

Forcings with the countable  
chain condition and  
Parametrized  $\diamond$  principles

Hiroaki Minami  
Graduate School of Science and Technology,  
Kobe University

## Introduction 1

- Jensen introduced  $\diamond$  principle.

$\diamond \quad \exists \langle A_\alpha \subset \alpha : \alpha < \omega_1 \rangle$  such that  $\forall X \subset \omega_1$  the set  $\{\alpha < \omega_1 : X \cap \alpha = A_\alpha\}$  is stationary.

- Devlin and Shelah introduced weak diamond principle.

$\forall F : 2^{<\omega_1} \rightarrow 2 \quad \exists g : \omega_1 \rightarrow 2$  such that  $\forall f : \omega_1 \rightarrow 2$  the set  $\{\alpha \in \omega_1 : F(f \upharpoonright \alpha) = g(\alpha)\}$  is stationary.

- Hrušák introduced  $\diamond_{\mathfrak{d}}$ .

$\diamond_{\mathfrak{d}} \quad \exists \langle g_\alpha : \omega \leq \alpha < \omega_1 \rangle$  such that  $g_\alpha$  is a function from  $\alpha$  to  $\omega$  and  $\forall f : \omega_1 \rightarrow \omega$   $\exists \alpha \geq \omega$  with  $f \upharpoonright \alpha \leq^* g_\alpha$ .

- Moore, Hrušák and Džamonja introduced Parametrized  $\diamond$  principles.

## Introduction 2

- By using  $\omega_2$ -stage countable support iteration of proper forcing notions Moore, Hrušák and Džamonja construct some models of Parametrized  $\diamond$  principles .
- By using  $\omega_1$ -stage finite support iteration of c.c.c forcing notions some models of Parametrized  $\diamond$  principles are given.

**Question 1.** *Can we build models of parametrized  $\diamond$  principles by  $\omega_2$ -stage finite support iteration of c.c.c forcing notions?*

## Table of contents

1. Definition of Parametrized  $\diamond$  principles
2. Suslin forcing notions and  $(A,B,E)$ -nice.

# 1 Definition of Parametrized $\diamond$ principles

Borel invariant

**Definition 2** (Vojtáš)( Moore, Hrušák, Džamonja).  
 $(A, B, E)$  is an invariant if

$$(1) |A|, |B| \leq \mathfrak{c},$$

$$(2) E \subset A \times B,$$

$$(3) \forall a \in A \exists b \in B ( (a, b) \in E ),$$

$$(4) \forall b \in B \exists a \in A ( (a, b) \notin E ).$$

We will write  $aEb$  instead of  $(a, b) \in E$ .

**Definition 3.** (Blass)

An invariant  $(A, B, E)$  is **Borel** if  $A, B$  and  $E$  are Borel subsets of some Polish space.

### Definition 4.

If  $(A, B, E)$  is an invariant, then its evaluation  $\langle A, B, E \rangle$  is given by

$$\langle A, B, E \rangle = \min\{|X| : X \subset B, \forall a \in A \exists b \in X (aEb)\}.$$

### Example

Let  $\mathcal{M}$  be a meager ideal and  $\mathcal{N}$  be a null ideal. Then

$$\begin{array}{cccc} (\mathbb{R}, \mathcal{N}, \in) & (\mathcal{M}, \mathbb{R}, \not\exists) & (\mathcal{M}, \mathcal{M}, \subset) & (\mathcal{N}, \mathcal{N}, \subset) \\ & (\omega^\omega, \omega^\omega, \not\leq^*) & (\omega^\omega, \omega^\omega, \leq^*) & \\ (\mathcal{N}, \mathcal{N}, \not\supset) & (\mathcal{M}, \mathcal{M}, \not\supset) & (\mathbb{R}, \mathcal{M}, \in) & (\mathcal{N}, \mathbb{R}, \not\exists) \end{array}$$

are all Borel invariants.

$$\langle \mathbb{R}, \mathcal{M}, \in \rangle = \text{cov}(\mathcal{M}).$$

$$\langle \mathcal{N}, \mathbb{R}, \not\exists \rangle = \text{non}(\mathcal{N}).$$

Parametrized  $\diamond$  principles

**Definition 5.** Let  $A$  be a Borel set in some Polish Space. Then  $F : 2^{<\omega_1} \rightarrow A$  is Borel if  $\forall \alpha < \omega_1 (F \upharpoonright 2^\alpha \text{ is a Borel function})$ .

**Definition 6.**  $(A, B, E)$ : Borel invariant  $\diamond(A, B, E) \equiv \forall \text{ Borel function } F : 2^{<\omega_1} \rightarrow A \exists g : \omega_1 \rightarrow B \text{ such that } \forall f : \omega_1 \rightarrow 2 \text{ the set}$

$$\{\alpha < \omega_1 : F(f \upharpoonright \alpha) E g(\alpha)\}$$

is stationary.

The witness  $g$  for  $F$  in this statement will be called  $\diamond(A, B, E)$ -sequence for  $F$ .

$\diamond(A, B, E)$  and  $\langle A, B, E \rangle$

**Proposition 7.** Suppose  $(A, B, E)$  is a Borel invariant and  $\diamond(A, B, E)$  holds. Then  $\langle A, B, E \rangle \leq \omega_1$  holds.

$\diamond$  and  $\diamond(A, B, E)$

**Proposition 8.**  $(A, B, E)$ : *Borel invariant.*  
 $\diamond$  *implies*  $\diamond(A, B, E)$ .

## Borel-Tukey order

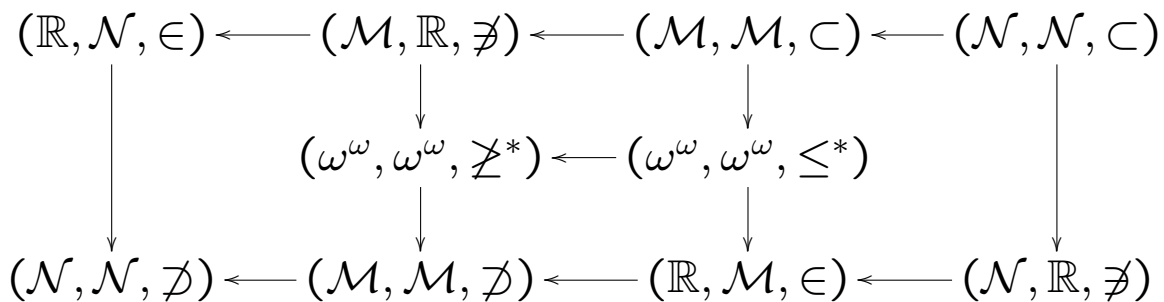
**Definition 9.** (Borel Tukey ordering)

$(A_1, B_1, E_1) \leq_T^B (A_2, B_2, E_2)$  if there exist Borel maps  $\phi, \psi$  such that

- $\phi : A_1 \rightarrow A_2$
- $\psi : B_2 \rightarrow B_1$
- $\forall a \in A_1 \forall b \in B_2 ( \phi(a) E_2 b \text{ implies } a E_1 \psi(b) )$ .

### Example

Cichoń's diagram



The direction of the arrow is from larger to smaller in the Borel Tukey order.

Borel-Tukey order and Parametrized  $\diamond$  principles

**Proposition 10.** Suppose  $\diamond(A_2, B_2, E_2)$  and  $(A_1, B_1, E_1) \leq_T^B (A_2, B_2, E_2)$  holds. Then  $\diamond(A_1, B_1, E_1)$  holds.

## 2. Construction of diamonds

**Theorem 11.** Let  $\mathbb{P}_{\omega_1}$  be an  $\omega_1$ -stage finite support iteration of c.c.c forcing notions such that for all  $\alpha \in \omega_1$

$$\exists b \in B \cap V^{\mathbb{P}_{\omega_1}} \forall a \in A \cap V^{\mathbb{P}_\alpha} (aEb)$$

Then  $V^{\mathbb{P}_{\omega_1}} \models \diamond(A, B, E)$ .

**Proof.** Let  $F : 2^{<\omega_1} \rightarrow A$  be a Borel function in  $V^{\mathbb{P}_{\omega_1}}$ . For each  $\alpha \in \omega_1$ , let  $r_\alpha \in V^{\mathbb{P}_{\omega_1}}$  be a real coding  $F \upharpoonright 2^\alpha$ . Then define  $h : \omega_1 \rightarrow \omega_1$  strictly increasing such that  $r_\alpha \in V^{\mathbb{P}_{h(\alpha)}}$ .

Then define  $g : \omega_1 \rightarrow B$  so that for each  $\alpha \in \omega_1$

$$\forall a \in A \cap V^{\mathbb{P}_{h(\alpha)}} ( aEg(\alpha) ).$$

**Claim 11.1.**  $g$  is  $\diamond(A, B, E)$ -sequence for  $F$ .

Let  $f : \omega_1 \rightarrow 2$ . Then define

$$C_f = \{\alpha \in \omega_1 : f \upharpoonright \alpha \in V^{\mathbb{P}_\alpha}\}.$$

Since  $\mathbb{P}_{\omega_1}$  is c.c.c,  $C_f$  is club. Then if  $\alpha \in C_f$ , then  $F(f \upharpoonright \alpha) \in A \cap V^{\mathbb{P}_{h(\alpha)}}$ . So  $F(f \upharpoonright \alpha)Eg(\alpha)$ . Hence  $g$  is a  $\diamond(A, B, E)$ -sequence for  $F$ .

Claim ■ Theorem □

$\omega_2$ -stage countable support iteration

**Theorem 12.** (Moore, Hrušák and Džamonja)  
*Suppose that  $\langle Q_\alpha : \alpha < \omega_2 \rangle$  is a sequence of Borel partial orders such that for each  $\alpha < \omega_2$   $Q_\alpha$  is equivalent to  $\wp(2)^+ \times Q_\alpha$  as a forcing notion and let  $\mathcal{P}_{\omega_2}$  be the countable support iteration of this sequence.*

*If  $\mathcal{P}_{\omega_2}$  is proper and  $(A, B, E)$  is a Borel invariant then  $\mathcal{P}_{\omega_2}$  forces  $\langle A, B, E \rangle \leq \omega_1$  iff  $\mathcal{P}_{\omega_2}$  forces  $\diamond(A, B, E)$ .*

## 2. Suslin forcing and $(A, B, E)$ -niceness

**Main idea.** Let  $(A, B, E)$  be a Borel invariant. Let  $\mathbb{P}_{\omega_2}$  be the finite support iteration of c.c.c forcing notions. Let  $F : 2^{<\omega_1} \rightarrow A$  be a Borel function in  $V^{\mathbb{P}_{\omega_2}}$ . Without loss of generality, we can assume  $F \in V$ . Let  $f : \omega_1 \rightarrow 2$  in  $V^{\mathbb{P}_{\omega_2}}$ . Then the set

$$C_f = \{\alpha \in \omega_1 : f \upharpoonright \alpha \in V^{\mathbb{P}_\alpha * \mathbb{P}_{[\omega_1, \omega_2]}}\}$$

contains club. Let  $c_\alpha \in V^{\mathbb{P}_{\omega_1}}$  be a Cohen real over  $V^{\mathbb{P}_\alpha}$ . Work in  $V^{\mathbb{P}_\alpha}$ , if for any  $\mathbb{P}_{[\omega_1, \omega_2]}$ -name  $\dot{x}$  such that  $\Vdash_{\mathbb{P}_{[\omega_1, \omega_2]}} \dot{x} \in A$

$$\Vdash_{\mathbb{P}_{[\alpha, \omega_1]} * \mathbb{P}_{[\omega_1, \omega_2]}} \dot{x} E c_\alpha$$

Then  $\langle c_\alpha : \alpha \in \omega_1 \rangle$  is a  $\diamond(A, B, E)$ -sequence for  $F$ .

**Question 13.** *Does this proof work ?*

We should check following

- (i) If  $\dot{x}$  be a  $\mathbb{P}_{\omega_2}$ -name for a real, then can we assume  $\dot{x}$  be a  $\mathbb{P}_\alpha * \dot{\mathbb{P}}_{[\omega_1, \omega_2)}$ -name for some  $\alpha < \omega_1$ ?
- (ii) Let  $\dot{x}$  be a  $\mathbb{P}_\alpha * \dot{\mathbb{P}}_{[\omega_1, \omega_2)}$ -name such that  $\Vdash_{\mathbb{P}_\alpha * \dot{\mathbb{P}}_{[\omega_1, \omega_2)}} \dot{x} \in A$ . Let  $\dot{r}$  be a  $\mathbb{P}_{\omega_1}$ -name such that for any  $x \in A \cap V^{\mathbb{P}_\alpha}$

$$\Vdash_{\mathbb{P}_{\omega_1}} x E \dot{r}.$$

Can we assume  $\Vdash_{\mathbb{P}_{\omega_1} * \dot{\mathbb{P}}_{[\omega_1, \omega_2)}} \text{“}\dot{x} E \dot{r}\text{”}$  ?

## Suslin forcing

**Definition 14.** A forcing notion  $\mathbb{P} = \langle \mathbb{P}, \leq_{\mathbb{P}} \rangle$  has a Suslin definition if  $\mathbb{P} \subset \omega^\omega$ ,  $\leq_{\mathbb{P}} \subset \omega^\omega \times \omega^\omega$  and  $\perp_{\mathbb{P}} \subset \omega^\omega \times \omega^\omega$  are  $\Sigma_1^1$ .

$\mathbb{P}$  is Suslin if  $\mathbb{P}$  is c.c.c and has a Suslin definition.

For convenience we will interpret Suslin forcing notion in forcing extensions using its code rather than taking the ground model forcing notion.

**Lemma 15.** *Let  $\mathbb{P}_\kappa$  be the  $\kappa$ -stage finite support iteration of Suslin forcing notions. Let  $\dot{x}$  be a  $\mathbb{P}_\kappa$ -name for a real. Then there exists countable  $I \subset \kappa$  such that  $\dot{x}$  is  $\mathbb{P}_I$ -name.*

Hence if  $\dot{f} : \omega_1 \rightarrow 2$  is a  $\mathbb{P}_{\omega_2}$ -name, then the set

$$C_{\dot{f}} = \{\alpha < \omega_1 : \dot{f} \upharpoonright \alpha \text{ is } \mathbb{P}_\alpha * \dot{\mathbb{P}}_{[\omega_1, \omega_2)}\text{-name}\}$$

contains club.

$(A, B, E)$  with  $\langle E_n : n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$

We will deal with Borel invariants  $(A, B, E)$  with  $\langle E_n : n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$  satisfying the following:

- (0)  $E_n$  is a Borel set for  $n \in \omega$ ,
- (1)  $E_n \subset A \times B$  and  $E = \bigcap_{n \in \omega} E_n$ ,
- (2)  $E_{n+1} \subset E_n$ ,
- (3)  $U^n : A \rightarrow \wp(A)$  such that  $U^n(x)$  is a Borel set,
- (4)  $x E_n y$  implies that there exists  $m \geq n$  such that  $U^m(x) \subset \{z \in A : z E_n y\}$ ,
- (5)  $U^m(x) \subset \{z \in A : z E_n y\}$  is absolute with parameters  $x, y, U^m$  and  $E_n$  and
- (6) If  $x \in U^n(y)$ , then  $U^n(x) \subset U^n(y)$ .

## Example

For  $(\omega^\omega, \not\leq^*)$  let

$$x \not\leq_n y \text{ if } \exists m \geq n (x(m) < y(n))$$

and  $U^n(x) = \bigcup_{m \leq x(n)} [\langle n, m \rangle]$ .

Then  $\langle \not\leq_n : n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$  satisfy (0)-(6).

$(A, B, E)$ -nice

**Definition 16.** Let  $(A, B, E)$  be a Borel invariant with  $\langle E_n : n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$  satisfying (0)-(6). Let  $\mathbb{P}$  be a forcing notion and  $\mathcal{Q}$  be a Suslin forcing notion or finite support iteration of Suslin forcing notions.

Then  $\mathcal{Q}$  is  $(A, B, E)$ -nice with  $\langle E_n : n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$  for  $\mathbb{P}$  if  $\forall \dot{x}$   $\mathcal{Q}$ -names such that  $\Vdash_{\mathcal{Q}} \text{"}\dot{x} \in A\text{"}$ ,  $\forall (p, \dot{q}) \in \mathbb{P} * \dot{\mathcal{Q}} \exists x \in A \cap V \exists m \in \omega$  such that  $\forall r \leq_{\mathbb{P}} p \forall n \geq m \exists q' \in \mathcal{Q}$  such that  $(1, q') \Vdash_{\mathcal{Q}} \dot{x} \in U^n(x)$ .

**Definition 17.** Let  $\mu$  be the standard product measure on  $2^\omega$ ,  $\mathcal{B}$  the family of all Borel sets on  $2^\omega$  and  $\mathcal{N}_\omega = \{X \in \mathcal{B} : \mu(X) = 0\}$ . Then define  $\mathbb{B} = \mathcal{B}/\mathcal{N}_\omega$ . It is ordered by

$$A \leq_{\mathbb{B}} B \text{ if } \mu(A \setminus B) = 0.$$

**Definition 18.** The Hechler forcing notion is defined as follows:

$$\langle s, f \rangle \in \mathbb{D} \text{ if } s \in \omega^{<\omega}, f \in \omega^\omega \text{ and } s \subset f.$$

It is ordered by

$$\langle s, f \rangle \leq \langle t, g \rangle \text{ if } s \supset t \text{ and } g \leq f.$$

**Definition 19.** The eventually different forcing notion is defined as follows:

$$\langle s, H \rangle \in \mathbb{E} \text{ if } s \in \omega^{<\omega} \text{ and } H \in [\omega^\omega]^{<\omega}$$

It is ordered by  $\langle s, H \rangle \leq \langle s', H' \rangle$  if  $s \supset s', H \supset H'$  and

$$\text{for all } f \in H' \text{ for all } j \in [|s'|, |s|) \text{ } s(j) \neq f(j).$$

Example of (A,B,E)-niceness

**Proposition 20.** *Suppose  $I$  is countable subset of some ordinal  $\kappa$ . Then*

(1)  $\mathbb{D}_I$  is  $(2^\omega, 2^\omega, =_{I_n}^{\exists^\infty})$ -nice with  $\langle =_{I_m}^{m \geq n} : n \in \omega \rangle$  and  $\langle [* \upharpoonright I_n] : n \in \omega \rangle$  for  $\mathbb{D}_{\omega_1}$

(2)  $\mathbb{B}_I$  is  $(\omega^\omega, \not\leq^*)$ -nice with  $\langle \not\leq_n : n \in \omega \rangle$  and  $\langle \bigcup_{m \leq^*(n)} [\langle n, m \rangle] : n \in \omega \rangle$  for  $\mathbb{B}_{\omega_1}$ .

(3)  $\mathbb{E}_I$  is  $(2^\omega, 2^\omega, =_{I_n}^{\exists^\infty})$ -nice with  $\langle =_{I_m}^{m \geq n} : n \in \omega \rangle$  and  $\langle [* \upharpoonright I_n] : n \in \omega \rangle$  for  $\mathbb{E}_\omega$  and  $(\omega^\omega, \not\leq^*)$ -nice with  $\langle \not\leq_n : n \in \omega \rangle$  and  $\langle \bigcup_{m \leq^*(n)} [\langle n, m \rangle] : n \in \omega \rangle$  for  $\mathbb{E}_{\omega_1}$ .

(4)  $(\mathbb{B} * \mathbb{D})_I$  is  $(\text{LOC}, \omega^\omega, \not\leq)$ -nice with  $\langle \not\leq_n : n \in \omega \rangle$  and  $\langle \bigcup_{s \subset^*(n)} [\langle n, s \rangle] : n \in \omega \rangle$  for  $(\mathbb{B} * \mathbb{D})_{\omega_1}$ .

**Theorem 21.** [Minami]  $(A, B, E)$  Borel invariant with  $\langle E_n : n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$  satisfying (0)-(6). Let  $\mathbb{P}$  be a forcing notion such that  $\exists \dot{r}$   $\mathbb{P}$ -name ( $\Vdash_{\mathbb{P}}$  " $\dot{r} \in B$  and  $x E \dot{r}$ " for  $x \in A \cap V$ ) and let  $\mathcal{Q}$  be a Suslin forcing notion or the finite support iteration of Suslin forcing notions. If  $\mathcal{Q}$  is  $(A, B, E)$ -nice for  $\mathbb{P}$  and  $\dot{x}$  is a  $\mathcal{Q}$ -name for an element of  $A \cap V^{\mathbb{P}}$ , then  $\Vdash_{\mathbb{P} * \dot{\mathcal{Q}}} \dot{x} E \dot{r}$ .

**Theorem 22.** *Let  $(A, B, E)$  be a Borel invariant with  $\langle E_n, n \in \omega \rangle$  and  $\langle U^n : n \in \omega \rangle$  satisfying (0)-(6). Let  $\mathbb{P}_{\omega_2}$  be a  $\omega_2$ -stage finite support iteration of Suslin forcing notion and*

(a) *for all  $\beta < \omega_2$  there exists a  $\mathbb{P}_{\beta+\omega_1}$ -name  $\dot{r}$  for an element of  $A$  such that  $\Vdash_{\mathbb{P}_{\beta+\omega_1}} "x E \dot{r}"$  for  $x \in A \cap V^{\mathbb{P}^\beta}$ .*

(b) *for all  $\beta < \omega_2$  for all  $I$  countable subset of  $\omega_2 \setminus (\beta + \omega_1)$*

*$V^{\mathbb{P}^\beta} \models " \mathbb{P}_I \text{ is } (A, B, E)\text{-nice for } \mathbb{P}_{[\beta, \beta+\omega_1]} "$ .*

*Then  $\mathbb{P}_{\omega_2} \models \diamond(A, B, E)$ .*

**Corollary 23.** *Each of the following are relatively consistent with ZFC:*

(i)  $\mathfrak{c} = \text{add}(\mathcal{M}) = \omega_2 + \diamond(\text{cov}(\mathcal{N}))$  (see Diagram 1).

(ii)  $\mathfrak{c} = \text{cov}(\mathcal{N}) = \text{cov}(\mathcal{M}) = \omega_2 + \diamond(\mathfrak{b})$  (see Diagram 2).

(iii)  $\mathfrak{c} = \text{non}(\mathcal{M}) = \text{cov}(\mathcal{M}) = \omega_2 + \diamond(\mathfrak{b}) + \diamond(\text{cov}(\mathcal{N}))$  (see Diagram 3).

(iv)  $\mathfrak{c} = \text{cov}(\mathcal{N}) = \text{add}(\mathcal{M}) = \omega_2 + \diamond(\text{add}(\mathcal{N}))$  (see Diagram 4).

**Proof.** (i) Suppose  $V \models \text{CH}$ . Then

$$V^{\mathbb{D}_{\omega_2}} \models \diamond(\text{cov}(\mathcal{N})) + \mathfrak{c} = \text{add}(\mathcal{M}) = \omega_2.$$

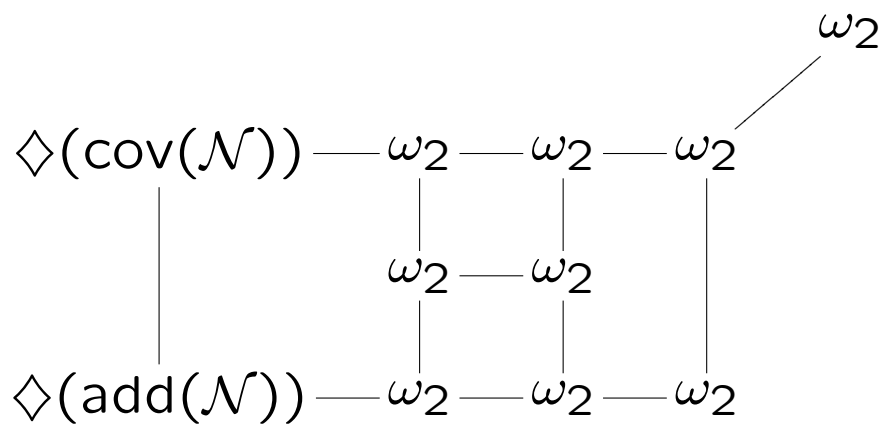


Diagram 1.

Cichoń's diagram for parametrized diamond looks as follows where a  $\omega_2$  means the corresponding evaluation of Borel invariant is  $\omega_2$  while parametrized diamonds principle for the others hold.

(ii) Suppose  $V \models \text{CH}$ .

Then

$$V^{\mathbb{B}_{\omega_2}} \models \diamond(\mathfrak{b}) + \mathfrak{c} = \text{cov}(\mathcal{N}) = \text{cov}(\mathcal{M}) = \omega_2.$$

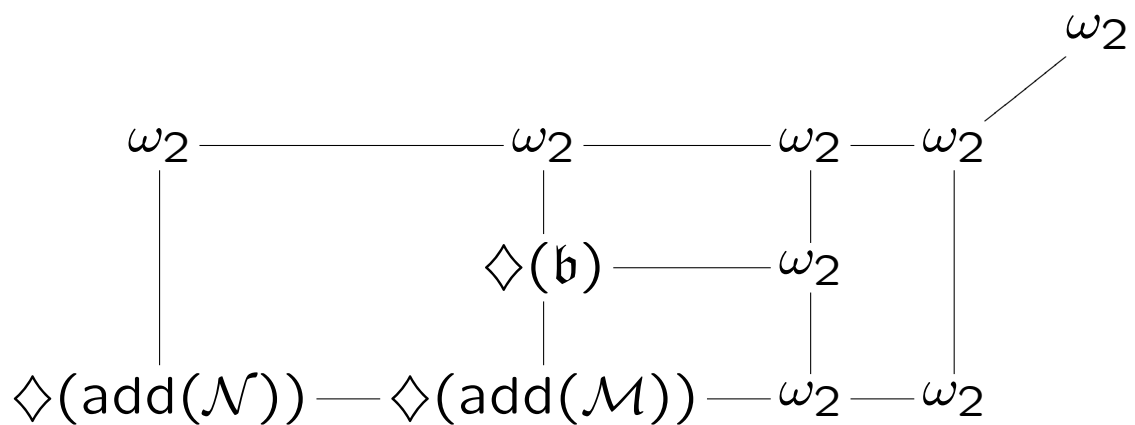


Diagram 2.

(iii) Suppose  $V \models \text{CH}$ .

Then

$$V^{\mathbb{E}_{\omega_2}} \models \diamond(\text{cov}(\mathcal{N})) + \diamond(\text{cov}(\mathcal{M})) + \mathfrak{c} = \text{non}(\mathcal{M}) + \text{cov}(\mathcal{M}) = \omega_2.$$

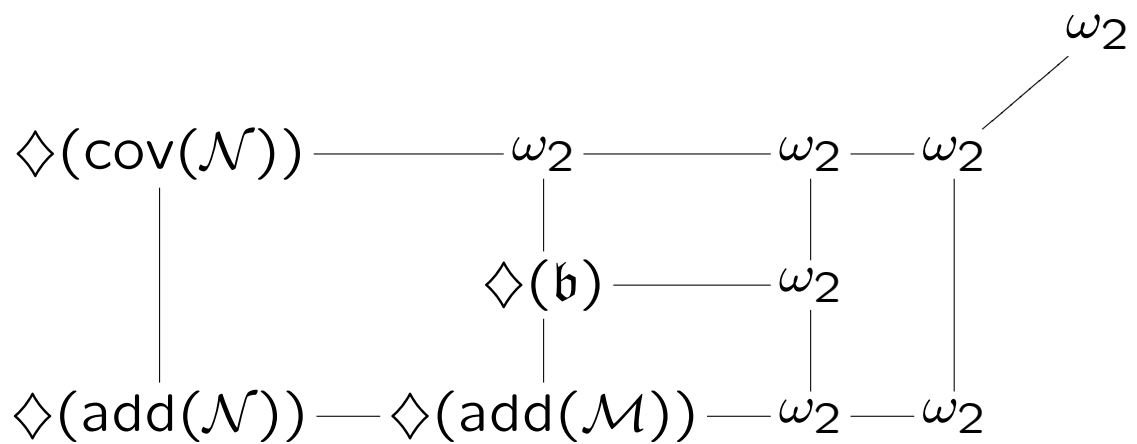


Diagram 3.

(iv) Suppose  $V \models \text{CH}$ .

Then

$$V^{(\mathbb{B} * \dot{\mathbb{D}})_{\omega_2}} \models \diamond(\text{add}(\mathcal{N})) + \\ \mathfrak{c} = \text{cov}(\mathcal{N}) = \text{add}(\mathcal{M}) = \omega_2.$$

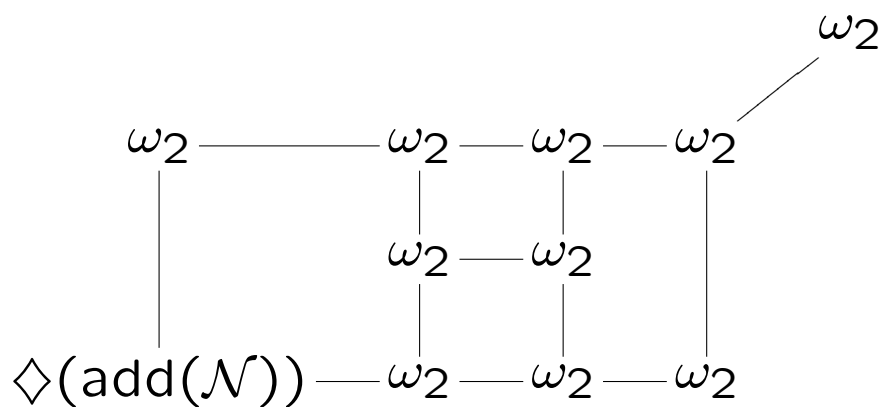


Diagram 4

□