

POSITIONAL STRATEGIES IN LONG EHRENFEUCHT-FRAÏSSÉ GAMES

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ABSTRACT. We prove that it is relatively consistent with $\text{ZF} + \text{CH}$ that there exist two models of cardinality \aleph_2 such that the second player has a winning strategy in the Ehrenfeucht-Fraïssé-game of length ω_1 but there is no σ -closed back-and-forth set for the two models. If CH fails, no such pairs of models exist.

1. INTRODUCTION

Suppose $\mathcal{A} = (A, \dots)$ and $\mathcal{B} = (B, \dots)$ are structures for the same vocabulary \mathcal{L} of cardinality $< \kappa$. We say that a set \mathcal{I} of partial isomorphisms between \mathcal{A} and \mathcal{B} has the κ -back-and-forth property if for every $p \in \mathcal{I}$, and every $A_0 \subseteq A$ and $B_0 \subseteq B$ of size $< \kappa$ there is $q \in \mathcal{I}$ extending p such that $A_0 \subseteq \text{dom}(q)$ and $B_0 \subseteq \text{ran}(q)$. We say that \mathcal{A} and \mathcal{B} κ -partially isomorphic and write $\mathcal{A} \simeq_{\kappa}^p \mathcal{B}$ if there is a κ -back-and-forth set for \mathcal{A} and \mathcal{B} . The relation $\mathcal{A} \simeq_{\kappa}^p \mathcal{B}$ has a metamathematical interpretation. Namely, for regular κ it coincides with elementary equivalence relative to the infinitary language $L_{\infty\kappa}$. In particular, \simeq_{κ}^p is an equivalence relation on the class of all \mathcal{L} -structures. If κ is uncountable then even for models of cardinality κ the relation \simeq_{κ}^p is strictly weaker than isomorphism. This was first proved by Morley (1968, unpublished, see [8]). For instance, for $\kappa = \aleph_1$, one can take a pair of \aleph_1 -like dense linear orders one of which contains a closed copy of ω_1 while the other doesn't.

In this paper we investigate a strengthening of the relation \simeq_{κ}^p . Namely, given two cardinals κ and λ and two structures \mathcal{A} and \mathcal{B} in a vocabulary of size $< \kappa$, we say that \mathcal{A} and \mathcal{B} are (κ, λ) -partially isomorphic and write $\mathcal{A} \simeq_{\kappa, \lambda}^p \mathcal{B}$ if there is a κ -back-and-forth set \mathcal{I} between \mathcal{A} and \mathcal{B} such that any increasing chain of length $< \lambda$ in \mathcal{I} has an upper bound in \mathcal{I} . The point is that the relation $\simeq_{\kappa, \kappa}^p$, unlike the weaker version \simeq_{κ}^p , implies isomorphism in the case that the models are of cardinality at most κ , and many classical isomorphism-proofs can be interpreted as results about the relation $\simeq_{\kappa, \lambda}^p$. Indeed, suppose κ is regular. Then any two η_{κ} -sets are in the relation $\simeq_{\kappa, \kappa}^p$. If they are of cardinality κ , they are isomorphic.

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Also, it is well known that any two real closed fields whose underlying orders are of type η_{ω_1} and are of cardinality ω_1 are isomorphic, see [3]. In fact, if κ is regular then any two real closed fields whose underlying orders are of type η_κ are in the relation $\simeq_{\kappa,\kappa}^p$, see [2]. Another example concerns saturated models. Any two κ -saturated elementary equivalent structures of cardinality κ are isomorphic, and the proof shows that any two κ -saturated elementary equivalent structures are in the relation $\simeq_{\kappa,\kappa}^p$. Finally, consider two κ -homogeneous structures \mathcal{A} and \mathcal{B} such that $\mathcal{A} \simeq_{\kappa}^p \mathcal{B}$. If they happen to be of cardinality κ they are isomorphic and the proof goes by showing that $\mathcal{A} \simeq_{\kappa,\kappa}^p \mathcal{B}$.

Thus, the relation $\simeq_{\kappa,\kappa}^p$ seems like an attractive weaker version of isomorphism. However, there are some simple questions concerning it that are still open. The most important one was raised by Dickmann [1] and Kueker [7], and asks if $\simeq_{\kappa,\kappa}^p$ is equivalent to elementary equivalence in some logic. In fact, it is not clear if $\simeq_{\kappa,\kappa}^p$ is even transitive. This was a serious obstacle to generalizing first order logic. In order to overcome this Karttunen [6] defined *tree-like partial isomorphisms*. This leads to a transitive relation which coincides with elementary equivalence in a certain logic called $\mathcal{N}_{\infty\kappa}$ and implies isomorphism for models of size κ . One can translate Karttunen's concept in terms of the existence of a winning strategy in a certain Ehrenfeucht-Fraïssé game which we now describe. To begin, we fix two regular cardinals κ and λ and two structures \mathcal{A} and \mathcal{B} in the same vocabulary \mathcal{L} of size $< \kappa$.

Definition 1.1 ($\text{EF}_\kappa^\lambda(\mathcal{A}, \mathcal{B})$). *There are two players \forall and \exists . The game runs in λ rounds and proceeds as follows.*

$$\begin{array}{c|cccc} \forall & A_0, B_0 & \dots & A_\alpha, B_\alpha & \dots \\ \exists & p_0 & \dots & p_\alpha & \dots \end{array} \quad (\alpha < \lambda)$$

At stage $\alpha < \lambda$, player \forall picks $A_\alpha \subseteq A$ and $B_\alpha \subseteq B$, both of size $< \kappa$. Player \exists responds by a partial isomorphism p_α between a substructure of \mathcal{A} of size $< \kappa$ containing A_α and a substructure of \mathcal{B} containing B_α . We require that p_α extends the p_ξ , for $\xi < \alpha$. Player \exists wins the game if she plays λ rounds while obeying the rules. Otherwise player \forall wins.

We write $\mathcal{A} \equiv_{\kappa,\lambda} \mathcal{B}$ if \exists has a winning strategy in $\text{EF}_\kappa^\lambda(\mathcal{A}, \mathcal{B})$. This is clearly transitive. This concept has allowed the study of infinitary languages to take off and has been very fruitful (see e.g. [10]). One of the first new results was obtained by Hyttinen [5] who proved the Craig Interpolation Theorem and other classical results for this new logic. Still the following question remains.

Question 1. *What is the relation between $\simeq_{\kappa,\lambda}^p$ and $\equiv_{\kappa,\lambda}$?*

Clearly, if $\mathcal{A} \simeq_{\kappa,\lambda}^p \mathcal{B}$ then $\mathcal{A} \equiv_{\kappa,\lambda} \mathcal{B}$. Indeed, if $\mathcal{A} \simeq_{\kappa,\lambda}^p \mathcal{B}$ then there is a *positional* winning strategy for \exists in $\text{EF}_\kappa^\lambda(\mathcal{A}, \mathcal{B})$, in the sense that \exists only needs to

know the current position in order to know how to play and win. Thus, Question 1 simply asks if the converse is true. Note that the positive answer implies that $\simeq_{\kappa,\lambda}^p$ is transitive. We concentrate on the first nontrivial case, namely the relation between $\simeq_{\aleph_1,\aleph_1}^p$ and $\equiv_{\aleph_1,\aleph_1}$. Let us first note the well known fact that $\mathcal{A} \equiv_{\aleph_1,\aleph_1} \mathcal{B}$ can be expressed as the existence of *potential isomorphism*¹ an isomorphism in a forcing extension obtained by σ -closed forcing.

Proposition 1.2. *Suppose \mathcal{A} and \mathcal{B} are structures in the same vocabulary \mathcal{L} . Then $\mathcal{A} \equiv_{\aleph_1,\aleph_1} \mathcal{B}$ if and only if there is a σ -closed forcing notion \mathcal{P} such that $\Vdash_{\mathcal{P}} \mathcal{A} \cong \mathcal{B}$. \square*

We recall the following results from [9] where the equivalence of $\simeq_{\aleph_1,\aleph_1}^p$ and $\equiv_{\aleph_1,\aleph_1}$ has been established in some special cases.

Theorem 1.3. *Suppose \mathcal{A} and \mathcal{B} are two structures in the same vocabulary \mathcal{L} . Then $\mathcal{A} \simeq_{\aleph_1,\aleph_1}^p \mathcal{B}$ and $\mathcal{A} \equiv_{\aleph_1,\aleph_1} \mathcal{B}$ are equivalent in any of the following cases:*

- (1) $|\mathcal{A}|, |\mathcal{B}| \leq 2^{\aleph_0}$.
- (2) \mathcal{A} and \mathcal{B} have different cardinality.
- (3) \mathcal{A} and \mathcal{B} are trees of height \aleph_1 . \square

On the basis of these results it seems interesting to investigate the case when \mathcal{A} and \mathcal{B} are of cardinality \aleph_2 and CH holds. Even in this case we can have a positive result if we look at partial isomorphisms of size \aleph_1 rather than of size \aleph_0 . The following result was proved in [9].

Theorem 1.4. *Suppose \mathcal{A} and \mathcal{B} are two structures of cardinality \aleph_2 in the same vocabulary \mathcal{L} . Then $\mathcal{A} \simeq_{\aleph_2,\aleph_1}^p \mathcal{B}$ if and only if $\mathcal{A} \equiv_{\aleph_2,\aleph_1} \mathcal{B}$. \square*

The main result of this paper is that the relations $\simeq_{\aleph_1,\aleph_1}^p$ and $\equiv_{\aleph_1,\aleph_1}$ may not be equivalent for structures of size \aleph_2 .

Theorem 1.5. *It is relatively consistent with ZFC + CH that there exist two relational structures \mathcal{A} and \mathcal{B} of cardinality \aleph_2 in a countable vocabulary such that $\mathcal{A} \equiv_{\aleph_1,\aleph_1} \mathcal{B}$ and $\mathcal{A} \not\simeq_{\aleph_1,\aleph_1}^p \mathcal{B}$. \square*

The remainder of the paper is organized as follows. In §2 we introduce the persistency game played on a given family of countable partial functions from ω_2 to ω_1 . Given an $(\omega_1, 1)$ -simplified morass \mathfrak{M} we define a family $\mathcal{F} = \mathcal{F}(\mathfrak{M})$ which is strategically persistent. If \mathfrak{M} is a generic morass we show that \mathcal{F} does not have a σ -closed persistent subfamily. In §3 we use the family \mathcal{F} from the previous section to define two structures \mathcal{A} and \mathcal{B} such that $\mathcal{A} \equiv_{\aleph_1,\aleph_1} \mathcal{B}$. If \mathcal{F} is derived from a generic morass we show that $\mathcal{A} \not\simeq_{\aleph_1,\aleph_1}^p \mathcal{B}$. Finally, in §4 we state some open questions and directions for further research.

¹Recall that for purely relational structures $\mathcal{A} \equiv_{\omega,\omega} \mathcal{B}$ is equivalent to the existence of an isomorphism of \mathcal{A} and \mathcal{B} in *some* forcing extension.

2. PERSISTENT FAMILIES OF FUNCTIONS

In this section we change the original problem and instead of considering the Ehrenfeucht-Fraïssé game on a pair of structures, we consider a certain game on a given family of countable partial functions from ω_2 to ω_1 .

Let $\text{Fn}(\omega_2, \omega_1, \omega_1)$ be the collection of all countable partial functions from ω_2 to ω_1 . We say that a subfamily \mathcal{F} of $\text{Fn}(\omega_2, \omega_1, \omega_1)$ is *persistent* if for every $p \in \mathcal{F}$ and $\alpha < \omega_2$ there is $q \in \mathcal{F}$ extending p such that $\alpha \in \text{dom}(q)$. We will also consider the following *persistence game* on \mathcal{F} .

Definition 2.1 ($\mathcal{G}_{\omega_1}(\mathcal{F})$). *Suppose \mathcal{F} is a subfamily of $\text{Fn}(\omega_2, \omega_1, \omega_1)$. The game $\mathcal{G}_{\omega_1}(\mathcal{F})$ is played by players \forall and \exists and runs as follows:*

$$\begin{array}{c|cccccc} \forall & \alpha_0 & \alpha_1 & \dots & \alpha_\xi & \dots \\ \exists & p_0 & p_1 & \dots & p_\xi & \dots \end{array} \quad (\xi < \omega_1)$$

At stage ξ player \forall plays an ordinal $\alpha_\xi < \omega_2$ and \exists plays $p_\xi \in \mathcal{F}$ extending p_η , for $\eta < \xi$, such that $\alpha_\xi \in \text{dom}(p_\xi)$. \exists wins the game if she is able to play ω_1 moves. Otherwise, \forall wins.

We say that \mathcal{F} is *strategically persistent* if \exists has a winning strategy in $\mathcal{G}_{\omega_1}(\mathcal{F})$. One way to guarantee the existence of a winning strategy for \exists is that there exist a persistent subfamily \mathcal{D} of \mathcal{F} which is σ -closed, i.e. for every sequence $(p_n)_n$ which is increasing under inclusion there is $q \in \mathcal{D}$ such that $p_n \subseteq q$, for all n . Indeed, given such a family \mathcal{D} , \exists has a trivial winning strategy in $\mathcal{G}_{\omega_1}(\mathcal{F})$: at stage ξ she plays any $p_\xi \in \mathcal{D}$ which extends $\bigcup_{\eta < \xi} p_\eta$ and such that $\alpha_\xi \in \text{dom}(p_\xi)$. The main goal of this section is to show that it is relatively consistent with ZFC that there exist a downward closed family \mathcal{F} which is strategically persistent but does not have a σ -closed persistent subfamily. Indeed, given a simplified $(\omega_1, 1)$ -morass \mathfrak{M} we can read off a certain family $\mathcal{F} = \mathcal{F}(\mathfrak{M})$ which is strategically persistent. If \mathfrak{M} is obtained by the standard forcing construction we show that \mathcal{F} does not have a σ -closed persistent subfamily.

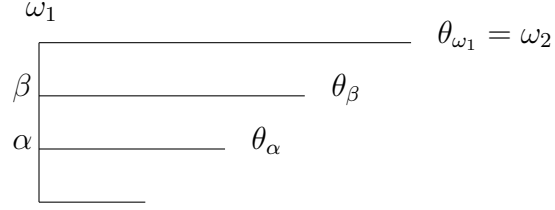
We start by recalling the relevant definitions from Velleman [11].

Definition 2.2 ([11]). *A simplified $(\omega_1, 1)$ -morass is a pair*

$$\mathfrak{M} = \langle \langle \theta_\alpha : \alpha \leq \omega_1 \rangle, \langle \mathcal{F}_{\alpha, \beta} : \alpha < \beta \leq \omega_1 \rangle \rangle,$$

where $\langle \theta_\alpha : \alpha \leq \omega_1 \rangle$ is a sequence of countable ordinals, $\mathcal{F}_{\alpha, \beta}$ is a family of order preserving embeddings from θ_α to θ_β , for $\alpha < \beta \leq \omega_1$, and the following conditions are satisfied:

- (1) **(Successor)** *For every α there are $\gamma_\alpha, \eta_\alpha \leq \theta_\alpha$ such that $\theta_\alpha = \gamma_\alpha + \eta_\alpha$, $\theta_{\alpha+1} = \theta_\alpha + \eta_\alpha$ and $\mathcal{F}_{\alpha, \alpha+1} = \{\text{id}_{\theta_\alpha}, s_\alpha\}$, where $\text{id}_{\theta_\alpha}$ is the identity on θ_α and $s_\alpha \upharpoonright \gamma_\alpha = \text{id}_{\gamma_\alpha}$ and $s_\alpha(\gamma_\alpha + \xi) = \theta_\alpha + \xi$, for all $\xi < \eta_\alpha$. We call s_α the shift at α . (Figure 2).*



θ_α is the α -th approximation of ω_2

FIGURE 1. A simplified morass.

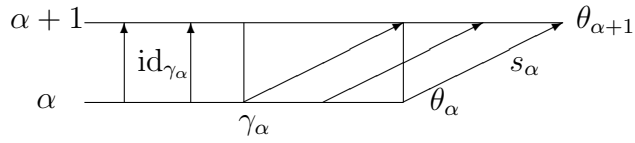


FIGURE 2. A shift

- (2) **(Composition)** If $\alpha < \beta < \gamma$ then $\mathcal{F}_{\alpha\gamma} = \{g \circ f : f \in \mathcal{F}_{\alpha\beta}, g \in \mathcal{F}_{\beta\gamma}\}$.
- (3) **(Factoring)** Suppose γ is limit, $\alpha < \gamma$ and $f, g \in \mathcal{F}_{\alpha\gamma}$. Then there exists β such that $\alpha < \beta < \gamma$, and $f', g' \in \mathcal{F}_{\alpha\beta}$ and $h \in \mathcal{F}_{\beta\gamma}$ such that $f = h \circ f'$ and $g = h \circ g'$. (Figure 3).

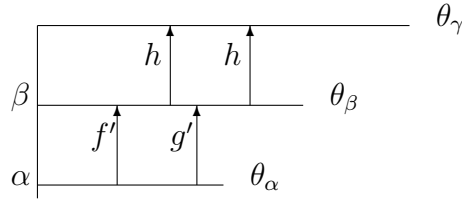


FIGURE 3. Factoring

- (4) **(Fullness)** If $\alpha < \beta$ then $\theta_\beta = \bigcup \{f[\theta_\alpha] : f \in \mathcal{F}_{\alpha\beta}\}$. Moreover, $\theta_{\omega_1} = \omega_2$.

We then have (see [11]) that if $\alpha < \beta$ and $\xi < \theta_\beta$, then there is a *unique* predecessor of ξ on level α , i.e. there is a unique $\eta < \theta_\alpha$ such that $f(\eta) = \xi$, for some $f \in \mathcal{F}_{\alpha\beta}$. Moreover, any such f is uniquely determined on $\eta + 1$. We call η the α -th predecessor of ξ and write

$$\pi_\alpha^\beta(\xi) = \eta.$$

Definition 2.3. Given a simplified $(\omega_1, 1)$ -morass \mathfrak{M} we define the ordering $\preceq^{\mathfrak{M}}$ on ω_2 as follows:

$$\xi \preceq^{\mathfrak{M}} \eta \quad \text{iff} \quad \pi_\alpha^{\omega_1}(\xi) \leq \pi_\alpha^{\omega_1}(\eta), \text{ for all } \alpha < \omega_1.$$

We also define the ordering $\preceq_\alpha^{\mathfrak{M}}$ by:

$$\xi \preceq_\alpha^{\mathfrak{M}} \eta \quad \text{iff} \quad \xi \preceq^{\mathfrak{M}} \eta \quad \& \quad \pi_\alpha^{\omega_1}(\xi) = \pi_\alpha^{\omega_1}(\eta).$$

If \mathfrak{M} is clear from the context we write \preceq for $\preceq^{\mathfrak{M}}$ and \preceq_α for $\preceq_\alpha^{\mathfrak{M}}$.

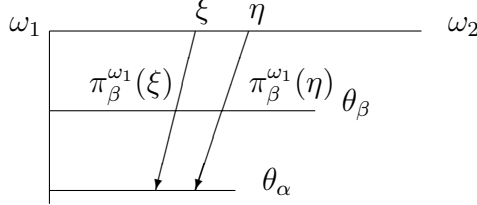


FIGURE 4. The ordering \preceq .

Given a simplified $(\omega_1, 1)$ -morass \mathfrak{M} , we define a certain subfamily $\mathcal{F}(\mathfrak{M})$ of $\text{Fn}(\omega_2, \omega_1, \omega_1)$ and show that it is strategically persistent.

Definition 2.4. *Suppose \mathfrak{M} is a simplified $(\omega_1, 1)$ -morass. Let $\mathcal{F}(\mathfrak{M})$ be the set of all $f \in \text{Fn}(\omega_2, \omega_1, \omega_1)$ such that:*

- (1) *if $\xi, \eta \in \text{dom}(f)$, $f(\eta) = \alpha$ and $\xi \preceq_\alpha \eta$, then $f(\xi) = \alpha$.*
- (2) *$f^{-1}\{\alpha\}$ is \preceq -bounded, for all $\alpha \in \text{ran}(f)$.*

Note that the family $\mathcal{F}(\mathfrak{M})$ is closed under subfunctions. If \mathfrak{M} is clear from the context, we will write \mathcal{F} for $\mathcal{F}(\mathfrak{M})$. We first show the following.

Lemma 2.5. *Suppose \mathfrak{M} is a simplified $(\omega_1, 1)$ -morass. Then $\mathcal{F}(\mathfrak{M})$ is strategically persistent.*

Proof. Given $\xi, \eta < \omega_2$, by (4) and (3) of Definition 2.2 there exists $\alpha < \omega_1$ and $f \in \mathcal{F}_{\alpha, \omega_1}$ such that $\xi, \eta \in \text{ran}(f)$. Let $\mu(\xi, \eta)$ be the least such α . If $\xi < \eta$ it follows that $\pi_\beta^{\omega_1}(\xi) < \pi_\beta^{\omega_1}(\eta)$, for every β such that $\mu(\xi, \eta) \leq \beta < \omega_1$. We now describe a strategy for \exists in the persistency game on $\mathcal{F}(\mathfrak{M})$. At every stage j if player \forall plays some $\xi_j < \omega_2$ then player \exists picks an ordinal $\alpha_j < \omega_1$ and plays $p_j = \{\langle \xi_i, \alpha_i \rangle : i \leq j\}$. Thus, we only need to describe how to choose the ordinals α_j and check that the corresponding function p_j belongs to $\mathcal{F}(\mathfrak{M})$. Suppose we are at stage j and player \forall plays ξ_j . Player \exists first asks if there is an ordinal $i < j$ such that $\xi_j \preceq_{\alpha_i} \xi_i$. If so, then \exists picks the least such i and sets $\alpha_j = \alpha_i$. Otherwise, \exists picks any ordinal α_j strictly bigger than the α_i , for $i < j$, and $\mu(\alpha_i, \alpha_j)$, for $i < j$. In order to check that the corresponding functions p_j are in $\mathcal{F}(\mathfrak{M})$ we need the following.

Claim. *At every stage j there is at most one α for which there is $i < j$ such that $\xi_j \preceq_\alpha \xi_i$ and $\alpha_i = \alpha$.*

Proof. Suppose there were two distinct such ordinals, say α and β . Let k be the least such that $\alpha_k = \alpha$ and $\xi_j \preceq_\alpha \xi_k$ and, similarly, let l be the least such that $\alpha_l = \beta$ and $\xi_j \preceq_\beta \xi_l$. Suppose that $k < l$. Notice that, by the minimality of l , there is no $i < l$ such that $\alpha_i = \beta$ and $\xi_l \preceq_\beta \xi_i$. Therefore, by the definition of α_l , it follows that β is bigger than α and $\mu(\xi_k, \xi_l)$. We consider two cases.

Case 1. $\xi_k < \xi_l$. Since $\beta > \mu(\xi_k, \xi_l)$ we have that $\pi_\beta^{\omega_1}(\xi_k) < \pi_\beta^{\omega_1}(\xi_l)$. Since $\xi_j \preceq_\alpha \xi_k$ and $\alpha < \beta$ we have that $\pi_\beta^{\omega_1}(\xi_j) \leq \pi_\beta^{\omega_1}(\xi_k)$. Therefore, we have that $\pi_\beta^{\omega_1}(\xi_j) < \pi_\beta^{\omega_1}(\xi_l)$. On the other hand, we have that $\xi_j \preceq_\beta \xi_l$, which means that, in particular, $\pi_\beta^{\omega_1}(\xi_j) = \pi_\beta^{\omega_1}(\xi_l)$, a contradiction.

Case 2. $\xi_l < \xi_k$. Since $\beta > \mu(\xi_k, \xi_l)$ we have that $\pi_\gamma^{\omega_1}(\xi_l) < \pi_\gamma^{\omega_1}(\xi_k)$, for all $\gamma \geq \beta$. We also have that $\pi_\beta^{\omega_1}(\xi_j) = \pi_\beta^{\omega_1}(\xi_l)$. Since $\xi_j \preceq_\alpha \xi_k$ and $\alpha < \beta$ it follows that $\xi_l \preceq_\alpha \xi_k$. Therefore, at stage l we should have let $\alpha_l = \alpha$, a contradiction. \square

Now, we check that the functions p_j belong to $\mathcal{F}(\mathfrak{M})$, for all j . Condition (1) of Definition 2.4 is satisfied by the construction. To verify (2), suppose $\alpha \in \text{ran}(p_j)$ and notice that if i is the least such that $\alpha_i = \alpha$ then ξ_i is the \preceq_α -largest element of $p_j^{-1}\{\alpha\}$. Therefore, $p_j^{-1}\{\alpha\}$ is \preceq -bounded. This completes the proof of Lemma 2.5. \square

In order to show that $\mathcal{F}(\mathfrak{M})$ does not have a σ -closed persistent family we will need to assume certain properties of \mathfrak{M} .

Definition 2.6. *Let \mathfrak{M} be a simplified $(\omega_1, 1)$ -morass.*

- (1) *We say that \mathfrak{M} is stationary if $\mathcal{S}(\mathfrak{M}) = \{f[\theta_\alpha] : \alpha < \omega_1 \text{ and } f \in \mathcal{F}_{\alpha, \omega_1}\}$ is a stationary subset of $[\omega_2]^\omega$.*
- (2) *We say that \mathfrak{M} satisfies the \aleph_2 -antichain condition if for every $X \subseteq (\omega_2)^\omega$ of size ω_2 there are distinct $s, t \in X$ such that $s(n) \preceq t(n)$, for all n , i.e. there is no antichain of size \aleph_2 in $(\omega_2, \preceq)^\omega$ under the product ordering.*

We first show that if \mathfrak{M} has the above properties then $\mathcal{F}(\mathfrak{M})$ does not have a σ -closed persistency subfamily. Then we show that if \mathfrak{M} is obtained by the standard forcing for adding a simplified $(\omega_1, 1)$ -morass then \mathfrak{M} has the above properties.

Lemma 2.7. *Suppose CH holds and \mathfrak{M} is a simplified $(\omega_1, 1)$ -morass which satisfies the \aleph_2 -antichain condition. Let \mathcal{A} be a subset of $\mathcal{F}(\mathfrak{M})^\omega$ of size \aleph_2 . Then there is $\vec{g} \in \mathcal{A}$ and $\mathcal{B} \subseteq \mathcal{A}$ of size \aleph_2 such that for every $\vec{h} \in \mathcal{B}$, every n , and every $f \in \mathcal{F}(\mathfrak{M})$, if f extends h_n and $\text{dom}(g_n) \subseteq \text{dom}(f)$ then f extends g_n .*

Proof. First, observe that if X is a subset of $(\omega_2)^\omega$ of size \aleph_2 then there is $s \in X$ and $Y \subseteq X$ of size \aleph_2 such that $s(n) \preceq t(n)$, for all $t \in Y$ and all n . To see this, let Z be a maximal antichain in X . Then every element of X is comparable

with an element of Z . Since \preceq refines the usual ordering on ω_2 , by CH, for every $s \in Z$ the set of $t \in X$ such that $t(n) \preceq s(n)$, for all n , has size at most \aleph_1 . Therefore, there is $s \in Z$ such that the set

$$Y = \{t \in X : s(n) \preceq t(n), \text{ for all } n\}$$

is of size \aleph_2 . Then s and Y are as required.

We now turn to the proof of the lemma. First of all, we may assume that there is a fixed ordinal $\alpha < \omega_1$ such that $\alpha = \sup(\bigcup_n \text{ran}(g_n))$, for all $\vec{g} \in \mathcal{A}$. By CH, we may assume that there is a fixed ordinal $\mu > \alpha$ and, for each n a subset E_n of θ_μ such that, for every $\vec{g} \in \mathcal{A}$, there is $f_{\vec{g}} \in \mathcal{F}_{\mu, \omega_1}$ such that $f_{\vec{g}}[E_n] = \text{dom}(g_n)$. Consider now the functions $e_{n, \vec{g}} = g_n \circ f_{\vec{g}}$, for $\vec{g} \in \mathcal{A}$ and $n < \omega$. By CH again, we may assume that there are fixed functions e_n , such that $e_{n, \vec{g}} = e_n$, for all $\vec{g} \in \mathcal{A}$ and n . By the first paragraph of this proof, there is $\vec{g} \in \mathcal{A}$ and a subset \mathcal{B} of \mathcal{A} of size \aleph_2 such that $f_{\vec{g}}(\xi) \preceq f_{\vec{h}}(\xi)$, for all $\vec{h} \in \mathcal{B}$ and $\xi < \theta_\mu$. We claim that \vec{g} and \mathcal{B} are as required. To see this, consider some $\vec{h} \in \mathcal{B}$ and some integer n . Let u be any extension of h_n which belongs to $\mathcal{F}(\mathfrak{M})$ and is defined on $\text{dom}(g_n)$. We check that u extends g_n . Let $\rho \in \text{dom}(g_n)$. Then there is $\xi \in E_n$ such that $f_{\vec{g}}(\xi) = \rho$. Let $\rho' = f_{\vec{h}}(\xi)$. Then $\rho \preceq_\mu \rho'$. Since u extends h_n and $h_n(\rho') \leq \mu$, by (1) of Definition 2.4 it follows that $u(\rho) = h_n(\rho')$. On the other hand, $g_n(\rho) = h_n(\rho') = e_n(\xi)$. Therefore, $u(\rho) = g_n(\rho)$. Since ρ was arbitrary it follows that u extends g_n . \square

Lemma 2.8. *Assume CH and let \mathfrak{M} be a simplified $(\omega_1, 1)$ -morass which is stationary and satisfies the \aleph_2 -antichain condition. Then there is no σ -closed persistent subfamily of $\mathcal{F}(\mathfrak{M})$.*

Proof. Fix a persistent subfamily \mathcal{G} of $\mathcal{F}(\mathfrak{M})$. We need to show that \mathcal{G} is not σ -closed. Let τ be a sufficiently large regular cardinal. Since $\mathcal{S}(\mathfrak{M})$ is stationary in $[\omega_2]^\omega$, we can find a countable elementary submodel M of H_τ containing all the relevant objects such that $M \cap \omega_2 \in \mathcal{S}(\mathfrak{M})$. Let $\zeta = \sup(M \cap \omega_2)$ and fix an increasing sequence $\{\zeta_n\}_n$ of ordinals in M which is cofinal in ζ .

We now work in M . For each $\delta < \omega_2$ fix $g_\delta^0 \in \mathcal{G}$ such that $\delta \in \text{dom}(g_\delta^0)$. We can find $\alpha < \omega_1$ and $X_0 \subseteq \omega_2 \setminus \zeta_0$ of size \aleph_2 such that $g_\delta^0(\delta) = \alpha$, for all $\delta \in X_0$. Since \mathfrak{M} satisfies the \aleph_2 -antichain condition, by Lemma 2.7 we can fix $\delta_0 \in X_0$ and $X_1 \subseteq X_0 \setminus \zeta_1$ of size \aleph_2 such that, for all $\delta \in X_1$, any extension of g_δ^0 to a function in $\mathcal{F}(\mathfrak{M})$ which is defined on $\text{dom}(g_{\delta_0}^0)$ must extend $g_{\delta_0}^0$. For each $\delta \in X_1$ fix some $g_\delta^1 \in \mathcal{G}$ which extends g_δ^0 and is defined on $\text{dom}(g_{\delta_0}^0)$. It follows that $g_{\delta_0}^0 \cup g_\delta^0 \subseteq g_\delta^1$. By Lemma 2.7 again, we can fix $\delta_1 \in X_1$ and $X_2 \subseteq X_1 \setminus \zeta_2$ of size \aleph_2 such that, for all $\delta \in X_2$ and all $h \in \mathcal{F}(\mathfrak{M})$, if h extends g_δ^1 and is defined on $\text{dom}(g_{\delta_1}^1)$ then h extends $g_{\delta_1}^1$. We continue like this and get an increasing sequence $(\delta_n)_n$ of ordinals from M , a decreasing sequence $(X_n)_n$ of subsets of ω_2 of size \aleph_2 , and, for each n and $\delta \in X_n$, a function $g_\delta^n \in \mathcal{G}$ such that:

- (1) $\delta_n \geq \zeta_n$, for all n ,
- (2) $g_{\delta_n}^n \cup g_\delta^n \subseteq g_\delta^{n+1}$, for all $\delta \in X_{n+1}$.

While the sequence $(\zeta_n)_n$ does not belong to M , at each stage we need to know only finitely many of the ζ_n . Therefore, we can perform each step of the construction inside M . It follows that $(g_{\delta_n}^n)_n$ is an increasing sequence of functions from \mathcal{G} and $g_{\delta_n}^n(\delta_n) = \alpha$, for all n . The sequence $(\delta_n)_n$ is cofinal in ζ and, since $M \cap \omega_2 \in \mathcal{S}(\mathfrak{M})$, it follows that it is unbounded in the sense of \preceq . Therefore, any functions which extends $\bigcup_n g_{\delta_n}^n$ violates (2) of Definition 2.4 and cannot be in $\mathcal{F}(\mathfrak{M})$. It follows that \mathcal{G} is not σ -closed. \square

We now consider the standard forcing notion for adding a simplified $(\omega_1, 1)$ -morass and show that the generic morass is stationary and satisfies the \aleph_2 -antichain condition. Before we start, it will be convenient to make the following definition.

Definition 2.9. For $\beta < \omega_2$ let I_β be the interval $[\omega_1 \cdot \beta, \omega_1 \cdot (\beta + 1))$. We say that a subset A of ω_2 is ω_1 -full if $A \cap I_\beta$ is an initial segment of I_β , for all $\beta < \omega_2$.

We now state a slight variation of the standard forcing for adding a simplified $(\omega_1, 1)$ -morass from [11].

Definition 2.10 ([11]). The forcing notion \mathcal{P} consists of tuples

$$p = \langle \langle \theta_\alpha^p : \alpha \leq \delta_p \rangle, \langle \mathcal{F}_{\alpha, \beta}^p : \alpha < \beta \leq \delta_p \rangle, A_p, i_p \rangle,$$

where $\delta_p < \omega_1$, $\langle \theta_\alpha^p : \alpha \leq \delta_p \rangle$ is a sequence of limit ordinals $< \omega_1$, $\mathcal{F}_{\alpha, \beta}^p$ is a collection of order-preserving mappings from θ_α^p to θ_β^p , A_p is an ω_1 -full subset of ω_2 , i_p is an order preserving bijection between $\theta_{\delta_p}^p$ and A_p , and the following conditions hold:

- (1) $\mathcal{F}_{\alpha, \alpha+1}^p = \{\text{id}_{\theta_\alpha}, s_\alpha\}$, where s_α is a shift as in Definition 2.2 (1).
- (2) If $\alpha < \beta < \gamma \leq \delta_p$ then $\mathcal{F}_{\alpha, \gamma}^p = \{g \circ f : f \in \mathcal{F}_{\alpha, \beta}^p, g \in \mathcal{F}_{\beta, \gamma}^p\}$.
- (3) Suppose $\alpha < \gamma \leq \delta_p$, γ limit and $f, g \in \mathcal{F}_{\alpha, \gamma}^p$. Then there is β such that $\alpha < \beta < \gamma$ and there are $f', g' \in \mathcal{F}_{\alpha, \beta}^p$ and $h \in \mathcal{F}_{\beta, \gamma}^p$ such that $f = h \circ f'$ and $g = h \circ g'$.
- (4) If $\alpha < \beta \leq \delta_p$ then $\theta_\beta^p = \bigcup \{f[\theta_\alpha^p] : f \in \mathcal{F}_{\alpha, \beta}^p\}$.

The ordering of \mathcal{P} is defined as follows. We say that $q \leq p$ if $\delta_p \leq \delta_q$, $\theta_\alpha^p = \theta_\alpha^q$ for $\alpha \leq \delta_p$, $\mathcal{F}_{\alpha, \beta}^p = \mathcal{F}_{\alpha, \beta}^q$ if $\alpha < \beta \leq \delta_p$, and $i_p = i_q \circ h$, for some $h \in \mathcal{F}_{\delta_p, \delta_q}^q$. Note that, in particular, this means that $A_p \subseteq A_q$.

Lemma 2.11. Let $(p_n)_n$ be a decreasing sequence of conditions in \mathcal{P} . Then there is $q \in \mathcal{P}$ such that $A_q = \bigcup_n A_{p_n}$ and $q \leq p_n$, for all n . In particular, \mathcal{P} is σ -closed.

Proof. Suppose $(p_n)_n$ is a decreasing sequence of conditions in \mathcal{P} . We define the required condition q . We let $A_q = \bigcup_n A_{p_n}$ and $\delta_q = \sup_n \delta_{p_n}$. Note that, since

the sequence of the A_{p_n} is increasing and each of them is ω_1 -full, then so is A_q . Let $\theta_{\delta_q}^q$ be the order type of A_q and i_q the order preserving bijection between $\theta_{\delta_q}^q$ and A_q . For $\alpha < \delta_q$ we let θ_α^q be equal to $\theta_\alpha^{p_n}$, for any sufficiently large n . Also, for $\alpha < \beta < \delta_q$ we let $\mathcal{F}_{\alpha,\beta}^q$ be equal to $\mathcal{F}_{\alpha,\beta}^{p_n}$, for any sufficiently large n . It remains to define the collections $\mathcal{F}_{\alpha,\delta_q}^q$, for $\alpha < \delta_q$. Fix some $\alpha < \delta_q$ and let n be sufficiently large such that $\alpha < \delta_{p_n}$. We let

$$\mathcal{F}_{\alpha,\delta_q}^q = \{i_q^{-1} \circ i_{p_n} \circ f : f \in \mathcal{F}_{\alpha,\delta_{p_n}}^{p_n}\}.$$

It is straightforward to check that $q = \langle \langle \theta_\alpha^q : \alpha \leq \delta_q \rangle, \langle \mathcal{F}_{\alpha,\beta}^q : \alpha < \beta \leq \delta_q \rangle, A_q, i_q \rangle$ is a condition and $q \leq p_n$, for all n . \square

It follows that \mathcal{P} preserves ω_1 . We now need a lemma on the compatibility of conditions in \mathcal{P} . First, let us say that two conditions p and q are *isomorphic* if $\delta_p = \delta_q$, $\theta_\alpha^p = \theta_\alpha^q$, for all $\alpha \leq \delta_p$, and $\mathcal{F}_{\alpha,\beta}^p = \mathcal{F}_{\alpha,\beta}^q$, for all $\alpha < \beta \leq \theta_{\delta_p}^p$. If p and q are isomorphic, we say that they are *directly compatible* if there is $r \leq p, q$ such that $\delta_r = \delta_p + 1$. We call such r the *amalgamation* of p and q .

Lemma 2.12. *Suppose p and q are two isomorphic conditions in \mathcal{P} such that $A_p \cap A_q$ is an initial segment of both A_p and A_q , and $\sup(A_p \setminus A_q) < \inf(A_q \setminus A_p)$. Then p and q are directly compatible.*

Proof. We define a condition r which is the amalgamation of p and q . For simplicity, set $\delta = \delta_p = \delta_q$ and $\theta_\alpha = \theta_\alpha^p = \theta_\alpha^q$, for all $\alpha \leq \delta$. Let $\delta_r = \delta + 1$ and $A_r = A_p \cup A_q$. Note that, since A_p and A_q are ω_1 -full, then so is A_r . Let $\theta_{\delta_r}^r$ be the order type of A_r and i_r the order preserving bijection between $\theta_{\delta_r}^r$ and A_r . For $\alpha < \beta \leq \delta$ let $\mathcal{F}_{\alpha,\beta}^r = \mathcal{F}_{\alpha,\beta}^p$. Let $R = A_p \cap A_q$, let γ be the order type of R and η the order type of $A_p \setminus A_q$ and $A_q \setminus A_p$. Since $\sup(A_p \setminus A_q) < \inf(A_q \setminus A_p)$ it follows that $\theta_{\delta_r}^r = \theta_\delta + \eta$. Let $s : \theta_\delta \rightarrow \theta_{\delta_r}^r$ be the shift of θ_δ at γ , i.e. it is the identity on γ and $s(\gamma + \xi) = \theta_\delta + \xi$, for all $\xi < \eta$. We let $\mathcal{F}_{\delta,\delta_r}^r = \{\text{id}_{\theta_\delta}, s\}$. Finally, for $\alpha < \delta$ let

$$\mathcal{F}_{\alpha,\delta_r}^r = \{g \circ f : f \in \mathcal{F}_{\alpha,\delta}^p, g \in \mathcal{F}_{\delta,\delta_r}^r\}.$$

Then r is as required. \square

Remark Let p and q be as in Lemma 2.12 and let r be the amalgamation of p and q . Let i be the order preserving bijection between A_p and A_q . What is important for our purposes is that r forces that $\xi \preceq_{\delta_p} i(\xi)$, for all $\xi \in A_p$.

Lemma 2.13. *Let $\alpha < \omega_2$. Then, for every $p \in \mathcal{P}$ there is $r \leq p$ such that $\alpha \in A_r$.*

Proof. Let β be such that $\alpha \in I_\beta$. We show that every condition p has an extension r such that $A_r \cap I_\beta$ is a proper extension of $A_p \cap I_\beta$. Since $A_r \cap I_\beta$ is an initial segment of I_β , for every r , the order type of I_β is ω_1 and \mathcal{P} is σ -closed,

by iterating this operation countably many times we can find a condition $s \leq p$ such that $\alpha \in A_s$. So, fix some $p \in \mathcal{P}$. Assume first that $A_p \setminus \omega_1 \cdot (\beta + 1)$ is non empty and let η be its order type. Note that η is a countable ordinal. Let $\mu = \min(I_\beta \setminus A_p)$. Since A_p is ω_1 -full we have that $A_p \cap [\mu, \omega_1 \cdot (\beta + 1)) = \emptyset$. Let $\nu = \mu + \eta$ and let $A_q = (A_p \cap \omega_1 \cdot \beta) \cup [\omega_1 \cdot \beta, \nu)$. Then A_p and A_q have the same order type, $A_p \cap A_q$ is an initial segment of both of them, and $\sup(A_q \setminus A_p) < \inf(A_p \setminus A_q)$. Also note that $A_p \cup A_q$ is ω_1 -full. Let i_q be the isomorphism between $\theta_{\delta_p}^p$ and A_q . Let $\delta_p = \delta_q$, $\theta_\alpha^p = \theta_\alpha^q$, for all $\alpha \leq \delta_p$, $\mathcal{F}_{\alpha,\beta}^p = \mathcal{F}_{\alpha,\beta}^q$, for all $\alpha < \beta \leq \theta_{\delta_p}^p$. Then p and q satisfy the assumptions of Lemma 2.12. Let r be their amalgamation. Then $r \leq p$ and $A_r \cap I_\beta$ is a proper extension of $A_p \cap I_\beta$, as required.

Assume now that $A_p \subseteq \omega_1 \cdot (\beta + 1)$. For simplicity, let $\delta = \delta_p$ and $\theta_\alpha = \theta_\alpha^p$, for $\alpha \leq \delta$. Recall that this implies that θ_δ is the order type of A_p . Let $\mu = \min(I_\beta \setminus A_p)$. We are going to define the condition r directly. We let $A_r = A_p \cup [\mu, \mu + \theta_\delta)$. We let $\delta_r = \delta + 1$. We let $\theta_\alpha^r = \theta_\alpha$, for all $\alpha \leq \delta$ and $\theta_{\delta+1}^r = \theta_\delta \cdot 2$. We let $\mathcal{F}_{\alpha,\beta}^r = \mathcal{F}_{\alpha,\beta}^p$, for all $\alpha < \beta \leq \delta$. We let $\mathcal{F}_{\delta,\delta+1}^r = \{\text{id}_{\theta_\delta}, s\}$, where $\text{id}_{\theta_\delta}$ is the identity on θ_δ and s is the shift of θ_δ at 0, i.e. $s(\rho) = \theta_\delta + \rho$, for all $\rho < \theta_\delta$. For $\alpha < \delta$ we let $\mathcal{F}_{\alpha,\delta+1}^r$ consist of all functions of the form $g \circ f$, where $f \in \mathcal{F}_{\alpha,\delta}^p$ and $g \in \mathcal{F}_{\delta,\delta+1}^r$. Finally, let i_r be the order preserving bijection between $\theta_\delta \cdot 2$ and A_r . Then r is an extension of p and $A_r \cap I_\beta$ is a proper extension of $A_p \cap I_\beta$. \square

Lemma 2.14. *Assume CH. Then \mathcal{P} satisfies the \aleph_2 -chain condition.*

Proof. Let \mathcal{A} be a subset of \mathcal{P} of size \aleph_2 . By CH we may assume that all the conditions in \mathcal{A} are compatible. Therefore, we can fix an ordinal δ , a sequence $\langle \theta_\alpha : \alpha \leq \delta \rangle$ and a sequence $\langle \mathcal{F}_{\alpha,\beta} : \alpha < \beta \leq \delta \rangle$ such that every condition p in \mathcal{A} is of the form $p = \langle \langle \theta_\alpha : \alpha \leq \delta \rangle, \langle \mathcal{F}_{\alpha,\beta} : \alpha < \beta \leq \delta \rangle, A_p, i_p \rangle$, for some A_p of order type θ_δ where i_p is the order preserving bijection between θ_δ and A_p . By CH again and the Δ -system lemma, we may find distinct $p, q \in \mathcal{A}$ such that $A_p \cap A_q$ is an initial segment of both A_p and A_q and such that $\sup(A_p \setminus A_q) < \inf(A_q \setminus A_p)$. By Lemma 2.12 p and q are compatible, as required. \square

Assume CH. By Lemmas 2.11 and 2.14 \mathcal{P} preserves cardinals. Let G be a \mathcal{P} -generic filter over V . For $\alpha < \omega_1$, we let θ_α^G be equal to θ_α^p , for any $p \in G$ such that $\alpha \leq \delta_p$. We also let $\theta_{\omega_1}^G = \omega_2$. For $\alpha < \beta < \omega_1$ we let $\mathcal{F}_{\alpha,\beta}^G$ be equal to $\mathcal{F}_{\alpha,\beta}^p$, for any $p \in G$ such that $\beta \leq \delta_p$. For $\alpha < \omega_1$ we define:

$$\mathcal{F}_{\alpha,\omega_1}^G = \{i_p \circ f : f \in \mathcal{F}_{\alpha,\delta_p}^p, p \in G \text{ and } \alpha \leq \delta_p\}.$$

It follows that

$$\mathfrak{M}_G = \langle \langle \theta_\alpha^G : \alpha \leq \omega_1 \rangle, \langle \mathcal{F}_{\alpha,\beta}^G : \alpha < \beta \leq \omega_1 \rangle \rangle$$

is a simplified $(\omega_1, 1)$ -morass. Let \mathfrak{M} be the canonical \mathcal{P} -name for \mathfrak{M}_G .

Lemma 2.15. $\Vdash_{\mathcal{P}} \dot{\mathfrak{M}}$ is stationary.

Proof. Suppose $p \Vdash_{\mathcal{P}} \dot{C}$ is a club in $[\omega_2]^\omega$. Set $p_0 = p$. By using Lemma 2.13 and 2.11 repeatedly and the fact that p forces \dot{C} to be unbounded in $[\omega_2]^\omega$, we can build a decreasing sequence $(p_n)_n$ of conditions in \mathcal{P} and an increasing sequence $(B_n)_n$ of countable subsets of ω_2 such that $A_{p_n} \subseteq B_n \subseteq A_{p_{n+1}}$ and $p_{n+1} \Vdash_{\mathcal{P}} B_n \in \dot{C}$, for all n . Let q be the limit of the sequence $(p_n)_n$ as in Lemma 2.11. Then $A_q = \bigcup_n A_{p_n} = \bigcup_n B_n$. Since \dot{C} is forced by p to be closed and $q \leq p$ it follows that $q \Vdash_{\mathcal{P}} A_q \in \dot{C}$. Since $q \Vdash_{\mathcal{P}} A_q \in \mathcal{S}(\dot{\mathfrak{M}})$ and \dot{C} was arbitrary, it follows that $\dot{\mathfrak{M}}$ is forced to be stationary. \square

Lemma 2.16. Assume CH holds in V . Then $\Vdash_{\mathcal{P}} \dot{\mathfrak{M}}$ satisfies the \aleph_2 -antichain condition.

Proof. Suppose $p \in \mathcal{P}$ forces that \dot{X} is a subset of $(\omega_2)^\omega$ of size \aleph_2 . We can find a subset S of $(\omega_2)^\omega$ of size \aleph_2 and, for each $s \in S$, a condition $p_s \leq p$ such that $p_s \Vdash_{\mathcal{P}} s \in \dot{X}$. By Lemma 2.13 we may assume that $\text{ran}(s) \subseteq A_{p_s}$, for all s . By CH we may assume that the conditions p_s , for $s \in S$, are all isomorphic. Let us fix an ordinal δ , a sequence $\langle \theta_\alpha : \alpha \leq \delta \rangle$ and a sequence $\langle \mathcal{F}_{\alpha,\beta} : \alpha < \beta \leq \delta \rangle$ such that every condition p_s , for $s \in S$, is of the form $p_s = \langle \langle \theta_\alpha : \alpha \leq \delta \rangle, \langle \mathcal{F}_{\alpha,\beta} : \alpha \leq \beta \leq \delta \rangle, A_{p_s}, i_{p_s} \rangle$, for some A_{p_s} of order type θ_δ , where i_{p_s} is the order preserving bijection between θ_δ and A_{p_s} . Further, again by CH, we may assume that there are fixed ordinals $\xi_n < \theta_\delta$, for $n < \omega$, such that $s(n) = i_{p_s}(\xi_n)$, for all $s \in S$ and all n . By the Δ -system lemma, we may find distinct $s, t \in S$ such that $A_{p_s} \cap A_{p_t}$ is an initial segment of both A_{p_s} and A_{p_t} and such that $\sup(A_{p_s} \setminus A_{p_t}) < \inf(A_{p_t} \setminus A_{p_s})$. Let r be the amalgamation of p_s and p_t . Then $r \Vdash_{\mathcal{P}} s, t \in \dot{X}$. By the remark following Lemma 2.12 it follows that that $r \Vdash_{\mathcal{P}} s(n) \preceq_\delta t(n)$, for all n . Therefore r forces that \dot{X} is not an antichain in $(\omega_2, \preceq)^\omega$, as required. \square

By putting together the results of this section we obtain the following.

Theorem 2.17. It is relatively consistent with ZFC + CH that there exist a downward closed subfamily \mathcal{F} of $\text{Fn}(\omega_2, \omega_1, \omega_1)$ which is strategically persistent but does not have a σ -closed persistent subfamily. \square

3. THE MAIN THEOREM

The goal of this section is to prove Theorem 1.5. Before we do that we show that if $\mathcal{A} \simeq_{\aleph_1, \aleph_1}^p \mathcal{B}$ then we can find an ω_1 -back and forth family \mathcal{I} of partial isomorphisms between \mathcal{A} and \mathcal{B} with additional closure properties. Recall that we defined \mathcal{I} to be σ -closed if every increasing sequence $(p_n)_n$ of members of \mathcal{I} has an upper bound in \mathcal{I} . We will say that \mathcal{I} is *strongly σ -closed* if $\bigcup_n p_n \in \mathcal{I}$, for every such sequence $(p_n)_n$. We will need the following.

Lemma 3.1. *Assume CH and let \mathcal{A} and \mathcal{B} be two structures of size \aleph_2 in the same vocabulary such that $\mathcal{A} \simeq_{\aleph_1, \aleph_1}^p \mathcal{B}$. Then there is an ω_1 -back and forth set \mathcal{J} for \mathcal{A} and \mathcal{B} which is strongly σ -closed.*

Proof. Let \mathcal{I} be a σ -closed ω_1 -back and forth set of partial isomorphisms between \mathcal{A} and \mathcal{B} . We build another ω_1 -back and forth set \mathcal{J} which is strongly σ -closed. We may assume that the base set of both \mathcal{A} and \mathcal{B} is ω_2 . Since \mathcal{I} consists of countable partial functions from ω_2 to ω_2 , by CH it follows that it is of cardinality ω_2 . Let us fix an enumeration $\{p_\alpha : \alpha < \omega_2\}$ of \mathcal{I} . We may assume that the empty function belongs to \mathcal{I} and is enumerated as p_0 . We let $q \in \mathcal{J}$ if q is a permutation of a countable subset D_q of ω_2 containing 0 and the following hold:

- (1) if $\alpha \in D_q$ then $\text{dom}(p_\alpha) \cup \text{ran}(p_\alpha) \subseteq D_q$,
- (2) if $\alpha \in D_q$ and $p_\alpha \subseteq q$ then for every $\xi \in D_q$ there is $\beta \in D_q$ such that $p_\alpha \subseteq p_\beta \subseteq q$, and $\xi \in \text{dom}(p_\beta) \cap \text{ran}(p_\beta)$.

Note that if $q \in \mathcal{J}$ then, by (2) and the fact that $0 \in D_q$, we can find a sequence $(\alpha_n)_n$ of elements of D_q such that $p_{\alpha_0} \subseteq p_{\alpha_1} \subseteq \dots \subseteq p_{\alpha_n} \subseteq \dots$, and $q = \bigcup_n p_{\alpha_n}$. Since each p_{α_n} is a countable partial isomorphism from \mathcal{A} to \mathcal{B} , then so is q . Moreover, since \mathcal{I} is σ -closed there is $p \in \mathcal{I}$ such that $q \subseteq p$. Note also that \mathcal{J} is strongly σ -closed. In order to show that \mathcal{J} has the ω_1 -back and forth property it suffices to show the following.

Claim. *For every $p \in \mathcal{I}$ there is $q \in \mathcal{J}$ such that $p \subseteq q$.*

Proof. Fix a sufficiently large regular cardinal τ and a countable elementary submodel M of H_τ containing p and the enumeration of \mathcal{I} . Fix an enumeration $\{\alpha_n : n < \omega\}$ of $M \cap \omega_2$. We define an increasing sequence $(r_n)_n$ of elements of $\mathcal{I} \cap M$ as follows. Let $r_0 = p$. Suppose we have defined r_n . By the fact that \mathcal{I} is an ω_1 -back and forth set and M is elementary, we can find $r_{n+1} \in M \cap \mathcal{I}$ extending r_n such that:

- (a) r_{n+1} either extends p_{α_n} or is incompatible with it,
- (b) $\alpha_n \in \text{dom}(r_{n+1}) \cap \text{ran}(r_{n+1})$.

This completes the definition of the sequence $(r_n)_n$. Let $q = \bigcup_n r_n$. Clearly, q is a permutation of $M \cap \omega_2$, i.e. $D_q = M \cap \omega_2$. We check that $q \in \mathcal{J}$. Condition (1) is satisfied by elementary of M . To see that condition (2) is satisfied consider some $\alpha, \xi \in D_q$ such that $p_\alpha \subseteq q$. Let k and l be such that $\alpha = \alpha_k$ and $\xi = \alpha_l$. Choose some $n > k, l$. Then $p_\alpha \subseteq r_n$ and $\xi \in \text{dom}(r_n) \cap \text{ran}(r_n)$. By elementary of M there is $\beta \in D_q$ such that $r_n = p_\beta$. Then β witnesses condition (2) for α and ξ . \square

This completes the proof that \mathcal{J} is a strongly σ -closed ω_1 -back and forth set of partial isomorphisms between \mathcal{A} and \mathcal{B} . \square

We now turn to the proof of Theorem 1.5. We work in a model of ZFC + CH in which there is a simplified $(\omega_1, 1)$ -morass \mathfrak{M} which is stationary and satisfies the \aleph_2 -antichain condition. Let $\mathcal{F} = \mathcal{F}(\mathfrak{M})$ be the family defined in Definition 2.4. Our plan is to define one structure \mathcal{C} and two distinct elements a and b of \mathcal{C} and let $\mathcal{A} = (\mathcal{C}, a)$ and $\mathcal{B} = (\mathcal{C}, b)$. \mathcal{C} will consist of two parts, one is ω_2 with the usual ordering. Its only role is to ensure certain amount of rigidity of \mathcal{C} . The second part of \mathcal{C} consists of layers indexed by countable subsets of ω_2 . Given $u \in [\omega_2]^\omega$ let

$$\mathcal{F}_u = \{f \in \mathcal{F} : \text{dom}(f) = u\}.$$

We let \mathcal{G}_u be $[\mathcal{F}_u]^{<\omega}$. Since we wish these structures to be disjoint and \emptyset belongs to all them, we will replace \emptyset in \mathcal{G}_u by another object, which we denote by \emptyset_u , such that the \emptyset_u are all distinct. We still denote the modified structure by \mathcal{G}_u . Let $\mathcal{G} = \bigcup\{\mathcal{G}_u : u \in [\omega_2]^\omega\}$. For $a \in \mathcal{G}$ we let $u(a)$ be the unique u such that $a \in \mathcal{G}_u$. The base set of \mathcal{C} will be

$$C = \omega_2 \cup \mathcal{G}.$$

We now describe the language of \mathcal{C} . First, we will have two binary relation symbols, \leq and E . The interpretation $\leq^{\mathcal{C}}$ of \leq will be the usual ordering on ω_2 . The interpretation of E is as follows:

$$(\alpha, a) \in E^{\mathcal{C}} \text{ iff } \alpha < \omega_2, a \in \mathcal{G} \text{ and } \alpha \in u(a).$$

This guarantees that any isomorphism of \mathcal{C} is the identity on ω_2 and maps each \mathcal{G}_u to itself. We now put some structure on the \mathcal{G}_u . Note that (\mathcal{G}_u, Δ) is a Boolean group, where Δ denotes the symmetric difference. We will keep only the affine structure of this group, i.e. we want the automorphisms of \mathcal{G}_u to be precisely the shifts by some member of \mathcal{G}_u , i.e. maps of the form:

$$x \mapsto x \Delta a,$$

for some fixed element a of \mathcal{G}_u . In order to achieve this, we will add countably many binary relation symbols $R_{n,i}$, for $i = 0, 1$ and $n < \omega$. In each \mathcal{G}_u we will interpret these relation symbols as follows. First, we index the members of \mathcal{F}_u by elements of 2^ω , say $\mathcal{F}_u = \{f_x^u : x \in 2^\omega\}$. If $a, b \in \mathcal{G}_u$ and $a \Delta b$ is a singleton, say $\{f_x^u\}$, for each n and i , we let

$$R_{n,i}^{\mathcal{C}}(a, b) \text{ if and only if } x(n) = i.$$

Otherwise, no relation between a and b holds. Also, if $u \neq v$ then no relation $R_{n,i}^{\mathcal{C}}$ holds between elements of \mathcal{G}_u and \mathcal{G}_v . We also need to connect the different layers of our structure. Suppose $u, v \in [\omega_2]^\omega$ and $u \subseteq v$. We define a homomorphism $\pi_{u,v} : \mathcal{G}_v \rightarrow \mathcal{G}_u$ as follows. First, for $f \in \mathcal{F}_u$ we let $\pi_{u,v}(\{f\}) = \{f \upharpoonright u\}$. Then we extend $\pi_{u,v}$ to a homomorphism of \mathcal{G}_v to \mathcal{G}_u . Note that, in general, $\pi_{u,v}(a)$ may be different from $\{f \upharpoonright u : f \in a\}$, since there may be cancelation, i.e.

there could exist $f, f' \in a$ with $f \neq f'$ but $f \upharpoonright u = f' \upharpoonright u$. Now we add a binary relation symbol S and we let:

$$S^{\mathcal{C}}(a, b) \text{ iff } [a, b \in \mathcal{G}, u(a) \subseteq u(b) \text{ and } \pi_{u(a), u(b)}(b) = a].$$

This guarantees the following: if τ is an automorphism of our structure \mathcal{C} then, for each layer u , τ is the shift by some $a_u \in \mathcal{G}_u$ and if $u \subseteq v$ then $\pi_{u,v}(a_v) = a_u$. This completes the definition of the structure \mathcal{C} .

Now, we turn to the definition of \mathcal{A} and \mathcal{B} . Recall that \exists has a winning strategy, say σ , in the persistency game on \mathcal{F} . Consider the play of length ω in which, at stage n , player \forall plays n and player \exists responds by following σ . Let p^* be the resulting position after ω moves and let f^* be the corresponding function. So, $f^* \in \mathcal{F}_\omega$. Now, we introduce a new constant symbol, c . Then we let \mathcal{A} be the expansion of \mathcal{C} obtained by interpreting c as \emptyset_ω and \mathcal{B} the expansion of \mathcal{C} in which we interpret c as $\{f^*\}$.

Lemma 3.2. $\mathcal{A} \equiv_{\aleph_1, \aleph_1} \mathcal{B}$.

Proof. We describe informally a winning strategy for player \exists in $\text{EF}_{\aleph_1}^{\aleph_1}(\mathcal{A}, \mathcal{B})$. Suppose player \forall starts by playing A_0 and B_0 , where A_0 is a countable subset of \mathcal{A} and B_0 is a countable subset of \mathcal{B} . Since the base sets of \mathcal{A} and \mathcal{B} are the same, we may assume $A_0 = B_0$. Let's call this set C_0 . Let $C'_0 = C_0 \cap \omega_2$ and $C''_0 = C_0 \cap \mathcal{G}$. Now, let $U_0 = \{u(a) : a \in C''_0\}$. Then, U_0 is a countable collection of countable subsets of ω_2 . Let $u_0 = \bigcup U_0$. Then player \exists simulates a play in the persistency game on \mathcal{F} continuing the play p^* in which player \forall enumerates the elements of $u_0 \setminus \omega$ in some order after the ω -th move and \exists uses her winning strategy σ . Let p_0 be the resulting position and f_0 the corresponding function. Then $f_0 \in \mathcal{F}_{u_0}$. Let φ_0 be the function on C''_0 defined by:

$$\varphi_0(a) = a \Delta \{f_0 \upharpoonright u(a)\},$$

and let $\psi_0 = \varphi_0 \cup \text{id}_{C'_0}$. Note that ψ_0 is an involution and $\psi_0(\emptyset_\omega) = \{f^*\}$, since f_0 extends f^* . Thus, we can consider ψ_0 as a partial isomorphism from \mathcal{A} to \mathcal{B} such that $A_0 \subseteq \text{dom}(\psi_0)$ and $B_0 \subseteq \text{ran}(\psi_0)$. Player \exists then plays ψ_0 as her first move in $\text{EF}_{\aleph_1}^{\aleph_1}(\mathcal{A}, \mathcal{B})$.

In general, in the ξ -th move of $\text{EF}_{\aleph_1}^{\aleph_1}(\mathcal{A}, \mathcal{B})$ player \forall plays a countable subset A_ξ of \mathcal{A} and a countable subset B_ξ of \mathcal{B} . We may assume that $A_\xi = B_\xi$ and we call this set C_ξ . We let $C'_\xi = C_\xi \cap \omega_2$ and $C''_\xi = C_\xi \cap \mathcal{G}$. We let $U_\xi = \{u(a) : a \in C''_\xi\}$ and

$$u_\xi = \bigcup \{u_\eta : \eta < \xi\} \cup \bigcup U_\xi.$$

Player \exists simulates a play p_ξ in the persistency game on \mathcal{F} which extends the p_η , for $\eta < \xi$, such that after $\bigcup_{\eta < \xi} p_\eta$ player \forall continues by enumerating in some order the elements of $u_\xi \setminus \bigcup_{\eta < \xi} u_\eta$ and player \exists plays by following her strategy

σ . Let f_ξ be the function corresponding to p_ξ . Notice that f_ξ extends f_η , for $\eta < \xi$. Now, let φ_ξ be the function defined on C_ξ'' by

$$\varphi_\xi(a) = a\Delta\{f_\xi \upharpoonright u(a)\}.$$

Finally, let

$$\psi_\xi = \bigcup_{\eta < \xi} \psi_\eta \cup \varphi_\xi \cup \text{id}_{C_\xi'}.$$

It is easy to see that ψ_ξ extends ψ_η , for $\eta < \xi$. Since σ is a winning strategy for player \exists in the persistency game on \mathcal{F} , player \exists can continue playing like this for ω_1 moves. Therefore, she has a winning strategy in $\text{EF}_{\aleph_1}^{\aleph_1}(\mathcal{A}, \mathcal{B})$, as required. \square

Lemma 3.3. $\mathcal{A} \not\prec_{\aleph_1, \aleph_1}^p \mathcal{B}$.

Proof. This is similar to the proof of Lemma 2.8. Suppose Ω is a σ -closed family of partial isomorphisms from \mathcal{A} to \mathcal{B} with the back-and-forth property. By Lemma 3.1, we may assume that Ω is strongly σ -closed. Let ψ be a member of Ω . Then, the domain of ψ is a countable subset A_ψ of \mathcal{A} and the range is a countable subset B_ψ of \mathcal{B} . Let $A'_\psi = A_\psi \cap \omega_2$ and let $A''_\psi = A_\psi \cap \mathcal{G}$. Since Ω has the back and forth property, it is easy to see that ψ has to be the identity on A'_ψ and preserve the layers of \mathcal{G} . Let $U_\psi = \{u(a) : a \in A''_\psi\}$. Since Ω is also strongly σ -closed, the set of $\psi \in \Omega$ such that U_ψ is directed under inclusion is dense in Ω . By replacing Ω by this set we may assume that U_ψ is directed, for all $\psi \in \Omega$. Let $u(\psi) = \bigcup U_\psi$, for $\psi \in \Omega$. For $u \in U_\psi$ let $A_{\psi,u} = A''_\psi \cap \mathcal{G}_u$. It follows that $\psi \upharpoonright A_{\psi,u}$ has to be the shift by some element of \mathcal{G}_u , say $a_{\psi,u}$. Moreover, if $u, v \in U_\psi$ and $u \subseteq v$ then $\pi_{u,v}(a_{\psi,v}) = a_{\psi,u}$. Each $a_{\psi,u}$ is finite and since U_ψ is directed under inclusion and ψ can be extended to a function ρ in Ω which is defined on some point of $\mathcal{G}_{u(\psi)}$, it follows that there exists $a_\psi \in \mathcal{G}_{u(\psi)}$ such that $\psi \upharpoonright A_{\psi,u}$ is the shift by $\pi_{u,u(\psi)}(a_\psi)$, for every $u \in U_\psi$. Let n_ψ be the cardinality of a_ψ . Note that $n_\psi > 0$, since $\psi(\emptyset_\omega) = \{f^*\}$, so ψ cannot be the identity on its domain. Moreover, since Ω is σ -closed and $n_\psi \leq n_\rho$, for every $\psi, \rho \in \Omega$ such that $\psi \subseteq \rho$, there is $\psi_0 \in \Omega$ and an integer n such that $n_\psi = n$, for all $\psi \in \Omega$ such that $\psi_0 \subseteq \psi$. We can replace Ω by $\{\psi \in \Omega : \psi_0 \subseteq \psi\}$, so without loss of generality we may assume that $n_\psi = n$, for all $\psi \in \Omega$.

Now, we proceed as in the proof of Lemma 2.8. We fix a sufficiently large regular cardinal τ . Since $\mathcal{S}(\mathfrak{M})$ is stationary in $[\omega_2]^\omega$, we can find a countable elementary submodel M of H_τ containing all the relevant objects such that $M \cap \omega_2 \in \mathcal{S}(\mathfrak{M})$. Let $\zeta = \sup(M \cap \omega_2)$ and fix an increasing sequence $\{\zeta_n\}_n$ of ordinals in M which is cofinal in ζ . We now work in M . For each $\delta < \omega_2$, fix $\psi_{\delta,0} \in \Omega$ such that $\delta \in u(\psi_{\delta,0})$. Let us enumerate $a_{\psi_{\delta,0}}$ as, say $\{f_{\delta,0}^0, \dots, f_{\delta,0}^{n-1}\}$. We can find $\alpha < \omega_1$ and $X_0 \subseteq \omega_2 \setminus \zeta_0$ of size \aleph_2 such that $f_{\delta,0}^0(\delta) = \alpha$, for all $\delta \in X_0$. Since \mathfrak{M} satisfies the \aleph_2 -antichain condition, by Lemma 2.7 we can fix

$\delta(0) \in X_0$ and $X_1 \subseteq X_0 \setminus \zeta_1$ of size \aleph_2 such that, for all $\delta \in X_1$, and all $i < n$, any extension of $f_{\delta,0}^i$ to a function in \mathcal{F} which is defined on $\text{dom}(f_{\delta(0),0}^i)$ must extend $f_{\delta(0),0}^i$. For each $\delta \in X_1$ fix some $\psi_{\delta,1} \in \Omega$ which extends $\psi_{\delta,0}$ and is defined on $A_{\psi_{\delta(0),0}}$. Then $\psi_{\delta,1}$ must be the identity on $A'_{\psi_{\delta(0),0}}$ and

$$\pi_{u(\psi_{\delta,0}),u(\psi_{\delta,1})}(a_{\psi_{\delta,1}}) = a_{\psi_{\delta,0}}.$$

Since $a_{\psi_{\delta,1}}$ has the same size as $a_{\psi_{\delta,0}}$, we can enumerate it as $\{f_{\delta,1}^0, \dots, f_{\delta,1}^{n-1}\}$ such that $f_{\delta,1}^i$ extends $f_{\delta,0}^i$, for all $i < n$. Moreover, $f_{\delta,1}^i$ is defined on $\text{dom}(f_{\delta(0),0}^i)$ and so it must extend $f_{\delta(0),0}^i$. In other words, $f_{\delta(0),0}^i \cup f_{\delta,0}^i \subseteq f_{\delta,1}^i$, for all $i < n$. It follows that $\psi_{\delta,1}$ extends $\psi_{\delta(0),0}$, for all $\delta \in X_1$. By Lemma 2.7 again, we can fix $\delta(1) \in X_1$ and $X_2 \subseteq X_1 \setminus \zeta_2$ of size \aleph_2 such that, for all $\delta \in X_2$ and all $i < n$, any extension of $f_{\delta,1}^i$ to a function in \mathcal{F} which is defined on $\text{dom}(f_{\delta(1),1}^i)$ must extend $f_{\delta(1),1}^i$. For each $\delta \in X_2$ fix some $\psi_{\delta,2} \in \Omega$ which extends $\psi_{\delta,1}$ and is defined on $A_{\psi_{\delta(1),1}}$. As before, $\psi_{\delta,2}$ must be the identity on $A'_{\psi_{\delta,2}}$ so it must agree with $\psi_{\delta(1),1}$ on $A'_{\psi_{\delta(1),1}}$. Also, we can enumerate $a_{\psi_{\delta,2}}$ as $\{f_{\delta,2}^0, \dots, f_{\delta,2}^{n-1}\}$ such that $f_{\delta(1),1}^i \cup f_{\delta,1}^i \subseteq f_{\delta,2}^i$. We conclude that $\psi_{\delta,2}$ extends $\psi_{\delta(1),1} \cup \psi_{\delta,1}$, for all $\delta \in X_2$. Continuing in this way we get an increasing sequence $(\delta(k))_k$ of ordinals from M , a decreasing sequence $(X_k)_k$ of subsets of ω_2 of size \aleph_2 , and, for each k and $\delta \in X_k$, $\psi_{\delta,k} \in \Omega$ and an enumeration $\{f_{\delta,k}^0, \dots, f_{\delta,k}^{n-1}\}$ of $a_{\psi_{\delta,k}}$ such that:

- (1) $\delta(k) \geq \zeta_k$, for all k ,
- (2) $\psi_{\delta(k),k} \cup \psi_{\delta,k} \subseteq \psi_{\delta,k+1}$, for all $\delta \in X_{k+1}$.
- (3) $f_{\delta(k),k}^i \cup f_{\delta,k}^i \subseteq f_{\delta,k+1}^i$, for all $i < n$ and all $\delta \in X_{k+1}$.

Now, $(\psi_{\delta(k),k})_k$ is an increasing sequence of members of Ω and since Ω is σ -closed there is $\rho \in \Omega$ extending all the $\psi_{\delta(k),k}$. It follows that there is an enumeration $\{f^0, \dots, f^{n-1}\}$ of a_ρ such that $f_{\delta(k),k}^i \subseteq f^i$, for each $i < n$ and $k < \omega$. Recall that $f_{\delta,0}^0(\delta) = \alpha$, for all $\delta \in X_0$. Moreover, $f_{\delta,0}^i \subseteq \dots \subseteq f_{\delta,k}^i$, for all $i < n$ and $\delta \in X_k$. It follows that $f^0(\delta(k)) = \alpha$, for all k . However, all the $\delta(k)$ belong to $M \cap \omega_2$ and the sequence $(\delta(k))_k$ is cofinal in ζ . Since $M \cap \omega_2$ belongs to $\mathcal{S}(\mathfrak{M})$ it follows that this sequence is \preceq -unbounded. Therefore, f^0 violates condition (2) of Definition 2.4 and so it cannot belong to \mathcal{F} , a contradiction. \square

This completes the proof of Theorem 1.5. \square

4. OPEN QUESTIONS

We mention a couple of questions which remain open.

Question 2. *Is it consistent that $\equiv_{\aleph_1, \aleph_1}$ and $\simeq_{\aleph_1, \aleph_1}^P$ are equivalent for structures of size \aleph_2 in the context of CH ?*

Question 3. *Is it consistent that $\simeq_{\aleph_1, \aleph_1}^p$ is not transitive? This would show that $\simeq_{\aleph_1, \aleph_1}^p$ is not the right concept, i.e. it does not represent equivalence in some logic.*

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