Typicality à la Russell in set theory

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Abstract

We adjust the notion of typicality originated with Russell, which was introduced and studied in a previous paper for general first-order structures, to make it expressible in the language of set theory. The adopted definition of the class NT of nontypical sets comes out as a natural strengthening of Russell's initial definition, which employs properties of small (minority) extensions, when the latter are restricted to the various levels V_{ζ} of V. This strengthening leads to defining NT as the class of sets that belong to some countable ordinal definable set. It follows that $OD \subseteq NT$ and hence $HOD \subseteq HNT$. It is proved that the class HNT of hereditarily nontypical sets is an inner model of ZF. Moreover the (relative) consistency of $V \neq NT$ is established, by showing that in many forcing extensions M[G] the generic set G is a typical element of M[G], a fact which is fully in accord with the intuitive meaning of typicality. In particular it is consistent that there exist continuum many typical reals. In addition it follows from a result of Kanovei and Lyubetsky that $HOD \neq HNT$ is also relatively consistent. In particular it is consistent that $\mathcal{P}(\omega) \cap \mathrm{OD} \subseteq \mathcal{P}(\omega) \cap \mathrm{NT}$. However many questions remain open, among them the consistency of $\mathrm{HOD} \neq \mathrm{HNT} \neq V$, $\mathrm{HOD} = \mathrm{HNT} \neq V$ and $\mathrm{HOD} \neq \mathrm{HNT} = V$.

Mathematics Subject Classification (2010): 03E45, 03E47

Keywords: Russell's notion of typicality, typical and nontypical set of ZFC, ordinal definable set.

1 Introduction

Inspired by B. Russell's definition of "typical Englishman" in [8], we introduced in [9] a rigorous definition of typical property over a first-order structure $\mathfrak{M}=(M,\ldots)$ (expressed in the language L of \mathfrak{M}), and of typical element of \mathfrak{M} . The definition of typical element exhibits clear similarities with the well-known definition of Martin-Löf random real and its variants so it could be conceived as an alternative notion of randomness. Moreover, allowing parameters in the formulas involved leads to a notion of relative typicality "object a is typical with respect to objects \bar{b} ", or " \bar{b} -typical", denoted $\mathsf{Tp}(a,\bar{b})$. In this form, typicality exhibits also clear similarities with van Lambalgen's relative randomness notion $R(x,\bar{y})$, and $\mathsf{Tp}(a,\bar{b})$ was shown to satisfy most of the randomness axioms proposed in [6] and other papers of the same author. Let us first recall some basic definitions from [9].

Russell's inspiring definition of typical Englishman [8, p. 89] is as follows:

A typical Englishman is one who possesses all the properties possessed by a majority of Englishmen.

Without the distinction between object language and metalanguage, the definition is obviously circular, so practically useless, but it becomes natural and sound as soon as we make the aforementioned distinction. This is easily made by the help of elementary tools of model theory.

Throughout our background theory is ZFC. Let L be a first-order language, $\mathfrak{M}=(M,\ldots)$ an infinite L-structure and $A\subseteq M$. L(A) denotes L augmented with parameters from A. By some abuse of language we refer also to L(A) as the set of formulas of L(A). By a property of L(A) we mean a formula $\phi(x)\in L(A)$ with one free variable. A majority set is any $X\subseteq M$ that contains strictly more elements than its complement, i.e., $|X|>|M\backslash X|$. (Accordingly $M\backslash X$ is then a minority set). Note that $|X|>|M\backslash X|$ is equivalent to $|M\backslash X|<|M|$ (which in particular implies that |X|=|M|). Let

$$\mathsf{mj}(M) = \{X \subseteq M : |X| > |M \backslash X|\} = \{X : |M \backslash X| < |M|\}$$

be the class of majority subsets of M. mj(M) is a filter on M that extends the Fréchet filter of cofinite subsets of M.

Given an *L*-structure \mathfrak{M} and a property $\phi(x, \overline{y})$ of *L* and parameters $\overline{b} \in M$, $\phi(\mathfrak{M}, \overline{b})$ denotes the extension of $\phi(x, \overline{b})$ in \mathfrak{M} , i.e.,

$$\phi(\mathfrak{M}, \overline{b}) = \{ a \in M : \mathfrak{M} \models \phi(a, \overline{b}) \}.$$

Definition 1.1 A property $\phi(x, \overline{y})$ of L is said to be A-typical over \mathfrak{M} , for some $A \subseteq M$, if for every $\overline{b} \in A$, $\phi(\mathfrak{M}, \overline{b}) \in \mathsf{mj}(M)$. In particular $\phi(x)$ is typical if it is \emptyset -typical. An element $a \in M$ is said to be A-typical if it satisfies every A-typical property over \mathfrak{M} .

If A is finite we write it in the form $\overline{a} = \langle a_1, \dots, a_n \rangle$, and say \overline{a} -typical instead of A-typical. Given a structure \mathfrak{M} , the notation $\mathsf{Tp}(a, \overline{b})$ means "a is \overline{b} -typical" over \mathfrak{M} . $\mathsf{Tp}(a)$ means a is " \emptyset -typical", or just "typical".

The following existence results for typical elements were shown in [9].

Theorem 1.2 If \mathfrak{M} is κ -saturated, for some $\kappa \geq \aleph_0$, then for every $A \subseteq M$ such that $|A| < \kappa$, M contains A-typical elements.

Theorem 1.3 Let \mathfrak{M} be an L-structure, for a countable L, and let $A \subseteq M$ be a set of parameters such that $cf(|M|) > \max(\aleph_0, |A|)$. Then \mathfrak{M} contains |M| A-typical elements, while only < |M| non-A-typical ones.

Applying Theorem 1.3 to the standard model of full second-order arithmetic $\mathcal{R} = (\omega, \mathcal{P}(\omega), +, \cdot, <, \in, 0, 1)$ we have the following immediate consequence.

Theorem 1.4 For every $A \subseteq \mathcal{P}(\omega)$ such that $|A| \leq \aleph_0$, there exist 2^{\aleph_0} A-typical reals, while only $< 2^{\aleph_0}$ non-A-typical ones. More precisely: For every finite (or even countable) tuple \bar{b} of reals, $|\{x : Tp(x,\bar{b})\}| = 2^{\aleph_0}$, while $|\{x : \neg Tp(x,\bar{b})\}| < 2^{\aleph_0}$.

2 Typicality in ZFC

The definitions and facts given in the Introduction refer to what might be called "external typicality" with respect to a given first-order structure \mathfrak{M} , because the cardinality measure used to tell which properties are typical and which are not, is external with respect to \mathfrak{M} . In [9] (Remark 2.15) we already observed that such a concept is suitable for all first-order structures except for models of set theory, because every such model possesses its own internal cardinality, which is of course preferable over the external one, and we stressed "the challenge to find a notion of typicality suitable for models of set theory." It is the purpose of this paper to examine ways for implementing Russell's notion of typicality naturally in any model of ZFC. This amounts to finding a typicality notion expressible in the language of set theory. The basic problem has to do with the implementation of Russell's

majority/minority criterion concerning the size of extensions of properties in the universe V of ZFC.

We have argued in [9] that typical objects behave much like random entities, which is equivalent to saying that nontypical objects are expected to be "special" entities, of the kind of objects by which we build "familiar" structures. For instance all definable elements of a structure are nontypical according to the definitions of the previous section (referring to external typicality), and clearly the same must be true for any reasonable notion of typicality in ZFC. That is to say, every set definable without parameters in the universe V should be nontypical. To simplify notation, henceforth we shall identify a structure \mathfrak{M} with its domain M. Given a set or class structure M, we denote by Df(M) the set or class of first-order definable (without parameters) elements of M (i.e., $a \in Df(M)$ if there is a formula $\phi(x)$ such that a is the unique element of M that satisfies $\phi(x)$). In particular, Df(V) is the class of all sets definable without parameters in the universe (V, \in) . By Tarski's undefinability of truth, Df(M) is not a definable subclass of M (in particular, the fact that a set belongs to Df(V) is not expressible by a formula of set theory). On the other hand it is of some interest to note (although we are not going to use this fact below) that Df(V) is an elementary subclass of the inner model HOD of hereditarily definable sets of ZFC, i.e., $Df(V) \leq HOD$ (see e.g. [2, Thm. 4]).

Let TP, NT denote the complementary classes of typical and nontypical sets of V, respectively, the definitions of which are being sought. It follows from the foregoing discussion that the definition of NT should satisfy the following requirement:

$$Df(V) \subseteq NT.$$
 (1)

Further, as already mentioned above, the definition of NT should be expressible in the language of set theory. Recall from the previous section that given a first structure M and a formula $\phi(x)$ (or $\phi(x, \bar{b})$, with $\bar{b} \in M$), $\phi(M)$ (resp. $\phi(M, \bar{b})$) denotes the extension of $\phi(x)$ in M. The same notation will be used in set theory even when M is a proper class. So $\phi(V)$ is the class $\{x: (V, \in) \models \phi(x)\}$, which is commonly written $\{x: \phi(x)\}$. Thus a second requirement for the definition of NT is that there is a first-order property $\sigma(x)$ (without parameters) such that:

$$NT = \sigma(V). \tag{2}$$

Apart from requirements (1) and (2), the definition should be nontrivial, e.g. ZFC should not prove that there are no typical elements (i.e., V = NT), or that NT coincides with some already known subclass of V.

Below we examine three options for the definition of NT. All of them are attempts to implement the Russell' majority/minority criterion for extensions of properties of a set a. The first option leads to $V=\mathrm{NT}$ and thus, inevitably, is rejected as trivial. The second one lies, in a sense, to the opposite end as it makes $V\neq\mathrm{NT}$ provable in ZFC. A consequence of this is that $\mathrm{Df}(V)\not\subseteq\mathrm{NT}$, i.e., the refutation of condition (1), is consistent. This is a sufficient reason to reject this option as well. The third option leads to two sub-options, one of which, happily, offers a definition for NT according to which its subclass HNT (of hereditarily nontypical sets) turns out to be a new inner model of ZF.

Since dealing with extensions $\phi(V)$ over the entire V leads to notions non-expressible in the language of set theory, we must be confined to extensions of ϕ 's in the segments $V_{\zeta} = \{x : rank(x) < \zeta\}$, $\zeta \in Ord$, of V, i.e., to sets $\phi(V_{\zeta}) = \{x : (V_{\zeta}, \in) \models \phi(x)\}$. (We shall write simply $V_{\zeta} \models \phi$ instead of $(V_{\zeta}, \in) \models \phi$.) Working in (V_{ζ}, \in) , we often use ordinal parameters from V_{ζ} , i.e., tuples $\overline{\theta} < \zeta$, but, as will be explained later, the collection of sets defined over all (V_{ζ}, \in) using ordinal parameters is no different than the collection of sets defined in the same structures with no parameters at all. So we can safely dispense, at least for the moment, with ordinal parameters.

Before going on let us recall the formal definition of Russell's typicality and fix some notation. Given a structure M, let

$$TP(M) = \{ a \in M : Tp(a) \}, \quad NT(M) = \{ a \in M : \neg Tp(a) \}$$

be the classes of typical and nontypical elements of M, respectively. It follows from Definition 1.1 that

$$NT(M) = \{ a \in M : (\exists \phi)(a \in \phi(M) \land |\phi(M)| < |M|) \}. \tag{3}$$

We come to the three options for the definition of NT(V) := NT.

Option 1. Given that the definition of Russell's typicality does not apply directly to the entire V, a natural alternative is to define it with respect to the set-approximations V_{ζ} , $\zeta \in Ord$, of V. Namely, we say that a set a is nontypical if and only if it is so with respect to some V_{ζ} to which it belongs (that is, for some $\zeta > rank(a)$), i.e., we set

$$NT := \bigcup_{\zeta > \omega} NT(V_{\zeta}), \tag{4}$$

where $NT(V_{\zeta})$ is defined as in (3), that is

$$NT(V_{\zeta}) = \{ a \in V_{\zeta} : (\exists \phi)(a \in \phi(V_{\zeta}) \land |\phi(V_{\zeta})| < |V_{\zeta}|) \}.$$

It is easy to see that definition (4) satisfies both conditions (1) and (2), but, unfortunately, is trivial in the sense that it implies that every set is nontypical, i.e., NT = V. Indeed, take any $a \in V$ and pick some ζ such that $a \in V_{\zeta}$. Then clearly ζ is definable in $V_{\zeta+1}$ (as its greatest ordinal), i.e., $\zeta \in \mathrm{Df}(V_{\zeta+1})$, and thus $V_{\zeta} \in \mathrm{Df}(V_{\zeta+1})$ (as the set of elements of rank $< \zeta$). Thus there is $\phi(x)$ such that $V_{\zeta} = \phi(V_{\zeta+1})$, hence $a \in \phi(V_{\zeta+1})$. Moreover $|\phi(V_{\zeta+1})| = |V_{\zeta}| < |V_{\zeta+1}|$. Therefore $a \in \mathrm{NT}(V_{\zeta+1})$, and hence $a \in \mathrm{NT}$. It follows that no typical sets exist, or $\mathrm{TP} = \emptyset$.

This fact would be normal and acceptable if it concerned only *some model* of ZFC. But being a theorem of ZFC trivializes NT, indicating that its definition is too generous. So next we shall attempt to restrict it somehow, and widen, accordingly, the class TP.

Option 2. We saw above that if $rank(a) = \zeta$, i.e., a first occurs in $V_{\zeta+1}$, then already $a \in \operatorname{NT}(V_{\zeta+2})$ and so $a \in \operatorname{NT}$ according to the definition in Option 1. Thus a possible way to restrict NT and avoid NT = V might be to decide the typicality of a set a, not in any level V_{ζ} with $\zeta > rank(a)$, but rather at the first level of its occurrence, i.e., at $V_{rank(a)+1}$. That would lead to replacing definition (4) of NT with the following:

$$NT_0 := \{a : a \in NT(V_{rank(a)+1})\}.$$
 (5)

Then for every a with $rank(a) = \zeta$, $a \in NT_0$ if and only if there is $\phi(x)$ such that $a \in \phi(V_{\zeta+1})$ and $|\phi(V_{\zeta+1})| < |V_{\zeta+1}|$.

It turns out, however, that definition (5) is now too restrictive for the class of nontypical sets (and accordingly too generous for the class of typical sets) and results in the (consistency of the) failure of condition (1). This will be a consequence of the following result. (Note that $NT(V_{\zeta})$ and $TP(V_{\zeta})$ keep the meaning specified in definition (3).)

Lemma 2.1 (ZFC) (i) For every $\zeta \geq \omega$, $|NT(V_{\zeta+1})| < |V_{\zeta+1}|$, while $|TP(V_{\zeta+1})| = |V_{\zeta+1}|$.

(ii) Moreover, for every
$$\zeta \geq \omega$$
, $|\text{TP}(V_{\zeta+1}) \cap (V_{\zeta+1} \setminus V_{\zeta})| = |V_{\zeta+1}|$.

Proof. (i) The proof is easy and quite similar to the proof of Theorem 1.3 above (see [9], Theorem 2.9). It follows simply from two facts: first, there are countably many properties $\phi(x)$ of L without parameters, and second, the cofinality of $|V_{\zeta+1}| = 2^{|V_{\zeta}|}$ is always uncountable. Just observe that by definition

$$NT(V_{\zeta+1}) = \bigcup \{ \phi(V_{\zeta+1}) : \phi \in L, \text{ and } |\phi(V_{\zeta+1})| < |V_{\zeta+1})| \}.$$

The sets $\phi(V_{\zeta+1})$ on the right-hand side are countably many and each with cardinality $\langle |V_{\zeta+1}|$, so, since $\operatorname{cf}(|V_{\zeta+1}|) > \aleph_0$, $|\operatorname{NT}(V_{\zeta+1})| < |V_{\zeta+1}|$. Consequently $|\operatorname{TP}(V_{\zeta+1})| = |V_{\zeta+1} \setminus \operatorname{NT}(V_{\zeta+1})| = |V_{\zeta+1}|$.

(ii) We have

$$\mathrm{TP}(V_{\zeta+1}) = (\mathrm{TP}(V_{\zeta+1}) \cap V_{\zeta}) \cup (\mathrm{TP}(V_{\zeta+1}) \cap (V_{\zeta+1} \setminus V_{\zeta})).$$

Since $|TP(V_{\zeta+1}) \cap V_{\zeta}| \le |V_{\zeta}|$ while, by (i), $|TP(V_{\zeta+1})| = |V_{\zeta+1}|$, the claim follows.

Corollary 2.2 ZFC proves that $V \neq NT_0$. Specifically, for every successor level $V_{\zeta+1}$, $|V_{\zeta+1} \cap TP_0| = |V_{\zeta+1}|$ (where $TP_0 = V \setminus NT_0$).

Proof. The elements of $V_{\zeta+1}\backslash V_{\zeta}$ are exactly those of rank ζ , so by the definition of TP_0 , clearly $V_{\zeta+1}\cap\mathrm{TP}_0=(V_{\zeta+1}\backslash V_{\zeta})\cap\mathrm{TP}(V_{\zeta+1})$. Thus the claim follows from Lemma 2.1 (ii).

Corollary 2.3 $Df(V) \nsubseteq NT_0$ is consistent with ZFC. Therefore condition (1) is not provable.

Proof. It is known that if ZFC is consistent, then it has models all elements of which are definable, i.e., Df(V) = V holds there (see [2] where the existence of such models, called pointwise definable, is proved). Let $M \models ZFC$ be such a model. Then, $M \models V \neq NT_0$, since Corollary 2.2 is provable in ZFC, or equivalently $M \models V \not\subseteq NT_0$. But since also in M Df(V) = V, it follows that in this model $Df(V) \not\subseteq NT_0$.

To sum up: replacing definition (4) with definition (5) leads to the opposite end of the spectrum, narrowing too much the class of nontypical sets and leading to the non-provability of condition (1). Therefore some intermediate solution is needed, and this is examined in the next option.

Option 3. Our next attempt to restrict NT of Option 1 is by requiring a nontypical element of V_{ζ} to be caught in the extension $\phi(V_{\zeta})$ of some property ϕ with cardinality not just $\langle |V_{\zeta}||$ but rather $\langle \kappa$, for some κ with $\aleph_0 \leq \kappa \leq |V_{\zeta}|$.

To be a little bit more general, given a structure M and a cardinal κ with $\aleph_0 \leq \kappa \leq |M|$, the definition (3) of NT(M) can be refined as follows:

$$NT_{\kappa}(M) = \{ a \in M : (\exists \phi)(a \in \phi(M) \land |\phi(M)| < \kappa) \}. \tag{6}$$

(In this notation $NT(M) = NT_{|M|}(M)$.)

Fact 2.4 For any M and any $\aleph_0 \le \kappa < \lambda \le |M|$, $\operatorname{NT}_{\kappa}(M) \subseteq \operatorname{NT}_{\lambda}(M)$. In particular, $\operatorname{NT}_{\aleph_0}(M)$ is the set of algebraic elements of M.

Proof. The first claim follows immediately from definition (6). Concerning the second claim, recall that an element $a \in M$ is algebraic in M if there is a formula $\phi(x)$ in the language of M without parameters such that $\phi(M)$ is finite and $a \in \phi(M)$. (In particular every element of M which is definable without parameters is algebraic.) Therefore a is algebraic if and only if for some ϕ , $a \in \phi(M)$ and $|\phi(M)| < \aleph_0$, i.e., if and only if $a \in \operatorname{NT}_{\aleph_0}(M)$.

It follows that the class of nontypical elements of M is minimized, becoming identical to the class of algebraic elements, if we set $NT(M) := NT_{\aleph_0}(M)$ (when accordingly the class of typical elements is maximized). For $M = (V_{\zeta}, \in)$ and for κ such that $\aleph_0 \le \kappa \le |V_{\zeta}|$, we have in particular:

$$NT_{\kappa}(V_{\zeta}) = \{ a \in V_{\zeta} : (\exists \phi)(a \in \phi(V_{\zeta}) \land |\phi(V_{\zeta})| < \kappa) \}. \tag{7}$$

Applying Fact 2.4 to the structures V_{ζ} , we get:

Fact 2.5 For any $\zeta > \omega$ and any $\aleph_0 \leq \kappa < \lambda \leq |V_{\zeta}|$, $\operatorname{NT}_{\kappa}(V_{\zeta}) \subseteq \operatorname{NT}_{\lambda}(V_{\zeta})$. In particular, $\operatorname{NT}_{\aleph_0}(V_{\zeta})$ is the set of algebraic elements of the structure (V_{ζ}, \in) .

The definition of $\operatorname{NT}_{\kappa}(V_{\zeta})$ generalizes the definition of NT locally but it is not clear if it applies to the class NT itself. Recall that for any ordinal $\alpha \geq 0$, $|V_{\omega+\alpha}| = \beth_{\alpha}$, where $\beth_0 = \aleph_0$, $\beth_{\alpha+1} = 2^{\beth_{\alpha}}$ and $\beth_{\alpha} = \sup\{\beth_{\beta} : \beta < \alpha\}$, for a limit α . (Under GCH, $\beth_{\alpha} = \aleph_{\alpha}$, for all α .)

From the perspective of this paper the dichotomy of sets into typical and nontypical concerns exclusively infinite sets, or finite sets containing infinite sets etc, while the elements of V_{ω} , being hereditarily finite, are definable and hence nontypical with respect to any definition of NT. So the ordinal ζ in (7) must range beyond ω , i.e., $\zeta > \omega$. Consequently for each infinite cardinal κ it is natural to set

$$NT_{\kappa} = \bigcup_{\zeta > \omega} NT_{\kappa}(V_{\zeta})$$

as a generalization of (4). The question is: what should be the range of κ ? If $|V_{\zeta}| < \kappa$, for some ζ , then by (7) clearly $V_{\zeta} = \operatorname{NT}_{\kappa}(V_{\zeta})$, and hence $V_{\zeta} \subseteq \operatorname{NT}_{\kappa}$. But given that $\zeta > \omega$, this seems quite unnatural. For in that case a whole segment of V that strictly extends V_{ω} should consist exclusively

of nontypical sets. In particular we would have $\mathcal{P}(\omega) \subseteq V_{\omega+1} \subseteq \operatorname{NT}_{\kappa}$, i.e., all reals would be nontypical, contrary to the fact that typicality was introduced in [9] (rather successfully) as a parallel notion of randomness, with a large amount of reals to be proved typical (with respect to the "external" notion of typicality employed there).

The only way to avoid this unnatural situation is to restrict ourselves to those κ for which $\kappa \leq |V_{\zeta}|$ for all $\zeta > \omega$, or equivalently to those κ for which $\kappa \leq |V_{\omega+1}|$. Given that $|V_{\omega+1}| = 2^{\aleph_0}$, and the least possible value of the latter is \aleph_1 , we conclude that the only acceptable values for κ are \aleph_0 and \aleph_1 , and therefore we should consider only the classes

$$NT_{\aleph_0} = \bigcup_{\zeta > \omega} NT_{\aleph_0}(V_\zeta), \quad NT_{\aleph_1} = \bigcup_{\zeta > \omega} NT_{\aleph_1}(V_\zeta).$$
 (8)

So NT_{\aleph_0} and NT_{\aleph_1} , with $NT_{\aleph_0} \subseteq NT_{\aleph_1}$, are the two natural candidate definitions for the class NT of nontypical sets. Both are expressible in the language of set theory, so they satisfy condition (2), and we shall see below that $OD \subseteq NT_{\aleph_0} \subseteq NT_{\aleph_1}$, so in particular $Df(V) \subseteq NT_{\aleph_0} \subseteq NT_{\aleph_1}$, i.e., they satisfy also condition (1).

Let us first deal with $\operatorname{NT}_{\aleph_0}$. By Fact 2.5, and using Reflection, it follows that $\operatorname{NT}_{\aleph_0}$ is the class of algebraic elements of V, i.e., those belonging to finite sets which are definable in V with ordinal parameters, i.e. to finite OD sets. Actually this class, as well as the class $\operatorname{HNT}_{\aleph_0} = \{x: TC(\{x\}) \subseteq \operatorname{NT}_{\aleph_0}\}$ of hereditarily nontypical sets, is not new. It has already come up and been investigated by J.D. Hamkins and C. Leahy in [3], through a different motivation and under the name class of "ordinal algebraic" sets, denoted OA. The only difference between the definitions of OA and $\operatorname{NT}_{\aleph_0}$ is that while $\operatorname{NT}_{\aleph_0} = \bigcup_{\zeta>\omega} \operatorname{NT}_{\aleph_0}(V_\zeta)$, OA is defined in [3] as the class of sets which are algebraic in the structures V_ζ by the extra help of ordinal parameters. This is equivalent to saying that $\operatorname{OA} = \bigcup_{\zeta>\omega} \operatorname{NT}_{\aleph_0}^*(V_\zeta)$, where $\operatorname{NT}_{\aleph_0}^*(V_\zeta)$ denotes the set of algebraic elements of the structure (V_ζ, \in, ζ) , which is (V_ζ, \in) endowed with ordinal parameters $<\zeta$.

Now it is well-known from [7], that although for each particular V_{ζ} definability in (V_{ζ}, \in, ζ) and definability in (V_{ζ}, \in) do not coincide, the *totality* of sets definable in some (V_{ζ}, \in, ζ) is no different than the totality of sets definable in some (V_{ζ}, \in) . This is due to the following key fact (see the Extended Reflection Principle in [7]).

Lemma 2.6 For any ordinals $\theta_1, \ldots, \theta_n$, there is an ordinal $\eta > \theta_1, \ldots, \theta_n$ such that $\theta_1, \ldots, \theta_n \in \mathrm{Df}(V_\eta)$.

It is because of this Lemma that the class OD of ordinal definable sets can be defined just as $\bigcup_{\zeta \in On} \mathrm{Df}(V_{\zeta})$, although we very often allow ordinal parameters in the definitions, i.e., we practically deal with the sets in $\bigcup_{\zeta \in On} \mathrm{Df}(V_{\zeta}, \zeta)$. For the same reason the following holds.

Lemma 2.7 $OA = NT_{\aleph_0}$.

Proof. We have to show that $\bigcup_{\zeta>\omega} \operatorname{NT}^*_{\aleph_0}(V_\zeta) = \bigcup_{\zeta>\omega} \operatorname{NT}_{\aleph_0}(V_\zeta)$. Since trivially for every $\zeta>\omega$, $\operatorname{NT}_{\aleph_0}(V_\zeta)\subseteq \operatorname{NT}^*_{\aleph_0}(V_\zeta)$, one inclusion is obvious. For the converse, let $a\in\operatorname{NT}^*_{\aleph_0}(V_\zeta)$, for some ζ . Then there are $\phi(x,\overline{y})$ and $\overline{\theta}<\zeta$ such that $a\in\phi(V_\zeta,\overline{\theta})$ and $|\phi(V_\zeta,\overline{\theta})|<\aleph_0$. By Lemma 2.6, there is η such that $\zeta,\overline{\theta}\in\operatorname{Df}(V_\eta)$. Then $V_\zeta\in V_\eta$ and by the absoluteness of satisfaction relation we have that for all $x\in V_\zeta$,

$$V_{\zeta} \models \phi(x, \overline{\theta}) \Leftrightarrow V_{\eta} \models (V_{\zeta} \models \phi(x, \overline{\theta})).$$

Since $\zeta, \overline{\theta}$ are definable in V_{η} , the formula $\psi(x, \zeta, \phi, \overline{\theta}) := (V_{\zeta} \models \phi(x, \overline{\theta}))$ defines $\phi(V_{\zeta}, \overline{\theta})$ in V_{η} without parameters, i.e., $\phi(V_{\zeta}, \overline{\theta}) = \psi(V_{\eta})$. Since $a \in \psi(V_{\eta})$ and $|\psi(V_{\eta})| = |\phi(V_{\zeta}, \overline{\theta})| < \aleph_0$, it follows that $a \in \operatorname{NT}_{\aleph_0}(V_{\eta})$. This proves that $\bigcup_{\zeta > \omega} \operatorname{NT}^*_{\aleph_0}(V_{\zeta}) \subseteq \bigcup_{\zeta > \omega} \operatorname{NT}_{\aleph_0}(V_{\zeta})$.

In view of Lemma 2.6 and its impact on the definition of OD, the following simple characterizations of the classes NT_{\aleph_0} and NT_{\aleph_1} come out easily.

Lemma 2.8 (i) A set belongs to NT_{\aleph_0} iff it belongs to some finite OD set. (ii) A set belongs to NT_{\aleph_1} iff it belongs to some countable OD set.

Proof. Let us sketch (ii). Let $a \in \operatorname{NT}_{\aleph_1}$. Then there are ζ and $\phi(x)$ such that $a \in \phi(V_\zeta)$ and $|\phi(V_\zeta)| < \aleph_1$, i.e., $|\phi(V_\zeta)| \le \aleph_0$. But clearly $\phi(V_\zeta) \in \operatorname{OD}$. Conversely let $A \in \operatorname{OD}$, $a \in A$ and $|A| \le \aleph_0$. Then $A \in \operatorname{Df}(V_\zeta)$ for some ζ . Since $A \subseteq V_\zeta$, clearly there is ϕ such that $A = \phi(V_\zeta)$. Then $a \in \phi(V_\zeta)$ and $|\phi(V_\zeta)| \le \aleph_0$, therefore $a \in \operatorname{NT}_{\aleph_1}(V_\zeta) \subseteq \operatorname{NT}_{\aleph_1}$.

It follows immediately from (i) above that $OD \subseteq OA = NT_{\aleph_0}$. However an interesting fact established in [3] is that the class HOA of hereditarily ordinal algebraic sets coincides with the class HOD of hereditarily ordinal definable sets. Let HNT_{\aleph_i} denote the hereditary subclasses of NT_{\aleph_i} , for i = 0, 1 respectively. By 2.7, $HOA = HNT_{\aleph_0}$.

Theorem 2.9 ([3]) HOA = HOD. Therefore also $HNT_{\aleph_0} = HOD$.

(On the other hand it is known that $NT_{\aleph_0} \neq OD$ is consistent. Specifically it was proved in [1] that there is a generic extension of **L** containing a pair $\{X,Y\}$ which is OD, while neither X nor Y is OD. Thus $X,Y \in NT_{\aleph_0} \setminus OD$.)

By the preceding theorem, NT_{\aleph_0} loses some of its interest as a candidate class for the definition of NT, since its hereditary subclass collapses to the familiar inner model HOD. So if one is looking for a really *new* inner model of ZF which strictly exceeds HOD, I think the only option left is to identify NT with the class NT_{\aleph_1} . It turns out that the subclass HNT_{\aleph_1} of the latter is indeed a new inner model of ZF.

Theorem 2.10 ZFC proves that HNT_{\aleph_1} is an inner model of ZF such that $HOD \subseteq HNT_{\aleph_1}$.

Proof. We work in ZFC. That $HOD \subseteq HNT_{\aleph_1}$ follows from the fact that already $HOD \subseteq HNT_{\aleph_0}$ (actually $HOD = HNT_{\aleph_0}$ by 2.9) and $HNT_{\aleph_0} \subseteq HNT_{\aleph_1}$.

Let us write for simplicity HNT throughout this proof instead of $\operatorname{HNT}_{\aleph_1}$. Extensionality holds in HNT because of the transitivity of the latter, and Foundation is true trivially because is true in the underlying universe V. Also Infinity holds trivially since $\omega \in \operatorname{HOD} \subseteq \operatorname{HNT}$. So it remains to prove Pairing, Union, Powerset and Replacement. The proof is based on the characterization given in Lemma 2.8 (ii), that $a \in \operatorname{HNT} = \operatorname{HNT}_{\aleph_1}$ if and only if there is $A \in \operatorname{OD}$ such that $a \in A$ and $|A| \leq \aleph_0$.

Pairing. Let $a, b \in HNT$. We have to show that $\{a, b\} \in NT$. By assumption there are $A, B \in OD$ such that $a \in A, b \in B$ and $|A|, |B| \le \aleph_0$. Let $C = \{\{x, y\} : x \in A, y \in B\}$. Clearly $C \in OD, |C| \le \aleph_0$ and $\{a, b\} \in C$.

Union. Let $a \in \text{HNT}$. It suffices to see that $\cup a \in \text{NT}$. Let $a \in A$, where $A \in \text{OD}$ such that $|A| \leq \aleph_0$. Let $B = \{ \cup x : x \in A \}$. Clearly $B \in \text{OD}$, $|B| \leq \aleph_0$ and $\cup a \in B$.

Powerset. Let $a \in \text{HNT}$. It suffices to show that $\mathcal{P}^{\text{HNT}}(a) = \mathcal{P}(a) \cap \text{HNT}$ belongs to NT. Let $a \in A$ for some $A \in \text{OD}$ with $|A| \leq \aleph_0$. For every x, $\mathcal{P}(x) \cap \text{HNT}$ is a set (by Separation in V), and (by Replacement) so is also $B = \{\mathcal{P}(x) \cap \text{HNT} : x \in A\}$. Moreover it is easy to check that $B \in \text{OD}$. Since obviously $|B| \leq |A| \leq \aleph_0$ and $\mathcal{P}(a) \cap \text{HNT} \in B$, we are done.

Replacement. Let $a \in \text{HNT}$ and let $\phi(x, y, b_1, \dots, b_n)$ be a formula with parameters $b_i \in \text{HNT}$, such that $\text{HNT} \models (\forall x \in a)(\exists! y)\phi(x, y, b_1, \dots, b_n)$, or equivalently, $(\forall x \in a)(\exists! y)\phi^{\text{HNT}}(x, y, b_1, \dots, b_n)$, where ϕ^{HNT} is the usual relativization of ϕ to the class HNT. ϕ^{HNT} defines a functional relation

on a, so let us write $F_{\phi(\bar{b})}^{\mathrm{HNT}}(x) = y$ instead of $\phi^{\mathrm{HNT}}(x,y,b_1,\ldots,b_n)$, where $\bar{b} = \langle b_1,\ldots,b_n \rangle$. If for some tuple $\langle b_1,\ldots,b_n \rangle$, $\phi(x,y,b_1,\ldots,b_n)$ does not define a function, we set $F_{\phi(\bar{b})}^{\mathrm{HNT}}(x) = \emptyset$.

Under this notation we have to show that for the given $a, \overline{b} \in \mathrm{HNT}$, the set $c = F_{\phi(\overline{b})}^{\mathrm{HNT}}[a] = \{F_{\phi(\overline{b})}^{\mathrm{HNT}}(x) : x \in a\}$ is an element of HNT. By our assumption there are countable $A, B_1, \ldots, B_n \in \mathrm{OD}$ such that $a \in A$ and $b_i \in B_i$, for $i = 1, \ldots, n$. Since $F_{\phi(\overline{b})}^{\mathrm{HNT}}$ is a function within HNT, for each $x \in a$, $F_{\phi(\overline{b})}^{\mathrm{HNT}}(x) \in \mathrm{HNT}$, therefore $c \subseteq \mathrm{HNT}$. So it suffices to show that $c \in \mathrm{NT}$, i.e., $c \in C$ for some countable $C \in \mathrm{OD}$. Let

$$C = \{ F_{\phi(\overline{w})}^{\text{HNT}}[z] : z \in A, w_1 \in B_1, \dots, w_n \in B_n \}.$$

Using Reflection and the fact that A, B_i are in OD, it is not hard to see that $C \in \text{OD}$. Since $a \in A$ and $b_i \in B_i$, we have that $c = F_{\phi(\overline{b})}^{\text{HNT}}[a]$ belongs to C. Moreover, since the variables z and w_i range over the countable sets A and B_i , respectively, it follows that

$$|C| \leq |A \times B_1 \times \cdots \times B_n| \leq \aleph_0.$$

 \dashv

Thus C is a countable OD set containing c and we are done.

We do not know if AC holds in HNT_{\aleph_1} or not. We only know that we cannot prove in ZFC that AC fails in HNT_{\aleph_1} . Because if ZFC is consistent, then so is ZFC + V = HOD. But the latter theory implies $HOD = HNT_{\aleph_1}$ and HOD satisfies AC, so ZFC + $AC^{HNT_{\aleph_1}}$ is consistent. The latter would be also a consequence of the consistency of ZFC + V = HNT_{\aleph_1} alone, no matter whether $HOD = HNT_{\aleph_1}$ or $HOD \neq HNT_{\aleph_1}$.

In general, in view of the inclusions $HOD \subseteq HNT_{\aleph_1} \subseteq V$, the questions regarding the consistency of the various mutual relationships among these three classes arise naturally. The simplest such relationship is of course $HOD = HNT_{\aleph_1} = V$ and follows from V = HOD, whose consistency is well-known.¹ Concerning the other ones we have only two partial answers.

Perhaps the most urgent question to answer is the *existence* itself of typical sets, i.e., the consistency of $V \neq \operatorname{NT}_{\aleph_1}$. For if we do not know whether V can be separated from $\operatorname{NT}_{\aleph_1}$, the definition of $\operatorname{TP}_{\aleph_1}$ is vacuous. Fortunately

¹Note by the way that, as is the case with the classes HOD and OD (described in [7, p. 276]), the following equivalences hold: $\text{HNT}_{\aleph_1} = \text{NT}_{\aleph_1} \Leftrightarrow V = \text{HNT}_{\aleph_1} \Leftrightarrow V = \text{NT}_{\aleph_1}$. The last equivalence, as well as \Leftarrow of the first equivalence are obvious. Concerning \Rightarrow of the first equivalence, assume $\text{HNT}_{\aleph_1} = \text{NT}_{\aleph_1}$. For every $\alpha \in Ord$, clearly $V_\alpha \in \text{OD} \subseteq \text{NT}_{\aleph_1}$, so $V_\alpha \in \text{HNT}_{\aleph_1}$, whence $V_\alpha \subseteq \text{HNT}_{\aleph_1}$ and therefore $V = \text{HNT}_{\aleph_1}$.

this question can be affirmatively settled by a lot of forcing notions which have rich sets of automorphisms. More specifically the following holds.

Theorem 2.11 (i) Let $M \models \operatorname{ZFC}$, $\mathbb{P} \in M$ be a forcing notion, and $G \subseteq \mathbb{P}$ be M-generic. For any $p \in \mathbb{P}$, let $A_p = \operatorname{Aut}_{\{p\}}^M(\mathbb{P})$ be the set of automorphisms of \mathbb{P} in M which fix p. Assume further that for every $p \in G$, the set $\{\pi''G : \pi \in A_p\}$ is uncountable in M[G]. Then G is typical in M[G], and hence $M[G] \models V \neq \operatorname{NT}_{\aleph_1}$.

(ii) In particular, there are M and G such that $M[G] \models |\mathcal{P}(\omega) \cap \mathrm{TP}_{\aleph_1}| = 2^{\aleph_0}$ (where $\mathrm{TP}_{\aleph_1} = V \setminus \mathrm{NT}_{\aleph_1}$), i.e. M[G] contains continuum many typical reals.

Proof. (i) First note that the set A_p belongs to M, and hence to M[G], so $\{\pi''G: \pi \in A_p\}$ is also an element of M[G]. Next it is known that there is an abundance of forcing notions $\mathbb P$ satisfying the requirement of the theorem. For example such is the poset $\mathbb P$ of finite functions p with $dom(p) \subset \omega$ and $rng(p) \subseteq \{0,1\}$, ordered by reverse inclusion, which adds a single Cohen real. The automorphisms of $\mathbb P$ are induced by the permutations $\pi:\omega\to\omega$, and are defined as follows: for every $p\in\mathbb P$, $dom(\pi(p))=\pi[dom(p)]$ and $\pi(p)(\pi(n))=p(n)$. Then for every generic G and $p\in G$, $\{\pi''G:\pi\in A_p\}$ is uncountable in M[G].

To verify the claim of the theorem, let $\mathbb{P} \in M$ and G be as stated. We have to show, according to Lemma 2.8 (ii), that for every $A \in \mathrm{OD}^{M[G]}$ such that $G \in A$, $M[G] \models |A| > \aleph_0$. Pick any $A \in \mathrm{OD}^{M[G]}$ containing G. Then there are a formula $\phi(x, y_1, \ldots, y_n)$ and ordinals $\alpha_1, \ldots, \alpha_n$ such that $A = \{x : M[G] \models \phi(x, \alpha_1, \ldots, \alpha_n)\}$ and $M[G] \models \phi(G, \alpha_1, \ldots, \alpha_n)$. The key fact here is that all generic subsets G of \mathbb{P} have a "common" \mathbb{P} -name, sometimes called "canonical name", namely $\Gamma = \{\langle \breve{q}, q \rangle : q \in \mathbb{P}\}$. If t^G denotes the G-interpretation of a \mathbb{P} -name t into M[G], then for every generic G, $\Gamma^G = G$. Now $M[G] \models \phi(G, \alpha_1, \ldots, \alpha_n)$ means that there is some $p \in G$ such that

$$p \Vdash \phi(\Gamma, \breve{\alpha}_1, \ldots, \breve{\alpha}_n),$$

where Γ is the canonical name. Fix such a $p \in G$. It is well-known that for every automorphism π and generic G, $\pi''G$ is generic too and moreover $M[G] = M[\pi''G]$. But then for every $\pi \in A_p$, $p \in \pi''G$, so $p \models \phi(\Gamma, \check{\alpha}_1, \ldots, \check{\alpha}_n)$ implies also that $M[\pi''G] \models \phi(\Gamma^{\pi''G}, \alpha_1, \ldots, \alpha_n)$, or $M[\pi''G] \models \phi(\pi''G, \alpha_1, \ldots, \alpha_n)$. Therefore for every $\pi \in A_p$,

$$M[G] = M[\pi''G] \models \phi(\pi''G, \alpha_1, \dots, \alpha_n).$$

It follows that the set A, which is the extension of ϕ in M[G], has as subset the set $\{\pi''G : \pi \in A_p\}$ which is uncountable in M[G] by assumption, and thus also $M[G] \models |A| > \aleph_0$.

(ii) Just take \mathbb{P} to be the forcing notion mentioned in the beginning of the proof for adding a Cohen real, so, essentially, $G \in \mathcal{P}(\omega)$. Then it is easy to see that for every $p \in \mathbb{P}$, $M[G] \models |\pi''G : \pi \in A_p| = 2^{\omega}$, so it follows from (i) that M[G] contains continuum many typical reals.

One of the referees informed me that the fact shown in Theorem 2.11, i.e., that a generic set which satisfies the given conditions does not belong to HNT_{\aleph_1} , has been established also in [5] for Cohen and Solovay-random extensions by a different and more complex argument.

Nevertheless, not all generic sets are typical. This is a side consequence of the following relevant result of V.G. Kanovei and V.A. Lyubetsky in [4], which implies that the classes HOD and HNT_{\aleph_1} can be separated.

Theorem 2.12 ([4, Theorem 4]) There is a generic extension $\mathbf{L}[(x_n)_{n<\omega}]$ of the constructible universe \mathbf{L} by a sequence of reals $x_n \in 2^{\omega}$, in which it is true that $\{x_n : n < \omega\}$ is a countable Π_2^1 set with no OD elements.

In the proof of this theorem the sets x_n are added to **L** generically, so, in contrast to Theorem 2.11, generics are used here, essentially, to show the existence of nontypical sets which are not ordinal definable. Namely, the following holds.

Corollary 2.13 If ZF is consistent, then so is ZFC + HOD \neq HNT_{\aleph_1}. In particular it is consistent that $\mathcal{P}(\omega) \cap \text{OD} \subsetneq \mathcal{P}(\omega) \cap \text{NT}_{\aleph_1}$.

Proof. If $X = \{x_n : n < \omega\}$ is the set of Theorem 2.12, clearly $X \in \text{OD}$ and X is countable. Therefore every x_n belongs to NT_{\aleph_1} . Moreover every x_n is a real, so $x_n \in \text{HNT}_{\aleph_1}$. On the other hand, since $x_n \notin \text{OD}$, it follows that $x_n \in \text{HNT}_{\aleph_1} \setminus \text{HOD}$. By the same token, $x_n \in (\mathcal{P}(\omega) \cap \text{NT}_{\aleph_1}) \setminus (\mathcal{P}(\omega) \cap \text{OD})$.

Question 2.14 Are the following consistent with ZFC?

- 1) $HOD \neq HNT_{\aleph_1} \neq V$,
- 2) $HOD = HNT_{\aleph_1} \neq V$,
- 3) $\text{HOD} \neq \text{HNT}_{\aleph_1} = V$.

Question 2.15 Is it consistent with ZFC that AC fails in HNT_{\aleph_1} ?

Acknowledgements I am indebted to two anonymous referees for some serious corrections and several clarifications and suggestions which significantly improved this article.

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