

§12 Forcing and ZFC ≠ CH

(an embedded, self-contained talk)

12.1 Axioms: Show that (CH): $P(N) = \omega_1$ ($\omega_0, \omega_1, \omega_2, \dots$)
 $\overset{2^\omega}{\underset{N}{\text{is independent from ZFC, i.e.,}}}$

- (1) $\text{Cons}(ZFC) \Rightarrow \text{Cons}(ZFC + CH)$ [Gödel 1938]
 - (2) $\text{Cons}(ZFC) \Rightarrow \text{Cons}(ZFC + \neg CH)$ [Cohen 1963]
- Solves Hilbert's problem No. 1

Idea: What is a set? If M satisfies the axioms of ZFC, then x set $\Leftrightarrow x \in M$. Write $\bar{V}$ for universe.

Forcing: Add many elements to M such that $P(N)$ explodes. Control this via generic filter $G \rightsquigarrow M[G]$ extension of M with $M[G] \models 2^\omega \geq \omega_2$.

Idea for (1): Use inner models, i.e., construct an alternative model of $\bar{V}$. Then $ZFC + \bar{V} = L + CH$.

So, forcing needs to destroy $\bar{V} = L$.

12.2 ZFC: (1) Hilbert's 2nd Problem: Are the Peano axioms of number theory free from contradictions?

(2) Russell: $R := \{x \mid x \notin x\}$. Then $R \in R \Leftrightarrow R \notin R$.
 $\rightarrow R$ shouldn't be a set.

(1) & (2) $\rightarrow$ find axioms for set theory!

ZFC: (Ext) $\forall x \forall y [\forall z (z \in x \Leftrightarrow z \in y) \Rightarrow x = y]$
 (∅) $\emptyset \in \bar{V}$ ($\bar{V}$ "universe" / "all class")

defines $\bar{V}$ recursively

(Pair) $\forall x, y \{x, y\} \in \bar{V}$

(Union) $\forall x \bigcup_{y \in x} y \in \bar{V}$ (8.3) $\left[\begin{array}{l} x = \{\{0\}, \{1, 2\}, \{1, 3\}\} \\ \cup x = \{0, 1, 2, 3\} \end{array} \right]$

(Sep) $\forall x \forall y \in \bar{V} \{y \in x \mid \psi(y)\} \in \bar{V}$ $\left[\begin{array}{l} A = \{x \mid \psi(x)\} \\ \psi := (x \in A) \end{array} \right]$

(8.1) $\left[\begin{array}{l} \bullet \psi := (x \in A), \text{ or } \psi := (x = B) \\ \bullet \psi := (\neg \psi), \psi := (\psi_1 \wedge \psi_2), \psi := (\psi_1 \vee \psi_2) \\ \bullet \psi := (\psi_1 \rightarrow \psi_2) \\ \bullet \psi := (\forall x \psi(x)), \psi := (\exists x \psi(x)) \end{array} \right]$

(Repl) $\neq$ function $\xrightarrow{(8.8)} \text{ran } F =: F'' x \in \bar{V} \text{ for all } x \in \bar{V}$

(Power) $\forall x \quad P(x) := \{z \mid z \subseteq x\} \in \bar{V}$

(Min) $A \neq \emptyset \xrightarrow{(8.10)} \exists x \in \text{ran } A \uparrow$ for all classes A

$\uparrow$
 $[\forall y \in x : y \notin A \text{ \& } x \in A] \text{ (answers } x \in x \text{)}$

(Inf) $\omega \in \bar{V}$

$[\omega := \{ \langle U, R \rangle \mid \langle U, R \rangle \text{ finite linear ordering} \} \in \mathcal{O}_\omega$

$\uparrow$
 all strong well-ordering

$\Gamma \langle U, R \rangle$ strong well-ordering:

- (9.1)
- U class, $R \subseteq \bar{V}^2$ ("relation")
 - $A \neq \emptyset \Rightarrow \exists x \text{ R-min. in } A$ for all classes A
 $(\langle y, x \rangle \in R \Rightarrow y \notin A)$
 - $\forall x : \{y \mid \langle y, x \rangle \in R\} \in \bar{V}$
 - $\forall x, y, z \in U : (x, x) \notin R, (x, y), (y, z) \in R \Rightarrow (x, z) \in R,$
 $(x, y) \in R \vee (y, x) \in R \vee x = y$

U transitive: $\forall y \in U \forall x \in y : x \in U$

(9.2) Mostowski collapse: $\langle U, R \rangle$ str. well-ord.

$\Rightarrow \exists V$ transitive: $\langle U, R \rangle \cong \langle V, \in \rangle$

(9.3) $\bar{V} \neq \mathcal{O}_\omega := \{V \mid V \text{ arises from Mostowski collapses of well-orderings}\}$
 $\omega := \{V \mid \langle V, \in \rangle \cong \langle U, R \rangle \text{ well-ord. \& } \langle U, R^{-1} \rangle \text{ well-ord.}\}$

(9.3) $\alpha < \beta$ on $\mathcal{O}_\omega \Leftrightarrow \alpha \in \beta$

$\uparrow$
 $A \cap U \neq \emptyset$ has R-min. \& R-max. el.
 $\leadsto$ "finite"

(10.5) (AC) $\forall \alpha \exists \beta : \langle \alpha, \beta \rangle$ well-ordering

$(\Leftrightarrow \forall x \text{ with } (\forall t \in x : t \neq \emptyset) : \exists f : x \rightarrow \bigcup_{t \in x} t \text{ with } f(t) \in t \text{ (choice function)})$

12.6 Partial orderings:

- P partial ordering: $\Leftrightarrow \exists \leq \in P \times P$ with $p \leq q \leq r \Rightarrow p \leq r$ and $p \leq p$
- $p \parallel q: \Leftrightarrow \exists r \in P: r \leq p \wedge r \leq q$ "joint extension"
- $D \subseteq P$ dense: $\Leftrightarrow \forall p \in P \exists q \in D: p \leq q$ $\nwarrow \neg(p \parallel q):$ $\begin{matrix} p & & q \\ & \searrow & \nearrow \\ & D & \end{matrix}$
- $G \subseteq P$ filter: $\Leftrightarrow \forall p, q \in G: p \parallel q$ & $\forall p, q \in P (p \leq q, q \in G \Rightarrow p \in G)$
- Let M be transitive, $(ZF - (Power))_M, P \in M$ p.o.
- G P -generic $/ M: \Leftrightarrow G \subseteq P$ filter, $\forall D \in M$ with $D \subseteq P$ dense have $G \cap D \neq \emptyset$
- $a \in P$ atom: $\Leftrightarrow \forall p, q \leq a: p \parallel q$ (may not split a in disjoint parts)
- $P \in M$ without atoms, G P -gen. $/ M \Rightarrow G \notin M$
- [$D := P \setminus G \subseteq P$ dense: For $p \in P$ ex. $q_0, q_1 \leq p, \neg(q_0 \parallel q_1)$
Then $\exists q_i \notin G$ since in G all elements compatible ($p \parallel q_i \Rightarrow q_i \in D$)]

12.7 Construction of $M[G]$:

- Given M, P, G as above.
- For $\tau \in M$ ^{such that all of its elements are of the form} $\langle \sigma, p \rangle \in \tau$ for some $\sigma \in M^P, p \in P$, define τ_G such that $\sigma_G \in \tau_G$ holds: $\tau_G := \{ \sigma_G \mid \exists p \in G: \langle \sigma, p \rangle \in \tau \}$ _{$\{\langle \sigma, p \rangle, \langle \sigma, q \rangle\}$}
- $M[G] := \{ \tau_G \mid \tau \in M \text{ with } \forall x \in \tau \exists \sigma, p: x = \langle \sigma, p \rangle, \sigma \in M^P, p \in P \}$
 $\Leftrightarrow: \tau \in M^P$
generic extension of M by G
- Have: (i) $M \in M[G], (ii) G \in M[G], (iii) M[G]$ transitive, (iv) $\alpha \cap M = \alpha \cap M[G]$
- Proof: (i) $x \in M, \check{x} := \{ \langle \check{y}, 1_P \rangle \mid y \in x \}$ where 1_P max. el. of P (exists wlog)
 $x = \check{x}_G \in M[G]$
- (ii) $\Gamma := \{ \langle \check{p}, p \rangle \mid p \in P \} \in M, G = \bigcup \Gamma \in M[G]$
- (iii) $a \in b \in M[G], \sigma \in M$ since M transitive $\Rightarrow \sigma_G \in M[G]$
 $\stackrel{\text{" } \tau_G \text{ "}}{\sigma_G}$

12.8 The forcing relation:

- For M, P , as before, M countable, $\vec{c} \in M^P$ and a formula φ define:

$$p \Vdash_P^M \varphi[\vec{c}] : \Leftrightarrow \forall G \text{ } P\text{-gen.}/M : (p \in G \rightarrow M[G] \models \varphi[\vec{c}_G])$$

- Define $p \Vdash_P^* \varphi[\vec{c}]$ recursively on formulas

$$\ulcorner p \Vdash_P^* (a \in b) [\tau_1, \tau_2] : \Leftrightarrow \{q \leq p \mid \exists \pi_1, s_2 \in \tau_2, q \leq s_2, q \in C(\tau_2, \tau_1) \cap C(\tau_1, \tau_2)\}$$

Begin the hardest

$$(i.e. \forall r \leq p \exists q \in \{ \dots \} : q \leq r)$$

dense under p

$$p \in C(\tau_1, \tau_2) : \Leftrightarrow \forall \pi_1, s_1 \in \tau_1 : \{q \leq p \mid q \leq s_1 \Rightarrow \exists \pi_2, s_2 \in \tau_2 \text{ with } q \leq s_2, q \in C(\pi_1, \pi_2) \cap C(\pi_2, \pi_1)\}$$

dense under p

$$p \Vdash_P^* (a=b) [\tau_1, \tau_2] : \Leftrightarrow p \in C(\tau_1, \tau_2) \cap C(\tau_2, \tau_1)$$

$$\ulcorner \varphi = \varphi_1 \overset{\Delta}{=} \varphi_2, \varphi = \exists x \varphi_1(x) \dots$$

Miracle:
 $\Vdash_P^M$ quantifies over objects outside of M and speaks about $M[G] \models \dots$ for $M[G] \not\models M$.
However, $\Vdash_P^*$ is defined in M !

$$\ulcorner \text{Have } p \Vdash_P^M \varphi[\vec{c}] \Leftrightarrow (p \Vdash_P^* \varphi[\vec{c}])_M \quad (\text{compare with } \S 5)$$

[Induction on formulas]

12.9 Forcing Theorem: Let M be transitive wM $(ZF^-)_M$, $P \in M$ be a partial order, M be countable, G P -gen./ M . Then

$$M[G] \models \varphi[\vec{c}_G] \Leftrightarrow \exists p \in G \ p \Vdash_P^M \varphi[\vec{c}]$$

Proof: " $\Leftarrow$ " Def. of $\Vdash_P^M$

" $\Rightarrow$ " $\varphi = (a \in b) [\tau_1, \tau_2]$. Construct dense set $D \in P$ wM the Ind(φ). Help of $C(\tau_1, \tau_2)$, then $G \cap D \neq \emptyset$ [...] $\rightarrow$ for $p \in G$.

12.10 Then: In the situation above, we have $(ZF^- - (Power))_{M[G]}$, $(Power)_M \Rightarrow (Power)_{M[G]}$, $(AC)_M \Rightarrow (AC)_{M[G]}$

12.13 The ccc:

- P partial order. $A \subseteq P$ antichain: $\Leftrightarrow \forall p_0, p_1 \in A: \neg (p_0 \parallel p_1)$
- P satisfies ccc: $\Leftrightarrow \forall A \subseteq P$ antichain: $\bar{A} < \omega_1$
(i.e. A countable)
- $(P \text{ ccc})_M \Rightarrow \forall G \text{ } P\text{-gen.}/M: \text{Card}_M = \text{Card}_M \text{ ccc}$
- $\bar{J} \leq \omega, I \neq \emptyset \rightarrow F_n(I, J) \text{ ccc}$

12.14 Thm (Cohen 1963): $\text{cons ZFC} \Rightarrow \text{cons (ZFC} + \neg \text{CH})$

Hence, CH independent from ZFC.

Proof: $\text{cons ZFC} \Rightarrow \text{cons (ZFC} + M \text{ countable} + M \text{ transitive} + (ZFC)_M)$
for an additional predicate symbol M in $\mathcal{L}$.

$P := F_n((\omega_2)_M \times \omega, \tau), G \text{ } P\text{-gen.}/M, \kappa := (\omega_2)_M \stackrel{12.13}{=} (\omega_2)_{M[G]}$

$\stackrel{12.12}{\Rightarrow} M[G] \models 2^\omega \geq \bar{\kappa} = \omega_2$

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12.15 Remarks: (a) May realize $M[G] \models 2^\omega = \kappa$ for any $\kappa \in \text{Card}_M$ with $(\kappa = \kappa^\omega)_M$

Thus $\text{cons (ZF)} \Rightarrow \text{cons ZFC} + 2^\omega = \aleph_\alpha$ for all cf $(\aleph_\alpha) > \omega$
for instance $\alpha = \{1, 2, 3, 4, \dots\}$

(b) There is also forcing without ccc.

(c) Solovay: (L) Any set of real numbers is Lebesgue measurable
is consistent with ZFC.

(d) without forcing: $\text{cons ZFC} \Rightarrow \text{cons (ZFC} - (\text{Repl}) + \neg(\text{Repl}))$
 $\text{cons (ZFC} - (\text{Inf}) + \neg(\text{Inf}))$
 $\text{cons (ZFC} - (\text{Power}) + \neg(\text{Power}))$

Fri: Coll.

(e) 2 July: no lecture

3 July: Forcing talk by Philipp Wücker

16 July: Operator algebras & forcing, mainly on Farah's
article on inner automorphisms of the
Calkin algebra