

I_0 and combinatorics at λ^+

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Abstract We investigate the compatibility of I_0 with various combinatorial principles at λ^+ , which include the existence of λ^+ -Aronszajn trees, square principles at λ , the existence of good scales at λ , stationary reflections for subsets of λ^+ , diamond principles at λ and the Singular Cardinal Hypothesis at λ . We also discuss whether these principles can hold in $L(V_{\lambda+1})$.

Keywords Axiom I_0 · λ^+ -Aronszajn tree · square · weak square · stationary reflection · good scales · diamond · λ -continuum hypothesis · Generic absoluteness · λ -goodness

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1 Introduction

Axiom $I_0(\lambda)$ is the assertion that there is an elementary embedding $j : L(V_{\lambda+1}) \rightarrow L(V_{\lambda+1})$ such that $\text{crit}(j) < \lambda$. It was first proposed and studied by Woodin in the early 80's and by Laver in the 90's. For the introductory material on this axiom and its connection with other rank-into-rank axioms, we refer the readers to [14].

Although it is stronger than the existence of supercompact cardinals in consistency strength, the statement $I_0(\lambda)$ only implies the existence of $< \lambda$ -supercompact cardinals, and there are a fair number of statements that follow from supercompactness but are independent of $I_0(\lambda)$. The theme of this paper is to present some

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examples of this sort in the area of combinatorics at λ^+ . In this context, λ is an ω -limit of very strong large cardinals, for instance, limit of $<\lambda$ -supercompact cardinals.

In this paper, we consider combinatorial principles in the following list.

1. the existences of (special) λ^+ -Aronszajn tree and of λ^+ -Suslin tree; (see §2.1 and §2.2)
2. the \square_λ and the \square_λ^* principles; (see §2.1 and §2.2)
3. the existence of (good, very good) scale at λ^+ ; (see §2.3)
4. $\neg\text{SR}_{\lambda^+}$, the negation of Stationary Reflection at λ^+ ; (see §3)
5. the \diamond_{λ^+} principle; (see §4)
6. GCH at λ ; (see §4)

We are interested in the compatibility of $I_0(\lambda)$ axiom with various φ 's in the above list over the base theory $\Gamma = \text{ZFC} + I_0(\lambda)$. We ask three types of questions:

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

We categorize the results into three theorems. For the case of $\Gamma + \varphi$, we have

Theorem 1 (ZFC) *Assume $I_0(\lambda)$. Then there is a forcing poset \mathbb{P} such that in its generic extension $I_0(\lambda)$ remains true, GCH holds at λ (i.e. $2^\lambda = \lambda^+$), and there is a \square_λ -sequence $\bar{D} = \langle D_\alpha \mid \alpha < \lambda^+ \rangle$ and a stationary set $S \subseteq \{\alpha < \lambda^+ \mid \text{cf}(\alpha) > \omega\}$ such that $S \cap \lim(D_\alpha) = \emptyset$ for all $\alpha < \lambda^+$.*

As consequences, the following statements are also true in the generic extensions:

- (a) special λ^+ -Aronszajn trees exist, and equivalently, \square_λ^* ;
- (b) λ^+ -Suslin trees exist;
- (c) there is a very good scale at λ^+ ;
- (d) Stationary Reflection fails at λ^+ ;
- (e) \diamond_{λ^+} .

For the consistency of $\Gamma + \neg\varphi$, we appeal to stronger forms of I_0 -type axioms. Let $I_0^\sharp(\lambda, \alpha)$ denote the following stronger form of I_0 -type assertion: *There is an elementary embedding $j : L_\alpha(V_{\lambda+1}^\sharp, V_{\lambda+1}) \rightarrow L_\alpha(V_{\lambda+1}^\sharp, V_{\lambda+1})$ with $\text{crit}(j) < \lambda$.* And let $I_0^\sharp(\lambda)$ denote the statement without the subscript α .

Theorem 2 (ZFC)

1. Assume $I_0^\sharp(\lambda, \omega)$. Then there is $\bar{\lambda} < \lambda$ such that $I_0(\bar{\lambda})$ holds and the following statements are true in V :
 - (a) there is no $\bar{\lambda}^+$ -Aronszajn tree;
 - (b) there is no scale at $\bar{\lambda}^+$;
 - (c) Stationary Reflection holds at $\bar{\lambda}^+$.
 And consequently, \square_λ and \square_λ^* fails in V .
2. Assume $I_0^\sharp(\lambda)$ and GCH holds in V_λ . Assume that Generic Absoluteness holds for $V_{\lambda+1}^\sharp$ at some α which is $V_{\lambda+1}^\sharp$ -good and such that $\Theta_\lambda < \alpha < \Theta_\lambda^{V_{\lambda+1}^\sharp}$.¹ Then GCH fails first at λ , i.e. $2^\kappa = \kappa^+$ for $\kappa < \lambda$ but $2^\lambda = \lambda^+$.

¹ See p. 12 for relevant definitions.

Regarding the question whether φ is true in $L(V_{\lambda+1})$, we have

Theorem 3 (ZFC) *Assume $I_0(\lambda)$. Then in $L(V_{\lambda+1})$,*

- (a) *there is no λ^+ -Aronszajn tree;*
- (b) *there is no scale at λ^+ ;*
- (c) *both \square_λ and \square_λ^* fail;*
- (d) *Stationary Reflection holds at λ ;*
- (e) *\diamond_{λ^+} fails;*
- (f) *GCH fails at λ ;*
- (g) *there is no λ^+ -sequence of distinct members of $V_{\lambda+1}$.*

We are unable to answer the question regarding stationary reflection at λ^+ in $L(V_{\lambda+1})$, due to the lack of choice in this model. We include a scenario (see Theorem 13) where it could be true in $L(V_{\lambda+1})$, although it is unknown if that setting is even compatible with I_0 .

Our discussion regarding the failure of GCH at λ in V (see Theorem 17) assumes a stronger form of Generic absoluteness. To apply it, we need to show that Gitik's one-extender-based Prikry forcing is λ -good. For that we extend the idea in [21], introduce two rank notions and develop in §5 a systematic analysis on the ranks of (finite parts of) conditions in Gitik's forcing.

NOTATION. An $I_0(\lambda)$ -embedding is an embedding that witnesses $I_0(\lambda)$. We write I_0 for the statement $\exists \lambda I_0(\lambda)$. For two cardinals $\kappa < \lambda$, κ regular, we write $E_\lambda^\kappa = \{\alpha < \lambda \mid \text{cf}(\alpha) = \kappa\}$, and similarly write $E_\lambda^{>\kappa}$, $E_\lambda^{\leq \kappa}$ to denote the obvious sets. If C is a set of ordinals, we use $\text{lim}(C)$ to denote the set of limit ordinals of C .

2 λ^+ -Aronszajn tree, good scales at λ and \square_λ

A κ -tree is a tree on κ of size κ whose every level has size $< \kappa$. A κ -Aronszajn tree is a κ -tree that has no cofinal branch of length κ .

2.1 There are no λ^+ -Aronszajn trees and \square_λ -sequences in $L(V_{\lambda+1})$

Under ZFC, there is an ω_1 -Aronszajn tree, however this is not true under the axiom of determinacy. Being more precise, assuming $\text{AD}^{L(\mathbb{R})}$, there is no ω_1 -Aronszajn tree in $L(\mathbb{R})$, while it may exist in V , if AC is assumed there. In this section, we show that a similar situation occurs at λ^+ , assuming $I_0(\lambda)$.

Theorem 4 (ZFC) *Assume $I_0(\lambda)$. There is no λ^+ -Aronszajn tree in $L(V_{\lambda+1})$.*

Proof. The reason there is no λ^+ -Aronszajn tree in $L(V_{\lambda+1})$ is the same as that of the nonexistence of ω_1 -Aronszajn tree in $L(\mathbb{R})$ under $\text{AD}^{L(\mathbb{R})}$. First, note that $(\lambda^+)^V = (\lambda^+)^{L(V_{\lambda+1})}$, so a λ^+ -tree in $L(V_{\lambda+1})$ is also a λ^+ -tree in V . We show that such a tree can not be a λ^+ -Aronszajn tree.

By a theorem of Woodin (see [24], 1.B.5), $I_0(\lambda)$ implies that

$$L(V_{\lambda+1}) \models \lambda^+ \text{ is a measurable cardinal.}$$

Assume towards a contradiction that there is a λ^+ -Aronszajn tree T in $L(V_{\lambda+1})$. Let $\pi : L[T] \rightarrow M \cong \text{Ult}(L[T], \mu \cap L[T])$ be the ultrapower embedding induced by a λ^+ -complete measure μ on λ^+ . Then $\pi(T)$ is a $\pi(\lambda^+)$ -Aronszajn tree in M . Notice that $\text{crit}(\pi) = \lambda^+$ and every level of T has size $< \lambda^+$, we have $\pi(T) \upharpoonright \lambda^+ = T$. Any node at the λ^+ -th level of $\pi(T)$ is a cofinal branch of $\pi \text{``} T = T$. Thus there can be no λ^+ -Aronszajn tree in $L(V_{\lambda+1})$. \square

The same argument gives us a similar result regarding the square principle, which is due to Jensen [13].

Definition 1 Let λ be an uncountable cardinal. A \square_λ -sequence is sequence $\langle C_\alpha : \alpha < \lambda^+, \alpha \in \lim(\lambda^+) \rangle$ such that for all $\alpha < \lambda^+$,

1. $C_\alpha \subseteq \alpha$ is closed and unbounded in α ,
2. $\text{otp } C_\alpha \leq \lambda$,
3. For all $\beta \in \lim(C_\alpha)$, $C_\beta = C_\alpha \cap \beta$.

We say \square_λ holds if there exists a \square_λ -sequence.

Theorem 5 (ZFC) Assume $I_0(\lambda)$. Then $L(V_{\lambda+1}) \models \neg \square_\lambda$.

Proof. Assume not, and let $\bar{C} = \langle C_\alpha : \alpha < \lambda^+, \alpha \in \lim(\lambda^+) \rangle$ be a \square_λ -sequence in $L(V_{\lambda+1})$. Let μ be a λ^+ -complete ultrafilter that witnesses the measurability of λ^+ in $L(V_{\lambda+1})$. Let $\pi : L[\bar{C}] \rightarrow M \cong \text{Ult}(L[\bar{C}], \mu \cap L[\bar{C}])$ be the induced elementary embedding. Then $\pi(\bar{C})$ is a $\square_{\pi(\lambda^+)}$ -sequence in M . Since every C_α , $\alpha < \lambda^+$, has ordertype $\leq \lambda$ in $L[\bar{C}]$, every member of $\pi(\bar{C})$ has ordertype $\leq \pi(\lambda) = \lambda$, as $\text{crit}(\pi) = \lambda^+$. Let C_{λ^+} be the λ^+ -th element of $\pi(\bar{C})$. So $\text{otp}(C_{\lambda^+}) = \lambda$ by elementarity. But as a member of $\square_{\pi(\lambda^+)}$ -sequence, C_{λ^+} is a closed unbounded subset of λ^+ , hence $\text{otp}(C_{\lambda^+}) = \lambda^+$. This is a contradiction! \square

Remark. Note that the proof only uses items 1 and 2 in the definition of the square principle, so the same argument works for weaker versions of square principles such as $\square_{\lambda, \kappa}$ ($\kappa \leq \lambda$), the approachability property at λ^+ (see [5]) etc.

Although \square_λ implies the existence of a λ^+ -Aronszajn tree (see Exercise IV.1C and the proof of Theorem IV.2.4, [8]), this does not enable us to conclude the failure of \square_λ in $L(V_{\lambda+1})$ from Theorem 4, as the construction of a λ^+ -Aronszajn tree uses λ^+ -DC, which fails in $L(V_{\lambda+1})$.

2.2 λ^+ -Aronszajn trees and \square_λ in V

The two theorems above say that $I_0(\lambda)$ pushes λ^+ -Aronszajn trees as well as \square_λ -sequences, if exist, out of $L(V_{\lambda+1})$, but it does not necessarily eliminate their existence in V . Next we show that given the consistency of $I_0(\lambda)$ for some λ , it is possible to produce a model with both $I_0(\lambda)$ and a λ^+ -Suslin tree. A κ -Suslin tree is a κ -Aronszajn tree with no antichain of size κ . A κ^+ -tree is *special* if it can be written as a union of κ many antichains.

Theorem 6 (ZFC) Assume $I_0(\lambda)$. Then it is consistent that $I_0(\lambda)$ holds and \square_λ holds.

Proof. Let \mathbb{P}_λ denote the standard Jensen forcing for adding a \square_λ -sequence.² We claim that $I_0(\lambda)$ is preserved after forcing with \mathbb{P}_λ . The point is that this forcing is $<\lambda^+$ -strategically closed, therefore it adds no new subsets of λ , preserves cardinals and cofinalities up to λ^+ . So it does not change $V_{\lambda+1}$ and $L(V_{\lambda+1})$, hence any $I_0(\lambda)$ -embedding in V remains to witness $I_0(\lambda)$ in the generic extension. \square

Jensen introduced a weak form of square principle, often denoted \square_μ^* ,³ and showed that it is equivalent to the existence of a special μ^+ -Aronszajn tree. So immediately we have

Corollary 1 (ZFC) *Assume $I_0(\lambda)$. Then it is consistent that $I_0(\lambda)$ holds and there is a special λ^+ -Aronszajn tree.*

To produce a special λ^+ -Aronszajn tree, a \square_λ -sequence seems to be a little bit overkill. Ben-David and Magidor ([1]) showed that, assuming ZFC, if there is a cardinal κ which is κ^+ -supercompact, then it is consistent to have $\square_{\aleph_\omega}^* + \neg\square_{\aleph_\omega}$. Assume $I_0(\lambda)$, let κ be the critical point of an $I_0(\lambda)$ -embedding. Then κ is κ^+ -supercompact. It is unclear what we can say about $\square_\lambda^* + \neg\square_\lambda$.

QUESTION (ZFC). Assume $I_0(\lambda)$. Is it consistent to have $\square_\lambda^* + \neg\square_\lambda$, or the probably weaker version $\exists\gamma (\square_\gamma^* + \neg\square_\gamma)$?

The possibility of \square_λ (together with $I_0(\lambda)$) gives us an interesting scenario for $I_0(\lambda)$ -embeddings and ultrafilters on λ^+ : it is relatively consistent with ZFC + $I_0(\lambda)$ that

$$\begin{aligned} & \inf\{\text{crit}(j) \mid j \text{ is an } I_0(\lambda)\text{-embedding}\} \\ & \geq \sup\{\kappa \mid \exists\mu (\mu \text{ is an ultrafilter on } \lambda^+ \wedge \mu \text{ is } \kappa\text{-complete})\} \end{aligned}$$

Corollary 2 (ZFC) *Assume $I_0(\lambda)$ and let j be an $I_0(\lambda)$ -embedding. Then it is consistent that there is no $\text{crit}(j)$ -complete ultrafilters on λ^+ .*

Proof. Silver and Prikry (see [15]) showed that if λ is a singular cardinal, $\lambda > \kappa$ and λ^+ carries a κ -complete ultrafilter, then \square_λ fails. Let $\kappa = \text{crit}(j)$. Then by Theorem 6, it is consistent that λ^+ carries no κ -complete ultrafilters. \square

Next we prepare a theorem for showing that it is consistent to have both an $I_0(\lambda)$ -embedding and a λ^+ -Suslin tree.

Theorem 7 (ZFC) *Assume $I_0(\lambda)$. Then it is consistent that $I_0(\lambda)$ holds and there is a \square_λ -sequence $\bar{D} = \langle D_\alpha \mid \alpha < \lambda^+ \rangle$ and a $\diamond_{\lambda^+}(S)$ -sequence, where $S \subseteq E_{\lambda^+}^{>\omega}$ is stationary and such that $S \cap \lim(D_\alpha) = \emptyset$ for all $\alpha < \lambda^+$.*

Proof. For the diamond sequence, we need to apply the forcing poset \mathbb{P}_λ (in the proof of Theorem 6) over a ground model that satisfies GCH at λ , namely $2^\lambda = \lambda^+$. This is not difficult to achieve, as one can first force $2^\lambda = \lambda^+$ then force a square

² For the detail of \mathbb{P}_λ , one can read Cummings' handbook article ([6], 6.6).

³ Jensen's \square_μ -principle asserts that there exists a sequence $\langle C_\alpha : \alpha < \mu^+, \alpha \text{ limit} \rangle$ such that each C_α is a nonempty set of club subsets of α , $|C_\alpha| \leq \mu$, and for all limit $\alpha < \mu^+$, all $C \in C_\alpha$ and all $\beta \in \lim(C)$, $\text{otp}(C) \leq \mu$ and $C \cap \beta = C_\beta$.

sequence, for example, using $\mathbb{Q}_\lambda = \text{Coll}(\lambda^+, 2^\lambda) * \dot{\mathbb{P}}_\lambda$, where $\dot{\mathbb{P}}_\lambda$ is the $\text{Coll}(\lambda^+, 2^\lambda)$ -name of \mathbb{P}_λ . Note that this Levy collapse is a $<\lambda^+$ -closed forcing, so this two-step iterated forcing poset does not change $V_{\lambda+1}$ and therefore the $L(V_{\lambda+1})$ of the models before and after applying \mathbb{Q}_λ are the same, hence the same $I_0(\lambda)$ -embedding in V witnesses $I_0(\lambda)$ in the generic extension.

With a little extra work, one can show that, in the \mathbb{Q}_λ -generic extension, there are a \square_λ -sequence $\bar{D} = \langle D_\alpha \mid \alpha < \lambda^+ \rangle$ and a stationary set $S \subseteq E_{\lambda^+}^{>\omega}$ such that $S \cap \lim(D_\alpha) = \emptyset$ for all $\alpha < \lambda^+$.⁴ By a result of Shelah ([19], or Theorem 2.2 of [5]), if $2^{<\lambda} = \lambda$ and GCH holds at λ , then $\diamond_{\lambda^+}(T)$ holds for every stationary $T \subseteq E_{\lambda^+}^{>\omega}$. So we also have a $\diamond_{\lambda^+}(S)$ -sequence in the \mathbb{Q}_λ -generic extension. \square

By an argument of Jensen (see [5], 4.2), a λ^+ -Suslin tree can be constructed from a \square_λ -sequence \bar{D} and a $\diamond_{\lambda^+}(S)$ -sequence as in Theorem 7.

Corollary 3 (ZFC) *Assume $I_0(\lambda)$. Then it is consistent that $I_0(\lambda)$ holds and there is a λ^+ -Suslin tree.*

Note that in this model there are both special λ^+ -Aronszajn trees and λ^+ -Suslin trees. However, the notions of special Aronszajn tree and Suslin tree are mutually exclusive, it is natural to ask

QUESTION (ZFC + I_0). Is it possible to have a situation in which for some λ , $I_0(\lambda)$ holds and there are special λ^+ -Aronszajn trees but not λ^+ -Suslin trees, or the other way around?

Next we show that under suitable assumptions, $I_0(\lambda)$ is not compatible with the existence of λ^+ -Aronszajn trees. For that we need an I_0 theorem.

Theorem (Cramer [4], Theorem 3.9). *Assume $I_0^\sharp(\lambda, \omega)$. Then I_0 holds unboundedly often below λ , i.e. for any $\beta < \lambda$, $I_0(\bar{\lambda})$ holds at some $\bar{\lambda}$ such that $\beta < \bar{\lambda} < \lambda$.*

The theorem we state here is stronger than the original version, which states only that I_0 holds below λ . The key points are the following two basic facts in I_0 analysis: (1) For any $\beta < \lambda$, there is an $I_0(\lambda)$ embedding k such that $\beta < \text{crit}(k) < \lambda$; (2) By Martin's lemma, every $I_0(\lambda)$ embedding k has square roots with critical points arbitrarily close to $\text{crit}(k)$. Given any $\beta < \lambda$, one can run Cramer's proof (of Theorem 3.3 and 3.9, [4]) with only inverse limits of $I_0(\lambda)$ embeddings with critical points above β , the $\bar{\lambda}_j$'s for such inverse limits are all above β , and thus one can get $I_0(\bar{\lambda})$ for some $\bar{\lambda}$ such that $\beta < \bar{\lambda} < \lambda$.

By a result of Shelah (see [7] Fact 2.10), if there is a supercompact κ and λ is a cardinal such that $\text{cf}(\lambda) < \kappa < \lambda$, then \square_λ^* fails (in fact, the proof just needs κ to be λ^+ -supercompact). Let j be any $I_0(\lambda)$ -embedding and $\kappa = \text{crit}(j)$. Then κ is $<\lambda$ -supercompact. Under $I_0^\sharp(\lambda, \omega)$, by Cramer's theorem (the version above), there is a $\bar{\lambda}$ such that $\kappa < \bar{\lambda} < \lambda$ and $I_0(\bar{\lambda})$. Then κ is $\bar{\lambda}^+$ -supercompact, so we have $\square_{\bar{\lambda}}^*$ fails and that there is no special $\bar{\lambda}^+$ -Aronszajn tree. The elimination of the adjective "special" follows from an examination of Cramer's argument.

Theorem 8 (ZFC) *Assume $I_0^\sharp(\lambda, \omega)$. Then there is a $\bar{\lambda} < \lambda$ such that $I_0(\bar{\lambda})$ holds and there is no $\bar{\lambda}^+$ -Aronszajn tree.*

⁴ The argument for the existence of such \bar{D} and S can be found in [5], the paragraph prior to 4.2.

Proof. In [17], Magidor and Shelah show that if λ is a singular limit of strongly compact cardinals, then λ^+ carries no Aronszajn trees. For our purpose, it suffices to have λ being a limit of λ^+ -strongly compact cardinals. Let $\bar{\lambda}$ be as in the original version of Cramer's theorem (i.e. the case of $\beta = -1$ in the version quoted above). Then $I_0(\bar{\lambda})$ holds. In Cramer's proof of his Theorem, this $\bar{\lambda}$ is obtained via an inverse limit (J, \mathbf{j}) such that $\bar{\lambda} = \lambda_J$. Let $\mathbf{j} = \langle j_n : n < \omega \rangle$, then $\bar{\lambda} = \lim_{n < \omega} \text{crit}(j_n)$. Here each j_n is an $I_0(\lambda)$ embedding, thus each $\text{crit}(j_n)$ is a $< \lambda$ -strongly compact. Therefore $\bar{\lambda}$ is a limit of $\bar{\lambda}^+$ -strongly compact cardinals. Then by Magidor-Shelah's theorem, there is no $\bar{\lambda}^+$ -Aronszajn tree. \square

We have shown that

Corollary 4 (ZFC) *Let $\varphi(\lambda)$ be one of the following statements.*

1. *there is a \square_λ -sequence.*
2. *there is a \square_λ^* -sequence, or equivalently, there is a special λ^+ -Aronszajn tree.*
3. *there is a λ^+ -Suslin tree.*
4. *there is a λ^+ -Aronszajn tree.*

Then

- (a) *Assume $I_0(\lambda)$. There is a model in which $I_0(\lambda) + \varphi(\lambda)$ holds.*
- (b) *Assume $I_0^\sharp(\lambda, \omega)$. Then there is a $\bar{\lambda} < \lambda$ such that $I_0(\bar{\lambda}) + \neg\varphi(\bar{\lambda})$ holds.*

Contrast Corollary 4 with Solovay's theorem (see [22, 23]) regarding the incompatibility of square principle with supercompact cardinals, more precisely: If $\kappa \leq \lambda$ and κ is λ^+ -supercompact, then \square_λ fails.

2.3 Good scales at λ

Next we discuss good scales at λ . We are going to show that there is no (very) good scale at λ in $L(V_{\lambda+1})$ and to add the assertion of its existence to the list in Corollary 4. In this paper, as λ is a singular cardinal of countable cofinality, we consider only the set $\prod_{i < \omega} \kappa_i$, where $\bar{\kappa} = \langle \kappa_i : i < \omega \rangle$ is a sequence of regular cardinals such that $\lambda = \sup_{i < \omega} \kappa_i$, and the ideal I on ω that consists of all finite subsets of ω . Given $f, g \in \prod_{i < \omega} \kappa_i$, $f <_I g$ if and only if $\omega \setminus \{i \mid f(i) < g(i)\} \in I$. A *scale of length α in $\prod_{i < \omega} \kappa_i / I$* is a $<_I$ -increasing sequence $\langle f_i : i < \alpha \rangle$ in $\prod_{i < \omega} \kappa_i$ which is cofinal in $\prod_{i < \omega} \kappa_i$ under the relation $<_I$. A *scale for λ* is a pair $(\bar{\kappa}, \bar{f})$, where \bar{f} is a scale of length λ^+ in $\prod_{i < \omega} \kappa_i / I$. As λ is singular, a basic fact of PCF theory is that, there exists a scale for λ .

Definition 2 1. Suppose $(\bar{\kappa}, \bar{f})$ is a scale for λ . A point $\alpha < \lambda^+$ is *good for $(\bar{\kappa}, \bar{f})$* iff there is an $A \subset \alpha$ unbounded in α and $i < \omega$ such that

$$\forall \alpha, \beta \in A \forall j > i (\alpha < \beta \rightarrow f_\alpha(j) < f_\beta(j)).$$

2. Let $\langle g_i : i < \beta \rangle$ be a $<_I$ -increasing sequence in $\prod_{i < \omega} \kappa_i$ and $g \in \prod_{i < \omega} \kappa_i$. g is an *exact upper bound (eub)* for $\langle g_i : i < \beta \rangle$ if $g_i <_I g$ for every $i < \beta$ and for any $h \in \prod_{i < \omega} \kappa_i$, $h <_I g \rightarrow h \leq_I g_i$ for some $i < \beta$.

By Shelah's PCF theory, the set of good points in a scale for λ is a stationary subset of λ^+ . This set is determined by the sequence $\bar{\kappa}$ modulo the nonstationary ideal on λ^+ .

Definition 3 A scale $(\bar{\kappa}, \bar{f})$ for λ is *good* if except a nonstationary subset of λ^+ every point of uncountable cofinality is good for \bar{f} .

A scale $(\bar{\kappa}, \bar{f})$ for λ is *very good* if for every limit $\alpha < \lambda^+$ such that $\text{cf}(\alpha) > \omega$, there is a $C \subseteq \alpha$ club in α and an integer $m < \omega$ such that for all $n > m$, $\langle f_\beta(n) : \beta \in C \rangle$ is strictly increasing.

Theorem 9 (ZFC) *Assume $I_0(\lambda)$. There is no (good, very good) scale at λ in $L(V_{\lambda+1})$.*

Proof. It suffices to show that there is no scale at λ in $L(V_{\lambda+1})$. Suppose otherwise and let $(\bar{\kappa}, \bar{f})$ be a scale for λ in $L(V_{\lambda+1})$. Let μ be a λ^+ -complete ultrafilter that witnesses the measurability of λ^+ in $L(V_{\lambda+1})$. Let

$$\pi : L[\bar{\kappa}, \bar{f}] \rightarrow M \cong \text{Ult}(L[\bar{\kappa}, \bar{f}], \mu \cap L[\bar{\kappa}, \bar{f}])$$

be the induced elementary embedding. Since $L[\bar{\kappa}, \bar{f}] \models \forall \alpha < \beta (f_\alpha <_I f_\beta)$, by elementarity, $f_\alpha <_I \pi(\bar{f})(\lambda^+)$ in M , for every $\alpha < \lambda^+$. Since $<_I$ is absolute, that is also true in $L(V_{\lambda+1})$. But then \bar{f} is not a scale in $L(V_{\lambda+1})$. Contradiction! \square

Similar to the situation of \square_λ , we have

Theorem 10 1. *Assume $I_0(\lambda)$. Then there is a model of $\text{ZFC} + I_0(\lambda)$, in which there is a (very) good scale at λ .*

2. *Assume $I_0^\sharp(\lambda, \omega)$. Then there is a $\bar{\lambda} < \lambda$ such that $I_0(\bar{\lambda})$ holds and there is no good scale at $\bar{\lambda}$.*

Proof. 1 follows from Corollary 4-1 and a theorem of Cummings, Foreman and Magidor (see [7] Theorem 3.1): If λ is singular and $\kappa < \lambda$, then $\square_{\lambda, \kappa}$ ⁵ implies that there is a very good scale at λ . \square_λ implies $\square_{\lambda, \kappa}$, therefore in the model obtained by adding a \square_λ -sequence, there is a very good scale at λ .

For 2, we need a theorem of Shelah (see [20], or [5] Theorem 18.1): If there is a κ such that $\text{cf}(\lambda) < \kappa < \lambda$ and κ is λ^+ -supercompact, then there is no good scale at λ . By the discussion in the paragraph following Cramer's Theorem on page 6, one can arrange $I_0(\bar{\lambda})$ for some $\bar{\lambda} > \kappa = \text{crit}(j)$, but κ is $< \lambda$ -supercompact, in particular $\bar{\lambda}^+$ -supercompact, therefore, there is no good scale at $\bar{\lambda}$. \square

Corollary 5 (ZFC) *The assertion that “there is a (very) good scale at λ ” can be added to the list in Corollary 4.*

3 Stationary reflection at λ^+

Let κ be an uncountable regular cardinal. Let S be a stationary subset of κ . S *reflects at α* if $\alpha < \kappa$, $\text{cf}(\alpha) > \omega$ and $S \cap \alpha$ is stationary in α . *Stationary Reflection Principle for T* , where $T \subseteq \kappa$ is stationary, says that for every stationary $S \subseteq T$, S reflects at some $\alpha < \kappa$.

In this section, we show that I_0 is compatible with either side of the Stationary Reflection Principle. Let SR_{λ^+} denote the Stationary Reflection Principle for λ^+ .

⁵ The definition of $\square_{\lambda, \kappa}$ is irrelevant to our proof, we refer the reader to Cummings [5] for details.

Theorem 11 (ZFC) *Assume $I_0^\sharp(\lambda, \omega)$. Then there is a $\bar{\lambda} < \lambda$ such that $I_0(\bar{\lambda})$ holds and $\text{SR}_{\bar{\lambda}^+}$ is true.*

Proof. As before (see page 6, after Cramer’s Theorem), this hypothesis yields $\kappa, \bar{\lambda}$ such that $\kappa < \bar{\lambda} < \lambda$ and κ is $\bar{\lambda}^+$ -supercompact. Then it follows from the standard argument that the Stationary Reflection Principle for $\bar{\lambda}^+$ is true: Fix a stationary $S \subseteq \bar{\lambda}^+$. Let $\pi : V \rightarrow M$ be an embedding witnessing the $\bar{\lambda}^+$ -supercompactness of κ . We claim that

CLAIM. $\pi^{\text{``}}S$ is a stationary subset of $\gamma = \sup \pi^{\text{``}}S = \sup \pi^{\text{``}}\bar{\lambda}^+$ in M .

Let C be a closed and unbounded subset of γ in M . Since $\pi^{\text{``}}\bar{\lambda}^+$ is κ -closed, i.e. closed under supremum of $< \kappa$ -sequences, $\pi^{\text{``}}\bar{\lambda}^+ \cap C$ is a κ -closed and unbounded subset of γ . Pull it back, $D = \pi^{-1}(\pi^{\text{``}}\bar{\lambda}^+ \cap C)$ is a κ -closed and unbounded subset of λ^+ . Then we have $S \cap D \neq \emptyset$. And then $\pi^{\text{``}}S \cap C \neq \emptyset$. Thus $\pi^{\text{``}}S$ is stationary in γ .

Since $\pi^{\text{``}}S \subseteq \pi(S) \cap \gamma$, we have

$$M \models \exists \gamma < \pi(\bar{\lambda}^+) (\pi(S) \text{ reflects at } \gamma).$$

By elementarity, $V \models S$ reflects at some $\alpha < \bar{\lambda}^+$. □

It is well known that \square_κ implies that the Stationary Reflection Principle fails for every stationary $T \subseteq \kappa^+$ ([7], Theorem 1). So one can obtain the failure of $\text{SR}_{\bar{\lambda}^+}$ by forcing a square sequence. As discussed in the proof of Theorem 7, that forcing is $< \lambda^+$ -strategically closed, it preserves $I_0(\lambda)$, therefore we have both $I_0(\lambda)$ and $\neg \text{SR}_{\bar{\lambda}^+}$ in the generic extension. One can also force directly a non-reflecting stationary subset of λ^+ . One can find such a forcing in Cummings’ handbook article [6], 6.5. That forcing is λ^+ -strategically closed, therefore adds no new subsets of λ . Thus in $V[G]$, we also have both $I_0(\lambda)$ and $\neg \text{SR}_{\bar{\lambda}^+}$.

Theorem 12 (ZFC) *Assume $I_0(\lambda)$ is consistent. Then so is $I_0(\lambda) + \neg \text{SR}_{\lambda^+}$.*

Corollary 6 (ZFC) *The assertion SR_{λ^+} can be added to the list in Corollary 4.*

The question left is that

- Assuming $I_0(\lambda)$, is it true that $L(V_{\lambda+1}) \models \text{SR}_{\lambda^+}$?

Our first attempt is to try the trick we did in the proofs for the nonexistence of λ^+ -Aronszajn tree (see Theorem 4) and of \square_λ -sequences (see Theorem 5) in $L(V_{\lambda+1})$. However, the SR_{λ^+} case is subtle. Its negation is the following statement

$$\exists S \notin \mathcal{I}_{\lambda^+} \forall \alpha \in E_{\lambda^+}^{>\omega} \exists C_\alpha (C_\alpha \text{ is club in } \alpha \wedge S \cap \alpha \cap C_\alpha = \emptyset).$$

Here \mathcal{I}_{λ^+} denote the nonstationary ideal on λ^+ and $E_{\lambda^+}^{>\omega}$ denote the set of ordinals $< \lambda^+$ with uncountable cofinalities. For each such α , let \mathcal{C}_α be the collection of clubs C in α such that $S \cap C \cap \alpha = \emptyset$. We would like to take the ultrapower of the structure $L[\langle \mathcal{C}_\alpha : \alpha < \lambda^+ \rangle, S]$ by a measure on λ^+ . The problem is that Los theorem fails for the ultrapower. In particular, we are not able to show that, letting i be the ultrapower map and $\langle \mathcal{D}_\beta : \beta < i(\lambda^+) \rangle = i(\langle \mathcal{C}_\alpha : \alpha < \lambda^+ \rangle)$, for each $\beta < i(\lambda^+)$, $\mathcal{D}_\beta \neq \emptyset$. Also, since λ^+ -DC fails in $L(V_{\lambda+1})$, we are unable to choose, for each $\alpha < \lambda^+$, a $C_\alpha \in \mathcal{C}_\alpha$ and consider the ZFC model $L[\langle C_\alpha : \alpha < \lambda^+ \rangle, S]$.

We also considered the function $\alpha \mapsto \alpha \setminus S$. Since S reflects nowhere, for each $\alpha \in E_{\lambda^+}^{>\omega}$, $\alpha \setminus S$ contains a closed unbounded subset of α . If $E_{\lambda^+}^{<\omega} \in \mu$, then $\lambda^+ \setminus S = [\alpha \mapsto \alpha \setminus S]_\mu$. By elementarity, $\lambda^+ \setminus S$ contains a closed unbounded subset of λ^+ . S is a stationary subset of λ^+ in V and thus stationary in $M \cong \text{Ult}(L[S], \mu \cap L[S])$, so $S \cap (\lambda^+ \setminus S) \neq \emptyset$. This would be a contradiction! But unfortunately μ concentrates on $E_{\lambda^+}^\omega$, this argument does not work.

We will obtain stationary reflection in $L(V_{\lambda+1})$ from a slightly stronger principle, which unfortunately is not yet known to be consistent relative to $I_0(\lambda)$.

Theorem 13 (ZFC) *Assume $L(V_{\lambda+1}) \models \lambda^+$ is $V_{\lambda+1}$ -supercompact⁶. Then SR_{λ^+} holds in $L(V_{\lambda+1})$.*

Proof. Work in $L(V_{\lambda+1})$. Fix a measure μ witnessing that λ^+ is $V_{\lambda+1}$ -supercompact. For each $\sigma \in \mathcal{P}_{\lambda^+}(V_{\lambda+1})$, let $M_\sigma = \text{HOD}_{\sigma \cup \{\sigma\}}$ and let $M = \prod_\sigma M_\sigma / \mu$ be the μ -ultraproduct of the structures M_σ 's.

CLAIM. Los theorem holds for this ultraproduct.

Proof of Claim. The proof is by induction on the complexity of formulas. It's enough to show the following. Suppose $\varphi(x, y)$ is a formula such that the claim holds for φ and f is a function such that $\{\sigma \mid M_\sigma \models \exists x \varphi[x, f(\sigma)]\} \in \mu$. We show that $M \models \exists x \varphi[x, [f]_\mu]$.

Let $g(\sigma) = \{x \in \sigma \mid (\exists y \in \text{OD}(x))(M_\sigma \models \varphi[y, f(\sigma)])\}$. Then $\{\sigma \mid g(\sigma) \text{ is a non-empty subset of } \sigma\} \in \mu$. By normality of μ , there is a fixed x such that $\{\sigma : x \in g(\sigma)\} \in \mu$. Hence we can define $h(\sigma)$ to be the least y in $\text{OD}(x)$ such that $M_\sigma \models \varphi[y, f(\sigma)]$. It's easy to see then that $M \models \varphi[[h]_\mu, [f]_\mu]$. \dashv

For each x , let c_x be the constant function $f : \mathcal{P}_{\lambda^+}(V_{\lambda+1}) \rightarrow \{x\}$. By λ^+ -completeness, it is easy to see that for each $\alpha < \lambda^+$, $\alpha = [c_\alpha]_\mu$. Also for each set x , there is some $a \in V_{\lambda+1}$ such that x is $\text{OD}(a)$. In particular, if x is a set of ordinals, by fineness of μ , $\{\sigma \mid x \in M_\sigma\} \in \mu$. Also if $A \subseteq V_{\lambda+1}$, then $A \in \text{HOD}[\tau]$ for some $\tau \in V_{\lambda+1}$, and by the fineness of μ , we have $\{\sigma \mid A \cap \sigma \in M_\sigma\} \in \mu$; also by the normality of μ , $A = [\sigma \mapsto A \cap \sigma]_\mu$. By Los theorem, these imply that $A \in M$. In particular, $V_{\lambda+1} \in M$.

Now let $S \subseteq \lambda^+$ be stationary and $S^* = [c_S]_\mu$. By the previous paragraph, in M , $S^* \cap \lambda^+ = S$ (note that $(\lambda^+)^M = \lambda^+$ because $V_{\lambda+1} \in M$) and hence $S^* \cap \lambda^+$ is stationary in M . By Los,

$$\{\sigma \mid \exists \alpha < \lambda^+ M_\sigma \models S \cap \alpha \text{ is stationary}\} \in \mu.$$

By normality of μ , there is some $\alpha < \lambda^+$ such that

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

Now we claim that $S \cap \alpha$ is stationary. Let $C \cap \alpha$ be club in α . By the discussion above, $\{\sigma \mid C \in M_\sigma\} \in \mu$. Fix σ such that $C \in M_\sigma$ and $M_\sigma \models "S \cap \alpha \text{ is stationary}"$. Now in M_σ , C is club in α , so $C \cap S \cap \alpha \neq \emptyset$. This shows $S \cap \alpha$ is stationary. \square

⁶ This means there is a fine, normal, λ^+ -complete measure μ on $\mathcal{P}_{\lambda^+}(V_{\lambda+1})$. Fineness and completeness have standard meanings. In the context where full AC does not hold, normality is defined as follows: suppose $F : \mathcal{P}_{\lambda^+}(V_{\lambda+1}) \rightarrow \mathcal{P}_{\lambda^+}(V_{\lambda+1})$ is such that $\{\sigma : F(\sigma) \subseteq \sigma \wedge F(\sigma) \neq \emptyset\} \in \mu$, then there is some x such that $\{\sigma : x \in F(\sigma)\} \in \mu$

Remark. The proof above works also if we are in a model M of the form $L(V_{\lambda+1})[\mu]$ and $M \models \mu$ is a normal, fine, λ^+ -complete measure on $\mathcal{P}_{\lambda^+}(V_{\lambda+1})$. We are optimistic that such a model can be constructed from $I_0(\lambda)$ or from its strengthenings.

4 Diamond and GCH at λ

First of all, assuming I_0 , no matter whether \diamond_{λ^+} is true or not in the universe, diamond sequence can not exist in $L(V_{\lambda+1})$.

Theorem 14 (ZFC) *Assume $I_0(\lambda)$. Then in $L(V_{\lambda+1})$, $2^\lambda \neq \lambda^+$ and \diamond_{λ^+} fails.*

Proof. It is a ZF theorem that \diamond_{λ^+} yields an injective function from $\mathcal{P}(\lambda)$ into λ^+ . The inverse of this injective function gives a λ^+ -sequence of distinct subsets of λ . So we have $L(V_{\lambda+1}) \models \diamond_{\lambda^+} \rightarrow (2^\lambda = \lambda^+)$. But $2^\lambda = \lambda^+$ implies that $V_{\lambda+1}$ is wellorderable in $L(V_{\lambda+1})$, this contradicts the fact that $L(V_{\lambda+1}) \models \neg\text{AC}$. \square

This proof utilizes the fact that GCH at λ leads to the violation of the fact that $L(V_{\lambda+1})$ is not a full choice model. Here we give another proof, which shows that both \diamond_{λ^+} and GCH at λ violates a weaker statement in $L(V_{\lambda+1})$. It is the following analog of the AD-fact that there is no ω_1 -sequence of distinct reals.

Theorem 15 (ZFC) *Assume $I_0(\lambda)$. Then there is no λ^+ -sequence of distinct members of $\mathcal{P}(\lambda)$ in $L(V_{\lambda+1})$.*

Proof. The key point again is that λ^+ is measurable in $L(V_{\lambda+1})$. Suppose $X = \langle x_\alpha : \alpha < \lambda^+ \rangle$ is a sequence of distinct subsets of λ . Let

$$\pi : L[X] \rightarrow M \cong \text{Ult}(L[X], \mu \cap L[X])$$

be the ultrapower embedding induced by a λ^+ -complete measure μ on λ^+ . Then in M , $\pi(X)$ is a $\pi(\lambda^+)$ -sequence of distinct subsets of λ . Every member of $\pi(X)$ is represented by a function $\lambda^+ \rightarrow \{x_\alpha \mid \alpha < \lambda^+\}$ in V , in particular, let $[f]$ be the λ^+ -th element of $\pi(X)$.

CLAIM. f is constant on a measure one subset $A \subset \lambda^+$.

Proof of Claim. For each $\beta < \lambda$, there is a unique $i_\beta \in \{0, 1\}$ such that

$$A_\beta^{i_\beta} = \{\alpha < \lambda^+ \mid f(\alpha)(\beta) = i_\beta\}$$

is a measure one subset of λ^+ . By λ^+ -completeness, the set $A = \bigcap \{A_\beta^{i_\beta} \mid \beta < \lambda\}$ has measure one. Therefore for every $\alpha \in A$, $f(\alpha)(\beta) = i_\beta$. \dashv

This means that $[f]$ equals to x_α for some $\alpha < \lambda^+$, contradicting to the assumption that members of $\pi(X)$ are all distinct. \square

Remark. $\mathcal{P}(\lambda)$ in the above theorem can be replaced by $V_{\lambda+1}$ (using a well ordering of V_λ of length λ), but not by $H(\lambda^+)$ (as $\lambda^+ \subset H(\lambda^+)$ gives a counter example).

This theorem effectively rules out $2^\lambda \geq \lambda^+$ in $L(V_{\lambda+1})$, thus gives a more direct reason why \diamond_{λ^+} and GCH at λ fail in $L(V_{\lambda+1})$.

As we have discussed earlier (see the proof of Theorem 7), one can easily obtain \diamond_{λ^+} by forcing $2^\lambda = \lambda^+$ (using Levy collapse $\text{Coll}(\lambda^+, 2^\lambda)$) without adding bounded subsets of λ , therefore preserves $2^{<\lambda} = \lambda$ and $I_0(\lambda)$. Thus we have

Theorem 16 (ZFC) *Assume I_0 is consistent. Then the following are consistent*

1. $\exists \lambda(I_0(\lambda) + \diamond_{\lambda^+})$,
2. $\exists \lambda(I_0(\lambda) + 2^\lambda = \lambda^+)$.

Regarding GCH, Dimonte–Friedman ([9] Corollary 3.9) sketches an argument that it is relatively consistent with I_0 that GCH fails, in particular at λ . However, there are flaws in that argument. We will remark on this after proving our next theorem. Here we show the compatibility of $I_0(\lambda)$ with the first failure of GCH at λ , and consequently with $\neg \diamond_{\lambda^+}$, from a stronger form of I_0 -type axiom and a strong generic absoluteness assumption. A few definitions.

Definition 4 Suppose $X \subseteq V_{\lambda+1}$.

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

Definition 5 Assume $j : L(X, V_{\lambda+1}) \rightarrow L(X, V_{\lambda+1})$ is a proper elementary embedding and $\text{crit}(j) < \lambda$. Let $(M_\omega, j_{0,\omega})$ be the ω -iterate of $(L(X, V_{\lambda+1}), j)$. Suppose $\alpha < \Theta_\lambda^X$ and α is X-good. We say that *Generic Absoluteness holds for X at α* if the following proposition holds:

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

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

The details of the definition of “proper” I_0 embedding is not important here, the key point is that if an I_0 embedding is proper then it is iterable (see [25], Lemma 17, page 136). We refer the readers to Woodin’s monograph [25] for relevant terminology and basic I_0 theory. Recent works by S. Cramer [2, 3] suggest that the Generic Absoluteness hypothesis in the following theorem is redundant, but at the moment, we do not see how to make do without it.

Theorem 17 (ZFC) *Assume $I_0^\sharp(\lambda)$ and GCH holds in V_λ . Assume that Generic Absoluteness holds for $V_{\lambda+1}^\sharp$ at some α which is $V_{\lambda+1}^\sharp$ -good and such that $\Theta_\lambda < \alpha < \Theta_\lambda^{V_{\lambda+1}^\sharp}$. Then GCH fails first at λ , i.e. $2^\kappa = \kappa^+$ for all $\kappa < \lambda$ but $2^\lambda = \lambda^+$. As a consequence, \diamond_{λ^+} fails.*

Proof. Let M_ω be the ω -iterate of $L(V_{\lambda+1}^\sharp, V_{\lambda+1})$ by j . Then by elementarity, $\lambda = j_{0,\omega}(\text{crit}(j))$ is $< j_{0,\omega}(\lambda)$ -strong in M_ω and GCH holds in $j_{0,\omega}(V_\lambda)$. Pick an $\eta \in [\lambda^{++}, j_{0,\omega}(\lambda))$. Let $\mathbb{P} = \mathbb{P}_{\lambda,\eta}$ be Gitik’s one-extender-based Prikry forcing (with a single extender) that changes the cofinality of λ to ω and adds η many cofinal ω -sequence in λ (see [11]). The key is to show that \mathbb{P} is λ -good in M_ω , as this implies that there are M_ω -generic filters in V (see [21] Proposition 3.20 or [25] page 405). The next section is devoted to verifying this matter.

Let $G \subseteq \mathbb{P}$ be an M_ω -generic filter in V . Then $2^\lambda = \eta$ holds in $M_\omega[G]$. As $\Theta_\lambda < \alpha$, $j \upharpoonright L_{\Theta_\lambda}(V_{\lambda+1}) \in L_\alpha(V_{\lambda+1}^\sharp, V_{\lambda+1})$.⁷ By Generic Absoluteness for $V_{\lambda+1}^\sharp$ at α , there is an $\alpha' \leq \alpha$ and an $X' \subseteq V_{\lambda+1}$ such that

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

⁷ See [16], Theorem 3(ii).

By the definability of sharp, $X' = (M_\omega[G] \cap V_{\lambda+1})^\sharp$. Since $j \upharpoonright L_{\Theta_\lambda}(V_{\lambda+1})$ is in $L_\alpha(V_{\lambda+1}^\sharp, V_{\lambda+1})$, there is a

$$j' \in L_{\alpha'}((M_\omega[G] \cap V_{\lambda+1})^\sharp, M_\omega[G] \cap V_{\lambda+1})$$

such that $\text{dom}(j') = L_{\Theta'}(M_\omega[G] \cap V_{\lambda+1})$, where Θ' is the Θ_λ computed in $L(M_\omega[G] \cap V_{\lambda+1})$, and such that the $L(M_\omega[G] \cap V_{\lambda+1})$ -ultrafilter $\mu_{j'}$ given by $X \in \mu_{j'}$ iff $j' \upharpoonright V_\lambda \in j'(X)$ induces an elementary embedding of $L(M_\omega[G] \cap V_{\lambda+1})$ into itself. This gives us $I_0(\lambda)$ in $M_\omega[G]$.

There is a little wrinkle: it is not clear that $M_\omega[G]$ is a choice model. Notice that as the ω -iterate of $L(V_{\lambda+1})$, $M_\omega = L(j_{0,\omega}(V_{\lambda+1})) = L((V_{\lambda+1})^M)$, where $\lambda_\omega = j_{0,\omega}(\lambda)$. By elementarity, M_ω satisfies $<\lambda_\omega^+$ -DC, so $M_\omega[G]$ has a well ordering of its V_{λ_ω} (not $V_{\lambda_\omega+1}$!). Denote that well ordering as A . Note that in $M_\omega[G]$, the $I_0(\lambda)$ -embedding and the witness for the first failure of GCH (at λ) are both in V_{λ_ω} , so in $L(V_{\lambda_\omega}, A)^{M_\omega[G]}$, $I_0(\lambda)$ and the first failure of GCH (at λ) remains, and in addition AC holds. \square

A few remarks

1. The GCH assumption in the theorem is not essential. Suppose $j : L(V_{\lambda+1}^\sharp, V_{\lambda+1}) \rightarrow L(V_{\lambda+1}^\sharp, V_{\lambda+1})$ is a proper elementary embedding with $\text{crit}(j) < \lambda$. Relativize Dimonte-Friedman argument (see [9]) for $L(V_{\lambda+1})$, then there is a poset \mathbb{P} (backward Easton forcing up to λ) such that in its generic extension $V[H]$, j can be lifted to $L(V_{\lambda+1}^\sharp, V_{\lambda+1})[H]$ and GCH holds in V_λ . According to Dimonte-Friedman ([9]), this poset is above ω , so we have

$$L(V_{\lambda+1}^\sharp, V_{\lambda+1})[H] = L(V[H]_{\lambda+1}^\sharp, V[H]_{\lambda+1}).$$

Moreover, this poset is λ^+ -c.c. and is definable in

$$N = L_{\alpha'}((M_\omega[G] \cap V_{\lambda+1})^\sharp, M_\omega[G] \cap V_{\lambda+1}).$$

Notice that N and V agree on V_λ and the elementary embedding witnessing Generic Absoluteness for $V_{\lambda+1}^\sharp$ (at α), let us call it π , has critical point $\geq (\lambda^+)^N$.

Thus π can be lifted to a $\bar{\pi} : N[H_0] \rightarrow L_\alpha(V[H]_{\lambda+1}^\sharp, V[H]_{\lambda+1})$. Again

$$N[H_0] = L_{\alpha'}((M_\omega[G][H_0] \cap V[H]_{\lambda+1})^\sharp, M_\omega[G][H_0] \cap V[H]_{\lambda+1}).$$

Therefore the generic absoluteness assumption is also preserved by \mathbb{P} .

2. We pointed out earlier that there are some issues with the argument Dimonte-Friedman sketched for the compatibility of I_0 with the failure of GCH at λ ([9], Corollary 3.9). To be more specific, one is that it is not clear why $j \upharpoonright L_\alpha(V_{\lambda+1})$ falls in the range of π , and then it would make no sense to talk about $\pi^{-1}(j \upharpoonright L_\alpha(V_{\lambda+1}))$. The second issue is more serious: the hypothesis of their corollary, that generic absoluteness holds for all $\alpha < \Theta$, is not enough to ensure that $\pi^{-1}(j \upharpoonright L_\alpha(V_{\lambda+1}))$, $\alpha < \Theta$, can be pieced together to form j^* . It is unclear why (the union of) the sequence $\langle \pi^{-1}(j \upharpoonright L_\alpha(V_{\lambda+1})) : \alpha < \Theta \rangle$ is in the domain of π . The anonymous reviewer points out that even if one tries to repair the first issue by taking an elementary embedding k such $k \upharpoonright L_\alpha(V_{\lambda+1})$ is in the range, using elementarity, the problem of how to piece together all the k 's remains.

3. However, the current status of generic absoluteness is only up to $L_\delta(V_{\lambda+1})$, where δ is least such that $L_\delta(V_{\lambda+1}) < L(V_{\lambda+1})$, which is due to Cramer [2]. It is not clear at this point if generic absoluteness assumption in the hypothesis of our theorem follows from the existence of an elementary embedding $j : L(V_{\lambda+1}^\sharp, V_{\lambda+1}) \rightarrow L(V_{\lambda+1}^\sharp, V_{\lambda+1})$ with $\text{crit}(j) < \lambda$.

4. After we proved the λ -goodness of Gitik's forcing (see §5), we were pointed out that one could use Merimovich's \mathbb{P}_E (see §3 of [18]) instead of \mathbb{P} in the above proof, and the λ -goodness of \mathbb{P}_E follows easily from Lemma 3.25 of [18]. However, we stick to our choice here, the purpose is two-folded. One is that we have found no written account of the proof of the analog of Lemma 3.25 of [18] for Gitik's forcing,⁸ and two we would like to promote the rank analysis for the Prikry-type forcings. Some simple applications of the rank analysis can be found in §3.4 of [21].

5 The one-extender-based Prikry forcing is λ -good

5.1 Preliminaries on λ -good forcings

In order to apply the Generic Absoluteness Theorem, we need to ensure that their generics exist in V . For that, we use a notion of λ -goodness for posets due to Woodin (see [25]).

Definition 6 Let λ be an infinite cardinal. We say a partially ordered set \mathbb{P} is λ -good (in V) if it adds no bounded subsets of λ and for every generic filter G and for every $A \subset \text{Ord}$ in $V[G]$ and of size $< \lambda$, there is a non- \subset -decreasing ω -sequence $\langle A_i : i < \omega \rangle$ such that $A = \bigcup_i A_i$ and each A_i , $i < \omega$, is in V .

Below is a relativized version of Proposition 3.8 of [21], which asserts that generics for forcings that are λ -good in the ω -th iterate exist in V .

Proposition. *Assume that $j : L(X, V_{\lambda+1}) \rightarrow L(X, V_{\lambda+1})$ is a proper elementary embedding with critical point $< \lambda$. Let $(M_\omega, j_{0,\omega})$ be the ω -iterate of $(L(X, V_{\lambda+1}), j)$. Suppose $\mathbb{P} \in j_{0,\omega}(V_\lambda)$ and \mathbb{P} is λ -good in M_ω . Then there exists $G \subseteq \mathbb{P}$ in V such that G is M_ω -generic.*

Here we are only interested in the case that $X = V_{\lambda+1}^\sharp$. A useful sufficient condition for showing λ -goodness is as follows (see [21]): For all

$$\mathcal{D} \subseteq \{D \subseteq \mathbb{P} \mid D \text{ is open dense in } \mathbb{P}\}$$

such that $|\mathcal{D}| < \lambda$, for any $p \in \mathbb{P}$, there are $p^\circ \leq_{\mathbb{P}} p$ and a nondecreasing sequence $\langle \mathcal{D}_{p,i} : i < \omega \rangle$ of subsets of \mathcal{D} such that the following hold

1. $\mathcal{D} = \bigcup \{ \mathcal{D}_{p,i} \mid i < \omega \}$,
2. for all $i < \omega$ such that $\mathcal{D}_{p,i} \neq \emptyset$, $\bigcap \mathcal{D}_{p,i}$ is dense below p° , i.e. for any $r \leq_{\mathbb{P}} p^\circ$, there exists $r' \leq_{\mathbb{P}} r$ such that $r' \in D$ for every $D \in \mathcal{D}_{p,i}$.

⁸ The anonymous reviewer points out that λ -goodness of Gitik's forcing was recently also studied by Dimonte-Wu ([10], Proposition 4.8). But necessary details are missing in Dimonte-Wu paper, it is worth to go through here in full details.

5.2 Gitik's one extender-based Prikry forcing

Now we describe Gitik's one-extender-based Prikry forcing and show that it is λ -good. The definitions in the next two pages are taken from §3 of Gitik's handbook article ([11]).⁹ However we keep it minimal as far as it is necessary for our later arguments, for further details regarding this forcing, we refer the readers to Gitik's article.

Let λ, δ be two cardinals such that δ is a strong limit cardinal above λ and λ is $<\delta$ -strong. We assume that GCH holds up to δ . Let η be a cardinal $\geq \lambda^{++}$. Then there is a (λ, η) -extender E and a function $f : \lambda \rightarrow \lambda$ such that $j(f)(\eta) = \lambda$, where j is the elementary embedding corresponded to E . For every $\alpha \in [\lambda, \eta)$, define a λ -complete ultrafilter U_α as follows: for $X \subseteq \lambda$,

$$X \in U_\alpha \quad \text{iff} \quad \alpha \in j(X).$$

Clearly, each U_α , $\alpha \in [\lambda, \eta)$, is normal. A relevant property is that they are P -point ultrafilters, i.e. for every $f : \lambda \rightarrow \lambda$, if f is not constant modulo U_α , then there is a $Y \in U_\alpha$ such that for every $\nu < \lambda$, $|Y \cap f^{-1}\{\nu\}| < \lambda$.

The binary relation \leq_E defined below is a partial order on $[\lambda, \eta)$:

$$\alpha \leq_E \beta \quad \text{iff} \quad \alpha \leq \beta \wedge j_E(f)(\beta) = \alpha \text{ for some } f : \lambda \rightarrow \lambda.$$

$([\lambda, \eta), \leq_E)$ is a λ^{++} -directed and $\lambda \leq_E \alpha$ for every $\alpha \in [\lambda, \eta)$. There is a system of mappings $\pi_{\beta, \alpha} : \lambda \rightarrow \lambda$, for $\alpha, \beta \in [\lambda, \eta)$ such that $\alpha \leq_E \beta$, with the following properties:¹⁰

1. $\langle U_\alpha, \pi_{\beta, \alpha} : \lambda \leq \alpha \leq_E \beta < \eta \rangle$ is a \leq_{RK} -commutative system of λ -complete ultrafilters, i.e.

$$\alpha \leq_E \beta \quad \text{iff} \quad \forall X \subseteq \lambda (X \in U_\alpha \leftrightarrow \pi_{\beta, \alpha}^{-1}(X) \in U_\beta).$$

2. There is a set \bar{X} such that $\bar{X} \in U_\alpha$ and $\pi_{\alpha, \alpha} \upharpoonright \bar{X} = \text{identity}$, for every $\alpha \in [\lambda, \eta)$.
3. For every $\alpha, \beta, \gamma \in [\lambda, \eta)$ such that $\gamma \leq_E \beta \leq_E \alpha$, $\pi_{\alpha, \gamma}$ agrees with $\pi_{\alpha, \beta} \circ \pi_{\beta, \gamma}$ on a set $Y \in U_\alpha$.
4. For every $\alpha, \beta, \gamma \in [\lambda, \eta)$, if $\alpha, \beta \leq_E \gamma$ and $\alpha < \beta$, then

$$\{\nu \in \lambda \mid \pi_{\gamma, \alpha}(\nu) < \pi_{\gamma, \beta}(\nu)\} \in U_\gamma.$$

5. For $\alpha, \beta \in [\lambda, \eta)$, if $\alpha \leq_E \beta$, then $\pi_{\beta, \lambda}(\nu) = \pi_{\alpha, \lambda}(\pi_{\beta, \alpha}(\nu))$ for all $\nu \in \lambda$.
6. For every $\alpha, \beta \in [\lambda, \eta)$, $\pi_{\alpha, \lambda}(\nu) = \pi_{\beta, \lambda}(\nu)$ for all $\nu \in \lambda$.

For $\nu \in \bar{X}$, let $\nu^* = \pi_{\alpha, \lambda}(\nu)$ for some (or equivalently, for all) $\alpha \in [\lambda, \eta)$. Then the following *weak normality* holds for U_α , $\alpha \in [\lambda, \eta)$:

7. If $X_i \in U_\alpha$ for $i < \lambda$, then

$$\Delta_{i < \lambda}^* X_i =_{\text{def}} \{\nu \mid \forall i < \nu^* (\nu \in X_i)\} \in U_\alpha.$$

⁹ Some small modifications are made for the sake of the proof of λ -goodness.

¹⁰ These properties and an example of such a system can be found in Gitik [12, 11].

We say that a sequence $\langle \nu_i : i \leq n \rangle$, where $n > 0$ and each $\nu_i < \lambda$, is **-increasing* if $\nu_0^* < \nu_1^* < \dots < \nu_n^*$, and an ordinal $\nu < \lambda$ is *permitted* for $\langle \nu_i : i < k \rangle$ if $\nu^* > \nu_i^*$ for all $i < k$. A very important fact about members of U_α , $\alpha \in [\lambda, \eta)$, is that if $X \in U_\alpha$, then for every $\nu_0, \nu_1 \in X$ such that $\nu_0^* < \nu_1^*$, $|\{\nu \in X \mid \nu^* < \nu_0^*\}| < \nu_1^*$.

Let (Ξ, \sqsubseteq) denote the tree of all finite *-increasing sequences of ordinals in λ , ordered by end-extension. Let f be any one of $\pi_{\beta, \alpha}$, $\alpha \leq_E \beta$. By property 5 and 6 on page 15, f preserves the *-value, namely $(f(\nu))^* = \nu^*$ for $\nu \in \lambda$. Thus such f induces a length-preserving homomorphism of Ξ into itself. Abusing the notation, we use f for the induced homomorphism as well. Below is a frequently used fact about these f 's:

Fact 51. *Let $f = \pi_{\beta, \alpha}$ for some $\alpha \leq_E \beta$. Suppose $T_\alpha \subseteq \Xi$ is a U_α -tree and $T_\beta \subseteq \Xi$ is a U_β -tree. Then $T_\alpha \cap f^{-1}T_\beta$ is a U_α -tree and $T_\beta \cap f(T_\alpha)$ is a U_β -tree.*

Now we define the extender-based Prikry-like forcing $\mathbb{P}_{\lambda, \eta}$ that changes the cofinality of λ to ω and at the same time adds η many ω -sequences of ordinals that are cofinal in λ .

Definition 7 A condition $p \in \mathbb{P}_{\lambda, \eta}$ is of the form

$$\{\langle \gamma, p^\gamma \mid \gamma \in g \setminus \{\max(g)\}\} \cup \{\langle \max(g), p^{\max(g)}, T \rangle\},$$

where

1. $g \subset [\lambda, \eta)$ has cardinality $\leq \lambda$, $\lambda \in g$ and g has a \leq_E -maximal element. Denote g by $\text{supp}(p)$, $\max(g)$ by $\text{mc}(p)$, T by T^p , and $p^{\max(g)}$ by p^{mc} .
2. $p^\gamma \in \Xi$, for every $\gamma \in g$.
3. $T \subseteq \Xi$ is a subtree with trunk p^{mc} . All splitting nodes of T are required to be in $U_{\text{mc}(p)}$, i.e. for every $t \in T$ such that $t \geq_T p^{\text{mc}}$,

$$\text{succ}_T(t) =_{\text{def}} \{\nu < \lambda \mid \sigma \hat{\ } \nu \in T\} \in U_{\text{mc}(p)},$$

and further that $t_1 \geq_T t_2 \geq_T p^{\text{mc}} \Rightarrow \text{succ}_T(t_1) \subseteq \text{succ}_T(t_2)$.

4. For every $\gamma \in \text{supp}(p) \cap \text{mc}(p)$, $\max(p^{\text{mc}})$ is not permitted for p^γ .
5. For every $\nu \in \text{succ}_T(p^{\text{mc}})$,

$$|\{\gamma \in g \mid \nu \text{ is permitted for } p^\gamma\}| < \nu^*.$$

6. $\pi_{\text{mc}(p), \lambda}(p^{\text{mc}}) = p^\lambda$.¹¹

We will only be concerned with subtrees of Ξ such that all its splitting nodes are in the associated ultrafilter as in item 3 above. So when we say a “tree at α ”, we refer to a subtree of Ξ with the property that all its splitting nodes are in U_α .

For a tree T and $\sigma \in T$, let $T_\sigma =_{\text{def}} \{\tau \mid \sigma \hat{\ } \tau \in T\}$. Next we define the binary relation on $\mathbb{P} = \mathbb{P}_{\lambda, \eta}$.

Definition 8 For $p, q \in \mathbb{P}$, let $p \leq_{\mathbb{P}} q$ iff

1. $\text{supp}(p) \supseteq \text{supp}(q)$;
2. For every $\gamma \in \text{supp}(q)$, $p^\gamma \supseteq q^\gamma$;
3. $p^{\text{mc}(q)} \in T^q$;

¹¹ Here it should be “ $\pi_{\text{mc}(p), \lambda}(p^{\text{mc}}) = p^\lambda$ ”. But as we said earlier, from here on, we abuse the notation, write $\pi_{\beta, \alpha}$'s as functions on Ξ .

4. For every $\gamma \in \text{supp}(q)$,

$$p^\gamma \setminus q^\gamma = \pi_{\text{mc}(q), \gamma}((p^{\text{mc}(q)} \setminus q^{\text{mc}(q)}) \upharpoonright (|p^{\text{mc}(q)}| \setminus (i_\gamma + 1))),$$

where i_γ is the largest $i < |p^{\text{mc}(q)}|$ such that $p^{\text{mc}(q)}(i)$ is not permitted for q^γ ;

5. $\pi_{\text{mc}(p), \text{mc}(q)}$ projects $T_{p^{\text{mc}(p)}}^p$ into $T_{p^{\text{mc}(q)}}^q$, namely $\pi_{\text{mc}(p), \text{mc}(q)} \text{“} T_{p^{\text{mc}(p)}}^p \subseteq T_{p^{\text{mc}(q)}}^q \text{”}$;¹²
6. For every $\gamma \in \text{supp}(q)$ and $\nu \in \text{succ}_{T^p}(p^{\text{mc}(p)})$, if ν is permitted for p^γ , then $\pi_{\text{mc}(p), \gamma}(\nu) = \pi_{\text{mc}(q), \gamma}(\pi_{\text{mc}(p), \text{mc}(q)}(\nu))$.

A remark about item 5. Consider $\pi_{\beta, \alpha}$, $\alpha \leq_E \beta$. Note that $\pi_{\beta, \alpha}$ sends members of U_β to members of U_α . So $\pi_{\beta, \alpha}$ projects a subtree at β to a subtree at α .

Let $p, q \in \mathbb{P}_{\lambda, \eta}$, when $p \leq_{\mathbb{P}} q$ and for every $\gamma \in \text{supp}(q)$, $p^\gamma = q^\gamma$, we say p is a *direct extension* of q and write $p \leq_{\mathbb{P}}^* q$. We will omit the subscript \mathbb{P} in these two partial orders when it causes no confusion. Below we summarize the facts about this forcing in Gitik’s article [11].

Fact. Let $\mathbb{P} = \mathbb{P}_{\lambda, \eta}$. Then

1. (\mathbb{P}, \leq) is a partial order.
2. (\mathbb{P}, \leq) satisfies λ^{++} -c.c.
3. (\mathbb{P}, \leq^*) is λ -closed.
4. $(\mathbb{P}, \leq, \leq^*)$ satisfies *Prikry condition*: For every $p \in \mathbb{P}$ and for every sentence φ in the forcing language, there is a $q \leq^* p$ such that q decides φ , i.e. either $q \Vdash \varphi$ or $q \Vdash \neg \varphi$.

Below is the main theorem in §3 of Gitik’s handbook article ([11]),

Theorem. Suppose δ is a strong limit cardinal, $\lambda < \delta$ is $<\delta$ -strong and η is a cardinal in $[\lambda^{++}, \delta)$. Let $\mathbb{P} = \mathbb{P}_{\lambda, \eta}$ as defined above and $G \subseteq \mathbb{P}$ be a V -generic filter. Then the following hold in $V[G]$:

1. $\text{cof}(\lambda) = \omega$ and $\lambda^\omega \geq \eta$.
2. All the cardinals are preserved.
3. No new bounded subsets of λ is added.

5.3 Gitik’s forcing is λ -good

To show that \mathbb{P} is λ -good, we follow the idea in §3.5 of [21], define a notion of rank with respect to this forcing. For the rest of the section, we fix some notations. We use U_p , $\pi_{q, p}$ and $\pi_{p, \gamma}$, for $p, q \in \mathbb{P}$ such that $q \leq p$ and $\gamma \in [\lambda, \eta)$ such that $\gamma \leq_E \text{mc}(p)$, to abbreviate for $U_{\text{mc}(p)}$, $\pi_{\text{mc}(q), \text{mc}(p)}$ and $\pi_{\text{mc}(p), \gamma}$, respectively. For $p \in \mathbb{P}$ and $\delta \in \text{succ}_{T^p}(p^{\text{mc}(p)})$, let

$$\begin{aligned} p^- &=_{\text{def}} \{ \langle \gamma, p^\gamma \rangle \mid \gamma \in \text{supp}(p) \cap \text{mc}(p) \}, \\ t^p &=_{\text{def}} p^- \cup \{ \langle \text{mc}(p), p^{\text{mc}(p)} \rangle \}, \\ (p)\delta &=_{\text{def}} \{ \langle \gamma, (p^\gamma)_{\pi_{p, \gamma}(\delta)} \rangle \mid \gamma \in \text{supp}(p) \cap \text{mc}(p) \} \\ &\quad \cup \{ \langle \text{mc}(p), p^{\text{mc}(p) \frown \langle \delta \rangle}, T_{p^{\text{mc}(p) \frown \langle \delta \rangle}}^{\text{mc}(p)} \rangle \}, \end{aligned}$$

¹² In Gitik’s article, it is “ $\pi_{\text{mc}(p), \text{mc}(q)}$ projects $T_{p^{\text{mc}(p)}}^p$ into $T_{q^{\text{mc}(q)}}^q$ ”. This should be an error.

where

$$(p^\gamma)_{\pi_{p,\gamma}(\delta)} = \begin{cases} p^\gamma \frown \pi_{p,\gamma}(\delta), & \text{if } \delta \text{ is permitted for } p^\gamma; \\ p^\gamma, & \text{otherwise.} \end{cases}$$

So $p = p^- \cup \{\langle \text{mc}(p), p^{\text{mc}}, T^p \rangle\}$, and using the t^p notation, p can be naturally identified as the pair $(t^p, T_{p^{\text{mc}}}^p)$. For a $s \in \Xi_{p^{\text{mc}}}$, $(p)_s$ is recursively defined by $p_\emptyset = p$ and $p_{s \uparrow i+1} = (p_{s \uparrow i})_{s(i)}$ for $i < |s|$. The $(p)_\delta, (p)_s$ notations also make sense when p is of the form t^q for some $q \in \mathbb{P}$.

Definition 9 Suppose $D \subseteq \mathbb{P}$ is open. Define R_α^D on $\{t^p \mid p \in \mathbb{P}\}$ as follows:

- Let $H_{<0}^D = H_0^D = D$ and $R_{<0}^D = R_0^D = \{t^p \mid p \in D\}$.
- For $\alpha > 0$, let $H_{<\alpha}^D = \bigcup_{\beta < \alpha} H_\beta^D$ and $R_{<\alpha}^D = \bigcup_{\beta < \alpha} R_\beta^D$.
 - Let H_α^D be the set of $p \in \mathbb{P}$ such that $t^{(p)_\delta} \in R_{<\alpha}^D$ for every $\delta \in \text{succ}_{T^p}(p^{\text{mc}})$.
 - Let R_α^D be the set of t^p for $p \in \mathbb{P}$ such that H_α^D is (\leq, \leq^*) -dense below p , i.e. for every $q \leq p$, there is a $r \leq^* q$ in H_α^D .

The following properties follow immediately from the definition.

Proposition 1 *The H^D and R^D -hierarchies have the following properties:*

- (i) $\alpha \leq \beta$ implies that $H_\alpha^D \subseteq H_\beta^D$ and $R_\alpha^D \subseteq R_\beta^D$.
- (ii) If $H_\alpha = H_{\alpha+1}$, then for any $\beta \geq \alpha$, $H_\beta = H_\alpha$ and $R_\beta = R_\alpha$.
- (iii) $R_{<\infty}^D = R_{<|\mathbb{P}|+}^D$ and $H_{<\infty}^D = H_{<|\mathbb{P}|+}^D$.
- (iv) R_α^D is open with respect to (\mathbb{P}, \leq) , i.e. if $q \leq p$ and $t^p \in R_\alpha^D$ then $t^q \in R_\alpha^D$.
- (v) H_α^D is \leq^* -open, i.e. if $p \in H_\alpha^D$ and $q \leq^* p$, then $q \in H_\alpha^D$.
- (vi) $H_\alpha^D \subseteq R_\alpha^D$, i.e. $\{t^p \mid p \in H_\alpha^D\} \subseteq R_\alpha^D$.
- (vii) If $t^p \in R_\alpha^D$ for some p , then there exists $r \leq^* p$ with $t^r = t^p$ such that H_α^D is (\leq, \leq^*) -dense below r .

Proof. (i). First, as D is open, $H_0^D \subseteq H_1^D$ and $R_0^D \subseteq R_1^D$. Note that $R_{<\alpha}^D \subseteq R_\alpha^D$ implies that $H_\alpha^D \subseteq H_{\alpha+1}^D$, and $H_\alpha^D \subseteq H_{\alpha+1}^D$ implies that $R_\alpha^D \subseteq R_{\alpha+1}^D$. Therefore

(i) follows by induction.

(ii). This is clear from the definitions of H_α^D and R_α^D .

(iii). This follows immediately from (i) and (ii).

(iv). Suppose $p \in R_\alpha^D$ and $q \leq p$. If H_α^D is (\leq, \leq^*) -dense below p , it is also (\leq, \leq^*) -dense below q . So $q \in R_\alpha^D$.

(v). The case H_0^D is trivial. Suppose $p \in H_\alpha^D$ and $q \leq^* p$. For every $\zeta \in \text{succ}_{T^q}(q^{\text{mc}})$, $(q)_\zeta \leq^* (p)_{\pi_{q,p}(\zeta)}$. Since $R_{<\alpha}^D$ is open with respect to (\mathbb{P}, \leq^*) , $t^{(q)_\zeta} \in R_{<\alpha}^D$. Therefore $q \in H_\alpha^D$.

(vi). Suppose $p \in H_\alpha^D$ and $q \leq p$. Let $r = q$ and $\zeta \in \text{succ}_{T^r}(r^{\text{mc}})$. Then $(r)_\zeta \leq^* (p)_s$ for some $s \in T_{p^{\text{mc}}}^p \setminus \{\emptyset\}$. As $p \in H_\alpha^D$, $t^{(p)_{\min(s)}} \in R_{<\alpha}^D$. By (iv), $t^{(p)_s} \in R_{<\alpha}^D$ and $t^{(r)_\zeta} \in R_{<\alpha}^D$. Therefore, $r \in H_\alpha^D$. So H_α^D is (\leq, \leq^*) -dense below p , hence $t^p \in R_\alpha^D$.

(vii). By the definition of R_p^D , there is a $r \leq^* p$ in H_α^D . $r \leq^* p$ implies that $t^r = t^p$. To see that H_α^D is (\leq, \leq^*) -dense below r , take any $q \leq r$. Then $q \leq p$. Since H_p^D is (\leq, \leq^*) -dense below p , there is a $r' \leq^* q$ in H_α^D . So H_α^D is (\leq, \leq^*) -dense below r . \square

Definition 10 For $p \in \mathbb{P}$, $\hat{\rho}_D(t^p)$, the D -semi-rank of t^p , is the least ordinal α such that $t^p \in R_\alpha^D$, if it exists; otherwise $\hat{\rho}_D(t^p) = \infty$.¹³ We often write the relativized

¹³ We demand that $\infty > \alpha$ for all $\alpha \in \text{Ord}$.

notation $\hat{\rho}_{p,D}(s)$, in which case is called (p, D) -semi-rank of s , to abbreviate for $\hat{\rho}_D(t^{(p)s})$, for $s \in T_{p^{\text{mc}}}^p$, although its value only depends on t^p .

Here are some quick facts about semi-ranks.

Proposition 2 *Suppose $D \subseteq \mathbb{P}$ is open and $p, q \in \mathbb{P}$.*

- (i) *If $\hat{\rho}_D(t^p) < \infty$, then $\hat{\rho}_D(t^p) < |\mathbb{P}|^+$.*
- (ii) *If $\hat{\rho}_D(t^p) < \infty$ and $q \leq p$, then $\hat{\rho}_D(t^q) \leq \hat{\rho}_D(t^p)$.*

Proof. (i). This is immediate from Proposition 1-(iii).

(ii). If $q \leq p$ and $\hat{\rho}_D(t^p) < \infty$, then by Proposition 1-(iv),

$$\emptyset \neq \{\alpha \in \text{Ord} \mid t^p \in R_\alpha^D\} \subseteq \{\alpha \in \text{Ord} \mid t^q \in R_\alpha^D\}.$$

Thus $\hat{\rho}_D(t^q) \leq \hat{\rho}_D(t^p)$. □

Definition 11 Suppose $D \subseteq \mathbb{P}$ is open and $p \in \mathbb{P}$. We say that p is D -good if $p \in H_\alpha^D$ and for every $s \in T_{p^{\text{mc}}}^p$ and for $\beta \leq \alpha$,

$$(p)_s \in H_\beta^D \implies (p)_{s \smallfrown \langle \delta \rangle} \in H_{<\beta}^D, \text{ for all } \delta \in \text{succ}_{T_{p^{\text{mc}}}^p}(s).$$

Clearly if p is D -good, then so is $(p)_s$ for every $s \in T_{p^{\text{mc}}}^p$.

Proposition 3 *Suppose $D \subseteq \mathbb{P}$ is open. Let $E_D =_{\text{def}} \{p \in \mathbb{P} \mid p \text{ is } D\text{-good}\}$. Then E_D is \leq^* -dense below any p with $\hat{\rho}_D(t^p) < \infty$; or equivalently, for every p such that $\hat{\rho}_D(t^p) < \infty$, there is a $q \leq^* p$ in E_D .*

Proof. Take an $N < V_\mu$ for a sufficiently large μ and such that $|N| = \lambda^+$, $N^\lambda \subseteq N$. Let $\kappa < \eta$ be an ordinal such that $\kappa \geq_E \zeta$ for all $\zeta \in N \cap [\lambda, \eta)$. We write $R_\alpha^{D,N}$ and $H_\alpha^{D,N}$ for the corresponding notions defined in N , and write $\hat{\rho}_D^N(t^p)$ and $\hat{\rho}_{p,D}^N(s)$ ¹⁴, $s \in T_{p^{\text{mc}}}^p$, for the corresponding notions computed in N . By the elementarity of N , these notions are absolute between N and V , more precisely, $R_\alpha^{D,N} = R_\alpha^D \cap N$, $H_\alpha^{D,N} = H_\alpha^D \cap N$ for $\alpha \in \text{Ord} \cap N$, and $\hat{\rho}_D^N(t^p) = \hat{\rho}_D(t^p)$ for $p \in \mathbb{P} \cap N$. Proposition 3 follows from the following lemma.

Lemma 1 *Suppose $p \in \mathbb{P} \cap N$ and T is a U_κ -tree with trunk s_κ and such that $t^p \cup \{\langle \kappa, s_\kappa, T \rangle\} \leq^* p$. Suppose $\hat{\rho}_D^N(t^p) < \infty$. Then there are a $q \in N$ and a U_κ -subtree $T^r \subseteq T$ such that $r = q \cup \{\langle \kappa, s_\kappa, T^r \rangle\}$ is a D -good direct extension of p .*

Grant Lemma 1. Suppose $p \in N$ and $\hat{\rho}_D^N(t^p) < \infty$. By Lemma 1, there is a $q \in V$ that is D -good and directly extends p . Since $\hat{\rho}_D(\cdot)$ is absolute between N and V , for every $p \in \mathbb{P} \cap N$ with $\hat{\rho}_D(t^p) < \infty$, there is a D -good direct extension of p in V . By elementarity, for every $p \in \mathbb{P} \cap N$ with $\hat{\rho}_D^N(t^p) < \infty$, there is a D -good direct extension of p in N . Using elementarity again, every $p \in \mathbb{P}$ in V with $\hat{\rho}_D(t^p) < \infty$ has a D -good direct extension. Thus the set E_D is \leq^* -dense below p . □

Now we prove Lemma 1.

¹⁴ More precisely, should be $\hat{\rho}_{D \cap N}^N(t^p)$ and $\hat{\rho}_{p, D \cap N}^N(s)$.

Proof of Lemma 1. The proof proceeds by induction on $\alpha = \hat{\rho}_D^N(t^p)$ in N . For $\alpha = 0$, it is trivial. We follow the idea in Gitik's proof of his Lemma 3.12 in [11] (page 1387). Assume that for all $\beta \in \alpha \cap N$, the claim holds.

Assume $p \in \mathbb{P}$ and $t^p \in R_\alpha^D \cap N$. By Proposition 1-(vii), we may replace p with a $p' \leq^* p$ in N with least $\alpha \leq \hat{\rho}_D^N(t^p)$ in N such that $p' \in H_\alpha^D \cap N$. As H_α^D is \leq^* -open, we may in addition assume that $\hat{\rho}_D^N(t^q) = \hat{\rho}_D^N(t^p) = \alpha$ for any $q \leq^* p$ in N . Thus, by elementarity, for any $q \leq^* p$, $\hat{\rho}_D(t^q) = \hat{\rho}_D(t^p) = \alpha$. Let $A = \text{succ}_T(s_\kappa)$. We shall construct inductively $\langle\langle p_\xi, T^\xi \rangle\rangle : \xi \in A$. To simplify the presentation, we may assume that $p^- = \emptyset$ and $s_\kappa = \emptyset$.

Suppose we already have $\langle\langle p_\delta, T^\delta \rangle\rangle : \delta \in A \cap \zeta$. Now we construct p_ζ and T^ζ . Let $p'_\zeta = p \cup (\bigcup\{p_\delta \mid \delta \in A \cap \zeta\})$ and

$$r'_\zeta = t^{p'_\zeta} \cup \{\langle\kappa, \emptyset, \bigcup\{T_{\langle\xi\rangle} \mid \xi \in A \setminus \zeta\}\rangle\}.$$

A little calculation (see the proof of Claim 4.9 in [10]) shows that $(r'_\zeta)_\zeta \leq^* (p)_{\pi_{p,\kappa}(\zeta)}$. As $t^{(p)_{\pi_{p,\kappa}(\zeta)}} \in R_\beta^{D,N}$ for some $\beta \in \alpha \cap N$, $\hat{\rho}_D^N(t^{(r'_\zeta)_\zeta}) \leq \beta$, by the inductive hypothesis, there are a $q \in N$ and a U_κ -subtree $T_\zeta \subseteq T_{\langle\zeta\rangle}$ such that $q \cup \{\langle\kappa, \langle\zeta\rangle, T_\zeta\rangle\}$ is a D -good direct extension of $(r'_\zeta)_\zeta$. Let

$$p_\zeta = p'_\zeta \cup \{\langle\iota, q'\rangle \mid \iota \in \text{supp}(q) \setminus \text{supp}(r'_\zeta)\}.$$

This completes the inductive construction.

At the end, let $q = \bigcup_{\xi < \lambda} p_\xi$. For $i < \lambda$, let

$$C_i = \begin{cases} \bigcap\{\text{succ}_{T^\xi}(\langle\xi\rangle) \mid \xi \in A \wedge \xi^* = i\}, & \text{if } \exists \xi \in A (\xi^* = i); \\ A, & \text{otherwise.} \end{cases}$$

Since the set of $\xi \in A$ such that $\xi^* = i$ is bounded, $C_i \in U_\kappa$ for every $i < \lambda$. Set $A^* = A \cap (\Delta_{i < \lambda}^* C_i)$. By the weak normality for U_κ , $A^* \in U_\kappa$. Let T^r be the tree obtained from $\bigcup\{T_\xi \mid \xi \in A^*\}$ by intersecting all its levels with A^* . Then by Claim 3.12.1 in Gitik's [11] (page 1388), $r = q \cup \{\langle\kappa, \emptyset, T^r\rangle\}$ is in \mathbb{P} and directly extends p .

By our construction, for each $\zeta \in A^*$, $T^{(r)_\zeta}$ is a U_κ -subtree of T_ζ , so $(r)_\zeta$ is D -good and directly extends $(p)_{\pi_{p,\kappa}(\zeta)}$. It suffices to check that α is least such that $(r)_\emptyset = r \in H_\alpha^D$. As R_α^D is open with respect to (\mathbb{P}, \leq) , $t^{(p)_{\pi_{p,\kappa}(\zeta)}} \in R_{<\alpha}^D$ implies that $t^{(r)_\zeta} \in R_{<\alpha}^D$. So $r \in H_\alpha^D$. By our additional assumption on p , $\hat{\rho}_D(t^r) = \hat{\rho}_D(t^p) = \alpha$. This means that $r \notin H_{<\alpha}^D$. So r is D -good. \square

The Prikry condition for \mathbb{P} (see Lemma 3.12, [11]) can be stated in terms of our semi-rank notion as follows.

Proposition 4 (Gitik) *Suppose $D \subseteq \mathbb{P}$ is dense and open. Let $1_\mathbb{P}$ denote the largest element of \mathbb{P} . Then $\hat{\rho}_D(t^{1_\mathbb{P}}) < \infty$; or equivalently, for every $p \in \mathbb{P}$, there is a $q \leq^* p$ in $H_{<\infty}^D$.*

Proof. Rerun Gitik's proof but with “ p decides σ ” replaced by “ $p \in H_{<\infty}^D$ ”. \square

Next we define a notion of rank on members of E_D to isolate a set of “ D -better” conditions. For every $p \in E_D$, we define a rank function $\rho_{p,D}(\cdot)$ on $T_{p^{\text{mc}}}^p$ inductively as follows:

- if $(p)_s \in D$, then $\rho_{p,D}(s) = 0$;
- if $(p)_s \notin D$, then $\rho_{p,D}(s)$ is the least α such that there is a U_p -measure one $A \subseteq \text{succ}_{T_{p^{\text{mc}}}}^p(s)$ such that $\alpha \geq \rho_{p,D}(s \hat{\langle \delta \rangle}) + 1$ for all $\delta \in A$.

By the definition of D -goodness, if $p \in E_D$, then the set $\{s \in T_{p^{\text{mc}}}^p \mid \dot{\rho}_{p,D}(s) > 0\}$ is a wellfounded subtree of $T_{p^{\text{mc}}}^p$. Thus $\rho_{p,D}(s)$ is defined for all $s \in T_{p^{\text{mc}}}^p$ if $p \in E_D$.

Below is a simple observation to be used in our proof of λ -goodness for \mathbb{P} .

Proposition 5 *Suppose $D \subseteq \mathbb{P}$ is open and $p \in E_D$. If $q \leq p$, then for every $s \in T_{q^{\text{mc}}}^q$, $\dot{\rho}_D(t^{(q)_s}) \leq \dot{\rho}_D(t^{(p)}_{\pi_{q,p}(q^{\text{mc}} \hat{\ } s)})$ and $\rho_{q,D}(s) \leq \rho_{p,D}(\pi_{q,p}(q^{\text{mc}} \hat{\ } s))$.*

Proof. It suffices to consider only the case $q \leq^* p$. The proof proceeds by induction on $\rho_{q,D}(s)$. We leave the details to the readers. \square

Lemma 2 *Suppose $D \subseteq \mathbb{P}$ is open and $p \in E_D$. Then $\rho_{p,D}(\emptyset) < \omega$. More precisely, there is a U_p -subtree $S_p \subseteq T_{p^{\text{mc}}}^p$ such that for every $s \in S_p$, $\rho_{p,D}(s) = \max(\rho_{p,D}(\emptyset) - |s|, 0)$.*

Proof. Clearly, the range of $\rho_{p,D}(\cdot)$ is an ordinal. The lemma follows from the fact that U_p is countably complete. Assume towards a contradiction that $\rho_{p,D}(\emptyset) \geq \omega$, then there is an $s \in T_{p^{\text{mc}}}^p$ such that $\rho_{p,D}(s) = \omega$. But due to the countably completeness of U_p , there is a finite number k such that $\rho_{p,D}(s \hat{\langle \delta \rangle}) < k$ for a U_p -measure one set of $\delta \in \text{succ}_{T_{p^{\text{mc}}}^p}(s)$. Therefore $\rho_{p,D}(s) \leq k < \omega$. Contradiction!

Using the idea in §3.4 of [21], by trimming off nodes s in $T_{p^{\text{mc}}}^p \setminus \{\emptyset\}$ such that $\rho_{p,D}(s) \geq \rho_{p,D}(s \upharpoonright (|s| - 1)) > 0$, one obtain a U_p -subtree $S_p \subseteq T_{p^{\text{mc}}}^p$ such that for every $s \in S_p$, either $\rho_{p,D}(s) = 0$ or $\rho_{p,D}(s) = \sup\{\rho_{p,D}(s \hat{\langle \delta \rangle}) + 1 \mid \delta \in \text{succ}_{S_p}(s)\}$. It is easy to see that this S_p works as desired. \square

Definition 12 Suppose $D \subseteq \mathbb{P}$ is open. For a $p \in E_D$, we say p is D -better if $T_{p^{\text{mc}}}^p$ satisfies the condition that for every $s \in T_{p^{\text{mc}}}^p$, $\rho_{p,D}(s) = \max\{\rho_{p,D}(\emptyset) - |s|, 0\}$.

Let $B_D =_{\text{def}} \{p \in E_D \mid p \text{ is } D\text{-better}\}$. From Lemma 2, we have

Corollary 7 B_D is \leq^* -dense in E_D , therefore \leq^* -dense in \mathbb{P} .

Now we are ready to prove the main result of this section.

Lemma 3 \mathbb{P} is λ -good.

Proof. Fix a $p \in \mathbb{P}$ and \mathcal{D} , a collection of dense open subsets of \mathbb{P} with $|\mathcal{D}| < \lambda$. Enumerate \mathcal{D} as $\{D_\iota \mid \iota < |\mathcal{D}|\}$. Start with p , we inductively construct a \leq^* -decreasing sequence $\langle p_\iota : \iota < |\mathcal{D}|\rangle$ and a sequence of integers $\langle k_\iota : \iota < |\mathcal{D}|\rangle$ as follows:

First, let p_0 be a D_0 -better direct extension of p and $k_0 = \rho_{p_0,D}(\emptyset)$. Suppose we have constructed the two sequences up to some $\iota > 0$, i.e. $\langle p_\zeta : \zeta < \iota \rangle$ and $\langle k_\zeta : \zeta < \iota \rangle$. Since (\mathbb{P}, \leq^*) is λ -closed, there is a $q_\iota \in \mathbb{P}$ such that $q_\iota \leq^* p_\zeta$ for all $\zeta < \iota$. Let p_ι be a D_ι -better direct extension of q_ι and $k_\iota = \rho_{p_\iota,D_\iota}(\emptyset)$.

At the end, pick a $p^\circ \in \mathbb{P}$ such that $p^\circ \leq^* p_\iota$ for all $\iota < |\mathcal{D}|$. For each $k < \omega$, let $\mathcal{D}_{p,k} = \{D_\iota \mid k_\iota \leq k\}$. We may assume that $\mathcal{D}_{p,k} \neq \emptyset$ for all $i < \omega$. We claim that $\bigcap \mathcal{D}_{p,k}$ is dense below p° for all $k < \omega$.

Fix a $k < \omega$. Suppose $r \leq p^\circ$. We are going to prove that for any sufficiently long $s, (r)_s \in D$ for every $D \in \mathcal{D}_{p,k}$. Note that by Proposition 5 for any $s \in T_{r^{\text{mc}}}^r$ and

any $\xi < |\mathcal{D}|$ such that $D_\xi \in \mathcal{D}_{p,k}$, $\dot{\rho}_D(t^{(r)_s}) \leq \dot{\rho}_D(t^{(p_\xi)_{\pi_r, p_\xi(r^{\text{mc}} \hat{\sim} s)})}$ and $\rho_{r, D_\xi}(s) \leq \rho_{p_\xi, D_\xi}(\pi_{r, p_\xi}(s)) = k - |s|$. Pick an $s \in T_{r^{\text{mc}}}^r$ such that $|s| \geq k$, then $\rho_{r, D}(s) = 0$ for every $D \in \mathcal{D}_{p,k}$. Hence, $(r)_s \in D$ for every $D \in \mathcal{D}_{p,k}$. $(r)_s \leq r$, so this shows that $\bigcap \mathcal{D}_{p,k}$ is dense below p° . \square

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