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## On the extensibility of closed filters in $T_1$ spaces and the existence of well orderable filter bases

Kyriakos Keremedis, Eleftherios Tachtsis

Abstract. We show that the statement CCFC = "the character of a maximal free filter F of closed sets in a  $T_1$  space (X, T) is not countable" is equivalent to the Countable Multiple Choice Axiom CMC and, the axiom of choice AC is equivalent to the statement  $CFE_0 =$  "closed filters in a  $T_0$  space (X, T) extend to maximal closed filters". We also show that AC is equivalent to each of the assertions:

"every closed filter  $\mathcal{F}$  in a  $T_1$  space (X,T) extends to a maximal closed filter with a well orderable filter base",

"for every set  $A \neq \emptyset$ , every filter  $\mathcal{F} \subseteq \mathcal{P}(A)$  extends to an ultrafilter with a well orderable filter base" and

"every open filter  $\mathcal{F}$  in a  $T_1$  space (X, T) extends to a maximal open filter with a well orderable filter base".

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#### 1. Definitions

Let (X, T) be a topological space and  $\mathcal{E} \subseteq \mathcal{P}(X) \setminus \{\emptyset\}$ . A non empty collection  $\mathcal{F} \subseteq \mathcal{E}$  is an  $\mathcal{E}$ -filter iff

(i) if  $F_1, F_2 \in \mathcal{F}$  then  $F_1 \cap F_2 \in \mathcal{F}$ ;

(ii) if  $F \in \mathcal{F}$ ,  $F \subset F'$  and  $F' \in \mathcal{E}$ , then  $F' \in \mathcal{F}$ .

In particular if  $\mathcal{E}$  is the collection of all non empty closed sets then we say that  $\mathcal{F}$  is a *closed filter*. Likewise, if  $\mathcal{E}$  is the collection of all non empty open sets then we say that  $\mathcal{F}$  is an *open filter*. If  $\mathcal{E} = \mathcal{P}(X) \setminus \{\emptyset\}$  then an  $\mathcal{E}$ -filter is called simply a *filter* on X i.e. a filter on X is an open (closed) filter of the space X carrying the discrete topology. An  $\mathcal{E}$ -filter  $\mathcal{F}$  is *free* iff  $\bigcap \mathcal{F} = \emptyset$ .

A non empty collection  $\mathcal{B} \subseteq \mathcal{P}(X) \setminus \{\emptyset\}$  is a *filter base* for some filter  $\mathcal{F}$  iff for every  $B_1, B_2 \in \mathcal{B}$  there exists  $B_3 \in \mathcal{B}$  with  $B_3 \subseteq B_1 \cap B_2$ .

The *character* of a filter (open, closed, etc.,)  $\mathcal{F}$  is the minimum cardinality (if it exists) of a filter base  $\mathcal{B}$  for  $\mathcal{F}$ .

A family  $\mathcal{U}$  of subsets of X is *locally finite* if every point of X has a neighborhood meeting a finite number of elements of  $\mathcal{U}$ .

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The Axiom of choice AC is the statement:

For every family  $\mathcal{A} = \{A_i : i \in k\}$  of disjoint non empty sets there exists a set C which consists of one and only one element from each element of  $\mathcal{A}$ .

The Axiom of multiple choice MC is the statement:

For every family  $\mathcal{A} = \{A_i : i \in k\}$  of disjoint non empty sets there exists a set  $\mathcal{F} = \{F_i : i \in k\}$  of finite non empty sets such that  $F_i \subseteq A_i$  for all  $i \in k$ .

CAC and CMC stand for AC and MC respectively restricted to countable sets. The *Boolean Prime Ideal Theorem* BPI is the proposition:

Every Boolean algebra has a prime ideal.

For notation and terminology used but not defined here the reader is referred to any standard text of General Topology such as [10].

### 2. Introduction and some preliminary results

If one goes carefully through the proof that AC implies Tychonoff's compactness theorem, see [10], he will realize that, in order to get that proof go through, he only needs two facts:

- 1. in Tychonoff products of compact  $T_1$  spaces every closed filter extends to a maximal closed filter, and
- 2. in Tychonoff products of compact  $T_1$  spaces the projections are closed maps.

Motivated by (1) and (2), it is plausible to define, as the authors in [6] did, the axiom of *closed filter extensibility* CFE by requiring:

• closed filters in a  $T_1$  space (X,T) extend to maximal closed filters.

In [6] it has been proved that

**Proposition 1.** (i) AC iff CFE + CAC.(ii) CFE implies but it is not equivalent to BPI.

There remains the question:

(A) Does CFE imply AC?

Since the statement  $CFE_0$  given by

closed filters in a  $T_0$  space (X,T) extend to maximal closed filters

clearly implies CFE, one may expect that CFE<sub>0</sub> implies AC. Indeed, we have:

#### **Theorem 2.** $CFE_0$ is equivalent to AC.

PROOF: An easy application of Zorn's Lemma, shows that AC implies CFE<sub>0</sub>. To see the converse let  $\mathcal{A} = \{A_i : i \in k\}$  be a disjoint family of infinite sets. Topologize  $X_i = A_i \cup \{\infty_i\}$  by declaring basic neighborhoods of points  $x \in X_i$  to be all cofinite supersets of  $\{x, \infty_i\}$ . Let X be the Tychonoff product of the  $X_i$ 's. CFE<sub>0</sub> implies that X has a maximal closed filter  $\mathcal{G}$  and one more application of CFE<sub>0</sub> to X with the discrete topology extends  $\mathcal{G}$  to an ultrafilter  $\mathcal{F}$ . We show first that  $\bigcap \{\overline{F} : F \in \mathcal{F}\} \neq \emptyset$  (and consequently  $\bigcap \mathcal{G} \neq \emptyset$ ). To this end it suffices to find, in view of the proof of the Tychonoff's compactness theorem given in [10],  $c \in X$ , with  $c(i) \in B_i = \bigcap \{\overline{\pi_i(F)} : F \in \mathcal{F}\}$  for all  $i \in k$ . As  $X_i$  is compact and  $\{\pi_i(F) : F \in \mathcal{F}\}$  is a filter of  $X_i$ , it follows that  $B_i \neq \emptyset$ . Without loss of generality we may assume that  $B_i \neq X_i$  for all  $i \in k$ . If  $B_i = X_i$  choose  $c_i = \infty_i$  $(\overline{\{\infty_i\}} = X_i)$ . Put  $B = \{B_i : i \in k\}$ . Since CFE<sub>0</sub> clearly implies the axiom of choice restricted to families of finite sets, see [5], it follows that B has a choice function c as required.

 $\mathcal{G}$  being a closed ultrafilter implies that c cannot be the element  $c(i) = \infty_i$  for all  $i \in k$  for the only closed set including c is X itself. In order to complete the proof of the theorem it suffices to show:

**Claim.**  $c_i \neq \infty_i$  for all  $i \in k$ .

PROOF OF THE CLAIM: Indeed, if  $c_i = \infty_i$  for some  $i \in k$  then letting

$$Y = \prod_{i \in k} Y_i, Y_i = \begin{cases} \{c_i\} & \text{if } c_i \neq \infty_i \\ X_i & \text{if } c_i = \infty_i \end{cases}$$

carry the subspace topology, we see that  $Y \in \mathcal{G}$  ( $\mathcal{G}$  is a closed ultrafilter and Y is a closed subset of X meeting each member of  $\mathcal{G}$ ). Now, the only closed subset of Y including c is Y itself. Thus  $Y \subseteq \bigcap \mathcal{G}$  and we have reached a contradiction. (If  $c_{i^*} = \infty_{i^*}$  then we pick a finite non empty subset K of  $A_{i^*}$  and let

$$H = \prod_{i \in k} H_i, H_i = \begin{cases} \{c_i\} & \text{if } c_i \neq \infty_i \\ X_i & \text{if } c_i = \infty_i \\ K & \text{if } i = i^* \end{cases} \text{ and } i \neq i^*.$$

It follows that  $H \notin \mathcal{G}$  is a closed set included in every member of  $\mathcal{G}$ , contradicting the fact that  $\mathcal{G}$  is a maximal closed filter.) Thus, c is a choice function finishing the proof of the claim and of the theorem.

If X is a countable set, say  $X = \omega$ , and  $\mathcal{F}$  is a maximal free filter on  $\omega$  then one can verify, in the Zermelo-Fraenkel set theory without the axiom of choice, ZF-AC for abbreviation, that  $\mathcal{F}$  cannot have a countable filter base. More generally, if X is any infinite set and  $\mathcal{F}$  is a maximal free filter on X then one can easily verify in ZF-AC that  $\mathcal{F}$  cannot have a well ordered nested filter base  $\mathcal{B} = \{B_i : i \in \aleph\}$ . (If  $C_i = B_i \setminus B_{i+1}, i \in \mathbb{N}$  and  $S \subseteq \mathbb{N}$  a set of size  $\mathbb{N}$  whose complement has also size  $\mathbb{N}$  then  $G = \bigcup \{C_i : i \in S\}$  meets, but does not include, all members of  $\mathcal{B}$ . As  $\mathcal{B}$  is a filter base and the filter  $\mathcal{F}$  is maximal, it follows that  $G \in \mathcal{F}$ . Hence, G includes a member of  $\mathcal{B}$  and this is a contradiction). So, there remains the question what happens if X carries some topology other than the discrete one and the members of the filter are maximal with respect to some property, say closedness. That is:

(B) Can maximal closed filters have a countable filter base?

The research in this paper is motivated by questions (A) and (B). We show in Sections 3 and 4 that the answer to (B) depends on AC and the answer to (A) is related to (B).

Let CCFC, CCFC2 and COFC stand for the statements

- no maximal closed free filter in a  $T_1$  space has countable character,
- no maximal closed free filter in a  $T_2$  space has countable character,
- no maximal open free filter in a  $T_2$  space has countable character

respectively.

**Proposition 3.** In CCFC the  $T_1$  separation axiom cannot be replaced by the  $T_0$  axiom.

PROOF:  $\mathcal{T} = \{\emptyset, \omega, [0, n) : n \in \omega\}$  is a T<sub>0</sub> topology on  $\omega$  and  $\mathcal{F} = \{[n, \infty) : n \in \omega\}$  is a countable free closed ultrafilter of  $(\omega, \mathcal{T})$ .

**Proposition 4.** In COFC the requirement that the space X be  $T_2$  cannot be dropped out.

PROOF: Let  $A = \{A_i : i \in \omega\}$  be a disjoint family of non empty sets. Topologize  $X = \bigcup A$  by declaring basic neighborhoods of points  $x \in X$  to be all sets of the form  $V_{xn} = \{x\} \cup (\bigcup \{A_i : i \geq n\})$ . It can be readily verified that X is a first countable  $T_1$  space having a countable filter base  $B = \{\bigcup \{A_i : i \geq n\} : n \in \omega\}$  for the open ultrafilter  $\mathcal{F}$  of all non empty open sets independently of AC.  $\Box$ 

**Remark 1.** If each member of A is finite then X is a compact space. It follows that if no infinite subset of A has a choice function then X is not separable. Furthermore, as each sequence in X has a finite range, we see that even though X is first countable, the closure operator cannot be described sequentially.  $(W \subseteq X \text{ is closed iff whenever } (w_n)_{n \in \omega} \subseteq W \text{ converges to } w \text{ then } w \in W).$ 

**Proposition 5.** COFC can be proved in ZF-AC.

PROOF: Let (X,T) be a T<sub>2</sub> space and  $\mathcal{F}$  a free maximal filter of open sets having a countable filter base  $B = \{B_n : n \in \omega\}$ . Without loss of generality we may assume that B is strictly descending. Put  $b = \bigcap \overline{B}, \overline{B} = \{\overline{B}_n : n \in \omega\}$ . Then any open set O meeting b is in  $\mathcal{F}$ . Hence, b can have at most one point. (If  $x, y \in b$ then since X is a T<sub>2</sub> space it follows that there exist open disjoint sets  $O_x$  and  $O_y$  including x and y. Then both  $O_x$ ,  $O_y$  are in  $\mathcal{F}$  and this is a contradiction.) For every  $n \in \omega$ , put  $O_n = B_n \setminus \overline{B}_{n+1}$ . **Claim.** There exists  $m \in \omega$  such that  $\forall n \ge m, O_n = \emptyset$ .

PROOF OF THE CLAIM: If not then there exists an infinite subset  $S \subseteq \omega$  such that  $O_s \neq \emptyset$  for all  $s \in S$ . Without loss of generality we may assume that  $S = \omega$ . Put  $O = \bigcup \{O_{2n} : n \in \omega\}$ . Clearly O is an open set meeting but not including each  $B_n$ . Hence  $O \in \mathcal{F}$  and consequently  $B_{n^*} \subseteq O$  for some  $n^* \in \omega$ . This contradiction establishes the claim.

By the claim we conclude that  $\bar{B}_m = \bar{B}_n$  for all  $n \ge m$ . Thus,  $\bar{B}_m \subseteq b$  and we have arrived at a contradiction.

**Remark 2.** Since COFC is provable in ZF-AC it follows that CCFC2 is of interest only in case where some member of the filter is a closed nowhere dense set.

In what follows we shall make use of the following results.

**Proposition 6** ([8]). CMC iff PCMC ( = for every countable family B of disjoint infinite sets, some infinite subfamily  $\overline{B}$  of B has a multiple choice).

**PROOF:** Mimic the proof of Lemma 1 (iv) given in [4].

 $\Box$ 

**Lemma 7** (Levy's Lemma [9]). *MC* iff every set can be written as a well ordered union of disjoint finite sets.

Below we give a list of the statements (all provable in  $ZF^0 + AC$ ) that will be studied in the paper.

(1) Every closed filter  $\mathcal{F}$  in a T<sub>1</sub> space (X, T) has a well orderable filter base.

(2) Every open filter  $\mathcal{F}$  in a T<sub>1</sub> space (X, T) has a well orderable filter base.

(3) Every open filter  $\mathcal{F}$  in a dense-in-itself  $T_1$  space (X, T) has a well orderable filter base.

(4) Every open ultrafilter  $\mathcal{F}$  in a T<sub>1</sub> space (X, T) has a well orderable filter base.

(5) For every set  $A \neq \emptyset$ , every filter  $\mathcal{F} \subseteq \mathcal{P}(A)$  has a well orderable filter base.

(6) Every closed filter  $\mathcal{F}$  in a dense-in-itself  $T_1$  space (X, T) has a well orderable filter base.

(7) Every closed filter  $\mathcal{F}$  in a dense-in-itself  $T_2$  space (X, T) has a well orderable filter base.

(8) If (X,T) is a T<sub>2</sub> topological space and  $\mathcal{B}$  is a lattice of closed sets then every maximal  $\mathcal{B}$ -filter  $\mathcal{F}$  has a well orderable filter base.

(9) Every closed filter  $\mathcal{F}$  in a T<sub>1</sub> space (X, T) extends to a maximal closed filter with a well orderable filter base.

(10) For every set  $A \neq \emptyset$ , every filter  $\mathcal{F} \subseteq \mathcal{P}(A)$  extends to an ultrafilter with a well orderable filter base.

(11) Every open filter  $\mathcal{F}$  in a T<sub>1</sub> space (X, T) extends to a maximal open filter with a well orderable filter base.

(12) Every closed filter  $\mathcal{F}$  in a T<sub>1</sub> space (X,T) has a well orderable base and is included in a maximal closed filter  $\mathcal{G}$ .

(13) Every closed ultrafilter  $\mathcal{F}$  in a T<sub>1</sub> space (X,T) has a well orderable filter base.

(14) For every set  $A \neq \emptyset$ , every ultrafilter  $\mathcal{F} \subseteq \mathcal{P}(A)$  has a well orderable filter base.

#### 3. Existence of well ordered filter bases

We begin this section with a list of equivalent forms of MC.

**Theorem 8.** The following are equivalent: MC.

(1) Every closed filter  $\mathcal{F}$  in a  $T_1$  space (X,T) has a well orderable filter base.

(2) Every open filter  $\mathcal{F}$  in a  $T_1$  space (X,T) has a well orderable filter base.

(3) Every open filter  $\mathcal{F}$  in a dense-in-itself  $T_1$  space (X,T) has a well orderable filter base.

(4) Every open ultrafilter  $\mathcal{F}$  in a  $T_1$  space (X,T) has a well orderable filter base.

(5) For every set  $A \neq \emptyset$ , every filter  $\mathcal{F} \subseteq \mathcal{P}(A)$  has a well orderable filter base.

(6) Every closed filter  $\mathcal{F}$  in a dense-in-itself  $T_1$  space (X, T) has a well orderable filter base.

(7) Every closed filter  $\mathcal{F}$  in a dense-in-itself  $T_2$  space (X, T) has a well orderable filter base.

(8) If (X,T) is a  $T_2$  topological space and  $\mathcal{B}$  is a lattice of closed sets then every maximal  $\mathcal{B}$ -filter  $\mathcal{F}$  has a well orderable filter base.

PROOF: MC  $\rightarrow$  (1), (2), (3), (4), (5), (6), (7) and (8). We prove MC  $\rightarrow$  (1). All the other implications can be proved similarly. Fix (X,T) and  $\mathcal{F}$  as in (1). By Levy's Lemma, there exists a disjoint family  $G = \{G_n : n \in k\}$ , k a cardinal, of finite sets covering  $\mathcal{F}$ . Clearly,  $\mathcal{B} = \{B_n = \bigcap G_n : n \in k\}$  is a well ordered base for  $\mathcal{F}$ . (As G covers  $\mathcal{F}$  it follows that each member of  $\mathcal{F}$  includes a member of G. Furthermore, as  $\mathcal{F}$  is a filter, we see that  $\mathcal{B} \subseteq \mathcal{F}$  and consequently  $\mathcal{B}$  is a base.)

 $(2) \to \mathrm{MC}, (5) \to \mathrm{MC}.$  Fix  $A = \{A_i : i \in k\}$  a disjoint family of infinite sets. Put  $X = \bigcup A$  and let  $\mathcal{F} = \{f \subseteq X : |A_i \setminus f| < \omega$  for all  $i \in k\}$ . Clearly,  $\mathcal{F}$  is a filter of X and an open filter of X taken with the discrete topology. Let  $\mathcal{B} = \{B_n : n \in \mu\}$  be a well ordered base for  $\mathcal{F}$ . For every  $i \in k$  we let  $n_i = \min\{n \in \mu : |A_i \setminus B_n| \neq 0\}$ . It is straightforward to verify that  $D = \{D_i = A_i \setminus B_{n_i} : i \in k\}$  is a multiple choice for A finishing the proof of  $(2) \to \mathrm{MC}$  and  $(5) \to \mathrm{MC}$ .

 $(3) \to MC, (4) \to MC$ . Fix A as in  $(2) \to MC$  and put on  $X = \bigcup A$  the cofinite topology T. Let  $\mathcal{F} = T \setminus \{\emptyset\}$ . Clearly,  $\mathcal{F}$  is an open ultrafilter of the dense-initself  $T_1$  space (X, T). Let  $\mathcal{B} = \{B_n : n \in \mu\}$  be a well ordered base for  $\mathcal{F}$ . It is straightforward to see that the set D as defined in  $(2) \to MC$  is a multiple choice for A as required.

 $(6) \to MC$ . Fix A an infinite set. It suffices, in view of Levy's Lemma to show that A can be covered by a well ordered family of finite sets. Put  $X = [A]^{<\omega}$  (i.e. the set of all finite subsets of A) and let T be the topology on X in which basic neighborhoods of points  $x \in X$  are all sets of the form

$$B(x,z) = \{x\} \cup \{y \in X : y \cap z = \emptyset\}, \ z \in X, \ x \subseteq z.$$

**Claim 1.** (X,T) is a  $T_1$  space. Indeed, fix  $x, y \in X$ ,  $x \neq y$ . We consider the following cases.

(a) If  $x \cap y = \emptyset$  or if  $x \setminus y \neq \emptyset$  and  $y \setminus x \neq \emptyset$ , then  $B(x, x \cup y)$  and  $B(y, x \cup y)$  are neighborhoods of x and y avoiding y and x respectively.

(b) If  $x \subseteq y$  then B(x, y) and B(y, y) are neighborhoods of x and y avoiding y and x respectively.

(c) If  $y \subseteq x$  then case (b) applies.

For every  $x \in X$ , put

$$(3.1) G_x = \{ y \in X : x \subseteq y \}.$$

**Claim 2.**  $G_x$  is closed in (X, T). Fix  $z \notin G_x$  then  $B(z, x \cup z)$  is a neighborhood of z avoiding  $G_x$ . Hence  $G_x$  is closed as required.

Let  $\mathcal{F}$  be the closed (necessarily free) filter which is generated by the collection  $\mathcal{G} = \{G_x : x \in X\}$ . Let  $\mathcal{D} = \{D_i : i \in k\}$  be a well ordered filter base for  $\mathcal{F}$ . Without loss of generality we may assume that each  $D_i$  is included in a  $G_x$ .

For every  $i \in k$ , we let  $z_i = \bigcup Z_i, Z_i = \{x \in X : D_i \subseteq G_x\}.$ 

**Claim 3.**  $|z_i| < \omega$ . It suffices to show that  $|Z_i| < \omega$ . Assume on the contrary that  $Z_i$  is infinite. Clearly  $z_i$  is an infinite set and any member of  $D_i = \bigcap \{G_x : D_i \subseteq G_x\}$  includes  $z_i$ . Thus,  $D_i = \emptyset$ . On the other hand, as  $D_i \subseteq D_i$  we have  $D_i \neq \emptyset$ . This contradiction establishes Claim 3.

Put  $Z = \{z_i : i \in k\}$ . Clearly Z is a well ordered cover of A consisting of finite sets. Since we can always disjointify Z, Levy's Lemma follows and the proof of  $(6) \rightarrow MC$  is complete.

 $(1) \rightarrow (7)$ . This is straightforward.

 $(7) \to MC$ . Fix A be an infinite set and let  $X = [A]^{<\omega}$ . N. Brunner ([3]) has shown that the collection  $\mathcal{B}$  of all sets of the form  $B(y, z) = \{x \in X : y \subseteq x \land x \cap z = \emptyset\}, y, z \in X, y \cap z = \emptyset$  generates a dense in-itself T<sub>2</sub> topology on X. Now, the sets  $G_x$  given in (3.1) are closed in X. (If  $z \in X, z \notin G_x$ , then  $B(z, x \setminus z)$  is a neighborhood of z avoiding  $G_x$ .) We can finish the proof of  $(7) \to MC$  as in (6)  $\to MC$ .

(8)  $\rightarrow$  MC. Let A, (X,T) and  $\mathcal{G} = \{G_x : x \in X\}$  be as in (7)  $\rightarrow$  MC. It is easy to see that  $\mathcal{B} = \{\bigcup Q : Q \in [\mathcal{G}]^{<\omega}\}$  is a lattice of closed sets which is also a  $\mathcal{B}$ -filter. Thus  $\mathcal{B}$  is a maximal  $\mathcal{B}$ -filter and by the hypothesis it has a well orderable filter base  $\mathcal{D}$ . Continue as in the proof of (6)  $\rightarrow$  MC to write A as a well ordered union of finite sets finishing the proof of (8)  $\rightarrow$  MC and of the theorem.  $\Box$ 

In the next corollary we give a list of equivalents of AC. We would like to stress out the resemblance of (9) and (12).

#### **Corollary 9.** The following are equivalent: AC.

(9) Every closed filter  $\mathcal{F}$  in a  $T_1$  space (X, T) extends to a maximal closed filter with a well orderable filter base ( = CFE + (13)).

(10) For every set  $A \neq \emptyset$ , every filter  $\mathcal{F} \subseteq \mathcal{P}(A)$  extends to an ultrafilter with a

well orderable filter base (=BPI + (14)).

(11) Every open filter  $\mathcal{F}$  in a  $T_1$  space (X, T) extends to a maximal open filter with a well orderable filter base ( = every open filter  $\mathcal{F}$  in a  $T_1$  space extends to a maximal open filter + (4)) ( = BPI + (4)).

(12) Every closed filter  $\mathcal{F}$  in a  $T_1$  space (X,T) has a well orderable base and is included in a maximal closed filter  $\mathcal{G}$  (= (1) + CFE).

PROOF: AC  $\rightarrow$  (9), (11), (12), (9)  $\rightarrow$  (10) and (11)  $\rightarrow$  (10). These are straightforward.

 $(12) \rightarrow AC$ . This follows from Proposition 1 and Theorem 8.

In order to complete the proof of the theorem it suffices to show that  $(10) \rightarrow AC$ . Clearly, (10) implies BPI which in turn implies  $AC_{fin}$ , the axiom of choice for families of finite sets. In order to complete the proof, it suffices to show that (10) also implies MC. The proof of (6)  $\rightarrow$  MC of Theorem 8 goes through even in case  $\mathcal{D}$  is a base for some ultrafilter  $\mathcal{H}$  extending the filter  $\mathcal{F}$ . Thus, (10) implies MC, finishing the proof of the corollary.

# 4. Maximal closed filters in $T_1$ spaces do not have countable characters

In this section we give an equivalent form of CMC.

**Theorem 10.** CMC iff CCFC (i.e. no maximal closed free filter in a  $T_1$  space has countable character).

PROOF: CMC  $\rightarrow$  CCFC. Assume that  $B = \{B_n : n \in \omega\}$  is a countable filter base for a free filter  $\mathcal{G}$  of closed sets in the T<sub>1</sub> space (X, T). Without loss of generality we may assume that B is strictly descending. Put  $A_n = B_n \setminus B_{n+1}$  for all  $n \in \omega$ and  $A = \{A_n : n \in \omega\}$ . Let  $\mathcal{F} = \{F_n : n \in \omega\}$  satisfy CMC for A. Then  $\mathcal{F}$  is a locally finite family of closed sets in X. Indeed let  $x \in X$ . We consider the following two cases:

(i)  $x \notin \bigcup \mathcal{F}$ . Since  $\mathcal{G}$  is a free filter there exists an  $n \in \omega$  such that  $x \notin B_n$ . Then  $W = (B_n)^c \setminus (F_0 \cup \cdots \cup F_{n-1})$  is a neighborhood of x which avoids every element of  $\mathcal{F}$ .

(ii)  $x \in F_n$  for some  $n \in \omega$ . Then  $W = (B_{n+1})^c \setminus (F_0 \cup \cdots \cup F_{n-1})$  is a neighborhood of x which meets only one element of  $\mathcal{F}$ , namely  $F_n$ .

Thus  $\mathcal{F}$  is locally finite and consequently the family  $\mathcal{H} = \{F_{2n} : n \in \omega\}$  is also locally finite. It is a well known fact (see [10]) that the union of a locally finite family of closed sets is a closed set, consequently,  $c = \bigcup \mathcal{H}$  is a closed set meeting each but not including properly any member of B. Thus, the closed filter generated by  $\{c\} \cup \mathcal{G}$  extends properly  $\mathcal{G}$  meaning that  $\mathcal{G}$  is not an ultrafilter.

CCFC  $\rightarrow$  CMC. In view of Proposition 6 it suffices to show that CCFC  $\rightarrow$  PCMC. Fix  $B = \{B_n : n \in \omega\}$  a family of disjoint infinite sets. Topologize  $X = \bigcup B$  by declaring basic neighborhoods of points  $x \in X$ ,  $x \in B_n$  to be all supersets of  $\{x\}$  whose complements in  $X_n = \bigcup \{B_m : m \leq n\}$  are finite. Clearly,

(1) X is a  $T_1$  space,

(2) if a set  $U \neq X$  is closed in X, then for all  $n \in \omega$ ,  $|U \cap B_n| < \omega$  or  $B_n \subseteq U$ , (3)  $A = \{A_i = \bigcup \{B_n : n \ge i\} : i \in \omega\}$  is a descending family of closed (nowhere dense-except  $A_0$ ) sets with empty intersection.

Let  $\mathcal{F}$  be the closed filter (necessarily free) which is generated by A. As A is countable, it follows from CCFC that  $\mathcal{F}$  is not maximal. Thus, there exists a non empty closed set Q meeting non trivially but not including any member of A. Hence, there is a set  $\overline{B} = \{B_{n_i} : i \in \omega\} \subseteq B$  such that  $F_i = Q \cap B_{n_i} \neq \emptyset$ . Since  $Q \neq X$ , we see that  $F_i$  is finite and consequently  $F = \{F_i : i \in \omega\}$  is a multiple choice for  $\overline{B}$  finishing the proof of the theorem.

#### 5. Independence results

**Lemma 11.** MC (and consequently (1) through (8)) implies (14) but the converse is not true.

PROOF: By Theorem 8, we have that MC implies (14). On the other hand, A. Blass has shown in [1] that there exists a ZF model  $(\mathcal{M}, \in)$  without free ultrafilters. Thus, in  $\mathcal{M}$  (14) holds but AC, and consequently MC, fails.

Lemma 12. (i) *MC* does not imply *CFE*.

(ii) CAC does not imply CFE.

(iii) CMC does not imply (14).

(iv) CAC does not imply (14).

(v) CAC does not imply (13).

(vi) Neither (14) nor (13) imply CAC.

PROOF: (i) By Proposition 1, CFE + CMC  $\leftrightarrow$  AC. Now, in model  $\mathcal{N}2$  (the Second Fraenkel Model) in [5] MC and consequently CMC holds but AC fails. Therefore CFE fails in  $\mathcal{N}2$ .

(ii) By Proposition 1, CFE + CAC  $\leftrightarrow$  AC. There are both Cohen models and permutational models  $(M, \in)$  where CAC holds but AC fails. See, for example Solovay's model, Model  $\mathcal{M}5(\aleph)$  in [5]. Thus, in  $\mathcal{M}5(\aleph)$  CAC holds but CFE fails.

(iii) It is known, see model  $\mathcal{N}38$  in [5], that CMC+BPI does not imply AC. ( $\mathcal{N}38$  is a permutational model satisfying CMC, BPI and the negation of AC.) On the other hand, in view of Corollary 9, (14) + BPI does imply AC. Thus (14) fails in  $\mathcal{N}38$ .

(iv) CAC holds in  $\mathcal{N}38$  but as we have seen in (iii), (14) fails.

(v) Clearly, (13) implies (14). On the other hand CAC, in view of (iv), holds in  $\mathcal{N}38$  but (14) fails. Hence (13) fails also in  $\mathcal{N}38$ .

(vi) In the Second Fraenkel Model, Model  $\mathcal{N}2$  in [5], MC and consequently (13) and (14) hold but CAC fails.

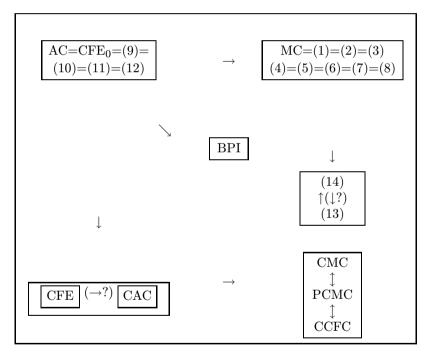
Lemma 13. (i) BPI does not imply neither (14) nor (13). (ii) None of (13) and (14) implies BPI.

PROOF: (i) The statements BPI+(14) and BPI+(13) are, in view of Corollary 9, equivalent to AC. Now, in Cohen's original model, Model  $\mathcal{M}1$  in [5], BPI is true but AC is false. Thus, in  $\mathcal{M}1$ , BPI is true but (14) and (13) are false.

(ii) As seen in (vi) of Lemma 12, (13) and (14) are true in model  $\mathcal{N}2$ . On the other hand, BPI is false in  $\mathcal{N}2$  (BPI is equivalent to Form 14J ( = the product of compact  $T_2$  spaces is compact) in [5] and there exists a family in  $\mathcal{N}2$  of compact  $T_2$  spaces such that their Tychonoff product is not compact).

In Blass' model, in [1], (14) is true whereas BPI is false (see [12]).

#### 6. Summary



**Questions.** (i) Does CFE imply CMC? (ii) Is CCFC2 provable in ZF-AC? (iii) Does (12) imply MC?

(iii) Does (13) imply MC?

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