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A non-special ω_2 -tree with special ω_1 -subtrees ¹

LAJOS SOUKUP

Abstract. Answering a question of F. Tall it is shown that if ZF is consistent then so is ZFC + GCH + "there exists a non-special ω_2 -Aronszajn tree having only special ω_1 -subtrees".

Keywords: Tree, Aronszajn, special, consistency proof, forcing, non-reflecting

Classification: 03E35

1. Basic notions and terminology.

In this paper we follow the standard terminology of the set theory, cf [2]. A tree $\mathcal{T} = \langle T, \prec_{\mathcal{T}} \rangle$ is called κ -tree iff both the cardinality and the height of \mathcal{T} are κ . We say that a κ -tree \mathcal{T} is κ -Aronszajn iff \mathcal{T} does not have κ -branches and the levels of \mathcal{T} have cardinalities $< \kappa$. Given $x, y \in T$ we write " $x \not\parallel_{\mathcal{T}} y$ " for "x and y are incomparable in \mathcal{T} ". Take

$$\mathbf{V}(\mathcal{T}) = \{ \langle x, y, z \rangle \in T^3 : x \prec_{\mathcal{T}} y, x \prec_{\mathcal{T}} z \text{ and } y \not|_{\mathcal{T}} z \}.$$

A κ -tree $\mathcal{T} = \langle T, \prec_{\mathcal{T}} \rangle$ is special iff there is a function f on T with $|\operatorname{ran}(f)| < \kappa$ such that there is no $\langle x, y, z \rangle \in V(\mathcal{T})$ with f(x) = f(y) = f(z). The height of an xelement in \mathcal{T} will be denoted by $h_{\mathcal{T}}(x)$ or by h(x). Take $b(x) = b_{\mathcal{T}}(x) = \{y \in T : y \prec_{\mathcal{T}} x\}$.

The set of all finite sequences of elements of a given set I will be denoted by I^* . For $x, y \in I^*$ let $x \hat{y}$ be the concatenation of them. For $n \in \omega$ and $c \in I$ take $c^n = \langle c \rangle \hat{c}^{n-1}$. By an abuse of notation we write $a \hat{x}$ instead of $\langle a \rangle \hat{x}$ whenever $a \in I$ and $x \in I^*$.

Denote by \leq_{On} the usual ordering of ordinals. Given $X, Y \subset \text{On}$ we write " $X \leq_{\text{On}} Y$ " to mean that $\max_{\leq_{\text{On}}} X < \min_{\leq_{\text{On}}} Y$.

2. The result.

In [3] F. Tall investigated some downwards reflection principles. Beside other results he proved that $Con(ZFC + \exists huge cardinal) \rightarrow Con(ZFC + CH + "every non-special <math>\omega_2$ -tree contains a non-special ω_1 -subtree") and raised the following problem: Is ZFC + GCH consistent with the existence of a non-special ω_2 -tree having only special ω_1 -subtrees? In this paper we give an affirmative answer proving the following theorem.

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Theorem 2.1. Assume CH. Then there is a σ -complete poset \mathcal{P} with $|\mathcal{P}| = \omega_2$ such that

 $V^{\mathcal{P}} \models$ "There is a non-special ω_2 -Aronszajn tree having only special ω_1 -subtrees".

Remark. S. Todorčevič proved that if ω_2 is not weakly compact in L, then there exists a tree as in Theorem 2.1. His result and Theorem 2.1 were proved approximately at the same time.

PROOF: First we define our poset $\mathcal{P} = \langle P, \leq \rangle$. The underlying set of \mathcal{P} consists of triples $\langle T, \prec, \langle f_x : x \in 2^* \rangle$ satisfying (A)-(E) below:

- (A) $T \in [\omega_2]^{\leq \omega}, \prec \subset <_{\text{On}} \cap (T \times T), \langle T, \prec \rangle$ is a tree.
- (B) f_x is a function, $f_x: T \times T \to [\omega]^{\omega}$, for each $x \in 2^*$.
- (C) $f_x(\alpha, \delta) \cap f_y(\alpha, \delta) = \emptyset$ for each $x \neq y \in 2^*$ and $\langle \alpha, \delta \rangle \in T \times T$.
- (D) If $\langle \alpha, \beta, \gamma \rangle \in V(\langle T, \prec \rangle), \alpha <_{\operatorname{On}} \delta \in T, k, m, n \in \omega$, then

 $f_{0^{k}}(\alpha,\delta) \cap f_{0^{m}}(\beta,\delta) \cap f_{0^{n}}(\gamma,\delta) = \emptyset.$

(E) If $\alpha, \beta \in T$, $\alpha \prec \beta$, $\alpha <_{\text{On}} \delta \in T$, $n \in \omega$, $x \in 2^* \setminus 1^*$, then

$$f_{0^n}(\alpha,\delta)\cap f_x(\beta,\delta)=\emptyset.$$

We write $p = \langle T_p, \prec_p, \langle f_x^p : x \in 2^* \rangle \rangle$ for $p \in \mathcal{P}$. The ordering on P is defined as expected:

 $\begin{array}{lll} p \leq q & \text{iff} & T_q \subseteq T_p, \\ & \prec_q = \prec_p \cap T_q \times T_q & \text{and} \\ & f_q^x \subset f_x^p & \text{for each } x \in 2^*. \end{array}$

It is easily seen that \mathcal{P} is a σ -complete poset with cardinality ω_2 .

The following lemma is straightforward.

Lemma 2.2. For each $\alpha \in \omega_2$ the set $D_{\alpha} = \{p \in \mathcal{P} : \alpha \in T_p\}$ is dense in \mathcal{P} .

Definition 2.3. Assume that \dot{f} is a \mathcal{P} -name. A condition $p \in \mathcal{P}$ is called strong for \dot{f} iff $p \Vdash \hat{f} : \hat{\omega}_2 \to \hat{\omega}_1$ is a function" and $\forall \alpha \in T_p \exists \xi < \omega_1 \ p \Vdash \hat{f}(\hat{\alpha}) = \hat{\xi}^n$.

Lemma 2.4. Assume that $p \in \mathcal{P}$, \dot{f} is a \mathcal{P} -name and $p \vdash \tilde{f} : \hat{\omega}_2 \to \hat{\omega}_1$ is a function". Then the conditions which are strong for \dot{f} are dense in \mathcal{P} below p.

The statement of this lemma is clear by the σ -completeness of \mathcal{P} .

Definition 2.5. Given $p, q \in \mathcal{P}$ we write $p \propto q$ iff $T_p \cap T_q <_{On} T_p \setminus T_q <_{On} T_q \setminus T_p$, type_{<On} T_p = type_{<On} T_q and denoting by π the unique <_{On}-preserving bijection between T_p and T_q we have

(a) $\alpha \prec_p \beta$ iff $\pi(\alpha) \prec_q \pi(\beta)$ for each $\alpha, \beta \in T_p$,

(b) $f_x^p(\alpha,\beta) = f_x^q(\pi(\alpha),\pi(\beta))$ for each $\alpha,\beta\in T_p$ and $x\in 2^*$,

that is, π is an isomorphism between p and q.

If $p \propto q$ and $\alpha \in T_p \cup T_q$ put

$$ilde{lpha} = \left\{egin{array}{cc} \pi^{-1}(lpha) & ext{if } lpha \in T_q, \ lpha & ext{otherwise.} \end{array}
ight.$$

Lemma 2.6. If $p \propto q$ then there is an $r \in \mathcal{P}$ such that $T_r = T_p \cup T_q$, $\prec_r = \prec_p \cup \prec_q$ and $r \leq p, r \leq q$.

PROOF: Take $T = T_p \cup T_q$, $\prec = \prec_p \cup \prec_q$ and $f_x^- = f_x^p \cup f_x^q$ for $x \in 2^*$. Choose pairwise different natural numbers $n(x, \alpha, \delta, k) \in f_{1\hat{x}}^p(\tilde{\alpha}, \tilde{\delta})$ where $\langle x, \alpha, \delta, k \rangle$ ranges over $2^* \times T \times T \times \omega$. It can be easily done because the set $2^* \times T \times T \times \omega$ is countable.

A pair $\langle \alpha, \delta \rangle \in T \times T$ is called *old* iff it is an element of dom (f_x^-) , and *new* otherwise. Now for each $x \in 2^*$ define the function $f_x : T \times T \to [\omega]^{\omega}$ by setting

$$f_x(\alpha, \delta) = \begin{cases} f_x^-(\alpha, \delta) & \text{if } \langle \alpha, \delta \rangle \text{ is old,} \\ \{n(x, \alpha, \delta, k) : k \in \omega\} & \text{if } \langle \alpha, \delta \rangle \text{ is new.} \end{cases}$$

Taking $r = \langle T, \prec, \langle f_x : x \in 2^* \rangle \rangle$ it is sufficient to show that $r \in \mathcal{P}$. Obviously (A)– (C) hold for r. To check (D) fix $\langle \alpha, \beta, \gamma \rangle \in V(\langle T, \prec \rangle)$, $\alpha <_{\text{On}} \delta \in T$, $k, m, n \in \omega$. If not exactly one of the pairs $\langle \alpha, \delta \rangle$, $\langle \beta, \delta \rangle$ and $\langle \gamma, \delta \rangle$ is new then (D) holds by the construction of r. Since it is impossible that $\langle \alpha, \delta \rangle$ is new and both $\langle \beta, \delta \rangle$ and $\langle \gamma, \delta \rangle$ are old, we can assume, without loss of generality, that $\langle \gamma, \delta \rangle$ is the new pair. So

$$f_{0^{k}}(\alpha,\delta)\cap f_{0^{m}}(\beta,\delta)\cap f_{0^{n}}(\gamma,\delta)\subset f_{0^{k}}^{p}(\tilde{\alpha},\tilde{\delta})\cap F_{1\hat{0}^{n}}^{p}(\tilde{\gamma},\tilde{\delta})=\emptyset,$$

because p satisfies (E). So r satisfies (D).

Finally we check (E). Fix $\alpha, \beta \in T$, $\alpha \prec \beta$, $\alpha <_{On} \delta \in T$, $n \in \omega$ and $x \in 2^* \setminus 1^*$. We can assume that exactly one of the pairs $\langle \alpha, \delta \rangle$ and $\langle \beta, \delta \rangle$ is new or (E) holds. Thus $\langle \beta, \delta \rangle$ must be the new pair. Then

$$f_{0^n}(\alpha,\delta)\cap f_x(\beta,\delta)\subset f_{0^n}^p(\tilde{\alpha},\tilde{\delta})\cap f_{1^n}^p(\tilde{\beta},\tilde{\delta})=\emptyset,$$

for $1\hat{x} \in 2^* \setminus 1^*$ and p satisfies (E). So $r \in P$ is proved.

Lemma 2.7. Assume that $p \propto q \propto r$ with $T_p \cap T_q = T_p \cap T_r = T_q \cap T_r$. Let π and ρ be the unique order preserving bijections between T_p and T_q , and between T_p and T_r , respectively. Assume that $\nu \in T_p \setminus T_q$ with $b_{T_p}(\nu) \cap (T_p \setminus T_q) = \emptyset$. Let $\mu = \pi(\nu)$ and $\theta = \rho(\nu)$. Then there is a condition $t \in \mathcal{P}$ such that $t \leq p, q, r$ and $\langle \nu, \mu, \theta \rangle \in V(\langle T_t, \prec_t \rangle)$.

PROOF: Let $A = T_p \cap T_q$. Write $T = T_p \cup T_q \cup T_r$ and let \prec be the partial ordering on T generated by the set $\prec_p \cup \prec_q \cup \prec_r \cup \{(\nu, \mu), (\nu, \theta)\}$. It is easy to see that $T = \langle T, \prec_T \rangle$ is a tree and $\langle \nu, \mu, \theta \rangle \in V(\langle T, \prec \rangle)$. Given $\alpha \in T$ take

$$ilde{lpha} = \left\{ egin{array}{cc} \pi^{-1}(lpha) & ext{if } lpha \in T_q, \
ho^{-1}(lpha) & ext{if } lpha \in T_r, \ lpha & ext{otherwise.} \end{array}
ight.$$

Pick distinct natural numbers $n(x, \alpha, \delta, k)$ where $\langle x, \alpha, \delta, k \rangle$ ranges over $2^* \times T \times T \times \omega$ in such a way that $n(x, \alpha, \delta, k) \in f_{0x}^p(\tilde{\alpha}, \tilde{\delta})$ provided $\alpha = \nu$ and $n(x, \alpha, \delta, k) \in f_{1x}^p(\tilde{\alpha}, \tilde{\delta})$ otherwise. It can be easily done because the set $2^* \times T \times T \times \omega$ is countable. Take now $f_x^- = f_x^p \cup f_x^q \cup f_x^r$ for $x \in 2^*$. A pair $\langle \alpha, \delta \rangle \in T \times T$ is said old iff it is an element of dom (f_{θ}^-) , and new otherwise. For each $x \in 2^*$ define the function $f_x : T \times T \to [\omega]^{\omega}$ by setting

$$f_x(\alpha, \delta) = \begin{cases} f_x^-(\alpha, \delta) & \text{if } \langle \alpha, \delta \rangle \text{ is old,} \\ \{n(x, \alpha, \nu, k) : k \in \omega\} & \text{if } \langle \alpha, \delta \rangle \text{ is new} \end{cases}$$

Taking $t = \langle T, \prec, \langle f_x : x \in 2^* \rangle \rangle$ it is enough to show that $t \in \mathcal{P}$. Obviously (A)-(C) hold for t. Next we check (D). Suppose that $\langle \alpha, \beta, \gamma \rangle \in V(\langle T, \prec \rangle), \alpha <_{\text{On}} \delta \in T$, $k, m, n \in \omega$. We can assume that exactly one of the pairs $\langle \alpha, \delta \rangle, \langle \beta, \delta \rangle$ and $\langle \gamma, \delta \rangle$ is new or (D) holds by the construction of t. We must distinguish two cases.

Case 1. $\langle \alpha, \delta \rangle$ is new.

Since $\langle \alpha, \delta \rangle$ is the only new pair and $\alpha \prec \beta$ it follows that $\alpha = \nu$ and either $\beta, \gamma, \delta \in T_q \setminus A$ or $\beta, \gamma, \delta \in T_r \setminus A$. So $\beta \not\parallel_{\tau} \gamma$ implies that $\tilde{\beta} \not\parallel_{T_p} \tilde{\gamma}$ and $\langle \nu, \tilde{\beta}, \tilde{\gamma} \rangle \in V(\langle T_p, \prec_p \rangle)$. Thus

$$f_{0^{k}}(\alpha,\delta)\cap f_{0^{m}}(\beta,\delta)\cap f_{0^{n}}(\gamma,\delta)\subset f_{0^{k+1}}^{p}(\nu,\tilde{\delta})\cap f_{0^{m}}^{p}(\tilde{\beta},\tilde{\delta})\cap f_{0^{n}}^{p}(\tilde{\gamma},\tilde{\delta})=\emptyset.$$

Case 2. (α, δ) is old.

Without loss of generality we can assume that $\langle \beta, \delta \rangle$ is the new pair. If $\beta = \nu$ then $\delta \in (T_q \setminus A) \cup (T_r \setminus A)$, $\alpha \in A$ and $\tilde{\gamma} \not|_{T_p} \nu$ for $\gamma \not|_{\tau} \nu$. Thus $\langle \tilde{\alpha}, \tilde{\beta}, \tilde{\gamma} \rangle = \langle \alpha, \nu, \tilde{\gamma} \rangle \in V(T_p, \prec_p)$ and so

$$f_{0^k}(\alpha,\delta)\cap f_{0^m}(\beta,\delta)\cap f_{0^n}(\gamma,\delta)\subset f_{0^k}^p(\tilde{\alpha},\tilde{\delta})\cap f_{0^{m+1}}^p(\tilde{\beta},\tilde{\delta})\cap f_{0^n}^p(\tilde{\gamma},\tilde{\delta})=\emptyset.$$

If $\beta \neq \nu$ then

$$f_{0^{k}}(\alpha,\delta) \cap f_{0^{m}}(\beta,\delta) \cap f_{0^{n}}(\gamma,\delta) \subset f_{0^{k}}^{p}(\tilde{\alpha},\tilde{\delta}) \cap f_{1\hat{0}m}^{p}(\tilde{\beta},\tilde{\delta}) = \emptyset$$

because (E) holds for p. So t satisfies (D).

Finally we check (E). Suppose that $\alpha, \beta \in T$, $\alpha \prec \beta$, $\alpha <_{On} \delta \in T$, $n \in \omega$ and $x \in 2^* \setminus 1^*$. We can assume that exactly one of the pairs $\langle \alpha, \delta \rangle$ and $\langle \beta, \delta \rangle$ is new. If $\langle \alpha, \delta \rangle$ is the new pair then we have $\alpha = \nu$ because $\langle \beta, \delta \rangle$ is old and $\alpha \prec \beta$. So

$$f_{0^n}(\alpha,\delta)\cap f_x(\beta,\delta)\subset f_{0^{n+1}}^p(\tilde{\alpha},\tilde{\delta})\cap f_x^p(\tilde{\beta},\tilde{\delta})=\emptyset.$$

If $\langle \alpha, \delta \rangle$ is old, then

$$f_{0^n}(\alpha,\delta)\cap f_x(\beta,\delta)\subset f_{0^n}^p(\tilde{\alpha},\tilde{\delta})\cap f_{1\hat{x}}^p(\tilde{\beta},\tilde{\delta})=\emptyset,$$

because (E) holds for p. Thus (E) is also satisfied by t. This shows that $t \in \mathcal{P}$, which completes the proof of the Lemma 2.7.

Proof of Theorem 2.1. Since CH holds, every subset of P with cardinality ω_2 contains two elements, p and q, with $p \propto q$. So, by Lemma 2.7, p and q are compatible, that is, \mathcal{P} satisfies the ω_2 -chain-condition.

Let \mathcal{G} be any \mathcal{P} -generic filter over V. Take $T^* = \bigcup \{T_p : p \in \mathcal{G}\}$, $\prec^* = \bigcup \{\prec_p : p \in \mathcal{G}\}$, $T^* = \langle T^*, \prec^* \rangle$ and $F^* = \bigcup \{f_{\emptyset}^p : p \in \mathcal{G}\}$. By Lemma 2.2 it follows that $T^* = \omega_2$. For each $\delta \in \omega_2$ choose a function $F_{\delta} : \delta \to \omega$ with $F_{\delta}(\alpha) \in F^*(\alpha, \delta)$. Now F_{δ} shows that the tree $\langle \delta, \prec^* \mid \delta \rangle$ is special. Indeed, given α , β , $\gamma \in \delta$ choose $p \in \mathcal{G}$ with α , β , $\gamma \in T_p$ and apply (D) for p taking k = m = n = 0.

Next we show that \overline{T}^* is not special. Let us remark that this implies height $(T^*) \ge \omega_2$. Since height $(T^*) \le \omega_2$ by $\prec^* \subset <_{\text{On}}$, this proves height $(T^*) = \omega_2$ as well.

Assume on the contrary that

$$p \Vdash \check{f} : \hat{\omega}_2 \to \hat{\omega}_1 \text{ specializes } \mathcal{T}^*$$
".

For each $\alpha < \omega_2$ choose a condition $p_{\alpha} \leq p$ which is strong for \dot{f} with $\alpha \in T_{p_{\alpha}}$. Since CH holds, we can find a set $Y \in [\omega_2]^{\omega_2}$ such that (1) $\{T_{p_{\xi}} : \xi \in Y\}$ forms a Δ -system with kernel A, and (2) $p_{\xi} \propto p_{\eta}$ whenever $\xi, \eta \in Y$ with $\xi <_{\text{On}} \eta$. Since $\xi \in T_{p_{\xi}}$, it follows that $T_{p_{\xi}} \setminus A \neq \emptyset$ for each $\xi \in Y$.

Take $c_{\xi} = \min_{\langle On}(T_{p_{\xi}} \setminus A)$ for $\xi \in Y$. Choose $\zeta < \xi < \eta$ from Y and $\sigma \in \omega_1$ such that $p_{\theta} \Vdash "f(\hat{c}_{\theta}) = \hat{\sigma}"$ for each $\theta \in \{\zeta, \xi, \eta\}$. By Lemma 2.7 there is a $t \in \mathcal{P}$ with $t \leq p_{\zeta}, p_{\xi}, p_{\eta}$ and $\langle c_{\zeta}, c_{\xi}, c_{\eta} \rangle \in V(\langle T_t, \prec_t \rangle)$. So

$$t \Vdash \quad "\dot{f}(\hat{c}_{\xi}) = \dot{f}(\hat{c}_{\xi}) = \dot{f}(\hat{c}_{\eta}) = \hat{\sigma}, \ \langle \hat{c}_{\xi}, \hat{c}_{\xi}, \hat{c}_{\eta} \rangle \in \mathcal{V}(\mathcal{T}^*) \text{ and } \dot{f} \text{ specializes } \mathcal{T}^*".$$

Contradiction, \mathcal{T}^* is not special.

To prove that \mathcal{T}^* is Aronszajn assume on the contrary that $p \Vdash ``\dot{b}$ is an ω_2 -branch in \mathcal{T}^* . Denote by \mathcal{T}^*_{α} the α^{th} -level of \mathcal{T}^* . For each $\alpha < \omega_2$ choose a condition $p_{\alpha} \leq p$ and a $\gamma_{\alpha} \in \omega_2$ with $\gamma_{\alpha} \in T_{p_{\alpha}}$ and $p_{\alpha} \Vdash ``\dot{b} \cap \mathcal{T}^*_{\alpha} = \{\hat{\gamma}_{\alpha}\}^n$. By standard Δ system arguments we can find $\alpha <_{\text{On}} \beta <_{\text{On}} \omega_2$ such that $p_{\alpha} \propto p_{\beta}$ and $\pi(\gamma_{\alpha}) = \gamma_{\beta}$, where π is the unique $<_{\text{On}}$ -preserving bijection between $T_{p_{\alpha}}$ and $T_{p_{\beta}}$. By Lemma 2.6 p_{α} and p_{β} have a common extension r in \mathcal{P} with $\prec_r = \prec_{p_{\alpha}} \cup \prec_{p_{\beta}}$. Then $r \Vdash ``\dot{b} \cap \mathcal{T}^*_{\alpha} =$ $\hat{\gamma}_{\alpha}$ and $\dot{b} \cap \mathcal{T}^*_{\beta} = \hat{\gamma}_{\beta}$, and so $\gamma_{\alpha} \neq \gamma_{\beta}$. Therefore $\gamma_{\alpha} \in T_{p_{\alpha}} \setminus T_{p_{\beta}}$ and $\gamma_{\beta} \in T_{p_{\beta}} \setminus T_{p_{\alpha}}$. Thus $r \Vdash ``\hat{\gamma}_{\alpha} \not \downarrow_{\mathcal{T}^*} \hat{\gamma}_{\beta}$, which is a contradiction because the elements of any branch are pairwise comparable.

Finally we prove that the levels of \mathcal{T}^* have cardinalities ω_1 . By way of contradiction assume that $\alpha < \omega_2$ and $p \Vdash ||\mathcal{T}^*_{\alpha}| = \omega_2$ ". Fix a \mathcal{P} -name \dot{h} such that $p \Vdash ||\dot{h}(\nu)$ is the height of ν in \mathcal{T}^* for $\nu \in \omega_2$ ". Choose a set $Y \in [\omega_2]^{\omega_2}$ and a condition $p_{\xi} \leq p$ for each $\xi \in Y$ such that $p_{\xi} \Vdash ||\mathcal{C} \in \mathcal{T}^*_{\alpha}||$ " and p_{ξ} is strong for \dot{h} . By standard arguments we can assume that the set $\{T_{p_{\xi}} : \xi \in Y\}$ forms a Δ -system with kernel A and that $p_{\xi} \propto p_{\eta}$ for each $\xi < \eta \in Y$. Take $c_{\xi} = \min_{\prec p_{\xi}} ((b_{T_{p_{\xi}}}(\xi) \cup \{\xi\}) \setminus A)$ for $\xi \in Y$ and define the function $g: Y \to \alpha$ by $p_{\xi} \Vdash ||\dot{h}(\hat{c}_{\xi})| = \widehat{g(\xi)}||$. Pick $\zeta < \xi < \eta \in Y$ with $g(\zeta) = g(\xi) = g(\eta)$. By Lemma 2.7 we have a condition t such that $t \leq p_{\zeta}, p_{\xi}, p_{\eta}$ and $c_{\zeta} \prec_t c_{\xi}$. But it means that $t \Vdash || \text{ "height}(\hat{c}_{\zeta})| = height(\hat{c}_{\xi})$ and $\hat{c}_{\zeta} \prec^* \hat{c}_{\xi}||$, which is a contradiction. Therefore the levels of \mathcal{T}^* have sizes $< \omega_2$, which completes the proof of Theorem 2.1.

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