

# $I_0(\lambda)$ and Combinatorics at $\lambda^+$

Xianghui Shi  
Beijing Normal University



The 4<sup>th</sup> Arctic Set Theory Workshop  
January 21-26, 2019 @ Kilpisjärvi

This is a joint work with Nam Trang.

- 1** Introduction
- 2** Aronszajn tree and squares
- 3** Scales in PCF theory
- 4** Stationary Reflection
- 5** Diamond and GCH

## Axiom $I_0$

### Definition

Axiom  $I_0(\lambda)$  is the assertion that there is a  $j : L(V_{\lambda+1}) \prec L(V_{\lambda+1})$  such that  $\text{crit}(j) < \lambda$ .

- It was first proposed and studied by Woodin in the early 80's and by Laver in the 90's.
- It is by far (among) the strongest (in terms of consistency strength) large cardinal axioms unknown to be inconsistent with ZFC.
- Write  $I_0(\lambda, X, \alpha)$  for the relativized (to an  $X \subseteq V_{\lambda+1}$ ) version: "there is a  $j : L_\alpha(X, V_{\lambda+1}) \prec L_\alpha(X, V_{\lambda+1})$  with  $\text{crit}(j) < \lambda$ ".

# Supercompact

## Definition

- $\kappa$  is  $\lambda$ -supercompact if there is an elementary embedding  $j : V \rightarrow M$  such that  $\text{crit}(j) = \kappa$ ,  $j(\kappa) > \lambda$  and  ${}^\lambda M \subseteq M$ .
  - $\kappa$  is supercompact if it is  $\lambda$ -supercompact for every  $\lambda \geq \kappa$ .
- 
- Supercompactness implies the consistency of most forcing axioms.
  - If  $I_0(\lambda)$  holds, then  $\lambda$  is a limit of very strong large cardinals, for instance, limit of  $<\lambda$ -supercompact cardinals.
  - Although the statement  $I_0(\lambda)$  is stronger than the existence of supercompact cardinals in terms of consistency strength, what it directly implies is not very much beyond the existence of  $<\lambda$ -supercompact cardinals.
  - There are a fair number of statements that follow from supercompactness but are independent of  $I_0(\lambda)$ .

# Three types of questions

Let  $\varphi$  be a combinatorial principle at  $\lambda^+$ . In this talk, we look into the compatibility of  $I_0(\lambda)$  with various  $\varphi$ 's over the base theory  $\Gamma = \text{ZFC} + I_0(\lambda)$ . For each  $\varphi$ , we ask three questions:

- Is  $\varphi$  consistent with  $\Gamma$ ?
- Is  $\neg\varphi$  consistent with  $\Gamma$ ?
- Is  $\varphi$  true in  $L(V_{\lambda+1})$ ?

# Combinatorial Principles

The combinatorial principles discussed in this talk include

- 1 the existences of (special)  $\lambda^+$ -Aronszajn tree and of  $\lambda^+$ -Suslin tree;
- 2 the  $\square_\lambda$  and the  $\square_\lambda^*$  principles;
- 3 the existence of (good, very good) scale at  $\lambda^+$ ;
- 4 stationary reflection at  $\lambda^+$ ;
- 5 the  $\diamond_{\lambda^+}$  principle;
- 6 GCH (as well as SCH) at  $\lambda$ .

# $\lambda^+$ -Aronszajn tree

## Definition

- $\kappa$ -tree is a tree on  $\kappa$  of size  $\kappa$  whose every level has size  $< \kappa$ .
- A  $\kappa$ -Aronszajn tree is a  $\kappa$ -tree that has no cofinal branch of length  $\kappa$ .
- A  $\kappa$ -Aronszajn tree is **special** if it is union of  $\kappa$ -many antichains.



# $\lambda^+$ -Aronszajn tree

## Definition

- $\kappa$ -tree is a tree on  $\kappa$  of size  $\kappa$  whose every level has size  $< \kappa$ .
- A  $\kappa$ -Aronszajn tree is a  $\kappa$ -tree that has no cofinal branch of length  $\kappa$ .
- A  $\kappa$ -Aronszajn tree is **special** if it is union of  $\kappa$ -many antichains.

## Theorem 1

Assume ZFC +  $I_0(\lambda)$ . There is no  $\lambda^+$  Aronszajn tree in  $L(V_{\lambda+1})$ .

## Proof.

- $I_0(\lambda)$  implies that  $L(V_{\lambda+1}) \models \lambda^+$  is a measurable cardinal.
- Assume towards a contradiction that  $T$  is a  $\lambda^+$ -Aronszajn tree in  $L(V_{\lambda+1})$ .
- Let  $\pi : L[T] \rightarrow M \cong \text{Ult}(L[T], \mu \cap L[T])$  be the ultrapower embedding induced by a  $\lambda^+$ -complete measure  $\mu$  on  $\lambda^+$ . Then  $\pi(T)$  is a  $\pi(\lambda^+)$ -Aronszajn tree in  $M$ .
- Since  $\text{crit}(\pi) = \lambda^+$ , we have  $T = \pi''T \subset \pi(T)$  and  $\pi(\lambda^+) > \lambda^+$ .
- Any node at the  $\lambda^+$ -th level of  $\pi(T)$  is a cofinal branch of  $\pi''T = T$ . Contradiction! □

# Square Principle

## Definition (Jensen-Schimmerling)

Let  $\lambda$  be an uncountable cardinal. A  $\square_{\kappa,\lambda}$ -sequence is sequence  $\langle C_\alpha : \alpha \in \lim(\lambda^+) \rangle$  such that for all  $\alpha < \lambda^+$ ,

- 1 each  $C_\alpha$  is a nonempty set of club subsets of  $\alpha$ ,  $1 \leq |C_\alpha| \leq \kappa$ ;
- 2 for all  $\alpha \in \lim(\lambda^+)$ , all  $C \in C_\alpha$  and all  $\beta \in \lim(C)$ ,  $\text{otp}(C) \leq \lambda$  and  $C \cap \beta \in C_\beta$ .

- The classical Jensen's "square principle",  $\square_\lambda$ , states that there exists a  $\square_{1,\lambda}$ -sequence, and
- The "weak square" principle,  $\square_\lambda^*$ , states the existence of a  $\square_{\lambda,\lambda}$ -sequence.
- Note that  $\square_\lambda^*$  is equivalent to the existence of a special  $\lambda^+$ -Aronszajn tree. (Jensen)

## Failure of square in $L(V_{\lambda+1})$

A similar argument gives

### Theorem 2

*Assume ZFC +  $I_0(\lambda)$ . Then  $L(V_{\lambda+1}) \models \neg \square_\lambda$ .*

## Failure of square in $L(V_{\lambda+1})$

A similar argument gives

### Theorem 2

*Assume ZFC +  $I_0(\lambda)$ . Then  $L(V_{\lambda+1}) \models \neg \square_\lambda$ .*

### REMARK

Although  $\square_\lambda$  implies the existence of a  $\lambda^+$ -Aronszajn tree, this does not enable us to conclude  $L(V_{\lambda+1}) \models \neg \square_\lambda$  immediately from Theorem 1, as the construction of a  $\lambda^+$ -Aronszajn tree uses  $\lambda^+$ -DC, which in general is not true in  $L(V_{\lambda+1})$ .

# Independence results

## Theorem 3 (ZFC)

**1** Assume  $I_0(\lambda)$ . Then there is a model in which  $I_0(\lambda)$  holds and there is a special  $\lambda^+$ -Aronszajn tree, even furthermore a  $\lambda^+$ -Suslin tree.

**2** Assume  $I_0(\lambda, V_{\lambda+1}^\sharp, \omega \cdot 2 + 1)$ , i.e. there is a

$$j : L_{\omega \cdot 2 + 1}(V_{\lambda+1}^\sharp, V_{\lambda+1}) \prec L_{\omega \cdot 2 + 1}(V_{\lambda+1}^\sharp, V_{\lambda+1})$$

with  $\text{crit}(j) < \lambda$ . Then there is a  $\bar{\lambda} < \lambda$  such that  $I_0(\bar{\lambda})$  holds and there is no  $\bar{\lambda}^+$ -Aronszajn tree.

# Independence results

## Theorem 3 (ZFC)

**1** Assume  $I_0(\lambda)$ . Then there is a model in which  $I_0(\lambda)$  holds and there is a special  $\lambda^+$ -Aronszajn tree, even furthermore a  $\lambda^+$ -Suslin tree.

**2** Assume  $I_0(\lambda, V_{\lambda+1}^\sharp, \omega \cdot 2 + 1)$ , i.e. there is a

$$j : L_{\omega \cdot 2 + 1}(V_{\lambda+1}^\sharp, V_{\lambda+1}) \prec L_{\omega \cdot 2 + 1}(V_{\lambda+1}^\sharp, V_{\lambda+1})$$

with  $\text{crit}(j) < \lambda$ . Then there is a  $\bar{\lambda} < \lambda$  such that  $I_0(\bar{\lambda})$  holds and there is no  $\bar{\lambda}^+$ -Aronszajn tree.

The hypothesis in 2, by a theorem of Cramer, implies  $I_0(\bar{\lambda})$ , for some  $\bar{\lambda} < \lambda$ .

## Theorem 4 (ZFC)

- 1  $\text{Con}(I_0(\lambda))$  implies  $\text{Con}(I_0(\lambda) + \square_\lambda)$ .
- 2 Assume  $I_0(\lambda, V_{\lambda+1}^\#, \omega \cdot 2 + 1)$ . Then there is a  $\bar{\lambda} < \lambda$  such that  $I_0(\bar{\lambda})$  holds and  $\square_{\bar{\lambda}}$  fails.



# Scales

- Consider  $\prod_{i < \omega} \kappa_i$ , where each  $\kappa_i$  is regular and  $\lambda = \sup_{i < \omega} \kappa_i$ .
- Let  $I = \text{Fin}$ , i.e. the ideal consisting of all finite subsets of  $\omega$ .
- Given  $f, g \in \prod_i \kappa_i$ ,  $f <_I g$  iff  $\omega \setminus \{i \mid f(i) < g(i)\} \in I$ .
- A sequence  $\langle f_i : i < \alpha \rangle$  is a **scale of length  $\alpha$  in  $\prod_i \kappa_i / I$**  if it is  $<_I$ -increasing and cofinal in  $\prod_i \kappa_i / I$ .
- A **scale for  $\lambda$**  is a pair  $(\bar{\kappa}, \bar{f})$ , where  $\bar{f}$  is a scale of length  $\lambda^+$  in  $\prod_i \kappa_i / I$ .
- **ZFC-Fact:** There exists a scale for  $\lambda$  whenever  $\lambda$  is singular.

## Definition

- Suppose  $(\bar{\kappa}, \bar{f})$  is a scale for  $\lambda$ . A point  $\alpha < \lambda^+$  is **good for**  $(\bar{\kappa}, \bar{f})$  iff there is an unbounded  $A \subset \alpha$  s.t.  $\langle f_\beta(n) : \beta \in A \rangle$  is strictly increasing for sufficiently large  $n$ .
- $\alpha$  is **very good for**  $(\bar{\kappa}, \bar{f})$  if  $A$  above is a club in  $\alpha$ .
- A scale  $(\bar{\kappa}, \bar{f})$  for  $\lambda$  is **good** if it is good at every point in  $\lambda^+ \cap \text{Cof}(>\omega)$ .
- A scale  $(\bar{\kappa}, \bar{f})$  for  $\lambda$  is **very good** if it is very good at every point in  $\lambda^+ \cap \text{Cof}(>\omega)$ .

## Theorem 5 (ZFC)

- 1** Assume  $I_0(\lambda)$ . There is no scale at  $\lambda$  in  $L(V_{\lambda+1})$ .
- 2** Assume  $I_0(\lambda)$ . Then there is a model of  $ZFC + I_0(\lambda)$ , in which there is a very good scale at  $\lambda$ .
- 3** Assume  $I_0(\lambda, V_{\lambda+1}^\#, \omega \cdot 2 + 1)$ . Then there is a  $\bar{\lambda} < \lambda$  such that  $I_0(\bar{\lambda})$  holds and there is no good scale at  $\bar{\lambda}$ .

# Singular limit above supercompacts

## Theorem

- 1** (Magidor-Shelah<sup>1996</sup>). If  $\mu$  is a singular limit of  $\mu^+$ -strongly compact cardinals, then there is no  $\mu^+$ -Aronszajn tree.
- 2** (Solovay<sup>1978</sup><sub>[supercompact], Gregory</sub><sub>[strongly compact], Jensen</sub><sub>[subcompact], Brooke-Taylor and Sy Friedman</sub><sup>2012</sup>).  
If  $\kappa$  is  $\mu^+$ -subcompact and  $\mu \geq \kappa$ , then  $\neg \square_\mu$ .
- 3** (Shelah<sup>1979</sup><sub>[strongly compact], Brooke-Taylor and Sy Friedman</sub><sup>2012</sup>).  
If  $\kappa$  is  $\mu^+$ -subcompact and  $\text{cf}(\mu) < \kappa < \mu$ , then  $\neg \square_\mu^*$ .
- 4** (Shelah<sup>1979</sup>). If  $\kappa$  is  $\mu^+$ -supercompact and  $\text{cf}(\mu) < \kappa < \mu$ , then there are scales of length  $\mu^+$  but none of them are good.

# Singular limit above supercompacts

## Theorem

- 1 (Magidor-Shelah<sup>1996</sup>). If  $\mu$  is a singular limit of  $\mu^+$ -strongly compact cardinals, then there is no  $\mu^+$ -Aronszajn tree.
  - 2 (Solovay<sup>1978</sup><sub>[supercompact], Gregory</sub><sub>[strongly compact], Jensen</sub><sub>[subcompact], Brooke-Taylor and Sy Friedman</sub><sup>2012</sup>).  
If  $\kappa$  is  $\mu^+$ -subcompact and  $\mu \geq \kappa$ , then  $\neg \square_\mu$ .
  - 3 (Shelah<sup>1979</sup><sub>[strongly compact], Brooke-Taylor and Sy Friedman</sub><sup>2012</sup>).  
If  $\kappa$  is  $\mu^+$ -subcompact and  $\text{cf}(\mu) < \kappa < \mu$ , then  $\neg \square_\mu^*$ .
  - 4 (Shelah<sup>1979</sup>). If  $\kappa$  is  $\mu^+$ -supercompact and  $\text{cf}(\mu) < \kappa < \mu$ , then there are scales of length  $\mu^+$  but none of them are good.
- 
- If  $\kappa$  is supercompact, then the hypotheses in (2)-(4) hold at  $\kappa$ .
  - The hypotheses in (1)-(4) may fail at  $\mu = \lambda$ ,  $\kappa = \text{crit}(j)$ , with the presence of  $I_0(\lambda)$ .

# Stationary Reflection

## Definition

Let  $\kappa$  be uncountable and regular. Let  $S \subseteq \kappa$  be stationary.

- $S$  reflects at  $\alpha$  for  $\alpha < \kappa$  with  $\text{cf}(\alpha) > \omega$  if  $S \cap \alpha$  is stationary in  $\alpha$ .
- Stationary Reflection Principle for  $T$ , where  $T \subseteq \kappa$  is stationary, says that for every stationary  $S \subseteq T$ ,  $S$  reflects at some  $\alpha < \kappa$ .
- $\text{SRP}_{\lambda^+}$  denotes the Stationary Reflection Principle for  $T = \lambda^+$ .

## Theorem 6 (ZFC)

- 1 Assume  $I_0(\lambda)$  is consistent. Then so is  $I_0(\lambda) + \neg \text{SRP}_{\lambda^+}$ .
  - 2 Assume  $I_0(\lambda, V_{\lambda^{\sharp+1}}, \omega \cdot 2 + 1)$ . Then there is a  $\bar{\lambda} < \lambda$  such that  $I_0$  holds at  $\bar{\lambda}$  and  $\text{SRP}_{\bar{\lambda}^+}$  is true.
- Due to the lack of choice in this model,<sup>1</sup> the situation of  $\text{SRP}_{\lambda^+}$  in  $L(V_{\lambda+1})$  is unclear.

---

<sup>1</sup>(Woodin<sup>1990</sup>).  $L(V_{\lambda+1}) \models \text{DC}_{<\lambda^+}(V_{\lambda+1})$ .

- We include a scenario where it could be true in  $L(V_{\lambda+1})$ .

### Theorem 7 (ZFC)

*Assume  $L(V_{\lambda+1}) \models \lambda^+$  is  $V_{\lambda+1}$ -supercompact, i.e. there is a fine, normal,  $\lambda^+$ -complete measure  $\mu$  on  $\mathcal{P}_{\lambda^+}(V_{\lambda+1})$ <sup>ab</sup>.*

*Then  $L(V_{\lambda+1}) \models \text{SRP}_{\lambda^+}$ .*

---

<sup>a</sup>Fineness and completeness have standard meanings.

<sup>b</sup>In the context where full AC does not hold, normality is defined as follows: suppose  $F : \mathcal{P}_{\lambda^+}(V_{\lambda+1}) \rightarrow \mathcal{P}_{\lambda^+}(V_{\lambda+1})$  is s.t.  $\{\sigma : F(\sigma) \subseteq \sigma \wedge F(\sigma) \neq \emptyset\} \in \mu$ , then there is some  $x$  such that  $\{\sigma : x \in F(\sigma)\} \in \mu$



- We include a scenario where it could be true in  $L(V_{\lambda+1})$ .

### Theorem 7 (ZFC)

*Assume  $L(V_{\lambda+1}) \models \lambda^+$  is  $V_{\lambda+1}$ -supercompact, i.e. there is a fine, normal,  $\lambda^+$ -complete measure  $\mu$  on  $\mathcal{P}_{\lambda^+}(V_{\lambda+1})$ <sup>ab</sup>.*

*Then  $L(V_{\lambda+1}) \models \text{SRP}_{\lambda^+}$ .*

---

<sup>a</sup>Fineness and completeness have standard meanings.

<sup>b</sup>In the context where full AC does not hold, normality is defined as follows: suppose  $F : \mathcal{P}_{\lambda^+}(V_{\lambda+1}) \rightarrow \mathcal{P}_{\lambda^+}(V_{\lambda+1})$  is s.t.  $\{\sigma : F(\sigma) \subseteq \sigma \wedge F(\sigma) \neq \emptyset\} \in \mu$ , then there is some  $x$  such that  $\{\sigma : x \in F(\sigma)\} \in \mu$

- However, whether the hypothesis is compatible with  $I_0(\lambda)$  is yet unknown.

## Sketch of the proof

- Working in  $L(V_{\lambda+1})$ , fix a measure  $\mu$  witnessing that  $\lambda^+$  is  $V_{\lambda+1}$ -supercompact.
- For each  $\sigma \in \mathcal{P}_{\lambda^+}(V_{\lambda+1})$ , let  $M_\sigma = \text{HOD}_{\sigma \cup \{\sigma\}}$  and let  $M = \prod_\sigma M_\sigma / \mu$  be the  $\mu$ -ultraproduct of the structures  $M_\sigma$ 's.
- Łos theorem holds for this ultraproduct.
- Let  $S \subseteq \lambda^+$  be stationary and  $S^* = [c_S]_\mu$ . Then  $S^* \cap \lambda^+ = S$  and is stationary (in  $M$ ). By Łos and the normality of  $\mu$ , there is some  $\alpha < \lambda^+$  such that

$$A = \{\sigma \mid M_\sigma \models S \cap \alpha \text{ is stationary}\} \in \mu.$$

- Let  $C \subseteq \alpha$  be a club in  $\alpha$ . By Łos and the fineness of  $\mu$ ,  $B = \{\sigma \mid C \in M_\sigma\} \in \mu$ .
- Fix a  $\sigma \in A \cap B$ . Then in  $M_\sigma$ ,  $C$  is club in  $\alpha$  and  $S \cap \alpha$  is stationary, hence  $C \cap S \cap \alpha \neq \emptyset$ .
- By Łos,  $S \cap \alpha$  is stationary.

# Definitions from $I_0$ theory

## Definition

Suppose  $X \subseteq V_{\lambda+1}$ .

- 1  $\Theta_\lambda^X =_{\text{def}} \{\alpha \mid L(X, V_{\lambda+1}) \models \exists \text{ a surjective } \pi : V_{\lambda+1} \rightarrow \alpha\}$ .
- 2 An ordinal  $\alpha < \Theta_\lambda^X$  is  **$X$ -good** if every element of  $L_\alpha(X, V_{\lambda+1})$  is definable in  $L_\alpha(X, V_{\lambda+1})$  with parameters in  $V_{\lambda+1} \cup \{X\}$ .

# Definitions from $I_0$ theory

## Definition

Suppose  $X \subseteq V_{\lambda+1}$ .

- 1  $\Theta_\lambda^X =_{\text{def}} \{\alpha \mid L(X, V_{\lambda+1}) \models \exists \text{ a surjective } \pi : V_{\lambda+1} \rightarrow \alpha\}$ .
- 2 An ordinal  $\alpha < \Theta_\lambda^X$  is  **$X$ -good** if every element of  $L_\alpha(X, V_{\lambda+1})$  is definable in  $L_\alpha(X, V_{\lambda+1})$  with parameters in  $V_{\lambda+1} \cup \{X\}$ .

- Our discussion regarding the GCH at  $\lambda$  assumes a stronger form of Generic absoluteness.

## About proper $I_0$ embedding

For an  $X \subseteq V_{\lambda+1}$ , let  $j : L(X, V_{\lambda+1}) \prec L(X, V_{\lambda+1})$  be such that  $\text{crit}(j) < \lambda$ . Let

$$U = \{X \in L(X, V_{\lambda+1}) \mid j \upharpoonright V_\lambda \in j(X)\}$$

be the ultrafilter given by  $j$ . Define

$$W = j(U) = \bigcup \{j(\text{ran}(\pi)) \mid \pi \in L(X, V_{\lambda+1}) \wedge \pi : V_{\lambda+1} \rightarrow U\}$$

If  $j$  is **proper** (definition omitted), then

- $j = j_U$ .
- $W$  is an  $L(X, V_{\lambda+1})$ -ultrafilter over  $V_{\lambda+1}$ , and  $\text{Ult}(L(X, V_{\lambda+1}), W)$  is wellfounded.
- $\text{Ult}(L(X, V_{\lambda+1}), W) \cong L(X, V_{\lambda+1})$  and the associated map  $j_W : L(X, V_{\lambda+1}) \rightarrow L(X, V_{\lambda+1})$  is elementary and proper.
- This process can be iterated, so that for all iterates  $M_\alpha$  of  $M_0 = L(X, V_{\lambda+1})$  is wellfounded.

## Definition (Woodin<sup>2011</sup>)

Assume  $j : L(X, V_{\lambda+1}) \prec L(X, V_{\lambda+1})$  is proper and  $\text{crit}(j) < \lambda$ . Let  $(M_\omega, j_{0,\omega})$  be the  $\omega$ -iterate of  $(L(X, V_{\lambda+1}), j)$ . Suppose  $\alpha < \Theta_\lambda^X$  and  $\alpha$  is  $X$ -good. We say that **Generic Absoluteness holds for  $X$  at  $\alpha$**  if the following is true:

*Suppose  $\mathbb{P} \in j_{0,\omega}(V_\lambda)$ ,  $G \in V$  is an  $M_\omega$ -generic filter for  $\mathbb{P}$ , and  $\text{cf}(\lambda) = \omega$  in  $M_\omega[G]$ . Then there is some  $\alpha' \leq \alpha$  and  $X' \subseteq V_{\lambda+1}$  such that*

$$L_{\alpha'}(X', M_\omega[G] \cap V_{\lambda+1}) \prec L_\alpha(X, V_{\lambda+1}).$$

## Definition (Woodin<sup>2011</sup>)

Assume  $j : L(X, V_{\lambda+1}) \prec L(X, V_{\lambda+1})$  is proper and  $\text{crit}(j) < \lambda$ . Let  $(M_\omega, j_{0,\omega})$  be the  $\omega$ -iterate of  $(L(X, V_{\lambda+1}), j)$ . Suppose  $\alpha < \Theta_\lambda^X$  and  $\alpha$  is  $X$ -good. We say that **Generic Absoluteness holds for  $X$  at  $\alpha$**  if the following is true:

*Suppose  $\mathbb{P} \in j_{0,\omega}(V_\lambda)$ ,  $G \in V$  is an  $M_\omega$ -generic filter for  $\mathbb{P}$ , and  $\text{cf}(\lambda) = \omega$  in  $M_\omega[G]$ . Then there is some  $\alpha' \leq \alpha$  and  $X' \subseteq V_{\lambda+1}$  such that*

$$L_{\alpha'}(X', M_\omega[G] \cap V_{\lambda+1}) \prec L_\alpha(X, V_{\lambda+1}).$$

## Theorem (Woodin<sup>2011</sup>, Cramer<sup>2015</sup>)

$I_0(\lambda)$  implies that the Generic Absoluteness for  $X = \emptyset$  at all  $\alpha$ .

## Definition (Woodin<sup>2011</sup>)

Assume  $j : L(X, V_{\lambda+1}) \prec L(X, V_{\lambda+1})$  is proper and  $\text{crit}(j) < \lambda$ . Let  $(M_\omega, j_{0,\omega})$  be the  $\omega$ -iterate of  $(L(X, V_{\lambda+1}), j)$ . Suppose  $\alpha < \Theta_\lambda^X$  and  $\alpha$  is  $X$ -good. We say that **Generic Absoluteness holds for  $X$  at  $\alpha$**  if the following is true:

*Suppose  $\mathbb{P} \in j_{0,\omega}(V_\lambda)$ ,  $G \in V$  is an  $M_\omega$ -generic filter for  $\mathbb{P}$ , and  $\text{cf}(\lambda) = \omega$  in  $M_\omega[G]$ . Then there is some  $\alpha' \leq \alpha$  and  $X' \subseteq V_{\lambda+1}$  such that*

$$L_{\alpha'}(X', M_\omega[G] \cap V_{\lambda+1}) \prec L_\alpha(X, V_{\lambda+1}).$$

## Theorem (Woodin<sup>2011</sup>, Cramer<sup>2015</sup>)

$I_0(\lambda)$  implies that the Generic Absoluteness for  $X = \emptyset$  at all  $\alpha$ .

- It is unclear for arbitrary  $X$ .



# Diamond and GCH at $\lambda^+$

## Theorem 8 (ZFC)

- 1** Assume  $I_0(\lambda)$ . Then in  $L(V_{\lambda+1})$ , there is no  $\lambda^+$ -sequence of distinct members of  $V_{\lambda+1}$ , therefore  $2^\lambda \neq \lambda^+$  and  $\neg \diamond_{\lambda^+}$ .
- 2** Assume  $\exists \lambda I_0(\lambda)$  is consistent. Then so are  $\exists \lambda (I_0(\lambda) + 2^\lambda = \lambda^+)$  and  $\exists \lambda (I_0(\lambda) + \diamond_{\lambda^+})$ .
- 3** (Dimonte-Friedman<sup>2014</sup>). Assume there is a proper

$$j : L(V_{\lambda+1}^\#, V_{\lambda+1}) \prec L(V_{\lambda+1}^\#, V_{\lambda+1})$$

with  $\text{crit}(j) < \lambda$  and  $V_\lambda \models \text{GCH}$ . Suppose  $\alpha \in (\Theta_\lambda, \Theta_\lambda^{V_{\lambda+1}^\#})$  and  $\alpha$  is  $V_{\lambda+1}^\#$ -good and assume that Generic Absoluteness holds for  $V_{\lambda+1}^\#$  at  $\alpha$ .

Then it is consistent that  $I_0(\lambda)$  holds and  $2^\lambda > \lambda^+$ .

- (1) is an analog of the well-known AD-fact, namely: **there is no  $\omega_1$ -sequence of distinct reals.**
- (2) follows from the fact that  $\diamond_{\lambda^+}$  can be obtained by forcing  $2^\lambda = \lambda^+$  without adding bounded subsets of  $\lambda^2$ , therefore preserves  $2^{<\lambda} = \lambda$  and  $I_0(\lambda)$ .
- For (3), we apply the Generic Absoluteness to Gitik's one-extender-based Prikry forcing, and show that it is  $\lambda$ -good.

$\lambda$ -goodness is a sufficient condition, due to Woodin, for a forcing notion  $\mathbb{P}$  satisfying the conditions in Generic Absoluteness, i.e.  $\mathbb{P} \in j_{0,\omega}(V_\lambda)$  and there is a  $M_\omega$ -generic filter  $G \subset \mathbb{P}$  in  $V$  such that  $M_\omega[G] \models \text{cf}(\lambda) = \omega$ .

This involves a systematic analysis on the ranks of (finite parts of) conditions in Gitik's forcing.

---

<sup>2</sup>Use Levy collapse  $\text{Coll}(\lambda^+, 2^\lambda)$

THANK YOU!