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On Helling cardinals⁽¹⁾

by

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§ 0. Introduction. The cardinal number $\kappa > \omega_1$ is called a *Helling cardinal* if every relational structure with a κ -like ordering has an elementary substructure with a λ -like ordering for an arbitrary $\omega_0 < \lambda < \kappa$. (If the language L of the structure under consideration is uncountable, then we can modify this notion, requiring $\lambda > |L|$.)

The existence of Helling cardinals is incompatible with the Axiom of Constructibility: it is easy to see that if there exists a Helling cardinal then $P(\omega_0) \cap L$ is countable. By the method of Silver [9] one can obtain the existence of $O^\#$ provided that there exists a Helling cardinal.

In 1966 Helling [2] proved that every measurable cardinal is a Helling cardinal, and Silver [8] has shown the same for Ramsey cardinals. These results seem to imply that Helling cardinals are very large. In Section 2 there is given a sufficient condition for a cardinal to be a Helling cardinal. This condition is satisfied by — among others — real-valued measurable cardinals. Prikry's result [6] entails that cardinals fulfilling our condition may be less than the continuum.

From the example of Fuhrken [1] we know that every Helling cardinal κ must be regular. If there is a limit (strongly limit) cardinal $\omega_0 < \lambda < \kappa$, then κ is weakly (strongly) inaccessible — see Keisler [3]. From these remarks it is clear that every Helling cardinal which is larger than ω_ω must be weakly inaccessible. The question arises: can ω_n be a Helling cardinal? A partial solution of this is given in Section 3.

In Section 4 we give an application of previous results to a language with a generalized quantifier⁽²⁾.

⁽¹⁾ The results of this paper are contained in the doctoral dissertation prepared by the authoress under the guidance of Professor C. Ryll-Nardzewski at Wrocław University. See also [11].

⁽²⁾ The Corollary from [11] is not stated here. I am indebted to Professor A. Mostowski, who pointed out a gap in that proof. If this theorem is still true, the proof will be published.

§ 1. Preliminaries. The ordinal α is identified with the set of all ordinals less than α , i.e. $\alpha = \{\xi: \xi < \alpha\}$. Cardinals are initial ordinals. For a cardinal number κ , by $[\kappa]^n$ we denote the set of all n -element subsets of κ , and by $[\kappa]^{<\omega}$ the set of all finite subset of κ .

$f * X$ denotes the image of a set X by a function f . By $|X|$ we denote the cardinality of X .

An ideal \mathfrak{I} of subsets of X is said to be ω_1 -saturated if there is no family of ω_1 disjoint subsets of X , not belonging to \mathfrak{I} .

We say that a cardinal number κ has the property $i(\kappa, \omega_1)$ if κ carries an ω_1 -saturated κ -complete non-trivial ideal. (An ideal is non-trivial if it is proper and contains all points.)

LEMMA 1.1. A cardinal number κ has the property $i(\kappa, \omega_1)$ iff it satisfies the following condition (*):

(*) There is a κ -complete, non-trivial filter \mathcal{F} on κ such that for each cardinal $\lambda < \kappa$ and each function $f: [\kappa]^{<\omega} \rightarrow \lambda$ there is a set $U \in \mathcal{F}$ such that $|f * [U]^{<\omega}| < \omega_1$.

The proof that $i(\kappa, \omega_1)$ implies (*) is due to Solovay [10], Theorem 5. Conversely, if κ satisfies (*), then the family of complements of sets in \mathcal{F} establishes the required ideal.

Remarks. If in (*) we required $|U| = \kappa$ instead of $U \in \mathcal{F}$, then we would obtain the condition of Rowbottom [7]. If we required \mathcal{F} to be uniform (not necessarily κ -complete), then (*) would be transformed into the condition $(\kappa, R(\omega_1))$ in the paper of Prikry [6]. Neither Rowbottom's nor Prikry's condition implies the regularity of κ , but the condition (*) does.

An ordering $<$ of a set A is called κ -like if $|A| = \kappa$ and every initial segment of $<$ is of the power less than κ .

For the cardinal numbers κ, λ we write $\kappa \rightarrow \lambda$ if every relational structure with a κ -like ordering has an elementary substructure which is λ -like in the same ordering.

We say that κ is a *Helling cardinal* if $\kappa \rightarrow \lambda$ holds for every $\omega_0 < \lambda < \kappa$.

We are going to show that if κ satisfies $i(\kappa, \omega_1)$ then it is a Helling cardinal.

§ 2. The main theorem. Let L be an arbitrary elementary language with a binary predicate $<$. By L_α we denote the language L with an additional quantifier Q_α ("there is at least α of ..."). Let λ be a cardinal. $L(\lambda)$ denotes the language L with an added sequence of constants $\{e_\xi: \xi < \lambda\}$ and a unary relation C .

Subsets of the sets of constants are treated as sequences with the ordering given by the indices. If x, y are two sequences of constants, we say that they are *congruent up to the level* $\mu < \lambda$ if $x \cap \{e_\xi: \xi < \mu\} = y \cap \{e_\xi: \xi < \mu\}$ (notation: $x \parallel y(\mu)$).

We use the following classification of the terms of $L(\lambda)$: a term of L has level zero; otherwise a term τ of $L(\lambda)$ has level $\alpha+1$ (notation: $l(\tau) = \alpha+1$), if α is the largest index ξ such that e_ξ occurs in τ .

In $L_{\omega_1}(\lambda)$ — just as Helling and Keisler ⁽¹⁾ have done — we introduce a theory $T(\lambda)$ with axioms of the following forms:

(1) " $<$ is a linear ordering",

(2) " $e_\xi < e_\eta$ " for $\xi < \eta < \lambda$,

(3) " $C(e_\xi)$ " for $\xi < \lambda$,

(4) "there exist at most countably many values of $\tau(x')$ where $\tau(x') < \tau_1$ and $x' \parallel x(l(\tau_1))$ ", for each n -placed term τ and each constant term τ_1 of $L(\lambda)$ and each n -element sequence $x = \langle e_{\xi_1}, \dots, e_{\xi_n} \rangle$.

The scheme (4) may be formally written in $L_{\omega_1}(\lambda)$ as follows:

(4) $\forall x_1, \dots, x_n (C(x_1) \wedge \dots \wedge C(x_n) \rightarrow (\neg Q_{\omega_1} y (y \mathfrak{A} x'_1, \dots, x'_n C(x'_1) \wedge \dots \wedge C(x'_n) \wedge \forall z (C(z) \wedge z < e_{l(\tau_1)}) \rightarrow (z = x_1 \leftrightarrow z = x'_1 \wedge \dots \wedge z = x_n \leftrightarrow z = x'_n) \wedge y = \tau(x'_1, \dots, x'_n) \wedge y < \tau_1))$.

LEMMA 2.1. Let κ satisfy the condition $i(\kappa, \omega_1)$. Let $\mathfrak{A} = \langle A, <, \dots \rangle$ be a κ -like model (of a theory in L). Then there are a sequence $\{z_\xi: \xi < \kappa\}$ of elements of A and a subset $C \subseteq A$ such that the expansion $\mathfrak{A}' = \langle A, <, \dots, C, z_\xi \rangle_{\xi < \kappa}$ of \mathfrak{A} is a model of $T(\kappa)$, with $C^{\mathfrak{A}'} = C$ and $e'_\xi = z_\xi$.

Proof. We introduce an additional relation \succ which well-orders A in the type κ . Let \mathcal{F} be a filter of subsets of A satisfying (*) in Lemma 1.1. By $\text{Tm}(\beta, n)$ we denote the set of all n -placed terms of level β .

We show that there are a decreasing sequence of sets $\{X_\xi: \xi < \kappa\} \subseteq \mathcal{F}$ and a strictly increasing (in the sense of $<$) sequence $\{z_\xi: \xi < \kappa\} \subseteq A$ such that:

(i) z_ξ is the minimal element in the sense of \succ in X_ξ ,

(ii) $z_\xi \succ x$, for $x \in X_{\xi+1}$,

(iii) in the structure $\mathfrak{A}'_\xi = \langle A, <, \dots, \{z_\eta: \eta < \xi\}, z_\eta \rangle_{\eta < \xi}$ hold the axioms (1)–(3) of $T(\xi)$,

(iv) if τ is an n -placed term, τ_1 — a constant term and $l(\tau) \leq l(\tau_1) \leq \xi$, then for x running over $[X_{l(\tau_1)}]^n$ there are at most countably many values of $\tau(x)$ with $\mathfrak{A}'_\xi \models \tau(x) < \tau_1$.

The proof of this is by induction on $\xi < \kappa$.

Step 1. $\xi = 0$. Since $|\text{Tm}(0, 0)| < \kappa$ and κ is regular, there is a $y_0 \in A$ such that $\tau^{\mathfrak{A}'} < y_0$ for every term $\tau \in \text{Tm}(0, 0)$.

For an arbitrary $n < \omega_0$, $\tau \in \text{Tm}(0, n)$, we define a function $f_\tau: [A]^n \rightarrow \{y: y < y_0\}$ putting $f_\tau(a) = \tau^{\mathfrak{A}'}(a)$ if $\tau^{\mathfrak{A}'}(a) < y_0$ and $f_\tau(a) = \min\{y: y < y_0\}$ (in the sense of \succ) otherwise.

⁽¹⁾ A similar method was used firstly by Silver in [8].

Since $|\{y: y < y_0\}| < \kappa$, by (\ast) for every f_τ there is a set $U_\tau \in \mathcal{F}$ such that $|f_\tau \ast [U_\tau]^n| < \omega_1$. We define $X_0 = \bigcap_{n < \omega_0} \bigcap_{\tau \in \text{Tm}(0, n)} U_\tau$. Then $X_0 \in \mathcal{F}$ and for an arbitrary term τ of level zero there are at most countably many values of $\tau(a) < y_0$ in \mathfrak{A} (where a is a sequence of elements of X_0 of an appropriate length).

Then we set $z_0 = \min X_0$ in the sense of \prec .

Now we assume that for $\eta < \xi$, X_η and z_η have been defined.

Step 2. ξ is a limit ordinal. We set $X_\xi = \bigcap_{\eta < \xi} X_\eta$ and $z_\xi = \min X_\xi$

in the sense of \prec .

The satisfaction of (iv) results from the fact that if $l(\tau) \leq \xi$ then $l(\tau) < \xi$. Conditions (i)–(iii) are easy to verify.

Step 3. $\xi = \eta + 1$. As in Step 1, we choose $y_\xi \in A$ such that $\tau^{\mathfrak{A}} < y_\xi$ for every term $\tau \in \text{Tm}(\xi, 0)$. For $n < \omega_0$, $\tau \in \text{Tm}(\xi, n)$ we define a function $f_\tau: [A]^n \rightarrow \{y: y < y_\xi\}$ such that $f_\tau(a) = \tau^{\mathfrak{A}}(a)$ if $\tau^{\mathfrak{A}}(a) < y_\xi$ and $f_\tau(a) = \min\{y: y < y_\xi\}$ (in the sense of \prec) otherwise.

Then there is a set $U_\tau \in \mathcal{F}$ such that $|f_\tau \ast [U_\tau]^n| < \omega_1$. Let $Z_\xi = \bigcap_{n < \omega_0} \bigcap_{\tau \in \text{Tm}(\xi, n)} U_\tau$. Then $Z_\xi \in \mathcal{F}$ and for every term τ of level $\leq \xi$ there are at most countably many values of $\tau(a) < y_\xi$ for $a \subseteq Z_\xi$.

We set $X_\xi = X_\eta \cap (Z_\xi - \{y: y \leq z_\eta\})$; then $X_\xi \in \mathcal{F}$ because $|\{y: y \leq z_\eta\}| < \kappa$. Put $z_\xi = \min X_\xi$ in the sense of \prec . Of course, conditions (i)–(iv) are then satisfied.

Now we define $C = \{z_\xi: \xi < \kappa\}$. The satisfaction of axioms (1)–(3) in \mathfrak{A} results immediately from (i)–(iv) holding for every $\xi < \kappa$.

It remains to show that axiom (4) holds in \mathfrak{A} . For this purpose we take τ — an n -placed term, and τ_1 — a constant term of $L(\kappa)$. Put $\xi = l(\tau_1) < \kappa$.

If $l(\tau) \geq \xi$, then we substitute successive free variables which have not been used for all constants with indices $\geq \xi$ in τ . Thus we obtain a term τ' of $n+k$ places (for some k) with $l(\tau') < \xi$. If x is an n -tuple of z 's, then we extend it to an $(n+k)$ -tuple x' , adding the constants with indices $\geq \xi$. Of course, if $x \parallel y(\xi)$, then $x' \parallel y'(\xi)$ and we choose a sequence $y' \parallel x(\xi)$ such that $\tau'(y') = \tau(x)$.

We are going to show that there are at most countably many values of $\tau'(y') < \tau_1$ such that $y' \parallel x(\xi)$.

In order to do this, define $y_1 = y' \cap \{z_\eta: \eta < \xi\} = x_1$ and $y_2 = y' \cap \{z_\eta: \eta \geq \xi\}$. Then $\tau'(y') = (\tau'(y_1))(y_2)$ and $y_2 \subseteq X_\xi$. Applying (iv) to the term $\tau'' = \tau'(y_1) = \tau'(x_1)$, we know that substituting an arbitrary sequence $\subseteq X_\xi$ for y_2 we can obtain at most countably many values of τ'' less than τ_1 . So every sequence $y_1 \parallel x(\xi)$ has only countably many expansions y' with distinct values of $\tau(y') < \tau_1$. Thus there are at most countably many distinct values of $\tau(y)$ for $y \parallel x(\xi)$.

The case where $l(\tau) < \xi$ follows immediately from (iv).

LEMMA 2.2. If \mathfrak{A} can be expanded to a model of $T(\kappa)$, $\omega_0 < \lambda \leq \kappa$, then \mathfrak{A} has an λ -like elementary substructure.

Proof. Let $\{z_\xi\}_{\xi < \kappa}$ be a realization in \mathfrak{A} of constants in $T(\kappa)$ and $\mathfrak{A}' = (\mathfrak{A}, z_\xi)_{\xi < \kappa}$. Denote by T the elementary theory of the structure \mathfrak{A}' with all Skolem functors and put $B = \{\tau^{\mathfrak{A}'}: \tau \text{ is a constant term of } T \text{ and } l(\tau) < \lambda\}$. Of course we have $|B| = \lambda$, and by the definition of T , the substructure of \mathfrak{A}' with the universe B is an elementary substructure of \mathfrak{A}' .

To show that $\langle B, < \rangle$ is λ -like one needs to examine the power of the set $B_x = \{y \in B: y < x\}$ for an arbitrary $x \in B$. Let τ_1 be a term of level $< \lambda$ such that $x = \tau^{\mathfrak{A}'}$. We define a function $f: B_x \rightarrow \bigcup_{n < \omega_0} \text{Tm}(0, n) \times \{z_\xi: \xi < l(\tau_1)\}$. For $y \in B_x$ let $f(y)$ be a pair $\langle \tau, a^* \rangle$ where τ is a term of level zero, a is a sequence of z 's of an appropriate length, $\tau^{\mathfrak{A}'}(a) = y$ and $a^* = a \cap \{z_\xi: \xi < l(\tau_1)\}$. Of course, the sets $\bigcup_{n < \omega_0} \text{Tm}(0, n)$ and $\{z_\xi: \xi < l(\tau_1)\}$ have a cardinality less than λ . By axiom (4) of $T(\kappa)$ the counterimage of an arbitrary pair $\langle \tau, a^* \rangle$ is at most countable, and so $|B_x| \leq \omega_0 \cdot l(\tau_1) < \lambda$.

THEOREM 2.3. If κ has the property $i(\kappa, \omega_1)$, then κ is a Helling cardinal.

Proof. By Lemmas 2.1 and 2.2.

§ 3. Concerning two-cardinal models. Before we state the next results, we introduce some auxiliary notions.

DEFINITION. A relational structure $\mathfrak{A} = \langle A, U, \dots \rangle$ is called a two-cardinal model of type $\langle \kappa, \lambda \rangle$ if κ, λ are cardinals, $U \subseteq A$, $|A| = \kappa$, and $|U| = \lambda$. We write $\langle \kappa, \lambda \rangle \twoheadrightarrow \langle \mu, \nu \rangle$ if every two-cardinal model of type $\langle \kappa, \lambda \rangle$ has an elementary substructure of type $\langle \mu, \nu \rangle$.

Proposition 3.1 below gives a condition for ω_n to be a Helling cardinal in the terms of two-cardinal models.

PROPOSITION 3.1. For a natural number $n > 1$, the cardinal ω_n is a Helling cardinal iff the following conditions are satisfied:

- $\langle \omega_n, \omega_{n-1} \rangle \twoheadrightarrow \langle \omega_1, \omega_0 \rangle$,
- $\langle \omega_n, \omega_{n-1} \rangle \twoheadrightarrow \langle \omega_2, \omega_1 \rangle$,
-
- $\langle \omega_n, \omega_{n-1} \rangle \twoheadrightarrow \langle \omega_{n-1}, \omega_{n-2} \rangle$.

Proof. (Outline) Let $\mathfrak{A} = \langle A, U, <, f, \dots \rangle$, where $U \subseteq A$, $|A| = \mu$, $|U| = \nu$, $f: A^2 \rightarrow A$, $<$ orders A , and for $x \in A$ the function $f(x, \cdot)$ is an embedding of $\{y \in A: y < x\}$ into U . Then there is an elementary sentence σ which is satisfied in such a structure \mathfrak{A} iff (for $\mu \neq \nu$) $\mu = \nu^+$.

Suppose the conditions $(\ast\ast)$ hold. If $\langle A, <, \dots \rangle$ is an ω_n -like structure, then, choosing a $U \subseteq A$ of power ω_{n-1} and f as desired, we obtain a model \mathfrak{M} of σ . By $(\ast\ast)$ this model has an elementary submodel of type $\langle \omega_k, \omega_{k-1} \rangle$ for every $0 < k < n$. The order $<$ in this submodel is ω_k -like, which is ensured by σ being satisfied in it.

Conversely, let $\langle A, U, \dots \rangle$ be a model of type $\langle \omega_n, \omega_{n-1} \rangle$, ω_n being a Helling cardinal. Then $\langle A, <, \dots \rangle$ is an ω_n -like model, $<$ being a well-ordering of A in the type ω_n , and a function f may be defined such that $\mathfrak{M} = \langle A, U, <, f, \dots \rangle$ is a model of σ . Now, A has an elementary ω_k -like submodel for $0 < k < n$. By the properties of σ this submodel is of the type $\langle \omega_k, \omega_{k-1} \rangle$.

COROLLARY 3.2. *The sentence " ω_2 is a Helling cardinal" is consistent with the Zermelo-Fraenkel Set Theory under the assumption that there is a Ramsey cardinal. In symbols:*

$$\text{Con}(\text{ZFC} + \exists \kappa \text{ Ramsey}) \rightarrow \text{Con}(\text{ZFC} + \omega_2 \text{ is Helling}).$$

Proof. By Proposition 3.1, ω_2 is a Helling cardinal iff $\langle \omega_2, \omega_1 \rangle \rightarrow \langle \omega_1, \omega_0 \rangle$ holds. This condition is known as *Chang's Conjecture*. Silver in [9] has shown the consistency of Chang's Conjecture provided that a Ramsey cardinal exists.

Remarks. Let us recall that κ is a *Rowbottom cardinal* (see [5]) if $\forall \lambda < \kappa [\langle \kappa, \lambda \rangle \rightarrow \langle \kappa, \omega_0 \rangle]$. From this definition it follows that formally Rowbottom cardinals play a similar role in the theory of two-cardinal models to that played by Helling cardinals in the theory of models with ordering. So, a natural question arises: Do those classes of cardinals coincide?

(1) Corollary 3.2 states that ω_2 may be a Helling cardinal. On the other hand, in ZFC one can prove that ω_2 is not a Rowbottom cardinal.

(2) Prikry [6] has shown that there may be a Rowbottom cardinal which is cofinal with ω_0 . No such a cardinal is Helling (Helling cardinals must be regular).

(3) W. Marek asked me if it is consistent with ZFC that Helling and Rowbottom cardinals coincide (under some additional assumptions, e.g. that they exist). We can give the following partial answer, suggested to me by B. Weglorz:

PROPOSITION 3.3. *Let \mathfrak{M} be a model of ZFC, $\kappa \in \mathfrak{M}$ and $\mathfrak{M} \models \kappa = \bigcup_{n < \omega} \kappa_n$, where κ_n are measurable". Then, in every mild ⁽¹⁾ Cohen extension of \mathfrak{M} , κ is a Rowbottom but not a Helling cardinal.*

⁽¹⁾ That is, in generic extension where a set of conditions has a power less than κ in \mathfrak{M} .

Proof. Suppose C is a set of conditions and $|C| < \kappa$. So, there is an $n < \omega$ such that $|C| < \kappa_n$. Thus, by the result of Lévy and Solovay [4], in the resulting Cohen extension $\mathfrak{M}[G]$ all κ_m for $m > n$ are measurable. Hence, κ in $\mathfrak{M}[G]$ is a sum of countably many measurable cardinals, and by a theorem of Prikry [6], it is a Rowbottom cardinal in $\mathfrak{M}[G]$. On the other hand, κ is obviously singular in $\mathfrak{M}[G]$, and so it is not a Helling cardinal in $\mathfrak{M}[G]$.

(4) In connection with our Theorem 2.3, it is easy to see that the condition $i(\kappa, \omega_1)$ is not necessary for κ to be a Helling cardinal. Indeed, by Corollary 3.2 ω_2 may be Helling cardinal, but (as Solovay showed in [10]) if κ fulfils $i(\kappa, \omega_1)$, then it must be very large (e.g. larger than the first weakly inaccessible cardinal).

§ 4. Application to languages L_κ . The relation between models of theories in L_κ and κ -like ordered models is given in the following theorem of Fuhrken [1]:

THEOREM (Fuhrken). *For any theory T in a language L_κ there is a theory T^* in L where the predicate $<$ and some functors are added such that every model \mathfrak{M} of T with $|A| = \kappa$ can be expanded to a κ -like model of T^* and conversely — every κ -like model of T^* is a model of T .*

COROLLARY 4.1. *Suppose that the condition $i(\kappa, \omega_1)$ holds. Let T be a theory in L_κ and T_λ — a L_λ -counterpart of T for an uncountable $\lambda < \kappa$. If \mathfrak{M} is a model of T , then \mathfrak{M} has an elementary (in the sense of L) submodel which is a model of T_λ .*

Proof. Obvious from 2.3.

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Collectionwise normality and the extension of functions on product spaces

by

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1. Introduction and preliminary results. Let S be a nonempty subset of a topological space X . The subset S is said to be P -embedded in X if every continuous pseudometric on S extends to a continuous pseudometric on X . The subset S is C -embedded (respectively C^* -embedded) in X if every continuous (respectively bounded continuous) real valued function on S extends to a continuous (respectively bounded continuous) real valued function on X . It is clear that every C -embedded subset is a C^* -embedded subset; moreover every P -embedded subset is a C -embedded one (see Theorem 2.4 of [7]). The concept of P -embedding characterizes collectionwise normal spaces in the same way as C -embedding (and also C^* -embedding) characterize a normal spaces. Specifically a topological space X is collectionwise normal if and only if every closed subset of X is P -embedded in X (see [12]).

Since a pseudometric on a space X is a function on the product set $X \times X$, it is of interest to relate the extension of pseudometrics to the extension of functions on $X \times X$ (without the triangle inequality). In [1] we showed that a subset S is P -embedded in X if and only if every continuous function from S into a bounded, closed convex subset of a Banach space extends to a continuous function on X with values in the convex subset. Using results developed in [1] to demonstrate this result, we also showed in [1] that if L is any Fréchet space, then every uniformly continuous function from S into L can be extended to a continuous function on X . Also uniform continuity of the extended function is shown not to be attainable.

We now turn our attention to relating P -embedding to the extension of functions from product sets. By utilizing results from [1] we show that a subspace S is P -embedded in the Tichonov space X if and only if for all locally compact hemicompact Hausdorff spaces A , the product set $S \times A$ is C^* -embedded in the product space $X \times A$ if and only if the