

§ 3.4 The Core Model

§ 3.4.1 Strong mice

Def A mouse $N = \langle J_\alpha^E, E_\alpha \rangle$ is strong iff whenever M is a premouse s.t., $M \upharpoonright \alpha = N$ and M is iterable above α , Then M is a mouse and $N = (\text{core}(M)) \upharpoonright \alpha$.

Lemma Let $N = \langle J_\alpha^E, E_\alpha \rangle$ be a mouse. The following are equivalent:

(a) N is strong

(b) There is a universal wellorder W s.t. $N = W \upharpoonright \alpha$.

proof.

(a) \rightarrow (b) Define a hierarchy W_r ($\alpha \leq r < \Theta \leq \infty$) with $W_r = \langle J_{\gamma_r}^{E^{W_r}}, E_{\gamma_r}^{W_r} \rangle$ ($\gamma_r \leq r$) as follows:

$W_0 = N$. Let W_r be defined. If W_r is a mouse and $N = W_r \upharpoonright \alpha = \text{core}(W_r) \upharpoonright \alpha$, s.t.:

$W_{r+1} = \langle J_{\gamma_{r+1}}^E, \emptyset \rangle$, where

$$\text{core}(W_r) = \langle J_{\gamma_r}^E, E_{\gamma_r} \rangle.$$

Otherwise W_{r+1} is undefined.

If W_r is defined for $r < \lambda$ (where $\lambda > \omega$ is a limit ordinal), we define W_λ exactly as in the def. of the canonical ω -complete hierarchy in §3.1.

[We call this hierarchy $W_r = W_r[N]$ the canonical ω -complete hierarchy over N].

We verify by induction on $\tau \geq \omega$ that W_τ is defined. $\tau = \omega$ is immediate.

For limit τ , the proof is as before.

Now let $\tau = r + 1$. Then W_r is iterable above ω exactly as before. But $W_r | \omega = N$. Hence by strongness W_r is a move and $\text{core}(W_r) | \omega = N$.

Define $W_\infty = W_\infty[N]$ as before.

It follows as before that W_∞ is universal and $W_\infty | \omega = N$.

QED (a) \rightarrow (b)

(b) \rightarrow (a) Let M s.t. $M | \omega = N$ be iterable above ω . Coiterate M, W to M', W' . By universality, $M' | \omega$

an initial segment of w' and a simple iterate of M . Hence M is a mouse. It remains to show:

Claim $M \upharpoonright d = \text{core}(M) \upharpoonright d$.

If $\rho_M^\omega \geq d$ there is nothing to prove.

Assume $\rho_M^\omega < d$. Let $\bar{M} = \text{core}(M)$,

$\rho = \rho_M^\omega$. Then $\bar{M} \upharpoonright \rho = M \upharpoonright \rho = W \upharpoonright \rho$.

Let $\langle \bar{M}_\beta \mid \beta \leq \theta \rangle$, $\langle w_\beta \mid \beta \leq \theta \rangle$ be the coiteration of \bar{M} , W . Then $\theta < \omega$ and the \bar{M} side is simple by universality.

Subclaim $\bar{M} = \bar{M}_\theta$

pf.

If not, \bar{M}_θ cannot be a proper segment of W_θ . Hence $\bar{M}_\theta = W_\theta$.

Let $\langle r_\beta, d_\beta \rangle$ be the indices of the W -side and let β be maximal s.t. $w_{d_\beta} \in W_\theta$. Then $w_\beta \upharpoonright d_\beta$ is

normal and W_θ is an iterate of $w_\beta \upharpoonright d_\beta$ above $\rho^\omega = \rho_M^\omega = \rho$.

Hence $w_\beta \upharpoonright d_\beta = \text{core}(W_\theta) = \bar{M}$.

Hence $\bar{M}_\beta \neq \bar{M}$. Hence there is

a least $\xi < \zeta$ s.t. $M_{\xi+1} \neq \bar{M}$. Then

$$E_{\nu_\xi}^{\bar{M}} = E_{\nu_\xi}^{M_{\xi+1}} = \emptyset \text{ and } E_{\nu_\xi}^{W_\xi} = E_{\nu_\xi}^{\bar{M}} \neq \emptyset.$$

Hence $\nu_\xi \leq \nu_\zeta$ where $\xi < \zeta$.

Contradiction! QED (Subclaim)

We now prove the Claims. Suppose not, let ν be least s.t. $E_\nu^{\bar{M}} \neq E_\nu^M$.

Then $\nu \leq d + r$ is least s.t. $E_\nu^{\bar{M}} \neq E_\nu^W$, since $M|d = W|d = N$. But

$E_\nu^{\bar{M}} \neq \emptyset$ and $E_\nu^M = E_\nu^W = \emptyset$, since M is a simple iterate of \bar{M} . But this contradicts the subclaim.

QED (Lemma 1)

As a corollary of the proof:

Lemma 1.1 N is strong iff the canonical ω -complete weak $\omega_0[N]$ over N exists.

We now define a weak $K = J_\infty^E$ which we do not yet know to exist.

Def A hierarchy $K_\nu = \langle J_\nu^E, E_\nu \rangle$ of strong mice is defined by :

$$K_0 = \langle \emptyset, \emptyset \rangle$$

$$K_{\nu+1} = \langle J_{\nu+1}^E, \emptyset \rangle \text{ where } K_\nu = \langle J_\nu^E, E_\nu \rangle$$

($K_{\nu+1}$ is easily seen to be strong if K_ν is).

For limit λ let $J_\lambda^E = \bigcup_{\nu < \lambda} J_\nu^E$. At $\langle J_\lambda^E, \emptyset \rangle$ is strong and there is no $F \neq \emptyset$ s.t. $\langle J_\lambda^E, F \rangle$ is strong, set : $K_\lambda = \langle J_\lambda^E, \emptyset \rangle$.

At there is a unique $F \neq \emptyset$ s.t.

$\langle J_\lambda^E, F \rangle$ is strong, set :

$$K_\lambda = \langle J_\lambda^E, F \rangle.$$

Otherwise K_λ is undefined

At K_ν is defined for all $\nu < \infty$, we define the core model :

$$K = J_\infty^E = \bigcup_\nu J_\nu^E.$$

Our aim is to show that K exists, is universal, and that every universal w -model is a simple iterate of K (by an iteration of length $\leq \infty$). In § 3.4.2 we prove these facts under the assumption that O^2 exists.

The remainder of the paper will then deal with the more difficult (but more interesting) case: TO^1 .

[Note that K , if it exists, is universal since E^K_γ , being unique, is chosen as ω -complete wherever possible. Hence the proof which showed the canonical ω -complete model to be universal shows K to be so.]

§ 3.4 2 If Ω^1 exists.

Throughout this section assume that Ω^1 exists. Recall that

every α -mouse $N = \langle J_\alpha^E, E_\alpha, E_{\alpha+1} \rangle$

is a simple iterate of Ω^1 ;

hence $f_N^1 = f_{\Omega^1}^1 = 1$ and

*-iterations of α -mice are the same thing as ordinary iterations.

Def Let N be an α -mouse. Let N^i ($i < \infty$) be the iterates obtained by iterating the top measure — i.e., the iteration indices are $v_i = \omega_i + 1$, ω_i

where $N^i = \langle J_{\omega_i}^{E^{N^i}}, E_{\omega_i}^{N^i}, E_{\omega_i+1}^{N^i} \rangle$.

It is clear that $N^i | \omega_i = N^i | \omega_i$ for $i \leq j$ (taking $\langle J_\alpha^E, E_\alpha, E_{\alpha+1} \rangle | \omega$ to mean $i \langle J_\alpha^E, E_\alpha \rangle$).

Set: $N^\infty = \bigcup_i J_{\omega_i}^{E^{N^i}}$. Then

$N^\infty | \omega_i = N^i | \omega_i$ for $i < \infty$.

An obvious fact is:

Fact $(N^i)^j = N^{i+j}$ ($i < \omega, j \leq \omega$).
Hence $N^\omega = (N^i)^\omega$ ($i < \omega$).

Def $\tilde{K} = (0^\omega)^\omega$.

Our aim is to prove: $\tilde{K} = K$.

Def Let $\sigma: \bar{N} \rightarrow \sum_\omega N$ cofinally,
where \bar{N}, N are ι -mice. By
induction on i define:

$\sigma^i: \bar{N}^i \rightarrow \sum_\omega N^i$ cofinally

s.t.

$$(a) \sigma^i \pi_{\bar{N}^h \bar{N}^i}^h = \pi_{N^h N^i} \sigma^h \quad (h \leq i < \omega)$$

$$(b) \sigma^i \upharpoonright \bar{N}^h = \sigma^h \quad (\text{`` `` `` })$$

Set: $\bar{\pi}_{hi} = \pi_{\bar{N}^h \bar{N}^i}$, $\pi_{hi} = \pi_{N^h N^i}$.

The inductive definition reads:

$$\sigma^0 = \sigma$$

$$\sigma^{i+1}(\bar{\pi}_{i,i+1}(f)(\bar{n}_i)) = \bar{\pi}_{i,i+1}\sigma^i(f)(n_i)$$

$$\sigma^i \bar{\pi}_{i\lambda} = \bar{\pi}_{i\lambda} \sigma^i \text{ for } \text{fin}(\lambda), i < \lambda.$$

The inductive verification of
(a), (b) is straightforward

Def $\sigma^\infty = \bigcup_i \sigma^i$,

Hence $\sigma^\infty : \bar{N}^\infty \rightarrow_{\Sigma_0} N^\infty$.

Lemma 1 If $\sigma : \bar{N} \rightarrow_{E_\nu} N$, $\omega\nu \leq \text{Onn } \bar{N}$,

then $\sigma^i : \bar{N}^i \rightarrow_{E_\nu} N^i$ for $i \leq \infty$.

pf. By induction on i .

(Recall that $E_\nu^{\bar{N}} = E_\nu^{N^i}$ ($i \leq \infty$)).

An obvious converse is:

Lemma 2 Let $\tilde{\sigma} : \bar{N}^\infty \rightarrow_{E_\nu} Q$, where
 $\nu \leq \text{Onn } \bar{N}$. Set $\sigma = \tilde{\sigma} \upharpoonright \bar{N}$. Let
 $N = \langle J_\alpha^E, E_\alpha, E_{\alpha+1} \rangle$ be defined by:
 $N|d = Q|d$ and $\sigma : \bar{N} \rightarrow_{\Sigma_0} N$ cofinally.

Then $\sigma : \bar{N} \rightarrow_{E_\nu} N$. (Hence $\tilde{\sigma} = \sigma^\infty$
and $Q = N^\infty$, since $\sigma^\infty : \bar{N}^\infty \rightarrow_{E_\nu} N^\infty$).

pf. Straightforward.

As a straightforward corollary of these lemmas we get:

Cor 3 Let N be an iterate of \bar{N} by an iteration $\langle \bar{N}_i \rangle$ with indices $v_i \leq d_i = \text{On} \cap \bar{N}_i$. Let $\sigma = \pi_{\bar{N} N}$. Then N^i is an iterate of \bar{N}^i by an iteration with the same indices and iteration map $\sigma^i = \pi_{\bar{N}^i N^i}$ ($i \leq \infty$).

Cor 4 Let Q be an iterate of $\bar{Q} = \bar{N}^\infty$ by an iteration $\langle \bar{Q}_i \rangle$ with indices $v_i \leq \pi_{\bar{Q} \bar{Q}_i} (\text{On} \cap \bar{N})$. Set $\sigma = \pi_{\bar{Q} Q} \uparrow \bar{N}$. Let $\alpha = \pi_{\bar{Q} Q} (\text{On} \cap \bar{N})$ and let $N = \langle J_\alpha^E, E_\alpha, E_{\alpha+1} \rangle$ be defined cofinally. Then N is an iterate of \bar{N} by an iteration with the same indices and iteration map $\sigma = \pi_{\bar{N} N}$. (Hence $Q = N^\infty$ and $\pi_{\bar{Q} Q} = \sigma^\infty$),

We use these lemmas to prove an important structural relationship between \tilde{K} and O^2 :

Lemma 5 Let $\langle N_i \mid i \leq \Theta \rangle$ be a simple normal iteration of O^2 with indices ν_i . Let $K_i \mid i \leq \Theta$ be the iteration of \tilde{K} with the same indices. Then $N_i \mid \alpha_i = K_i \mid \alpha_i \quad (i \leq \Theta)$, where $\alpha_i = \text{On} \cap N_i$.

(Note that $E_{\alpha_i+1}^{K_i} = \emptyset$, whereas the lemma tells us that $E_{\nu_i}^{K_i} = E_{\nu_i}^{N_i}$ for $\nu_i \leq \alpha_i$).

Proof:

Let $M^i = \langle \cup_{\beta_j}^{E^i}, E_{\beta_j}^i, E_{\beta_j+1}^i \rangle$ be the iterator of M by the top measure ($j < \infty$). Then $M^\infty = \tilde{K}$.

Since Θ is arbitrary it suffices to show:

Claim $N_\Theta \mid \alpha_\Theta = K_\Theta \mid \alpha_\Theta$.

Let $k = k_\Theta =$ the least k s.t.,
 $\nu_i \leq \pi_{K_0 K_i}(\beta_k)$ for $i < \Theta$,

Define M, σ by : $M \mid \pi_{K_0 K_0}(\beta^k) = K_0 \mid \pi_{K_0 K_0}(\beta^k)$ and

$\sigma = \pi_{K_0 K_0} : M^k \xrightarrow{\Sigma_\theta} M$ cofinally.

Then M is an iterate of M^k by the same indices. Moreover,

$\tilde{K} = (M^k)^\infty$, $K_0 = M^\infty$, and $\pi_{K_0 K_0} = \sigma^\infty$.

Hence it suffices to show:

Claim $M = N_\theta$.

We prove this by induction on θ . Let it hold for $i < \theta$. Then for $i < \theta$ we have:

(a) N_i is an iterate of M^{k_i} by the indices ν_h ($h < i$).

(b) $K_i = N_i^\infty$, $\pi_{K_0 K_i} = \sigma_i^\infty$, where

$$\sigma_i = \pi_{M^{k_i}, N_i}$$

Case 1 $\theta = 0$ immediate.

Case 2 $\theta = i+1$ and $\nu_i \leq d_i$.

Then $k = k_i$ and N_θ is an iterate of N_i by the index ν_i , hence of M^k by the index ν_h ($h \leq i$). Hence $N_\theta = M$

Case 3 $\theta = i+1$ and $\nu_i = d_i + 1$

Then $k = k_i + 1$ and $K_\theta = K_i$.

$N_\theta = (N_i)^1$, since $\pi_{N_i N_\theta} : N_i \rightarrow N_\theta$:

Hence $\pi_{K_0 K_\theta}(\beta^{k_i+1}) = \pi_{K_0 K_i}(\beta^{k_i+1}) =$

$= d_\theta$, since $\pi_{K_0 K_i} = (\pi_{M^{k_i}, N_i})^\infty$.

Similarly $\pi_{K_0 K_\theta}(M^k | \beta^k) = N_\theta \text{Id}_\theta$.

Hence $M \text{Id}_\theta = N_\theta \text{Id}_\theta$, where M, N_θ

are λ -mice. A comparison argument shows: $M = N_\theta$.

Case 4 $\text{fin}(\theta)$ and there is $i < \theta$ s.t.

$k_j = k_i$ for $i \leq j < \theta$.

Then $k = k_i$. N_θ is an iterate of

N_i by the indices ν_j ($i \leq j < \theta$),

hence of M^k by ν_j ($j < \theta$).

Hence $N_\theta = M$.

Case 5 The above cases fail.

Then $\text{fin}(\theta)$ and $I =$

$= \{i \mid \nu_i = d_i + 1\}$ is unbounded in θ

Then $\kappa = \text{lub} \{ \kappa_i \mid i < \Theta \}$. Set :

$\kappa = \sup \{ \kappa_i \mid i \in I \}$. Then $\kappa = \pi_{N_i N_\theta}(\kappa_i)$

for $i \in I$ (where E_{κ_i} is on κ_i ($i \leq \Theta + 1$),

Hence κ is the largest cardinal in N_θ .

Define τ_i ($i \in I$) by : $\tau_i + \tilde{\kappa} = \beta^{k_i}$.

Then $\pi_{K_0 K_i}(\tau_i) = \pi_{K_0 K_\theta}(\tau_i) = n_i$

for $i \in I$. Hence $\kappa = \sup_i \tau_i =$

$= \pi_{K_0 K_\theta}(\tau_\theta)$, where $\tau_\theta = \sup_i \tau_i$

(hence $\beta^k = \tau_\theta + \tilde{\kappa}$). But

$N_\theta \upharpoonright \kappa = \bigcup_{i \in I} N_i \upharpoonright n_i = \bigcup_{i \in I} K_i \upharpoonright \kappa_i = K_\theta \upharpoonright$

κ is then the largest cardinal in

N_θ and M , where $N_\theta \upharpoonright \kappa = M \upharpoonright \kappa$.

Since both N_θ, M are κ -mice,
a comparison argument shows:

$M = N_\theta$. QED (Lemma 5)

The following definition enable
us to state an obvious im-
provement of Lemma 5:

Def Let N_i ($i < \theta \leq \omega$) be an iteration of O^2 by indices $\langle v_i, \gamma_i \rangle$. We call K_i ($i < \theta$) the iteration of \tilde{K} by corellated indices iff it has indices $\langle v_i, \tilde{\gamma}_i \rangle$ where

$$\tilde{\gamma}_i = \begin{cases} \alpha_n \text{ if } \omega_h = \alpha_n \cap N_h \text{ for } h \leq i \\ \gamma_i \text{ if not.} \end{cases}$$

Cor 5.1 Let N_i ($i < \theta \leq \omega$) be a normal iteration of O^2 and let K_i ($i < \theta$) be the iteration of \tilde{K} by corellated indices.

Then $N_i \upharpoonright \alpha_i = K_i \upharpoonright \alpha_i$ ($i < \theta$) where $\alpha_i = \alpha_n \cap N_i$.

pf.

By Lemma 5 if the iteration is simple. Otherwise let i be least s.t. $\omega \alpha_i \in N_i$. It holds $\leq i$ by Lemma 5 and hence $K_j = N_j$ for $j > i$. QED (5.7)

Corollary 6 Let $\langle N_i | i < \omega \rangle$ be a normal iterate of O^α . Set $W = N_\infty = \bigcup_{i \in \omega} J_{\kappa_i}^{E_{N_i}}$ (where E_{N_i} is on ν_i if $E_{N_i} \neq \emptyset$). Then $W = K_\infty$ is the iterate of \tilde{R} with corellated indices.

Corollary 7 \tilde{R} is universal, pf.

Let M be a premouse which is coiterable with \tilde{R} . Coiterate M, O^α as far as possible, getting $\langle M_i | i < \theta \rangle$, $\langle N_i | i < \theta \rangle$ an iteration of M, O^α resp., $\theta < \omega$ by the usual argument.

The coiteration either terminates in a comparable pair or cannot be continued because of ill-foundedness. Let K_i ($i < \theta$) be the iteration of \tilde{R} by corellated indices.

By Cor 5.1, $\langle K_i \rangle, \langle M_i \rangle$ is "essentially" the coiteration of \tilde{R}, O^α up to θ (we need only omit points i s.t. $\nu_i = \delta_i + 1$,

where $\delta_i = \text{On} \cap N_i$, since then neither K_i nor M_i is moved). Using the coiterability of M , it follows easily that the coiteration of M, O^2 would be continuable if it had not terminated. But this means that the coiteration of M, \tilde{K} terminates by Cor 5.7.

QED (Cor 7)

We now prove a lemma which — in view of the weak covering lemma — shows how radically the universe is altered by the presence of O^2 .

Lemma 8 (Assume that O^2 exists)

Let W be a weakel. Let β be a cardinal in W . Then $\text{cf}(\beta^{+W}) = \omega$, proof.

It suffices to prove the result for a simple iterate of W , since successors go cofinally to successors in ordinary iterations.

Coiterate W, O^2 . The iteration cannot terminate. Hence we

get W_i, N_i ($i < \omega$) with:

$$W_\infty = \bigcup_i W|v_i = \bigcup_i N|v_i ,$$

where v_i are the indices. W_∞ is a simple iterate of W by §3.1 Lemma 1.2
Hence it suffices to show:

Claim Let N be an iterate of O^2 .

Let β be a cardinal in N . Then

$$\text{cf}(\beta^+) = \omega .$$

pf.

There is a countable iterate \bar{N} of O^2 s.t. N is an iterate of \bar{N} and $\beta \in \text{rng}(\pi_{\bar{N}N})$. Let

$\pi_{\bar{N}N}(\bar{\beta}) = \beta$. Then $\bar{\beta}^{+\bar{N}}$ has cofinality ω , since \bar{N} is countable.
But $\pi_{\bar{N}N}$ takes successors co-finally to successors since we are working with ordinary ultraproducts. QED (Lemma 8)

We are now ready to prove:

Lemma 9 Let W be universal. Then W is a simple iterate of \tilde{R} .
proof.

By §3.2 it suffices to show that W is an iterate of \tilde{R} or, in other words, that the coiteration of \tilde{R}, W does not move W . But then it suffices to show that for each d , the coiteration of $\tilde{R}, W|_d$ does not move $W|_d$. If we form the canonical ω -complete weaket $\tilde{W} = W_\infty[W|_d]$ over $W|_d$, it suffices to show that the coiteration of \tilde{R}, \tilde{W} does not move \tilde{W} . Hence it suffices to show:

Claim Let W be as in the covering lemma. Then the coiteration of \tilde{R}, W does not move W .

The argument of Lemma 7 tells

we that if $\langle N_i \rangle, W$ is the coiteration of O^1, W (i.e. W is not moved) and K_i ($i < \omega$) is the iteration of \tilde{K} by corelated indices, then $\langle K_i \rangle, W$ is "essentially" the coiteration of \tilde{K}, W — i.e. W is not moved. Hence it suffices to show:

Claim The coiteration of O^1, W does not move W .

We prove this by reexamining the proof of the covering lemma.

It is enough, of course, to show that the coiteration of O^1 and an arbitrary $W \upharpoonright \gamma$ does not move $W \upharpoonright \gamma$.

Choose a singular cardinal β s.t. $\text{cf}(\beta) \geq \gamma$, δ_0^ω ; where δ_0 is as in the covering lemma.

Since $\beta + \omega < \beta^+$, the proof of the covering lemma at β must fail. Choose τ as before.

Then $\tau > \gamma$. Recall that we used γO^{\ast} to prove Lemma 1, which said that there is a club $C' \subset C$ s.t.

$f(\alpha) \cap W \notin W_\alpha$ for $\alpha \in C'$ s.t. $cf(\alpha) = \alpha_0$.

We then derived a contradiction from Lemma 1, using only the universality of W . Thus Lemma 1 must fail and there is a stationary set $S \subset C$ s.t.

$f(\alpha) \cap W \subset W_\alpha$ and $cf(\alpha) = \alpha_0$ for $\alpha \in S$. As in Lemma 1 define

ultrafilters U_α ($\alpha \in S$) s.t.

$\langle W \setminus \alpha^+, U_\alpha \rangle$ is amenable ($\alpha^+ = \sup_{\beta < \alpha} \beta^+$).

As before, U_α is ω -complete on a stationary set $S' \subset S$. Pick $\alpha \in S'$ s.t. $\alpha \geq \gamma$. We obtained

a contradiction by using γO^{\ast} to conclude that $\langle W \setminus \alpha^+, U_\alpha \rangle$ could not be an ι -mouse.

Thus we must now conclude that $N = \langle W \setminus \alpha^+, U_\alpha \rangle$ is an ι -mouse, hence an iterate of O^\ast . But then $W \setminus \alpha^+$ was

not moved in the coiteration of
 O^1 , $W\alpha^+$. QED (Lemma 9)

Cor 10 $\tilde{K} = K$

pf. Suppose not.

Then there is an α s.t. there is
a strong move N of length α
with $J_{\alpha}^{E^N} = J_{\alpha}^{E^{\tilde{K}}}$, $N \neq \tilde{K} \mid \alpha$,
and $E_{\alpha}^N \neq \emptyset$. Let w be uni-
versal with $W\alpha = N$. Coiterate
 \tilde{K}, w . Then w is moved.

Contr!

QED (Cor 10).

Open Question Is every weakly
universal word an iterate
of K ? On the assumption $T O^1$
we will show this to be the case.