

Defining cardinal addition by \leq -formulas

by

Alexander F. Häussler * (Zürich)

Abstract. It is well-known that in Zermelo–Fraenkel set theory strengthened by the axiom of choice, cardinal addition of infinite sets can be expressed by the supremum which is defined by a first-order formula in the cardinal ordering \leq . The same holds in presence of the weaker axiom stating that every infinite set is idempotent, i.e. $\forall x(x < \omega \vee x = x+x)$. On the other hand, in Zermelo–Fraenkel set theory a definition of cardinal addition of infinite sets by a \leq -formula is not possible. We show that this is also impossible for the following two kinds of extensions: First, those extensions which are consistent with the existence of a Dedekind set ε , i.e. ε infinite and $\varepsilon \neq \varepsilon+1$, secondly, extensions which are consistent with the existence of an infinite unit A , i.e. A infinite, $A < A+A$, $\forall x, y(x+y = A \rightarrow x = A \vee y = A)$.

§ 1. In Zermelo–Fraenkel set theory ZF with the axiom of choice cardinal addition $x+y = z$ of infinite sets can be expressed by the supremum $\sup(x, y, z)$ which is defined by the \leq -formula $x, y \leq z \wedge \forall u(x, y \leq u \rightarrow z \leq u)$. In [2], p. 55 A. Tarski showed that the weaker axiom $\forall x(x < \omega \vee x = x+x)$ — meaning that every infinite set is idempotent — still implies within ZF the following equivalence for cardinal addition of infinite sets

$$\forall x, y, z (\text{Inf}(x) \wedge \text{Inf}(y) \wedge \text{Inf}(z) \rightarrow (x+y = z \leftrightarrow \sup(x, y, z))),$$

where $\text{Inf}(x)$ abbreviates $\neg x < \omega$.

In ZF itself — provided it is consistent — a definition by a (first-order) \leq -formula cannot be given. To show this, we assume that for some \leq -formula $\mathcal{A}(x, y, z)$ the following holds in ZF

$$\forall x, y, z (\text{Inf}(x) \wedge \text{Inf}(y) \wedge \text{Inf}(z) \rightarrow (x+y = z \leftrightarrow \mathcal{A}(x, y, z))).$$

This leads to a contradiction as follows:

Consider the consistent extension of ZF in which the existence of a Dedekind set ε ($\text{Inf}(\varepsilon) \wedge \varepsilon \neq \varepsilon+1$) is postulated. Then the cardinals $\varepsilon+n$, $n \in \omega$, are definite and ordered like the integers. Let θ be the following function symbol (\equiv is the set-theoretical equality)

$$\theta(x) \equiv \begin{cases} x+1, & \text{if } \exists n \in \omega (x = \varepsilon+n \vee x+n = \varepsilon), \\ x, & \text{otherwise} \end{cases}$$

* It is my sad duty to inform the reader that Alexander Häussler died of cancer on August 8, 1982. — H. Läuchli.

and note that $\theta(\varepsilon) = \varepsilon + 1$, but $\theta(\varepsilon + \varepsilon) = \varepsilon + \varepsilon$, hence $\theta(\varepsilon) + \theta(\varepsilon) \neq \theta(\varepsilon + \varepsilon)$. One can check by examining several cases that θ is an ω -automorphism of the universe, preserving the order \leq and infinity, thus we have

$$\begin{aligned} \forall x, x'(x = x' \leftrightarrow \theta(x) = \theta(x')), \\ \forall y \exists x \theta(x) = y, \\ \forall x, x'(x \leq x' \leftrightarrow \theta(x) \leq \theta(x')), \\ \forall x(\text{Inf}(x) \leftrightarrow \text{Inf}(\theta(x))). \end{aligned}$$

Induction on the complexity yields

$$\forall \underline{x}(\mathcal{A}(\underline{x}) \leftrightarrow \mathcal{A}(\theta(\underline{x})))$$

for every \leq -formula $\mathcal{A}(\underline{x})$.

By applying this to $\mathcal{A}(x, y, z)$ in the assumed equivalence for cardinal addition of infinite sets we thus obtain in $\text{ZF} + \text{Inf}(\varepsilon) \wedge \varepsilon \neq \varepsilon + 1$ the following

$$\forall x, y, z(\text{Inf}(x) \wedge \text{Inf}(y) \wedge \text{Inf}(z) \rightarrow (x + y = z \leftrightarrow \theta(x) + \theta(y) = \theta(z))),$$

hence for $x = \varepsilon, y = \varepsilon$ and $z = \varepsilon + \varepsilon$ we deduce $\theta(\varepsilon) + \theta(\varepsilon) = \theta(\varepsilon + \varepsilon)$ — a contradiction to the consistency of $\text{ZF} + \text{Inf}(\varepsilon) \wedge \varepsilon \neq \varepsilon + 1$.

The same proof is valid for a slightly more general situation:

THEOREM 1. *In a theory which is compatible with $\text{ZF} + \exists x(\text{Inf}(x) \wedge x \neq x + 1)$ no \leq -formula defines cardinal addition of infinite sets.*

COROLLARY 2. *Let theory T be an extension of ZF in which a \leq -formula defines cardinal addition of infinite sets. Then $\forall x(x < \omega \vee x = x + 1)$ can be deduced from T .*

Proof of Corollary 2. Assume that $\forall x(x < \omega \vee x = x + 1)$ is not provable in T . Then $T + \exists x(\text{Inf}(x) \wedge x \neq x + 1)$ is consistent and hence compactible with $\text{ZF} + \exists x(\text{Inf}(x) \wedge x \neq x + 1)$. Thus by Theorem 1 no \leq -formula defines cardinal addition of infinite sets.

The question arises whether the axiom $\forall x(x < \omega \vee x = x + 1)$ — meaning that every infinite set is transfinite — is sufficient for defining cardinal addition of infinite sets by a (first-order) \leq -formula. The answer for even much stronger axioms like $\text{DC}, \text{DC}_{\aleph_1}, \forall \lambda \text{AC}_2$ or even $\text{DC}_{\aleph_1} \wedge \forall \lambda \text{AC}_2$ is negative (see Corollary 5).

Thereby DC and DC_{\aleph_1} are axioms of dependent choices and $\forall \lambda \text{AC}_2$ means that any wellorderable set of nonempty elements has a choice function (see [1], p. 119). In all these cases we cannot refer to a Dedekind set ε as we did in Theorem 1. However, it is compatible with these axioms to assume that there exists a set A such that the sets $k \times A, 1 \leq k \in \omega$, have in a sense the same behaviour as the natural numbers (see Lemma 3 and Theorem 4).

DEFINITION. A is an Unit, if $A < A + A$ and $\forall x, y(x + y = A \rightarrow x = A \vee y = A)$.

LEMMA 3. *If $\mathcal{D}(x, z)$ is a \leq -formula, then there exists a numeral s with $1 \leq s \in \omega$ such that in $\text{ZF} + \text{Unit}(A)$ the following holds:*

$$\mathcal{D}(s \times A, (s + s) \times A) \leftrightarrow \mathcal{D}(s \times A, (s + s + 1) \times A).$$

The proof of this lemma is given in §§ 2-5. We sketch the proof in § 2, in §§ 3 and 4 we work out the theory $\text{ZF} + \text{Unit}(A)$ and finally in § 5 we prove the lemma. Let us nevertheless give the conclusions now:

THEOREM 4. *In a theory T which is compatible with $\text{ZF} + \exists x(\text{Inf}(x) \wedge \text{Unit}(x))$ no \leq -formula defines cardinal addition of infinite sets.*

Proof of Theorem 4. Let us assume that the \leq -formula $\mathcal{A}(x, y, z)$ defines in T cardinal addition of infinite sets. Since T has the compatibility property, we can assume the existence of a set A such that $T + \text{ZF} + \text{Inf}(A) \wedge \text{Unit}(A)$ is consistent; clearly in this extension of T also the following holds:

$$\forall x, y, z(\text{Inf}(x) \wedge \text{Inf}(y) \wedge \text{Inf}(z) \rightarrow (x + y = z \leftrightarrow \mathcal{A}(x, y, z))).$$

By applying Lemma 3 on the \leq -formula $\mathcal{A}(x, x, z)$ we obtain a numeral s with $1 \leq s \in \omega$ such that

$$\mathcal{A}(s \times A, s \times A, (s + s) \times A) \leftrightarrow \mathcal{A}(s \times A, s \times A, (s + s + 1) \times A)$$

holds in $\text{ZF} + \text{Unit}(A)$.

As A is assumed to be infinite, $s \times A, (s + s) \times A$ and $(s + s + 1) \times A$ are infinite too; furthermore $s \times A + s \times A = (s + s) \times A$ holds. Hence by the assumed equivalence for addition and the result from Lemma 3 we obtain $s \times A + s \times A = (s + s + 1) \times A$. Thus $A = A + A$ (see § 3) which contradicts the assumed compatibility.

Remark. The same argument holds if we replace “infinite” by “finite”. As 1 is a Unit, in any theory compatible with ZF (for instance every consistent extension of ZF), no \leq -formula defines cardinal addition of finite sets.

COROLLARY 5. *If ZF is consistent, no \leq -formula defines cardinal addition of infinite sets in the theory $\text{ZF} + \text{DC}_{\aleph_1} + \forall \lambda \text{AC}_2$.*

Proof. By Theorem 4 it suffices to show that this theory is compatible with $\text{ZF} + \exists x(\text{Inf}(x) \wedge \text{Unit}(x))$. In [1] Theorem 8.9 (p. 127) let $\alpha \equiv 1$: Then DC_{\aleph_1} and $\forall \lambda \text{AC}_2$ hold in the Fraenkel-Mostowski permutation model given there. Furthermore it is easy to see that the set of atoms is a Unit in the permutation model.

Using a refinement of the embedding theorem, this relative consistency result by means of a permutation model is transferred into ZF ; hence

$$\text{ZF} + \text{DC}_{\aleph_1} + \forall \lambda \text{AC}_2 + \exists x(\text{Inf}(x) \wedge \text{Unit}(x))$$

is relative consistent to ZF .

The author is indebted to Prof. Dr. H. Läuchli for many helpful discussions on this subject.

§ 2. Sketch of proof of Lemma 3. We work in ZF and furthermore assume $\text{Unit}(A)$ for a set A . $A < A + A$ implies $k \times A < (k + 1) \times A$ for $k \in \omega$; thus the class \mathcal{K} of all $k \times A$ with $1 \leq k \in \omega$ (including the cardinal equivalent sets) obviously has the same ordering as $\mathcal{N} \equiv \{k \mid 1 \leq k \in \omega\}$. This isomorphism of the ordering \leq can be transferred to \leq -formulas, provided that the quantifiers refer only to the classes \mathcal{K}

and \mathcal{N} respectively. Hence, by the well-known theorem on natural numbers, Lemma 3 holds for \mathcal{K} -relativized \leq -formulas.

In order to treat quantifiers which refer to the whole universe, we investigate the ordering between elements of \mathcal{K} and those of the universe. To do this, we introduce the notion of multiplicity $a(x)$ which intuitively counts the number of pairwise disjoint copies of A which can be embedded in a set x (§ 3). Then a set x has multiplicity k ($1 \leq k \in \omega$) iff x is a sum $k \times A + y$ with $A \not\leq y$. In this decomposition the second summand y is not unique, however, $A + y$ is definite up to cardinal equivalence. Let \mathcal{R} be the class of all sums $A + y$ with $A \not\leq y$. On the class \mathcal{G} of all $k \times A + y$ ($1 \leq k \in \omega, A \not\leq y$) we introduce the two projections κ onto \mathcal{K} satisfying $\kappa(k \times A + y) = k \times A$ and ϱ onto \mathcal{R} satisfying $\varrho(k \times A + y) = A + y$.

It can be shown that $x_1 \leq x_2 \leftrightarrow \kappa(x_1) \leq \kappa(x_2) \wedge \varrho(x_1) \leq \varrho(x_2)$ holds for x_1, x_2 in \mathcal{G} . In order to compare x' in \mathcal{G} to x'' in $\neg \mathcal{G}$, it suffices to compare $\varrho(x')$ to x'' . Introducing \mathcal{M} by $\mathcal{R} \vee \neg \mathcal{G}$ we see (§ 4), that a predicate given by a \leq -formula $\mathcal{A}(x', x'')$ is equivalent to a propositional combination of \mathcal{K} -relativized \leq -formulas in $\kappa(x'_1), \dots, \kappa(x'_n)$ and \mathcal{M} -relativized \leq -formulas in $\varrho(x'_1), \dots, \varrho(x'_n), x''_1, \dots, x''_n$, — provided that all x'_1, \dots, x'_n are in \mathcal{G} and x''_1, \dots, x''_n in $\neg \mathcal{G}$. Assuming all x_1, x_2, \dots, x_n to be in \mathcal{K} (hence none in $\neg \mathcal{G}$), then $\kappa(x_i) = x_i, \varrho(x_i) = A$ and thus $\mathcal{A}(x)$ is equivalent to a propositional combination of \mathcal{K} -relativized \leq -formulas in x and some \leq -sentences in A . This is what we need for the proof of Lemma 3 in § 5, as mentioned at the beginning.

§ 3. Unit and multiplicity. Working in $\text{ZF} + \text{Unit}(A)$ we may assume that there exists a set A with the following two properties:

$$(3.1) \quad A < A + A,$$

$$(3.2) \quad \forall x, y (x + y = A \rightarrow x = A \vee y = A).$$

Then the following holds for A :

$$(3.3) \quad \forall x (A + x = A \rightarrow x < A),$$

$$(3.4) \quad \forall x (x < A \rightarrow A + x = A).$$

Furthermore (3.3) is equivalent to (3.1) and assuming (3.1) or (3.3) respectively, then (3.2) and (3.4) are equivalent too.

Proofs. (3.1) \Rightarrow (3.3). Let $A + x = A$ for some x . Then $x \leq A$, hence $x < A$ because $x = A$ is excluded by (3.1). (3.3) \Rightarrow (3.1): With $x = A$ in (3.3) the assumption $A = A + A$ yields the contradiction $A < A$, hence $A < A + A$. (3.2) \Rightarrow (3.4): Let $x < A$ for some x ; then there exists y with $x + y = A$ and $y = A$ by (3.2), thus $x + A = A$. (3.4) \wedge (3.1) \Rightarrow (3.2): Let $x + y = A$, but $x, y < A$. By (3.4) $A + (x + y) = A$, hence $A + A = A$ in contradiction to (3.1).

Before continuing, let us note a theorem on cardinal algebra provable in ZF :

$$(3.5) \quad k \in \omega \wedge k \times u + v \leq k \times u + w \rightarrow u + v \leq u + w.$$

For a proof refer to Corollary 4 in [3], p. 81.

From $\text{Unit}(A)$ we deduce

$$(3.6) \quad 0 < A,$$

$$(3.7) \quad k \in \omega \rightarrow k \times A < (k+1) \times A,$$

$$(3.8) \quad k \in \omega \wedge (k+1) \times A \leq k \times A + y \rightarrow A \leq y,$$

$$(3.9) \quad k \in \omega \wedge x \leq k \times A \rightarrow A \leq x \vee A + x = A,$$

$$(3.10) \quad k \in \omega \wedge x \leq k \times A + y \rightarrow A \leq x \vee A + x \leq A + y.$$

Proofs. (3.6) and (3.7) follow by (3.1) and (3.5).

(3.8): Let $(k+1) \times A \leq k \times A + y$, then by applying (3.5) we obtain $A + A \leq A + y$. Hence there exist a', a'', y', y'' with $A = a' + y' = a'' + y''$, $a' + a'' \leq A$ and $y' + y'' \leq y$. By (3.2) $a' = A \vee y' = A$ and $a'' = A \vee y'' = A$. In the case $A = a' = a''$, we obtain $A + A = a' + a'' \leq A$ — a contradiction to (3.1). In all other cases $A \leq y' + y'' \leq y$.

(3.9): By induction on $k \in \omega$: For $k \equiv 0$ it holds trivially. Let $x \leq (k+1) \times A$, then there exist x', x'' with $x = x' + x''$, $x' \leq A$, $x'' \leq k \times A$, thus $x' < A$ or $x' = A$ and by induction hypothesis $A \leq x''$ or $A + x'' = A$. In the case of $x' < A$ and $A + x'' = A$, 3.4 yields $A + x = A + x' + x'' = A$, in all other cases $A \leq x' + x'' = x$.

(3.10): Let $x \leq k \times A + y$, then there exist x', x'' with $x = x' + x''$, $x' \leq k \times A$, $x'' \leq y$. By 3.9 it is $A \leq x'$ or $A + x' = A$. In the first case $A \leq x' \leq x$, in the latter $A + x' = A + x' + x'' = A + x'' \leq A + y$.

We introduce a function symbol assigning to a set x the maximal number $a(x)$ of pairwise disjoint copies of A which can be embedded in x . This notion of multiplicity is helpful for investigating the ordering \leq .

Let a be defined formally by the following:

$$(3.11) \quad a(x) \equiv \{n \mid n \in \omega \wedge (n+1) \times A \not\leq x\}$$

$a(x)$ is an initial segment of ω , hence $a(x) \in \omega$ or $a(x) \equiv \omega$. Furthermore multiplicity is monotone, thus the following three propositions hold and are trivial:

$$(3.12) \quad a(x) \in \omega^+, \quad \text{where } \omega^+ \equiv \omega \cup \{\omega\},$$

$$(3.13) \quad x_1 \leq x_2 \rightarrow a(x_1) \leq a(x_2),$$

$$(3.14) \quad x_1 = x_2 \rightarrow a(x_1) \equiv a(x_2).$$

If $a(x)$ is finite then, as intended, the following holds:

$$(3.15) \quad k \in \omega \rightarrow (a(x) \equiv k \leftrightarrow k \times A \leq x \wedge (k+1) \times A \not\leq x).$$

Proof. Let $k \in \omega$. The case $k \equiv 0$ is obvious, because $A \not\leq x$ iff $a(x)$ is empty ($a(x) \equiv 0$). Let $1 \leq k \in \omega$: If $a(x) \equiv k$, then $k-1 \in a(x)$, hence by (3.11) $k \times A \leq x$; the assumption $(k+1) \times A \leq x$ however leads to the contradiction $k \in k$. For the other implication assume that $k \times A \leq x$, but $(k+1) \times A \not\leq x$; (3.11) yields $k-1 \in a(k)$, but $k \notin a(x)$; hence $a(x) \equiv k$ follows.

Remark. In the case $k \equiv \omega$ we have only the equivalence between $a(x) \equiv \omega$ and $\forall k \in \omega \ k \times A \leq x$. In general this does not imply $\omega \times A \leq x$.

The function $a(x)$ decomposes the universe in ω^+ many classes. In the following we give, in some sense, a more explicit characterization of sets with finite multiplicity and the ordering \leq between such sets. For this purpose we introduce the monadic predicate \mathcal{W} in (3.16). By (3.15) the proposition (3.17) is then obvious.

$$(3.16) \quad \mathcal{W}(x) \leftrightarrow a(x) \equiv 0,$$

$$(3.17) \quad \mathcal{W}(x) \leftrightarrow A \not\leq x.$$

Now the following statements hold:

$$(3.18) \quad k \in \omega \rightarrow (a(x) \equiv k \leftrightarrow \exists y (\mathcal{W}(y) \wedge x = k \times A + y)),$$

$$(3.19) \quad k \in \omega \rightarrow a(k \times A) \equiv k,$$

$$(3.20) \quad 1 \leq k_1, k_2 \in \omega \wedge \mathcal{W}(y_1) \wedge \mathcal{W}(y_2) \\ \rightarrow (k_1 \times A + y_1 \leq k_2 \times A + y_2 \leftrightarrow k_1 \leq k_2 \wedge A + y_1 \leq A + y_2).$$

Remark. It cannot be expected that (3.20) holds with $k_1 \leq k_2 \wedge y_1 \leq y_2$.

Proofs. (3.18): Let $k \in \omega$. If $a(x) \equiv k$, then by (3.15) there exists y such that $x = k \times A + y$ and $(k+1) \times A \not\leq x$ hold, hence $A \not\leq y$ follows. If, on the other hand, $x = k \times A + y$ for some y with $A \not\leq y$, we have $k \times A \leq x$. The assumption $(k+1) \times A \leq x = k \times A + y$, however, yields the contradiction $A \leq y$ by (3.8). Hence $a(x) \equiv k$ by (3.15).

(3.19): Let $y = 0$ in (3.18), then $A \not\leq y$ by (3.6), hence $a(k \times A) \equiv k$.

(3.20): Assume $1 \leq k_1, k_2 \in \omega$, $\mathcal{W}(y_1)$, $\mathcal{W}(y_2)$. If $k_1 \leq k_2$ and $A + y_1 \leq A + y_2$, then obviously $k_1 \times A + y_1 \leq k_2 \times A + y_2$. If, on the other hand, $k_1 \times A + y_1 \leq k_2 \times A + y_2$, then $k_1 \leq k_2$ by (3.13) and (3.18). Furthermore we have $y_1 \leq k_2 \times A + y_2$, hence $A \leq y_1$ or $A + y_1 \leq A + y_2$ by (3.10). Because of $\mathcal{W}(y_1)$ the second case holds.

Let us introduce the monadic predicates \mathcal{K} , \mathcal{G} and \mathcal{R} in (3.21) to (3.23). In (3.24) and (3.25) equivalent forms, obvious by (3.18), are added:

$$(3.21) \quad \mathcal{K}(x) \leftrightarrow \exists k (1 \leq k \in \omega \wedge x = k \times A),$$

$$(3.22) \quad \mathcal{G}(x) \leftrightarrow 1 \leq a(x) \in \omega,$$

$$(3.23) \quad \mathcal{R}(x) \leftrightarrow a(x) \equiv 1,$$

$$(3.24) \quad \mathcal{G}(x) \leftrightarrow \exists k \exists y (1 \leq k \in \omega \wedge \mathcal{W}(y) \wedge x = k \times A + y),$$

$$(3.25) \quad \mathcal{R}(x) \leftrightarrow \exists y (\mathcal{W}(y) \wedge x = A + y).$$

The elements of \mathcal{G} are sums. By (3.20) not the summands $k \times A$ and y but $k \times A$ and $A + y$ are unique up to cardinal equivalence. This allows us to introduce the following two cardinal function symbols \varkappa and ϱ on the class \mathcal{G} , i.e. function symbols with respect to cardinal equality only:

$$(3.26) \quad \text{If } \mathcal{G}(x) \text{ — thus } x = k \times A + y \text{ for some } k, y \text{ with } 1 \leq k \in \omega \text{ and } \mathcal{W}(y) \text{ — then} \\ \text{let } \varkappa(x) = k \times A \text{ and } \varrho(x) = A + y.$$

The following list of propositions formally expresses that the class \mathcal{G} with the ordering \leq is the “product” of the subclasses \mathcal{K} and \mathcal{R} with projections \varkappa and ϱ .

The proofs are easy applications of previously shown propositions which we leave to the reader:

$$(3.27) \quad \mathcal{K}(x) \rightarrow \mathcal{G}(x),$$

$$(3.28) \quad \mathcal{R}(x) \rightarrow \mathcal{G}(x),$$

$$(3.29) \quad \mathcal{G}(x) \rightarrow \mathcal{K}(\varkappa(x)) \wedge \mathcal{R}(\varrho(x)),$$

$$(3.30) \quad \mathcal{G}(z) \rightarrow \exists u \exists v (\mathcal{K}(u) \wedge \mathcal{R}(v) \wedge \varkappa(z) = u \wedge \varrho(z) = v),$$

$$(3.31) \quad \mathcal{K}(u) \wedge \mathcal{R}(v) \rightarrow \exists z (\mathcal{G}(z) \wedge \varkappa(z) = u \wedge \varrho(z) = v),$$

$$(3.32) \quad \mathcal{G}(x_1) \wedge \mathcal{G}(x_2) \rightarrow (x_1 \leq x_2 \leftrightarrow \varkappa(x_1) \leq \varkappa(x_2) \wedge \varrho(x_1) \leq \varrho(x_2)),$$

$$(3.33) \quad \mathcal{K}(x) \rightarrow \varkappa(x) = x \wedge \varrho(x) = A.$$

Having established this “product” property of \mathcal{G} , we consider now the ordering between elements of \mathcal{G} and its complementary class $\neg \mathcal{G}$. Of an element in \mathcal{G} only its ϱ -projection is involved in this. By (3.12) and (3.22) the following holds for \mathcal{G} :

$$(3.34) \quad \neg \mathcal{G}(x) \leftrightarrow a(x) \equiv 0 \vee a(x) \equiv \omega,$$

$$(3.35) \quad \mathcal{G}(x_1) \wedge \neg \mathcal{G}(x_2) \rightarrow (x_1 \leq x_2 \leftrightarrow \varrho(x_1) \leq x_2),$$

$$(3.36) \quad \mathcal{G}(x_2) \wedge \neg \mathcal{G}(x_1) \rightarrow (x_1 \leq x_2 \leftrightarrow x_1 \leq \varrho(x_2)).$$

Proofs. (3.35): Let $\mathcal{G}(x_1)$, $\neg \mathcal{G}(x_2)$, hence $x_1 = k_1 \times A + y_1$ for some k_1, y_1 with $1 \leq k_1 \in \omega$ and $\mathcal{W}(y_1)$. Furthermore $\varrho(x_1) = A + y_1$ by (3.26). Assuming $x_1 \leq x_2$, we get $\varrho(x_1) = A + y_1 \leq k_1 \times A + y_1 = x_1 \leq x_2$ because $1 \leq k_1$. On the other hand, let $\varrho(x_1) \leq x_2$, hence $A \leq x_2$, thus $a(x_2) \equiv \omega$ by $\neg \mathcal{G}(x_2)$ and (3.34). By (3.11) $k_1 \times A \leq x_2$, thus there exists a set u with $k_1 \times A + u = x_2$. Furthermore, we have $y_1 \leq A + y_1 = \varrho(x_1) \leq x_2 = k_1 \times A + u$ and by applying (3.10) we obtain $A \leq y_1$ or $A + y_1 \leq A + u$. The first case contradicts $\mathcal{W}(y_1)$, hence by the latter $x_1 = k_1 \times A + y_1 \leq k_1 \times A + u = x_2$, because $1 \leq k_1$ holds.

(3.36): Let $\mathcal{G}(x_2)$, $\neg \mathcal{G}(x_1)$, hence $x_2 = k_2 \times A + y_2$ for some k_2, y_2 with $1 \leq k_2 \in \omega$ and $\mathcal{W}(y_2)$. Furthermore $\varrho(x_2) = A + y_2$. Assuming $x_1 \leq x_2$, we obtain $a(x_1) \leq k_2 \in \omega$ by (3.13) and (3.18). Hence $a(x_1) \equiv 0$ by $\neg \mathcal{G}(x_1)$ and (3.34). By (3.10) $x_1 \leq x_2 = k_2 \times A + y_2$ yields $A \leq x_1$ or $A + x_1 \leq A + y_2$; but $A \leq x_1$ is excluded by $a(x_1) \equiv 0$, thus the latter holds and we obtain $x_1 \leq \varrho(x_2)$. On the other hand, if $x_1 \leq \varrho(x_2)$, we have $x_1 \leq \varrho(x_2) = A + y_2 \leq k_2 \times A + y_2 = x_2$ by $1 \leq k_2$.

Finally we introduce in (3.37) the class \mathcal{M} , previously mentioned in § 2, and note two properties obvious by (3.12) and the definitions (3.22), (3.23) of \mathcal{G} and \mathcal{R} .

$$(3.37) \quad \mathcal{M}(x) \leftrightarrow a(x) \equiv 0 \vee a(x) \equiv 1 \vee a(x) \equiv \omega,$$

$$(3.38) \quad \mathcal{G}(x) \vee \mathcal{M}(x),$$

$$(3.39) \quad \mathcal{G}(x) \wedge \mathcal{M}(x) \leftrightarrow \mathcal{R}(x).$$

§ 4. Analysing \leq -formulas. In (3.32), (3.35) and (3.36) we gave, for the atomic formula $x_1 \leq x_2$, equivalent formulas depending on whether x_1, x_2 are in \mathcal{G} or $\neg \mathcal{G}$. In the following we generalize this to \leq -formulas.

$L(\leq, \mathcal{P}_1, \dots, \mathcal{P}_s)$ denotes the first order language built by means of the logical connectives $\wedge, \vee, \neg, \exists, \forall$ starting with the primitive symbols \leq and the predicates $\mathcal{P}_1, \dots, \mathcal{P}_s$. If $\mathcal{A}(x)$ is a formula of $L(\leq, \mathcal{P}_1, \dots, \mathcal{P}_s)$ and \mathcal{P} any monadic predicate, we write $[\mathcal{A}(x)]^\mathcal{P}$ for the relativization of the formula $\mathcal{A}(x)$ to the class \mathcal{P} $[\mathcal{A}(x)]^\mathcal{P}$ is recursively defined on the complexity of $\mathcal{A}(x)$ as follows:

$$[x \leq y]^\mathcal{P} \text{ is } x \leq y, [\mathcal{P}_r(x)]^\mathcal{P} \text{ is } \mathcal{P}_r(x) \text{ for } r = 1, 2, \dots, s,$$

$$[\mathcal{B}(x) \wedge \mathcal{C}(x)]^\mathcal{P} \text{ is } [\mathcal{B}(x)]^\mathcal{P} \wedge [\mathcal{C}(x)]^\mathcal{P},$$

$$[\mathcal{B}(x) \vee \mathcal{C}(x)]^\mathcal{P} \text{ is } [\mathcal{B}(x)]^\mathcal{P} \vee [\mathcal{C}(x)]^\mathcal{P},$$

$$[\neg \mathcal{B}(x)]^\mathcal{P} \text{ is } \neg [\mathcal{B}(x)]^\mathcal{P},$$

$$[\exists z \mathcal{B}(x, z)]^\mathcal{P} \text{ is } \exists z (\mathcal{P}(z) \wedge [\mathcal{B}(x, z)]^\mathcal{P}),$$

$$[\forall z \mathcal{B}(x, z)]^\mathcal{P} \text{ is } \forall z (\neg \mathcal{P}(z) \vee [\mathcal{B}(x, z)]^\mathcal{P}).$$

Thereby we write $\mathcal{A}(x_1, x_2, \dots, x_n)$ — shorter $\mathcal{A}(x)$, to indicate that the free variables in the formula \mathcal{A} are among $\{x_1, x_2, \dots, x_n\}$ — shorter $\{x\}$. Furthermore we abbreviate $\mathcal{P}(x_1) \wedge \mathcal{P}(x_2) \wedge \dots \wedge \mathcal{P}(x_n)$ by $\underline{\mathcal{P}}(x)$ and $\neg \mathcal{P}(x_1) \wedge \neg \mathcal{P}(x_2) \wedge \dots \wedge \neg \mathcal{P}(x_n)$ by $\overline{\mathcal{P}}(x)$.

PROPOSITION 4.1. *Let $\mathcal{A}(x)$ be a formula of $L(\leq)$ with all its free variables among $\{x_1, \dots, x_n\}$. For every decomposition $(\{x'\}, \{x''\})$ of the set $\{x\}$ of variables, there exist formulas $\mathcal{A}'_i(x')$ of $L(\leq)$ and $\mathcal{A}''_i(x', x'')$ of $L(\leq, \mathcal{R})$ ($i = 1, 2, \dots, m$) such that*

$$\underline{\mathcal{A}}(x) \wedge \overline{\mathcal{A}}(x'') \rightarrow (\mathcal{A}(x) \leftrightarrow \bigvee_{i=1}^m ([\mathcal{A}'_i(x')]^\mathcal{R} \wedge [\mathcal{A}''_i(x', x'')]^\mathcal{A})).$$

In the following discussion this type of disjunction will be referred to as the “normal form” of $\mathcal{A}(x)$.

The proof is by induction on the complexity of $\mathcal{A}(x)$. It is sufficient to consider the logical connectives \vee, \neg, \exists . Let $\mathcal{A}(x)$ be an atomic formula, hence $x_1 \leq x_2$. There are four possible decompositions of the variables, namely $(\{x_1, x_2\}, \emptyset)$, $(\{x_1\}, \{x_2\})$, $(\{x_2\}, \{x_1\})$ and $(\emptyset, \{x_1, x_2\})$. By (3.32), (3.35) and (3.36) and the definition of relativation, the following holds:

$$\mathcal{G}(x_1) \wedge \mathcal{G}(x_2) \rightarrow (x_1 \leq x_2 \leftrightarrow [\kappa(x_1) \leq \kappa(x_2)]^\mathcal{R} \wedge [\varrho(x_1) \leq \varrho(x_2)]^\mathcal{A}),$$

$$\mathcal{G}(x_1) \wedge \neg \mathcal{G}(x_2) \rightarrow (x_1 \leq x_2 \leftrightarrow [\varrho(x_1) \leq x_2]^\mathcal{A}),$$

$$\mathcal{G}(x_2) \wedge \neg \mathcal{G}(x_1) \rightarrow (x_1 \leq x_2 \leftrightarrow [x_1 \leq \varrho(x_2)]^\mathcal{A}),$$

$$\neg \mathcal{G}(x_1) \wedge \neg \mathcal{G}(x_2) \rightarrow (x_1 \leq x_2 \leftrightarrow [x_1 \leq x_2]^\mathcal{A}).$$

Let $\mathcal{A}(x)$ be the disjunction $\mathcal{B}(x) \vee \mathcal{C}(x)$ and $(\{x'\}, \{x''\})$ a decomposition of $\{x\}$. Then by induction hypothesis there exists a normal form for $\mathcal{B}(x)$ ($\mathcal{C}(x)$ respectively). Assuming $\underline{\mathcal{B}}(x') \wedge \overline{\mathcal{B}}(x'')$, it is equivalent to $\mathcal{B}(x)$ ($\mathcal{C}(x)$ respectively). The disjunction of these two normal forms is a normal form for $\mathcal{A}(x)$.

Let $\mathcal{A}(x)$ be $\neg \mathcal{B}(x)$ and $(\{x'\}, \{x''\})$ a decomposition of $\{x\}$. By induction

hypothesis there is a normal form for $\mathcal{B}(x)$, therefore — provided $\underline{\mathcal{B}}(x') \wedge \overline{\mathcal{B}}(x'')$ — the negation of this normal form is equivalent to $\mathcal{A}(x)$, thus

$$\mathcal{A}(x) \leftrightarrow \neg \bigvee_{i=1}^m ([\mathcal{B}'_i(x')]^\mathcal{R} \wedge [\mathcal{B}''_i(x', x'')]^\mathcal{A}).$$

By referring to propositional calculus and the definition of relativation we obtain the following normal form for $\mathcal{A}(x)$:

$$\bigvee_{I \subseteq \{1, \dots, m\}} ([\bigwedge_{i \in I} \neg \mathcal{B}'_i(x')]^\mathcal{R} \wedge [\bigwedge_{i \notin I} \mathcal{B}''_i(x', x'')]^\mathcal{A}).$$

Let $\mathcal{A}(x)$ be $\exists z \mathcal{B}(x, z)$ and $(\{x'\}, \{x''\})$ a decomposition of $\{x\}$. $\mathcal{A}(x)$ is then equivalent to $\exists z (\mathcal{G}(z) \wedge \mathcal{B}(x, z)) \vee \exists z (\neg \mathcal{G}(z) \wedge \mathcal{B}(x, z))$. It is sufficient to find a normal form for each of these two disjuncts:

By induction hypothesis there exists for the decomposition $(\{x'\} \cup \{z\}, \{x''\})$ a normal form for $\mathcal{B}(x, z)$, hence

$$\mathcal{B}(x, z) \leftrightarrow \bigvee_j ([\mathcal{B}'_j(x', z)]^\mathcal{R} \wedge [\mathcal{B}''_j(x', z, x'')]^\mathcal{A})$$

provided $\underline{\mathcal{G}}(x') \wedge \mathcal{G}(z) \wedge \overline{\mathcal{G}}(x'')$. Predicate calculus shows that $\exists z (\mathcal{G}(z) \wedge \mathcal{B}(x, z))$ is equivalent to

$$\bigvee_j \exists z (\mathcal{G}(z) \wedge [\mathcal{B}'_j(x', z)]^\mathcal{R} \wedge [\mathcal{B}''_j(x', z, x'')]^\mathcal{A})$$

provided $\underline{\mathcal{G}}(x') \wedge \overline{\mathcal{G}}(x'')$. By (3.30) each disjunct of \bigvee_j is equivalent to

$$\exists z \exists u \exists v (\mathcal{G}(z) \wedge \mathcal{K}(u) \wedge \mathcal{R}(v) \wedge \kappa(z) = u \wedge \varrho(z) = v \wedge [\mathcal{B}'_j(x', z)]^\mathcal{R} \wedge [\mathcal{B}''_j(x', z, x'')]^\mathcal{A}).$$

With $\kappa(z) = u$, $\varrho(z) = v$ and using the fact that the cardinal equivalence is an equality for all occurring predicates, we obtain:

$$\exists z \exists u \exists v (\mathcal{G}(z) \wedge \mathcal{K}(u) \wedge \mathcal{R}(v) \wedge \kappa(z) = u \wedge \varrho(z) = v \wedge [\mathcal{B}'_j(x', u)]^\mathcal{R} \wedge [\mathcal{B}''_j(x', v, x'')]^\mathcal{A}).$$

By (3.31) each disjunct of \bigvee_j is consequently equivalent to

$$\exists u \exists v (\mathcal{K}(u) \wedge \mathcal{R}(v) \wedge [\mathcal{B}'_j(x', u)]^\mathcal{R} \wedge [\mathcal{B}''_j(x', v, x'')]^\mathcal{A});$$

together with $\mathcal{R}(v) \leftrightarrow \mathcal{R}(v) \wedge \mathcal{M}(v)$ (3.39) and the definition of relativation, this finally yields

$$[\exists u \mathcal{B}'_j(x', u)]^\mathcal{R} \wedge [\exists v (\mathcal{R}(v) \wedge \mathcal{B}''_j(x', v, x'')]^\mathcal{A}).$$

Hence we have a normal form for $\exists z (\mathcal{G}(z) \wedge \mathcal{B}(x, z))$. For the disjunct $\exists z (\neg \mathcal{G}(z) \wedge \mathcal{B}(x, z))$ we use induction with the decomposition $(\{x'\}, \{x''\} \cup \{z\})$, hence — provided $\underline{\mathcal{G}}(x') \wedge \overline{\mathcal{G}}(x'') \wedge \mathcal{G}(z)$ — we have

$$\mathcal{B}(x, z) \leftrightarrow \bigvee_n ([\mathcal{B}'_n(x', z)]^\mathcal{R} \wedge [\mathcal{B}''_n(x', z, x'')]^\mathcal{A}).$$

Provided $\mathcal{G}(x') \wedge \neg \mathcal{G}(x'')$, it can be shown by predicate calculus that

$$\exists z(\neg \mathcal{G}(z) \wedge \mathcal{B}(z, z))$$

is equivalent to

$$\bigvee_n ([\mathcal{B}_i^n(x')])^{\mathcal{K}} \wedge \exists z(\neg \mathcal{G}(z) \wedge [\overline{\mathcal{B}}_i^n(\varrho(x'), x'', z)]^{\mathcal{M}}).$$

With $\neg \mathcal{G}(z) \leftrightarrow \neg \mathcal{B}(z) \wedge \mathcal{M}(z)$ (3.38), (3.59) and the definition of relativation, the normal form

$$\bigvee_n ([\mathcal{B}_i^n(x')])^{\mathcal{K}} \wedge [\exists z(\neg \mathcal{B}(z) \wedge \overline{\mathcal{B}}_i^n(\varrho(x'), x'', z))]^{\mathcal{M}}$$

can finally be obtained.

COROLLARY 4.2 is obtained by specifying all free variables to be in \mathcal{G} :

COROLLARY 4.2. Let $\mathcal{A}(x)$ be a formula of $L(\leq)$ with all its free variables among $\{x\}$. Then there exist formulas $\mathcal{A}'_i(x)$ of $L(\leq)$ and $\mathcal{A}''_i(x)$ of $L(\leq, \mathcal{B})$ ($i = 1, 2, \dots, m$) such that

$$\mathcal{G}(x) \rightarrow (\mathcal{A}(x) \leftrightarrow \bigvee ([\mathcal{A}'_i(x)])^{\mathcal{K}} \wedge [\mathcal{A}''_i(x)]^{\mathcal{M}}).$$

Again by specifying all free variables to be in \mathcal{K} and (3.27), (3.33) the following holds:

COROLLARY 4.3. Let $\mathcal{A}(x)$ be a formula of $L(\leq)$ with all its free variables among $\{x\}$. Then there exist formulas $\mathcal{A}(x)$ of $L(\leq)$ and sentences \mathcal{S}_i of $L(\leq, \mathcal{B}, \mathcal{M}, A)$ ($i = 1, 2, \dots, m$) such that

$$\mathcal{K}(x) \rightarrow (\mathcal{A}(x) \leftrightarrow \bigvee ([\mathcal{A}_i(x)]^{\mathcal{K}} \wedge \mathcal{S}_i).$$

The restriction on the class \mathcal{K} of a predicate given in the universe by a \leq -formula is thus equivalent to a predicate essentially defined within \mathcal{K} .

§ 5. Proof of Lemma 3. Let \mathcal{N} be the monadic predicate defined by $\mathcal{N}(k) \leftrightarrow 1 \leq k \in \omega$. By (3.21), (3.19) and (3.13) the multiplicity a introduced in § 3 gives an order preserving isomorphism from $(\mathcal{K}, =, \leq)$ onto $(\mathcal{N}, \equiv, \subseteq)$, $(\mathcal{N}, =, \leq)$ respectively. By induction this isomorphism of the ordering \leq can be extended to \leq -formulas, provided all quantifiers are restricted, hence

(5.1) If $\mathcal{A}(x)$ is a formula of $L(\leq)$ with all its free variables among $\{x\}$, then

$$\mathcal{K}(x) \rightarrow ([\mathcal{A}(x)]^{\mathcal{K}} \leftrightarrow [\mathcal{A}(a(x))]^{\mathcal{N}}).$$

We are now in the position to prove Lemma 3 of § 1 without much difficulty. The only assumption on A we have used so far is $\text{Unit}(A)$. Let $\mathcal{D}(x, z)$ be a \leq -formula. By Corollary 4.3 there exist formulas $\mathcal{D}_i(x, z)$ of $L(\leq)$ and sentences \mathcal{S}_i of $L(\leq, \mathcal{B}, \mathcal{M}, A)$ ($i = 1, 2, \dots, m$) such that

$$\mathcal{K}(x) \wedge \mathcal{K}(z) \rightarrow (\mathcal{D}(x, z) \leftrightarrow \bigvee ([\mathcal{D}_i(x, z)]^{\mathcal{K}} \wedge \mathcal{S}_i),$$

hence by (5.1)

$$(*) \quad \mathcal{D}(x, z) \leftrightarrow \bigvee_i ([\mathcal{D}_i(a(x), a(z))]^{\mathcal{N}} \wedge \mathcal{S}_i)$$

provided $\mathcal{K}(x) \wedge \mathcal{K}(z)$.

By the well-known analysis of \leq -formulas on natural numbers using elimination of quantifiers we obtain for each \leq -formula $\mathcal{D}_i(x, z)$ two numerals q_i and p_i such that for any numeral x, z with $q_i < x$ and $p_i < z - x$ the following holds:

$$[\mathcal{D}_i(x, z)]^{\mathcal{N}} \leftrightarrow [\mathcal{D}_i(x, z+1)]^{\mathcal{N}}.$$

Remark. If x and z are far away from the first element and the distance between them is large enough, then the \leq -formula $[\mathcal{D}_i(\cdot, \cdot)]^{\mathcal{N}}$ does not distinguish between the two pairs (x, z) and $(x, z+i)$.

Let $q = \max\{q_i \mid i = 1, 2, \dots, m\}$, $p = \max\{p_i \mid i = 1, 2, \dots, m\}$,

$$s = \max\{q, p\} + 1 \quad \text{and} \quad t = s + s.$$

Then $q_i < s$ and $p_i < t - s$ hold for all $i = 1, 2, \dots, m$, hence for all $i = 1, 2, \dots, m$ simultaneously hold

$$(**) \quad [\mathcal{D}_i(s, t)]^{\mathcal{N}} \leftrightarrow [\mathcal{D}_i(s, t+1)]^{\mathcal{N}}.$$

In (*) let $x = s \times A$, $z = t \times A$. Then $\mathcal{K}(s \times A)$, $\mathcal{K}(t \times A)$, $a(s \times A) = s$, $a(t \times A) = t$ yields

$$\mathcal{D}(s \times A, t \times A) \leftrightarrow \bigvee_i ([\mathcal{D}_i(s, t)]^{\mathcal{N}} \wedge \mathcal{S}_i).$$

Similarly by $x = s \times A$ and $z = (t+1) \times A$ we obtain

$$\mathcal{D}(s \times A, (t+1) \times A) \leftrightarrow \bigvee_i ([\mathcal{D}_i(s, t+1)]^{\mathcal{N}} \wedge \mathcal{S}_i).$$

Hence by (**) and $t = s + s$:

$$\mathcal{D}(s \times A, (s+s) \times A) \leftrightarrow \mathcal{D}(s \times A, (s+s+1) \times A).$$

References

- [1] T. Jech, *The axiom of choice*, Studies in Logic and the Foundations of Mathematics, Volume 75, 1973, North-Holland Publishing Company.
- [2] A. Tarski, *Cardinal Algebras*, Oxford University Press, 1949.
- [3] — *Cancellation laws in the arithmetic of cardinals*, Fund. Math. 36 (1949), pp. 77-92.

MAX-PLANCK-INST. FÜR BIOPHYS. CHEMIE
Postfach 909
D-3400 Göttingen

Accepté par la Rédaction le 30. 3. 1980