

Counting Woodin cardinals in HOD

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AD⁺

- ▶ (ZF) Θ is the supremum of the ordinals α such that there exists a surjection, $\pi : \mathbb{R} \rightarrow \alpha$.

Definition: AD⁺ Axioms

1. ZF + DC _{\mathbb{R}}
2. Suppose $\pi : \gamma^\omega \rightarrow \omega^\omega$ is continuous and $\gamma < \Theta$.
 - ▶ Then for each $A \subseteq \omega^\omega$, $\pi^{-1}(A)$ is determined.
3. (Suppose $A \subset \omega^\omega$ then $A \in L(S, \mathbb{R})$ for some $S \subseteq \text{Ord.}$)

By the Moschovakis Coding Lemma:

Theorem (AD⁺)

Suppose $\Gamma \subset \mathcal{P}(\mathbb{R})$.

- ▶ Then $L(\Gamma, \mathbb{R}) \models \text{AD}^+$.

The utility of AD^+ : Part I

- ▶ Many consequences of $AD^{L(\mathbb{R})}$ for $L(\mathbb{R})$ generalize to $L(\mathcal{P}(\mathbb{R}))$ assuming AD^+ .

Definition (AD)

$M_{\Delta_1^2}$ is the union of all transitive sets M such that

$$(M, \in) \cong (\mathbb{R}/\sim, E)$$

for some E, \sim which are each Δ_1^2 -definable binary relations.

- ▶ Similarly define $M_{\Delta_1^2}$.

Theorem (AD^+)

The following hold.

- ▶ Σ_1^2 has the scale property.
- ▶ Suppose $X \subset L(\mathcal{P}(\mathbb{R}))$ is $\Sigma_1(\mathbb{R})$ -definable in $L(\mathcal{P}(\mathbb{R}))$.
 - ▶ If $X \neq \emptyset$ then $X \cap M_{\Delta_1^2} \neq \emptyset$.
- ▶ $M_{\Delta_1^2} \prec_{\Sigma_1} L(\mathcal{P}(\mathbb{R}))$.

Lecture 1: The Kechris-Martin Theorem for $\Pi_{\omega+1}^1$

Notation (PD):

$$T_\omega^1 = \bigoplus T_\varphi$$

where φ ranges over all Σ_n^1 -formulas such that $0 < n < \omega$ and φ defines a Σ_n^1 -scale on a Σ_n^1 -set, and T_φ is the tree of that scale.

Theorem ($\text{AD}^{L(\mathbb{R})}$)

Let η be the least admissible ordinal relative to T_ω^1 . Then

- $\mathbb{R} \cap L_\eta[T_\omega^1] = Q_{\Pi_{\omega+1}^1}$ and $\mathbb{R} \cap L_\eta[T_\omega^1] \in L_\eta[T_\omega^1]$.

Theorem ($\text{AD}^{L(\mathbb{R})}$)

Let η be the least admissible ordinal relative to T_ω^1 . Suppose $X \subseteq Q_{\Pi_{\omega+1}^1}$. Then the following are equivalent.

- (1) X is $\Pi_{\omega+1}^1$.
- (2) X is $\Sigma_{\omega+1}^1$ -definable in $L_\eta[T_\omega^1]$.
- (3) X is $\Sigma_1(T_\omega^1)$ -definable in $L_\eta[T_\omega^1]$.

The utility of AD^+ : Part II

Definition

Suppose $A \subseteq \mathbb{R}$. Then A is **strongly projective-like** if the pointclass, $\Sigma_{n+1}^1(A)$, has the scale property for some $n < \omega$.

- ▶ $T_\omega^1(A) = \bigoplus T_\varphi$ is defined exactly as T_ω^1 is defined
 - ▶ using $\Sigma_n^1(A)$ -formulas in place of Σ_n^1 -formulas.

Definition (AD^+)

Suppose that $A \subseteq \mathbb{R}$ is strongly projective-like. Then

- ▶ $Q_{\Pi_{\omega+1}^1(A)}$ is the set of all x such that there exists y such that:
 - ▶ $x \leq_T y$ and y is a $\Pi_\omega^1(A)(\alpha)$ -singleton for some $\alpha < \omega_1$.

Theorem (AD^+)

Suppose that $A \subseteq \mathbb{R}$ is strongly projective-like. Let η be the least admissible ordinal relative to $T_\omega^1(A)$. Then

- ▶ $\mathbb{R} \cap L_\eta[T_\omega^1(A)] = Q_{\Pi_{\omega+1}^1(A)}$ and $\mathbb{R} \cap L_\eta[T_\omega^1(A)] \in L_\eta[T_\omega^1(A)]$.

The Kechris-Martin Theorem for $\Pi_{\omega+1}^1(A)$

- ▶ $T_\omega^1(A)$ is a subtree of $(\omega \times \delta_\omega^1(A))^{<\omega}$

where $\delta_\omega^1(A)$ is the supremum of the lengths of all the prewellorderings which are $\Sigma_n^1(A)$ for some $n < \omega$.

Theorem (AD⁺)

Suppose that $A \subset \mathbb{R}$ is strongly projective-like. Let η be the least admissible ordinal relative to $T_\omega^1(A)$. Suppose

- ▶ $X \subseteq Q_{\Pi_{\omega+1}^1(A)}$.

Then the following are equivalent.

- (1) X is $\Pi_{\omega+1}^1(A)$.
- (2) X is $\Sigma_{\omega+1}^1(A)$ -definable in $L_\eta[T_\omega^1(A)]$.
- (3) X is $\Sigma_1(T_\omega^1(A))$ -definable in $L_\eta[T_\omega^1(A)]$.

- ▶ The analysis shows that for all $\alpha < \delta_\omega^1(A)$:
 - ▶ $\mathcal{P}(\alpha) \cap L_\eta[T_\omega^1(A)] \in L_\eta[T_\omega^1(A)]$.

Basic notions: Suslin sets and Suslin cardinals

Definition (ZF)

A set $A \subseteq \mathbb{R}$ is λ -**Suslin** if A has a λ -scale.

Definition (ZF)

A cardinal λ is a **Suslin cardinal** if there exists $A \subseteq \mathbb{R}$ such that

- ▶ A is λ -Suslin
 - ▶ A is not δ -Suslin for any $\delta < \lambda$.
-
- ▶ ω and ω_1 are Suslin cardinals.

Lemma

Suppose \mathbb{R} can be wellordered. Then the following hold.

- ▶ *c is a Suslin cardinal.*
- ▶ *c is the largest Suslin cardinal.*
- ▶ *Every (infinite) cardinal $\lambda \leq c$ is a Suslin cardinal.*

AD versus AD^+ : Part I

Theorem ($ZF + AD + DC_{\mathbb{R}}$)

Suppose $A \subseteq \mathbb{R}$ and A is Suslin.

- ▶ Then $L(A, \mathbb{R}) \models AD^+$.

Theorem ($ZF + AD + DC_{\mathbb{R}}$)

Let Γ be the set of all $A \subset \mathbb{R}$ such that $L(A, \mathbb{R}) \models AD^+$. Then:

- ▶ $L(\Gamma, \mathbb{R}) \models AD^+$.
- ▶ If $\Gamma \neq \mathcal{P}(\mathbb{R})$ then $L(\Gamma, \mathbb{R}) \models AD_{\mathbb{R}}$.

- ▶ $ZF + DC + AD + \neg AD^+$, if consistent, is very strong.
 - ▶ It implies the consistency of $ZF + DC + AD_{\mathbb{R}}$.

AD versus AD^+ : Part II

Theorem ($ZF + AD + DC$)

The following are equivalent.

- (1) *Every set is Suslin.*
- (2) $AD_{\mathbb{R}}$.
- (3) *Every set $A \subset \mathbb{R} \times \mathbb{R}$ can be uniformized.*

Corollary ($ZF + DC$)

Assume $AD_{\mathbb{R}}$. Then AD^+ .

Conjecture ($ZF + DC_{\mathbb{R}}$)

Assume AD . Then AD^+ .

HOD and measurable cardinals

Theorem (Solovay:1967)

Assume AD.

- ▶ Then ω_1^V is a measurable cardinal in HOD.
- ▶ Solovay's theorem gave the first connection between AD and large cardinal axioms.

Theorem

Assume AD^+ and that $V = L(\mathcal{P}(\mathbb{R}))$.

- ▶ Then ω_1^V is the least measurable cardinal in HOD.
- ▶ The hypothesis that $V = L(\mathcal{P}(\mathbb{R}))$ is necessary.

HOD and Woodin cardinals

Theorem (ZF + AD + DC _{\mathbb{R}})

One of the following hold.

- (1) Θ is a Woodin cardinal in HOD.
- (2) Θ is a limit of Woodin cardinals in HOD.

The Inner Model Test Question

Suppose φ is a Σ_2 -sentence defining a large cardinal axiom.

- ▶ Assume AD⁺ and that $V = L(\mathcal{P}(\mathbb{R}))$. Can HOD $\models \varphi$?

Lemma

Assume AD⁺ and that $V = L(\mathcal{P}(\mathbb{R}))$.

- ▶ *Suppose κ is a measurable cardinal in HOD. Then $\kappa < \Theta$.*

Assume AD⁺ and that $V = L(\mathcal{P}(\mathbb{R}))$.

- ▶ The large cardinals of HOD occur in the interval $[\omega_1^V, \Theta]$.

Approximating Θ : The Solovay Sequence

Definition (AD^+): Solovay Sequence

$\langle \Theta_\alpha : \alpha \leq \Omega \rangle$ is the sequence defined by induction on α as follows.

1. Θ_0 is the supremum of the set of $\xi \in \text{Ord}$ such that there is a surjection $\pi : \mathbb{R} \rightarrow \xi$ such that π is OD.
2. $\Theta_{\alpha+1}$ the supremum of the set of $\xi \in \text{Ord}$ such that there is a surjection $\pi : \mathcal{P}(\Theta_\alpha) \rightarrow \xi$ such that π is OD.
3. $\Theta_\alpha = \sup\{\Theta_\beta \mid \beta < \alpha\}$ if α is a nonzero limit ordinal.
4. $\Theta = \Theta_\Omega$.

Theorem (Cabal)

Assume AD^+ . Then:

- ▶ *The Suslin cardinals are closed in Θ .*
- ▶ *Θ_α is a Suslin cardinal for each $\alpha < \Omega$.*
- ▶ *Θ_α is a limit of Suslin cardinals if and only if:*
 - ▶ *$\alpha > 0$ and α is a limit ordinal.*

The Solovay sequence and large cardinals

Theorem (AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$)

Let $\langle \Theta_\alpha : \alpha \leq \Omega \rangle$ be the Solovay sequence.

- ▶ Suppose that $\alpha \leq \Omega$ and that either $\alpha = 0$ or α is not a limit ordinal.

Then the following hold.

- ▶ Θ_α is a Woodin cardinal in HOD.
- ▶ Let δ be the largest Suslin cardinal such that $\delta < \Theta_\alpha$.
 - ▶ Then δ is a strong cardinal in $\text{HOD} \cap V_{\Theta_\alpha}$.

The Θ_α Conjecture where $\alpha > 0$ is a limit ordinal

Theorem (AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$)

Let $\langle \Theta_\alpha : \alpha \leq \Omega \rangle$ be the Solovay sequence. Suppose that $\alpha \leq \Omega$. Then the following are equivalent.

- (1) Θ_α is a Woodin cardinal in HOD.
- (2) $\alpha = 0$ or α is a successor ordinal.

The Θ_α Conjecture

Assume AD^+ and that $V = L(\mathcal{P}(\mathbb{R}))$. Suppose that $\delta \leq \Theta$. Then the following are equivalent.

1. $\delta = \Theta_\alpha$ for some limit ordinal $\alpha > 0$.
2. δ is a limit of Woodin cardinals in HOD and for all $\kappa < \delta$,
 - ▶ κ is not $(< \delta)$ -strong in HOD.

The Weak Θ_α Conjecture

The Weak Θ_α Conjecture

Assume AD^+ and that $V = L(\mathcal{P}(\mathbb{R}))$. Suppose that δ is a limit of Suslin cardinals. Then the following are equivalent.

1. $\delta = \Theta_\alpha$ for some limit ordinal $\alpha > 0$.
2. δ is a limit of Woodin cardinals in HOD.

- ▶ This is a version of the Θ_α Conjecture restricted to limits of Suslin cardinals.

When there is a largest Suslin cardinal

Theorem ($AD + DC_{\mathbb{R}}$)

The following are equivalent.

- (1) AD^+ .
- (2) *The set of Suslin cardinals is closed below Θ .*

Theorem ($AD + DC_{\mathbb{R}}$)

The following are equivalent.

- (1) $(\neg AD_{\mathbb{R}}) + AD^+$.
- (2) *There is a largest Suslin cardinal.*

- ▶ The models of AD^+ which satisfy $V = L(\mathcal{P}(\mathbb{R}), \neg AD_{\mathbb{R}})$, and in which the largest Suslin cardinal is on the Solovay Sequence are the LSA models of AD^+ .

Verifying a consequence: I

Theorem (AD^+)

Assume $V = L(\mathcal{P}(\mathbb{R}))$ and that $AD_{\mathbb{R}}$ does not hold.

► Let δ be the largest Suslin cardinal.

Assume the Weak Θ_α Conjecture. Then the following are equivalent.

- (1) δ is a limit of Woodin cardinals in HOD.
- (2) $\delta = \Theta_\delta$.

Theorem (AD^+)

Assume $V = L(\mathcal{P}(\mathbb{R}))$ and that $AD_{\mathbb{R}}$ does not hold.

► Let δ be the largest Suslin cardinal.

Then the following are equivalent.

- (1) δ is a limit of Woodin cardinals in HOD.
- (2) $\delta = \Theta_\delta$.

Verifying a consequence: II

Corollary (AD^+)

Assume $V = L(\mathcal{P}(\mathbb{R}))$ and that $AD_{\mathbb{R}}$ does not hold.

- ▶ Let δ be the largest Suslin cardinal.
- ▶ Suppose there is a Woodin cardinal in HOD **above** δ .

Then $\delta = \Theta_\delta$.

- ▶ The proof also adapts to yield a proof of the Weak Θ_α Conjecture.

Theorem

Assume AD^+ and that $V = L(\mathcal{P}(\mathbb{R}))$. Suppose that δ is a limit of Suslin cardinals. Then the following are equivalent.

1. $\delta = \Theta_\alpha$ for some limit ordinal $\alpha > 0$.
2. δ is a limit of Woodin cardinals in HOD.

$V = L(\mathcal{P}(\mathbb{R}))$ versus $V = L(A, \mathbb{R})$ for some $A \subseteq \mathbb{R}$

Theorem (AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$)

For each $\gamma < \Theta$ there exists $A \subseteq \mathbb{R}$ such that

- ▶ $\gamma < \Theta_A$,
- ▶ $\text{HOD} \cap V_{\Theta_A} = \text{HOD}^{L(A, \mathbb{R})} \cap V_{\Theta_A}$;

where $\Theta_A = \Theta^{L(A, \mathbb{R})}$.

- ▶ Assume AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$. Thus:
 - ▶ For the question of which Σ_2 -expressible large cardinal axioms (which imply measurability) can hold in HOD, we can arguably reduce to the case that $V = L(A, \mathbb{R})$ for some $A \subseteq \mathbb{R}$.

Perhaps we should assume large cardinals exist in V and look for such sets $A \subseteq \mathbb{R}$ in V .

Narrowing the search: Universally Baire sets

Definition (Feng-Magidor-Woodin)

A set $A \subseteq \mathbb{R}^n$ is **universally Baire** if:

- ▶ For all topological spaces Ω ,
- ▶ For all continuous functions $\pi : \Omega \rightarrow \mathbb{R}^n$;

the preimage of A by π has the property of Baire in the space Ω .

- ▶ Universally Baire sets have the property of Baire
 - ▶ Simply take $\Omega = \mathbb{R}^n$ and π to be the identity.
- ▶ Universally Baire sets are Lebesgue measurable.

Theorem

Assume $V = L$. Then every set $A \subseteq \mathbb{R}$ is the image of a universally Baire set by a continuous function

$$F : \mathbb{R} \rightarrow \mathbb{R}.$$

The universally Baire sets and AD^+

Theorem

Suppose that there is a proper class of Woodin cardinals and suppose $A \subseteq \mathbb{R}$ is universally Baire.

- ▶ *Then every set $B \in L(A, \mathbb{R}) \cap \mathcal{P}(\mathbb{R})$ is universally Baire.*

Theorem

Suppose that there is a proper class of Woodin cardinals.

(1) (Martin-Steel) *Suppose $A \subseteq \mathbb{R}$ is universally Baire.*

- ▶ *Then A is determined.*

(2) (Steel) *Suppose $A \subseteq \mathbb{R}$ is universally Baire.*

- ▶ *Then A has a universally Baire scale.*

Theorem

Suppose that there is a proper class of Woodin cardinals and that $A \subseteq \mathbb{R}$ is universally Baire.

- ▶ *Then $L(A, \mathbb{R}) \models AD^+$.*

The axiom $V = \text{Ultimate-L}$

- ▶ The existence of a Woodin cardinal is expressible by a Σ_2 -sentence.
 - ▶ Woodin cardinals clearly exist in V ;
 - ▶ If $A \subseteq \mathbb{R}$ is universally Baire and there is a proper class of Woodin cardinals then

$$\text{HOD}^{L(A, \mathbb{R})} \models \text{“There is a Woodin cardinal”}.$$

The axiom for $V = \text{Ultimate-L}$

- ▶ There is a proper class of Woodin cardinals.
- ▶ For each Σ_2 -sentence φ , if φ holds in V then there is a universally Baire set $A \subseteq \mathbb{R}$ such that

$$\text{HOD}^{L(A, \mathbb{R})} \models \varphi.$$

Some consequences of $V = \text{Ultimate-}L$

Theorem ($V = \text{Ultimate-}L$)

The Continuum Hypothesis holds.

Theorem ($V = \text{Ultimate-}L$)

$V = \text{HOD}$.

Theorem ($V = \text{Ultimate-}L$)

Let Γ^∞ be the set of all universally Baire sets $A \subseteq \mathbb{R}$. Then

$$\Gamma^\infty \neq \mathcal{P}(\mathbb{R}) \cap L(\Gamma^\infty, \mathbb{R})$$

If $V = \text{Ultimate-}L$ then:

- ▶ The Axiom of Choice holds in $L(\Gamma^\infty, \mathbb{R})$.
- ▶ This is the generalization to $V = \text{Ultimate-}L$ of the fact that if $V = L$ then there is a Σ_2^1 -wellordering of the reals.

The axiom $V = \text{Ultimate-}L$ and forcing

Theorem

Suppose $M \models \text{ZFC}$ is an iterable Mitchell-Steel model and there is a Woodin cardinal in M .

- ▶ *Then there exists an iterable Mitchell-Steel model N such that*
 - ▶ *$N \subseteq M$ and $N \neq M$.*
 - ▶ *$M = N[G]$ for some N -generic filter G on some $\mathbb{P} \in N$.*

- ▶ The theorem also holds for the (non-strategic) iterable models at the finite levels of supercompact.

Theorem ($V = \text{Ultimate-}L$)

V is not a nontrivial generic extension of any inner model.

Ω -logic and the Ω Conjecture: Part I

Definition (Validity in Ω -logic)

$T \models_{\Omega} \varphi$ if for all generic extensions $V[G]$ of V and for all α , if

$$V[G]_{\alpha} \models T$$

then $V[G]_{\alpha} \models \varphi$.

Definition

Suppose $A \subset \mathbb{R}$ is universally Baire and $M \models \text{ZFC}$ is a countable transitive set. Then M is **A -closed** if

$$A \cap M[G] \in M[G]$$

for all G such that G is M -generic for some $\mathbb{P} \in M$.

Ω -logic and the Ω Conjecture: Part II

Definition (Provability in Ω -logic)

Assume there is a proper class of Woodin cardinals. Then

▶ $T \vdash_{\Omega} \varphi$

if there is a universally Baire set A such that

$$M \models "T \models_{\Omega} \varphi"$$

for all countable transitive $M \models \text{ZFC}$ such that:

- ▶ $T \in M$,
- ▶ M is A -closed.

Definition (Ω Conjecture)

Assume there is a proper class of Woodin cardinals. Then for all sentences φ

- ▶ $\models_{\Omega} \varphi$ if and only if $\vdash_{\Omega} \varphi$.

Ω -logic and the Ω Conjecture: Part III

Theorem (Generic absoluteness of Ω -validity)

Assume there is a proper class of Woodin cardinals. Suppose T is a theory and φ is a sentence. Then the following are equivalent.

- ▶ $T \models_{\Omega} \varphi$.
- ▶ For all partial orders \mathbb{P} : $V^{\mathbb{P}} \models "T \models_{\Omega} \varphi"$.

Theorem (Generic absoluteness of the Ω Conjecture)

Assume there is a proper class of Woodin cardinals. Then the following are equivalent.

- ▶ Ω Conjecture.
- ▶ For all partial orders \mathbb{P} : $V^{\mathbb{P}} \models "\Omega$ Conjecture".

The Axiom $V = \text{Ultimate-}L$ and the Ω Conjecture

The Θ_0 Conjecture

Assume AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$.

- ▶ Then (provably) Θ_0 is the least Woodin cardinal of HOD .

- ▶ Evidence for the Θ_0 Conjecture:

Theorem

Assume AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$. Then for a Turing cone of x :

- ▶ Θ_0 is the least Woodin cardinal of HOD_x .

Theorem ($V = \text{Ultimate-}L$)

Assume the Θ_0 Conjecture holds. Then the Ω Conjecture holds.

Counting Woodin cardinals in HOD

Theorem (Θ_0 -Theorem)

Assume AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$.

▶ Then there is at most 1 Woodin cardinal in HOD below Θ_0 .

▶ Another version of the Θ_0 -Theorem:

Theorem ($\Theta_{\alpha+\omega}$ -Theorem)

Assume AD^+ and $V = L(\mathcal{P}(\mathbb{R}))$. Let

$$\langle \Theta_\alpha : \alpha \leq \Omega \rangle$$

be the Solovay sequence.

▶ Suppose $\alpha = 0$ or $\alpha = \beta + 1$ for some $\beta < \Omega$.

Then the following are equivalent.

1. $\Theta_{\alpha+\omega} \leq \Theta$.
2. There are ω -many Woodin cardinals in HOD above Θ_α .

▶ Θ_ω is the ω -th Woodin cardinal in HOD.

Applications of the Θ_0 -Theorem

Theorem ($V = \text{Ultimate-L}$)

The Ω Conjecture holds.

- ▶ Another corollary gives a simple reformulation of the Ω Conjecture which avoids having to define $T \vdash_{\Omega} \varphi$, the proof relation of Ω -logic.

Notation

- ▶ *Suppose φ is a Π_2 -sentence. Then*
$$V \models_{\Omega} \varphi$$
if φ holds in all generic extensions of V .

- ▶ $V \models_{\Omega} \varphi$ if and only if $\text{ZC} \models_{\Omega} \varphi$ holds in V .

$V = \text{Ultimate-}L$ versus the Ω Conjecture

Theorem

Assume there is a proper class of strong cardinals and a proper class of Woodin cardinals. Then the following are equivalent.

- (1) Ω Conjecture.
- (2) *There is a universally Baire set A with infinitely many Woodin cardinals in $\text{HOD}^{L(A, \mathbb{R})}$ such that for **all** Π_2 -sentences φ :*
 - ▶ $V \models_{\Omega} \varphi$ if and only if $\text{HOD}^{L(A, \mathbb{R})} \upharpoonright \Theta^{L(A, \mathbb{R})} \models_{\Omega} \varphi$.

Theorem

Assume there is a proper class of strong cardinals and a proper class of Woodin cardinals. Then the following are equivalent.

- (1) $V = \text{Ultimate-}L$.
- (2) *There is a universally Baire set A with infinitely many Woodin cardinals in $\text{HOD}^{L(A, \mathbb{R})}$ such that for **all** Π_2 -sentences φ :*
 - ▶ $V \models \varphi$ if and only if $\text{HOD}^{L(A, \mathbb{R})} \upharpoonright \Theta^{L(A, \mathbb{R})} \models \varphi$.