

Cichoń's Diagram and Regularity Properties

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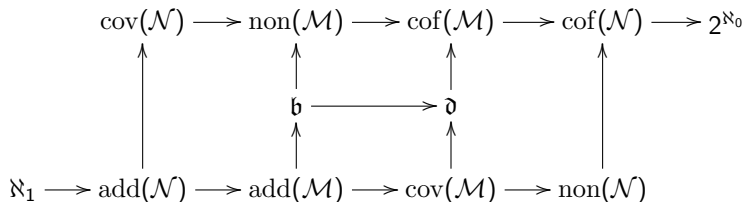
joint with Vera Fischer and Sy Friedman

4th European Set Theory Conference, Barcelona

Cichoń's diagram

"What pentagram is to heavy metal, Cichoń's diagram is to set theory."

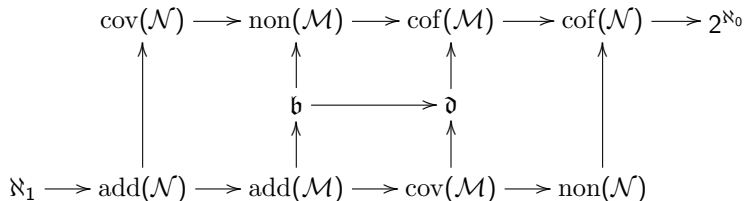
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- ❶ Each inequality appearing in the diagram is provable in ZFC.
- ❷ Each inequality **not** appearing in the diagram is **not** provable in ZFC, except
- ❸ $\text{add}(\mathcal{M}) = \min(\mathfrak{b}, \text{cov}(\mathcal{M}))$ and $\text{cof}(\mathcal{M}) = \max(\mathfrak{d}, \text{non}(\mathcal{M}))$.

Regularity properties

Let $A \subseteq \omega^\omega$ or 2^ω .

- A has the **Baire property** iff for every basic open $[s]$ there is a basic open $[t] \subseteq [s]$ such that $[t] \subseteq^* A$ or $[t] \cap A =^* \emptyset$.
- A is **Lebesgue-measurable** iff for every closed set C of positive measure there is a closed subset $C' \subseteq C$ of positive measure, such that $C \subseteq A$ or $C \cap A = \emptyset$.

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Baire property = Cohen forcing

Lebesgue measure = random forcing

More Forcing Notions

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(every node has an extensions which is infinitely splitting).
- \mathbb{L} = Laver forcing: conditions are **Laver trees**
(every node beyond the stem is infinitely splitting).

More Regularity Properties

Definition

$A \subseteq 2^\omega$ is **Sacks-measurable** (Marczewski-measurable) iff

$$\forall T \in \mathbb{S} \exists S \in \mathbb{S}, S \leq T ([S] \subseteq A \text{ or } [S] \cap A = \emptyset).$$

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$A \subseteq \omega^\omega$ is **Laver-measurable** iff

$$\forall T \in \mathbb{L} \exists S \in \mathbb{L}, S \leq T ([S] \subseteq A \text{ or } [S] \cap A = \emptyset).$$

Regularity of projective sets

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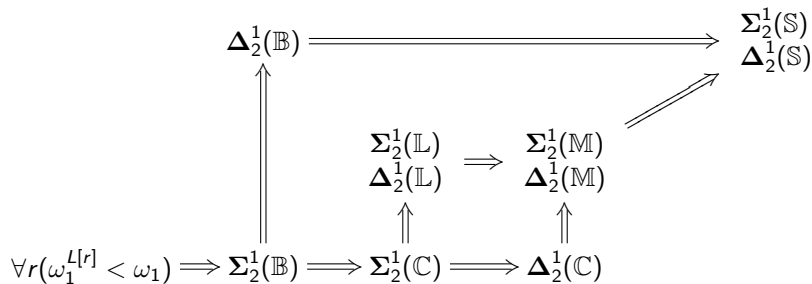
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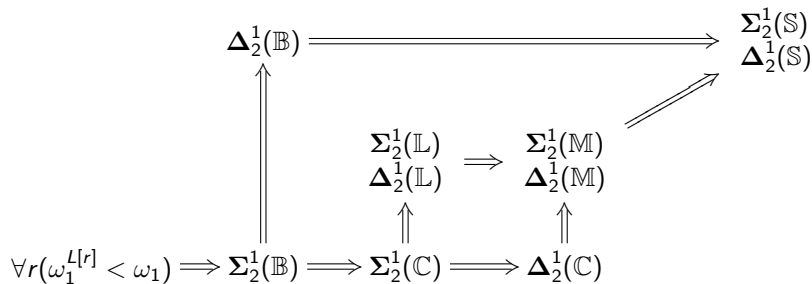
$\Sigma_1^1(\mathbb{P})$ is true.

But $\Sigma_2^1(\mathbb{P})$ and $\Delta_2^1(\mathbb{P})$ are already independent of ZFC.

Cichoń's diagram for regularity properties



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- 1 Each implication appearing in the diagram is provable in ZFC.
- 2 Each implication **not** appearing in the diagram is **not** provable in ZFC, except
- 3 $\Delta_2^1(\mathbb{L}) + \Delta_2^1(\mathbb{C}) \implies \Sigma_2^1(\mathbb{C})$

Characterization (1)

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Theorem (Judah-Shelah 1989)

The following are equivalent:

- 1 $\Delta_2^1(\mathbb{C})$
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Characterization (2)

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Theorem (Judah-Shelah 1989)

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Theorem (Solovay 1970)

The following are equivalent:

- 1 $\Sigma_2^1(\mathbb{B})$
- 2 $\forall r \mu(\{x \mid x \text{ random over } L[r]\}) = 1.$

Characterization (3)

Theorem (Brendle-Löwe 1999)

- *The following are equivalent:*
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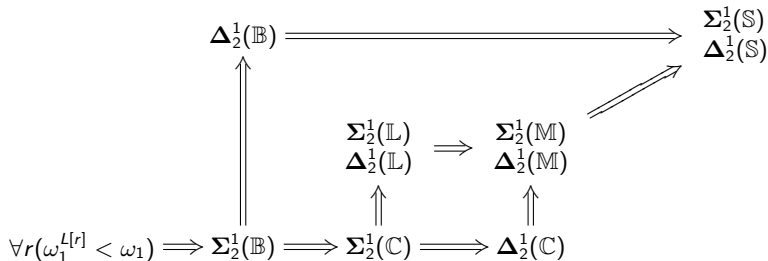
- *The following are equivalent:*
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 - 2 $\Sigma_2^1(\mathbb{M})$
 - 3 $\forall r \exists x$ (x is unbounded over $L[r]$)

- *The following are equivalent:*
 - 1 $\Delta_2^1(\mathbb{S})$
 - 2 $\Sigma_2^1(\mathbb{S})$
 - 3 $\forall r \exists x$ ($x \notin L[r]$)

Correspondence

Regularity hypothesis	Transcendence over $L[r]$	Cardinal characteristic
$\forall r(\omega_1^{L[r]} < \omega_1)$	“making ground-model reals countable”	\aleph_1
$\Sigma_2^1(\mathbb{B})$	measure-one many random reals	$\text{add}(\mathcal{N})$
$\Delta_2^1(\mathbb{B})$	random reals	$\text{cov}(\mathcal{N})$
$\Sigma_2^1(\mathbb{C})$	co-meager many Cohen reals	$\text{add}(\mathcal{M})$
$\Delta_2^1(\mathbb{C})$	Cohen reals	$\text{cov}(\mathcal{M})$
$\Delta_2^1(\mathbb{L}) / \Sigma_2^1(\mathbb{L})$	dominating reals	\mathfrak{b}
$\Delta_2^1(\mathbb{M}) / \Sigma_2^1(\mathbb{M})$	unbounded reals	\mathfrak{d}
$\Delta_2^1(\mathbb{S}) / \Sigma_2^1(\mathbb{S})$	new reals	2^{\aleph_0}

Cichon's diagram



Analogy between hypotheses about regularity on 2nd level and cardinal characteristics.

Question

What happens at higher levels of the projective hierarchy?

Large cardinals?

One possible answer (Ikegami, Judah-Spinas, Friedman): assume suitable large cardinals to “lift” characterization theorems to higher levels, replacing L by some other suitable inner model.

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Then by similar arguments, one obtains the analogous diagram on higher projective levels.

Disadvantage of large cardinals

Our approach is different, for the following reasons:

- 1 Since $\mathbf{Proj}(\mathbb{P})$ can be obtained just from an inaccessible, it seems unnatural to require stronger hypotheses for questions about $\Sigma_n^1(\mathbb{P})$ and $\Delta_n^1(\mathbb{P})$ for **low** values of n (Bagaria, Judah, Shelah).

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- 2 Assuming **too** strong hypotheses trivializes the question (e.g. PD). We need **exactly the right** large cardinal strength, which seems artificial.

Additional motivation

Recall the Bartoszynski-Raisonnier-Stern implication: $\Sigma_2^1(\mathbb{B}) \Rightarrow \Sigma_2^1(\mathbb{C})$.

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We will see more examples.

ZFC

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Without **characterization results**, can anything at all be said for regularity properties on higher projective levels?

Some straightforward implications

Fact

Let Γ be **any** pointclass closed under continuous pre-images. Then:

- 1 $\Gamma(\mathbb{L}) \Rightarrow \Gamma(\mathbb{M}) \Rightarrow \Gamma(\mathbb{S})$.
- 2 $\Gamma(\mathbb{B}) \Rightarrow \Gamma(\mathbb{S})$.
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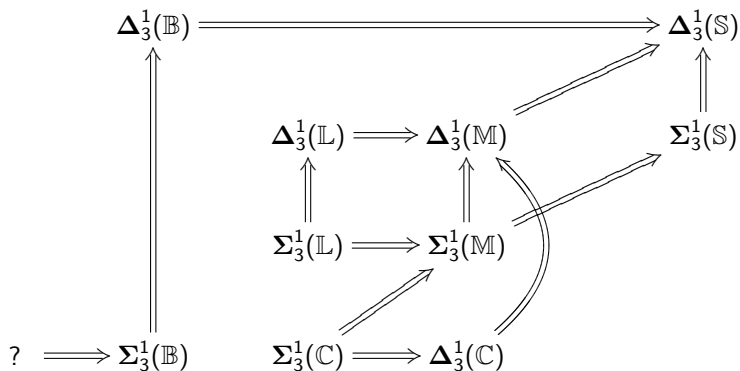
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Proof.

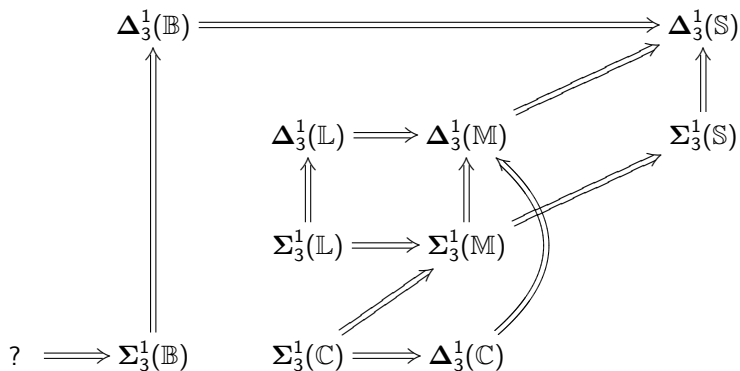
First, note that for $T \in \mathbb{P}$ there is a homeomorphism between $[T]$ and ω^ω (or 2^ω). So we can ignore the “below any condition”-clause in the definition of \mathbb{P} -measurability!

- 1 A Laver tree is a Miller tree, which is (almost) a Sacks tree.
- 2 A closed set of positive measure contains a perfect subset of positive measure.
- 3 A set comeager in a basic open set contains a super-perfect tree. □

Cichoń's diagram on the third level



Cichoń's diagram on the third level



Eventually, we would like to “solve” this diagram in ZFC or ZFC + inaccessible.

Cohen and Random

Concerning Cohen and Random, some things were known:

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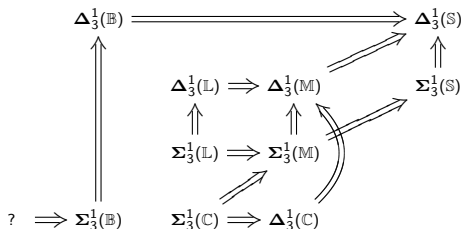
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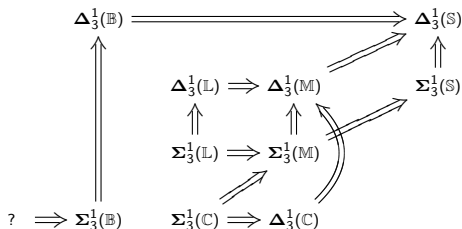
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- $\text{Con}(\Delta_4^1(\mathbb{B}) + \neg\Delta_4^1(\mathbb{C}))$ from inaccessible (Judah-Spinas 1995)

Solving the diagrams



Solving the entire diagram on the 3rd or higher levels still seems difficult.

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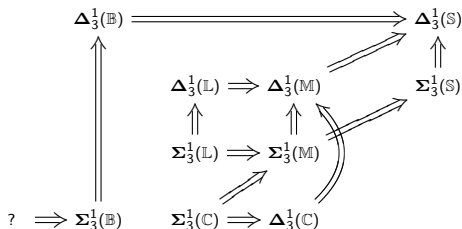


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Question

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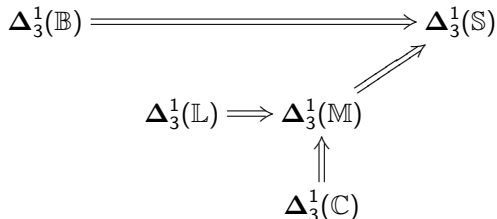
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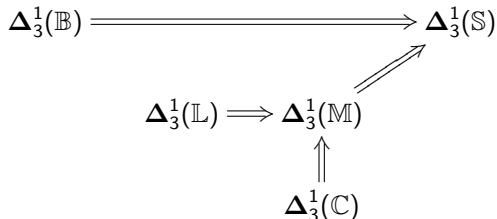
But it is easier if we restrict attention exclusively to Δ_3^1 , Σ_3^1 or Δ_4^1 sets!

The Δ_3^1 -diagram



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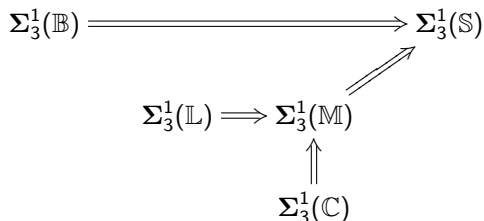
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Theorem (Fischer-Friedman-Kh)

Using ZFC + inaccessible, there is a model for each such combination.

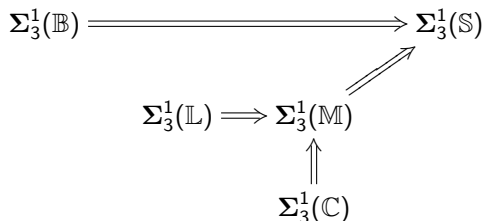
In 8 out of 11 cases, ZFC is sufficient.

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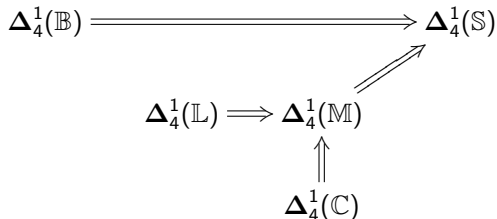


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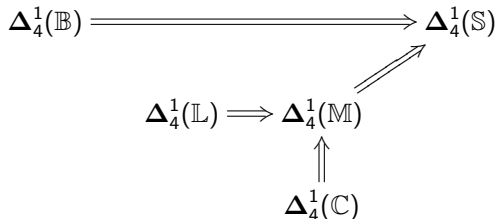
From ZFC + inaccessible, 5 out of 11 combinations have a model.

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Theorem (Fischer-Friedman-Kh)

From ZFC + inaccessible, 7 out of 11 combinations have a model.

Separating Σ from Δ

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Starting from ZFC, there is a model where $\Delta_3^1(\mathbb{P})$ holds for all \mathbb{P} but $\Sigma_3^1(\mathbb{B})$ and $\Sigma_3^1(\mathbb{C})$ fail.

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By the above theorem, this fails to lift to the 3rd and 4th levels.

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All our results are obtained by ω_1 -iterations of Suslin or Suslin⁺ proper forcing, with countable support, starting from L , L^* or L^d . If we use L or L^* we have a ZFC-proof; if we use L^d we require an inaccessible.

For the rest of the talk...

- 1 Suslin and Suslin⁺ proper forcing.
- 2 Methods for obtaining regularity.
- 3 Solving the diagrams.

1. Suslin and Suslin^+ proper forcing.

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- Idea: replace $M \prec \mathcal{H}_\theta$ by **any** countable transitive model M of (a sufficient fragment of) ZFC.
- But “ $\mathbb{P} \cap M$ ” etc. does not make sense when M is not elementary.

Suslin proper forcing

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If \mathbb{P} is Suslin and M is any countable model containing the parameters defining \mathbb{P} , then \mathbb{P}^M refers to the **interpretation** of \mathbb{P} within M .

Suslin proper forcing

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Definition

A forcing notion \mathbb{P} is **Suslin proper** if it is Suslin and for **any** countable transitive model M containing the parameters of \mathbb{P} , and every $p \in \mathbb{P}^M$, there is $q \leq p$ which is (M, \mathbb{P}) -generic, i.e.,

$$q \Vdash_{(\mathbb{P} \text{ over } V)} \text{“} M[\dot{G}] \text{ is a } \mathbb{P}^M\text{-generic extension of } M\text{”}.$$

Suslin⁺ proper forcing

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Problem: Unfortunately, many standard forcing notions (in particular Sacks, Miller and Laver) are not **exactly** Suslin, because \perp is only Π_1^1 but not Σ_1^1 .

Solution: (Shelah; Goldstern) Replace “Suslin” by “Suslin⁺”, where we don’t require \perp to be Σ_1^1 . Instead, we make sure that there is an “effective” version of being an (M, \mathbb{P}) -generic condition.

Technically, require that there exists a Σ_2^1 , $(\omega + 1)$ -place relation $\text{epd}(p_i, q)$ such that if $\text{epd}(p_i, q)$ holds then $\{p_i \mid i < \omega\}$ is predense below q (provably in ZFC), and use epd to define an effectively (M, \mathbb{P}) -generic condition.

Remarks about Suslin^+

Remarks:

- 1 All standard definable forcings used in the theory of the reals which are known to be proper, are actually Suslin^+ proper.
- 2 In fact, they satisfy an effective version of Axiom A which implies Suslin^+ properness (Kellner 2006).

Why is this useful?

Iterations of Suslin⁺ proper forcing notions satisfy nice properties which other iterations do not.

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- 3 If $V \models \forall r (\omega_1^{L[r]} < \omega_1)$ then $V^{\mathbb{P}_\alpha} \models \forall r (\omega_1^{L[r]} < \omega_1)$.
- 4 If $V \models \forall r (\omega_1^{L[r]} < \omega_1)$ then Σ_3^1 -absoluteness holds **between any pair of models** N and N' with $V \subseteq N \subseteq N' \subseteq V^{\mathbb{P}_\alpha}$.
(This was proved by Judah for Suslin ccc forcing).

2. Methods for obtaining regularity.

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Classical results say, roughly:

- An iteration of length ω_1 of \mathbb{P} yields $\Delta_2^1(\mathbb{P})$, and
- An iteration of length ω_1 of “amoeba-for- \mathbb{P} ” yields $\Sigma_2^1(\mathbb{P})$.

The point is to squeeze out stronger results using Suslin⁺ properness.

Amoeba and Quasi-amoeba

Definition

Let \mathbb{P} be a tree-like forcing notion, and $\mathbb{A}\mathbb{P}$ another forcing. We say that

- 1 $\mathbb{A}\mathbb{P}$ is a **quasi-amoeba for** \mathbb{P} if for every $p \in \mathbb{P}$ and every $\mathbb{A}\mathbb{P}$ -generic G , in $V[G]$ there is a $q \leq p$ such that

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- 2 $\mathbb{A}\mathbb{P}$ is an **amoeba for** \mathbb{P} if for every $p \in \mathbb{P}$ and every $\mathbb{A}\mathbb{P}$ -generic G , in $V[G]$ there is a $q \leq p$ such that for any larger model $W \supseteq V[G]$,

$$W \models \forall x \in [q] (x \text{ is } \mathbb{P}\text{-generic over } V).$$

Examples

For Cohen and random, **quasi-amoeba** and **amoeba** are the same thing. But in general they are different.

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Examples:

- 1 \mathbb{S} is a quasi-amoeba, but not an amoeba, for itself (Brendle 1998).
- 2 \mathbb{M} is a quasi-amoeba, but not an amoeba, for itself (Brendle 1998).
- 3 \mathbb{L} is **not** a quasi-amoeba for itself (Brendle 1998), but there are amoebas for \mathbb{L} .
- 4 Mathias forcing \mathbb{R} is an amoeba for itself.

The methods

Method 1 (Bagaria-Judah)

- 1 If $V \models \Sigma_2^1(\mathbb{B})$ then $V^{\mathbb{B}_{\omega_1}} \models \Delta_3^1(\mathbb{B})$.
- 2 If $V \models \Sigma_2^1(\mathbb{C})$ then $V^{\mathbb{C}_{\omega_1}} \models \Delta_3^1(\mathbb{C})$.

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Method 2 (Fischer-Friedman-Kh)

Suppose $\mathbb{A}\mathbb{P}_i$ is a quasi-amoeba for \mathbb{P}_i for all $i \leq k$, and all \mathbb{P}_i and $\mathbb{A}\mathbb{P}_i$ are Suslin⁺ proper. Then $V^{(\mathbb{P}_0 * \mathbb{A}\mathbb{P}_0 * \dots * \mathbb{P}_k * \mathbb{A}\mathbb{P}_k)_{\omega_1}} \models \Delta_3^1(\mathbb{P}_i)$ for each i .

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Corollary

$V^{\mathbb{S}_{\omega_1}} \models \Delta_3^1(\mathbb{S})$ and $V^{\mathbb{M}_{\omega_1}} \models \Delta_3^1(\mathbb{M})$.

Some aspects of the proof

This method is based on the proof of Judah-Shelah that the ω_1 -iteration of Mathias-forcing yields $\Delta_3^1(\text{Ramsey})$.

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Idea: in the intermediary extension, the quasi-amoeba gives us a \mathbb{P} -condition q such that all $x \in [q]$ are generic over the ground model. From this we conclude (in this intermediary extension) that for all $x \in [q]$, the statement “a certain condition forces a certain Π_2^1 -statement concerning x ” is true. Then in the final extension, it may **not** be true that all $x \in [q]$ are generic but that **doesn't matter** because the above statement is preserved by Π_2^1 -absoluteness.

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For this to work, we rely heavily on properties of Suslin⁺ proper iterations!

More methods

Method 3 (Fischer-Friedman-Kh)

Suppose $V \models \forall r (\omega_1^{L[r]} < \omega_1)$ and $\mathbb{P}_{\omega_1} := \langle \mathbb{P}_\alpha, \dot{Q}_\alpha \mid \alpha < \omega_1 \rangle$ is an iteration of Suslin⁺ proper forcing notions in which \mathbb{P} appears cofinally often. Then $V^{\mathbb{P}_{\omega_1}} \models \Delta_3^1(\mathbb{P})$.

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Idea: Here, we use the Σ_3^1 -absoluteness between models N, N' with $V \subseteq N \subseteq N' \subseteq V[G_{\omega_1}]$, and the preservation of $\forall r (\omega_1^{L[r]} < \omega_1)$ by Suslin⁺ proper iterations.

Even more methods

Method 4 (Fischer-Friedman-Kh)

Suppose $V \models \forall r (\omega_1^{L[r]} < \omega_1)$, $\mathbb{A}\mathbb{P}_i$ is a quasi-amoeba for \mathbb{P}_i for all $i \leq k$, and all \mathbb{P}_i and $\mathbb{A}\mathbb{P}_i$ are Suslin⁺ proper. Then $V^{(\mathbb{P}_0 * \mathbb{A}\mathbb{P}_0 * \dots * \mathbb{P}_k * \mathbb{A}\mathbb{P}_k)_{\omega_1}} \models \Delta_4^1(\mathbb{P}_i)$ for each i .

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Idea: Direct generalization of Method 2, using Σ_3^1 -absoluteness between intermediary models instead of Shoenfield absoluteness.

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3. Solving the diagrams.

Separation

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Fact

Let V be a model with a Σ_3^1 -good wellorder of the reals.

- 1 If there are no Cohen reals over V then $\neg\Delta_3^1(\mathbb{C})$.
- 2 If there are no random reals over V then $\neg\Delta_3^1(\mathbb{B})$.
- 3 If there are no dominating reals over V then $\neg\Delta_3^1(\mathbb{L})$.
- 4 If there are no unbounded reals over V then $\neg\Delta_3^1(\mathbb{M})$.
- 5 If $\omega^\omega \cap V = \omega^\omega$ then $\neg\Delta_3^1(\mathbb{S})$.

Solving the Δ_3^1 -diagram

$$\begin{array}{ccc} \Delta_3^1(\mathbb{B}) & \xRightarrow{\quad} & \Delta_3^1(\mathbb{S}) \\ & & \nearrow \\ \Delta_3^1(\mathbb{L}) & \Rightarrow & \Delta_3^1(\mathbb{M}) \\ & \uparrow & \\ & \Delta_3^1(\mathbb{C}) & \end{array}$$

Recall:

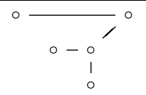
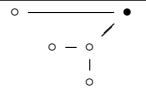
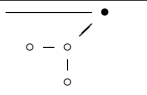
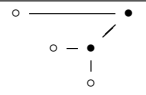
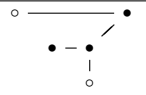
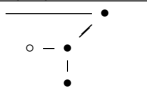
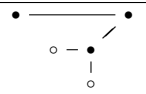
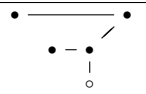
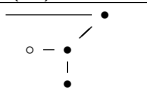
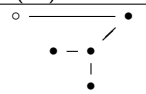

- 1 L^* is a model where
 - $\Sigma_2^1(\mathbb{P})$ holds for all \mathbb{P} , but
 - there is a Σ_3^1 -good wellorder of the reals.
- 2 L^d is a model where
 - $\forall r (\omega_1^{L[r]} < \omega_1)$, but
 - there is a Σ_3^1 -good wellorder of the reals.

○ = FALSE

● = TRUE

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 <p>L</p>	 <p>$L^{S\omega_1}$</p>	 <p>$(L^*)^{B\omega_1}$</p>
 <p>$L^{M\omega_1}$</p>	 <p>$L^{(L*AL)\omega_1}$ or $L^{R\omega_1}$</p>	 <p>$(L^*)^{C\omega_1}$</p>
 <p>$(L^d)^{(B*M)\omega_1}$</p>	 <p>$(L^d)^{(B*L)\omega_1}$</p>	 <p>$(L^d)^{(B*C)\omega_1}$</p>
 <p>$(L^d)^{(C*L)\omega_1}$ or a ZFC-model of Bartoszyński-Judah</p>	 <p>$L^{(B*A*C*L*AL)\omega_1}$ or $L^{(B*A*C*R)\omega_1}$</p>	

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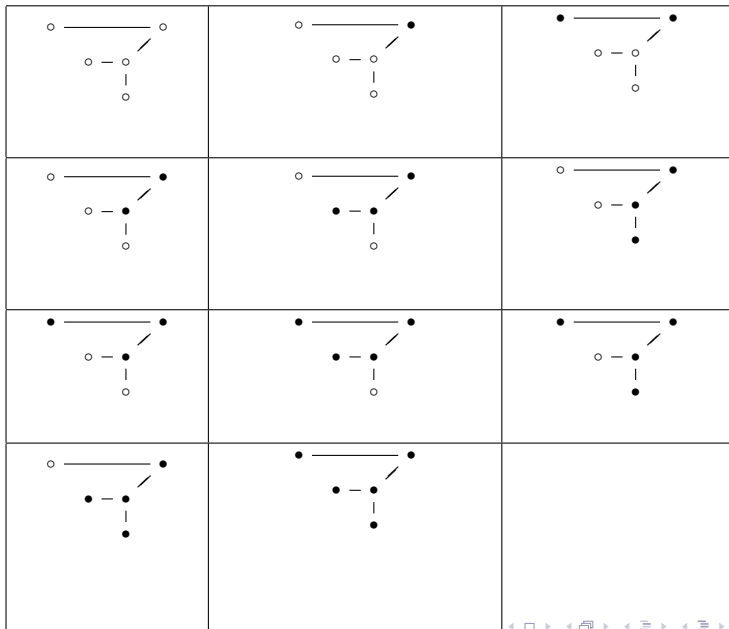
● = TRUE

<p>L</p>	<p>$(L^d)^{S_{\omega_1}}$</p>	<p>???</p>
<p>$(L^d)^{M_{\omega_1}}$</p>	<p>$(L^d)^{(L*AL)_{\omega_1}}$ or $(L^d)^{R_{\omega_1}}$</p>	<p>???</p>
<p>???</p>	<p>???</p>	<p>???</p>
<p>???</p>	<p>$(L^d)^{(B*A*C*L*AL)_{\omega_1}}$ or $(L^d)^{(B*A*C*R)_{\omega_1}}$ (or Solovay Model)</p>	

$$\begin{array}{ccc} \Delta_4^1(\mathbb{B}) & \xRightarrow{\quad\quad\quad} & \Delta_4^1(\mathbb{S}) \\ & \nearrow & \\ \Delta_4^1(\mathbb{L}) \xRightarrow{\quad} & \Delta_4^1(\mathbb{M}) & \\ & \Uparrow & \\ & \Delta_4^1(\mathbb{C}) & \end{array}$$

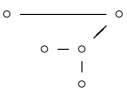
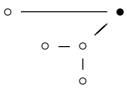
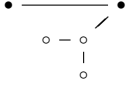
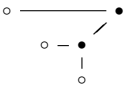
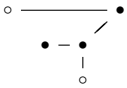
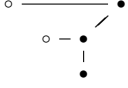
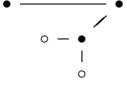
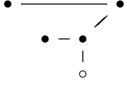
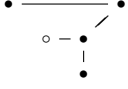

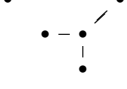

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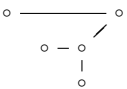
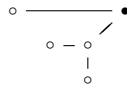
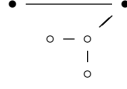
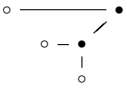
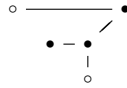
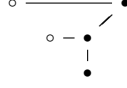
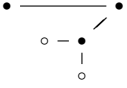
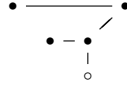
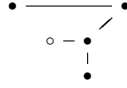
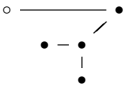
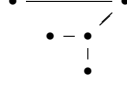

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 <p>L</p>	 <p>$(L^d)^{S_{\omega_1}}$</p>	 <p>???</p>
 <p>$(L^d)^{M_{\omega_1}}$</p>	 <p>$(L^d)^{(L*AL)_{\omega_1}}$ or $(L^d)^{R_{\omega_1}}$</p>	 <p>???</p>
 <p>???</p>	 <p>???</p>	 <p>???</p>
 <p>???</p>	 <p>$(L^d)^{(B*A*C*L*AL)_{\omega_1}}$ or $(L^d)^{(B*A*C*R)_{\omega_1}}$ (or Solovay Model)</p>	

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 <p style="text-align: center;">L</p>	 <p style="text-align: center;">$(L^d)^{S_{\omega_1}}$</p>	 <p style="text-align: center;">Judah-Spinas 1995</p>
 <p style="text-align: center;">$(L^d)^{M_{\omega_1}}$</p>	 <p style="text-align: center;">$(L^d)^{(L*AL)}_{\omega_1}$ or $(L^d)^{R_{\omega_1}}$</p>	 <p style="text-align: center;">Judah-Spinas 1995</p>
 <p style="text-align: center;">???</p>	 <p style="text-align: center;">???</p>	 <p style="text-align: center;">???</p>
 <p style="text-align: center;">???</p>	 <p style="text-align: center;">$(L^d)^{(B*A*C*L*AL)}_{\omega_1}$ or $(L^d)^{(B*A*C*R)}_{\omega_1}$ (or Solovay Model)</p>	

Separating Δ from Σ

Theorem (Fischer-Friedman-Kh)

Starting from ZFC, there is a model where $\Delta_3^1(\mathbb{P})$ holds for all \mathbb{P} but $\Sigma_3^1(\mathbb{B})$ and $\Sigma_3^1(\mathbb{C})$ fail.

Starting from ZFC + inaccessible, there is a model where $\Delta_4^1(\mathbb{P})$ holds for all \mathbb{P} but $\Sigma_4^1(\mathbb{B})$ and $\Sigma_4^1(\mathbb{C})$ fail.

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Idea:

- For the first assertion, use the Σ_3^1 **Raisonnier filter** defined from the reals of L , and $\omega_1^L = \omega_1$.
- For the second assertion, use the Σ_4^1 **Raisonnier filter** defined using the reals of L^d and $\omega_1^{L^d} = \omega_1$.

Open Questions

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- 1 Is $\Sigma_3^1(\mathbb{P})$ and $\Delta_3^1(\mathbb{P})$ equivalent for Sacks, Miller and Laver? (we conjecture that they are not).

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- 2 Solve the Δ_3^1 -diagram in ZFC.
- 3 Solve the other diagrams.
- 4 Consistency strength of $\Sigma_3^1(\mathbb{L})$?

Thank you!

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