

Notes on V as a derived model of HOD

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We sketch a proof of a thm. of Woodin:

Theorem (Woodin ~~WOD~~) Assume $AD_{\mathbb{R}}$ and either $cf(\Theta) = \omega$, or Θ is regular. Then there is a G V -generic for $\text{Coll}(\omega, <\Theta)$ such that if \mathbb{R}_G^* , Hom_G^* are the associated derived model of HOD, then there is an elementary

$$\lambda: L(\mathbb{R}, P(\mathbb{R}))^V \rightarrow L(\mathbb{R}_G^*, \text{Hom}_G^*).$$

Proof ~~EA/AM~~. We may as well assume " $V = L(P(\mathbb{R}))$ " holds in V . Fix G s.t. $x \in \mathbb{R}^V \Rightarrow x \in \text{HOD}[G, \text{Coll}(\omega, \lambda)]$, some $\lambda < \Theta$.

~~Use Vopenka to get G_1~~ (Use Vopenka to get G_1)

Let $x \in \bigcup \{g\}$ \rightarrow g on $\text{Coll}(\omega, \lambda)$, $\lambda < \Theta$

For $A \subseteq \mathbb{R}$ is V : V -generic g coded in \mathbb{R}_G

$A \in \mathcal{U}_x \Leftrightarrow \exists T$ (T a tree on some $\omega \times \gamma$, for $x \in \Theta$, and

- $p[T] \subseteq A$
- $x \in p[T]$)

Claim 1.

\mathcal{U}_x is an ultrafilter:

Let $x = \bar{\pi} g$, π a name. So π is essentially a subset of λ . We have

$$x \in \text{HOD}_{\pi, \bar{\mu}} \{g\},$$

Force over $\text{HOD}_{\pi, \bar{\mu}}$ where $\bar{\mu}$ is a homog. system $\bar{\mu}$ for A . (I.e. $S_{\bar{\mu}} = A$.)

In $\text{HOD}_{\pi, \bar{\mu}}$ we have (by the OD tower-replicating fcns, cf. devised model paper-proof of Seale (Σ_1^2)) for each $\gamma < \Theta$ a homog. sys. for A with γ -complete measures. So we have

$\langle \mathcal{T}_\gamma, \mathcal{T}_\gamma^+ \rangle$ ($\gamma < \Theta$) in $\text{HOD}_{\pi, \bar{\mu}}$ where

$\text{HOD}_{\pi, \bar{\mu}} \models$ $\mathcal{T}_\gamma, \mathcal{T}_\gamma^+$ are γ -abs. compl. and $p[\mathcal{T}_\gamma] = A, p[\mathcal{T}_\gamma^+] = -A$ (every real is in \mathcal{T}_γ^+)

So

$$x \in p[T_\gamma], \text{ for all suff. lg. } \gamma$$

or

$$x \in p[T_\gamma^*], \text{ for all suff. lg. } \gamma$$

(one γ is enough), □

Remark See pages 2a-2d.

Remark What happens if we force over V with the modified Gandy-Harrington conditions on trees T on some $\omega \times \omega$, and order ... = ?

Claim 2

Los' lem for ~~the~~ $V^{\mathbb{R}} / \mathcal{U}_x$: ← term in V .

I can only see how to do this if $cf(\theta) = \omega$, or θ is regular.

Say ~~the~~ $A \in \mathcal{U}_x$, and

$$\forall z \in A \quad V \models \exists v \in [V, f(z)]$$

where $f \in V$, $f: \mathbb{R} \rightarrow V$.

Remark Let $A \in \mathbb{R}$ be in V . We have a homog. system $\bar{\mu}$ s.t. $A = S_{\bar{\mu}}$ in V .

In HOD, ~~there is a~~ Let $\gamma < \Theta$ be s.t. all measures μ_s are definable in V from ordinals $< \gamma$. We have also definable, continuous tower-replicating and tower-flipping functions F_{ξ}^i , $\xi < \Theta$, which associated s.t. $\forall f \in \gamma^\omega$

- (1) f codes a homog. sys. $\bar{\eta} \in \mathbb{R}^{\mathbb{R}}$ $\Rightarrow \bigcup_n F_{\xi}^0(f \upharpoonright n)$ codes a homog sys. \vec{v} s.t. the v_s are ξ -complete, and $S_{\vec{v}} = S_{\bar{\eta}}$

- (2) Same as (1), but with $F_{\xi}^1(f)$ coding \vec{v} s.t. $S_{\vec{v}} = -S_{\bar{\mu}}$.

Note HOD can reconstruct the embs of a homog. sys. (restricted to itself) from the ordinal coding its measures.

Thus picking Θ_α s.t. $\gamma < \Theta_\alpha < \Theta$ and using Vopenka to get $f \in \gamma^w$ s.t. $\mu_f \upharpoonright A$ codes $\bar{\mu}$ generated Θ_α over HOD:

$$\text{HOD}[f] \models "S_{\bar{\mu}_f} \text{ is } < \Theta \text{ homog.}"$$

so we get $\langle (T_\xi, T_\xi^*) \mid \xi < \Theta \rangle$ in

HOD[ξ] s.t.

$$\text{HOD}[\xi] \models (T_\xi, T_\xi^*) \text{ are } \xi\text{-absolute complements, and } p[T_\xi] = S_{\bar{\mu}}$$

measures, $p[T_\xi] = A$ holds in V .

(By the construction.) In this circumstance,

we call $\langle f, \langle (T_\xi, T_\xi^*) \mid \xi < \Theta \rangle \rangle$ a

code of A over HOD.

Note that the codes of A over HOD are in V .

(26)

Lemma Let $\langle f, \langle (T_\xi, T_\xi^*) \mid \xi < \theta \rangle \rangle$ and $\langle g, \langle (S_\xi, S_\xi^*) \mid \xi < \theta \rangle \rangle$ be codes of A over HOD . Then

$$\bigcup_{\xi < \theta} p[T_\xi] \cap \mathbb{R}_G^* = \bigcup_{\xi < \theta} p[S_\xi] \cap \mathbb{R}_G^*$$

Proof $\text{HOD}[f, g]$ is a small extension of both $\text{HOD}[f]$ and $\text{HOD}[g]$. Moreover, $\text{HOD}[f, g] \subseteq V$, where $S_{\overline{H}_f} = S_{\overline{H}_g} = A$ holds.



So for $A \subseteq \mathbb{R} \subseteq V$, and $\langle f, \langle (T_\xi, T_\xi^*) \mid \xi < \theta \rangle \rangle$ a code of A over HOD , put

$$A^* = \bigcup_{\xi < \theta} p[T_\xi] \cap \mathbb{R}_G^*.$$

This is the canonical blowup of A to \mathbb{R}_G^* . It is indep. of the code.

The proof of claim 1 showed

(24)

Lemma For $x \in \mathbb{R}^+$, and $A \in \mathcal{R}$ in V
 $x \in A^*$ iff $A \in \mathcal{U}_x$

Proof \Rightarrow is clear. But if $x \in A^*$,
then $x \in (-A)^*$, so $-A \in \mathcal{U}_x$.

But \mathcal{U}_x is a filter. (By since
 $p \in \mathcal{T}_0 \wedge p \in \mathcal{T}_1 = \emptyset$ in $V \Rightarrow$ same
true in $V[G]$.) Thus

$A \notin \mathcal{U}_x$.

□

In V , every v is OD from some set of reals B . Run

Θ req: Get $\eta < \Theta$ s.t. $\forall z \in A$

$$\forall f \exists B \in P_\eta(\mathbb{R}) \exists v \in OD(B) \varphi[v, f(z)]$$

Fix $|B_0|_w = \eta$

$$\forall f \forall z \in A \exists \sigma \exists v \in OD(\sigma^{-1} B_0) \varphi[v, f(z)]$$

Now uniformise to get $g(z) = \text{some such } \sigma$, etc.

$\text{cf}(\Theta) = \omega$ Let η_n 's be cof in Θ .

$$Z_n = \{z \mid \exists B \in P_{\eta_n}(\mathbb{R}) \exists v \in OD(B) \varphi[v, f(z)]\}$$

$\langle Z_n \mid n \in \omega \rangle$ is Suslin. This gives a seq. ~~of~~ $\bar{\mu}_n$ of homog. ^{systems} ~~reals~~, with $S_{\bar{\mu}_n} = Z_n$. Work over

$$HOD_{\langle \bar{\mu}_n \mid n \in \omega \rangle} \uparrow \bar{\omega}, \bar{\omega} \quad \text{clear} \quad S_{\bar{\omega}} = A$$

and do the argument of part 1.

Now $x \in \left(\sum_{\vec{v}} \right)^{\text{HOD}}_{\langle \bar{\mu}_n | \text{new} \rangle, \tau, \vec{v}} \text{ [eg]}$

(4)

so for some n , $x \in \left(\sum_{\bar{\mu}_n} \right)^{\text{HOD}}_{\langle \bar{\mu}_n | \text{new} \rangle, \tau}$

because the relationship $\sum_{\vec{v}} = \bigcup_n \sum_{\bar{\mu}_n}$ holds in V , and is absolute.

This gives an n s.t.

$Z_n \in U_x$. Now use uniformization,

as in \emptyset seq. case.



Claim 3.

$V^{\mathbb{R}} / U_x$ is wellfounded

If not, $L(P(\mathbb{R})) \models "p \Vdash U_{\mathbb{H}}(V^{\mathbb{R}}, U_{\mathbb{H}}) \text{ is illfdd}"$

By AD⁺ reflection

for some $p \in \text{Col}(w, \mathbb{R})$

$L_d(P_p(\mathbb{R})) \models p \Vdash U_{\mathbb{H}}(U, U_{\mathbb{H}}) \text{ is illfdd.}$

In \mathcal{V} , we have full DCW for relations on $\mathcal{L}_\alpha(P_\beta(\mathbb{R}))$. Using this we can find averages in \mathcal{V} (by a Gandy-style fusion argument)

sequences $\langle p_n \rangle$, $\langle T^n \rangle$, $\langle f_n \rangle$,

$\langle (S_k^n, u_k^n) \rangle$ (for $k \geq n$) s.t.:

$$(1) p_n \in \text{Col}(w, \gamma), \quad p_{n+1} \leq p_n$$

$$(2) p_n \Vdash p[T^n] \in \mathcal{U}_{\uparrow j}$$

$$(3) f_n : p[T^n] \rightarrow \text{ORD}$$

(4) for $k > n$:

$$(i) \langle (u_k^n, S_k^n) \rangle \in T^n$$

$$(ii) j < k \rightarrow u_j \neq u_k \text{ and } S_j^n \not\subseteq S_k^n$$

$$(iii) p[T^k] \subseteq p[T_{(u_k^n, S_k^n)}^n]$$

$$(5) f_{n+1}(z) < f_n(z) \text{ for all } z \in p[T^{n+1}]$$

But now let

$$\mathbb{Z} = \bigcup_k U_k$$

$$f^n = \bigcup_k S_k^n$$

then $(z, f^n) \in [T^n]$ for all n . Thus $f_{n+1}(z) < f_n(z)$ for all n , contra. □

Note there is a natural embedding

$$\pi_{\vec{x}, \vec{y}} : \text{Ult}(V, \mathcal{U}_{\vec{x}}) \rightarrow \text{Ult}(V, \mathcal{U}_{\vec{y}})$$

whenever \vec{x} is (a real coding) a subsequence of a (real coding) \vec{y} . Set

$$V^\infty = \text{dir lim}_{\vec{x} \in \mathbb{R}^*_\alpha} \text{Ult}(V, \mathcal{U}_{\vec{x}}).$$

Claim 4 V^∞ is wellfounded.

Proof like that for claim 3. □

Claim 5 $\mathbb{R} \cap V^\infty = \mathbb{R}_G^*$

Proof If $x \in \mathbb{R}_G^*$, then $x \in \text{Ult}(V, \mathcal{U}_x)$,
so $x \in V^\infty$ as $i_{x, \infty}(x) = x$.

If $x \in V^\infty$, say $x = i_{\gamma, \infty}(y)$ we
have $y \in \mathbb{R}_G^*$ s.t. $x \in \text{Ult}(V, \mathcal{U}_y)$.
But then $x \in V[\mathcal{U}_y]$. So we have
 $\gamma < \Theta$ s.t.

$$x \in V[\mathcal{U}_g]$$

where $g = G \cap \text{Coll}(\omega, < \gamma)$. Say
 $x = \uparrow g$

where $\uparrow \in V$, $\uparrow \in \text{Coll}(\omega, < \gamma) \times \omega$.

Note that if $\gamma < \eta < \Theta$,
then \uparrow is generic over $\text{HOD}[G \cap \text{Coll}(\omega, < \eta)]$

for the ~~$\text{HOD}[G \cap \text{Coll}(\omega, < \eta)]$~~
~~extension algebra~~ Vopenka algebra

extender algebra of HOD ~~is~~ as

(8)

the least $\Theta_\alpha > \eta$.

Remark Could use the Jopuka algebra,
and π generic over HOD, and then
switch to $G \cap \text{Coll}(w, < \eta)$ generic
over HOD $[\pi]$.

~~Since~~ But then π can
be absorbed into a collapse of Θ_α
over HOD $[G \cap \text{Coll}(w, < \eta)]$. Since
 G is generic over V , this does
happen at some such η , with the
further collapse being G itself.

I.e. $\pi \in V [G \cap \text{Coll}(w, < \Theta_\alpha)]$

some α . π or gives

$x = \pi \circ \pi \in V [G \cap \text{Coll}(w, < \Theta_\alpha)]$

as desired.



Claim 6 Let $A \subseteq \mathbb{R}$, $A \in V$. Then

$$i_{0,\infty}(A) = A^*$$

(9)

Proof Let $x \in \mathbb{R}_G^*$. Then

$x \in A^*$ iff $A \in \mathcal{U}_x$ (earlier lemma)

iff $x \in i_{0,x}(A)$ (as $x = [\lambda z, z]_{\mathcal{U}_x}$)

iff $x \in i_{0,\infty}(A)$.



Claim 7 $P(\mathbb{R}) \cap V^\infty \cong \text{Hom}_G^*$

Proof ~~Since~~ \subseteq Since Θ is regular of cof w , $\sup i_{0,\infty} \Theta = \Theta^{V^\infty}$. So

it is enough to see $i_{0,\infty}(A) \in \text{Hom}_G^*$ whenever $A \subseteq \mathbb{R}$ and $A \in V$. But

$i_{0,\infty}(A) = A^*$, and clearly $A^* \in \text{Hom}_G^*$.

10 Strangely, we seem to need 9a
an indirect argument.

$$\text{Let } K = (\Theta^+)^V$$

= least γ not surj. image
of Θ in V

= least γ not surj. image
of $P(\mathbb{R})$ in V .

We can assume $G \in V[H]$, where
 H is V -gen for $\text{Coll}(\omega, P(\mathbb{R}))$.

So

$V[H] = \aleph_1^{\aleph_1} + P(\mathbb{R})^V$ is
countable + $K = \omega_1 +$
 GCH (in fact, V is $L[z]$,
for some real z).

In $V[H]$ $\lambda_{\aleph_1}(\alpha)$ is estbl. for
all $\alpha < K$, and λ_{\aleph_1} is cont. at K ,
so

$$\lambda_{\aleph_1}(K) = K.$$

Thus

9b

$$V^\infty \models \kappa = \Theta^+$$

But $V^\infty \models \text{Hom}_{\mathbb{Q}}^*$ iff $P(\mathbb{R})^{V^\infty}$ is a proper Wadge initial segment of $\text{Hom}_{\mathbb{Q}}^*$, then $(\Theta^+)^{V^\infty}$ is no longer a cardinal in $L(\mathbb{R}_{\mathbb{Q}}^*, \text{Hom}_{\mathbb{Q}}^*)$, hence κ is not a cardinal in $V \models HT$.
Contradiction.



This completes the proof of the theorem. For no important reason, we now relate V^∞ to the generic ultrapower direct limit we would get via Koehn's - Woodin's generic codes, construction.

We don't know whether $\text{Hom}_G^+(V, V)$.

(10)

But \mathcal{U}_g is a natural larger generic ultrapower of V given by the Keisler-Wood generic codes construction:

For $\lambda < \Theta$ and $g \in \text{Col}(w, \lambda)$ -generic over V , one gets an ultrafilter on $(w_\lambda)^V$ by setting for A in V , $A \in (w_\lambda)^V$:

$A \in \mathcal{U}_g$ iff $\exists n (A \cap N_{g^n}$ is coinage in N_{g^n}).

Here $N_s = \{h \in w_\lambda \mid s \subseteq h\}$, and coinage

Claim 8 Los' theorem holds for $\text{Ult}(V, \mathcal{U}_g)$.

Proof This is essentially the same as the proof of claim 2: we use $\text{cf}(\Theta) = w$ or Θ regular.

We also use that any $h: \omega_\lambda \rightarrow \omega_\omega$ (11)
 can be uniformized on a comeager set.
 (The whole argument here is just Kechris - Woodin, though they only address directly $V = L(\mathbb{R})$.)

Claim 9 (KW) Let \mathcal{U}_2 be the supremum measure on $P_{\omega_1}(\lambda)$; then for V :

for every $f: \omega_\lambda \rightarrow \text{ORD}$ in V ,
~~there is an $F: P_{\omega_1}(\lambda) \rightarrow \text{ORD}$~~
~~and a comeager~~

\emptyset non-meager $A \subseteq \omega_\lambda$ and

$F: A \rightarrow \text{ORD}$, there is a $B \subseteq A$

non-meager s.t. $\forall f, g \in B$

$$\text{ran}(f) = \text{ran}(g) \Rightarrow F(f) = F(g)$$

Prof Kechris - Woodin: for the typical $\sigma \in P_{\omega_1}(\lambda)$, find $s: \omega \rightarrow \sigma$ s.t.,
 F is constant on ~~some~~ a \emptyset comeager subset

of $N_s^\sigma = \{s \in {}^\omega \sigma \mid s \in \mathcal{F}\}$.

(12)

(Comaqor in ${}^\omega \sigma$.) Now fix $s = s_\sigma$ for a.e. σ .

By claim 9, $\text{Ult}(\mathcal{F}, \mathcal{U}_g)$ and $\text{Ult}(\text{HWO}, \mathcal{U}_\lambda)$ are isomorphic, where HWO = class of hereditarily wo'd sets, and $\mathcal{U}_\lambda =$ super-cptness measure on $P_{w,}(\mathcal{K})$. So

Claim 10 $\text{Ult}(V, \mathcal{U}_g)$ is wellfdd.

Similarly, given $\lambda_1, \dots, \lambda_n \in \Theta$, and g_1, \dots, g_n generic for $\text{Col}(w, \lambda_1) \times \dots \times \text{Col}(w, \lambda_n)$, we can define $\mathcal{U}_{\langle g_1, \dots, g_n \rangle}$ on $({}^\omega \lambda_1 \times \dots \times {}^\omega \lambda_n)^\vee$ using comaqor sets in the product top.

Again, Los' thm holds for

(13)

$Ult(V, \langle u_{g_1, \dots, g_n} \rangle)$, which is w.f.,

Note that and so far as ordinals go,

isom to $Ult(V, \langle u_{x_1, \dots, x_n} \rangle)$

(where $\langle u_{x_1, \dots, x_n} \rangle =$ supercptness measure on $P_{\aleph_1}(x_1, \dots, x_n)$).

So Also, if \vec{h} is a subseq. of \vec{g} ,

there is a natural elem. emb.

$$\pi_{\vec{h}, \vec{g}} : Ult(V, \langle u_{\vec{h}} \rangle) \rightarrow Ult(V, \langle u_{\vec{g}} \rangle).$$

(Have to record which subseq of \vec{g} is \vec{h} , if more than one.) Set

$$\bigcap V^\infty = \text{dir lim}_{\vec{g} \text{ coded in } \mathbb{R}_a^+} Ult(V, \langle u_{\vec{g}} \rangle)$$

Claim 11 $\bigcap V^\infty$ is wellfounded.

Proof Similar to that for V^∞ . Omitted for now.



Claim $\mathbb{R} \cap V^\infty = \mathbb{R}_G^*$.

P.f If $x \in \mathbb{R}_G^*$, then $x = \lambda g$ for some $g \in V\text{-gen} / \text{Coll}(w, \lambda)$, with $\lambda < 0$.

Kechris-Wood: show that $x \in \text{Ult}(V, \mathcal{U}_g)$.

($x = [F]_{\mathcal{U}_x}$, where F is a cont. fun on w_λ which looks like λ with $F(f)(n) = k$ iff for some $p \in f$, $p \Vdash \check{\nu}(n) = k$)

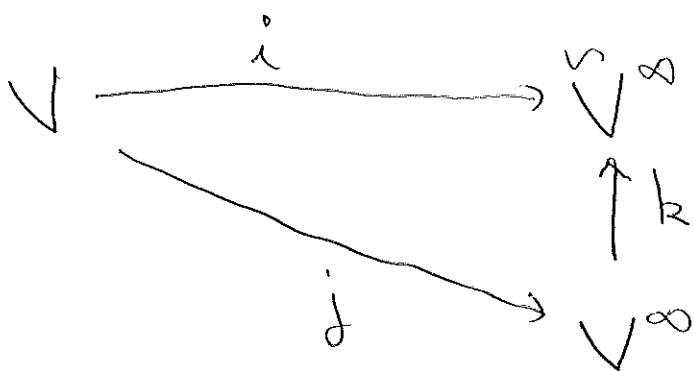
If $x \in V^\infty$, then for some g coded in \mathbb{R}_G^* , $x \in \text{Ult}(V, \mathcal{U}_g)$. But then $x \in V[g]$, so $x \in \mathbb{R}_G^*$ as in claim 5.



Now for $x \in \mathbb{R}_G^*$, say $x = \lambda g$ where $g \in V\text{-gen} / \text{Coll}(w, \lambda)$.

We can now embed V^ω into \tilde{V}^ω : we have

(15)



where k is defined by :

$$k(x) = x \quad \text{for } x \in \mathbb{R}_G^*$$

and

$$k(j(t)) = i(t) \quad \text{for } t \in V.$$

(These two clauses are mutually consistent.)

Since V^ω is the Skolem closure of \mathbb{R}_G^* under $\text{ran}(j)$, k is well-defined and elementary, provided we show

Claim 13 For $\bar{t} \in V^{<\omega}$, $\bar{x} \in \mathbb{R}_G^{<\omega}$, φ wff

$$\tilde{V}^\omega \models \varphi[i(\bar{t}), \bar{x}] \text{ iff } V^\omega \models \varphi[j(\bar{t}), \bar{x}]$$

Proof

Fix $t \in V$ and $x \in \mathbb{R}_G^*$. In V ,

(16)

let

$$A = \{z \in \mathbb{R} \mid V \models \varphi[t, z]\},$$

~~Let $x \in \mathbb{R}_G^*$~~ Let $x = \uparrow g$, g on $\text{Col}(\omega, \lambda)$ coded in \mathbb{R}_G^* , $\lambda < \theta$.

Let $\langle f, \langle \langle T_\xi, T_\xi^* \rangle \mid \xi < \theta \rangle \rangle$ be a code for A over HOD. We have

$$V^\infty \models \varphi[i(t), x] \text{ iff}$$

$$\text{iff } \langle V, u_f \rangle \models \varphi[i_g(t), x]$$

$$\text{iff } x \in i(A)$$

$$\text{iff } x \in p[i(T_\xi)] \text{, for all } \xi$$

$$\textcircled{*} \Rightarrow \text{iff } x \in p[T_\xi] \text{, for all suff. lg. } \xi$$

(all $\xi > \lambda$)

$$\text{iff } x \in A^* = j(A)$$

$$\text{iff } \check{V}^\infty \models \varphi[j(t), x].$$

To see the equivalence is ~~is~~, (18)
 note that if $x \notin p[\mathcal{T}_\xi]$, then
 where $\xi > \lambda$, then $x \in p[\mathcal{T}_\xi^*]$,
 so $x \in p[\text{Li}(\mathcal{T}_\xi^*)] \cap p[\text{Li}(\mathcal{T}_\xi)]$,
 contrary to absoluteness of wffness.

(X)

Claim 14 $\tilde{V}^\infty = V^\infty$ and $k = \text{id}$.

(Note $\text{cf}(\theta) = \omega$ or θ regular is part
 of our hypothesis in getting k .)

Prf If $k \neq \text{id}$, then

$\text{crit } k = \theta^{\tilde{V}^\infty}$. But both

i and j are continuous on θ^V ,

as either $\text{cf}(\theta) = \omega$ or θ reg.

Since $k(j(\theta)) = i(\theta)$, As $i = k \circ j$,

this gives $k(\theta^{\tilde{V}^\infty}) = \theta^{\tilde{V}^\infty}$.

(X)

From $\tilde{V}^\infty = V^\infty$ we get a second proof that V^∞ is wellfounded. We also get that $i_{\omega} \uparrow \text{ORD}$ is determined by supercompactness ultrapowers on $P_{\omega_1}(\lambda)$, $\lambda < \Theta$, so $i_{\omega} \uparrow \Theta$ is in V .

We also get $i_{\omega} \uparrow \lambda \in V^\infty$,

for all $\lambda < \Theta$. I don't see how to prove these things without using $V^\infty = \tilde{V}^\infty$.

References

Kechris-Woodin, Generic codes for unctbl. ordinals, re-issued Cabal Seminar volume I.