

observation is valid:  $X$  is  $G_\delta$ -dense in  $\tilde{X}$  if and only if  $X$  meets each non-void closed  $G_\delta$  subset of  $\tilde{X}$ .

5.1. PROPOSITION. If  $X$  is  $G_\delta$ -dense in  $\tilde{X}$  and  $Y$  is  $G_\delta$ -dense in  $\tilde{Y}$ , then  $X \times Y$  is  $G_\delta$ -dense in  $\tilde{X} \times \tilde{Y}$ .

5.2. THEOREM. If  $X \times Y$  is  $C^*$ -embedded in  $vX \times vY$ , then  $X \times Y$  is  $C$ -embedded in  $vX \times vY$ .

Proof. According to 1.18 of [3] it suffices to show that each non-void closed  $G_\delta$  subset  $Z$  of  $vX \times vY$  which misses  $X \times Y$  satisfies a certain condition. Since  $X$  and  $Y$  are  $G_\delta$ -dense in  $vX$  and  $vY$  respectively, there are by 5.1 no such sets  $Z$ .

5.3. THEOREM. Let  $\text{card } Y$  be nonmeasurable and suppose that either

- (a)  $Y$  is compact;  
 or  
 (b) the projection from  $X \times Y$  to  $X$  is closed;  
 or  
 (c)  $X \times Y$  is  $C^*$ -embedded in  $X \times \beta Y$ .

Then  $v(X \times Y) = vX \times vY$ .

Proof. It suffices to deduce the desired conclusion from hypothesis (c), the implication (a) $\Rightarrow$ (b) being well-known and the implication (b) $\Rightarrow$ (c) being given by 3.1. According to 5.2 it is enough to show that each bounded continuous real-valued function on  $X \times Y$  extends continuously to  $vX \times vY$ . By (c) we can extend to  $X \times \beta Y$ , and 2.8 takes us from there to the space  $vX \times \beta Y$ , which contains  $vX \times vY$ .

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## On defining well-orderings

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**0. Introduction.** Let  $L_{\alpha\omega}$  be the extension of the finitary first-order predicate logic obtained by allowing conjunctions and disjunctions of  $\mu$ -sequences of formulas ( $\mu < \alpha$ ). The purpose of this note is to show that even allowing arbitrary many non-logical constants the notion of a well-ordered relation cannot be expressed by a set of sentences of the infinitary first-order language  $L_{\alpha\omega}$  (i.e. that for all  $\alpha$ ,  $\mathbf{W} \notin \text{PC}_\alpha(L_{\alpha\omega})$  where  $\mathbf{W}$  is the class of all non-empty well-orderings) <sup>(\*)</sup>.

The method used can be summarized as follows: First we determine an upper bound for the Hanf-number of  $L_{\alpha\omega}$  <sup>(1)</sup>. Then we show that if for some  $\alpha$ ,  $\mathbf{W} \in \text{PC}_\alpha(L_{\alpha\omega})$ , then there would exist cardinals  $\kappa$ ,  $\lambda$ , and a sentence  $\Phi$  of  $L_{\kappa\omega}$  such that (i)  $\Phi$  does not have arbitrarily large models, and (ii)  $\Phi$  has a model of cardinality  $\lambda$  and  $\lambda$  is equal to the upper bound previously obtained for the Hanf-number of  $L_{\kappa\omega}$ .

**I. The language  $L_{\alpha\omega}$ .** It is convenient for our purposes to define the language  $L_{\alpha\omega}$  in a slightly different (but clearly equivalent) way to that suggested in the introduction.

DEFINITION 1.1 <sup>(2)</sup>.

(1)  $T$  is a *pseudo- $\alpha$ -tree* if and only if  $T$  is a set of finite sequences of ordinals smaller than  $\alpha$  such that (i)  $0 \in T$ , (ii) if  $\langle \mu_0, \dots, \mu_{n-2}, \mu_{n-1} \rangle \in T$ , then  $\langle \mu_0, \dots, \mu_{n-2} \rangle \in T$  and for all  $\delta < \mu_{n-1}$ ,  $\langle \mu_0, \dots, \mu_{n-2}, \delta \rangle \in T$ , and (iii) if  $s \in T$ , then  $\{ \mu: s \frown \langle \mu \rangle \in T \} < \alpha$ .

<sup>(\*)</sup> This answers a problem raised by Professor Mostowski, namely, whether there existed an  $\alpha$  such that  $\mathbf{W} \in \text{PC}_\alpha(L_{\alpha\omega})$ .

<sup>(1)</sup> See Definition 4.1.

<sup>(2)</sup> Standard set-theoretical terminology will be used. In particular an *ordinal* is the set of smaller ordinals (small greek letters:  $\mu, \delta, \xi, \zeta$ , shall denote ordinals;  $\omega$  is the smallest infinite ordinal).  $\mu + \delta$  is the ordinal *sum* of  $\mu$  and  $\delta$ . A *cardinal* is an initial ordinal and if  $X$  is a set then  $|X|$  is the cardinal of  $X$ . A function whose domain is an ordinal will also be called a *sequence*. If  $f$  and  $g$  are sequences, then  $f \frown g$  is the concatenation of  $f$  and  $g$  (i.e. the sequence  $h$  such if  $\xi, \zeta$  are the domains of  $f$  and  $g$  respectively then  $h = \{ \langle \mu, f(\mu) \rangle: \mu \in \xi \} \cup \{ \langle \xi + \mu, g(\mu) \rangle: \mu \in \zeta \}$ ).

(.2) If  $T$  is a pseudo- $\alpha$ -tree,  $s \in T$ , and there does not exist an ordinal  $\mu$  such that  $s \widehat{\langle \mu \rangle} \in T$ , then  $s$  is an *uppermost element* of  $T$ .

(.3) If  $T$  is a pseudo- $\alpha$ -tree,  $s \in T$  and  $s' = s \widehat{\langle \mu \rangle} \in T$ , then  $s$  is an *immediate predecessor* of  $s'$  (in  $T$ ).

(.4) If  $T$  is a pseudo- $\alpha$ -tree, then  $B$  is a *branch* of  $T$  just in case that  $B$  is a maximal subset of  $T$  such that no two (different) elements in  $B$  have the same immediate predecessor in  $T$ .

(.5)  $T$  is an  $\alpha$ -tree just in case that  $T$  is a pseudo- $\alpha$ -tree in which every branch is finite.

The following lemma is immediate (because an  $\alpha$ -tree is well-founded).

**LEMMA 1.2.** *If  $T$  is an  $\alpha$ -tree, then to each element  $s \in T$  can be associated an ordinal  $d_T(s)$ , called the depth of  $s$  in  $T$ , such that*

- (i) if  $s$  is an uppermost element of  $T$ , then  $d_T(s) = 0$ ,
- (ii) if  $s$  is not an uppermost element of  $T$ , and  $s \widehat{\langle \mu \rangle} \in T$  if and only if  $\mu < \delta$ , then  $d_T(s) = \bigcup \{d_T(s \widehat{\langle \mu \rangle}) + 1 : \mu < \delta\}$ .

**DEFINITION 1.3.**  $\Phi$  is a formula of  $L_{\alpha\omega}$  ( $\Phi \in I_{\alpha\omega}$ ) just in case that there exists an  $\alpha$ -tree  $T$  and a function  $f$  whose domain is  $T$  and such that

- (i)  $f(0) = \Phi$ ,
- (ii) if  $s$  is an uppermost element of  $T$ , then  $f(s)$  is an atomic formula (of the usual finitary first-order predicate logic),
- (iii) if  $s$  is not an uppermost element of  $T$ ,  $s \widehat{\langle \mu \rangle} \in T$  if and only if  $\mu < \delta$  ( $\delta > 0$ ), and for each  $\mu < \delta$ ,  $f(s \widehat{\langle \mu \rangle}) = \Psi_\mu$  then either (a)  $f(s) = \bigvee \langle \Psi_0, \dots, \Psi_\mu, \dots \rangle_{\mu < \delta}$  or (b)  $f(s) = \bigwedge \langle \Psi_0, \dots, \Psi_\mu, \dots \rangle_{\mu < \delta}$  or (c)  $\delta = 1$  and  $f(s) = \neg \Psi_0$ , or (d)  $\delta = 1$  and for some individual variable  $x$  either  $f(s) = (\exists x)\Psi_0$  or  $f(s) = (\forall x)\Psi_0$  (<sup>3</sup>).

It is straightforward to verify that to each formula  $\Phi \in L_{\alpha\omega}$  there corresponds a unique  $\alpha$ -tree  $T$  and a function  $f$  satisfying the conditions stated in Definition 1.3, and hence  $\langle T, f \rangle$  will be called the *formation* of  $\Phi$ . Furthermore in order to make the formulas easier to read we shall let

$$\bigvee_{\mu < \delta} \Psi_\mu = \bigvee \langle \Psi_\mu \rangle_{\mu < \delta} \quad \text{and} \quad \bigwedge_{\mu < \delta} \Psi_\mu = \bigwedge \langle \Psi_\mu \rangle_{\mu < \delta}.$$

The set of *subformulas* of a formula  $\Phi \in L_{\alpha\omega}$ ,  $\text{SF}(\Phi)$  can then simply be defined as the range of  $f$  where  $\langle T, f \rangle$  is the formation of  $\Phi$ . The set of *free variables* of a formula  $\Phi$ ,  $\text{FV}(\Phi)$ , is defined in the usual way, and a *sentence* is a formula without free variables. An important, yet trivial, result is that if  $\Phi$  is a sentence of  $L_{\alpha\omega}$ , then for every subformula  $\Psi$  of  $\Phi$ ,

(<sup>3</sup>)  $\bigvee \langle \Psi_\mu \rangle_{\mu < \delta}$  is the *disjunction* of the sequence  $\langle \Psi_\mu \rangle_{\mu < \delta}$ ;  $\bigwedge \langle \Psi_\mu \rangle_{\mu < \delta}$  is the *conjunction* of the sequence  $\langle \Psi_\mu \rangle_{\mu < \delta}$ .

$\text{FV}(\Psi)$  is finite. By a formula in *negation normal form*, n.n.f., we understand a formula  $\Phi$  of  $L_{\alpha\omega}$  such that  $\Psi$  is an atomic formula whenever  $\neg\Psi$  is a subformula of  $\Phi$ .

For the remaining part of this paper we shall make the

**ASSUMPTION I.**  $\alpha$  is an infinite regular cardinal (<sup>4</sup>).

A simple consequence of the assumption is that for every formula  $\Phi$  of  $L_{\alpha\omega}$ ,  $|\text{SF}(\Phi)| < \alpha$ .

We assume that if is known under what conditions a relational system  $\mathfrak{A} = \langle A, R_i \rangle_{i \in I}$  and a sequence  $s$  of elements from  $A$  satisfy a formula  $\Phi$  of  $L_{\alpha\omega}$ ; we shall express this condition by  $(\mathfrak{A}, s) \models \Phi$  (<sup>5</sup>). If for every sequence  $s$ ,  $(\mathfrak{A}, s) \models \Phi$ , then  $\mathfrak{A}$  is a *model* of  $\Phi$ . If  $\mathfrak{A} = \langle A, R_0, R_i \rangle_{i \in I}$  and  $\mathfrak{B} = \langle A, R_0 \rangle$ , then  $\mathfrak{B}$  is the *reduct* of  $\mathfrak{A}$ . If  $\mathbf{K}$  is a class of (similar) relational systems then (i)  $\mathbf{K} \in \text{EC}(L_{\alpha\omega})$  ( $\mathbf{K} \in \text{EC}_A(L_{\alpha\omega})$ ) just in case that  $\mathbf{K}$  is the class of all models of a sentence of  $L_{\alpha\omega}$  (a set of sentences of  $L_{\alpha\omega}$ ), and (ii)  $\mathbf{K} \in \text{PC}(L_{\alpha\omega})$  ( $\mathbf{K} \in \text{PC}_A(L_{\alpha\omega})$ ) if and only if there exists a class  $\mathbf{M}$  of relational systems such that  $\mathbf{M} \in \text{EC}(L_{\alpha\omega})$  ( $\mathbf{M} \in \text{EC}_A(L_{\alpha\omega})$ ) and  $\mathbf{K}$  is the class of reducts of  $\mathbf{M}$ .

Finally it can easily be checked that (as a consequence of De Morgan's law) every formula of  $L_{\alpha\omega}$  is semantically equivalent to a formula of  $L_{\alpha\omega}$  in n.n.f.

## II. $\alpha$ -relational systems.

**DEFINITION 2.1.** A relational system  $\mathfrak{A} = \langle A, R_0, R_1, a_\xi, R_2, \dots \rangle_{\xi < \alpha}$  is an  $\alpha$ -relational system just in case that

- (i) for all  $\xi \leq \alpha$ ,  $\xi \in A$ ,
- (ii)  $R_0 = \{\xi : \xi \leq \alpha\} \subseteq A$ ,
- (iii)  $R_1 = \{\langle \mu, \rho \rangle : \mu \leq \alpha, \rho \leq \alpha \text{ and } \mu < \rho\}$ ,
- (iv) for each  $\xi \leq \alpha$ ,  $a_\xi = \xi$  (considered as a distinguished element of  $\mathfrak{A}$ , not as a unary relation).

**DEFINITION 2.2.** By an  $\alpha$ -language we understand a finitary first-order language such that its basic symbols include

- (a) a unary relation symbol  $A$ ,
- (b) a binary relation symbol  $\leq$ ,
- (c) for each  $\xi \leq \alpha$  an individual constant symbol  $k_\xi$ .

We shall need to make use of the following result.

(<sup>4</sup>) A cardinal  $\alpha$  is regular just in case there does not exist a function  $f$  whose domain is an ordinal  $\xi \in \alpha$ , whose range is included in  $\alpha$  and such that  $\alpha = \bigcup_{\mu \in \xi} f(\mu)$  (cf. Bachmann [1]).

(<sup>5</sup>) See, for example, Karp [4].

**THEOREM 2.3** (Helling/Morley). *If a set  $T$  of  $\alpha$ -sentences,  $|T| \leq \alpha$ , has an  $\alpha$ -model (i.e. a model which is isomorphic to an  $\alpha$ -relational system) of cardinality  $\beth_{(\aleph_2)^+}$  then  $T$  has  $\alpha$ -models of arbitrary large cardinalities <sup>(9)</sup>.*

M. Helling has shown that the above theorem, for the case  $\alpha = \omega$ , is an immediate consequence of a result of Morley [5] (in the case  $\alpha = \omega$ ,  $\beth_{(\aleph_2)^+}$  is replaced by  $\beth_{\omega_1}$ ). Since Helling's result has not been published, we give, with Helling's permission, the proof of Theorem 2.3 which is obtained by (essentially) replacing  $\omega$  by  $\alpha$  in his proof.

**Proof of Theorem 2.3.** Let  $T'$  be the set of  $\alpha$ -sentences obtained by adding to  $T$  all the sentences of the form <sup>(7)</sup>:

- (i)  $(\forall xy)(x \prec y \rightarrow Ax \wedge Ay)$ ,
- (ii)  $k_\mu \prec k_\delta$  for all  $\mu < \delta \leq \alpha$ ,
- (iii)  $(\forall xy)[x \prec y \rightarrow \neg(x = y) \wedge \neg(y \prec x)]$ ,
- (iv)  $(\forall xy)[Ax \wedge Ay \rightarrow x \prec y \vee x = y \vee y \prec x]$ ,
- (v)  $(\forall xyz)(x \prec y \wedge y \prec z \rightarrow x \prec z)$ ,
- (vi)  $\neg(\exists x)(k_\mu \prec x \wedge x \prec k_{\mu+1}) \quad \mu < \alpha$ ,
- (vii)  $(\forall x)(Ax \rightarrow k_0 = x \vee k_0 \prec x)$ ,
- (viii)  $(\forall x)(Ax \rightarrow x \prec k_\alpha \vee x = k_\alpha)$ .

Then let  $\Sigma$  be the following set of  $\alpha$ -formulas:

$$\Sigma = \{Ax \wedge \neg(x = k_\xi) : \xi \leq \alpha\}.$$

Assume then that  $T$  has an  $\alpha$ -model of cardinality at least  $\beth_{(\aleph_2)^+}$  and let  $\mathfrak{A}$  be such an  $\alpha$ -model. Hence  $\mathfrak{A}$  is a model of  $T'$  in which no element satisfies all the formulas in  $\Sigma$ . Hence by Morley's result [5],  $T'$  has arbitrary large models  $\mathfrak{B}$  in which no element of  $\mathfrak{B}$  satisfies all the formulas in  $\Sigma$ . But any model of  $T'$  in which no element satisfies all the formulas in  $\Sigma$  must be an  $\alpha$ -model of  $T$ .

**III. Reduction of  $L_{\alpha\omega}$  to an  $\alpha$ -language.** We shall show in this section that each sentence  $\Phi$  of  $L_{\alpha\omega}$  can be replaced by a set  $\text{TR}(\Phi)$  of (finitary)  $\alpha$ -sentences such that  $\Phi$  has a model of cardinality  $\kappa$  ( $\kappa > \alpha$ ) if and only if  $\text{TR}(\Phi)$  has an  $\alpha$ -model of cardinality  $\kappa$ . The gist of the method is that a formula  $\Phi = \bigvee_{\mu < \delta} \Psi_\mu$ , such that  $\text{FV}(\Phi) \subseteq \{x_0, \dots, x_n\}$

<sup>(9)</sup>  $\beth_\mu$  is the  $\mu$ -th Beth number and is defined by  $\beth_\mu = \omega \cup \bigcup_{\xi < \mu} 2^{\beth_\xi}$ . Also if  $\pi$  is a cardinal then  $\pi^+$  is the least cardinal strictly greater than  $\pi$ .

<sup>(7)</sup>  $\wedge$ ,  $\vee$ ,  $\rightarrow$  and  $\leftrightarrow$  are defined as usual in terms of  $\neg$ ,  $\wedge$  and  $\vee$ .

is in the sense mentioned above, equivalent to the following set of formulas

- (i)  $(\forall x_0, \dots, x_n)(Pk_\mu x_0, \dots, x_n \leftrightarrow \Psi_\mu), \quad \mu < \delta,$
- (ii)  $(\exists y)(y \prec k_\delta \wedge Pyx_0, \dots, x_n)$  <sup>(8)</sup>.

**LEMMA 3.1.** *If  $\Phi$  is a sentence of  $L_{\alpha\omega}$  in n.n.f. and  $\langle T, f \rangle$  is the formation of  $\Phi$ , then there exists a function  $\text{Tr}_\Phi$  whose domain is  $T$ , whose range consists of sequences (of length  $< \alpha$ ) of formulas of an  $\alpha$ -language and such that:*

(.1) *if  $f(s)$  is either an atomic or negation of an atomic formula, then  $\text{Tr}_\Phi(s) = \langle f(s) \rangle$ ,*

(.2) *if  $f(s) = C_{\mu < \delta} f(s \prec \langle \mu \rangle)$  (where  $C$  is either  $\vee$  or  $\wedge$ ),  $\text{Tr}_\Phi(s \prec \langle \mu \rangle) = \langle \Psi_\xi \rangle_{\xi < \delta_\mu}$ ,  $\varrho = \bigcup_{\mu < \delta} \delta_\mu$ ,  $\text{FV}(f(s)) = \{x_0, \dots, x_{n-1}\}$  ( $n < \omega$ ) then  $\text{Tr}_\Phi(s)$  is a well-ordering of the set consisting of the following formulas:*

- (i)  $(\forall x_0, \dots, x_{n-1})(P_s k_\mu k_\xi x_0, \dots, x_{n-1} \leftrightarrow \Psi_\xi^\mu)$  where  $\mu < \delta$ ,  $\xi < \delta_\mu$ ,
- (ii)  $(\forall x_0, \dots, x_{n-1})(P_s k_\mu k_\xi x_0, \dots, x_{n-1} \leftrightarrow \Psi_\xi^\mu)$  and  $\mu < \delta$ ,  $\delta_\mu \leq \xi < \varrho$ ,
- (iii.a)  $(\forall yz)(y \prec k_\delta \wedge z \prec k_\varrho \rightarrow P_s yz x_0, \dots, x_{n-1})$  in the case when  $C = \wedge$ ,
- (iii.b)  $(\exists y)(y \prec k_\delta \wedge (\forall z)(z \prec k_\varrho \rightarrow P_s yz x_0, \dots, x_{n-1}))$  in the case when  $C = \vee$ .

(.3) *if  $f(s) = (Qx_0)f(s \prec \langle 0 \rangle)$  (where  $Q$  is either  $\forall$  or  $\exists$ ),  $\text{Tr}_\Phi(s \prec \langle 0 \rangle) = \langle \Psi_\xi \rangle_{\xi < \delta}$ ,  $\text{FV}(f(s) \prec \langle 0 \rangle) = \{x_1, \dots, x_{n-1}\}$ , then  $\text{Tr}_\Phi(s)$  is a well-ordering of the set consisting of the following formulas:*

- (i)  $(\forall x_0, \dots, x_{n-1})(P_s k_\xi x_0, \dots, x_{n-1} \leftrightarrow \Psi_\xi)$  where  $\xi < \delta$ .
- (ii.a)  $(\forall x_0 y)(y \prec k_\delta \rightarrow P_s y x_0, \dots, x_{n-1})$  in the case  $Q = \forall$ .
- (ii.b)  $(\exists x_0)(\forall y)(y \prec k_\delta \rightarrow P_s y x_0, \dots, x_{n-1})$  in the case  $Q = \exists$ .

**Proof.** Usual definition by induction on a well-founded relation. From Lemma 3.1 we then obtain (using a proof by induction on the depth of  $s$  in  $T$ ).

**LEMMA 3.2.** *If  $\Phi$  is a sentence of  $L_{\alpha\omega}$  in n.n.f.  $\langle T, f \rangle$  is the formation of  $\Phi$ ,  $s \in T$ ,  $f(s) = \Psi$ ,  $\Gamma$  is the range of  $\text{Tr}_\Phi(s)$ , where  $\text{Tr}_\Phi$  is as in Lemma 3.1, then*

(.1) *given any relation system  $\mathfrak{A} = \langle A, R_i \rangle_{i \in I}$  and a sequence  $h$  of elements of  $A$  such that  $(\mathfrak{A}, h) \models \Psi$  then there exists an  $\alpha$ -relational system  $\mathfrak{B}$  of the form  $\mathfrak{B} = \langle A \cup (\alpha+1), (\alpha+1), \epsilon_{\alpha+1}, \xi, N_s, R_i \rangle_{\xi \leq \alpha, s \in T, i \in I}$  such that for all  $\Delta \in \Gamma$ ,  $(\mathfrak{B}, h) \models \Delta$ ,*

<sup>(8)</sup> And correspondingly for  $\wedge$ . This method of replacing infinite formulas by finite formulas has been used by E. Engeler in [2].

(.2) if  $h$  is a sequence of elements of the non-empty set  $A$ ,  $(A \cap (\alpha+1) = \emptyset)$   $\mathfrak{B}$  is an  $\alpha$ -relational system of the form  $\mathfrak{B} = \langle A \cup (\alpha+1), (\alpha+1), \epsilon_{\alpha+1}, \xi, N_s, R_i \rangle_{\xi < \alpha, s \in T, i \in I}$  and for all  $\Delta \in \Gamma$ ,  $(\mathfrak{B}, h) \models \Delta$ , then  $(\mathfrak{A}, h) \models \Psi$  where  $\mathfrak{A} = \langle A, R_i \rangle_{i \in I}$ .

DEFINITION 3.3. If  $\Phi$  is a sentence of  $L_{\alpha\omega}$  in n.n.f.,  $\langle T, f \rangle$  is the formation of  $\Phi$ ,  $\text{Tr}_\Phi$  is as in Lemma 3.1, then  $\text{TR}(\Phi)$  is the range of  $\text{Tr}_\Phi$  (0).

Using Lemma 3.2 we then obtain:

THEOREM 3.4. If  $\Phi$  is a sentence of  $L_{\alpha\omega}$  in n.n.f.,  $\kappa$  is a cardinal greater than or equal to  $\alpha$ , then  $\Phi$  has a model of cardinality  $\kappa$  if and only if  $\text{TR}(\Phi)$  has an  $\alpha$ -model of cardinality  $\kappa$ .

#### IV. Hanf-numbers of $L_{\alpha\omega}$ .

DEFINITION 4.1. The Hanf-number of  $L_{\alpha\omega}$ ,  $H(L_{\alpha\omega})$ , is the least cardinal  $\kappa$  such that for every sentence  $\Phi$  of  $L_{\alpha\omega}$ , if  $\Phi$  has a model of cardinality at least  $\kappa$ , then  $\Phi$  has arbitrary large models.

THEOREM 4.2.

$$H(L_{\alpha\omega}) \leq \beth_{(\alpha^+)}.$$

Proof. Suppose that  $\Phi$  is a sentence of  $L_{\alpha\omega}$  which has a model of cardinality  $\kappa \geq \beth_{(\alpha^+)}$ . Hence if  $\Phi^*$  is a sentence of  $L_{\alpha\omega}$  in n.n.f. which is semantically equivalent to  $\Phi$ , then  $\Phi^*$  has a model of cardinality  $\kappa$ . Thus by Theorem 3.4  $\text{TR}(\Phi^*)$  has an  $\alpha$ -model of cardinality  $\kappa$ . Thus by Theorem 2.3  $\text{TR}(\Phi^*)$  has arbitrary large  $\alpha$ -models. Hence by Theorem 3.4  $\Phi^*$  (and thus also  $\Phi$ ) has arbitrary large models.

#### V. Non-definability of well-orderings.

DEFINITION 5.1.  $\text{Or}_\mu$  is the formula defined by the recursion

$$\text{Or}_\mu = \left[ \bigwedge_{\xi < \mu} (\text{E}y) (y < x \wedge (\text{E}x) (x = y \wedge \text{Or}_\xi)) \right] \\ \left[ (\forall y) (y < x \rightarrow \bigvee_{\xi < \mu} (\text{E}x) (x = y \wedge \text{Or}_\xi)) \right].$$

The following lemma can easily be proved by induction on  $\mu$  (cf. [6]).

LEMMA 5.2.

(.1) If  $\mu < \alpha$ , then  $\text{Or}_\mu$  is a formula of  $L_{\alpha\omega}$ .

(.2) If  $\mathfrak{A} = \langle A, R \rangle$ , is a linearly ordered system and  $a \in A$ , then  $(\mathfrak{A}, \langle a \rangle) \models \text{Or}_\mu$  if and only if the set of  $R$ -predecessors of  $a$  has order type  $\mu$ .

DEFINITION 5.3.

$$\mathbf{W} = \{ \langle A, R \rangle : A \neq \emptyset \text{ and } R \text{ well-orders } A \}.$$

Finally we come to the main theorem.

THEOREM 5.4. For every  $\alpha$ ,  $\mathbf{W} \notin \text{PC}_\Delta(L_{\alpha\omega})$ .

Proof. Suppose that on the contrary that for some  $\alpha$ :

$$(*) \quad \mathbf{W} \in \text{PC}_\Delta(L_{\alpha\omega}).$$

Let then  $\Gamma$  be the set of sentences of  $L_{\alpha\omega}$  which relatively characterize the notion of a well-ordering (i.e. such that  $\mathbf{W}$  is the class of reducts of models of  $\Gamma$ ). Suppose that in addition to the binary relation symbol  $<$ , the non-logical constants occurring in  $\Gamma$  are  $P_i$ ,  $i \in I$ . It is clear that we may assume that  $I \cap \omega = \emptyset$ . Next let  $\pi = |I| \cup \alpha$  and  $\beta = \pi^+$ . Furthermore let  $\Phi$  be the conjunction of the sentences in  $\Gamma$ . Then  $\Phi$  is a sentence of  $L_{\beta\omega}$ .

Next let  $P_1, P_2, P_3, P_4, P_5$  be binary relation symbols,  $P_6$  a ternary relation symbol,  $P_7$  a unary relation symbol and  $k_0, k_1, \dots, k_6$  be individual constants (none occurring in  $\Gamma$ ). Then we let  $\Psi$  be the conjunction of the following sentences of  $L_{\beta\omega}$  (\*):

- (1)  $(\forall xy) (P_1xy \leftrightarrow x < y \wedge \neg (\text{E}z) (x < z \wedge z < y))$ ,
- (2)  $(\forall x) (P_7x \leftrightarrow k_0 < x \wedge (\forall y) (y < x \rightarrow (\text{E}z) (y < z \wedge z < x)))$ ,
- (3)  $(\text{E}x) (x = k_0 \wedge \text{Or}_0)$ ,
- (4)  $(\text{E}x) (x = k_1 \wedge \text{Or}_\omega)$ ,
- (5)  $(\text{E}x) (x = k_2 \wedge \text{Or}_\pi)$ ,
- (6)  $(\forall xy) (x < k_3 \wedge y < k_3 \rightarrow [(\forall z) (P_2xz \leftrightarrow P_2yz) \rightarrow x = y])$ ,
- (7)  $(\forall xy) (P_2xy \rightarrow y < k_2)$ ,
- (8)  $(\forall xy) (x < k_4 \wedge y < k_4 \rightarrow [(\forall z) (P_3xz \leftrightarrow P_3yz) \rightarrow x = y])$ ,
- (9)  $(\forall xy) (P_3xy \rightarrow y < k_3)$ ,
- (10)  $(\forall xy) (x < k_5 \wedge y < k_5 \rightarrow [(\forall z) (P_4xz \leftrightarrow P_4yz) \rightarrow x = y])$ ,
- (11)  $(\forall xy) (P_4xy \rightarrow y < k_4)$ ,
- (12)  $(\forall wxy) (x < w \wedge y < w \rightarrow [(\forall z) (P_6wxz \leftrightarrow P_6wyz) \rightarrow x = y])$ ,
- (13)  $(\forall xyz) (P_5xy \wedge P_5xz \rightarrow y = z)$ ,
- (14)  $(\forall x) (x < k_5 \vee x = k_5 \rightarrow (\text{E}y) (P_5xy))$ ,

(\*) The author is indebted to Hanf [3] for the use of these sentences. In [3] Hanf deals with another type of infinite languages, namely certain infinitary languages in which the notion of a well-ordering can be expressed by a sentence of the language. For those languages Hanf shows that the Hanf-number must be exceedingly large. Reading [3], the author realized that (because the Hanf-numbers for  $L_{\alpha\omega}$  are relatively small) the arguments used by Hanf could be used (in the reverse direction) to show that well-orderings could not be characterized (nor relatively characterized) in the languages  $L_{\alpha\omega}$ .

- (15)  $(\forall xy)(P_5xy \rightarrow x < k_5 \vee x = k_5)$ ,
- (16)  $P_5k_0k_1 \wedge P_5k_5k_6$ ,
- (17)  $(\forall uvwx)(P_1uv \wedge P_5uv \wedge P_5vw \rightarrow (\forall yz)(P_6xyz \rightarrow z < w))$ ,
- (18)  $(\forall vw)(P_7v \wedge P_5vw \rightarrow (\forall x)[x < w \rightarrow (\exists yz)(y < v \wedge P_5yz \wedge x < z)])$ ,
- (19)  $(\forall x)(x < k_6 \vee x = k_6)$ .

Next let  $\kappa'' = |2^{\pi}|$ ,  $\kappa' = |2^{\kappa''}|$  and  $\kappa = |2^{\kappa'}|$ . Note that from Theorem 4.2 we obtain that:

$$(+) \quad H(L_{\beta\omega}) \leq \beth_{\kappa}.$$

Hence to show that the assumption (\*) leads to a contradiction it suffices to show (because  $\Phi \wedge \Psi$  is a sentence of  $L_{\beta\omega}$ ) that:

- (I) *The cardinality of the models of  $\Phi \wedge \Psi$  are strictly smaller than  $\beth_{\kappa^+}$ .*  
 (II) *There exists a model of  $\Phi \wedge \Psi$  of cardinality  $\beth_{\kappa}$ .*

Concerning (I). Suppose that  $\mathfrak{M}$  is a model of  $\Phi \wedge \Psi$ . Then because  $\mathfrak{M}$  is then a model of  $\Phi$  we may assume that for some ordinal  $\varrho$ ,  $\mathfrak{M}$  is of the form:

$$\mathfrak{M} = \langle \varrho, \epsilon_{\varrho}, R_1, \dots, R_7, \xi_0, \dots, \xi_6, R_i \rangle_{i \in I}.$$

Because of the sentences (3)-(5) we immediately obtain:

$$\xi_0 = 0, \quad \xi_1 = \omega, \quad \xi_2 = \pi.$$

From (19) we deduce that  $\xi_6 + 1 = \varrho$ .

If we let

$$f = \{ \langle \mu, X \rangle : \mu < \xi_3 \text{ and } X = \{ \zeta : \langle \mu, \zeta \rangle \in R_2 \} \},$$

then from (6) and (7) we conclude that  $f$  is a (1-1) function whose domain is  $\xi_3$  and whose range is included in the power set of  $\pi (= \xi_2)$ . Thus  $|\xi_3| \leq |2^{\pi}| = \kappa''$ . Similarly using (8)-(11) we obtain that  $|\xi_4| \leq \kappa'$  and that  $|\xi_5| \leq \kappa$ . That is we have shown that:

$$(i) \quad \xi_5 < \kappa^+.$$

From sentences (1) and (2) we obtain that  $\langle \mu, \delta \rangle \in R_1$  if and only if  $\mu + 1 = \delta$  and that  $\mu \in R_7$  if and only if  $\mu$  is a non-zero limit ordinal.

Next let for each  $\mu$  ( $\mu \in \varrho$ ):

$$g_{\mu} = \{ \langle \delta, X \rangle : \delta < \mu \text{ and } X = \{ \zeta : \langle \mu, \delta, \zeta \rangle \in R_6 \} \}.$$

Then from sentence (12) we obtain that for each  $\mu$ ,  $g_{\mu}$  is a (1-1) function whose domain is  $\mu$ .

Sentences (13)-(16) inform us that  $R_5$  is a function whose domain is  $\xi_5 + 1$  and such that:

$$(ii) \quad R_5(0) = \omega \quad \text{and} \quad R_5(\xi_5) = \xi_6.$$

Sentences (17) and (18) are then use to prove by induction on  $\mu$  ( $\mu \leq \xi_5$ ) that:

$$(iii) \quad |R_5(\mu)| \leq \beth_{\mu}.$$

Combining (i), (ii) and (iii) we then obtain that

$$|\varrho| = |R_5(\xi_5)| \leq \beth_{\xi_5} < \beth_{\kappa^+}.$$

Thus (I) is shown.

Concerning (II). Let  $\delta = \beth_{\kappa} + 1$ . Since  $\Phi$  relatively characterizes the well-orderings, there must exist relations  $S_i$ ,  $i \in I$  such that  $\langle \delta, \epsilon_{\delta}, S_i \rangle_{i \in I}$  is a model of  $\Phi$ . Let then:

$$\begin{aligned} \eta_0 = 0, \quad \eta_1 = \omega, \quad \eta_2 = \pi, \quad \eta_3 = |2^{\pi}|, \quad \eta_4 = |2^{\eta_3}|, \quad \eta_5 = |2^{\eta_4}|, \quad \eta_6 + 1 = \delta. \\ S_1 = \{ \langle \mu, \mu + 1 \rangle : \mu \in \delta \}, \\ S_5 = \{ \langle \mu, \epsilon_{\mu} \rangle : \mu \leq \eta_5 \}, \\ S_7 = \{ \mu : 0 < \mu < \delta \text{ and } \mu \text{ is a limit ordinal} \}. \end{aligned}$$

Since for each  $\mu \leq \eta_5$  there exists a (1-1) function  $f_{\mu}$  mapping the power set of  $\beth_{\mu}$  onto  $\beth_{\mu+1}$  relations  $S_2, S_3, S_4$  and  $S_6$  can then be found so that

$$\langle \delta, \epsilon_{\delta}, S_1, \dots, S_7, \eta_0, \dots, \eta_6, S_i \rangle_{i \in I}$$

is a model of  $\Phi \wedge \Psi$  of cardinality  $\beth_{\kappa}$ .

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