

On the significance of parameters in the comprehension schema in second-order arithmetic

Vladimir Kanovei (IITP, Moscow)

Conference of Mathematical Centers
November 2022
MSU and MIAN, Moscow

Table of contents

- Parameters
- Preliminaries
- The problem we consider
- First theorem
- Second theorem
- Theorem 2 proof sketch
- Model 2: picture
- Theorem 2 proof sketch 2
- A finite axiomatizability problem

Parameters are free variables in various axiom schemata in **PA**, **ZFC**, and other similar theories.

Parameters are free variables in various axiom schemata in **PA**, **ZFC**, and other similar theories. Given an axiom schema **S**, we let **S*** be the **parameter-free sub-schema**.

Parameters are free variables in various axiom schemata in **PA**, **ZFC**, and other similar theories. Given an axiom schema **S**, we let **S**^{*} be the **parameter-free sub-schema**.

Kreisel (A survey of proof theory, JSL 1968) was one of the first who paid attention to the comparison of some schemata in second-order **PA** and their parameter-free versions.

Parameters are free variables in various axiom schemata in **PA**, **ZFC**, and other similar theories. Given an axiom schema **S**, we let **S*** be the **parameter-free sub-schema**.

Kreisel (A survey of proof theory, JSL 1968) was one of the first who paid attention to the comparison of some schemata in second-order **PA** and their parameter-free versions. In particular, Kreisel noted that

[...] if one is convinced of the significance of something like a given axiom schema, it is natural to study details, such as the effect of parameters.

Parameters are free variables in various axiom schemata in **PA**, **ZFC**, and other similar theories. Given an axiom schema **S**, we let **S*** be the **parameter-free sub-schema**.

Kreisel (A survey of proof theory, JSL 1968) was one of the first who paid attention to the comparison of some schemata in second-order **PA** and their parameter-free versions. In particular, Kreisel noted that

[...] if one is convinced of the significance of something like a given axiom schema, it is natural to study details, such as the effect of parameters.

This talk is devoted to the effect of parameters in the schema of comprehension in second-order arithmetic.

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z .

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z . The axioms are as follows:

- 1 Peano's axioms for numbers.

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z . The axioms are as follows:

1 Peano's axioms for numbers.

2 **Induction** $\Phi(0) \wedge \forall k (\Phi(k) \implies \Phi(k+1)) \implies \forall k \Phi(k)$,
for every formula $\Phi(k)$ in $\mathcal{L}(\mathbf{PA}_2)$, and we allow parameters in $\Phi(k)$, *i. e.*, free variables other than k .

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z . The axioms are as follows:

1 Peano's axioms for numbers.

2 **Induction** $\Phi(0) \wedge \forall k (\Phi(k) \implies \Phi(k+1)) \implies \forall k \Phi(k)$,
for every formula $\Phi(k)$ in $\mathcal{L}(\mathbf{PA}_2)$, and we allow parameters in $\Phi(k)$, *i. e.*, free variables other than k .

3 **Extensionality** for sets.

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z . The axioms are as follows:

1 Peano's axioms for numbers.

2 **Induction** $\Phi(0) \wedge \forall k (\Phi(k) \implies \Phi(k+1)) \implies \forall k \Phi(k)$,
for every formula $\Phi(k)$ in $\mathcal{L}(\mathbf{PA}_2)$, and we allow parameters in $\Phi(k)$, *i. e.*, free variables other than k .

3 **Extensionality** for sets.

4 **Comprehension CA**: $\exists x \forall k (k \in x \iff \Phi(k))$,
for every formula Φ in which the variable x does not occur, and we allow parameters in Φ .

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z . The axioms are as follows:

1 Peano's axioms for numbers.

2 **Induction** $\Phi(0) \wedge \forall k (\Phi(k) \implies \Phi(k+1)) \implies \forall k \Phi(k)$,
for every formula $\Phi(k)$ in $\mathcal{L}(\mathbf{PA}_2)$, and we allow parameters in $\Phi(k)$, *i. e.*, free variables other than k .

3 **Extensionality** for sets.

4 **Comprehension CA**: $\exists x \forall k (k \in x \iff \Phi(k))$,
for every formula Φ in which the variable x does not occur, and
we allow parameters in Φ .

CA* is the parameter-free sub-schema of **CA** (that is, $\Phi(k)$ contains no free variables other than k).

The second order Peano arithmetic \mathbf{PA}_2 is a theory in the language $\mathcal{L}(\mathbf{PA}_2)$ with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z . The axioms are as follows:

1 Peano's axioms for numbers.

2 **Induction** $\Phi(0) \wedge \forall k (\Phi(k) \implies \Phi(k+1)) \implies \forall k \Phi(k)$,
for every formula $\Phi(k)$ in $\mathcal{L}(\mathbf{PA}_2)$, and we allow parameters in $\Phi(k)$, i. e., free variables other than k .

3 **Extensionality** for sets.

4 **Comprehension CA**: $\exists x \forall k (k \in x \iff \Phi(k))$,
for every formula Φ in which the variable x does not occur, and
we allow parameters in Φ .

\mathbf{CA}^* is the parameter-free sub-schema of **CA** (that is, $\Phi(k)$ contains no free variables other than k).

\mathbf{PA}_2^* is the subsystem of \mathbf{PA}_2 with **CA** replaced by \mathbf{CA}^* .

Is \mathbf{PA}_2^* strictly weaker than \mathbf{PA}_2 ?

Is \mathbf{PA}_2^* strictly weaker than \mathbf{PA}_2 ?

Depends.

Is \mathbf{PA}_2^* strictly weaker than \mathbf{PA}_2 ?

Depends.

In the sense of **consistency**, the answer is NO.

Is \mathbf{PA}_2^* strictly weaker than \mathbf{PA}_2 ?

Depends.

In the sense of **consistency**, the answer is NO.

Harvey Friedman (near 1980) established that the theories

\mathbf{PA}_2 and \mathbf{PA}_2^* are equiconsistent.

Is \mathbf{PA}_2^* strictly weaker than \mathbf{PA}_2 ?

Depends.

In the sense of **consistency**, the answer is NO.

Harvey Friedman (near 1980) established that the theories

\mathbf{PA}_2 and \mathbf{PA}_2^* are equiconsistent .

We study the problem in the context of **deductive strength**,

Is \mathbf{PA}_2^* strictly weaker than \mathbf{PA}_2 ?

Depends.

In the sense of **consistency**, the answer is NO.

Harvey Friedman (near 1980) established that the theories

\mathbf{PA}_2 and \mathbf{PA}_2^* are equiconsistent .

We study the problem in the context of **deductive strength**, and we obtain the opposite answer.

Theorem 1

PA_2^* *does not prove that every set has its complement.*

Theorem 1

\mathbf{PA}_2^* *does not prove that every set has its complement.*

Proof (sketch)

Let **L** be the constructible universe.

Theorem 1

\mathbf{PA}_2^* does not prove that every set has its complement.

Proof (sketch)

Let \mathbf{L} be the constructible universe.

Consider the **generic extension** $\mathbf{L}[\vec{a}]$ obtained by adjoining a **Cohen generic sequence** $\vec{a} = \langle a_n \rangle_{n < \omega}$ of sets $a_n \subseteq \omega$ to \mathbf{L} .

Theorem 1

\mathbf{PA}_2^* does not prove that every set has its complement.

Proof (sketch)

Let \mathbf{L} be the constructible universe.

Consider the **generic extension** $\mathbf{L}[\vec{a}]$ obtained by adjoining a **Cohen generic sequence** $\vec{a} = \langle a_n \rangle_{n < \omega}$ of sets $a_n \subseteq \omega$ to \mathbf{L} .

Let $X = (\mathcal{P}(\omega) \cap \mathbf{L})$

Theorem 1

\mathbf{PA}_2^* does not prove that every set has its complement.

Proof (sketch)

Let \mathbf{L} be the constructible universe.

Consider the **generic extension** $\mathbf{L}[\vec{a}]$ obtained by adjoining a **Cohen generic sequence** $\vec{a} = \langle a_n \rangle_{n < \omega}$ of sets $a_n \subseteq \omega$ to \mathbf{L} .

Let $X = (\mathcal{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}$.

Theorem 1

\mathbf{PA}_2^* does not prove that every set has its complement.

Proof (sketch)

Let \mathbf{L} be the constructible universe.

Consider the **generic extension** $\mathbf{L}[\vec{a}]$ obtained by adjoining a **Cohen generic sequence** $\vec{a} = \langle a_n \rangle_{n < \omega}$ of sets $a_n \subseteq \omega$ to \mathbf{L} .

Let $X = (\mathcal{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}$.

Then $\langle \omega; X \rangle$ is a model of \mathbf{PA}_2^* in which sets a_n do not have their complements, and hence the full **CA** fails.

Theorem 1

\mathbf{PA}_2^* does not prove that every set has its complement.

Proof (sketch)

Let \mathbf{L} be the constructible universe.

Consider the **generic extension** $\mathbf{L}[\vec{a}]$ obtained by adjoining a **Cohen generic sequence** $\vec{a} = \langle a_n \rangle_{n < \omega}$ of sets $a_n \subseteq \omega$ to \mathbf{L} .

Let $X = (\mathcal{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}$.

Then $\langle \omega; X \rangle$ is a model of \mathbf{PA}_2^* in which sets a_n do not have their complements, and hence the full **CA** fails.

The proof of \mathbf{CA}^* in $\langle \omega; X \rangle$ is based on the standard homogeneity and permutation-related properties of the forcing notion \mathbb{C}^ω involved, which is the finite-support product of the Cohen forcing \mathbb{C} . □

Theorem 1

\mathbf{PA}_2^* does not prove that every set has its complement.

Proof (sketch)

Let \mathbf{L} be the constructible universe.

Consider the **generic extension** $\mathbf{L}[\vec{a}]$ obtained by adjoining a **Cohen generic sequence** $\vec{a} = \langle a_n \rangle_{n < \omega}$ of sets $a_n \subseteq \omega$ to \mathbf{L} .

Let $X = (\mathcal{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}$.

Then $\langle \omega; X \rangle$ is a model of \mathbf{PA}_2^* in which sets a_n do not have their complements, and hence the full **CA** fails.

The proof of \mathbf{CA}^* in $\langle \omega; X \rangle$ is based on the standard homogeneity and permutation-related properties of the forcing notion \mathbb{C}^ω involved, which is the finite-support product of the Cohen forcing \mathbb{C} . □

Thus \mathbf{PA}_2^* does not prove a simple consequence of the full **CA**.

Theorem 2

$\text{PA}_2^* + \text{CA}(\Sigma_2^1)$ *does not prove a certain instance of the full **CA**.*

Theorem 2

$\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_2^1)$ *does not prove a certain instance of the full* **CA**.

$\mathbf{CA}(\Sigma_2^1)$ is **CA** (with parameters) restricted to Σ_2^1 formulas.

Let \mathbf{L} be the constructible universe.

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;

2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

$$W = \{b_n^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n < \omega\} \cup \{c_{n+1}^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n \in a_\xi\}.$$

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

$$W = \{b_n^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n < \omega\} \cup \{c_{n+1}^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n \in a_\xi\}. \quad (\text{no } a_\xi !)$$

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

$$W = \{b_n^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n < \omega\} \cup \{c_{n+1}^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n \in a_\xi\}. \quad (\text{no } a_\xi !)$$

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

$$W = \{b_n^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n < \omega\} \cup \{c_{n+1}^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n \in a_\xi\}. \quad (\text{no } a_\xi !)$$

$$\text{Let } X = \left(\bigcup_{Z \subseteq W \text{ finite}} \mathbf{L}[Z] \right) \cap \mathcal{P}(\omega).$$

Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

$$W = \{b_n^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n < \omega\} \cup \{c_{n+1}^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n \in a_\xi\}. \quad (\text{no } a_\xi !)$$

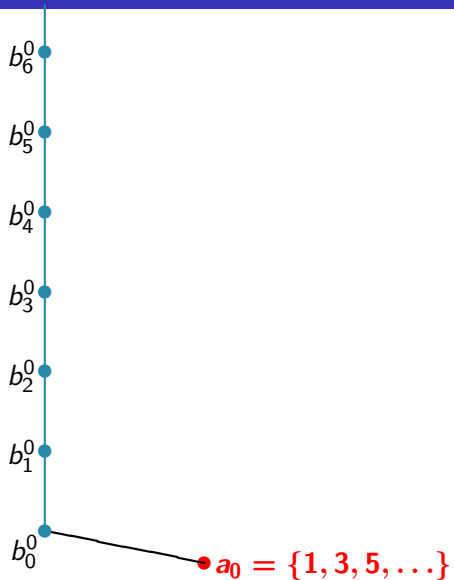
Let $X = \left(\bigcup_{Z \subseteq W \text{ finite}} \mathbf{L}[Z] \right) \cap \mathcal{P}(\omega)$.

Then $\langle \omega; X \rangle$ proves Theorem 2.

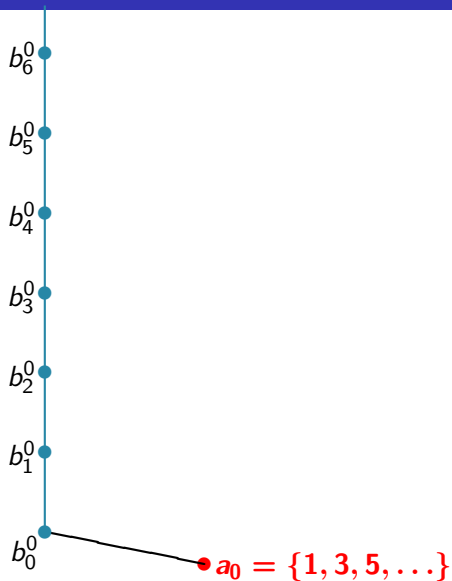
- $a_0 = \{1, 3, 5, \dots\}$

- $a_0 = \{1, 3, 5, \dots\}$

- do not enter the model

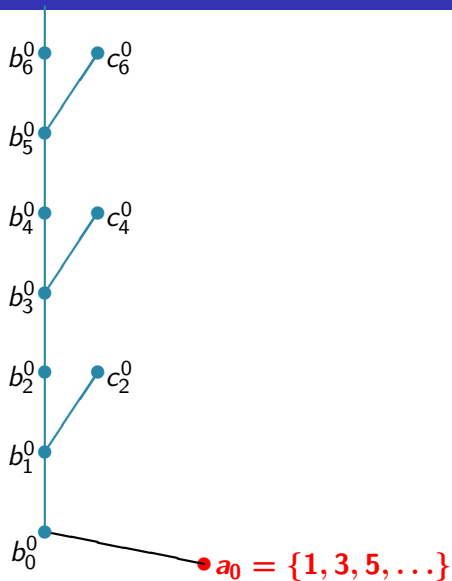


● do not enter the model



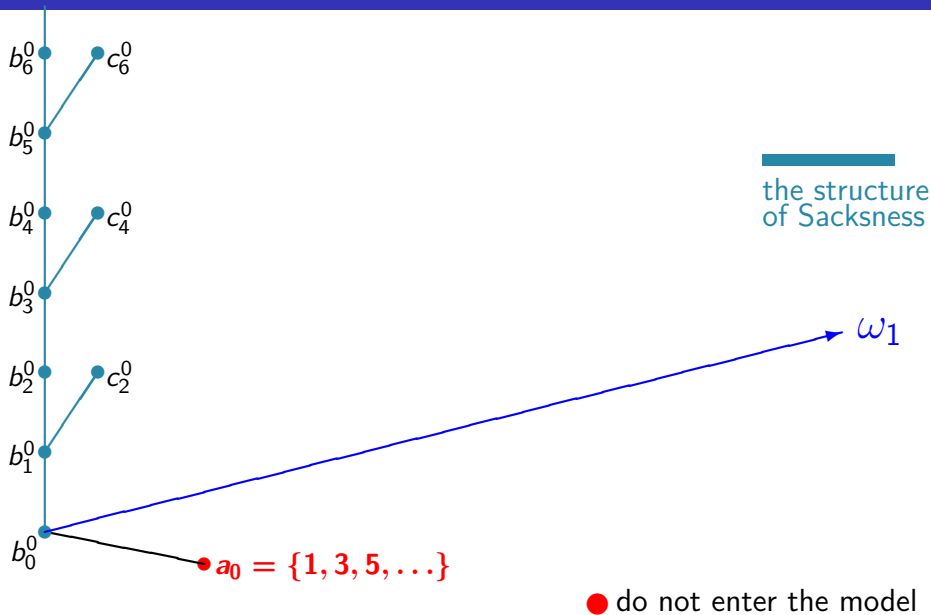
the structure
of Sacksness

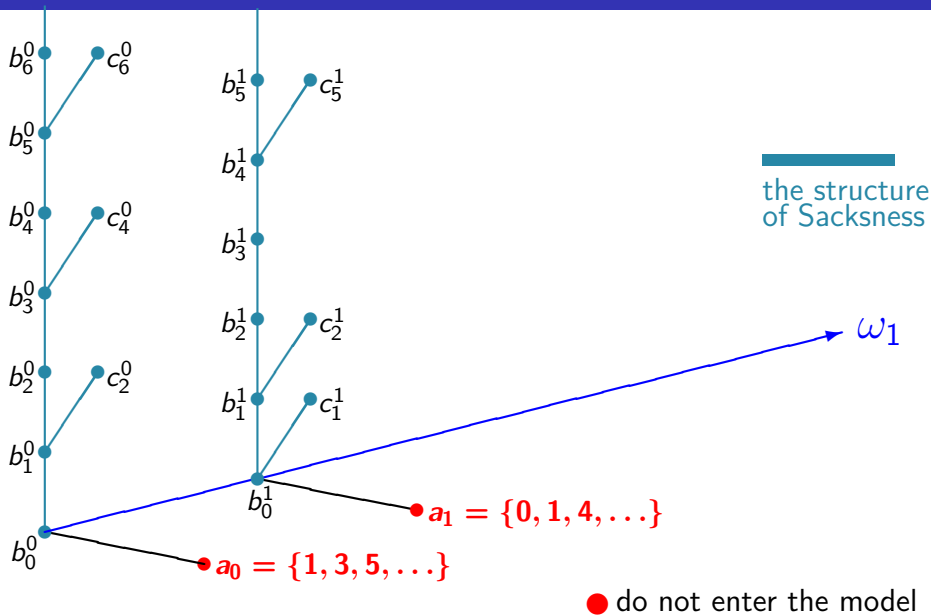
● do not enter the model

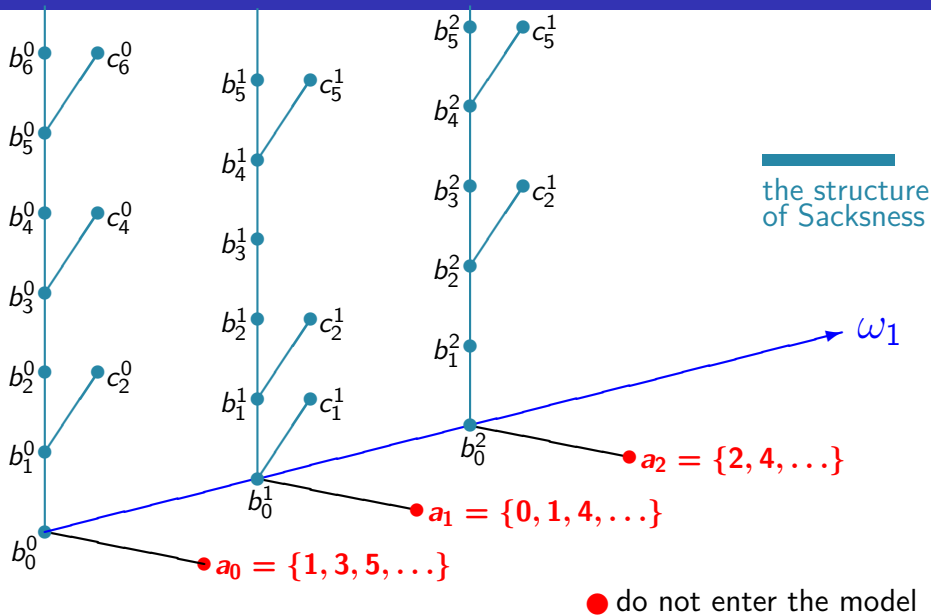


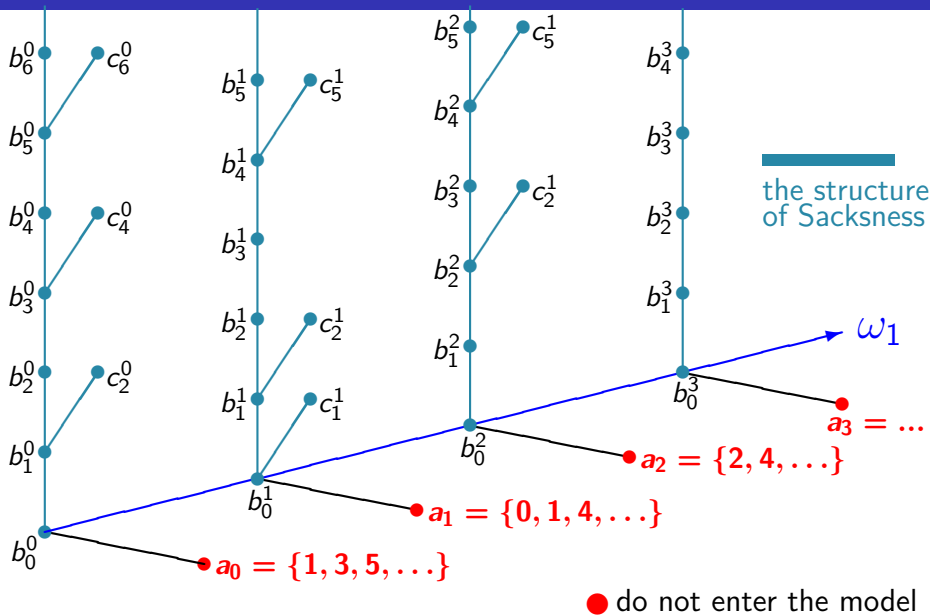
the structure
of Sacksness

● do not enter the model









Let \mathbf{L} be the constructible universe.

Using a version of the product/iterated Sacks forcing, we define:

- 1 sets $a_\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, Sacks generic over \mathbf{L} ;
- 2 sets $b_n^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n < \omega$, such that each b_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$;
- 3 sets $c_{n+1}^\xi \subseteq \omega$, $\xi < \omega_1^{\mathbf{L}}$, $n \in a_\xi$, such that each c_{n+1}^ξ is Sacks generic over $\mathbf{L}[b_0^\xi, \dots, b_n^\xi]$.

Consider the set

$$W = \{b_n^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n < \omega\} \cup \{c_{n+1}^\xi : \xi < \omega_1^{\mathbf{L}} \wedge n \in a_\xi\}. \quad (\text{no } a_\xi!!!)$$

Let $X = \left(\bigcup_{Z \subseteq W \text{ finite}} \mathbf{L}[Z] \right) \cap \mathcal{P}(\omega)$.

Then $\langle \omega; X \rangle$ proves Theorem 2.

Prove that \mathbf{PA}_2 is not finitely axiomatizable over \mathbf{PA}_2^* .

Prove that \mathbf{PA}_2 is not finitely axiomatizable over \mathbf{PA}_2^* .

More specifically, prove that, for any $n \geq 3$,
 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_n^1)$ does not imply an instance of $\mathbf{CA}(\Sigma_{n+1}^1)$.

Prove that \mathbf{PA}_2 is not finitely axiomatizable over \mathbf{PA}_2^* .

More specifically, prove that, for any $n \geq 3$,
 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_n^1)$ does not imply an instance of $\mathbf{CA}(\Sigma_{n+1}^1)$.

Case $n = 2$ is established by Theorem 2 above.

Prove that \mathbf{PA}_2 is not finitely axiomatizable over \mathbf{PA}_2^* .

More specifically, prove that, for any $n \geq 3$,
 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_n^1)$ does not imply an instance of $\mathbf{CA}(\Sigma_{n+1}^1)$.

Case $n = 2$ is established by Theorem 2 above.

Work in progress.

The speaker thanks **the organizers** for
the opportunity to give this talk

The speaker thanks **the organizers** for
the opportunity to give this talk

The speaker thanks **everybody** for
interest and patience