

Elements of Mathematical Logic

Section 20 of Chapter V

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Cardinal exponentiation

Cardinal exponentiation is defined by

$$\lambda^\kappa = |\kappa^\lambda|.$$

This definition requires that the set ${}^\kappa\lambda$ be well-ordered, so cardinal exponentiation is defined assuming AC.

$$\begin{aligned}\kappa^\lambda &\leq \nu^\mu && \text{if } \kappa \leq \nu \text{ and } \lambda \leq \mu \\ \left(\kappa^\lambda\right)^\mu &= \kappa^{\lambda \cdot \mu} \\ \kappa^{\lambda + \mu} &= \kappa^\lambda \cdot \kappa^\mu \\ (\kappa \cdot \lambda)^\mu &= \kappa^\mu \cdot \lambda^\mu.\end{aligned}$$

Definition 20.1

If X is a set and κ is a cardinal $\mathcal{P}_\kappa(X) = \{Y \subseteq X \mid |Y| < \kappa\}$ is the collection of all well-orderable subsets of X of size less than κ .

Note that $\mathcal{P}_\kappa(\lambda) = [\lambda]^{<\kappa}$ has size $\lambda^{<\kappa} \leq \lambda^\kappa$, where

$$\lambda^{<\kappa} \stackrel{\text{def}}{=} \sup \{ \lambda^\nu \mid \nu \in \text{Card} \wedge \nu < \kappa \}.$$

The class-function $\beth: \text{Ord} \rightarrow \text{Card}$ is defined by recursion by

$$\beth_0 = \omega, \quad \beth_{\alpha+1} = 2^{\beth_\alpha}, \quad \beth_\lambda = \sup_{\alpha < \lambda} 2^{\beth_\alpha}, \text{ for } \lambda \text{ limit.}$$

The continuum hypothesis

CH is $2^{\aleph_0} = \aleph_1$, or, equivalently, $\forall X \subseteq \mathbb{R} (|X| \leq \aleph_0 \vee |X| = |\mathbb{R}|)$.

The **generalized continuum hypothesis** GCH is

$\forall \alpha \in \text{Ord} (2^{\aleph_\alpha} = \aleph_{\alpha+1})$, or, equivalently,

$\forall X \subseteq \mathcal{P}(\aleph_\alpha) (|X| \leq \aleph_\alpha \vee |X| = |\mathcal{P}(\aleph_\alpha)|)$.

In the absence of AC, the continuum hypothesis is stated as follows:

$$\forall \mathcal{A} \subseteq \mathcal{P}(\omega) (\mathcal{A} \lesssim \omega \vee \mathcal{A} \asymp \mathcal{P}(\omega)).$$

The generalized continuum hypothesis becomes

$$\forall X \forall \mathcal{A} \subseteq \mathcal{P}(X) (\mathcal{A} \lesssim X \vee \mathcal{A} \asymp \mathcal{P}(X))$$

and stated this way, the generalized continuum hypothesis implies AC.

Which sets are well-orderable?

$AC_I(X)$ says: If $X \neq \emptyset$ is a set, then for every $\langle A_i \mid i \in I \rangle$ such that $\forall i \in I (\emptyset \neq A_i \subseteq X)$, there is $\langle a_i \mid i \in I \rangle$ such that $\forall i \in I (a_i \in A_i)$. Let AC_I be $\forall X AC_I(X)$, let $AC(X)$ be $\forall I AC_I(X)$. Thus

$$AC \Leftrightarrow \forall I \forall X AC_I(X).$$

If $X \twoheadrightarrow Y$ and $J \rightarrowtail I$, then $AC_I(X) \Rightarrow AC_J(Y)$

If X is well-orderable then $AC(X)$ (Theorem 18.3).

Theorem 20.3

AC(X) implies that X is well-orderable.

Proof.

Without loss of generality $X \neq \emptyset$ and fix a choice function C for X . We will construct a bijection from some $\bar{\alpha} < \text{Hrtg}(X)$ onto X .

Let us give a sketch of the proof: let x_0 be an element of X , for example $x_0 = C(X)$, and suppose we have constructed $x_0, x_1, \dots, x_\beta, \dots$, distinct elements of X , with $\beta < \alpha$. If $X = \{x_\beta \mid \beta < \alpha\}$ then $\alpha \rightarrow X$, $\beta \mapsto x_\beta$ is the required bijection. Otherwise pick a new element $x_\alpha \in X$ different from the previous ones, for example $x_\alpha = C(X \setminus \{x_\beta \mid \beta < \alpha\})$. If the map $\alpha \mapsto x_\alpha$ were defined for all $\alpha < \text{Hrtg}(X)$, then we would have an injective map $\text{Hrtg}(X) \hookrightarrow X$, a contradiction. Therefore there is $\bar{\alpha} < \text{Hrtg}(X)$ such that $X = \{x_\beta \mid \beta < \bar{\alpha}\}$. □

Zorn's lemma and its relatives

$\text{ZORN}(X)$

If \leq is an ordering on X such that every chain has an upper bound, then $\exists x \in X$ (x is maximal).

Zorn's Lemma is $\forall X \text{ ZORN}(X)$.

If the assumption “every chain” is **strengthened** to “every upward directed set” a **weaker** statement is obtained: $\text{wZORN}(X)$. The **weak Zorn's Lemma** asserts that $\forall X \text{ wZORN}(X)$.

$\text{MAXHAUS}(X)$

If \leq is an ordering on X , then $\exists C \subseteq X$ (C is a maximal chain)

Hausdorff's maximality principle is $\forall X \text{ MAXHAUS}(X)$.

Zorn's lemma and its relatives

Proposition 20.5

Let $X \neq \emptyset$ be a set:

X is well-orderable $\Rightarrow \text{MAXHAUS}(X) \Rightarrow \text{ZORN}(X) \Rightarrow \text{wZORN}(X)$ and $\text{wZORN}(\mathcal{P}(X \times X)) \Rightarrow X$ is well-orderable.

X is well-orderable implies $\text{MAXHAUS}(X)$

Assume X is well-orderable and, towards a contradiction, let \leq be an ordering on X without maximal chains. For $C \subseteq X$ a chain, the set $K(C) = \{x \in X \setminus C \mid C \cup \{x\} \text{ is a chain}\}$ is nonempty. Fix a choice function $F: \mathcal{P}(X) \setminus \{\emptyset\} \rightarrow X$. Then

$$g: \text{Hrtg}(X) \rightarrow X, \quad \alpha \mapsto F(K(\{g(\beta) \mid \beta < \alpha\})).$$

is injective: a contradiction!

MAXHAUS(X) implies ZORN(X)

Let \leq be an ordering on X such that every chain has an upper bound. If $C \subseteq X$ is a maximal chain, then the upper bound of C belongs to C so it is a maximal element of X .

ZORN(X) implies wZORN(X)

Trivial.

wZORN($\mathcal{P}(X \times X)$) implies X is well-orderable

Let $\mathcal{P} \subseteq \mathcal{P}(X \times X)$ be the set of all well-orders R such that $\text{fld}(R) \subseteq X$. If $R, S \in \mathcal{P}$ set

$R \trianglelefteq S \Leftrightarrow \exists a \in \text{fld}(S)[\text{fld}(R) = \text{pred}(a; S) \wedge R = S \cap \text{fld}(R)^2]$. By wZORN($\mathcal{P}(X \times X)$) there is a maximal $\bar{R} \in \mathcal{P}$. Towards a contradiction suppose $\text{fld}(\bar{R}) \neq X$ and fix $a \in X \setminus \text{fld}(\bar{R})$. Consider $S = \bar{R} \cup \{(y, a) \mid y \in \text{fld}(\bar{R})\} \cup \{(a, a)\}$. Then $S \in \mathcal{P}$ e $\bar{R} \triangleleft S$, against the maximality of \bar{R} . Therefore \bar{R} well-orders X .

Theorem 20.6

AC is equivalent to $\forall \alpha \in \text{Ord} \ (\mathcal{P}(\alpha) \text{ is well-orderable})$.

Proof.

It is enough to show that each V_α is well-orderable.

If V_α is well-orderable, fix a bijection $f: V_\alpha \rightarrow \gamma$, and by case assumption there is a well-order on $\mathcal{P}(\gamma)$ inducing via f a well-ordering on $V_{\alpha+1} = \mathcal{P}(V_\alpha)$. If λ is limit and if we can pick (without AC!) a well-order \triangleleft_α on V_α , for all $\alpha < \lambda$, then for $x, y \in V_\lambda$

$$x \triangleleft_\lambda y \Leftrightarrow \exists \alpha < \lambda \left[(x \in V_\alpha \wedge y \notin V_\alpha) \vee (x, y \in V_{\alpha+1} \setminus V_\alpha \wedge x \triangleleft_{\alpha+1} y) \right] \quad (*)$$

is a well-order on V_λ . Let $\gamma = \sup_{\alpha < \lambda} \gamma_\alpha^+$ where $\gamma_\alpha = |V_\alpha|$, and let \prec be a well-order of $\mathcal{P}(\gamma)$. Set $\triangleleft_0 = \emptyset$; if \triangleleft_α is a well-order on V_α and $f_\alpha: V_\alpha \rightarrow \gamma^+$ is its enumerating function then define $\triangleleft_{\alpha+1}$ on $V_{\alpha+1}$ via f_α and \prec ; if $\nu < \lambda$ is a limit ordinal apply the construction $(*)$ with ν instead of λ . □

Theorem 20.7. The following are equivalent:

- ① AC.
- ② Hausdorff's maximality principle.
- ③ Zorn's Lemma.
- ④ The weak Zorn's Lemma.
- ⑤ **Teichmüller-Tukey's Lemma:** Let $\emptyset \neq \mathcal{F} \subseteq \mathcal{P}(X)$ be a family of **finite character**, that is
 $\forall Y \subseteq X (Y \in \mathcal{F} \Leftrightarrow \forall Z \subseteq Y (Z \text{ finite} \Rightarrow Z \in \mathcal{F}))$. Then any $Y \in \mathcal{F}$ is contained in a maximal $Z \in \mathcal{F}$.
- ⑥ The **Axiom of Multiple Choices (AMC)**: For any set $X \neq \emptyset$ there is a function $F: \mathcal{P}(X) \setminus \{\emptyset\} \rightarrow \mathcal{P}(X) \setminus \{\emptyset\}$ such that $F(A) \subseteq A$ is finite, for all $\emptyset \neq A \subseteq X$.
- ⑦ Every preorder contains a maximal free subset.
- ⑧ **Kurepa's maximality principle:** Every order contains a maximal free subset.
- ⑨ Every linear order can be well-ordered.

Proof

Proposition 20.5 says that AC, Hausdorff, Zorn and weak-Zorn are equivalent, that is $\textcircled{1} \Leftrightarrow \textcircled{2} \Leftrightarrow \textcircled{3} \Leftrightarrow \textcircled{4}$.

Every order is a preorder so $\textcircled{7} \Rightarrow \textcircled{8}$.

$\textcircled{1} \Rightarrow \textcircled{6}$ (i.e. multiple choices) is trivial.

Let us prove that $\textcircled{4} \Rightarrow \textcircled{5} \Rightarrow \textcircled{7}$, that $\textcircled{6} \vee \textcircled{8} \Rightarrow \textcircled{9}$ and that $\textcircled{9} \Rightarrow \textcircled{1}$.

$\textcircled{9} \Rightarrow \textcircled{1}$ 'every linear order is well-orderable' implies AC

${}^\alpha 2$ is linearly ordered by $<_{\text{lex}}$, so ${}^\alpha 2$ is well-orderable. As ${}^\alpha 2 \asymp \mathcal{P}(\alpha)$ the result follows from Theorem 20.6.

$\textcircled{4} \Rightarrow \textcircled{5}$ wZorn implies Teichmüller-Tuckey

Let $\mathcal{F} \subseteq \mathcal{P}(X)$ be of finite character, and let $Y \in \mathcal{F}$. If $\mathcal{D} \subseteq \mathcal{F}$ is an upward directed collection of sets containing Y , then $\bigcup \mathcal{D} \in \mathcal{F}$ by the finite character of \mathcal{F} , so \mathcal{D} has an upper bound in \mathcal{F} . Therefore there is a $Z \in \mathcal{F}$ which is maximal and contains Y .

⑤ \Rightarrow ⑦ Teichmüller-Tuckey implies that every preorder has a maximal free subset

Let $\langle X, \leq \rangle$ be a preordered set. The family \mathcal{F} of all free subsets of X has finite character, and $\emptyset \in \mathcal{F}$, so it contains a maximal set.

⑥ \Rightarrow ⑨ 'multiple choices' implies 'every linear order is well-orderable'

Let $\langle X, \leq \rangle$ be a linear order. By assumption there is $G: \mathcal{P}(X) \setminus \{\emptyset\} \rightarrow \mathcal{P}(X) \setminus \{\emptyset\}$ such that $G(A) \subseteq A$ is finite, for all $\emptyset \neq A \subseteq X$. Let $g(A)$ be the minimum of $G(A)$. Then g is a choice function for X .

⑧ \Rightarrow ⑨ 'Kurepa's maximality principle' implies 'every linear order is well-orderable'

Let $\langle X, \leq \rangle$ be a linear order. We prove that there is a choice function for X and the result follows from Theorem 20.3.

Let \preceq be the ordering on $\mathcal{P} = \{(A, a) \mid A \subseteq X \wedge a \in A\}$ defined by

$$(A, a) \preceq (B, b) \Leftrightarrow A = B \wedge a \leq b.$$

By assumption there is a maximal free $\mathcal{A} \subseteq \mathcal{P}$. It easy to check that \mathcal{A} is a choice function for X .

Cardinality without choice

Given E a non-regular equivalence relation on a proper class \mathcal{A} , we would like a choice function $C: \mathcal{A} \rightarrow \mathcal{A}$ such that

$$\forall x \in \mathcal{A} (C(x) \in [x]_E)$$

and

$$\forall x, y \in \mathcal{A} (x E y \Rightarrow C(x) = C(y)).$$

The existence of such C is equivalent to the existence of a **transversal** T **for the relation** E , that is: a class $T \subseteq \mathcal{A}$ such that $T \cap [x]_E$ is a singleton for all $x \in \mathcal{A}$.

Example

If \mathcal{A} is the class of all well-ordered sets and E is the isomorphism relation, then every equivalence class contains exactly one ordinal, so we may assume that $C(A, <) = \text{ot}(A, <)$;

Example

If \mathcal{A} is the class of all finitely generated abelian groups and E is the isomorphism relation, then let $C(G)$ be the unique

$$\mathbb{Z}^n \times \mathbb{Z}/p_1\mathbb{Z} \times \mathbb{Z}/p_2\mathbb{Z} \times \cdots \times \mathbb{Z}/p_k\mathbb{Z}$$

isomorphic to G , where $n \geq 0$ and $p_1 \leq p_2 \leq \cdots \leq p_k$ primes and $k \geq 0$.

Example

Assuming AC and $\mathcal{A} = \mathbf{V}$ and E the relation \asymp , then $C(A) =$ the unique cardinal κ in bijection with A .

For any equivalence relation E , one can define $\llbracket \cdot \rrbracket_E: \mathcal{A} \rightarrow V$ such that

$$\emptyset \neq \llbracket x \rrbracket_E \subseteq [x]_E \quad \text{and} \quad x E y \Leftrightarrow \llbracket x \rrbracket_E = \llbracket y \rrbracket_E.$$

The set $\llbracket x \rrbracket_E$ is the **Scott E -equivalence class**, defined by

$$\llbracket x \rrbracket_E = \{y \mid y E x \wedge \forall z (z E x \Rightarrow \text{rank}(x) \leq \text{rank}(z))\}$$

or equivalently: $\llbracket x \rrbracket_E = [x]_E \cap V_{\bar{\alpha}}$, where $\bar{\alpha} = \min \{\alpha \mid V_{\alpha} \cap [x]_E \neq \emptyset\}$.

The **order type** of an ordered set $\langle A, < \rangle$ is

$$\text{type}\langle A, < \rangle = \begin{cases} \text{ot}\langle A, < \rangle & \text{if } \langle A, < \rangle \text{ is a well-order,} \\ \llbracket (A, <) \rrbracket_{\cong} & \text{otherwise,} \end{cases}$$

where \cong is the isomorphism relation.

In absence of AC the **cardinality** of a set X is

$$\text{card}(X) = \begin{cases} |X| & \text{if } X \text{ is well-orderable,} \\ \llbracket X \rrbracket_{\prec} & \text{otherwise.} \end{cases}$$

Cardinalities are denoted by lower case german letters $\mathfrak{a}, \mathfrak{a}, \dots$. The ordering on cardinalities is given by

$$\mathfrak{a} \leq \mathfrak{b} \Leftrightarrow A \precsim B \text{ for some/every } A \in \mathfrak{a} \text{ and } B \in \mathfrak{b}.$$

Thus $\mathfrak{a} = \mathfrak{b} \Leftrightarrow A \asymp B$ and $\mathfrak{a} \leq \mathfrak{b} \Leftrightarrow A \precsim B$.

Theorem 20.10

AC is equivalent to $\forall \mathfrak{a}, \mathfrak{b} (\mathfrak{a} \leq \mathfrak{b} \vee \mathfrak{b} \leq \mathfrak{a})$, that is $\forall A, B (A \lesssim B \vee B \lesssim A)$.

Proof.

It is enough to show that if $A \lesssim B \vee B \lesssim A$ for all sets A, B , then every set is well-orderable. Let A be a set: since $\text{Hrtg}(A) \not\lesssim A$ by Hartog's Theorem, then $A \lesssim \text{Hrtg}(A) \subseteq \text{Ord}$ so A is well-orderable. □

Addition and product of cardinalities are defined as follows:

$$\mathfrak{a} + \mathfrak{b} = \text{card}(A \uplus B), \quad \mathfrak{a} \cdot \mathfrak{b} = \text{card}(A \times B),$$

for some/any $A \in \mathfrak{a}$ and $B \in \mathfrak{b}$.

If A and B have at least two elements,
 $\text{card}(A) + \text{card}(B) \leq \text{card}(A) \cdot \text{card}(B)$.

Assuming AC one has that if A is infinite, then $A \asymp A \times A$; thus if A and B are infinite disjoint sets then

$$A \cup B \asymp (A \cup B) \times (A \cup B) \asymp A \cup (A \times B) \cup (B \times A) \cup B,$$

and hence $A \times B \hookrightarrow A \cup B$, that is

$\text{card}(A) \cdot \text{card}(B) \leq \text{card}(A) + \text{card}(B)$. Thus $\forall A (A \asymp A \times A)$ implies

$$\forall A, B (A, B \text{ infinite} \Rightarrow \text{card}(A) + \text{card}(B) = \text{card}(A) \cdot \text{card}(B)).$$

Theorem 20.11

The following are equivalent:

- ① AC,
- ② $\forall a (a \not\prec \omega \Rightarrow a \cdot a = a),$
- ③ $\forall a \forall b (a, b \not\prec \omega \Rightarrow a \cdot b = a + b).$

Proof.

① \Rightarrow ② is clear, and ② \Rightarrow ③ follows from what we proved before.

We show that 3 implies that every set A is well-orderable. We may assume that A is disjoint from $B = \text{Hrtg}(A)$. By assumption there is a bijection $F: A \times \text{Hrtg}(A) \rightarrow A \cup \text{Hrtg}(A)$. Since $\text{Hrtg}(A) \preceq A$ is impossible,

$$\forall x \in A \exists \alpha \in \text{Hrtg}(A) (F(x, \alpha) \notin A).$$

If $\alpha(x)$ is the least witness, then $A \rightarrow \text{Hrtg}(A), x \mapsto F(x, \alpha(x))$, is injective hence A is well-orderable. □

Weak forms of the axiom of choice

Recall from Section 14.E the Axiom of Countable Choices AC_ω , that is $\forall X AC_\omega(X)$, where

$AC_\omega(X)$

$\forall \langle A_i \mid i \in \omega \rangle \in {}^\omega(\mathcal{P}(X) \setminus \{\emptyset\}) \exists \langle a_i \mid i \in \omega \rangle \in {}^\omega X \forall i \in \omega (a_i \in A_i)$

Recall:

Theorem 14.31

AC_ω implies that the countable union of countable sets is countable.

Theorem 20.12

Assume $\text{AC}_\omega(\mathbb{R})$. Then ω_1 is not a countable union of countable sets. In particular: if $\alpha_n < \omega_1$ for all $n < \omega$, then $\sup_n \alpha_n < \omega_1$.

Proof.

Let $X_n \subseteq \omega_1$ be countable sets, for $n < \omega$. Without loss of generality, we may assume that each X_n is infinite, and let

$$A_n = \{R \subseteq \omega \times \omega \mid R \text{ is a well-order of } \omega \text{ and } \text{ot} \langle \omega, R \rangle = \text{ot} \langle X_n, \leq \rangle\}.$$

As $\mathcal{P}(\omega \times \omega) \simeq \mathbb{R}$ we may choose $R_n \in A_n$ for all $n \in \omega$, and let $f_n: \langle \omega, R_n \rangle \rightarrow \langle X_n, \leq \rangle$ be the unique isomorphism. Then

$$\omega \times \omega \rightarrow \bigcup_{n \in \omega} X_n, \quad (n, m) \mapsto f_n(m)$$

is surjective, thus $\bigcup_{n \in \omega} X_n$ is countable. □

Corollary 20.13

$\text{AC}_\omega(\mathbb{R})$ implies that \mathbb{R} is not a countable union of countable sets.

DC

For any set $X \neq \emptyset$, $\text{DC}(X)$ is: If R is a relation on X such that $\forall x \exists y (x R y)$, then for any $x_0 \in X$ there is an $f \in {}^\omega X$ such that $f(0) = x_0$ and $\forall n (f(n) R f(n+1))$.

If X is well-orderable, then $\text{DC}(X)$ is provable, and if $X \twoheadrightarrow Y$ then $\text{DC}(X) \Rightarrow \text{DC}(Y)$.

Proposition 20.14

For X a nonempty set:

- $\text{AC}(X) \Rightarrow \text{DC}(X)$,
- $\text{DC}(X \times \omega) \Rightarrow \text{AC}_\omega(X)$.

In particular: $\text{AC} \Rightarrow \text{DC} \Rightarrow \text{AC}_\omega$.

Proof.

Assume $\text{AC}(X)$ towards proving $\text{DC}(X)$. Let $X \neq \emptyset$ and let $R \subseteq X \times X$ be such that $\forall x \exists y (x R y)$. Pick $x_0 \in X$ and a choice function $C: \mathcal{P}(X) \setminus \{\emptyset\} \rightarrow X$. Define $f: \omega \rightarrow X$ by $f(0) = x_0$ and $f(n+1) = C(\{y \in X \mid f(n) R y\})$. Then f witnesses $\text{DC}(X)$ for R, x_0 .

Assume $\text{DC}(X \times \omega)$ towards proving $\text{AC}_\omega(X)$. Given

$\{A_n \mid n \in \omega\} \subseteq \mathcal{P}(X) \setminus \{\emptyset\}$ let R be the relation on $X \times \omega$ defined by

$$(a, n) R (b, m) \Leftrightarrow m = n + 1 \wedge (a \in A_n \Rightarrow b \in A_m).$$

For every $(a, n) \in X \times \omega$ there is some $b \in X$ such that

$(a, n) R (b, n+1)$: if $a \in A_n$ pick $b \in A_{n+1}$, if $a \notin A_n$ let $b = a$. Fix an element $a_0 \in A_0$: by $\text{DC}(X \times \omega)$ there is a function $f: \omega \rightarrow X \times \omega$ such that $f(0) = (a_0, 0)$ and $f(n) R f(n+1)$ for all n . The function $g: \omega \rightarrow X$

$$g(n) = \text{the first component of the ordered pair } f(n)$$

is the required function. □