

# An end-faithful spanning tree counterexample\*

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## Abstract

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We find an infinitely-connected graph in which every spanning tree has a 2-way infinite path. This disproves Halin's well-known 'end-faithful spanning tree' conjecture, and also disproves a recent conjecture of Širáň.

## 1. Introduction

A *ray* in a graph  $G$  is a 1-way infinite path. (Graphs in this paper may be infinite, and may have loops or multiple edges.) Two rays  $R_1, R_2$  in  $G$  are *parallel* if for every finite  $X \subseteq V(G)$ , the unique component of  $G \setminus X$  which has infinite intersection with  $R_1$  also has infinite intersection with  $R_2$ . ( $G \setminus X$  is the graph obtained from  $G$  by deleting  $X$ .) Parallelness is an equivalence relation, and its equivalence classes are called the *ends* of  $G$ . These were first investigated by Halin [4], who proposed the following, which is called the 'end-faithful spanning tree conjecture', and which we shall disprove.

**Conjecture 1.1.** In every connected graph  $G$  there is a spanning tree  $T$  such that each end of  $G$  includes a unique end of  $T$ .

Halin [3–4] proved that Conjecture 1.1 holds if  $G$  is countable, and also that it holds if  $G$  does not contain  $K_{\aleph_0}$ . (We denote by  $K_\kappa$  the complete graph with  $\kappa$

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vertices, when  $\kappa$  is a cardinal. A graph  $G$  *contains* a graph  $H$  if some subgraph of  $G$  is isomorphic to a subdivision of  $H$ , that is, a graph obtained from  $H$  by replacing its edges by internally disjoint paths.) However, we shall see that Conjecture 1.1 is false in general. A counterexample has independently been obtained by Thomassen [9].

Let us say that  $G$  is *infinitely connected* if  $V(G)$  is infinite and  $G \setminus X$  is connected for every finite  $X \subseteq V(G)$ . Since an infinitely connected graph has a unique end, a consequence of Conjecture 1.1 would be the following.

**Conjecture 1.2.** In every infinitely connected graph there is a spanning tree with a unique end.

We shall give a counterexample to Conjecture 1.2 and hence to Conjecture 1.1.

The following conjecture was proposed at a recent (1989) conference in Cambridge by Širáň. (A tree is *rayless* if it has no ray.)

**Conjecture 1.3.** Let  $G$  be a connected graph, and suppose that for every ray  $R$  there is a vertex  $v$  such that for every finite  $X \subseteq V(G) - \{v\}$ , the component of  $G \setminus X$  containing  $v$  has infinite intersection with  $R$ . Then  $G$  has a rayless spanning tree.

Širáň [8] proved this for countable graphs  $G$ , but we shall see that it is false in general. Since every infinitely connected graph satisfies the hypothesis of Conjecture 1.3, a consequence of Conjecture 1.3 would be the following.

**Conjecture 1.4.** In every infinitely connected graph there is a rayless spanning tree.

Our counterexample to Conjectures 1.1 and 1.2 is also a counterexample to Conjecture 1.4 and hence to Conjecture 1.3. (Indeed, we shall show that a graph satisfies Conjecture 1.2 if and only if it satisfies Conjecture 1.4.)

Let  $T_{\aleph_1}$  be the tree in which every vertex has valency  $\aleph_1$ . We shall show the following.

**1.5.** *There is an infinitely connected graph  $G$  with  $|V(G)| = 2^{\aleph_0}$ , such that every spanning tree contains  $T_{\aleph_1}$ .*

In particular, every spanning tree has  $\geq \aleph_1$  ends, contrary to Conjectures 1.2 and 1.4. We shall also show the following.

**1.6.** *There is an infinitely connected graph  $G$  with  $|V(G)| = 2^{\aleph_0}$  which does not contain  $K_{\aleph_1}$ , such that every spanning tree contains  $T_{\aleph_1}$ .*

We do not know whether 1.5 is true with  $2^{\aleph_0}$  replaced by  $\aleph_1$ . However, we shall see that the existence of  $G$  as in 1.6 with  $|V(G)| = \aleph_1$  rather than  $2^{\aleph_0}$  is independent of ZFC. Finally, we shall show the following.

**1.7.** *Every infinitely connected graph which does not contain  $T_{\aleph_1}$  has a rayless spanning tree.*

Before we begin the main proofs, let us see the equivalence of Conjectures 1.2 and 1.4.

**1.8.** *Let  $G$  be an infinitely connected graph. Then  $G$  has a rayless spanning tree if and only if it has a spanning tree with exactly one end.*

**Proof.** Let  $T$  be a rayless spanning tree, and let  $R$  be a ray. Extend  $R$  to a spanning tree  $T'$  of  $R \cup T$ ; then  $T'$  has exactly one end (for any ray not parallel to  $R$  includes a ray disjoint from  $R$ , and so contains a ray in  $T$ ). For the converse, let  $T$  be a spanning tree with only one end, and let  $R$  be a ray of  $T$ , with  $V(R) \neq V(G)$ . Choose  $v \in V(G) - V(R)$ . Since  $G$  is infinitely connected, there are infinitely many finite paths of  $G$  from  $v$  to  $V(R)$ , mutually disjoint except for  $v$ . Let the union of these paths be  $F$ , and extend  $F$  to a spanning tree  $T'$  of  $F \cup T$ . Suppose that  $R'$  is a ray of  $T'$ . Since  $F$  is connected and includes no ray, and  $F \cup R'$  includes no circuit, it follows that  $R'$  includes a ray disjoint from  $F$ ; and so we may assume that  $R'$  is disjoint from  $F$ . Hence  $R' \subseteq T$ , and so  $R, R'$  are parallel in  $T$ . Since  $T$  is a tree, it follows that  $R'' = R \cap R'$  is a ray. But  $R' \cap F$  is null, and  $(V(R) - V(R'')) \cap V(F)$  is finite, and yet  $V(R) \cap V(F)$  is infinite, a contradiction. Thus  $T'$  is rayless, as required.  $\square$

We state a stronger form of 1.4 for countable graphs, which we shall apply later. We omit the proof, which is easy. Let  $G$  be a graph, let  $v \in V(G)$  and let  $\{P_n\}_{n=1}^{\infty}$  be a collection of finite paths in  $G$ , each with at least one edge, with one endpoint  $v$  and otherwise disjoint. The tree  $R = P_1 \cup P_2 \cup \dots$  is called an  $\omega$ -star in  $G$  with centre  $v$ .

**1.9.** *Every countable, infinitely connected graph has a spanning  $\omega$ -star with centre any specified vertex.*

## 2. The counterexample

A *hypergraph* is a pair  $(V, M)$ , where  $V$  is a set and  $M$  is a set of subsets of  $V$ . Two hypergraphs  $(V, M), (V', M')$  are *isomorphic* if there is a bijection  $\alpha: V \rightarrow V'$  mapping  $M$  to  $M'$  (and  $\alpha$  is an *isomorphism*).

Let  $(V, M)$  be a hypergraph such that:

- (i) every member of  $M$  has cardinality  $\aleph_0$ ,
- (ii) for every partition  $(X_1, X_2, \dots)$  of  $V$  into countably many sets, some  $X_i$  includes some member of  $M$ ,
- (iii)  $|V|, |M| \geq \aleph_1$ .

(In fact condition (iii) is implied by (i) and (ii), as the reader may verify). For example, we could take  $V = \aleph_1$  and let  $M$  be the set of all countable subsets of  $V$ . We shall specify  $(V, M)$  later.

Let  $\Sigma$  be the set of all finite sequences of members of  $M$ . If  $\sigma = (\mu_1, \dots, \mu_k) \in \Sigma$  and  $\mu \in M$ , we denote the sequence  $(\mu_1, \dots, \mu_k, \mu) \in \Sigma$  by  $\sigma + (\mu)$ . For each  $\sigma \in \Sigma$ , let  $(V_\sigma, M_\sigma)$  be a hypergraph isomorphic to  $(V, M)$ , such that  $V_\sigma \cap V_{\sigma'} = \emptyset$  for all distinct  $\sigma, \sigma' \in \Sigma$ , and let  $\alpha_\sigma: V \rightarrow V_\sigma$  be an isomorphism. For each  $\mu \in M$ , we denote  $\{\alpha_\sigma(v): v \in \mu\}$  by  $\mu_\sigma$ ; thus,  $\mu_\sigma \in M_\sigma$ .

Let  $G$  be the graph with  $V(G) = \bigcup (V_\sigma: \sigma \in \Sigma)$ , in which  $u, v \in V(G)$  are adjacent if  $u \in \mu_\sigma$  and  $v \in V_{\sigma'}$ , for some  $\sigma \in \Sigma$  and  $\mu \in M$ , where  $\sigma' = \sigma + (\mu)$ . We shall show that every spanning tree of  $G$  contains  $T_{\aleph_1}$ .

We shall need the following lemma, which is very similar to a result of Laver [5] and which can be proved similarly (we omit the proof).

**2.1.** *Let  $T$  be a tree which does not contain  $T_{\aleph_1}$ , and let  $v_0 \in V(T)$ . There is a function  $\phi$  assigning an ordinal  $\phi(v)$  to each  $v \in V(T)$ , such that:*

- (i) *if  $u, v \in V(T)$  are adjacent and  $u$  lies on the path of  $T$  between  $v_0$  and  $v$ , then  $\phi(v) \leq \phi(u)$ ,*
- (ii) *for all  $u \in V(T)$  the set of all  $v \in V(T)$  as in (i) with  $\phi(v) = \phi(u)$  has cardinality  $\leq \aleph_0$ .*

**2.2.** *With  $G$  as defined earlier, every spanning tree of  $G$  contains  $T_{\aleph_1}$ .*

**Proof.** Suppose that  $T$  is a spanning tree of  $G$  not containing  $T_{\aleph_1}$ . Choose  $v_0 \in V_{\sigma_0}$ , where  $\sigma_0$  is the null sequence, and for  $u, v \in V(G)$ , let us say that  $u$  is *before*  $v$  if  $u$  lies on the path of  $T$  between  $v_0$  and  $v$ .

For each  $\sigma \in \Sigma$ , let  $B_\sigma$  denote  $\bigcup V_{\sigma'}$ , the union being taken over all  $\sigma' \in \Sigma$  of which  $\sigma$  is an initial subsequence. Let us say that  $u \in V(G)$  *dominates*  $\sigma \in \Sigma$  if  $u$  is before every  $v \in B_\sigma$ , and let us say that  $u \in V(G)$  is *big* if it dominates some  $\sigma \in \Sigma$ . Thus,  $v_0$  is big. Let  $\phi$  be as in 2.1, and choose a big vertex  $u \in V(G)$  with  $\phi(u)$  minimum.

- (1) *There are only countably many  $v \in V(G)$  such that  $u$  is before  $v$  and  $\phi(u) \leq \phi(v)$ .*

For  $\phi(u) = \phi(v)$  for every such  $v$ . Let  $X$  be the set of all such  $v$ , and let  $R$  be the minimal subtree of  $T$  with  $X \subseteq V(R)$ . Then  $u \in V(R)$  and  $u$  lies before every other vertex of  $R$ . Since every vertex of  $R$  lies on a path between  $u$  and some vertex  $v$  of  $X$ , and the  $\phi$ -values on such a path do not increase (by 2.1(i)), and  $\phi(v) = \phi(u)$ , it follows that every vertex of this path belongs to  $X$ , and in



particular  $V(R) = X$ . Thus every vertex of  $R$  has valency  $\leq \aleph_0$  (by 2.1(ii)), and so  $|V(R)| \leq \aleph_0$ . This proves (1).

Since  $u$  dominates some  $\sigma \in \Sigma$  and hence dominates all extensions of  $\sigma$  in  $\Sigma$ , we may choose  $\sigma \in \Sigma$  such that  $u$  dominates  $\sigma$  and  $u \notin B_\sigma$ . Since  $M$  is uncountable, there are uncountably many 1-term extensions  $\sigma'$  of  $\sigma$ , and the corresponding sets  $B_{\sigma'}$  are mutually disjoint. Thus by (1) we may choose  $\sigma \in \Sigma$  such that in addition there is no  $v \in B_\sigma$  with  $\phi(u) \leq \phi(v)$ . Choose  $\mu \in M$ , and let  $\sigma' = \sigma + (\mu)$ .

Let  $S$  be the minimal subtree of  $T$  with  $\mu_\sigma \subseteq V(S)$ . Since  $\mu_\sigma$  is countable it follows that so is  $V(S)$ . For each  $s \in V(S)$ , let  $X_s$  be the set of all  $v \in V_{\sigma'}$  such that there is a path of  $T$  between  $s$  and  $v$  with no vertex in  $V(S)$  except  $s$ . Thus  $(X_s: s \in V(S))$  is a partition of  $V_{\sigma'}$  into countably many sets, and so there exists  $s \in V(S)$  and  $\mu' \in M$  such that  $\mu'_{\sigma'} \subseteq X_s$ . Let  $\sigma'' = \sigma' + (\mu')$ . We claim that

(2)  $s$  dominates  $\sigma''$ .

For let  $v \in B_{\sigma''}$ , and let  $P$  be the path of  $T$  between  $v_0$  and  $v$ . Since  $v_0 \in V_{\sigma_0}$ , it follows that  $V(P) \cap \mu'_{\sigma'} \neq \emptyset$ . Let  $x \in V(P) \cap \mu'_{\sigma'}$ . Since  $V(P) \cap \mu_\sigma \neq \emptyset$  and hence  $V(P) \cap V(S) \neq \emptyset$ , it follows that  $P$  includes the unique minimal path of  $T$  between  $x$  and  $V(S)$ . Since  $x \in \mu'_{\sigma'} \subseteq X_s$  it follows that  $s \in V(P)$ . Thus  $s$  is before  $v$ , as required.

(3)  $s \in B_\sigma$ .

For since  $X_s$  is infinite and  $X_s \cap V(S) \subseteq \{s\}$ , there exists  $v \in X_s - V(S)$ . Thus  $v \in V_{\sigma'}$ . Let  $P$  be the path of  $T$  between  $v$  and  $s$ . Since no vertex of  $P$  is in  $V(S)$  except  $s$  (because  $v \in X_s$ ) and  $\mu_\sigma \subseteq V(S)$ , it follows that  $V(P) \cap \mu_\sigma \subseteq \{s\}$ , and so either  $s \in B_{\sigma'}$  or  $s \in \mu_\sigma$ . In either case,  $s \in B_\sigma$  as required.

Now we chose  $\sigma$  such that there is no  $v \in B_\sigma$  with  $\phi(u) \leq \phi(v)$ , and so from (3) we deduce that  $\phi(s) < \phi(u)$ . But  $s$  is big by (2), contrary to the choice of  $u$ . This completes the proof.  $\square$

So far we have not specified the collection  $M$  of sets used in the construction of the graph  $G$  above. As we saw before, we can take  $V = \aleph_1$  and  $M$  to be the collection of all countable subsets of  $V$ , and the graph  $G$  we construct satisfies 1.5. This proves 1.5. However, that graph contains  $K_{\aleph_1}$ ; and in view of Halin's theorem that every counterexample to Conjecture 1.1 and 1.2 contains  $K_{\aleph_0}$ , it is natural to ask if every counterexample also contains  $K_{\aleph_1}$ . The answer is no, as we shall see by a more complicated choice of  $M$ .

A *well-founded tree* is a poset  $T = (V(T), \leq)$ , such that for every pair  $t, t' \in V$  their infimum  $\inf(t, t')$  exists, and for every  $t \in V(T)$  the set  $\{t' \in V(T): t' \leq t\}$  is well-ordered by  $\leq$ . It follows that every well-founded tree  $T$  has a minimum element, called the *root* of  $T$  and denoted by  $\text{root}(T)$ . Let  $V$  be the set of all transfinite sequences of distinct positive integers, and let us say for such sequences  $s_1, s_2$ , that  $s_1 \leq s_2$  if  $s_1$  is an initial segment of  $s_2$ . It was shown in the Ph.D. Thesis of D. Kurepa (and later, independently, by R. Laver; see [1]) that

the well-founded tree  $(V, \leq)$  cannot be partitioned in countably many antichains and  $|V| = 2^{\aleph_0}$ . Let  $M$  be the collection of all infinite chains of  $(V, \leq)$ ; we claim that  $(V, M)$  satisfies the requirements at the start of this section. For let  $(X_1, X_2, \dots)$  be a partition of  $V$ ; we must show that some  $X_i$  includes an infinite chain of  $(V, \leq)$ . Suppose not; then each  $X_i$  can be partitioned into countably many antichains, and hence so can  $V$ , a contradiction. Thus  $(V, M)$  satisfies our requirements, and so the corresponding graph  $G$  satisfies 2.2. Moreover, it follows from the results of [6] that  $G$  does not contain  $K_{\aleph_1}$ . This proves 1.6.  $\square$

### 3. An independence result

We have seen that Conjectures 1.2 and 1.4 are:

- (i) true for all countable graphs and for all graphs which do not contain  $K_{\aleph_0}$ ,
- (ii) false for a graph with  $2^{\aleph_0}$  vertices which does not contain  $K_{\aleph_1}$ .

What about graphs with  $\aleph_1$  vertices? We do not know whether such a graph can satisfy 1.5, but for 1.6 we have an independence result. Let us consider the truth of the following statement.

**3.1.** In every infinitely connected graph  $G$  with  $|V(G)| = \aleph_1$  which does not contain  $K_{\aleph_1}$ , there is a rayless spanning tree.

We shall see that 3.1 is independent of ZFC (Zermelo-Fraenkel set theory together with the axiom of choice). For we observe from 1.6 the following.

**3.2.** *If the continuum hypothesis holds then (3.1) is false.*

On the other hand, Baumgartner, Malitz and Reinhardt [2] proved that the following statement is consistent with ZFC (although not with the continuum hypothesis).

**3.3.** If  $(V, \leq)$  is a well-founded tree with  $|V| \leq \aleph_1$ , and every chain of  $(V, \leq)$  has order type  $< \omega_1$ , then  $V$  may be partitioned into countably many antichains.

In the rest of this section we shall prove that 3.3 implies 3.1. If  $T = (V(T), \leq)$  is a well-founded tree and  $t_1, t_2 \in V(T)$ , we say that  $t \in V(T)$  is *between*  $t_1$  and  $t_2$  if  $\inf(t_1, t_2) \leq t$ , and either  $t \leq t_1$ , or  $t \leq t_2$ . We say that  $t_1$  is a *predecessor* of  $t_2$  if  $t_1 \leq t_2$  and there is no  $t \in V(T) - \{t_1, t_2\}$  such that  $t_1 \leq t \leq t_2$ . A *well-founded tree-decomposition* of a graph  $G$  is a pair  $(T, W)$ , where  $T$  is a well-founded tree and  $W = (W_t: t \in V(T))$  is a collection of sets such that:

(W1)  $\bigcup (W_t: t \in V(T)) = V(G)$  and every edge of  $G$  has both its ends in some  $W_t$ ,

(W2) if  $t'$  is between  $t$  and  $t''$  in  $T$ , then  $W_t \cap W_{t''} \subseteq W_{t'}$ ,

(W3) if  $t$  has no predecessor then  $W_t \supseteq \bigcup_{t' < t} \bigcap_{t' \leq t'' < t} W_{t''}$ .

We need the following structure theorem, theorem (2.7) of [6].

**3.4.** Let  $G$  be an infinitely connected graph with  $|V(G)| \leq \aleph_1$  which does not contain  $K_{\aleph_1}$ . Then there exists a well-founded tree-decomposition  $(T, W)$  of  $G$  such that:

- (i)  $|V(T)| \leq \aleph_1$ ,
- (ii) every chain of  $T$  has order type  $< \omega_1$ , and
- (iii)  $W_t$  induces a countable infinitely connected graph in  $G$  for every  $t \in V(T)$ .

**3.5.** If 3.3 holds then 3.1 holds.

**Proof.** Let  $G$  be an infinitely connected graph with  $|V(G)| = \aleph_1$  which does not contain  $K_{\aleph_1}$ , and let  $(T, W)$  be a well-founded tree-decomposition of  $G$  as in 3.4.

(1) For every  $v \in V(G)$  there exists a unique minimal element  $t \in V(T)$  with  $v \in W_t$ .

For there exists at least one such  $t$  by (W1), and the minimal one is unique by the existence of infima and (W2).

For  $v \in V(G)$ , the element  $t \in V(T)$  as in (1) will be denoted by  $t(v)$ . From (i) and (ii) of 3.4 and 3.3,  $V(T)$  can be partitioned into countably many antichains, say  $A_1, A_2, \dots$ .

Let  $t_0$  be the root of  $T$ . An *ideal* of  $T$  is a subset  $S \subseteq V(T)$  such that  $t_0 \in S$  and such that  $s \in S$  for every  $s \in V(T)$  with  $s \leq t$  for some  $t \in S$ . Choose  $v_0 \in W_{t_0}$ . A *sprout* is a triple  $(S, R, \rho)$ , where  $S$  is an ideal of  $T$ ,  $R$  is a tree of  $G$  with  $\bigcup_{s \in S} W_s = V(R)$ , and  $\rho$  is a function from  $V(R)$  into  $\{1, 2, \dots\}$  such that:

(2) if  $v \neq v_0$  is between  $v_0$  and  $v'$  in  $R$  then  $\rho(v) \geq \rho(v')$ , and the inequality is strict unless  $t(v) = t(v')$ ,

(3) the set  $\{v \in V(R) : t(v) = t \text{ and } \rho(v) \leq i\}$  is finite for every  $t \in V(T)$  and every  $i \in \{1, 2, \dots\}$ ,

(4)  $\rho(v) \geq i$  for every  $v \in V(R)$  with  $t(v) \in A_i$ .

We first prove the following.

(5) If  $(S, R, \rho)$  is a sprout,  $t \in V(T)$  and  $i \geq 1$  is an integer, then  $\{v \in W_t \cap V(R) : \rho(v) \leq i\}$  is finite.

We prove (5) by transfinite induction. The statement follows from (3) if  $t = t_0$ , so let  $t \in V(T) - \{t_0\}$ , let  $i \geq 1$  be an integer and assume that (5) holds for all  $t' < t$ . There exists  $t_1 \in V(T)$  with  $t_1 < t$  such that  $t' \notin A_1 \cup \dots \cup A_i$  for every  $t' \in V(T)$  with  $t_1 < t' < t$ . Hence

$$\begin{aligned} \{v \in W_t \cap V(R) : \rho(v) \leq i\} &\subseteq \{v \in W_t \cap V(R) : \rho(v) \leq i, t(v) \leq t_1\} \\ &\quad \cup \{v \in W_t \cap V(R) : \rho(v) \leq i, t(v) = t\} \end{aligned}$$

by (4) and (W2). The first set is a subset of  $\{v \in W_{t_1} \cap V(R) : \rho(v) \leq i\}$ , and hence is finite by the induction hypothesis, and the second one is finite by (3). This proves (5).

(6) There exists at least one sprout.

For let  $S = \{t_0\}$ , and let  $R = P_1 \cup P_2 \cup \dots$  be the spanning  $\omega$ -star of the subgraph of  $G$  induced by  $W_{t_0}$  with centre  $v_0$ , which exists by 1.9, and (iii) of 3.4.

Let  $\rho: V(R) \rightarrow \{1, 2, \dots\}$  be such that if  $\rho(v) = i$  then  $v \in V(P_i)$ . Then  $(S, R, \rho)$  is a sprout, as desired.

We order sprouts by saying that  $(S, R, \rho) \leq (S', R', \rho')$  if  $S \subseteq S'$ ,  $R$  is a subtree of  $R'$  and  $\rho(r) = \rho'(r)$  for every  $r \in V(R)$ . By Zorn's lemma there exists a maximal sprout  $(S, R, \rho)$ .

(7)  $S = V(T)$ .

For suppose not; then there exists  $t \in V(T) - S$ , minimal. Let  $k$  be such that  $t \in A_k$ , let  $F = \bigcup_{s \in S} W_s$ , and let  $u_k, u_{k+1}, \dots$  be all the vertices of  $W_t - F$ . Since  $W_t \cap V(R) = W_t \cap F$  and since  $W_t \cap F$  is infinite (because  $W_t \cap F$  separates the infinite sets  $W_t$  and  $W_{t_0}$  and  $G$  is infinitely connected) we deduce by repeated application of (5) and (iii) of 3.4 that there exist mutually disjoint finite paths  $P_k, P_{k+1}, \dots$  such that for every  $i \geq k$ ,  $V(P_i) \subseteq W_t$ ,  $P_i$  has one end some  $w \in W_t \cap F$  with  $\rho(w) > i$ , and has no other vertex in  $F$ , and  $u_i \in \bigcup_{k \leq i' \leq i} V(P_{i'})$ . In particular,

$$W_t - F \subseteq \bigcup_{i \geq k} V(P_i) \subseteq W_t.$$

Let  $S' = S \cup \{t\}$ , let  $R' = R \cup P_k \cup P_{k+1} \cup \dots$ , and let  $\rho$  be defined by

$$\rho'(r) = \begin{cases} \rho(r) & \text{if } r \in V(R), \\ i & \text{if } r \in V(P_i) - V(R). \end{cases}$$

Then  $(S', R', \rho')$  is a sprout, contradicting the maximality of  $(R, \rho, t)$ . This proves (7).

From (7) and (W1) we deduce that  $R$  is a spanning tree of  $G$ , and from (2) and (3) it follows that  $R$  is rayless.  $\square$

We deduce that both 3.1 and its negation are relatively consistent with ZFC, and hence 3.1 is independent of ZFC.

#### 4. Excluding the $\aleph_1$ -tree

Our final objective is to prove 1.7, which we restate.

**4.1.** *Every infinitely connected graph which does not contain  $T_{\aleph_1}$  has a rayless spanning tree.*

If  $X \subseteq V(G)$ , an  $X$ -flap is the vertex set of a component of  $G \setminus X$ . We shall need the following, a consequence of theorem (2.3) of [7].

**4.2.** *Let  $G$  be a graph which does not contain  $T_{\aleph_1}$ . For each  $X \subseteq V(G)$  with  $|X| \leq \aleph_0$ , let  $\beta(X)$  be a union of  $X$ -flaps, such that if  $X \subseteq Y \subseteq V(G)$  and  $|Y| \leq \aleph_0$  then  $\beta(X)$  includes precisely those  $X$ -flaps which meet  $\beta(Y)$ . Then  $\beta(\emptyset) = \emptyset$ .*



**Proof of 4.1.** Let us say that  $X \subseteq V(G)$  is *good* if  $X \subseteq V(T)$  for some rayless tree  $T$  of  $G$  (not necessarily a spanning tree).

(1) *Every countable subset of  $V(G)$  is good.*

For let  $X \subseteq V(G)$  be countable. Then  $X \subseteq V(H)$  for some countable subgraph  $H$  of  $G$  which is infinitely connected, and by 1.9  $H$  has a spanning  $\omega$ -star. Hence  $X$  is good.

(2) *If  $X \subseteq V(G)$  is good and  $C_i (i \in I)$  are good  $X$ -flaps, then  $X \cup \bigcup (C_i : i \in I)$  is good.*

For let  $T$  be a rayless tree of  $G$  with  $X \subseteq V(T)$ , and for each  $i \in I$  let  $T_i$  be a rayless tree with  $C_i \subseteq V(T_i)$ . Since  $G$  is connected, we may assume that each  $T_i$  intersects  $T$ . For each  $i \in I$ , choose  $S_i \subseteq T_i$  minimal such that  $S_i \cup T$  is connected and  $C_i \subseteq V(S_i \cup T)$ . Then each component of  $S_i$  has exactly one vertex in  $V(T)$ , and  $V(S_i \cup T) = C_i \cup V(T)$ . Thus,  $T \cup \bigcup (S_i : i \in I)$  is a rayless tree of  $G$  and its vertex set includes  $X \cup \bigcup (C_i : i \in I)$ , as required.

For each  $X \subseteq V(G)$  with  $|X| \leq \aleph_0$ , let  $\beta(X)$  be the union of all  $X$ -flaps which are not good.

(3) *If  $X \subseteq Y \subseteq V(G)$  and  $|Y| \leq \aleph_0$ , then  $\beta(X)$  includes just those  $X$ -flaps which meet  $\beta(Y)$ .*

For if an  $X$ -flap  $C$  meets a  $Y$ -flap  $D \subseteq \beta(Y)$ , then  $D \subseteq C$ ; and so  $C$  is not good, since  $D$  is not good, and hence  $C \subseteq \beta(X)$ . Conversely, let  $C$  be an  $X$ -flap with  $C \cap \beta(Y) = \emptyset$ . Let the  $Y$ -flaps included in  $C$  be  $C_i (i \in I)$ . Since  $C \cap \beta(Y) = \emptyset$ , each  $C_i$  is good, and so by (1) and (2)  $Y \cup \bigcup (C_i : i \in I)$  is good. Hence  $C$  is good, since  $C \subseteq Y \cup \bigcup (C_i : i \in I)$ , and so  $C \notin \beta(X)$ . This proves (3).

From (3) and 4.2, we deduce that  $\beta(\emptyset) = \emptyset$ . Hence  $G$  has a rayless spanning tree, as required.  $\square$

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