

**WOODIN'S PROOF THAT  $\text{NS}_{\omega_1}$  SATURATED  
ALMOST IMPLIES CH FAILS**

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This seminar note presents Woodin's proof of Theorem 1 as given in [3, §3.1] with some details added. It contains nothing new. Many of the lemmas—but not Theorem 13, and typically not Theorem 1 either, remain true when saturatedness is weakened to presaturatedness or when  $\text{NS}_{\omega_1}$  is replaced with some normal ideal. Most of the results are given in [2] in a greater generality.

Let  $\text{NS}_{\omega_1}$  be the ideal of nonstationary subsets of  $\omega_1$ . It is *saturated* if every antichain in  $\mathcal{P}(\omega_1)/\text{NS}_{\omega_1}$  has size at most  $\aleph_1$ .

**Theorem 1** (Woodin). *Assume  $\text{NS}_{\omega_1}$  is saturated and there exists a measurable cardinal. Then CH fails.*

*Proof.* Theorem follows immediately from lemmas 2, 3 and 4 below. □

In [3, §3.1] Woodin proved a stronger conclusion, that  $\delta_2^1 = \omega_2$ . The argument that in the presence of sharps the assumption of Lemma 4 implies  $u_2 = \omega_2$  is given in [3]. The argument that, again in the presence of sharps,  $u_2 = \delta_2^1$  is given in [4].

**Terminology.** Let  $\text{ZFC}^0$  be a large enough fragment of ZFC that holds in  $H(\theta)$  for a regular  $\theta \geq \aleph_2$  (the precise definition will not be needed here; see [2, §1]). A *ctm* is a countable transitive model of  $\text{ZFC}^0$ . If  $N$  is a transitive model of  $\text{ZFC}^0$  and  $G \subseteq (\text{NS}_{\omega_1}^+)^N$  is  $N$ -generic ultrafilter, then in  $N[G]$  one defines the *generic ultrapower* as follows (see [1, p. 420] for or [2, §1] details). On the structure  $({}^{\omega_1}N) = \{f \in N \mid N \models f \text{ is a function and } \text{dom}(f) = \omega_1\}$  define relations  $\sim_G$  and  $\in_G$  via

$$f \sim_G g \leftrightarrow \{\xi < \omega_1^N \mid f(\xi) = g(\xi)\} \in G$$

$$f \in_G g \leftrightarrow \{\xi < \omega_1^N \mid f(\xi) \in g(\xi)\} \in G.$$

Then the generic ultrapower  $N^*$  is the set of all  $\sim_G$ -equivalence classes with respect to  $\in_G$ . The equivalence class of  $f$  is denoted by  $[f]_G$ . For  $a \in N$  let  $f_a$  be the function mapping each  $\xi \in \omega_1$  to  $a$ . The proof of Łos's theorem for ultraproducts gives that the mapping  $j: N \rightarrow N^*$  defined by  $j(a) = [f_a]_G$  is an elementary embedding. In the case when  $N^*$  is well-founded we shall identify  $N^*$  with its transitive collapse and  $j$  with the corresponding embedding.

If  $N$  is a transitive model of  $\text{ZFC}^0$  then a  $\gamma$ -iteration of  $N$  is  $(N_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \gamma)$  where  $j_{\xi\eta}: N_\xi \rightarrow N_\eta$  is a commuting family of elementary embeddings,  $G_\eta \subseteq (\mathcal{P}(\omega_1)/\text{NS}_{\omega_1})^{N_\eta}$  is a generic filter,  $N_{\eta+1}$  is the transitive collapse of the generic ultrapower, and  $j_{\eta\eta+1}$  is the corresponding generic ultrapower embedding, and for a limit  $\eta$  and  $\xi < \eta$   $j_{\xi\eta}$  and  $N_\eta$  are the transitive collapse of the direct limit

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of  $j_{\xi\zeta}$  and  $N_\zeta$  for  $\xi < \zeta < \eta$ . (This is different from the standard definition which allows ill-founded models in iterations. This way we avoid having to define  $N[G]$  for ill-founded  $N$  at the expense of creating other technical problems. What matters is that our definition of ‘ $M$  is iterable’ agrees with the standard one.) An iteration  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta < \alpha)$  is *well-founded* if its direct limit  $M_\alpha$  is well-founded. A model  $M$  is  $\gamma$ -*iterable* if it has iterations of length  $\gamma$  and each of its  $\gamma$ -iterations is well-founded. Since  $\text{NS}_{\omega_1}^+$  collapses  $\omega_1$ , each iteration has length at most  $\omega_1$  and we say  $M$  is *iterable* if it is  $\omega_1$ -iterable. Note that a sufficient condition for the existence of a (possibly ill-founded) 1-iteration of a transitive model  $M$  of  $\text{ZFC}^0$  is that  $\mathcal{P}(\mathcal{P}(\omega_1))^M$  is countable.

For  $x \in \mathbb{R}$  the set

$$D_x = \{\alpha < \omega_1 \mid L_\alpha[x] \prec L_{\omega_1}[x]\}$$

is a club. If  $M$  is a ctm then it is coded by a real so  $D_M$  has the obvious meaning.

**Lemma 2.** *For every iterable  $M$ , every  $C \in M$  such that  $M \models ‘C \subseteq \omega_1$  is a club,’ and every  $\omega_1$ -iteration  $j: M \rightarrow M_{\omega_1}$  we have  $D_M \subseteq j(C)$ .*

**Lemma 3.** *If for every club  $C \subseteq \omega_1$  there is a real  $x$  such that  $D_x \subseteq C$  then CH fails.*

**Lemma 4.** *Assume  $\text{NS}_{\omega_1}$  is saturated and there is a measurable cardinal. Then for every  $A \subseteq \omega_1$  there is an iterable  $M$  and  $a \in M$  such that for some iteration  $j: M \rightarrow M_{\omega_1}$  we have  $j(a) = A$ .*

*Proof of Lemma 3.* Since every  $\omega_1$ -sequence of clubs can be diagonalized by a club, there are more than  $\aleph_1$  reals.  $\square$

*Proof of Lemma 2.* First note that for every iteration  $(M_\alpha, G_\alpha, j_{\alpha\beta}, \alpha < \beta \leq \omega_1)$  and every club  $C \in M_0$  we have  $\omega_1^{M_\alpha} \in j_{0\alpha}(C)$  for all  $\alpha$ .

Fix  $M$  and  $C \in M$  as in the statement of Lemma. Also let  $\alpha$  be a countable ordinal. The set

$$X = \{x \mid x \text{ codes } \omega_1^{M_\alpha} \text{ for the final model of some } \alpha\text{-iteration of } M\}$$

is analytic. This is because  $x \in X$  if and only if there is a sequence  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \alpha)$  such that  $M_0 = M$ , each  $G_\xi \subseteq \text{NS}_{\omega_1}^{M_\xi}$  is  $M_\xi$ -generic,  $j_{\xi\eta}$  are generic ultra-power maps, and  $x$  codes  $\omega_1^{M_\alpha}$ . Since  $M$  is iterable,  $X$  is included in the complete coanalytic set  $\{x \mid x \text{ codes a countable well-ordering}\}$ . By the Boundedness Lemma  $g_M(\alpha) = \sup\{\omega_1^N \mid N \in X\}$  is a countable ordinal. For each  $\eta$  closed under  $g_{M_0}$  and every iteration  $(M_\alpha, G_\alpha, j_{\alpha\beta}, \alpha < \beta \leq \omega_1)$  we have  $j_{0\eta}(\omega_1^{M_0}) = \eta$ , thus  $\eta \in j_{0\omega_1}(C)$  for every club  $C$  in  $M_0$ .

We have  $g_M \in L[M]$ , and also  $g_M \upharpoonright \alpha \in L_{\omega_1}[M]$  since all the reals of  $L[M]$  are in  $L_{\omega_1}[M]$ . Thus every  $\eta \in D_M$  is closed under  $g_M$  and therefore belongs to  $j(C)$ .  $\square$

**Proof of Lemma 4.** Let  $<_w$  be a fixed well-ordering of  $H(\aleph_2)$ .

**Lemma 5.** *Assume  $\text{NS}_{\omega_1}$  is saturated,  $M \prec (H(\aleph_2), <_w)$  is countable, and  $N$  is the Skolem hull in  $(H(\aleph_2), <_w)$  of  $M \cup \{M \cap \omega_1\}$ . Then the transitive collapse of  $N$  is a 1-iteration of the transitive collapse of  $M$  via  $G = \{A \in \mathcal{P}(\omega_1)^M \mid M \cap \omega_1 \in A\}$ .*

*Proof.* We first prove  $G$  is  $M$ -generic. Let  $\mathcal{A} \subseteq \text{NS}_{\omega_1}^+$  be a maximal antichain in  $M$ , enumerated as  $A_\alpha$  ( $\alpha < \omega_1$ ). Then  $C = \bigcup_{\alpha < \omega_1} (A_\alpha \setminus (\alpha + 1))$  includes a club, and therefore  $\nu = M \cap \omega_1 \in C$ . This implies  $\nu$  belongs to  $\bigcup_{\alpha < \nu} A_\alpha$ , which is  $M \cap \mathcal{A}$ .

Now we check  $N$  is the generic ultrapower. Since  $<_w$  provides definable Skolem functions,  $N = \{f(\nu) \mid f: \omega_1 \rightarrow M, f \in M\}$ . Let  $X = \{f \mid f: \omega_1 \rightarrow M, f \in M\}$ . Then the generic ultrapower,  $M^*$ , is equal to  $(\{[f]_G \mid f \in X\}, \epsilon)$ , where  $[f]_G =_G [g]_G$  if and only if  $A = \{\xi \mid f(\xi) = g(\xi)\} \in G$  and  $[f]_G \epsilon_G [g]_G$  if and only if  $B = \{\xi \mid f(\xi) \in g(\xi)\} \in G$ . But by elementarity  $A \in G$  if and only if  $f(\nu) = g(\nu)$  and  $B \in G$  if and only if  $f(\nu) \in g(\nu)$ . Therefore the map  $[f]_G \mapsto f(\nu)$  is an isomorphism from  $M^*$  onto  $N$ .  $\square$

The proof of Lemma 5 included verification of the following fact worth recording.

**Lemma 6.** *If  $\text{NS}_{\omega_1}$  is saturated in  $M$  and  $G \subseteq (\text{NS}_{\omega_1}^+)^M$  is  $M$ -generic then the generic ultrapower is equal to  $\{(jf)(\omega_1^M) \mid f: \omega_1 \rightarrow M, f \in M\}$ .*  $\square$

**Lemma 7.** *Assume  $\text{NS}_{\omega_1}$  is saturated. Then for every countable  $M \prec H(\aleph_2)$  there is an  $\omega_1$ -iteration of its transitive collapse  $\bar{M}$  such that  $j(\bar{A}) = A$  for all  $A \subseteq \omega_1$  in  $M$  (where  $\bar{A}$  denotes the image of  $A$  under the collapsing map for  $M$ ).*

*Proof.* Define  $M_\xi$  ( $\xi \leq \omega_1$ ) recursively by  $M_0 = M$ ,  $M_{\alpha+1} = \text{Hull}_{H(\aleph_2)}(M_\alpha, \{M_\alpha \cap \omega_1\})$  and  $M_\beta = \bigcup_{\alpha < \beta} M_\alpha$  when  $\beta \leq \omega_1$  is a limit ordinal. Then by Lemma 5 the sequence of transitive collapses  $\bar{M}_\alpha$  of these models defines an  $\omega_1$ -iteration of  $\bar{M}$ , and  $j_{\omega_1}(\bar{A}) = A$  for every  $A \in M$  that is a subset of  $\omega_1$ .  $\square$

**Lemma 8.** *Assume  $M$  and  $N$  are transitive models of  $\text{ZFC}^0$  such that  $\mathcal{P}(\omega_1)^M = \mathcal{P}(\omega_1)^N$  and  $\text{NS}_{\omega_1}$  is saturated in  $N$ . Then the following hold.*

- (1) *Every  $N$ -generic  $G \subseteq (\text{NS}_{\omega_1}^+)^N$  is  $M$ -generic.*
- (2) *For every  $\alpha \leq \omega_1$  and every iteration  $(N_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \alpha)$  of  $N = N_0$  the sequence  $(M_\xi, G_\xi, k_{\xi\eta}, \xi \leq \eta \leq \alpha)$  with  $M = M_0$  and  $k_{\xi, \xi+1}: M_\xi \rightarrow M_{\xi+1}$  induced by  $G_\xi$ , is an iteration of  $M$ .*
- (3) *If moreover  $N \subseteq M$ , then  $N_\xi \subseteq M_\xi$  for all  $\xi \leq \alpha$  and  $j_{\xi\eta} = k_{\xi\eta} \upharpoonright N_\xi$  for all  $\xi \leq \eta \leq \omega_1$ .*

*Proof.* (1) Let  $\mathcal{A}$  be a maximal antichain in  $\mathcal{P}(\omega_1)/\text{NS}_{\omega_1}$  in  $M$ . By saturatedness it can be coded by a subset of  $\omega_1$ , and it is therefore a maximal antichain of  $\mathcal{P}(\omega_1)/\text{NS}_{\omega_1}$  in  $N$ .

We prove (2) by induction on  $\alpha$ . The case  $\alpha = 1$  is (1). Assume  $\alpha = \beta + 1$  and the statement is true for  $\beta$ . If  $(N_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \beta + 1)$  is an iteration, then  $N_\beta$  and  $M_\beta$  have the same  $\mathcal{P}(\omega_1)$ . Assume  $A \in \mathcal{P}(\omega_1)^{N_{\beta+1}}$  and let  $f: \omega_1 \rightarrow \mathcal{P}(\omega_1)$  be a function in  $N_\beta$  such that  $[f]_{G_\beta} = A$ . Work in  $N_\beta$ . For each  $\xi < \omega_1$  there is a maximal antichain  $\mathcal{A}_\xi$  in  $\text{NS}_{\omega_1}^+$  whose elements decide  $f(\xi)$ . Each of these antichains, as well as the whole structure, is of size  $\aleph_1$ . Therefore  $f \in M_\beta$ . Since  $f$  is computed with respect to the same  $G_\beta$  in  $M$ , we have  $A = [f]_{G_\beta} \in \mathcal{P}(\omega_1)^M$ . This proves  $\mathcal{P}(\omega_1)^{N_\alpha} \subseteq \mathcal{P}(\omega_1)^{M_\alpha}$ , and the proof of the other inclusion is analogous. By (1) the inductive hypothesis holds for  $\alpha$ .

The case when  $\alpha$  is a limit ordinal is immediate since we are taking direct limits.

Clause (3) is proved by induction. For the case  $\alpha = 1$  we need to check that for every  $f \in {}^{\omega_1}N$ ,  $g \in {}^{\omega_1}M$  and  $B \in \text{NS}_{\omega_1}^+$  such that  $B \Vdash_{\text{NS}_{\omega_1}} [g]_{G_0} \in_{G_0} [f]_{G_0}$  there is a  $g' \in {}^{\omega_1}N$  such that  $B \Vdash [g']_{G_0} =_{G_0} [g]_{G_0}$ . Let  $A = \{\xi \in B \mid g(\xi) \in f(\xi)\}$ . Then  $\omega_1 \setminus A \in \text{NS}_{\omega_1}$ , hence  $g'$  defined by  $g'(\xi) = g(\xi)$  if  $\xi \in A$  and  $g'(\xi) = 0$  for  $\xi \notin A$  is in  $N$  as required.

The proof of the successor case is identical, and the limit case is automatic since we are taking direct limits.  $\square$

The *critical sequence* of an iteration  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \gamma)$  is  $j_{0\alpha}(\omega_1^{M_0})$  ( $\alpha < \gamma$ ). An elementary embedding  $j: M \rightarrow M^*$  can be naturally extended to include definable subsets of  $M$  in its domain. If  $X = \{x \mid M \models \phi(x, a)\}$  for a parameter  $a \in M$  let  $j(X) = \{x \mid M^* \models \phi(x, j(a))\}$ .

**Lemma 9.** *Assume  $M$  is a transitive model of  $\text{ZFC}^0$  such that  $\text{NS}_{\omega_1}$  is saturated in  $M$  and  $X$  is a definable subset  $M$ .*

- (1) *If  $G \subseteq \text{NS}_{\omega_1}^+$  is  $M$ -generic,  $j: M \rightarrow M^*$  is the generic ultrapower map then for every  $\text{NS}_{\omega_1}^+$ -name  $\dot{x}$  for an element of  $j(X)$  there is  $f: \omega_1 \rightarrow X$  in  $M$  such that  $\Vdash [f]_G = \dot{x}$ . (Equivalently,  $(jf)(\omega_1^M) = \text{int}_G(\dot{x})$ .)*
- (2) *If  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \gamma)$  is an iteration then for every  $x \in j_{0\gamma}(X)$  then there is  $n \in \omega$ , an  $n$ -tuple  $\vec{\xi}$  in the critical sequence and  $f: \omega_1^n \rightarrow X$  in  $M_0$  such that  $a = (j_{0\gamma}f)(\vec{\xi})$ .*
- (3) *In every iteration  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \gamma)$   $j_{0\gamma}'' \text{Ord}^{M_0}$  is cofinal in  $\text{Ord}^{M_\gamma}$ .*

*Proof.* (1) Let  $\mathcal{A}$  be a maximal antichain such that each  $A \in \mathcal{A}$  decides  $f_A \in M$  such that  $f_A: A \rightarrow \text{Ord}$  and  $A \Vdash [f_A]_G = \dot{x}$ . Since  $\mathcal{A}$  is of size at most  $\aleph_1$ , we can assume its elements are pairwise disjoint and therefore  $f' = \bigcup_{A \in \mathcal{A}} f_A \upharpoonright A$  is a function whose domain includes a club such that  $[f']_G = \dot{x}$ . The set  $\{\xi \mid f'(\xi) \notin X\}$  is nonstationary and therefore we can define  $f: \omega_1 \rightarrow X$  in  $M$  that coincides with  $f'$  on a club.

(2) Induction on  $\gamma$ . Fix an iteration  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \gamma)$  and write  $\xi_\alpha = j_{0\alpha}(\omega_1^M)$ . For the successor case,  $\gamma = \beta + 1$ , by Lemma 6 let  $f': \omega_1 \rightarrow j_{0\beta}(X)$  in  $M_\beta$  be such that  $(j_{\beta\beta+1}f')(\xi_\beta) = x$ . By the inductive assumption there is  $f: \omega_1^n \rightarrow \omega_1 X$  in  $M_0$  and  $\vec{\xi}'$  in the critical sequence such that  $(j_{0\beta}f)(\vec{\xi}') = f'$ . Then with  $\vec{\xi} = \vec{\xi}' \hat{\ } \xi_\beta$  we have  $(j_{0\gamma}f)(\vec{\xi}) = x$ . If  $\gamma$  is limit, there is nothing to prove since we are taking direct limits.

(3) Letting  $X = \text{Ord}^M$  and applying (2), for an ordinal  $\alpha$  in  $M_\gamma$  fix  $f \in M_0$  such that  $(jf)(\vec{\xi}) = \alpha$ . If  $\beta = \text{sup range}(f)$  then clearly  $j(\beta) \geq \alpha$ .  $\square$

**Lemma 10.** *If  $M$  is a ctm such that  $\text{NS}_{\omega_1}$  is saturated in  $M$  then  $M$  is  $n$ -iterable for all  $n \in \omega$ .*

*Proof.* It suffices to check the well-known case when  $n = 1$ , and for this we only need to check the following.

If  $G \subseteq \text{NS}_{\omega_1}^+$  is generic and  $j: M \rightarrow M^*$  is a generic ultrapower embedding then every  $\omega$ -sequence of elements of  $M^*$  that belongs to  $M[G]$  belongs to  $M^*$ .

It suffices to prove the assertion for sequences of ordinals. Assume  $\dot{\alpha}_n$  ( $n < \omega$ ) is a sequence of  $\text{NS}_{\omega_1}^+$ -names for ordinals in  $M$ . By Lemma 9 there are functions  $f_n \in M$  such that  $\Vdash [f_n]_G = \dot{\alpha}_n$ , and therefore the function  $g: \omega_1 \rightarrow {}^\omega \text{Ord}$  defined by  $g(\xi)(n) = f_n(\xi)$  is such that  $\Vdash [g]_G = (\dot{\alpha}_n \mid n < \omega)$ .

Since  $M^*$  is closed under  $\omega$ -sequences in  $M[G]$ , it is well-founded in  $M[G]$ . But  $M[G]$  is well-founded, and therefore so is  $M^*$ .  $\square$

For  $X \subseteq M$  we write  $j''X = \{j(x) \mid x \in X\}$ . The proof of Lemma 10 clearly gives that for every  $X \subseteq M$  of size  $\aleph_1$  we have  $j''X \in M^*$ , but note that  $M^*$  is not closed under  $\omega_1$ -sequences.

In the following  $\text{ZFC}^*$  is a finite fragment of  $\text{ZFC}$  large enough to imply ‘there is no largest cardinal.’

**Lemma 11.** *If  $M$  is a transitive model of  $\text{ZFC}^*$ ,  $\mathcal{P}(\omega_1)^M$  is countable, and  $\text{NS}_{\omega_1}$  is saturated in  $M$ , then  $M$  is  $\alpha$ -iterable for every  $\alpha \in M$ .*

*Proof.* Since  $\mathcal{P}(\omega_1)^M$  is countable we can construct iterations of  $M$  of an arbitrary countable length, and  $\mathcal{P}(\omega_1)^{M_\xi}$  will be countable for every  $\xi < \omega_1$ . Assume the assertion fails and fix an iteration  $(M_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \alpha)$  such that  $M_0 = M$  and  $M_\alpha$  is ill-founded. We can assume  $\alpha$  is the minimal ordinal for which such an iteration exists. By (3) of Lemma 9,  $j_{0\alpha}'' \text{Ord}^{M_0}$  is cofinal in  $\text{Ord}^{M_\alpha}$ , and therefore there is  $\beta \in \text{Ord}^{M_0}$  such that  $j_{0\alpha}(\beta)$  is ill-founded. For each  $\kappa \in M$  such that  $M \models \text{cf}(\kappa) \geq \omega_2$  we have  $(V_\kappa)^M \models \text{ZFC}^0$  hence by Lemma 8 each iteration of  $M$  induces an iteration of  $(V_\kappa)^M$ . By Lemma 8(3), this iteration is ill-founded.

Then  $\alpha$  is a limit ordinal by Lemma 10, and it is clear that  $\beta$  is also a limit ordinal. We cannot define an iteration of  $M \cap V_\kappa$  in  $M$  because its  $\omega_1$  is uncountable, hence let  $G \subseteq \text{Coll}(\omega, |V_\kappa|^+)^M$  be  $M$ -generic. For a ctm  $N$  and  $\alpha < \omega_1$  ‘there exists an ill-founded  $\alpha$ -iteration of  $N$ ’ is a  $\Sigma_1^1$  statement, and therefore absolute between transitive models of  $\text{ZFC}^0$ . Therefore for  $N_0 = V_\kappa^M$  the following holds in  $M[G]$ :

$P_{\alpha, \beta, N_0}$ : There is an ill-founded  $\alpha$ -iteration  $(N_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta < \alpha)$  such that  $j_{0\alpha}(\beta)$  is ill-founded.

Let  $(\alpha_0, \beta_0, \kappa_0)$  be the lexicographically minimal triple such that  $P_{\alpha_0, \beta_0, (V_{\kappa_0})^M}$  holds in  $M[G]$  and  $\text{cf}(\kappa)^M > \omega_1$ . Now let  $N_0 = M \cap V_{\kappa_0}$ , fix a witnessing iteration  $(N_\xi, G_\xi, k_{\xi\eta}, \xi \leq \eta \leq \alpha_0)$  in  $M[G]$ . Let  $\zeta_n$  ( $n \in \omega$ ) be a decreasing sequence of ordinals in  $N_{\alpha_0}$  below  $j_{0\alpha_0}(\beta_0)$ . By (3) of Lemma 8 this sequence is in  $N_{\alpha_0}$ . Since  $j_{0\alpha_0}(\beta_0)$  is a direct limit, we can find  $\alpha_1 < \alpha_0$  and  $\beta_1 < j_{0\alpha_1}(\beta_0)$  such that  $j_{\alpha_1\alpha_0}(\beta_1) = \zeta_2$ , hence it is ill-founded. By Lemma 8 and the minimality of  $\alpha_0$ , in the induced iteration  $(N_\xi, G_\xi, k_{\xi\eta}, \xi \leq \eta \leq \alpha_0)$  all  $N_\xi$  ( $\xi < \alpha_0$ ) are well-founded. By the elementarity, the triple  $j_{0\alpha_1}(\alpha_0, \beta_0, \kappa)$  in has the same minimality property as  $(\alpha_0, \beta_0, \kappa)$ . But the tail  $(N_\xi, G_\xi, j_{\xi\eta}, \alpha_1 \leq \xi \leq \eta \leq \alpha_0)$  of the iteration is an iteration of length  $\alpha_2 \leq j_{0\alpha_1}(\alpha_0)$  and it witnesses that  $(\alpha_2, \beta_1, j_{0\alpha_1}(\kappa))$  have the same property. This is a contradiction since  $\beta_1 < j(\beta_0)$ .  $\square$

The following is standard, and our only use of the assumption that there exists a measurable cardinal is its conclusion for the case  $\mathfrak{A} = H(\aleph_2)$ .

**Lemma 12.** *Assume  $\kappa$  is a measurable cardinal and  $\mathfrak{A} \in V_\kappa$  is transitive. Then for every  $\theta > \kappa$  the set*

$$\{M \prec \mathfrak{A} \mid M \text{ is countable}$$

$$\text{and there is an uncountable } N \prec H(\theta) \text{ such that } N \cap \mathfrak{A} = M\}$$

*contains a club.*

*Proof.* Let  $<_w$  be a fixed well-ordering of  $V_\kappa$  and let  $M \prec (V_\kappa, <_w)$  be countable and such that  $\mathfrak{A} \in M$ . Let  $f_n$  ( $n \in \mathbb{N}$ ) be the enumeration of all Skolem functions for  $V_\kappa$  with parameters in  $M$ . Find  $A \subseteq \kappa$  of full measure such that each  $f_n$  with range in  $M$  is constant on  $A$ . Then  $M_1 = \text{Hull}(M \cup \{\alpha\})$ , for  $\alpha = \min(A)$ , is an end-extension of  $M$ . Iterating this process find an  $\omega_1$ -elementary chain of end-extensions and let  $N$  be its union.  $\square$

*Proof of Lemma 4.* Assume  $\text{NS}_{\omega_1}$  is saturated and let  $A \subseteq \omega_1$ . With  $\theta = \kappa^+$ , by Lemma 12 we can find  $N \prec H(\theta)$  such that  $A \in N$ ,  $M = N \cap H(\aleph_2)$  is countable and  $N$  is of size  $\aleph_1$ . Let  $\bar{M}$  and  $\bar{N}$  be the transitive collapses of these two

models. By Lemma 7,  $N_0 = \bar{N}$  has an  $\omega_1$ -iteration  $(N_\xi, G_\xi, k_{\xi\eta}, \xi \leq \eta \leq \alpha)$  such that  $A = j_{0\omega_1}(a)$  for some  $a \in N_0$ . We only need to show that  $\bar{N}$  is iterable. Note that  $\mathcal{P}(\omega_1)^{\bar{M}} = \mathcal{P}(\omega_1)^{\bar{N}}$ . We claim  $\bar{M}$  is iterable. Assume not and fix an ill-founded iteration  $(\bar{M}_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \alpha)$  of minimal length; then  $\alpha < \omega_1$ . By Lemma 8, these generics define an iteration  $(\bar{N}_\xi, G_\xi, j_{\xi\eta}, \xi \leq \eta \leq \alpha)$  such that  $\bar{N}_\xi \subseteq \bar{M}_\xi$ . The latter iteration is well-founded by Lemma 8, a contradiction.  $\square$

Note that we have actually proved the following.

**Theorem 13.** *Assume that for every  $A \subseteq \omega_1$  there is an iterable  $M$  and  $a \in M$  such that for some iteration  $j: M \rightarrow M_{\omega_1}$  we have  $j(a) = A$ . Then CH fails.*  $\square$

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