, \bar{a})\}$ is finite. Also, $\mathrm{acl}(A) = \{b \in A : b \text{ is algebraic over } A\}$

**Corollary 4.63.** *Suppose that $T$ is $\aleph_0$-categorical. There is a function $f : \mathbb{N} \to \mathbb{N}$ s.t. if $\mathcal{M} \vDash T$, $A \subset M$ and $|A| \leq n$, then $|\mathrm{acl}(A)| \leq f(n)$*

*Proof.* By Theorem 4.62, $|S_{n+1}(T)|$ is finite. Let $q_1, \ldots, q_k$ list all $n+1$-types. Let

$$X = \left\{ i : q_i \text{ contains a formula } \phi(v, \bar{w}) \text{ s.t. for some } N \right.$$

$$\mathcal{M} \vDash \forall v_0, \ldots, v_N \left( \bigwedge_{i=0}^{N} \phi(v_i, \bar{w}) \to \bigvee_{i < j \leq N} v_i = v_j \right) \left. \right\}$$

For $i \in X$, let $N_i$ be the least $N$ s.t. for some formula $\phi$

$$\forall v_0, \ldots, v_N \left( \bigwedge_{i=0}^{N} \phi(v_i, \bar{w}) \to \bigvee_{i < j} v_i = v_j \right)$$

is in $q_i$.

If $a, b_1, \ldots, b_n \in M$ and $a$ is algebraic over $\bar{b}$, then $(a, \bar{b})$ realizes some $q_i \in X$ and $\left| \{x : (x, \bar{b}) \text{ realizes } q_i\} \right| \leq N_i$. Thus

$$|\mathrm{acl}(b_1, \ldots, b_n)| \leq \sum_{i \in X} N_i$$

Let

$$f(n) = \sum_{i \in X} N_i$$

$\square$

**Corollary 4.64.** *If $F$ is an infinite field, then the theory of $F$ is not $\aleph_0$-categorical*

*Proof.* By compactness, we can find an elementary extension $K$ of $F$ s.t. $K$ contains a transcendental element $t$. Because $t, t^2, t^3, \ldots$ are distinct, $\mathrm{acl}(t)$ is infinite. Thus, by Corollary 4.63 $\mathrm{Th}(F)$ is not $\aleph_0$-categorical $\square$

A group $G$ is **locally finite** if for any finite $X \subseteq G$, the subgroup generated by $X$ is finite

**Corollary 4.65.** *Let $G$ be an infinite group*

1. *if $\mathrm{Th}(G)$ is $\aleph_0$-categorical, then $G$ is locally finite. Moreover, there is a number $b$ s.t. if $g \in G$, then $g^n = 1$ for some $n \le b$ (we say that $G$ has **bounded exponent**)*

2. *if $G$ is an infinite Abelian group of bounded exponent, then $\mathrm{Th}(G)$ is $\aleph_0$-categorical*

*Proof.* 1. By Corollary 4.63 there is a function $f : \mathbb{N} \to \mathbb{N}$ s.t. if $|X| \le n$, the group generated by $X$ has size at most $f(n)$. We need to justify that the group generated by $X$ is the $\mathrm{acl}(X)$. But in $X$, we can only TALK about the elements generated by $X$. So $|(X)| \le |\mathrm{acl}\, X|$

In particular, if $g \in G$, then $g^n = 1$ for some $n \le f(1)$.

$\square$

**Lemma 4.66.** *Let $\kappa \ge \aleph_0$. Let $A \subset M$ with $|A| < \kappa$. Let $\mathcal{M}_A$ be the $\mathcal{L}_A$-structure obtained from $\mathcal{M}$ by interpreting the new constant symbols in the natural way. If $\mathcal{M}$ is $\kappa$-saturated, then so is $\mathcal{M}_A$*

*Proof.* For all $B \subseteq M$, if $|B| < \kappa$ and $p \in S_n^{\mathcal{M}_A}(B)$, note that $S_n^{\mathcal{M}}(A, B) = S_n^{\mathcal{M}_A}(B)$. For $p$ is actually $p(\bar{x}, \bar{b}, \bar{a})$ and $p(\bar{x}, \bar{b}, \bar{a}) \cup \mathrm{Th}(\mathcal{M}_A)$ means $p(\bar{x}, \bar{b}, \bar{a}) \cup \mathrm{Diag}_{\mathrm{el}}(\mathcal{M})$ is satisfiable. Hence $p \in S_n^{\mathcal{M}}(A, B)$ $\square$

**Theorem 4.67.** *$I(T, \aleph_0) \ne 2$*

*Proof.* Suppose that $I(T, \aleph_0) = 2$. By Corollary 4.43 (2), there is $\mathcal{N}$ a prime model of $T$ and $\mathcal{M}$ a countable saturated model of $T$. Because $T$ is not $\aleph_0$-categorical, by Theorem 4.62, there is a nonisolated type $p \in S_n(T)$ for some $n$. The type is realized in $\mathcal{M}$ and omitted in $\mathcal{N}$. Let $\bar{a} \in M$ realize $p$. Let $T^*$ be the $\mathcal{L}_{\bar{a}}$-theory of $\mathcal{M}_{\bar{a}}$

By Theorem 4.62, there are infinitely many $T$-inequivalent formulas in the free variables $v_1, \ldots, v_n$. As they are still $T^*$-inequivalent, $T^*$ is not $\aleph_0$-categorical. By Lemma 4.66, $\mathcal{M}_{\bar{a}}$ is a saturated $\mathcal{L}_{\bar{a}}$-structure. Thus by Corollary 4.43 (1), $T^*$ has a countable atomic model $\mathcal{A}$. Let $\mathcal{B}$ denote the $\mathcal{L}$-reduct of $\mathcal{B}$. Because $\mathcal{A} \vDash T^*$, $\mathcal{B}$ contains a realization of $p$, thus $\mathcal{B} \ncong \mathcal{N}$. Because $T^*$ is not $\aleph_0$-categorical, there is a nonisolated $\mathcal{L}_{\bar{a}}$-type. This type is not realized in $\mathcal{A}$. Thus $\mathcal{A}$ is not saturated. If $\mathcal{B}$ were saturated, then by Lemma 4.66 $\mathcal{A}$ would be saturated. Thus $\mathcal{B} \ncong \mathcal{M}$ and $I(T, \aleph_0) \geq 3$. $\qquad\square$

### 4.4.2 Morley's Analysis of Countable Models

Next we prove Morley's theorem that if $I(T, \aleph_0) > \aleph_1$, then $I(T, \aleph_0) = 2^{\aleph_0}$

**Definition 4.68.** A **fragment** of $\mathcal{L}_{\omega_1, \omega}$ is a set of $\mathcal{L}_{\omega_1, \omega}$-formulas containing all first-order formulas and closed under subformulas, finite Boolean combinations, quantification, and change of free variables

If $F$ is a fragment of $\mathcal{L}_{\omega_1, \omega}$, we say that $\mathcal{M} \equiv_F \mathcal{N}$ if

$$\mathcal{M} \vDash \phi \quad \text{iff} \quad \mathcal{N} \vDash \phi$$

for all sentences $\phi \in F$

If $F$ is a fragment of $\mathcal{L}_{\omega_1, \omega}$, we say that $p \subset F$ is an $F$-**type** if there is countable $\mathcal{L}$-structure $\mathcal{M}$ and $a_1, \ldots, a_n \in M$ s.t. $p = \{\phi(v_1, \ldots, v_n) \in F : \mathcal{M} \vDash \phi(\bar{a})\}$. Let $S_n(F, T)$ be the set of all $F$-types realized by some $n$-tuples in some countable model of $T$

### 4.5 Exercise

$\mathcal{L}$ is countable and $T$ is an $\mathcal{L}$-theory with only infinite models

*Exercise* 4.5.1. 1. Let $\mathcal{M} = (X, <)$ be a dense linear order, let $A \subset M$ and $\bar{b}, \bar{c} \in M^n$ with $b_1 < \cdots < b_n$ and $c_1 < \cdots < c_n$. Show that $\mathrm{tp}^{\mathcal{M}}(\bar{b}/A) = \mathrm{tp}^{\mathcal{M}}(\bar{c}/A)$ iff $b_i < a \Leftrightarrow c_i < a$ and $b_i > a \Leftrightarrow c_i > a$ for all $i = 1, \ldots, n$ and $a \in A$. In particular, show that any two elements of $X$ realize the same 1-type over $\emptyset$

2. If $a, b \in \mathbb{Q}$, then $\mathrm{tp}^{\mathbb{Q}}(a/\mathbb{N}) = \mathrm{tp}^{\mathbb{Q}}(b/\mathbb{N})$ iff there is an automorphism $\sigma$ of $\mathbb{Q}$ fixing $N$ pointwise with $\sigma(a) = b$

3. Let $A = \{1 - \frac{1}{n} : n = 1, 2, ...\} \cup \{2 + \frac{1}{n} : n = 1, 2, ...\}$. Show that $1$ and $2$ realize the same type over $A$, but there is no automorphism of $\mathbb{Q}$ fixing $A$ pointwise sending $1$ to $2$

*Proof.* 1. Let $f : A \cup \{\bar{b}\} \mapsto A \cup \{\bar{c}\}$ s.t. $f(\bar{b}) = \bar{c}$. We can build an automorphism extending $f$ by back-and-forth.

2. $\Rightarrow$. Note that DLO is $\omega$-categorical, thus we can get one by Proposition 4.5 and Löwenheim–Skolem Theorem.

3. From 1

$\square$

*Exercise* 4.5.2. Let $T$ be the theory of $(\mathbb{Z}, s)$ where $s(x) = x + 1$. Determine the types in $S_n(T)$ for each $n$. Which types are isolated? Do the same for $(\mathbb{Z}, <, s)$

*Proof.* By Exercise 3.3.1, $T$ has quantifier elimination. Thus every formula is like
$$\bigvee \left( \bigwedge s^{m_i}(x_i) = s^{n_i}(y_i) \wedge \bigwedge s^{m'_i}(x'_i) \neq s^{n'_i}(y'_i) \right)$$
At least three $+\infty$, $-\infty$ $\square$

*Exercise* 4.5.3. Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure, $A \subseteq M$, $b \in M$ and $b$ is algebraic over $A$. Show that $\text{tp}^{\mathcal{M}}(b/A)$ is isolated

*Proof.* Let $\varphi$ be the $L(A)$-formula realised by $b$ having least possible solutions in $\mathcal{M}$. We claim that $\varphi(x)$ isolates $\text{tp}^{\mathcal{M}}(b/A)$

For any $\psi(x) \in \text{tp}^{\mathcal{M}}(b/A)$, as $|\varphi(\mathfrak{M})|$ is least, $\varphi(\mathfrak{M}) = \varphi(\mathfrak{M}) \wedge \psi(\mathfrak{M})$. $\square$

*Exercise* 4.5.4. Suppose that $A \subseteq B$, $\theta(\bar{v})$ is a formula with parameters from $A$, and $\theta$ isolates $\text{tp}^{\mathcal{M}}(\bar{a}/B)$. Then $\theta$ isolates $\text{tp}^{\mathcal{M}}(\bar{a}/A)$

*Proof.* TRIVIAL as $A \subseteq B$ $\square$

*Exercise* 4.5.5. Suppose that $A \subset M$, $\bar{a}, \bar{b} \in M$ s.t. $\text{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$ is isolated. Show that $\text{tp}^{\mathcal{M}}(\bar{a}/A, \bar{b})$ is isolated

*Proof.* Suppose $\theta(\bar{v}, \bar{w})$ isolates $\text{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$. Then for each $\phi(\bar{v}, \bar{w}) \in \text{tp}^{\mathcal{M}}(\bar{a}, \bar{b}/A)$
$$\text{Th}(\mathcal{M}_A) \vDash \forall \bar{v} \forall \bar{w} (\theta(\bar{v}, \bar{w}) \to \phi(\bar{v}, \bar{w}))$$
For each $\psi(\bar{v}) \in \text{tp}^{\mathcal{M}}(\bar{a}/A, \bar{b})$ $\square$

*Exercise* 4.5.6. Suppose that $\mathcal{M}$ is $\kappa$-saturated, and $(\phi_i(\bar{v}) : i \in I)$ and $(\theta_j(\bar{v}) : j \in J)$ are sequences of $\mathcal{L}_M$-formulas s.t. $|I|, |J| < \kappa$ and

$$\mathcal{M} \vDash \bigvee_{i \in I} \phi_i(\bar{v}) \leftrightarrow \neg \left( \bigvee_{j \in J} \theta_j(\bar{v}) \right)$$

Show that there are finite sets $I_0 \subseteq I$ and $J_0 \subseteq J$ s.t.

$$\mathcal{M} \vDash \bigvee_{i \in I} \phi_i(\bar{v}) \leftrightarrow \bigvee_{i \in I_0} \phi_i(\bar{v})$$

*Proof.* $\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\square$

# 5  Indiscernibles

## 5.1  Partition Theorems

For $X$ a set and $\kappa, \lambda$ (possibly finite) cardinals, we let $[X]^\kappa$ be the collection of all subsets of $X$ of size $\kappa$. We call $f : [X]^\kappa \to \lambda$ a **partition** of $[X]^\kappa$. We say that $Y \subseteq X$ is **homogeneous** for the partition $f$ if there is $\alpha < \lambda$ s.t. $f(A) = \alpha$ for all $A \in [Y]^\kappa$ (i.e. $f$ is a constant on $[Y]^\kappa$). Finally, for cardinals $\kappa, \eta, \mu,$ and $\lambda$, we write $\kappa \to (\eta)_\lambda^\mu$ if whenever $|X| > \kappa$ and $f : [X]^\mu \to \lambda$, then there is $Y \subseteq X$ s.t. $|Y| \geq \eta$ and $Y$ is homogeneous for $f$

**Theorem 5.1** (Ramsey's Theorem). *If $k, n < \omega$, then $\aleph_0 \to (\aleph_0)_k^n$*

Some applications:

Any sequence of real numbers $(r_0, r_1, \dots)$ has a monotonic subsequence. Let $f : [\mathbb{N}]^2 \to 3$ by

$$f(\{i, j\}) = \begin{cases} 0 & i < j \text{ and } r_i < r_j \\ 1 & i < j \text{ and } r_i = r_j \\ 2 & i < j \text{ and } r_i > r_j \end{cases}$$

By Ramsey's Theorem, there is $Y \subseteq N$ an infinite homogeneous set for $f$. Let $j_0 < j_1 < \dots$ list $Y$. There is $c < 3$ s.t. $f(\{j_m, j_n\}) = c$ for $m < n$.

Suppose $G$ is an infinite graph. Let $f : [G]^2 \to 2$ by

$$f(\{a, b\}) = \begin{cases} 1 & (a, b) \text{ is an edge of } G \\ 0 & (a, b) \text{ is not an edge of } G \end{cases}$$

By Ramsey's Theorem, there is an infinite $H \subseteq G$ homogeneous for $f$. If $f$ is constantly 1 on $[H]^2$, then $H$ is a complete subgraph, and if $f$ is constantly 0, there are no edges.

*Proof.* Induction on $n$. For $n = 1$ Ramsey's Theorem asserts that if $X$ is infinite, $k < \omega$, and $f : X \to k$, then $f^{-1}(i)$ is infinite for some $i < k$. This is just the Pigeonhole Principle.

Suppose that we have proved that if $i < n$, $k < \omega$, $X$ is infinite, and $f : [X]^i \to k$, then there is an infinite $Y \subseteq X$ homogeneous for $f$.

We could always replace $X$ by a countable subset of $X$; thus, W.L.O.G., we may assume that $X = \mathbb{N}$.

Let $f : [\mathbb{N}]^n \to k$. For $a \in \mathbb{N}$, let $f_a : [\mathbb{N} \setminus \{a\}]^{n-1} \to k$ by $f_a(A) = f(A \cup \{a\})$. We build a sequence $0 = a_0 < a_1 < ...$ in $\mathbb{N}$ and $\mathbb{N} = X_0 \supset X_1 \supset ...$ a sequence of infinite sets as follows. Given $a_i$ and $X_i$, let $X_{i+1} \subset X_i \setminus \{0, 1, ..., a_i\}$ be homogeneous for $f_{a_i}$. Let $a_{i+1}$ be the least element of $X_{i+1}$

Let $c_i < k$ be s.t. $f_{a_i}(A) = c_i$ for all $A \in [X_{i+1}]^{n-1}$. By the Pigeonhole Principle, there is $c < k$ s.t. $\{i : c_i = c\}$ is infinite. Let $X = \{a_i : c_i = c\}$. We claim that $X$ is homogeneous for $f$. Let $x_1 < \cdots < x_n$ where each $x_i \in X$, there is an $i$ s.t. $x_1 = a_i$ and $x_2, ..., x_n \in X_i$. Thus

$$f(\{x_1, ..., x_n\}) = f_{x_1}(\{x_2, ..., x_n\}) = c_i = c$$

and $X$ is homogeneous for $f$. $\qquad\square$

**Theorem 5.2** (Finite Ramsey Theorem)**.** *For all $k, n, m < \omega$, there is $l < \omega$ s.t.* $l \to (m)^n_k$

*Proof.* Suppose that there is no $l$ s.t. $l \to (m)^n_k$. For each $l < \omega$, let

$$T_l = \{f : [\{0, ..., l-1\}]^n \to k : \text{ there is no } X \subseteq \{0, ..., l-1\}$$
$$\text{of size at least } m, \text{ homogeneous for } f$$

Clearly each $T_l$ is finite since $n$ and $k$ are finite. if $f \in T_{l+1}$ there is a unique $g \in T_l$ s.t. $g \subset f$. Thus if we order $T = \bigcup T_l$ by inclusion, we get a finite branching tree. Each $T_l$ is not empty, so $T$ is an infinite finite branching tree. By Kőnig's Lemma (Lemma A.5) we can find $f_0 \subset f_1 \subset f_2 ...$ with $f_i \in T_i$

Let $f = \bigcup f_i$. Then $f : [\mathbb{N}]^n \to k$. By Ramsey's Theorem, there is an infinite $X \subseteq \mathbb{N}$ homogeneous for $f$. Let $x_1, ..., x_m$ be the first $m$ elements of $X$ and let $s > x_m$. Then $\{x_1, ..., x_m\}$ is homogeneous for $f_s$, a contradiction $\qquad\square$

**Proposition 5.3.** $2^{\aleph_0} \nrightarrow (3)^2_{\aleph_0}$

*Proof.* We define $F : [2^\omega]^2 \to \omega$ by $F(\{f, g\})$ is the least $n$ s.t. $f(n) = g(n)$. Clearly, we cannot find $\{f, g, h\}$ s.t. $f(n) \neq g(n)$, $g(n) \neq h(n)$ and $f(n) \neq h(n)$ $\qquad\square$

On the other hand, if $\kappa > 2^{\aleph_0}$, then $\kappa \to (\aleph_1)^2_{\aleph_0}$. This is the special case of an important generalization of Ramsey's Theorem. For $\kappa$ an infinite cardinal and $\alpha$ an ordinal, we inductively define $\beth_\alpha(\kappa)$ by $\beth_0(\kappa) = \kappa$ and

$$\beth_\alpha(\kappa) = \sup_{\beta < \alpha} 2^{\beth_\beta(\kappa)}$$

In particular, $\beth_1(\kappa) = 2^\kappa$. We let $\beth_\alpha = \beth_\alpha(\aleph_0)$. Under the Generalized Continuum Hypothesis, $\beth_\alpha = \aleph_\alpha$

**Theorem 5.4** (Erdős–Rado theorem). $\beth_n(\kappa)^+ \to (\kappa^+)^{n+1}_\kappa$

*Proof.* Induction on $n$. For $n = 0$, $\kappa^+ \to (\kappa^+)^{n+1}_\kappa$ is just the Pigeonhole Principle

Suppose that we have proved the theorem for $n-1$. Let $\lambda = \beth_n(\kappa)^+$, and let $f : [\lambda]^{n+1} \to \kappa$. For $\alpha < \lambda$, let $f_\alpha : [\lambda \setminus \{\alpha\}]^n \to \kappa$ by $f_\alpha(A) = f(A \cup \{\alpha\})$.

We build $X_0 \subseteq X_1 \subseteq \cdots \subseteq X_\alpha \subseteq \ldots$ for $\alpha < \beth_{n-1}(\kappa)^+$ s.t. $X_\alpha \subseteq \beth_n(\kappa)^+$ and each $X_\alpha$ has cardinality at most $\beth_n(\kappa)$. Let $X_0 = \beth_n(\kappa)$. If $\alpha$ is a limit ordinal, then $X_\alpha = \bigcup_{\beta < \alpha} X_\beta$

Suppose we have $X_\alpha$ with $|X_\alpha| = \beth_n(\kappa)$. Because

$$\beth_n(\kappa)^{\beth_{n-1}(\kappa)} = (2^{\beth_{n-1}(\kappa)})^{\beth_{n-1}(\kappa)} = 2^{\beth_{n-1}(\kappa)} = \beth_n(\kappa)$$

there are $\beth_n(\kappa)$ subsets of $X_\alpha$ of cardinality $\beth_{n-1}(\kappa)$. Also note that if $Y \subset X_\alpha$ and $|Y| = \beth_{n-1}(\kappa)$, then there are $\beth_n(\kappa)$ functions $g : [Y]^n \to \kappa$ because

$$\kappa^{\beth_{n-1}(\kappa)} = 2^{\beth_{n-1}(\kappa)} = \beth_n(\kappa)$$

Thus we can find $X_{\alpha+1} \subseteq X_\alpha$ s.t. $|X_{\alpha+1}| = \beth_n(\kappa)$ and if $Y \subset X_\alpha$ with $|Y| = \beth_{n-1}(\kappa)$ and $\beta \in \lambda \setminus Y$, then there is $\gamma \in X_{\alpha+1} \setminus Y$ s.t. $f_\beta|[Y]^n = f_\gamma|[Y]^n$ □

## 5.2   Order Indiscernibles

Let $\mathcal{M}$ be an $\mathcal{L}$-structure

**Definition 5.5.** Let $I$ be an infinite set and suppose that $X = \{x_i : i \in I\}$ is a set of distinct elements of $\mathcal{M}$. We say that $X$ is an **indiscernible set** if whenever $i_1, \ldots, i_m$ and $j_1, \ldots, j_m$ are two sequences of $m$ distinct elements of $I$, then $\mathcal{M} \vDash \phi(x_{i_1}, \ldots, x_{i_m}) \leftrightarrow \phi(x_{j_1}, \ldots, x_{j_m})$

For example, suppose that $F$ is an algebraically closed field of infinite transcendence degree and $x_1, x_2, \ldots$ is an infinite algebraically independent

set. For any two sequence $i_1, \ldots, i_m$ and $j_1, \ldots, j_m$, there is an automorphism $\sigma$ of $F$ with $\sigma(x_{i_k}) = x_{j_k}$ for $k = 1, \ldots, m$. it follows that $x_1, x_2, \ldots$ is an infinite set of indiscernibles.

If $(A, <)$ is an infinite linear order, then because we cannot have $a < b$ and $b < a$ there is no set of indiscernibles of size 2.

**Definition 5.6.** Let $(I, <)$ be an ordered set, and let $(x_i : i \in I)$ be a sequence of distinct elements of $M$, we say that $(x_i : i \in I)$ is a sequence of **order indiscernibles** if whenever $i_1 < i_2 < \cdots < i_m$ and $j_1 < \cdots < j_m$ are two increasing sequences from $I$, then $\mathcal{M} \models \phi(x_{i_1}, \ldots, x_{i_m}) \leftrightarrow \phi(x_{j_1}, \ldots, x_{j_m})$

For example, in $(\mathbb{Q}, <)$, by quantifier elimination, if $x_1 < \cdots < x_m$ and $y_1 < \cdots < y_m$, then $\mathbb{Q} \models \phi(\bar{x}) \leftrightarrow \phi(\bar{y})$ for all $\phi$. Thus $\mathbb{Q}$, itself, is a sequence of order indiscernibles

**Theorem 5.7.** *Let $T$ be a theory with infinite models. For any infinite linear order $(I, <)$, there is $\mathcal{M} \models T$ containing $(x_i : i \in I)$, a sequence of order indiscernibles*

*Proof.* Let $\mathcal{L}^* = \mathcal{L} \cup \{c_i : i \in I\}$. Let $\Gamma$ be the union of

- $T$

- $c_i \neq c_j$ for $i, j \in I$ with $i \neq j$

- $\phi(c_{i_1}, \ldots, c_{i_m}) \rightarrow \phi(c_{j_1}, \ldots, c_{j_m})$ for all $\mathcal{L}$-formulas $\phi(\bar{v})$, where $i_1 < \cdots < i_m$ and $j_1 < \cdots < j_m$ are increasing sequences from $I$

If $\mathcal{M} \models \Gamma$, then $(c_i^{\mathcal{M}} : i \in I)$ is an infinite sequence of order indiscernibles. It suffices to show that $\Gamma$ is satisfiable. Suppose that $\Delta \subset \Gamma$ is finite. Let $I_0$ be the finite subset of $I$ s.t. if $c_i$ occurs in $\Delta$, then $i \in I_0$. Let $\phi_1, \ldots, \phi_m$ be the formulas s.t. $\Delta$ asserts indiscenibility w.r.t. the formula $\phi_i$, $i \leq m$. Let $v_1, \ldots, v_n$ be the free variables from $\phi_1, \ldots, \phi_m$, $i \leq m$.

Let $\mathcal{M}$ be an infinite model of $T$. Fix $<$ any linear order of $\mathcal{M}$. We will define a partition $F : [M]^n \rightarrow \mathcal{P}(\{1, \ldots, m\})$. If $A = \{a_1, \ldots, a_n\}$ where $a_1 < \cdots < a_n$, then

$$F(A) = \{i : \mathcal{M} \models \phi_i(a_1, \ldots, a_n)\}$$

Because $F$ partitions $[M]^n$ into at most $2^m$ sets, we can find an infinite $X \subseteq M$ homogeneous for $F$. Let $\eta \subseteq \{1, \ldots, m\}$ s.t. $F(A) = \eta$ for $A \in [X]^n$.

Suppose that $I_0$ is a finite subset of $I$. Choose $(x_i : i \in I_0)$ s.t. each $x_i \in X$ and s.t. $x_i < x_j$ if $i < j$. If $i_1 < \cdots < i_n$ and $j_1 < \cdots < j_n$ then

$$\mathcal{M} \models \phi_k(x_{i_1}, \ldots, x_{i_n}) \Longleftrightarrow k \in \eta \Longleftrightarrow \mathcal{M} \models \phi_k(x_{j_1}, \ldots, x_{j_n})$$

If we interpret $c_i$ as $x_i$ for $i \in I_0$, then we make $\mathcal{M}$ a model of $\Delta$. Note that here $x_i \in M$ -.- $\qquad\square$

if $(x_i : i \in I)$ is any sequence of order indiscernibles in $M$, we can order $X = \{x_i : i \in I\}$ by $x_i < x_j$ if $i < j$. In this way, we frequently identify $X$ and $I$

Suppose that $\psi(x, y)$ is a formula in the language s.t. in some $\mathcal{M} \vDash T$, $\psi$ linearly orders an infinite set $Y$. When we did the construction above, we could add the condition that $\psi(c_i, c_j)$ for $i < j$. We would then restrict the partition to $[Y]^m$ and let the ordering $<$ be the ordering determined by $\psi$. In this way, we would get an infinite sequence of indiscernibles $(x_i : i \in I)$ s.t. $\psi(x_i, x_j)$ iff $i < j$

### 5.2.1 Ehrenfeucht-Mostowski Models

Suppose that our theory has built-in Skolem functions. Then when we have a model containing an infinite sequence of order indiscernibles, we can form the elementary submodel generated by the indiscernibles.

Let $T$ be an $\mathcal{L}$-theory. By Lemma 2.30 we can find $\mathcal{L}^* \supseteq \mathcal{L}$ and $T^* \supseteq T$ and $\mathcal{L}^*$-theory with built-in Skolem functions, s.t. if $\mathcal{M}$ is any model of $T$, we can interpret the symbols of $\mathcal{L}^*$ s.t. $\mathcal{M} \vDash T^*$. Note that if $I$ is a sequence of order indiscernibles for $\mathcal{L}^*$, then $I$ is also a sequence of order indiscernibles for $\mathcal{L}$.

If $\mathcal{M} \vDash T^*$ and $X \subseteq M$, let $\mathcal{H}(X)$ be the $\mathcal{L}^*$-substructure of $\mathcal{M}$ generated by $X$. We call $\mathcal{H}(X)$ the **Skolem hull** of $X$. Because $X$ has built in Skolem functions, $\mathcal{H}(X) \prec \mathcal{M}$. Models built as Skolem hulls of sequences of order indiscernibles are called **Ehrenfeucht-Mostowski models**

If $I$ is an infinite set of order indiscernibles, then order-preserving premutations of $I$ induce automorphisms of $\mathcal{H}(I)$.

**Lemma 5.8.** *Suppose that $T^*$ is an $\mathcal{L}^*$-theory with built-in Skolem functions. Let $\mathcal{M} \vDash T^*$. Let $I \subseteq M$ be an infinite sequence of order indiscernibles. Suppose that $\tau : I \to I$ is an order-preserving permutation. Then there is an automorphism $\sigma : \mathcal{H}(I) \to \mathcal{H}(I)$ extending $\tau$*

*Proof.* For each element $a \in \mathcal{H}(I)$, there is a Skolem term $t$ and $x_1 < x_2 < \cdots < x_n \in I$ s.t. $a = t(x_1, \dots, x_n)$. Let $\sigma(a) = t(\tau(x_1), \dots, \tau(x_n))$.

We first show that $\sigma$ is well-defined. Suppose that there is a second Skolem term $s$ s.t. $a = s(x_1, \dots, x_n)$. Because

$$\mathcal{M} \vDash t(x_1, \dots, x_n) = s(x_1, \dots, x_n)$$

and $\tau$ is order-preserving,

$$\mathcal{M} \vDash t(\tau(x_1), \dots, \tau(x_n)) = s(\tau(x_1), \dots, \tau(x_n))$$

Thus $\sigma$ is well defined.

We must show that $\sigma$ is an automorphism. If $a = t(\bar{x})$ and $t(\tau^{-1}(\bar{x}))$, then $\sigma(b) = a$ so $\sigma$ is surjective

Let $\phi(v_1, \dots, v_m)$ be any $\mathcal{L}^*$-formula, and let $a_1, \dots, a_m \in \mathcal{H}(I)$. There are terms $t_1, \dots, t_m$ and $\bar{x} \in I$ s.t. $a_i = t_i(\bar{x})$. By indiscenibility

$$
\begin{aligned}
\mathcal{M} \vDash \phi(a_1, \dots, a_m) \quad &\Leftrightarrow \quad \mathcal{M} \vDash \phi(t_1(\bar{x}), \dots, t_m(\bar{x})) \\
&\Leftrightarrow \quad \mathcal{M} \vDash \phi(t_1(\tau(\bar{x})), \dots, t_m(\tau(\bar{x}))) \\
&\Leftrightarrow \quad \mathcal{M} \vDash \phi(\sigma(a_1), \dots, \sigma(a_m))
\end{aligned}
$$

Thus $\sigma$ is an automorphism $\qquad\square$

Lemma 5.8 shows that it would be useful to find order indiscernibles where there are many order-preserving permutations. Indeed, once we have an infinite sequence of order indiscernibles, we can find them of any given order type.

Let $X = (x_i : i \in I)$ be a sequence of order indiscernibles in $\mathcal{M}$. Let

$$\text{tp}(I) = \{\phi(v_1, \dots, v_n) : \mathcal{M} \vDash \phi(x_{i_1}, \dots, x_{i_n}), i_1 < \dots < i_n \in I, n \in \omega\}$$

We call $\text{tp}(X)$ the **type of the indiscernibles**. Note that $\text{tp}(X)$ is maximal as it's a sequence of order indiscernibles.

I think we can loose the condition here. See tent's Lemma 5.1.3. Standard is more general than this.

**Lemma 5.9.** *Let $T^*$ be an $\mathcal{L}^*$-theory with built-in Skolem functions. Suppose that $X = (x_i : i \in I)$ is an infinite sequence of order indiscernibles in $\mathcal{M} \vDash T^*$. If $(J, <)$ is any infinite ordered set, we can find $\mathcal{N} \vDash T^*$ containing a sequence of order indiscernibles $Y = (y_j : j \in J)$ and $\text{tp}(X) = \text{tp}(Y)$.*

*Proof.* Add to $\mathcal{L}^*$ constant symbols $c_j$ for $j \in J$ and let

$$\Gamma = T^* \cup \{c_i \neq c_j : i, j \in J, i \neq j\} \cup \{\phi(c_{i_1}, \dots, c_{i_m}) : i_1 < \dots < i_m \in J \text{ and } \phi \in \text{tp}(X)\}$$

If $\Delta$ is a finite subset of $\Gamma$, then by choosing elements of $X$ we can make $\mathcal{M}$ a model of $\Delta$

If $\mathcal{N} \vDash \Gamma$, then the interpretation of the $(c_j : j \in J)$ is the desired indiscernible sequence. $\qquad\square$

**Lemma 5.10.** *Suppose that $T^*$ is an $\mathcal{L}^*$-theory with built-in Skolem functions. If $I$ is a sequence of order indiscernibles in $\mathcal{M} \vDash T^*$ and $J$ is a sequence of order indiscernibles in $\mathcal{N} \vDash T^*$ with $\mathrm{tp}(I) = \mathrm{tp}(J)$, then any order-preserving map $\tau : I \to J$ extends to an elementary embedding $\sigma : \mathcal{H}(I) \to \mathcal{H}(J)$*

*Proof.* If $a = t(x_1, \dots, x_n)$ for $t$ a term and $x_1, \dots, x_n \in I$ we let $\sigma(a) = t(\tau(x_1), \dots, \tau(x_n))$. We then argue as in Lemma 5.8 that this map is well-defined and elementary □

We give several applications of this method

**Corollary 5.11.** *Let $T$ be an $T$-theory with infinite models. For any $\kappa \geq |\mathcal{L}| + \aleph_0$, there is $\mathcal{N} \vDash T$ of cardinality $\kappa$ with $2^\kappa$ automorphisms*

*Proof.* Let $\mathcal{L}^*$ and $T^*$ be as above. We can find $\mathcal{M} \vDash T^*$ containing an infinite sequence of order indiscernibles $I$.

   **Claim**. There is a linear order $(X, <)$ of size $\kappa$ with $2^\kappa$ order-preserving permutations

   Let $X = \kappa \times \mathbb{Q}$ with the lexicographic ordering $(\alpha, q) < (\beta, r)$ if $\alpha < \beta$ or $\alpha = \beta$ and $q < r$. For each $A \subseteq \kappa$ let $\sigma_A$ be the order-preserving permutation

$$\sigma_A((\alpha, q)) = \begin{cases} (\alpha, q) & \alpha \in A \\ (\alpha, q+1) & \alpha \notin A \end{cases}$$

Clearly $\sigma_A = \sigma_B$ iff $A = B$. Thus there are $2^\kappa$ order-preserving permutations of $X$.

   By Lemma 5.9 we can find $\mathcal{N} \vDash T^*$ containing $J$ a sequence of order indiscernibles of order type $(X, <)$. By lemma 5.8 each order preserving permutation of the indiscernibles induces an automorphisms of $\mathcal{H}(J)$. Thus $\mathcal{H}(J)$ has $2^\kappa$ automorphisms and $|\mathcal{H}(J)| = \kappa$. When viewed as an $\mathcal{L}$-structure, $\mathcal{N}$ still has $2^\kappa$ automorphisms □

**Corollary 5.12.** *Suppose that $T^*$ is an $\mathcal{L}^*$-theory with built-in Skolem functions, $\mathcal{M} \vDash T^*$, $\mathcal{M}$ omits $p$ (a type over $\emptyset$), and $\mathcal{M}$ contains an infinite sequence of order indiscernibles $I$. There are arbitrarily large models of $T^*$ omitting $p$.*

*Proof.* Let $\kappa \geq \aleph_0$. By Lemma 5.9, we can find $\mathcal{N} \vDash T^*$ containing a sequence or order indiscernibles $J$ with $|J| \geq \kappa$, and $\mathrm{tp}(I) = \mathrm{tp}(J)$. Then $|\mathcal{H}(J)| \geq \kappa$. Suppose that $(a_1, \dots, a_n) \in \mathcal{H}(J)$ realizes $p$. Let $a_i = t_i(x_1, \dots, x_m)$, where $t_i$ is a Skolem term, $x_1 < \cdots < x_m$, and each $x_i \in J$. If $y_1 < \cdots < y_m$ is an increasing sequence in $I$, then, because $\mathrm{tp}(I) = \mathrm{tp}(J)$

$$\mathcal{M} \vDash \phi(t_1(\bar{y}), \dots, t_n(\bar{y})) \Leftrightarrow \mathcal{N} \vDash \phi(a_1, \dots, a_n)$$

Thus $(t_1(\bar{y}), \dots, t_n(\bar{y}))$ realizes $p \in \mathcal{M}$, a contradiction. □

**Theorem 5.13.** *Let $\mathcal{L}$ be countable and $T$ be an $\mathcal{L}$-theory with infinite models. For all $\kappa \geq \aleph_0$, there is $\mathcal{M} \vDash T^*$ with $|M| = \kappa$ s.t. if $A \subseteq M$, then $\mathcal{M}$ realizes at most $|A| + \aleph_0$ types in $S_n^{\mathcal{M}}(A)$.*

*Proof.* We assume that $n = 1$. Let $\mathcal{L}^*$ and $T^*$ be as above. Let $\mathcal{M} \vDash T$ be the Skolem hull of a sequence of order indiscernibles $I$ or order type $(\kappa, <)$. Then $|M| = \kappa$.

Let $A \subseteq M$. For each $a \in A$, there is a term $t_a$ and $\bar{x}_a$ a sequence from $I$ s.t. $a = t_a(\bar{x}_a)$. Let $X = \{x \in I : x \text{ occurs in some } \bar{x}_a\}$. Then $|X| \leq |A| + \aleph_0$

If $y_1 < \cdots < y_n$ and $z_1 < \cdots < z_n$, we say that $\bar{y} \sim_X \bar{z}$ if for all $x \in X$, $y_i < x$ iff $z_i < x$ and $y_i = x$ iff $z_i = x$ for $i = 1, \dots, n$

**Claim** If $\bar{y} \sim_X \bar{z}$ and $t$ is a Skolem term, then $t(\bar{y})$ and $t(\bar{z})$ realize the same type in $S_1^{\mathcal{M}}(A)$.

Let $a_1, \dots, a_m \in A$. Because $\bar{y}$ and $\bar{z}$ are in the same position in the ordering w.r.t. $X$, by indiscenibility

$$
\begin{aligned}
\mathcal{M} \vDash \phi(t(\bar{y}), a_1, \dots, a_m) \quad &\leftrightarrow \quad \mathcal{M} \vDash \phi(t(\bar{y}), t_{a_1}(\bar{x}_{a_1}), \dots, t_{a_m}(\bar{x}_{a_m})) \\
&\Leftrightarrow \quad \mathcal{M} \vDash \phi(t(\bar{z}), t_{a_1}(\bar{x}_{a_1}), \dots, t_{a_m}(\bar{x}_{a_m})) \\
&\Leftrightarrow \quad \mathcal{M} \vDash \phi(t(\bar{z}), a_1, \dots, a_m)
\end{aligned}
$$

It suffices to show that $|I^n / \sim_X| \leq |A| + \aleph_0$. For $y \in I \setminus X$, let $C_y = \{x \in X : x < y\}$. Then $\bar{y} \sim_X \bar{z}$ iff for each $i$:

1. if $y_i \in X$, then $y_i = z_i$ and

2. if $y_i \notin X$, then $z_i \notin X$ and $C_{y_i} = C_{z_i}$

Because $I$ is well-ordered, $C_y = C_z$ iff $C_y = C_z = \emptyset$ or

$$\inf\{i \in I : i > C_y\} = \inf\{i \in I : i > C_z\}$$

In particular, there are at most $|X| + 1$ possible cuts $C_y$. It follows that $|I^n / \sim_X| \leq |A| + \aleph_0$ and $\mathcal{M}$ realizes at most $|A| + \aleph_0$ types over $A$ $\qquad \square$

**Corollary 5.14.** *Let $T$ be a complete theory in a countable language with infinite models, and let $\kappa \geq \aleph_1$. If $T$ is $\kappa$-categorical, then $T$ is $\omega$-stable*

*Proof.* If $T$ is not $\omega$-stable, then we can find a countable $\mathcal{M} \vDash T$ with $A \subseteq M$ s.t. $\left|S_n^{\mathcal{M}}(A)\right| > \aleph_0$. By Compactness, we can find $\mathcal{M} \prec \mathcal{N}_0$ of cardinality $\kappa$ (as long as $\kappa > \aleph_0$) realizing uncountably many types in $S_n^{\mathcal{M}}(A)$. By Theorem 5.13 we can find $\mathcal{N}_1 \vDash T$ of cardinality $\kappa$ s.t. for all $B \subset M$ if $|B| = \aleph_0$, then $\mathcal{N}_1$ realizes at most $\aleph_0$ types over $B$. Then $\mathcal{N}_0 \not\cong \mathcal{N}_1$, contradicting $\kappa$-categoricity $\qquad \square$

Combining Corollary 5.14 with Theorem 4.61

**Corollary 5.15.** *Let $T$ be a complete theory in a countable language with infinite models. If $\kappa \geq \aleph_1$ and $T$ is $\kappa$-categorical, then $T$ has no Vaughtian pairs and hence no $(\kappa, \lambda)$-models for $\kappa > \lambda \geq \aleph_0$*

*Proof.* Because $T$ is $\kappa$-categorical, $T$ is $\omega$-stable. If there is a Vaughtian pair, then by Theorem 4.54 there is an $(\aleph_1, \aleph_0)$-model, and by Theorem 4.61, a $(\kappa, \aleph_0)$-model. Because we can find a model of $T$ of cardinality $\kappa$ where every infinite definable set has cardinality $\kappa$, this is a contradiction. $\square$

### 5.2.2 Indiscernibles in Stable Theories

We have seen that, although it is always possible to find infinite sequences of order indiscernibles, for some theories we cannot find infinite indiscernibles sets.

**Lemma 5.16.** *For any infinite cardinal $\kappa$, there is a dense linear order $(A, <)$ with $B \subset A$ s.t. $B$ is dense in $A$ and $|B| \leq \kappa < A$*

*Proof.* Let $\lambda \leq \kappa$ be least s.t. $2^\lambda > \kappa$. Let $A$ be the set of all functions from $\lambda$ to $\mathbb{Q}$. If we order $A$ by $f < g$ iff $f(\alpha) < g(\alpha)$, where $\alpha$ is least s.t. $f(\alpha) \neq g(\alpha)$(lexicographic order□), then $(A, <) \vDash \mathsf{DLO}$.

Let $B$ be the set of sequences in $A$ that are eventually 0 (Maybe, that is, there is a $\gamma < \lambda$ s.t. $f(\beta) = 0$ for all $\gamma < \beta < \lambda$) Then

$$|B| = \sup\{\mu < \lambda : 2^\mu\} \leq \kappa$$

and, for all $f, g \in X$, if $f < g$, there is $h \in Y$ s.t. $f < h < g$ $\square$

**Theorem 5.17.** *Suppose that $\mathcal{L}$ is a countable language, $\kappa$ is an infinite cardinal and $T$ is a $\kappa$-stable $\mathcal{L}$-theory. If $\mathcal{M} \vDash T$ and $X \subseteq M$ is an infinite sequence of order indiscernibles, then $X$ is a set of indiscernibles*

*Proof.* Let $\phi(v_1, \ldots, v_n)$ be an $\mathcal{L}$-formula and $x_1, \ldots, x_n$ be an increasing sequence from $I$ s.t. $\mathcal{M} \vDash \phi(x_1, \ldots, x_n)$. Let $S_n$ be the group of all permutations of $\{1, \ldots, n\}$. Let $\Gamma_\phi = \{\sigma \in S_n : \mathcal{M} \vDash \phi(x_{\sigma(1)}, \ldots, x_{\sigma(n)})\}$. To show that $X$ is a set of indiscernibles, we must show that $\Gamma_\phi = S_n$

   **Claim** $\Gamma_\phi = S_n$.

   Suppose not. Because every permutation is a product of transpositions we can find $\sigma \in \Gamma_\phi$ and $\tau \in S_n \setminus \Gamma_\phi$ s.t. $\tau = \sigma \circ \mu$ for some transpositions $\mu$ (If we can't find such $\sigma$, then $S_n \setminus \Gamma_\phi = S_n$). Say $\mu(y_1, \ldots, y_n) = (y_1, \ldots, y_{m-1}, y_{m+1}, y_m, y_{m+2}, \ldots, y_n)$.

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Let $\psi(v_1, \ldots, v_n)$ be the formula $\phi(v_{\sigma(1)}, \ldots, v_{\sigma(n)})$. Then

$$\mathcal{M} \vDash \psi(x_1, \ldots, x_n)$$

but

$$\mathcal{M} \vDash \neg\psi(x_1, \ldots, x_{m-1}, x_{m+1}, x_m, x_{m+2}, \ldots, x_n)$$

Let $(A, <)$ and $B$ be as in Lemma 5.16, we can find $\mathcal{N} \vDash T$ containing a sequence of order indiscernibles $Y$ of order type $(A, <)$ with $\mathrm{tp}(Y) = \mathrm{tp}(X)$ by Lemma 5.9. Let $Y_0$ be the subset of $Y$ corresponding to $B$. If $y_1 < \cdots < y_n$ are in $Y$, then

$$\mathcal{N} \vDash \psi(y_1, \ldots, y_n)$$

and

$$\mathcal{N} \vDash \neg\psi(y_1, \ldots, y_{m-1}, y_{m+1}, y_m, y_{m+2}, \ldots, y_n)$$

If $x, y \in Y$ and $x < y$ we can find $z_1, \ldots, z_{n-1}$ in $Y_0$ s.t. $z_1 < \cdots < z_{k-1} < x < z_k < y < z_{k+1} < \cdots < z_{n-1}$. Then

$$\mathcal{N} \vDash \psi(z_1, \ldots, z_{k-1}, x, z_k, \ldots, z_{n-1})$$

but

$$\mathcal{N} \vDash \neg\psi(z_1, \ldots, z_{k-1}, y, z_k, \ldots, z_{n-1})$$

Thus any two elements of $Y$ realize distinct 1-types over $Y_0$. Because $|Y_0| \leq \kappa < |Y|$, $T$ is not $\kappa$-stable, a contradiction $\qquad\square$

### 5.2.3 Applications of Erdős–Rado

😄

## 5.3 A Many-Models Theorem

Let $T$ be a complete theory in a countable language with infinite models.

**Definition 5.18.** We say that $T$ is **stable** if it. is $\lambda$-stable for some $\lambda \geq \aleph_0$; otherwise we say $T$ is **unstable**

Shelah proved that if $T$ is unstable, then $T$ has $2^\kappa$ nonisomorphic models of cardinality $\kappa$ for all $\kappa \geq \aleph_0$. Indeed, he showed that unless $T$ is $\kappa$-stable for all $\kappa \geq 2^{\aleph_0}$, then $T$ has the maximal number of nonisomorphic models for each uncountable cardinal $\kappa$.

**Assumptions**.

- $T$ is a complete theory in a countable language $\mathcal{L}$ with infinite models

- there is a binary relation symbol $<$ in the language

- there is $\mathcal{M} \vDash T$ containing an infinite set linearly ordered by $<$

**Theorem 5.19.** *If $\kappa \geq \aleph_1$, then there are $2^\kappa$ nonisomorphic models of $T$*

We will prove this only for regular $\kappa > \aleph_1$.

## 5.4 Exercises

*Exercise* 5.4.1. We say that a theory $T$ has the **order property** iff there is a formula $\phi(v_1, \dots, v_n, w_1, \dots, w_n)$ and $\mathcal{M} \vDash T$ with $\bar{x}_1, \bar{x}_2, \dots$ in $M^n$ s.t. $\mathcal{M} \vDash \phi(\bar{x}_i, \bar{x}_j)$ iff $i < j$.

1. Show that if $\phi$ has the order property in $T$, then $T$ is not $\kappa$-stable for any infinite $\kappa$

2. Show that $T$ has the order property iff there is a formula $\psi(\bar{v}, \overline{w})$ and $\mathcal{M} \vDash T$ with $\bar{a}_1, \bar{b}_2, \bar{a}_2, \bar{b}_2, \dots$ s.t. $T \vDash \psi(\bar{a}_i, \bar{b}_j)$ iff $i < j$

   <span style="color:red">I think, we just talk about the order in the orders rather than the $T$</span>

*Proof.*    1. Let $(A, <)$ and $B$ be as in Lemma 5.16. By Lemma 5.9, we can find $\mathcal{N} \vDash T$ containing a sequence of order indiscernibles $Y$ of type $(A, <)$ with $\text{tp}(Y) = \text{tp}(X)$.

   I think, we can just transform vectors into constants.

   Thus $\mathcal{N} \vDash \phi(\bar{x}_a, \bar{x}_b)$ iff $a < b$. So we need to prove that for any $x, y \in A$ and $x < y$, they realize different type. Take $x < z < y$ and consider $\phi(\bar{x}_m, \bar{x}_z)$.

   Thus $|S_n(\{\bar{x}_b : b \in B\})| > |B|$

2. $\Rightarrow$. Let $\phi(\bar{v}_1, \bar{v}_2, \overline{w}_1, \overline{w}_2)$ be $\psi(\bar{v}_1, \overline{w}_2)$. Let $\bar{c}_i = (\bar{a}_i, \bar{b}_i)$. Show that $\phi(\bar{c}_i, \bar{c}_j)$ iff $i < j$.

   $\square$

# 6  $\omega$-Stable Theories

## 6.1 Uncountably Categorical Theories

Throughout this chapter, $T$ will be a complete theory in a countable language with infinite models

We say that $T$ is **uncountably categorical** if it is $\kappa$-categorical for some uncountable $\kappa$

**Theorem 6.1** (Categoricity Theorem). *If $T$ is $\kappa$-categorical for some uncountable $\kappa$, then $T$ is $\kappa$-categorical for every uncountable $\kappa$*

In Theorem 5.14 and 5.15, we proved two important facts about uncountably categorical theories

- if $\kappa \geq \aleph_1$ and $T$ is $\kappa$-categorical, then $T$ is $\omega$-stable

- if $\kappa \geq \aleph_1$ and $T$ is $\kappa$-categorical, then $T$ has no Vaughtian pairs

### 6.1.1 Strongly Minimal Sets

If $\mathcal{M}$ is an $\mathcal{L}$-structure and $\phi(\bar{v})$ is an $\mathcal{L}_M$-formula, we will let $\phi(\mathcal{M})$ denote the elements of $M$ that satisfy $\phi$

**Definition 6.2.** Let $\mathcal{M}$ be an $\mathcal{L}$-structure and let $D \subseteq M^n$ be an infinite definable set. We say that $D$ is **minimal** in $\mathcal{M}$ if for any definable $Y \subseteq D$ either $Y$ is finite or $D \setminus Y$ is finite. If $\phi(\bar{v}, \bar{a})$ is the formula that defines $D$, then we also say that $\phi(\bar{v}, \bar{a})$ is minimal

We say that $D$ and $\phi$ are **strongly minimal** if $\phi$ is minimal in any elementary extension $\mathcal{N}$ of $\mathcal{M}$

We say that a theory $T$ is **strongly minimal** if the formula $v = v$ is strongly minimal

This definition makes sense only if $\phi$ is non-algebraic.

Let $\mathcal{L} = \{E\}$ and consider the $\mathcal{L}$-structure $\mathcal{M}$, where $E$ is an equivalence relation with one class of size $n$ for $n = 1, 2, \ldots$ and no infinite classes. In this structure, $v = v$ is a minimal formula, but suppose that $\mathcal{M} \prec \mathcal{N}$ and $a \in N$ s.t. the equivalence class of $a$ is infinite. Then the formula $vEa$ defines an infinite-coinfinite subset of the universe. Thus the formula $v = v$ is not strongly minimal

Let $\mathcal{M}$ be an $\mathcal{L}$-structure and $D \subseteq M$ be strongly minimal. We will consider $\mathrm{acl}_D$, the algebraic closure relation restricted to $D$. Recall that $b$ is algebraic over $A$ if there is a formula $\phi(x, \bar{a})$ with $\bar{a} \in A$ s.t. $\phi(\mathcal{M}, \bar{a})$ is finite and $\phi(b, \bar{a})$. For $A \subseteq D$, we let $\mathrm{acl}_D(A) = \{b \in D : b$ is algebraic over $A\}$

If $K$ is an algebraically closed field and $A \subseteq K$, then $\mathrm{acl}(A)$ is the algebraic closure of the subfield generated by $A$ (Proposition **??**). If $G$ is a torsion-free divisible Abelian group, then $\mathrm{acl}(A)$ is the $\mathbb{Q}$-vector space span of $A$ (Exercise **??**)

**Lemma 6.3.**    *1.* $\mathrm{acl}(\mathrm{acl}(A)) = \mathrm{acl}(A) \supseteq A$

   *2. If $A \subseteq B$, then $\mathrm{acl}(A) \subseteq \mathrm{acl}(B)$*

3. *If $a \in \text{acl}(A)$, then $a \in \text{acl}(A_0)$ for some finite $A_0 \subseteq A$*

*Proof.* 1. For any $a \in A$, just consider $x = a$. Hence $A \subseteq \text{acl}(A)$. Let $B = \text{acl}(A)$. For any $c \in \text{acl}(\text{acl}(A))$, there is a formula $\phi$ s.t. $\phi(\mathcal{M}, \bar{b})$ is finite and $\phi(c, \bar{b})$. For each $b$, the is a formula $\psi_b$ s.t. $\psi_b(\mathcal{M}, \bar{a})$ is finite and $\psi_b(b, \bar{a})$. Then we could use $x \in \psi_b(\mathcal{M}, \bar{a})$ to represent $b$.

3. $\phi(\mathcal{M}, \bar{a})$ is finite and $\phi(a, \bar{a})$.

$\square$

**Lemma 6.4** (Exchange Principle)**.** *Suppose that $D \subset M$ is strongly minimal, $A \subseteq D$, and $a, b \in D$. If $a \in \text{acl}(A \cup \{b\}) \setminus \text{acl}(A)$, then $b \in \text{acl}(A \cup \{a\})$.*

<span style="color:red">Abuse of symbols, acl here is actually $\text{acl}_D$</span>

*Proof.* We write $\text{acl}(A, b)$ for $\text{acl}(A \cup \{b\})$.

Suppose that $a \in \text{acl}(A, b) \setminus \text{acl}(A)$. Suppose that $\mathcal{M} \vDash \phi(a, b)$, where $\phi$ is a formula with parameters from $A$ and $|\{x \in D : \phi(x, b)\}| = n$. Let $\psi(w)$ be the formula asserting that $|\{x \in D : \phi(x, w)\}| = n$. If $\psi(w)$ defines a finite subset of $D$, <span style="color:red">$\psi$ is an $\mathcal{L}_A$-formula as $\phi$ and $\psi(D)$ is finite, so $b \in \text{acl}_D(A)$</span> then $b \in \text{acl}(A)$ and $a \in \text{acl}(A)$, a contradiction. Thus, $\psi(w)$ defines a cofinite subset of $D$.

If $\{y \in D : \phi(a, y) \wedge \psi(y)\}$ is finite, we are done as $b \in \text{acl}_D(A, a)$. Thus we assume, for purpose of contradiction, that $|D - \{y : \phi(a, y) \wedge \psi(y)\}| = l$ for some $l$. Let $\chi(x)$ be the formula expressing

$$|D - \{y : \phi(x, y) \wedge \psi(y)\}| = l$$

If $\chi(x)$ defines a finite subset of $D$, then $a \in \text{acl}(A)$. Thus $\chi(x)$ defines a cofinite set.

Choose $a_1, \ldots, a_{n+1}$ s.t. $\chi(a_i)$. The set $B_i = \{w \in D : \phi(a_i, w) \wedge \psi(w)\}$ is cofinite for $i = 1, \ldots, n + 1$. Choose $\hat{b} \in \bigcap B_i$. Then $\phi(a_i, \hat{b})$ for each $i$, so $\left|\{x \in D : \phi(x, \hat{b})\}\right| \geq n + 1$, contradicting the fact that $\psi(\bar{b})$ $\square$

We fix $\mathcal{M} \vDash T$ and $D$ a strongly minimal set in $\mathcal{M}$.

**Definition 6.5.** We say that $A \subseteq D$ is **independent** if $a \notin \text{acl}(A \setminus \{a\})$ for all $a \in A$. If $C \subset D$, we say that $A$ is **independent over** $C$ if $a \notin \text{acl}(C \cup (A \setminus \{a\}))$ for all $a \in A$.

**Lemma 6.6.** *Suppose that $\mathcal{M}, \mathcal{N} \vDash T$ and $\phi(v)$ is a strongly minimal formula with parameters from $A$, where $A = \emptyset$ or $A \subseteq M_0$ where $\mathcal{M}_0 \vDash T$, $\mathcal{M}_0 \prec \mathcal{M}$ and $\mathcal{M}_0 \prec \mathcal{N}$. If $a_1, \ldots, a_n \in \phi(\mathcal{M})$ are independent over $A$ and $b_1, \ldots, b_n \in \phi(\mathcal{N})$ are independent over $A$, then $\text{tp}^{\mathcal{M}}(\bar{a}/A) = \text{tp}^{\mathcal{N}}(\bar{b}/A)$.*

*Proof.* We will assume that $\phi(v)$ has parameters from $A \subseteq M_0$ where $\mathcal{M}_0 \prec \mathcal{M}$ and $\mathcal{M}_0 \prec \mathcal{N}$ and leave the case $A = \emptyset$ until Exercise **??**

We prove this by induction on $n$. Assume that $n = 1$, $a \in \phi(\mathcal{M}) \setminus \mathrm{acl}(A)$ $(a \notin \mathrm{acl}(A \cup (\{a\} \setminus \{a\})))$ and $b \in \phi(\mathcal{N}) \setminus \mathrm{acl}(A)$. Let $\psi(v)$ be a formula with parameters from $A$. Suppose that $\mathcal{M} \vDash \psi(a)$. Because $a \notin \mathrm{acl}(A)$, $\phi(\mathcal{M}) \cap \psi(\mathcal{M})$ is infinite. Because $\phi$ is strongly minimal, $\phi(\mathcal{M}) \setminus \psi(\mathcal{M})$ is finite. Thus there is an $n$ s.t.

$$\mathcal{M} \vDash |\{x : \phi(x) \wedge \neg\psi(x)\}| = n$$

Because $\mathcal{M}_0 \prec \mathcal{M}$, $\mathcal{M}_0 \prec \mathcal{N}$ and $b \notin \mathrm{acl}(A)$, $\mathcal{N} \vDash \psi(b)$. First $\mathcal{N} \vDash |\{x : \phi(x) \wedge \neg\psi(x)\}| = n$. As $b \notin \mathrm{acl}(A)$, $\mathcal{N} \vDash \neg(\phi(b) \wedge \neg\psi(b))$. Thus $\mathrm{tp}^{\mathcal{M}}(a/A) = \mathrm{tp}^{\mathcal{N}}(b/A)$

Suppose that the claim i true for $n$ and $a_1, \dots, a_{n+1} \in \phi(\mathcal{M})$ and $b_1, \dots, b_{n+1} \in \phi(\mathcal{N})$ are independent sequences over $A$. Let $\bar{a} = (a_1, \dots, a_n)$ and $\bar{b} = (b_1, \dots, b_n)$. By induction, $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A) = \mathrm{tp}^{\mathcal{N}}(\bar{b}/A)$. Let $\psi(\bar{w}, v)$ be a formula with parameters from $A$ s.t. $\mathcal{M} \vDash \psi(\bar{a}, a_{n+1})$. Because $a_{n+1} \notin \mathrm{acl}(A, \bar{a})$, $\phi(\mathcal{M}) \cap \psi(\bar{a}, \mathcal{M})$ is infinite and $\phi(\mathcal{M}) \setminus \psi(\bar{a}, \mathcal{M})$ is finite. There is an $n$ s.t.

$$\mathcal{M} \vDash |\{v : \phi(v) \wedge \neg\psi(\bar{a}, v)\}| = n$$

Because $\mathcal{M}_0 \prec \mathcal{M}$ and $\mathcal{M}_0 \prec \mathcal{N}$ and $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A) = \mathrm{tp}^{\mathcal{N}}(\bar{b}/A)$

$$\mathcal{N} \vDash \left|\{v : \phi(v) \wedge \neg\psi(\bar{b}, v)\}\right| = n$$

As $\mathrm{tp}^{\mathcal{M}}(\bar{a}/A) = \mathrm{tp}^{\mathcal{N}}(\bar{b}/A)$, we can build a partial elementary map $f : \bar{a} \mapsto \bar{b}$

$$\mathcal{M} \vDash \exists v \psi(\bar{a}, v) \Leftrightarrow \mathcal{N} \vDash \exists v \psi(\bar{b}, v)$$

Because $b_{n+1} \notin \mathrm{acl}(A, \bar{b})$, $\mathcal{N} \vDash \psi(\bar{b}, b_{n+1})$. Thus $\mathrm{tp}^{\mathcal{M}}(\bar{a}, a_{n+1}/A) = \mathrm{tp}^{\mathcal{N}}(\bar{b}, b_{n+1}/A)$
$\square$

**Corollary 6.7.** *If $\mathcal{M}, \mathcal{N} \vDash T$, $A$ and $\phi(v)$ are as above, $B$ is an infinite subset of $\phi(\mathcal{M})$ independent over $A$ and $C$ is an infinite subset of $\phi(\mathcal{N})$ independent over $A$, then $B$ and $C$ are infinite sets of indiscernibles of the same type over $A$.*

Therefore cardinality is the only way to distinguish independent subsets of $D$.

**Definition 6.8.** We say that $A$ is a **basis** for $Y \subseteq D$ if $A \subseteq Y$ is independent and $\mathrm{acl}(A) = \mathrm{acl}(Y)$

**Lemma 6.9.** *Let $A, B \subseteq D$ be independent with $A \subseteq \mathrm{acl}(B)$*

1. *Suppose that $A_0 \subseteq A$, $B_0 \subseteq B$, $A_0 \cup B_0$ is a basis for $\mathrm{acl}(B)$ and $a \in A \setminus A_0$. Then there is $b \in B_0$ s.t. $A_0 \cup \{a\} \cup (B_0 \setminus \{b\})$ is a basis for $\mathrm{acl}(B)$*

2. $|A| \leq |B|$

3. *If $A$ and $B$ are bases for $Y \subseteq D$, then $|A| = |B|$*

From 1, if $A_0 = \emptyset$ and $B_0$ is a basis for $\mathrm{acl}(B)$. Then take arbitrary $a \in A$ there is a $b \in B_0$ s.t. $\{a\} \cup (B_0 \setminus \{b\})$ is a basis for $\mathrm{acl}(B)$

*Proof.*     1. Let $C \subseteq B_0$ be of minimal cardinality s.t. $a \in \mathrm{acl}(A_0 \cup C) = \mathrm{acl}(A_0, b, C \setminus \{b\})$. As $C$ is minimal, $a \notin \mathrm{acl}(A_0, C \setminus \{b\})$. Because $A$ is independent, $|C| \geq 1$. Let $b \in C$. By exchange, $b \in \mathrm{acl}(A_0, a, C \setminus \{b\})$ and thus $\mathrm{acl}(A_0 \cup \{a\} \cup (B_0 \setminus \{b\})) = \mathrm{acl}(B)$.

If $a \in \mathrm{acl}(A_0, B_0 \setminus \{b\})$, then $b \in \mathrm{acl}(A_0, B_0 \setminus \{b\})$, contradicting the fact that $A_0 \cup B_0$ is a basis. Thus $A_0 \cup \{a\} \cup (B \setminus \{b\})$ is independent

2. Suppose that $B$ is finite. Suppose that $|B| = n$ and $a_1, \ldots, a_{n+1}$ are distinct elements of $A$. Let $A_0 = \emptyset$ and $B_0 = B$. Using 1 inductively we can find $b_1, \ldots, b_n \in B$ distinct s.t. $\{a_1, \ldots, a_i\} \cup (B \setminus \{b_1, \ldots, b_i\})$ is a basis for $\mathrm{acl}(B)$ for $i \leq n$. But then $\mathrm{acl}(a_1, \ldots, a_n) = \mathrm{acl}(B)$. Because $a_{n+1} \in \mathrm{acl}(B)$, this contradicts the independence of $A$

If $B$ is infinite, then for any finite $B_0 \subset B$, $A \cap \mathrm{acl}(B_0)$ is finite and

$$A = \bigcup_{B_0 \subseteq B \text{ finite}} A \cap \mathrm{acl}(B_0) \subseteq \bigcup_{B_0 \subseteq B \text{ finite}} \mathrm{acl}(B_0) = B$$

Thus $|A| \leq |B|$

3. From 2.

$\square$

**Definition 6.10.** If $Y \subseteq D$, then the **dimension** of $Y$ is the cardinality of a basis for $Y$, denoted by $\dim(Y)$

Note that if $D$ is uncountable, then $\dim(D) = |D|$ because our language is countable and $\mathrm{acl}(A)$ is countable for any countable $A \subseteq D$

For strongly minimal theories, every model is determined up to isomorphism by its dimension

**Theorem 6.11.** *Suppose $T$ is a strongly minimal theory. If $\mathcal{M}, \mathcal{N} \vDash T$, then $\mathcal{M} \cong \mathcal{N}$ iff $\dim(M) = \dim(N)$*

*More generally, if $\mathcal{M}, \mathcal{N}$ and $\phi$ are as in Lemma 6.6 and $\dim(\phi(\mathcal{M})) = \dim(\phi(\mathcal{N}))$, then there is a bijective partial elementary map $f : \phi(\mathcal{M}) \to \phi(\mathcal{N})$*

*Proof.* Let $B$ be at transcendence basis for $\phi(\mathcal{M})$ and $C$ be a transcendence basis for $\phi(\mathcal{N})$. (Guess its just basis) Because $|B| = |C|$, we can find a bijection $f : B \to C$. By Corollary 6.7, $f$ is elementary. Let

$$I = \{g : B' \to C' : B \subseteq B' \subseteq \phi(\mathcal{M}), C \subseteq C' \subseteq \phi(\mathcal{N}), f \subseteq g \text{ partial elementary}\}$$

By Zorn's Lemma, there is a maximal $g : B' \to C'$. Suppose that $b \in \phi(\mathcal{M}) \setminus B'$. Because $b$ is algebraic over $B'$ as $B \subseteq B'$ , there is a formula $\psi(v, \bar{d})$ isolating $\text{tp}^{\mathcal{M}}(b/B')$ (Exercise 4.5.3). Because $g$ is partial elementary, we can find $c \in \phi(\mathcal{N})$ s.t. $\psi(c, g(\bar{d}))$. Then $\text{tp}^{\mathcal{M}}(b/B') = \text{tp}^{\mathcal{N}}(c/C')$, and we can extend $g$ by sending $b$ to $c$. This contradicts the maximality of $g$. Thus $\phi(\mathcal{M}) = B'$. An analogous argument shows that $C' = \phi(\mathcal{N})$ $\qquad\square$

**Corollary 6.12.** *If $T$ is a strongly minimal theory, then $T$ is $\kappa$-categorical for $\kappa \geq \aleph_1$ and $I(T, \aleph_0) \leq \aleph_0$*

*Proof.* If $\mathcal{M}$ has cardinality $\kappa \geq \aleph_1$, then any transcendence basis for $\mathcal{M}$ has cardinality $\kappa$, whereas if $|M| = \aleph_0$, then $\dim(M) \leq \aleph_0$ $\qquad\square$

### 6.1.2 Existence of Strongly Minimal Formulas

In $\omega$-stable theories, we can always find minimal formulas

**Lemma 6.13.** *Let $T$ be $\omega$-stable*

1. *If $\mathcal{M} \vDash T$, then there is a minimal formula in $\mathcal{M}$*

2. *If $\mathcal{M} \vDash T$ is $\aleph_0$-saturated and $\phi(\bar{v}, \bar{a})$ is a minimal formula in $\mathcal{M}$, then $\phi(\bar{v}, \bar{a})$ is strongly minimal*

*Proof.*     1. Suppose not. We build a tree of formulas $(\phi_\sigma : \sigma \in 2^{<\omega})$ s.t.:

    (a) if $\sigma \subseteq \tau$, then $\phi_\tau \vDash \phi_\sigma$

    (b) $\phi_{\sigma,i} \vDash \neg\phi_{\sigma,1-i}$

    (c) $\phi_\sigma(\mathcal{M})$ is infinite

    Let $\phi_\emptyset$ be the formula $v = v$. Suppose that we have a formula $\phi_\sigma$ s.t. $\phi_\sigma(\mathcal{M})$ is infinite. Because $\phi_\sigma$ is not minimal, we can find a formula $\psi$ s.t. $(\phi_\sigma \wedge \psi)(\mathcal{M})$ and $(\phi_\sigma \wedge \neg\psi)(\mathcal{M})$ are both infinite. Let $\phi_{\sigma,0} = \phi_\sigma \wedge \psi$ and let $\phi_{\sigma,1} = \phi_\sigma \wedge \neg\psi$. As in Theorem 4.31 we can find a countable $A \subseteq M$ s.t. $\left|S_1^{\mathcal{M}}(A)\right| = 2^{\aleph_0}$, contradicting $\omega$-stability

2. Suppose not. Let $\mathcal{M} \prec \mathcal{N}$, $\bar{b} \in N$ s.t. $\psi(\mathcal{N}, \bar{b})$ is an infinite coinfinite subset of $\phi(\mathcal{N}, \bar{a})$. Because $\mathcal{M}$ is $\aleph_0$-saturated, we can find $\bar{b}' \in M$ s.t. $\mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{b}') = \mathrm{tp}^{\mathcal{N}}(\bar{a}, \bar{b})$. Then $\psi(\bar{v}, \bar{b})$ defines an infinite coinfinite subset of $\phi(\mathcal{M}, \bar{a})$, a contradiction

$\square$

**Lemma 6.14.** *Suppose that $T$ is an $\mathcal{L}$-theory with no Vaughtian pairs. Let $\mathcal{M} \vDash T$ and let $\phi(v_1, \dots, v_k, w_1, \dots, w_m)$ be a formula with parameters from $M$. There is a number $n$ s.t. if $\bar{a} \in M$ and $|\phi(\mathcal{M}, \bar{a})| > n$, then $\phi(\mathcal{M}, \bar{a})$ is infinite.*

*Proof.* Suppose not. Then, for each $n \in \mathbb{N}$, we can find $\bar{a}_n$ in $M$ s.t. $\phi(\mathcal{M}, \bar{a}_n)$ is a finite set of size at least $n$. Consider the language $\mathcal{L}^* = \mathcal{L} \cup \{U\}$ for pairs of models of $T$ used in the proof of Lemma 4.57, and let $\Gamma(\bar{w}) \supset T$ be the $\mathcal{L}^*$-type asserting:

1. $U$ defines a proper $\mathcal{L}$-elementary submodel

2. $\bigwedge_{i=1}^m U(w_i)$

3. there are infinitely many elements $\bar{v}$ s.t. $\phi(\bar{v}, \bar{w})$

4. $\phi(\bar{v}, \bar{w}) \to \bigwedge_{i=1}^k U(v_i)$

Let $\mathcal{N}$ be a proper elementary extension of $\mathcal{M}$. Because $\phi(\mathcal{M}, \bar{a}_n)$ is finite and $\mathcal{M} \prec \mathcal{N}$, $\phi(\mathcal{M}, \bar{a}_n) = \phi(\mathcal{N}, \bar{a}_n)$ <span style="color:red">which realize 4</span> . If $\Delta \subseteq \Gamma(\bar{w})$ is finite, then by choosing $n$ sufficiently large <span style="color:red">to realize 3</span> , $\bar{a}_n$ realizes $\Delta$ in $(\mathcal{N}, \mathcal{M})$. Thus by compactness, $\Gamma$ is satisfiable.

Suppose that $\bar{a}$ realizes $\Gamma(\bar{w})$ in $(\mathcal{N}', \mathcal{M}')$ where $\mathcal{M}' \vDash T$ and $\mathcal{N}'$ is a proper elementary extension. <span style="color:red">We can just add constants to make formulas into sentences.</span>   Then $\phi(\mathcal{M}', \bar{a})$ is an infinite set s.t. $\phi(\mathcal{M}', \bar{a}) = \phi(\mathcal{N}', \bar{a})$, contradicting the fact that there are no Vaughtian pairs of models of $T$.  $\square$

Note that if $n$ is as in Lemma 6.14, then in any elementary extension $\mathcal{N}$ of $\mathcal{M}$, $\left|\phi(\mathcal{N}, \bar{b})\right|$ is infinite whenever $|\phi(\mathcal{N}, b)| > n$

**Corollary 6.15.** *If $T$ has no Vaughtian pairs, then any minimal formula is strongly minimal*

*Proof.* Let $\phi(\bar{v})$ be a minimal formula over $\mathcal{M} \vDash T$ (possibly with parameters). Suppose, for purpose of contradiction, that there is an elementary $\mathcal{N}$ of $\mathcal{M}$, $\bar{b} \in N$, and an $\mathcal{L}$-formula $\psi(\bar{v}, \bar{w})$ s.t. $\psi(\mathcal{N}, \bar{b})$ is an infinite coinfinite subset of $\phi(\mathcal{N})$.

By Lemma 6.14, there is a number $n$ s.t. for any $\mathcal{M} \prec \mathcal{N}'$ and $\bar{a} \in N'$, $\psi(\mathcal{N}', \bar{a})$ is an infinite coinfinite subset of $\phi(\mathcal{N}')$ iff $|\psi(\mathcal{N}', \bar{a}) \cap \phi(\mathcal{N}')| > n$ and $|\neg\psi(\mathcal{N}', \bar{a}) \cap \phi(|caln')| > n$. But

$$\mathcal{M} \vDash \forall \bar{w}(|\psi(\mathcal{M}, \bar{w}) \cap \phi(\mathcal{M})| \le n \vee |\neg\psi(\mathcal{M}, \bar{w}) \cap \phi(\mathcal{M})| \le n)$$

$\square$

**Corollary 6.16.** *If $T$ is $\omega$-stable and has no Vaughtian pairs, then for any $\mathcal{M} \vDash T$ there is a strongly minimal formula over $\mathcal{M}$. In particular, there is a strongly minimal formula with parameters from $\mathcal{M}_0$, the prime model of $T$.*

### 6.1.3 The Categoricity Theorem

Our proof of categoricity will follow the argument in Theorem 6.11. We can find a strongly minimal formula $\phi(v)$ over the prime model. If $\mathcal{M}$ and $\mathcal{N}$ are models of $T$ of the same uncountable cardinality, then we can find a partial elementary bijection between $\phi(\mathcal{M})$ and $\phi(\mathcal{N})$. The next lemma allows to extend this to an isomorphism between $\mathcal{M}$ and $\mathcal{N}$.

**Lemma 6.17.** *If $T$ has no Vaughtian pairs, $\mathcal{M} \vDash T$, and $X \subseteq M^n$ is infinite and definable, then no proper elementary submodel of $\mathcal{M}$ contains $X$. If in addition, $T$ is $\omega$-stable, then $\mathcal{M}$ is prime over $X$*

*Proof.* Let $\phi(\bar{v})$ defines $X$. If $\mathcal{N}$ is a proper elementary submodel of $\mathcal{M}$ containing $X$, then $X = \phi(\mathcal{M}) = \phi(\mathcal{N})$ and $(\mathcal{M}, \mathcal{N})$ is a Vaughtian pair.

If $T$ is $\omega$-stable, then by Theorem 4.33, there is $\mathcal{N} \prec \mathcal{M}$, a prime model over $X$. Because $T$ has no Vaughtian pairs, we must have $\mathcal{N} = \mathcal{M}$, so $\mathcal{M}$ is prime over $X$ $\square$

We can now prove the Baldwin-Lachlan characterization of uncountably categorical theories and deduce Morley's Categoricity Theorem

**Theorem 6.18.** *Let $T$ be a complete theory in a countable language with infinite models, and let $\kappa$ be an uncountable cardinal. $T$ is $\kappa$-categorical iff $T$ is $\omega$-stable and has no Vaughtian pairs*

*In particular, if $T$ is $\kappa$-categorical for some uncountable cardinal, then $T$ is $\lambda$-categorical for all uncountable cardinals $\lambda$*

*Proof.* $\Rightarrow$. If $T$ is $\kappa$-categorical, then, by Corollaries 5.14 and 5.15, $T$ is $\omega$-stable and has no Vaughtian pairs

$\Leftarrow$. Suppose $T$ is $\omega$-stable and has no Vaughtian pairs. Because $T$ is $\omega$-stable, it has a prime model $\mathcal{M}_0$. By Lemma 6.13 and Corollary 6.15 , there is $\phi(v)$, a strongly minimal formula with parameters from $\mathcal{M}_0$.

Suppose that $\mathcal{M}$ and $\mathcal{N}$ are models of $T$ of cardinality $\kappa \geq \aleph_1$. We can view $\mathcal{M}$ and $\mathcal{N}$ as elementary extensions of $\mathcal{M}_0$. Then $\dim(\phi(\mathcal{M})) = \dim(\phi(\mathcal{N})) = \kappa$. As there is no Vaughtian pairs, $|\phi(\mathcal{M})| > |\phi(\mathcal{M}_0)|$ and $|\phi(\mathcal{N})| > |\phi(\mathcal{M}_0)|$. By Theorem 6.11 there is $f : \phi(\mathcal{M}) \to \phi(\mathcal{N})$, a partial elementary bijection. By Lemma 6.17, $\mathcal{M}$ is prime over $\phi(\mathcal{M})$. Thus we can extend $f$ to an elementary $f' : \mathcal{M} \to \mathcal{N}$. But by Lemma 6.17, $\mathcal{N}$ has no proper elementary submodels containing $\phi(\mathcal{N})$. Thus $f'$ is surjective and $f'$ is an isomorphism

Because the Baldwin-Lachlan characterization of $\kappa$-categorical theories does not depend on $\kappa$, $T$ is $\kappa$-categorical for some uncountable cardinal iff $T$ is $\lambda$-categorical for every uncountable cardinal $\lambda$ $\qquad\square$

The proof shows that if $\mathcal{M}_0$ is the prime model of $T$, $\phi(v)$ is a strongly minimal formula with parameters from some finite $A \subset M_0$, $\mathcal{M}, \mathcal{N} \vDash T$ and $\dim(\phi(\mathcal{M})/A) = \dim(\phi(\mathcal{N})/A)$, then $\mathcal{M} \cong \mathcal{N}$. Because there are only $\aleph_0$ possibilities for $\dim(\mathcal{M}/A)$, we also get an upper bound on the number of countable models

**Proposition 6.19.** *If $T$ is uncountably categorical, then $I(T, \aleph_0) \leq \aleph_0$*

Note that in the analysis above we did not assert that if $\mathcal{M} \cong \mathcal{N}$, then $\dim(\phi(\mathcal{M}/A)) = \dim(\phi(\mathcal{N})/A)$. This converse is true if $A = \emptyset$. If $\phi(v)$ is a strongly minimal $\mathcal{L}$-formula, then any isomorphism maps $\phi(\mathcal{M})$ onto $\phi(\mathcal{N})$.

**Lemma 6.20.** *Suppose that $T$ is an $\omega$-stable $\mathcal{L}$-theory and $\phi(v)$ is a strongly minimal $\mathcal{L}$-formula (with no additional parameters). Suppose that $\mathcal{M} \vDash T$ and $\dim(\phi(\mathcal{M})) = n < \aleph_0$. Then for all $m \geq n$ there is $\mathcal{N} \vDash T$ with $\dim(\phi(\mathcal{N})) = m$*

*Proof.* Let $\mathcal{M}^* \vDash T$ be an $\omega$-saturated elementary extension of $\mathcal{M}$. It is $\qquad\square$

## 6.2  Morley Rank

$T$ is a complete theory with infinite models

Suppose that $K$ is an infinite field and $V \subseteq K^n$ is an $m$-dimensional vector space. Suppose that $f$ is a linear function that is not constant on $V$. For $a \in K$, let $V_a = \{x \in V : f(x) = a\}$. Then $\{V_a : a \in K\}$ is an infinite family of $(m-1)$-dimensional affine subsets of $V$. Morley rank is an attempt to generalize this property of dimension. The basic idea is that if a definable set $X$ contains infinitely many pairwise disjoint sets of dimension $m$, then $X$ should have dimension at least $m + 1$.

**Definition 6.21.** Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure and $\phi(\bar{v})$ is an $\mathcal{L}_M$-formula. We will define $\mathrm{RM}^{\mathcal{M}}(\phi)$, the **Morley rank** of $\phi$ in $\mathcal{M}$. First we inductively define $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha$ for $\alpha$ an ordinal:

1. $\mathrm{RM}^{\mathcal{M}}(\phi) \geq 0$ iff $\phi(\mathcal{M})$ is nonempty

2. if $\alpha$ is a limit ordinal, then $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha$ iff $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \beta$ for all $\beta < \alpha$

3. for any ordinal $\alpha$, $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha+1$ iff there are $\mathcal{L}_M$-formulas $\psi_1(\bar{v}), \psi_2(\bar{v}), \ldots$ s.t. $\psi_1(\mathcal{M}), \psi_2(\mathcal{M}), \ldots$ is an infinite family of pairwise disjoint subsets of $\phi(\mathcal{M})$ and $\mathrm{RM}^{\mathcal{M}}(\psi_i) \geq \alpha$ for all $i$

If $\phi(\mathcal{M}) = \emptyset$, then $\mathrm{RM}^{\mathcal{M}}(\phi) = -1$. If $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha$ but $\mathrm{RM}^{\mathcal{M}}(\phi) \not\geq \alpha+1$, then $\mathrm{RM}^{\mathcal{M}}(\phi) = \alpha$. If $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha$ for all ordinals $\alpha$, then $\mathrm{RM}^{\mathcal{M}}(\phi) = \infty$

**Lemma 6.22.** *Suppose that $\theta(\bar{v}, \bar{w})$ is an $\mathcal{L}$-formula, $\mathcal{M}$ is $\aleph_0$-saturated, $\bar{a}, \bar{b} \in M$ and $\mathrm{tp}^{\mathcal{M}}(\bar{a}) = \mathrm{tp}^{\mathcal{M}}(\bar{b})$. Then $\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{a})) = \mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{b}))$*

*Proof.* We prove by induction on $\alpha$ that if $\theta(\bar{v}, \bar{w})$ is any $\mathcal{L}$-formula and $\mathrm{tp}^{\mathcal{M}}(\bar{a}) = \mathrm{tp}^{\mathcal{M}}(\bar{b})$, then $\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{a})) \geq \alpha$ iff $\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{b})) \geq \alpha$

Because $\mathrm{tp}^{\mathcal{M}}(\bar{a}) = \mathrm{tp}^{\mathcal{N}}(\bar{b})$, $\theta(\mathcal{M}, \bar{a}) = \emptyset$ iff $\mathcal{M} \vDash \neg \exists \bar{x} \theta(\bar{x}, \bar{a})$ iff $\mathcal{M} \vDash \neg \exists \bar{x} \theta(\bar{x}, \bar{b})$ iff $\theta(\mathcal{M}, \bar{b}) = \emptyset$

If $\alpha$ is a limit ordinal, then it's trivial

$$
\begin{aligned}
\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{a})) \geq \alpha \quad &\Leftrightarrow \quad \mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{a})) \geq \beta \text{ for all } \beta < \alpha \\
&\Leftrightarrow \quad \mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{b})) \geq \beta \text{ for all } \beta < \alpha \\
&\Leftrightarrow \quad \mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{b})) \geq \alpha
\end{aligned}
$$

Suppose the claim is true for $\alpha$ and $\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{a})) \geq \alpha+1$. There are $\mathcal{L}_M$-formulas $\psi_1, \psi_2, \ldots$ s.t. $\psi_1(\mathcal{M}), \psi_2(\mathcal{M}), \ldots$ is an infinite sequence of pairwise disjoint subsets of $\theta(\mathcal{M}, \bar{a})$ and $\mathrm{RM}^{\mathcal{M}}(\psi_i) \geq \alpha$ for all $i$. For each $i$, there is an $\mathcal{L}$-formula $\chi_i(\bar{v}, w_1, \ldots, w_{m_i})$ and $\bar{c}_i \in M^{m_i}$ s.t. $\psi_i(\bar{v})$ is $\chi_i(\bar{v}, \bar{c}_i)$. Because $\mathcal{M}$ is $\aleph_0$-saturated, we can do a <u>back-and-forth</u> argument to find $\bar{d}_1, \bar{d}_2, \ldots$ s.t.

$$
\mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{c}_1, \ldots, \bar{c}_m) = \mathrm{tp}^{\mathcal{M}}(\bar{b}, \bar{d}_1, \ldots, \bar{d}_m)
$$

for all $m < \omega$ <span style="color:red">Check Proposition 4.38 if forgot.</span> Then $\chi_1(\mathcal{M}, \bar{d}_1), \chi_2(\mathcal{M}, \bar{d}_2), \ldots$ is an infinite sequence of pairwise disjoint subsets of $\theta(\mathcal{M}, \bar{b})$. Thus $\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{b})) \geq \alpha + 1$

Consequently

$$
\mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{a})) = \mathrm{RM}^{\mathcal{M}}(\theta(\bar{v}, \bar{b}))
$$

$\square$

**Lemma 6.23.** *Suppose that $\mathcal{M}$ and $\mathcal{N}$ are $\aleph_0$-saturated models of $T$ and $\mathcal{M} \prec \mathcal{N}$. If $\phi$ is an $\mathcal{L}_M$-formula, then $\mathrm{RM}^{\mathcal{M}}(\phi) = \mathrm{RM}^{\mathcal{N}}(\phi)$.*

*Proof.* Prove by induction on $\alpha$ that if $\phi$ is an $\mathcal{L}_M$-formula, then $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha$ iff $\mathrm{RM}^{\mathcal{N}}(\phi) \geq \alpha$.

Because $\mathcal{M} \prec \mathcal{N}$, $\phi(\mathcal{M}) = \emptyset$ iff $\phi(\mathcal{N}) = \emptyset$. Thus $\mathrm{RM}^{\mathcal{M}}(\phi) \geq 0$ iff $\mathrm{RM}^{\mathcal{N}}(\phi) \geq 0$

If $\alpha$ is a limit ordinal...

If $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha+1$, then we can find $\mathcal{L}_M$-formulas $\psi_1, \psi_2, \dots$ s.t. $\psi_1(\mathcal{M}), \psi_2(\mathcal{M}), \dots$ is an infinite sequence of pairwise disjoint subsets of $\phi(\mathcal{M})$ and $\mathrm{RM}^{\mathcal{M}}(\psi_i) \geq \alpha$ for all $i$. By induction, $\mathrm{RM}^{\mathcal{N}}(\psi_i) \geq \alpha$. Because $\mathcal{M} \prec \mathcal{N}$, $\psi_1(\mathcal{N}), \psi_2(\mathcal{N}), \dots$ is an infinite sequence of pairwise disjoint subsets of $\phi(\mathcal{N})$

Suppose that $\mathrm{RM}^{\mathcal{N}}(\phi) \geq \alpha + 1$. There are $\mathcal{L}_N$-formulas $\psi_1, \psi_2, \dots$ s.t. $\psi_1(\mathcal{N}), \psi_2(\mathcal{N}), \dots$ is an infinite sequence of pairwise disjoint subsets of $\phi(\mathcal{N})$ and $\mathrm{RM}^{\mathcal{N}}(\psi_i) \geq \alpha$ for all $i$. Let $\bar{a}$ be the parameters from $M$ occurring in the formula $\phi$. Let $\psi_i(\bar{v})$ be $\theta_i(\bar{v}, \bar{b}_i)$, where $\theta_i$ is an $\mathcal{L}$-formula and $\bar{b}_i \in N$. Because $\mathcal{M}$ is $\aleph_0$-saturated, we can find $\bar{c}_1, \bar{c}_2, \dots$ in $M$ s.t.

$$\mathrm{tp}^{\mathcal{N}}(\bar{a}, \bar{b}_1, \dots, \bar{b}_m) = \mathrm{tp}^{\mathcal{M}}(\bar{a}, \bar{c}_1, \dots, \bar{c}_m) = \mathrm{tp}^{\mathcal{N}}(\bar{a}, \bar{c}_1, \dots, \bar{c}_m)$$

for $m < \omega$. By Lemma 6.22, $\mathrm{RM}^{\mathcal{N}}(\theta_i(\bar{v}, \bar{c}_i)) \geq \alpha$. By induction, $\mathrm{RM}^{\mathcal{M}}(\theta_i(\bar{v}, \bar{c}_i)) \geq \alpha$. Consequently, $\mathrm{RM}^{\mathcal{M}}(\phi) \geq \alpha + 1$ $\qquad\square$

**Corollary 6.24.** *Suppose that $\mathcal{M}$ is an $\mathcal{L}$-structure, $\phi$ is an $\mathcal{L}_M$-formula, and $\mathcal{N}_0$ and $\mathcal{N}_1$ are $\aleph_0$-saturated elementary extensions of $\mathcal{M}$. Then $\mathrm{RM}^{\mathcal{N}_0}(\phi) = \mathrm{RM}^{\mathcal{N}_1}(\phi)$*

*Proof.* By Exercise 2.5.4 there is $\mathcal{N}_2$, a common elementary extension of $\mathcal{N}_0$ and $\mathcal{N}_1$. Let $\mathcal{N}_3$ be an $\aleph_0$-saturated elementary extension of $\mathcal{N}_2$. By Lemma 6.23, $\mathrm{RM}^{\mathcal{N}_0}(\phi) = \mathrm{RM}^{\mathcal{N}_3}(\phi) = \mathrm{RM}^{\mathcal{N}_1}(\phi)$ $\qquad\square$

Corollary 6.24 allows us to define the Morley rank of $\phi$ in a way that does not depend on which model contains the parameters occuring in $\phi$

**Definition 6.25.** If $\mathcal{M}$ is an $\mathcal{L}$-structure and $\phi$ is any $\mathcal{L}$-formula, we define $\mathrm{RM}(\phi)$, the **Morley rank** of $\phi$, to be $\mathrm{RM}^{\mathcal{N}}(\phi)$, where $\mathcal{N}$ is any $\aleph_0$-saturated elementary extension of $\mathcal{M}$

**Definition 6.26.** Suppose that $\mathcal{M} \vDash T$ and $X \subseteq M^n$ is defined by the $\mathcal{L}_M$-formula $\phi(\bar{v})$. We let $\mathrm{RM}(X)$, the **Morley rank** of $X$, be $\mathrm{RM}(\phi)$

In particular, if $\mathcal{M}$ is $\aleph_0$-saturated and $X \subseteq M^n$ is definable, then $\mathrm{RM}(X) \geq \alpha + 1$ iff we can find $Y_1, Y_2, \ldots$ pairwise disjoint definable subsets of $X$ of Morley rank at least $\alpha$

**Lemma 6.27.** *Let $\mathcal{M}$ be an $\mathcal{L}$-structure and let $X$ and $Y$ be definable subsets of $M^n$*

1. *If $X \subseteq Y$, then $\mathrm{RM}(X) \leq \mathrm{RM}(Y)$*

2. $\mathrm{RM}(X \cup Y)$ *is the maximum of $\mathrm{RM}(X)$ and $\mathrm{RM}(Y)$*

3. *If $X$ is nonempty, then $\mathrm{RM}(X) = 0$ iff $X$ is finite*

*Proof.*    1. If $X = \phi(\mathcal{M})$ and $Y = \psi(\mathcal{M})$. $X \subseteq Y$ means $\mathcal{M} \vDash \forall \bar{x}(\phi(\bar{x}) \to \psi(\bar{x}))$. If $\mathrm{RM}(\phi)$ has an infinite sequence $\theta_1(\bar{x}), \theta_2(\bar{x}), \ldots$, the sequence is also the infinite pairwise disjoint sequence for $\mathrm{RM}(\psi)$.

2. W.L.O.G, assume $\mathrm{RM}(X) > \mathrm{RM}(Y)$, then $\mathrm{RM}(X \cup Y) \geq \mathrm{RM}(X) > \mathrm{RM}(Y) = \alpha$ by 1. Suppose $\mathrm{RM}(X \cup Y) = \gamma$. For any $\alpha < \beta < \gamma$, we have $\psi_1(\mathcal{N}), \psi_2(\mathcal{N}), \ldots$ an infinite family of pairwise disjoint subsets of $\varphi(\mathcal{N})$ and $\mathrm{RM}(\psi_i) = \beta > \alpha$. Thus there is no infinite subsequence of $Y$, hence there is an infinite subsequence $X \cup Y - Y$. Thus $\mathrm{RM}(X \cup Y) \leq \mathrm{RM}(X)$.

3. Let $X = \phi(\mathcal{M})$. Because $X$ is nonempty, $\mathrm{RM}(\phi) \geq 0$. Because $\phi(\mathcal{M})$ is finite iff $\phi(\mathcal{N})$ is finite for any $\mathcal{M} \prec \mathcal{N}$, we may, W.L.O.G., assume that $\mathcal{M}$ is $\aleph_0$-saturated. If $X$ is finite, then, because $X$ cannot be partitioned into infinitely many nonempty sets, $\mathrm{RM}(X) \not\geq 1$. Thus $\mathrm{RM}(X) = 0$. If $X$ is infinite, let $a_1, a_2, \ldots$ be distinct elements of $X$. Then $\{a_1\}, \{a_2\}, \ldots$ is an infinite sequence of pairwise disjoint definable subsets of $X$. Thus $RM(X) \geq 1$.

$\square$

**Definition 6.28.** A theory $T$ is called **totally transcendental** if, for all $\mathcal{M} \vDash T$, if $\phi$ is an $\mathcal{L}_M$-formula, then $\mathrm{RM}(\phi) < \infty$

### 6.2.1   The Monster Model

Let $\mathbb{M} \vDash T$ be saturated of cardinality $\kappa$, where $\kappa$ is "very large". We call $\mathbb{M}$ the **monster model** of $T$. If $\mathcal{M} \vDash T$ and $|\mathbb{M}| \leq \kappa$, then by Lemma 4.49 there is an elementary embedding of $\mathcal{M}$ into $\mathbb{M}$. Moreover, if $\mathcal{M} \prec \mathbb{M}$, $f : \mathcal{M} \to \mathcal{N}$ is elementary, and $|N| < \kappa$, we can find $j : \mathcal{N} \to \mathbb{M}$ elementary s.t. $j|M$ is

the identity. Thus, if we focus attention on models of $T$ of cardinality less than $\kappa$, we can view all models as elementary submodels of $\mathbb{M}$.

There are several problems with this approach.

1. We want to prove theorems about all models of $T$, not just the small ones.

   But if there are arbitrarily large saturated models of $T$, then we can prove something about all models of $T$ by proving it for submodels of larger and larger monster models

2. For general theories $T$ there may not be any saturated models.

   For the remainder of this text, we will be focusing on $\omega$-stable theories, and, by Theorem 4.47, there are saturated models of $T$ of cardinality $\kappa$ for each regular cardinal $\kappa$.

For the remainder of the chapter, we make the following assumptions:

- $\mathbb{M}$ is a large saturated model of $T$

- all $\mathcal{M} \vDash T$ that we consider are elementary submodels of $\mathbb{M}$ and $|M| < |\mathbb{M}|$

- all sets $A$ of parameters that we consider are subsets of $\mathbb{M}$ with $|A| < \mathbb{M}$

- if $\phi(\bar{v}, \bar{a})$ is a formula with parameters, we assume $\bar{a} \in \mathbb{M}$

- we write $\mathrm{tp}(\bar{a}/A)$ and $S_n(A)$ for $S_n^{\mathbb{M}}(A)$

Note that if $\bar{a} \in M$, then because $\mathcal{M} \prec \mathbb{M}$, $\mathcal{M} \vDash \phi(\bar{a})$ iff $\mathbb{M} \vDash \phi(\bar{a})$. We will say that $\phi(\bar{a})$ holds if $\mathbb{M} \vDash \phi(\bar{a})$.

Because $\mathbb{M}$ is saturated, if $A \subset \mathbb{M}$ and $p \in S_n(A)$, then $p$ is realized in $\mathbb{M}$. Moreover, if $f : A \to \mathbb{M}$ is a partial elementary map, then $f$ extends to an automorphism of $\mathbb{M}$.

We could define Morley rank referring only to the monster model. The Morley rank of an $\mathcal{L}_{\mathbb{M}}$-formula is inductively defined as follows

1. $\mathrm{RM}(\phi) \geq 0$ iff $\phi(\mathbb{M})$ is nonempty

2. $\mathrm{RM}(\phi) \geq \alpha + 1$ iff there are $\mathcal{L}_{\mathbb{M}}$-formulas $\psi_1, \psi_2, \dots$ s.t. $\psi_1(\mathbb{M}), \psi_2(\mathbb{M}), \dots$ is an infinite sequence of pairwise disjoint subsets of $\phi(\mathbb{M})$ and $\mathrm{RM}(\psi_i) \geq \alpha$ for each $i$.

3. if $\alpha$ is a limit ordinal, $\mathrm{RM}(\phi) \geq \alpha$ iff $\mathrm{RM}(\phi) \geq \beta$ for each $\beta < \alpha$

### 6.2.2 Morley Degree

**Proposition 6.29.** *Let $\phi$ be an $\mathcal{L}_{\mathbb{M}}$-formula with $\mathrm{RM}(\phi) = \alpha$ for some ordinal $\alpha$. There is a natural number $d$ s.t. if $\psi_1, \ldots \psi_n$ are $\mathcal{L}_{\mathbb{M}}$-formulas s.t. $\psi_1(\mathbb{M}), \ldots, \psi_n(\mathbb{M})$ are disjoint subsets of $\phi(\mathbb{M})$ s.t. $\mathrm{RM}(\psi_i) = \alpha$ for all $i$, then $n \leq d$.*

*We call $d$ the **Morley degree** of $\phi$ and write $\deg_M(\phi) = d$*

*Proof.* We build $S \subseteq 2^{<\omega}$ and $(\phi_\sigma : \sigma \in S)$ with the following properties

1. If $\sigma \in S$ and $\tau \subseteq \sigma$, then $\tau \in S$

2. $\phi_\emptyset = \phi$

3. $\mathrm{RM}(\phi_\sigma) = \alpha$ for all $\sigma \in S$

4. If $\sigma \in S$, there are two cases to consider. If there is an $\mathcal{L}_{\mathbb{M}}$-formula $\psi$ s.t. $\mathrm{RM}(\phi_\sigma \wedge \psi) = \mathrm{RM}(\phi_\sigma \wedge \neg\psi) = \alpha$, then $\sigma, 0$ and $\sigma, 1$ are in $S$, $\phi_{\sigma,0} = \phi_\sigma \wedge \psi$ and $\phi_{\sigma,1} = \phi_\sigma \wedge \neg\psi$. If there is no such $\psi$, then no $\tau \supset \sigma$ is in $S$

The set $S$ is a binary tree. We claim that $S$ is finite. If $S$ is infinite, then, by Kőnig's Lemma (Lemma A.5), there is $f : \omega \to 2$ s.t. $f|n \in S$ for all $n$. Let $\psi_n$ be the formula $\phi_{f|n} \wedge \neg\phi_{f|n+1}$ for $n = 1, 2, \ldots$. Then $\mathrm{RM}(\psi_n) = \alpha$ for all $n$ <span style="color:red">$\phi_{f|n+1} = \phi_{f|n} \wedge \psi$ for some $\psi$ and $\psi_n = \phi_{f|n} \wedge (\neg\phi_{f|n} \vee \neg\psi) = \phi_{f|n} \vee \neg\psi \supseteq \phi_{f|n}$ which has Morley rank at least $\alpha$</span> and $\psi_1(\mathbb{M}), \psi_2(\mathbb{M}), \ldots$ are disjoint subsets of $\phi(\mathbb{M})$. But then $\mathrm{RM}(\phi) \geq \alpha + 1$, a contradiction. Thus $S$ is finite

Let $S_0 = \{\sigma \in S : \tau \notin S$ for all $\tau \supset \sigma\}$ be the terminal nodes of the tree $S$. Let $d = |S_0|$ and let $\psi_1, \ldots, \psi_d$ be an enumeration of $\{\phi_\sigma : \sigma \in S_0\}$. Then $\mathrm{RM}(\psi_i) = \alpha$ for all $i$, $\phi(\mathcal{M})$ is the disjoint union of $\psi_1(\mathbb{M}), \ldots, \psi_d(\mathbb{M})$ and for each $i$, there is no formula $\chi$ s.t. $\mathrm{RM}(\psi_i \wedge \chi) = \mathrm{RM}(\psi_i \wedge \neg\chi) = \alpha$.

Suppose that $\theta_1, \ldots, \theta_n$ is a sequence of $\mathcal{L}_{\mathbb{M}}$-formulas of Morley rank $\alpha$ s.t. $\theta_1(\mathbb{M}), \ldots, \theta_n(\mathbb{M})$ is a sequence of pairwise disjoint subsets of $\phi(\mathbb{M})$. We claim that $n \leq d$. By our choice of $\psi_1, \ldots, \psi_d$, for each $i \leq d$, there is at most one $j \leq n$ s.t. $\mathrm{RM}(\psi_i \wedge \theta_j) = \alpha$. If $n > d$, there is $\hat{j} \leq n$ s.t. $\mathrm{RM}(\psi_i \wedge \theta_{\hat{j}}) < \alpha$ for all $i \leq d$. But

$$\mathbb{M} \vDash \theta_{\hat{j}} \leftrightarrow \bigvee_{i=1}^{d} \psi_i \wedge \theta_{\hat{j}}$$

Thus by Lemma 6.27, $\mathrm{RM}(\theta_{\hat{j}}) < \alpha$, a contradiction $\qquad\qquad\square$

**Corollary 6.30.** *A formula $\phi$ is strongly minimal iff $\mathrm{RM}(\phi) = \deg_M(\phi) = 1$*

*Proof.* If $\phi$ is strongly minimal, then, because $\phi(\mathbb{M})$ is infinite, $\text{RM}(\phi) \geq 1$. Because $\phi(\mathbb{M})$ cannot be partitioned into two definable infinite sets, $\text{RM}(\phi) = 1$ and $\deg_M(\phi) = 1$

On the other hand, if $\text{RM}(\phi) = \deg_M(\phi) = 1$, then $\phi(\mathbb{M})$ is infinite and cannot be partitioned into two infinite definable sets. Thus $\phi$ is strongly minimal □

Recall from Exercise 5.4.1 that a formula $\phi(\bar{v}, \overline{w})$ has the **order property** if there are $\bar{a}_1, \bar{b}_1, \bar{a}_2, \bar{b}_2, ...$ in $\mathbb{M}$ s.t. $\mathbb{M} \vDash \phi(\bar{a}_i, \bar{b}_j)$ iff $i < j$

**Proposition 6.31.** *If $T$ is totally transcendental, then no formula has the order property*

*Proof.* Suppose $\phi(\bar{v}, \overline{w})$ has the order property. By compactness and saturation, we can find $(\bar{a}_q, \bar{b}_q : q \in \mathbb{Q})$ s.t. $\mathbb{M} \vDash \phi(\bar{a}_q, \bar{b}_r)$ iff $q < r$. Add those constants and consider $p(\bar{a}_q, \bar{b}_q) = \text{Diag}_{\text{el}}(\mathbb{M}) \cup \{\phi(\bar{a}_q, \bar{b}_q) \mid q \in \mathbb{Q}\}$

This is satisfiable by compactness and by viewing $(\bar{a}_q, \bar{b}_q)_{q \in \mathbb{Q}}$ as variables, this type are realised in $\mathbb{M}$ Note that $\{q \in \mathbb{Q} : \phi(\bar{a}_q, \bar{b}_r)\} = (-\infty, r)$ is an infinite convex set. Thus there is $\psi(\bar{v})$, an $\mathcal{L}_{\mathbb{M}}$-formula of minimal rank and degree s.t. $C = \{q \in \mathbb{Q} : \mathbb{M} \vDash \psi(\bar{a}_q)\}$ is an infinite convex set. $S = \{\phi : \{q \in \mathbb{Q} : \phi(\bar{a}_q, \bar{b}_r)\}$ is an infinite convex set$\}$ is nonempty and thus has element with minimal rank and degree. Choose $r$ in the interior of $C$. Let $\psi_0(\bar{v})$ be $\psi(\bar{v}) \wedge \phi(\bar{v}, \bar{b}_r)$, and let $\psi_1(\bar{v})$ be $\psi(\bar{v}) \wedge \neg\phi(\bar{v}, \bar{b}_r)$. The set $\{q \in \mathbb{Q} : \psi_i(\bar{a}_q)\}$ is infinite and convex for $i = 0, 1$, and if neither $\psi_i$ has lower Morley rank than $\psi$, then both have lower Morley degree, a contradiction So we actually build a tree:D □

### 6.2.3 Ranks of Types

**Definition 6.32.** If $p \in S_n(A)$, then $\text{RM}(p) = \inf\{\text{RM}(\phi) : \phi \in p\}$. If $\text{RM}(p)$ is an ordinal, then $\deg_M(p) = \inf\{\deg_M(\phi) : \phi \in p \wedge \text{RM}(\phi) = \text{RM}(p)\}$

If $\text{RM}(p) < \infty$, then $(\text{RM}(p), \deg_M(p))$ is the minimum element of $\{(\text{RM}(\phi), \deg_M(\phi)) : \phi \in p\}$ in the lexicographic order. For each type $p$ with $\text{RM}(p) < \infty$, we can find a formula $\phi_p \in p$ s.t. $(\text{RM}(p), \deg_M(p)) = (\text{RM}(\phi_p), \deg_M(\phi_p))$.

**Lemma 6.33.** *If $p, q \in S_n(A)$, $\text{RM}(p), \text{RM}(q) < \infty$, and $p \neq q$, then $\phi_p \neq \phi_q$*

*Proof.* There is a formula $\psi$ s.t. $\psi \in p$ and $\psi \notin q$. Because $\phi_p \wedge \psi \in p$, $\text{RM}(\phi_p \wedge \psi) \leq \text{RM}(\phi_p) \leq \text{RM}(p)$. Because $\text{RM}(\phi_p)$ is minimal

$$\text{RM}(\phi_p \wedge \psi) = \text{RM}(\phi_p) = \text{RM}(p)$$

Similarly
$$\mathrm{RM}(\phi_q \wedge \neg \psi) = \mathrm{RM}(\phi_q) = \mathrm{RM}(q)$$

If $\phi_p = \phi_q$, then
$$\mathrm{RM}(\phi_p \wedge \psi) = \mathrm{RM}(\phi_p \wedge \neg \psi) = \mathrm{RM}(\phi_p)$$

Thus $\deg_M(\phi_p \wedge \psi) < \deg_M(\phi_p)$ $\hfill\square$

**Theorem 6.34.** *If $T$ is $\omega$-stable, then $T$ is totally transcendental. Conversely, if $\mathcal{L}$ is countable and $T$ is totally transcendental, then $T$ is $\omega$-stable*

*Proof.* $\Rightarrow$. Suppose $\phi(v_1, \ldots, v_n)$ is an $\mathcal{L}_{\mathbb{M}}$-formula s.t. $\mathrm{RM}(\phi) = \infty$. Let $\beta = \sup\{\mathrm{RM}(\psi) : \psi \text{ an } \mathcal{L}_{\mathbb{M}}\text{-formula and } \mathrm{RM}(\psi) < \infty\}$

Because $\mathrm{RM}(\phi) = \infty \geq \beta + 2$, we can find an $\mathcal{L}_{\mathbb{M}}$-formula $\psi$ s.t. $\mathrm{RM}(\phi \wedge \psi) \geq \beta+1$ and $\mathrm{RM}(\phi \wedge \neg\psi) \geq \beta+1$ <span style="color:red">As there is pairwise disjoint $\phi \wedge \psi_1(\mathbb{M}), \phi \wedge \psi_2(\mathbb{M}), \ldots$, then $\mathrm{RM}(\phi \wedge \psi) = \beta + 1$ and for $\phi \wedge \neg \psi_1$ contains $\phi \wedge \psi_2, \phi \wedge \psi_3, \ldots$ and thus $\mathrm{RM}(\phi \wedge \neg \psi) \geq \beta + 2 \geq \beta + 1$</span> Then $\mathrm{RM}(\phi \wedge \psi) = \mathrm{RM}(\phi \wedge \neg \psi) = \infty$.

Iterating this construction we can build a binary tree of $\mathcal{L}_{\mathbb{M}}$-formulas $(\phi_\sigma : \sigma \in 2^{<\omega})$ s.t.

1. $\phi_\emptyset = \phi$

2. $\mathrm{RM}(\phi_\sigma) = \infty$ for all $\sigma$

3. for each $\sigma$ there is a formula $\psi_\sigma$ s.t. $\phi_{\sigma,0} = \phi_\sigma \wedge \psi_\sigma$ and $\phi_{\sigma,1} = \phi_\sigma \wedge \neg \psi_\sigma$

There is a countable $A \subseteq M$ s.t. $\phi_\sigma$ is an $\mathcal{L}_A$-formula but $|S_n(A)| = 2^{\aleph_0}$ so $T$ is not $\omega$-stable

$\Leftarrow$. Suppose that $|A| \leq \aleph_0$. For each $p \in S_n(A)$, $\mathrm{RM}(p) < \infty$ so there is $\phi_p$ as above. Because $\phi_p \neq \phi_q$ for $p \neq q$ and there are only countably many choices for $\phi_p$, $|S_n(A) \leq \aleph_0|$. Thus $T$ is $\omega$-stable $\hfill\square$

**Because we are concentrating on theories in countable languages, we will not mention totally transcendental theories again**

**Definition 6.35.** If $A \subset \mathbb{M}$ and $\bar{a} \in \mathbb{M}$, we write $\mathrm{RM}(\bar{a})$ for $\mathrm{RM}(\mathrm{tp}(\bar{a}))$ and $\mathrm{RM}(\bar{a}/A)$ for $\mathrm{RM}(\mathrm{tp}(\bar{a}/A))$

**Lemma 6.36.**　　1. *If $X \subseteq \mathbb{M}^n$ is definable, then $\mathrm{RM}(X) = \sup\{\mathrm{RM}(\bar{a}/A) : \bar{a} \in X, A \subseteq \mathbb{M}, |A| < |\mathbb{M}|, X \text{ is } A\text{-definable}\}$*

2. *If $X \subseteq \mathbb{M}^n$ is definable, and $\beta < \mathrm{RM}(X)$, then there is a definable $Y \subset X$ with $\mathrm{RM}(Y) = \beta$. In particular, if $\mathrm{RM}(X) = \alpha$ and $\beta < \alpha$ we can find disjoint definable sets $Y_1, Y_2, \ldots$ s.t. each $Y_i$ has Morley rank $\beta$*

3. *For any $\mathcal{L}_A$-formula $\phi$, $|\{p \in S_n(\mathbb{M}) : \phi \in p$ and $\mathrm{RM}(p) = \mathrm{RM}(\phi)\}| = \deg_{\mathbb{M}}(\phi)$*

<span style="color:red">Tent's Lemma 6.2.11</span>

*Proof.* 1. If $X \subseteq \mathbb{M}^n$ is $A$-definable, then $X = \varphi(\mathbb{M})$ for some $L(A)$-formula $\varphi$.

If $\mathrm{RM}(\varphi) = \infty$, then $\{\varphi\} \cup \{\neg\psi \mid \psi \in L(A), \mathrm{RM}(\psi) < \infty\}$ is consistent. Any type over $A$ containing this set of formulas has rank $\infty$

If $\mathrm{RM}(\varphi) = \alpha$, there is a decomposition of $\varphi$ in $L(A)$-formulas $\varphi_1, \dots, \varphi_k$, $\alpha$-minimal over $A$ ($k$ is bounded by $\mathrm{MD}(\varphi)$). Each of which determine a unique type of rank $\alpha$

$\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\qquad\square$

**Lemma 6.37.** *Suppose that $A \subset \mathbb{M}$, $\bar{a}, b \in \mathbb{M}$ and $b$ is algebraic over $A \cup \{\bar{a}\}$. Then $\mathrm{RM}(\bar{a}, b/A) = \mathrm{RM}(\bar{a}/A)$*

*Proof.* W.L.O.G., we will assume that $A = \emptyset$. We leave as an exercise the proof that $\mathrm{RM}(\bar{a}, b) \geq \mathrm{RM}(\bar{a})$ (Exercise 6.4.2). We will prove by induction on $\alpha$ that if $\bar{a}, b \in \mathbb{M}$, $b$ is algebraic over $\bar{a}$, and if $\mathrm{RM}(\bar{a}, b) \geq \alpha$, then $\mathrm{RM}(\bar{a}) \geq \alpha$.

By Exercise 6.4.1, $\mathrm{RM}(\bar{a}) \geq 0$. Thus the claim is true for $\alpha = 0$. If $\alpha$ is a limit ordinal and the claim is true for all $\beta < \alpha$

Suppose that the claim is true for $\alpha$ and $\mathrm{RM}(\bar{a}, b) \geq \alpha + 1$. By induction $\mathrm{RM}(\bar{a}) \geq \alpha$. Suppose, for purpose of contradiction, that $\mathrm{RM}(\bar{a}) = \alpha$. Let $\phi(\bar{v})$ be an $\mathcal{L}$-formula s.t. $\mathrm{RM}(\phi(\bar{v})) = \alpha$ and there is no $\mathcal{L}$-formula $\phi_1$ s.t. $\mathrm{RM}(\phi \wedge \phi_1) = \mathrm{RM}(\phi \wedge \neg\phi_1) = \alpha$ <span style="color:red">so $\phi$ is actually $\phi_{\mathrm{tp}(\bar{a})}$</span>

Because $b$ is algebraic over $\bar{a}$, there is a formula $\psi(\bar{v}, w)$ s.t. $\psi(\bar{a}, b)$ and $|\{x : \psi(\bar{a}, x)\}| = n$. Let $\hat{\phi}(\bar{v}, w)$ be the formula

$$\phi(\bar{v}) \wedge \psi(\bar{v}, w) \wedge |\{x : \psi(\bar{v}, x)\}| = n$$

Because $\hat{\phi}(\bar{a}, b)$ holds and $\mathrm{RM}(\bar{a}, b) > \alpha$, $\mathrm{RM}(\hat{\phi}) > \alpha$. Suppose that $\theta_1, \theta_2, \dots$ are $\mathcal{L}_{\mathbb{M}}$-formulas s.t. $\theta_1(\mathbb{M}), \theta_2(\mathbb{M}), \dots$ is a sequence of disjoint subsets of $\hat{\phi}(\mathbb{M})$ and $\mathrm{RM}(\theta_i) \geq \alpha$ for all $i$. Let $\chi_i(\bar{v})$ be the formula $\exists w\, \theta_i(\bar{v}, w)$.

**Claim 1**. $\mathrm{RM}(\chi_i) \geq \alpha$ for all $i$

Because $\mathrm{RM}(\theta_i) \geq \alpha$, there is $\bar{c}, d \in \mathbb{M}$ s.t. $\theta_i(\bar{c}, d)$ and $\mathrm{RM}(\bar{c}, d) \geq \alpha$. <span style="color:red">Each $\varphi$ of rank $\beta \geq \alpha$ is equivalent to a disjunction of finitely many pairwise disjoint $\beta$-strongly minimal formulas $\varphi_1, \dots, \varphi_d$. And each $\varphi_i$ determines a unique type of rank $\beta$. Thus we can find such types.</span>

<span style="color:red">Also a remark, consider $\mathrm{RM}(\varphi(\bar{x}, y))$ and $\mathrm{RM}(\exists y\, \varphi(\bar{x}, y))$.</span>

**Claim 2**. $\mathrm{RM}(\chi_1 \wedge \ldots \chi_m) \geq \alpha$ for all $m$

Suppose that $m$ is the least s.t. this fails. Then

$$\mathrm{RM}(\chi_1 \wedge \cdots \wedge \chi_{m-1}), \mathrm{RM}\left(\chi_m \wedge \neg \bigwedge_{i=1}^{m-1} \chi_i\right) \geq \alpha$$

contradicting our assumption that we cannot find an $\mathcal{L}$-formula $\phi_1$ s.t. $\phi \wedge$
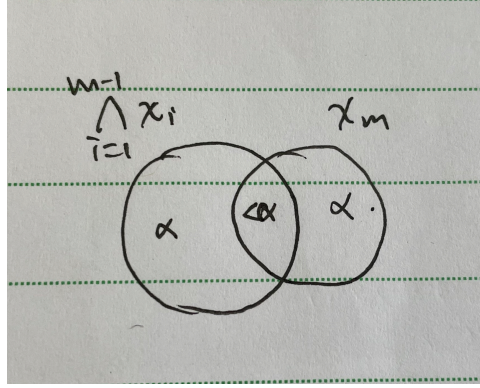


$\phi_1$ and $\phi \wedge \neg\phi_1$ both have rank $\alpha$ <span style="color:red">$\chi_i(\mathbb{M}) \subset \phi(\mathbb{M})$. Hence $\mathrm{RM}(\bigwedge_{i=1}^{m-1} \chi_i) \geq \alpha$, $\mathrm{RM}(\neg \bigwedge_{i=1}^{m-1} \chi_i) \geq \mathrm{RM}(\chi_m \wedge \neg \bigwedge \chi_i) \geq \alpha$. But as $\mathrm{RM}(\phi) = \alpha$. Hence $\mathrm{RM}(\bigwedge \chi_i) = \mathrm{RM}(\neg \wedge \chi_i) = \alpha$</span>

<span style="color:red">Because $\mathbb{M}$ is saturated, we can find $\bar{c} \in \mathbb{M}$ s.t. $\chi_i(\bar{c})$ for all $i$ they are finitely satisfiable since $\mathrm{RM}(\bigwedge \chi_i) \geq \alpha$.</span> For each $i$, we can find $d_i$ s.t. $\theta_i(\bar{c}, d_i)$. Because the $\theta_i(\mathbb{M})$ are disjoint, $d_1, d_2, \ldots$ are distinct. But $\theta_i(\mathbb{M}) \subseteq \hat{\phi}(\mathbb{M})$. Thus $\psi(\bar{c}, d_i)$ holds for all $i$, contradicting the fact that $|\{x : \psi(\bar{c}, x)\}| = n$. Thus $\mathrm{RM}(\bar{a}) \geq \alpha + 1$ and the lemma follows by induction $\qquad\square$

**Corollary 6.38.** *Suppose that $T$ is $\omega$-stable, $\mathcal{M} \vDash T$, $X \subseteq \mathbb{M}^n$, $Y \subseteq \mathbb{M}^m$ are definable, and $f : X \to Y$ is a definable finite-to-one function from $X$ onto $Y$. Then $\mathrm{RM}(X) = \mathrm{RM}(Y)$*

*Proof.* Let $A \subset \mathbb{M}$ s.t. $X, Y$ and $f$ are definable over $A$. Suppose that $f(\bar{a}) = \bar{b}$. Then $\bar{b}$ is definable over $A, \bar{a}$ and, because $f$ is finite-to-one, $\bar{a}$ is algebraic

over $A, \bar{b}$. By Lemma 6.37

$$\mathrm{RM}(\bar{a}/A) = \mathrm{RM}(\bar{a}, \bar{b}/A) = \mathrm{RM}(\bar{b}/A)$$

**Definabillity is a strongly than algebraicality** If $\bar{a} \in X$ s.t. $\mathrm{RM}(\bar{a}/A) = \mathrm{RM}(X)$ by Lemma 6.36 then

$$\mathrm{RM}(Y) \geq \mathrm{RM}(f(\bar{a})/A) = \mathrm{RM}(\bar{a}/A) = \mathrm{RM}(X)$$

On the other hand, if $\bar{b} \in Y$ s.t. $\mathrm{RM}(\bar{b}/A) = \mathrm{RM}(Y)$, then, because $f$ is surjective, there is $\bar{a} \in X$ s.t. $f(\bar{a}) = \bar{b}$ and

$$\mathrm{RM}(X) \geq \mathrm{RM}(\bar{a}/A) = \mathrm{RM}(\bar{b}/A) = \mathrm{RM}(Y)$$

Hence $\mathrm{RM}(X) = \mathrm{RM}(Y)$ □

### 6.2.4 Morley Rank in Strongly Minimal Theories

**Theorem 6.39.** *Suppose that $T$ is a strongly minimal theory. If $A \subseteq \mathbb{M}$ and $\bar{a} \in \mathbb{M}$, then $\mathrm{RM}(\bar{a}/A) = \dim(\bar{a}/A)$*

*Proof.* We will first show by induction that if $a_1, \ldots, a_k$ are independent over $A$, then $\mathrm{RM}(\bar{a}/A) = k$. We prove this by induction

Suppose that $k = 1$. If $\phi(v) \in \mathrm{tp}(a/A)$, then, because $a \notin \mathrm{acl}(A)$, $\phi(\mathbb{M})$ is infinite and $\mathrm{RM}(\phi) \geq 1$. Because $T$ is strongly minimal, $\mathrm{RM}(v = v) = 1$. Thus $\mathrm{RM}(\phi) \leq 1$.

Suppose $k > 1$ and $a_1, \ldots, a_k$ are independent over $A$. Let $\phi(\bar{v}) \in \mathrm{tp}(\bar{a}/A)$ be a formula of minimal Morley rank. We first argue that $\mathrm{RM}(\bar{a}/A) \geq k$. Let $b_1, b_2, \ldots$ be distinct elements of $\mathbb{M}$ that are not in $\mathrm{acl}(A)$. $|\mathrm{acl}(A)| \leq \max\{|A|, |T|\} < |\mathbb{M}|$. Let $\psi_i(\bar{v})$ be the formula $\phi(\bar{v}) \wedge v_1 = b_i$ $\phi(\mathbb{M})$ is cofinite. If $\mathbb{M} \vDash \neg\phi(b_i)$, then $b_i$ is algebraic over $A$, a contradiction Clearly $\psi_1(\mathbb{M}), \psi_2(\mathbb{M}), \ldots$ is a family of pairwise disjoint subsets of $\phi(\mathbb{M})$. If $c_2, \ldots, c_k$ are independent over $A \cup \{b_i\}$ (existence by Lemma 6.9) then by Lemma 6.6, $\mathrm{tp}(b_i, \bar{c}/A) = \mathrm{tp}(a_1, \ldots, a_k/A)$. In particular, $\mathbb{M} \vDash \phi(b_i, \bar{c})$. Thus $\mathbb{M} \vDash \psi_i(b_i, \bar{c})$. Then

$$\mathrm{RM}(\psi_i) \geq \mathrm{RM}(b_i, \bar{c}/A) \geq \mathrm{RM}(\bar{c}/A)$$

and by induction, $\mathrm{RM}(\bar{c}/A) \geq k - 1$. Thus $\mathrm{RM}(\psi_i) \geq k - 1$ and $\mathrm{RM}(\phi) \geq k$. Hence $\mathrm{RM}(\bar{a}/A) \geq k$.

Next we show that $\mathrm{RM}(\bar{a}/A) \leq k$. Let $\mathcal{M}$ be an $\aleph_0$-saturated model containing $A$. If $d_1, \ldots, d_k$ are independent over $M$, then, by Lemma 6.6, $\mathrm{tp}^{\mathbb{M}}(\bar{a}/A) = \mathrm{tp}^{\mathcal{M}}(\bar{d}/A)$ so we may assume W.L.O.G. that $a_1, \ldots, a_k$ are independent over $M$. Suppose that $\psi(\bar{v})$ is an $\mathcal{L}_M$-formula s.t. $\psi(\mathbb{M}) \subset \phi(\mathbb{M})$ and

$\neg\psi(\bar{a})$. e.g. $\psi(\bar{x}) := \phi \wedge \bar{x} \neq \bar{a}$ It suffices to show that $\text{RM}(\psi) < k$. $\psi(\mathbb{M}) \subset \phi(\mathbb{M})$ and $\neg\psi(\bar{a})$ means that $\text{RM}(\psi) < \text{RM}(\varphi)$. Since for any $\psi \in \text{tp}(\bar{a}/M)$, $\text{RM}(\psi) \geq \text{RM}(\varphi)$. Thus if we prove for all such $\psi$ $\text{RM}(\psi) < k$ then $\text{RM}(\varphi) \leq k$. If $\psi(\bar{b})$, then because $\text{tp}(\bar{b}/M) \neq \text{tp}(\bar{a}/M)$, $b_1, \dots, b_k$ are dependent over $M$. By permuting variables, we may assume that $b_k \in \text{acl}(M, b_1, \dots, b_{k-1})$. Let $\theta(\bar{v})$ be an $\mathcal{L}_M$-formula s.t. $|\{w : \theta(b_1, \dots, b_{k-1}, w)\}| = s$ for some $s < \omega$. Let $\psi'$ be

$$\psi(\bar{v}) \wedge |\{w : \theta(v_1, \dots, v_{k-1}, w)\}| = s$$

Now we prove that $\text{RM}(\psi') = \text{RM}(\psi)$.

We prove $\text{RM}(\psi') \geq \alpha$ iff $\text{RM}(\psi) \geq \alpha$ by induction on $\alpha$.

If $\text{RM}(\psi) \geq 0$, then also $\text{RM}(\psi') \geq 0$

Suppose $\psi$ has a infinite family of pairwise disjoint $\psi_i(\mathbb{M}) \subset \psi(\mathbb{M})$. Thus for each $\psi_i$, like $\psi$, we have $\bar{b}_i$ and $\theta_i$ s.t. $\left|\{w : \theta_i(b_{i,1}, \dots, b_{i,k-1}, w)\} = s_i\right|$ for some $s_i \in \omega$. Let $\psi_i'$ be

$$\psi_i(\bar{v}) \wedge |\{w : \theta(v_1, \dots, v_{k-1}, w)\}| = s$$

Thus we have a partition again. By induction we have $\text{RM}(\psi_i) \geq \beta$ iff $\text{RM}(\psi_i)' \geq \beta$. Thus we may view $\psi'$ as $\psi$ and assume that if $\psi(\bar{c})$, then $c_k \in \text{acl}(M, c_1, \dots, c_{k-1})$

Choose $c_1, \dots, c_k$ s.t. $\psi(\bar{c})$ and $\text{RM}(\psi) = \text{RM}(\bar{c}/M)$. $\varphi \in L(A)$ belongs to a unique type of rank $\alpha$ iff $\varphi$ is $\alpha$-minimal over $A$. By permuting variables, we may assume that $c_1, \dots, c_l$ are independent over $M$ and $\bar{c} \in \text{acl}(M, c_1, \dots, c_l)$ for some $l < k$. But then, by Lemma 6.37,

$$\text{RM}(\psi) = \text{RM}(\bar{c}/M) = \text{RM}(c_1, \dots, c_l/M)$$

and $\text{RM}(c_1, \dots, c_l/M) = l < k$ by induction $\qquad \square$

**Lemma 6.40.** *Let $T$ be strongly minimal. Suppose that $C \subseteq \mathbb{M}^{m+n}$ is definable. Let $C_{\bar{a}} = \{\bar{x} \in \mathbb{M}^n : (\bar{a}, \bar{x}) \in C\}$ for $\bar{a} \in \mathbb{M}^m$. The set $Y_{n,k} = \{\bar{a} \in \mathbb{M}^m : \text{RM}(C_{\bar{a}}) \geq k\}$ is definable for each $k \leq n$*

*Proof.* We prove this by induction on $n$.

Suppose that $n = 1$. We first note that there is a number $N$ s.t. $|C_{\bar{a}}| < N$ or $|\mathbb{M} \setminus C_{\bar{a}}| < N$ for all $\bar{a} \in \mathbb{M}^m$ because otherwise the type

$$\left\{\exists v_1, \dots, v_{2s} \bigwedge_{i \neq j} v_i \neq v_j \wedge \bigwedge_{i=1}^{s} \phi(\bar{w}, v_i) \wedge \bigwedge_{i=s+1}^{2s} \neg\phi(\bar{w}, v_i) : s = 1, 2, \dots\right\}$$

is satisfied and a realization violates strong minimality

Thus $\text{RM}(C_{\bar{a}}) \geq 1$ iff $|C_{\bar{a}}| > N$, so $Y_{1,1}$ is definable. Clearly $Y_{1,0} = \{\bar{a} : \exists \bar{w} \ \bar{w} \in C_{\bar{a}}\}$.

Fuck the proof. Suppose $C = \varphi(\mathbb{M}, \mathbb{M})$, $C_{\bar{a}} = \varphi(\bar{a}, \mathbb{M})$.

Suppose that $n = s + 1$. We work by induction on $k$. Clearly $Y_{n,0} = \{\bar{a} : |\varphi(\bar{a}, \mathbb{M})| > 0\}$ is definable. For $\bar{a} \in \mathbb{M}^m$, let $B_{\bar{a}} = \exists y \ \varphi(\bar{a}, \mathbb{M}, y)$. If $\text{RM}(B_{\bar{a}}) \geq k$, then $C_{\bar{a}} \geq k$. If $\bar{b} \in B_{\bar{a}}$ and $(\bar{b}, c) \in C_{\bar{a}}$, then $\dim(\bar{b}, c) = \dim \bar{b} + \dim(c/\bar{b})$. Let $A_{\bar{a}} = \{\bar{b} \in \mathbb{M}^s : \varphi(\bar{a}, \bar{b}, \mathbb{M}) \text{ is infinite}\}$. As above, there is an $N$ (independent of $\bar{a}$) s.t.

$$\bar{b} \in A_{\bar{a}} \quad \text{iff} \quad |\varphi(\bar{b}, \mathbb{M})| > N$$

Thus $A_{\bar{a}}$ is definable and $\text{RM}(C_{\bar{a}}) \geq k$ iff $\text{RM}(A_{\bar{a}}) \geq k - 1$.

Thus $\text{RM}(C_{\bar{a}}) \geq k$ iff $\text{RM}(B_{\alpha}) \geq k$ or $\text{RM}(A_{\bar{a}}) > k - 1$, so by induction $Y_{n,k}$ is definable

Suppose that $n = s + 1$. We work by induction on $k$. Clearly $Y_{n,0} = \{\bar{a} : \exists \bar{w} \ \bar{w} \in C_{\bar{a}}\}$ is definable. For $\bar{a} \in \mathbb{M}^m$, let $B_{\bar{a}} = \{\bar{b} \in \mathbb{M}^s : \exists y (\bar{b}, y) \in C_{\bar{a}}\}$. If $\text{RM}(B_{\bar{a}}) \geq k$, then $\text{RM}(C_{\bar{a}}) \geq k$. Suppose $C = \varphi(\mathbb{M}, \mathbb{M})$, then $C_{\bar{a}} = \varphi(\bar{a}, \mathbb{M})$, $B_{\bar{a}} = \exists y \varphi(\bar{a}, \mathbb{M}, y)$. Hence $\text{RM}(C_{\bar{a}}) \geq \text{RM}(B_{\bar{a}})$. If $\bar{b} \in B_{\bar{a}}$ and $(\bar{b}, c) \in C_{\bar{a}}$, then $\dim(\bar{b}, c) = \dim \bar{b} + \dim(c/\bar{b})$. Seems that for arbitrary $\bar{b}, c$, we always have $\dim(\bar{b}, c) = \dim \bar{b} + \dim(c/\bar{b})$. If $c$ is algebraic over $\bar{b}$, then $\dim(c/\bar{b}) = 0$ and basis is among $\bar{b}$. If $c$ is independent over $\bar{b}$, then $\dim(c/\bar{b}) = 1$ and suppose we have a basis $\bar{b}'$ for $\bar{b}$, then $\bar{b}' \cup \{c\}$ is independent and hence a basis for $\bar{b}$. Let $A_{\bar{a}} = \{\bar{b} \in \mathbb{M}^s : \{y : (\bar{b}, y) \in C_{\bar{a}}\} \text{ is infinite}\} = \{\bar{b} \in \mathbb{M}^s : \varphi(\bar{a}, \bar{b}, \mathbb{M}) \text{ is infinite}\}$. As above, there is an $N$ (independent of $\bar{a}$) s.t.

$$\bar{b} \in A_{\bar{a}} \quad \text{iff} \quad |\varphi(\bar{b}, \mathbb{M})| > N$$

Thus $A_{\bar{a}}$ is definable and $\text{RM}(C_{\bar{a}}) \geq k$ iff $\text{RM}(A_{\bar{a}}) \geq k - 1$ $\qquad \square$

## 6.3 Forking and Independence

## 6.4 Exercises

*Exercise* 6.4.1. Show that $\text{RM}(\bar{a}) \geq 0$ for all $\bar{a} \in \mathbb{M}$

*Proof.* $\text{tp}(\bar{a})$ cannot be empty $\qquad \square$

*Exercise* 6.4.2. Show that $\text{RM}(\bar{a}, \bar{b}/A) \geq \text{RM}(\bar{a}/A)$

*Proof.* For any $\varphi(\bar{x}, \bar{y}) \in \text{tp}(\bar{a}, \bar{b}/A)$, $\exists \bar{y} \varphi(\bar{x}, \bar{y}) \in \text{tp}(\bar{a}/A)$. Any infinite disjoint family of subsets of $\exists \bar{y} \varphi(\mathbb{M}, \bar{y})$ is also a family in $\text{tp}(\mathbb{M}, \mathbb{M})$. $\qquad \square$

# A Set Theory

## A.1 Cardinals

$\kappa > \aleph_0$ is **inaccessible** if $\kappa$ is a regular limit cardinal

## A.2 Cardinal Arithmetic

**Corollary A.1.**      *1. If $|I| = \kappa$ and $|A_i| \le \kappa$ for all $i \in I$, then $|\bigcup A_i| \le \kappa$*

   *2. If $\kappa$ is regular, $|I| < \kappa$ and $|A_i| < \kappa$ for all $i \in I$, then $|\bigcup A_i| < \kappa$*

   *3. Let $\kappa$ be an infinite cardinal. Let $X$ be a set and $\mathcal{F}$ a set of functions $f : X^{n_f} \to X$. Suppose that $|\mathcal{F}| \le \kappa$ and $A \subseteq X$ with $|A| \le \kappa$. Let $cl(A)$ be the smallest subset of $X$ containing $A$ closed under the functions in $\mathcal{F}$. Then $|cl(A)| \le \kappa$*

**Lemma A.2.** *Let $\kappa$, $\lambda$, and $\mu$ be cardinals*

   *1. $(\kappa^\lambda)^\mu = \kappa^{\lambda\mu}$*

   *2. if $\lambda \ge \aleph_0$ and $2 \le \kappa < \lambda$, then $2^\lambda = \kappa^\lambda = \lambda^\lambda$*

   *3. if $\kappa$ is regular and $\lambda < \kappa$, then $\kappa^\lambda = \sup\{\kappa, \mu^\lambda : \mu < \kappa\}$*

*Proof.*      3. If $f : \lambda \to \kappa$, because $\kappa$ is regular, then is $\alpha < \kappa$ s.t. $f : \lambda \to \alpha$. Thus $\kappa^\lambda = \bigcup_{\alpha < \kappa} \alpha^\lambda$. The right-hand side is the union of $\kappa$ sets each of size $\mu^\lambda$ for some $\mu < \kappa$

□

An inaccessible cardinal $\kappa$ is **storngly inaccessible** if $2^\lambda < \kappa$ for all $\lambda < \kappa$

**Corollary A.3.** *If $\kappa$ is strongly inaccessible and $\lambda < \kappa$, then $\kappa^\lambda = \kappa$.*

## A.3 Finite Branching Trees

**Definition A.4.** A **finite branching tree** is a partial order $(T, <)$ s.t.

   1. there is $r \in T$ s.t. $r \le x$ for all $x \in T$

   2. if $x \in T$, then $\{y : y < x\}$ is finite and linearly ordered by $<$

   3. if $x \in T$, then there is a finite (possibly empty) set $\{y_1, \dots, y_m\}$ of incomparable elements s.t. each $y_i > x$ and if $z > x$, then $z \ge y_i$ for some $i$

A **path** through $T$ is a function $f : \omega \to T$ s.t. $f(n) < f(n+1)$ for all $n$

**Lemma A.5** (Kőnig's Lemma)**.** *If $T$ is an infinite finite branching tree, then there is a path through $T$*

*Proof.* Let $S(x) = \{y : y \geq x\}$ for $x \in T$. We inductively define $f(n)$ s.t. $S(f(n))$ is infinite for all $n$. Let $r$ be the minimal element of $T$, then $S(r)$ is infinite. Let $f(0) = r$. Given $f(n)$, let $\{y_1, \ldots, y_m\}$ be the immediate successors of $f(n)$. Because $S(f(n)) = S(y_1) \cup \cdots \cup S(y_n)$, $S(y_i)$ is infinite for some $i$. Let $f(n+1) = y_i$. $\qquad\square$

# B   Reference

# References

[DJMM12]   Arnaud Durand, Neil D. Jones, Johann A. Makowsky, and Malika More. Fifty years of the spectrum problem: survey and new results. *Bulletin of Symbolic Logic*, 18(4):505–553, 2012.

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