

Let \mathfrak{M} be a fixed countable standard transitive model of $ZF + V = L$. We consider the structure Mod of degrees of constructibility of real numbers x with respect to \mathfrak{M} such that $\mathfrak{M}(x)$ is a model. An initial segment $Q \subseteq \text{Mod}$ is called realizable if some extension of \mathfrak{M} with the same ordinals contains exclusively the degrees of constructibility of real numbers from Q (and is a model of ZFC). We prove the following: if Q is a realizable initial segment, then

$$[y \in Q \rightarrow y < x] \ \& \ \forall z \exists y [z < x \rightarrow y \in Q \ \& \ \sim [y < z]].$$

Introduction. Let L be a countable standard transitive (c.s.t.) model of ZFC, $\mathfrak{M} \models V = L$. For $x \subseteq \omega_0$ we define $L(x)$ as the constructive closure of $L \cup \{x\}$ with respect to the ordinals of L (see [1]). Let $\text{Mod}^0 = \{x \mid L(x) \text{ is a model of ZFC} \ \& \ x \subseteq \omega_0\}$.

Let us introduce a partial order on Mod^0 by $x \preceq y \equiv x \in L(y)$, and an equivalence:

$$x \approx y \equiv x \preceq y \ \& \ y \preceq x.$$

Let Mod be the factorization; $[x] = \{y \mid y \approx x\}$; $[x] \preceq [y] \equiv x \preceq y$; $\text{Mod} = \{[x] \mid x \in \text{Mod}^0\}$.

Let Q be an initial segment of Mod . We call Q a realizable segment if $\exists \mathfrak{M} [L \subseteq \mathfrak{M} \ \& \ \mathfrak{M} \text{ is a c.s.t. model of ZFC} \ \& \ \text{On}^\mathfrak{M} = \text{On}^L \ \& \ \forall x [x \in \mathfrak{M} \ \& \ x \subseteq \omega_0 \rightarrow [x] \in Q] \ \& \ \forall x [[x] \in Q \rightarrow x \in \mathfrak{M}]$.

It is trivial to prove that if Q is a realizable initial segment of Mod , then it is bound by a $[x] \in \text{Mod}$. In this paper we investigate the question of the existence of the smallest bound and in particular prove the following theorem.

THEOREM A. Let Q be a realizable initial segment of Mod . Then there exists $[x] \in \text{Mod}$ such that

$$\forall y [[y] \in Q \rightarrow [y] \preceq [x]] \ \& \ \forall z \exists y [[z] \preceq [x] \ \& \ [z] \neq [x] \rightarrow [y] \in Q \ \& \ \sim [[y] \preceq [z]]].$$

To prove this theorem we prove the following auxiliary theorem.

THEOREM B. Let \mathfrak{M} be a c.s.t. model of ZFC of the form $L(X)$, where $X \in \mathfrak{M}$, $X \subseteq \omega_1^\mathfrak{M}$. Then we find $x \subseteq \omega_0$ such that $\mathfrak{M}(x)$ is a model of ZFC,

$$L(x) = \mathfrak{M}(x) \ \text{and} \ \forall y [y \in (\mathfrak{M}(x) - \mathfrak{M}) \ \& \ y \subseteq \omega_0 \rightarrow x \in \mathfrak{M}(y)].$$

The last theorem is obviously an extension of a result of Sacks [2] on minimal degrees (the extension concerns $L(x) = \mathfrak{M}(x)$).

We outline how Theorem B implies Theorem A. Let Q be a realizable initial segment of Mod . This means that there is a model \mathfrak{N}^0 .

$$\mathfrak{N}^0 \models ZFC, \ \text{On}^L = \text{On}^{\mathfrak{N}^0}, \ \forall x [x \in \mathfrak{N}^0 \ \& \ x \subseteq \omega_0 \rightarrow [x] \in Q], \\ \forall x [[x] \in Q \rightarrow x \in \mathfrak{N}^0].$$

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Since $\aleph^0 \models ZFC$, in \aleph^0 there exists a total ordering of $S(\omega_0) \cap \aleph^0$ of the type $\exp^{\aleph^0}(\omega_0)$ (notation: $S(u) = \{x \mid x \subseteq u\}$, $\exp(u) = \text{card}(S(u))$, assuming the axiom of choice). Let $X = \{\langle x_\alpha, \alpha \rangle \mid \alpha \in \exp^{\aleph^0}(\omega_0)\}$ be such an ordering. We consider $\aleph = L(X)$. It is easy to see that $X \in \aleph$, $\aleph \models ZFC$. $\forall x [x \in \aleph \cap S(\omega_0) \rightarrow [x] \in Q]$, $\forall x [[x] \in Q \rightarrow x \in \aleph]$. It is also easy to see that if we take a generic extension \aleph of \aleph by collapsing $\exp^{\aleph}(\omega_0)$ onto ω_1^{\aleph} (taking as forcing conditions the functions $f: D \rightarrow \exp^{\aleph}(\omega_0)$, where D is an arbitrary countable subset of ω_1^{\aleph} and, naturally, $f \in \aleph$) then \aleph will have the same properties as \aleph , and, moreover, it will satisfy the assumption of Theorem B. Obviously, if $x \subseteq \omega_0$ is as in Theorem B, then $[x]$ satisfies the condition of Theorem A. Let us therefore consider B.

If \aleph satisfies the conditions of Theorem B, then we can easily find in \aleph a set $X = \{\langle \alpha, x_\alpha \rangle \mid \alpha \in \omega_1^{\aleph}\}$ such that $\forall \alpha [\alpha \in \omega_1^{\aleph} \rightarrow x_\alpha \subseteq \omega_0]$, $\aleph = L(X)$, $\forall \alpha [\alpha \in \omega_1^{\aleph} \rightarrow \alpha$ is countable in $L(x_\alpha)]$ and $\forall \alpha [\alpha \in \omega_1^{\aleph} \rightarrow \{\langle \beta, x_\beta \rangle \mid \beta \in \alpha\} \in L(x_\alpha)]$. We also assume that $\forall x [x \in \aleph \cap S(\omega_0) \rightarrow \aleph \neq L(x)]$, for otherwise the theorem could be proved using the method of [2] by choosing a generic $a \subseteq \omega_0$ (with respect to the perfect forcing of $\aleph = L(x)$) such that $\forall n [n \in x \equiv 2n \in a]$. In this case we can obviously assume that

$$\forall \alpha [\alpha \in \omega_1^{\aleph} \rightarrow x_\alpha \notin L(\{\langle \beta, x_\beta \rangle \mid \beta \in \alpha\})].$$

Throughout §§ 1-5 it is supposed that $\aleph = L(X)$ satisfies the above mentioned conditions.

§ 1. Basic Notation

1.1. Let for $\lambda \in \omega_1^{\aleph}$ $\aleph_\lambda = \aleph(\{\langle \alpha, x_\alpha \rangle \mid \alpha \in \lambda\})$, and let $\leq(\lambda)$ be a canonical total order on \aleph_λ . The collection $\{\leq(\lambda) \mid \lambda \in \omega_1^{\aleph}\}$ can be chosen in such a way that $\lambda \leq \mu \rightarrow \leq(\lambda)$ agrees on \aleph_λ with the induced $\leq(\mu)$. Let $\theta_\lambda = \exp^{\aleph_\lambda}(\omega_0)$. We assume that $\leq(\lambda)$ orders $\aleph_\lambda \cap S(\omega_0)$ into the type θ_λ . For $x \in \aleph_\lambda$, we denote by $N_\lambda(x)$ the index of x in the sense $\leq(\lambda)$ and for $x \in \aleph_{\omega_1}$ $\lambda(x) = \inf\{\lambda \mid x \in \aleph_\lambda\}$.

1.2. Let F_X be some effective coding of closed subsets $S(\omega_0)$ by real numbers so that ϕ is the code of ϕ and ω_0 is the code of $S(\omega_0)$. We will write $x \leq_{F_Y} y \equiv F_y \subseteq F_x$, $x \leq_{F_B Y} y \equiv F_y \subseteq F_x \& F_y$ is nowhere dense in F_x ; $x \wedge y$ is the code of $F_x \cap F_y$; $x \vee y$ is the code of $F_x \vee F_y$; $l(x)$ is the length of the smallest segment in $S(\omega_0)$ which completely contains F_x .

If $f: K \rightarrow S(\omega_0)$, then $\bigwedge_{i \in K} f(i)$ will denote the code of $\bigcap_{i \in K} F_{f(i)}$ and $\bigvee_{i \in K} f(i)$ will denote the code of $\bigcup_{i \in K} F_{f(i)}$ (provided the set is closed).

1.3. Let $Z \subseteq S(\omega_0) \cap \aleph$. Z will be called λ -weakly homogeneous if $\forall x \forall \mu \exists y [x \in Z \& \mu \in \lambda \rightarrow \lambda(y) \geq \mu \& y \geq_{F_B x} x \& y \in Z \& F_x$ is perfect.

Let $Y \subseteq S(\omega_0) \cap \aleph_\lambda$ be λ -weakly homogeneous. The collection $S = \{\langle i, m, S_m^i \rangle \mid m \in \omega_0 \& i \in 2\}$ is called λY -collection if

- (i) $\forall m \forall i [S_m^i \subseteq Y]$;
- (ii) $\forall m \forall i \forall x \forall y [x \in S_m^i \& y \in Y \& y \geq_{F_x} x \rightarrow y \in S_m^i]$;
- (iii) $\forall m \forall x \forall i \forall y [x \in S_m^i \& y \in S_m^i \rightarrow x \vee y \in S_m^i]$;
- (iv) $\forall m \forall x \exists i \exists y [x \in Y \rightarrow y \geq_{F_B x} x \& y \in S_m^i]$;
- (v) $\forall m [S_m^0 \cap S_m^1 = \emptyset]$;
- (vi) $\forall x \forall y \exists m \exists u \exists v [x \in Y \& y \in Y \rightarrow u \geq_{F_B x} x \& v \geq_{F_B y} y \& u \in S_m^0 \& v \in S_m^1]$.

§ 2. The Successor Case

2.1. Let $Y \subseteq S(\omega_0) \cap \aleph_{\lambda+1}$ be $(\lambda+1)$ -weakly homogeneous, $S \in \aleph_{\lambda+1}$ be a $(\lambda+1)Z$ -collection, and $z \in Y$. We define on $S(\omega_0)$ a function $H_{\lambda+1, S, Z}(x) = y$ as follows:

- (i) if $x \notin F_Z$, we consider y undefined, otherwise we put $z = z_0$;
- (ii) we put $\langle \bar{i}, \bar{u} \rangle = \min_{\leq(\lambda+1)} \{\langle t, u \rangle \mid t \wedge u = \phi \& t \vee u \geq_{F_B z_0} z_0 \& l(u) + l(t) \leq (1/2)l(z_0) \& \exists m [t \in S_m^0 \& u \in S_m^1]\}$,

$$\langle \bar{i}, \bar{u} \rangle = \min_{\leq(\lambda+1)} \{\langle t, u \rangle \mid t \wedge u = \phi \& t \vee u \geq_{F_B z_0} z_0 \& l(u) + l(t) \leq (1/2)l(z_0) \& \exists m [t \in S_m^0 \& u \in S_m^1] \& x \in F_u \cup F_t\};$$

(iii) if $\langle \bar{t}, \bar{u} \rangle$ or $\langle \bar{t}, \bar{u} \rangle$ is undefined, we consider y undefined. Otherwise, if $\langle \bar{t}, \bar{u} \rangle = \langle \bar{t}, \bar{u} \rangle$ it is assumed that $0 \in y$; but if $\langle \bar{t}, \bar{u} \rangle \neq \langle \bar{t}, \bar{u} \rangle$, then $0 \notin y$. We put $z_1 = \bar{u}$ or $z_1 = \bar{t}$ depending on whether $x \in F_{\bar{u}}$ or $x \in F_{\bar{t}}$;

(iv) is the same as (ii) but for the substitution of z_0 by z_1 , and we recognize $1 \in y$, etc.

LEMMA 2.2. Let λ, Z, Y , and S be as in 2.1. Then $\mathfrak{M}_{\lambda+2} \models \exists x \forall y [x \subseteq \omega_0 \ \& \ F_x \text{ is perfect} \ \& \ [y \in F_x \rightarrow \rightarrow H_{\lambda+1, S, z}(y) = x_{\lambda+1}]]$.

The proof is accomplished in $\mathfrak{M}_{\lambda+2}$. Let $E = 2^{(\omega_0)}$, and for $t \in E$ let $h(t) = D(t)$ be the domain of definition of t ; $h(t) \in \omega_0$. Let $\phi \in E$,

$$h(\phi) = 0; \quad \langle 0 \rangle \in E, \quad \langle 1 \rangle \in E, \quad h(\langle 0 \rangle) = h(\langle 1 \rangle) = 1.$$

For $u, t \in E$, we let $ut \in E$ be such that

$$h(ut) = h(u) + h(t); \quad k < h(u) \rightarrow ut(k) = u(k);$$

$$k < h(t) \rightarrow ut(h(u) + k) = t(k).$$

We define $u \leq t$ if $\exists v [v \in E \ \& \ uv = t]$.

Let $f: E \rightarrow Y$ be a function such that

$$(i) \quad s \leq t \rightarrow f(s) \leq_{FBf} f(t), \quad l(f(s)) \leq 1/2^{h(s)}, \quad f(\phi) = z;$$

$$(ii) \quad f(s \langle 0 \rangle) \wedge f(s \langle 1 \rangle) = \phi;$$

(iii) if $h(s) \in x_{\lambda+1}$, then $\langle f(s \langle 0 \rangle), f(s \langle 1 \rangle) \rangle = \min_{\leq (\lambda+1)} \{ \langle t, u \rangle \mid F_t \text{ and } F_u \text{ are perfect} \ \& \ (t \vee u) \geq_{FBf} (s) \ \& \ \exists m [t \in S_m^0 \ \& \ u \in S_m^1 \ \& \ l(u) + l(t) \leq (1/2)l(f(s))] \} = \langle \bar{t}, \bar{u} \rangle$;

(iv) if $h(s) \notin x_{\lambda+1}$, then $\langle f(s \langle 0 \rangle), f(s \langle 1 \rangle) \rangle = \min_{\leq (\lambda+1)} \{ \langle t, u \rangle \mid t \vee u \geq_{FBf} (s) \ \& \ \exists m [t \in S_m^0 \ \& \ u \in S_m^1] \ \& \ F_t \text{ and } F_u \text{ are perfect} \ \& \ (t \vee u) \wedge (\bar{t} \vee \bar{u}) = \phi \ \& \ l(u) + l(t) \leq (1/2)l(f(s)) \}$.

We consider $x = \bigwedge_{n \in \omega_0} \bigvee_{h(s)=n} f(s)$. It is easy to see that F_x is perfect (the proof is analogous to [3]) and

the equality $H_{\lambda+1, S, z}(y) = x_{\lambda+1}$ for every $y \in F_x$ follows from the definitions of F_x and the function H .

A function f of such a kind can be easily constructed by taking into account the weak homogeneity of Y and the properties of S .

The lemma is proved.

We note that because of the properties of $X = \{ \langle \alpha, x_\alpha \rangle \mid \alpha \in \omega_1^{\mathfrak{M}} \}$ the constructed x may not be in $\mathfrak{M}_{\lambda+1}$, for if we took in $\mathfrak{M}_{\lambda+1}$ a $y \in F_x$, then we could construct $x_{\lambda+1} = H_{\lambda+1, S, z}(y)$ in $\mathfrak{M}_{\lambda+1}$, and that is not possible since $x_{\lambda+1} \notin \mathfrak{M}_{\lambda+1}$.

The smallest x , in the sense $\leq (\lambda+2)$, constructed as in 2.2, will be denoted by $x = W(\lambda+1, S, z)$.

§ 3. The Limit Case

3.1. Let λ be a limit, $Y \subseteq S(\omega_0) \cap \mathfrak{M}_\lambda$ be λ -weakly homogeneous, $S \in \mathfrak{M}_\lambda$ be a λY -collection, and $z \in Y$.

We define $H_{\lambda, S, z}(x)$ analogously to 2.1 (except that $\min_{\leq (\lambda+1)}$ changes to $\min_{\leq (\lambda)}$).

LEMMA 3.2. Let $\lambda \in \omega_1^{\mathfrak{M}}$ be a limit, and Z, Y , and S be as in 3.1. Then $\mathfrak{M}_{\lambda+1} \models \exists x \forall y \forall \mu [x \subseteq \omega_0 \ \& \ F_x \text{ is perfect} \ \& \ [y \in F_x \rightarrow H_{\lambda, S, z}(y) = x_\lambda] \ \& \ [\mu < \lambda \rightarrow \exists x' [x' \in \mathfrak{M}_\lambda \ \& \ \lambda(x') \geq \mu \ \& \ x \geq_{FBx'}]]]$.

Proof (in $\mathfrak{M}_{\lambda+1}$). For the proof it is enough to construct a function $f: E \rightarrow Y$ satisfying 2.2, (i) to (iv) (changing $\min_{\leq (\lambda+1)}$ to $\min_{\leq (\lambda)}$), and adding one more condition as follows:

(v) There is an increasing function $\mu: \omega_0 \rightarrow \lambda$ such that $\sup_{n \in \omega_0} \mu(n) = \lambda$ and $\forall s [s \in E \rightarrow \lambda(f(s)) \geq \mu(h(s))]$. The condition (v) is needed to secure the additional conditions on x .

We finish the proof as in 2.2.

Let $x = W(\lambda, S, z)$ be the smallest $x \in \mathfrak{M}_{\lambda+1}$ in the sense $\leq(\lambda+1)$ which can be constructed as in Lemma 3.2.

Again we note $x \notin \mathfrak{M}_{\lambda+1}$.

3.3. We assume that if $S_1 \neq S_2, z_1 \neq z_2$, then $F_{W(\lambda, S_1, z_1)} \cap F_{W(\lambda, S_2, z_2)} = \emptyset$ (for an arbitrary $\lambda \in \omega_1$).

§ 4. Proof of Theorem B

In \mathfrak{M} we construct a collection of sets $\{Z_\alpha \mid \alpha \in \omega_1^{\mathfrak{M}}\}$, satisfying the following conditions:

(i) $Z_\alpha \subseteq S(\omega_0), Z_\alpha \in \mathfrak{M}_\alpha$ α -weakly homogeneous;

(ii) $Z_\alpha \subseteq Z_{\alpha+1}, Z_{\alpha+1} - Z_\alpha \neq \emptyset$;

(iii) $\alpha < \beta$ & $x \in Z_\beta$ & $\lambda(x) = \beta \rightarrow \exists y [y \in Z_\alpha \text{ \& } x \geq_{FBY} y \text{ \& } \lambda(y) = \alpha]$;

(iv) if Z_λ is defined, we put $Z_\lambda = \{W(\lambda, S, z) \mid \exists Y [Y \subseteq Z_\lambda^*, \lambda\text{-weakly homogeneous, \& } Y \in \mathfrak{M}_\lambda \text{ \& } S \text{ is } \lambda Y\text{-collection \& } z \in Y^*], \text{ and } Z_{\lambda+1} = Z_\lambda \cup \{y \mid F_y \text{ is perfect \& } \exists x [x \in Z_\lambda \text{ \& } y \geq_{FBX} x] \text{ \& } y \in \mathfrak{M}_{\lambda+1}\}$, where $Z_\lambda^* = Z_\lambda$ if λ is a limit and $Z_\lambda^* = Z_\lambda - Z_\beta$ for $\lambda = \beta + 1$.

(v) $\alpha < \beta < \omega_1^{\mathfrak{M}}$ & $x \in Z_\alpha \rightarrow \exists y [y \in Z_\beta \text{ \& } \lambda(y) = \beta \text{ \& } y \geq_{FBX} x]$;

(vi) for limit λ 's, $Z_\lambda = \bigcup_{\alpha \in \lambda} Z_\alpha$;

(vii) $Z_0 = \mathfrak{M}_0 \cap S(\omega_0) = L \cap S(\omega_0)$.

It is easy to see that the points (vii), (vi), and (iv) define the construction of Z_α while all the other points will be preserved (this follows from Lemmas 2.2, 3.2, and the definition of $W(\lambda, S, z)$).

It is also obvious that $\{\langle Z_\alpha, \alpha \rangle \mid \alpha \in \lambda\} \in \mathfrak{M}_\lambda$. We put $P = \bigcup_{\alpha \in \omega_1} Z_\alpha$.

§ 5. Properties of the Forcing Conditions

5.1. Let $G \subseteq P$ be a \mathfrak{M} -generic filter on P . Obviously G defines a unique real number $a = a_G = \bigcap_{x \in G} F_x$ and is determined by it: $G = G_a = \{x \mid x \in P \text{ \& } a \in F_x\}$. Let $G \subseteq P$ be an \mathfrak{M} -generic filter on P .

LEMMA 5.2.

$$\{\langle \alpha, x_\alpha \rangle \mid \alpha \in \omega_1^{\mathfrak{M}}\} \in L(a_G).$$

Proof. We show that $x_0 \in L(a_G)$. Indeed $Z_0 \in L$ and $a_G \in F_x$ for some $x \in \bar{Z}_0$ [this follows from 4.1 (iii), (iv), (v), and (vii)]. It means that $x_0 = H_0 S_Z(a_G)$ for some $S, z \in \mathfrak{M}_0$, i.e., $S, z \in L$. Therefore, $H_0 S_Z$ is defined in L and $x_0 \in L(a_G)$.

Let us assume that

$$\{\langle \alpha, x_\alpha \rangle \mid \alpha \in \lambda\} \in L(a_G).$$

Then we can similarly construct $x_\lambda = H_\lambda S_Z(a_G)$, and we have $x_\lambda \in L(a_G)$.

It is clear that all the x_α 's can be effectively reconstructed from a_G and L (we know that the Z_α 's were constructed effectively). The lemma is proved.

LEMMA 5.3. For some \mathfrak{M} -generic $G \subseteq P$, a_G is minimal over \mathfrak{M} .

Proof. Let (in \mathfrak{M} , $c \in V^{(P)}$) and $p \in P$, where

$$d \Vdash \langle c \in \check{\omega}_0 \text{ \& } c \notin \check{\mathfrak{M}} \text{ \& } a_G \notin \check{\mathfrak{M}}(c) \rangle.$$

Clearly, we can assume that $p = \omega_0$ (for $S(\omega_0)$). We define

$$S_m^0 = \{p \mid p \in P \text{ \& } p \Vdash \langle \check{m} \notin c \rangle\}$$

and

$$S_m^1 = \{p \mid p \in P \text{ \& } p \Vdash \langle \check{m} \in c \rangle\}.$$

It is easy to see that $S = \{\langle i, m, S_m^i \rangle \mid m \in \omega_0 \ \& \ i \in 2\}$ satisfies 1.3 (i) to (vi) by changing Y to P.

Because of the condition on \mathfrak{M} , we have $S \in \mathfrak{M}_{\omega_0} = \mathfrak{M}$.

Therefore, we can construct by the Skolem-Löwenheim method a limit $\lambda \in \omega_1^{\mathfrak{M}}$ and $Y \subseteq Z_\lambda$ such that $Y \in \mathfrak{M}_\lambda$, and Y is λ -weakly homogeneous; $S_m^i(\lambda) = \{p \mid p \in S_m^i \cap \mathfrak{M}_\lambda\} \in \mathfrak{M}_\lambda$; $S(\lambda) = \{\langle i, m, S_m^i(\lambda) \rangle \mid m \in \omega_0 \ \& \ i \in 2\}$ is a λY -collection. We consider $x = W(\lambda, S(\lambda), \omega_0) \in \mathfrak{M}_{\lambda+1} \cap P$. As in [3] or [2] it is not difficult to prove that $x \Vdash \langle a_G \in L(c, \tilde{x}, S(\lambda)) \rangle$, " i.e., $x \Vdash \langle a_G \in \mathfrak{M}(c) \rangle$ ", which contradicts our assumption. The lemma is proved.

From Lemmas 5.2 and 5.3 Theorem B follows immediately.

Theorem B and similar theorems are given in [4].

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