A DEFINABLE NONSTANDARD MODEL OF THE REALS

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Abstract. We prove, in ZFC, the existence of a definable, countably saturated elementary extension of the reals.

§1. Introduction. It seems that it has been taken for granted that there is no distinguished, definable nonstandard model of the reals. (This means a countably saturated elementary extension of the reals.) Of course if V = L then there is such an extension (just take the first one in the sense of the canonical well-ordering of L), but we mean the existence provably in **ZFC**. There were good reasons for this: without Choice we cannot prove the existence of *any* elementary extension of the reals containing an infinitely large integer.^{1, 2} Still there is one.

THEOREM 1.1 (**ZFC**). There exists a definable, countably saturated extension $*\mathbb{R}$ of the reals \mathbb{R} , elementary in the sense of the language containing a symbol for every finitary relation on \mathbb{R} .

The problem of the existence of a definable proper elementary extension of \mathbb{R} was communicated to one of the authors (Kanovei) by V.A. Uspensky.

A somewhat different, but related problem of *unique existence* of a nonstandard real line * \mathbb{R} has been widely discussed by specialists in nonstandard analysis.³ Keisler notes in [3, §11] that, for any cardinal κ , either inaccesible or satisfying $2^{\kappa} = \kappa^+$, there exists a unique, up to isomorphism, κ -saturated nonstandard real line * \mathbb{R} of cardinality κ , which means that a reasonable level of uniqueness modulo isomorphism can be achieved, say, under GCH. Theorem 1.1 provides a countably saturated nonstandard real line * \mathbb{R} , unique in absolute sense by virtue of a concrete definable construction in **ZFC**. A certain modification of this example also admits a reasonable model-theoretic characterization up to isomorphism (see Section 5).

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¹In fact, from any nonstandard integer we can define a non-principal ultrafilter on \mathbb{N} , even a Lebesgue non-measurable set of reals [4], yet it is consistent with **ZF** (even plus Dependent Choices) that there are no such ultrafilters as well as non-measurable subsets of \mathbb{R} [5].

²It is worth mentioning that definable nonstandard elementary extensions of \mathbb{N} do exist in **ZF**. For instance, such a model can be obtained in the form of the ultrapower F/U, where F is the set of all arithmetically definable functions $f: \mathbb{N} \to \mathbb{N}$ while U is a non-principal ultrafilter in the algebra A of all arithmetically definable sets $X \subseteq \mathbb{N}$.

³"What is needed is an underlying set theory which proves the unique existence of the hyperreal number system [\dots]" (Keisler [3, p. 229]).

The proof of Theorem 1.1 is a combination of several known arguments. First of all (and this is the key idea), arrange all non-principal ultrafilters over \mathbb{N} in a linear order A, where each ultrafilter appears repetitiously as D_a , $a \in A$. Although A is not a well-ordering, we can apply the iterated ultrapower construction in the sense of [1, 6.5] (which is "a finite support iteration" in the forcing nomenclature), to obtain an ultrafilter D in the algebra of all sets $X \subseteq \mathbb{N}^A$ concentrated on a finite number of axes \mathbb{N} . To define a D-ultrapower of \mathbb{R} , the set F of all functions $f: \mathbb{N}^A \to \mathbb{R}$, also concentrated on a finite number of axes \mathbb{N} , is considered. The ultrapower F/D is OD, that is, ordinal-definable, actually, definable by an explicit construction in **ZFC**, hence, we obtain an OD proper elementary extension of \mathbb{R} . Iterating the D-ultrapower construction ω_1 times in a more ordinary manner, i. e., with direct limits at limit steps, we obtain a definable countably saturated extension.

To make the exposition self-contained and available for a reader with only fragmentary knowledge of ultrapowers, we reproduce several well-known arguments instead of giving references to manuals.

§2. The ultrafilter. As usual, c is the cardinality of the continuum.

Ultrafilters on \mathbb{N} hardly admit any definable linear ordering, but maps $a: \mathfrak{c} \to \mathscr{P}(\mathbb{N})$, whose ranges are ultrafilters, readily do. Let A consist of all maps $a: \mathfrak{c} \to \mathscr{P}(\mathbb{N})$ such that the set $D_a = \operatorname{ran} a = \{a(\xi) : \xi < \mathfrak{c}\}$ is an ultrafilter on \mathbb{N} . The set A is ordered lexicographically: $a <_{\operatorname{lex}} b$ means that there exists $\xi < \mathfrak{c}$ such that $a \upharpoonright \xi = b \upharpoonright \xi$ and $a(\xi) < b(\xi)$ in the sense of the lexicographical linear order < on $\mathscr{P}(\mathbb{N})$ (in the sense of the identification of any $u \subseteq \mathbb{N}$ with its characteristic function).

For any set u, \mathbb{N}^u denotes the set of all maps $f: u \to \mathbb{N}$.

Suppose that $u \subseteq v \subseteq A$.

If $X \subseteq \mathbb{N}^v$ then put $X \downarrow u = \{x \upharpoonright u : x \in X\}$.

If $Y \subseteq \mathbb{N}^u$ then put $Y \uparrow v = \{x \in \mathbb{N}^v : x \restriction u \in Y\}$.

We say that a set $X \subseteq \mathbb{N}^A$ is concentrated on $u \subseteq A$, if $X = (X \downarrow u) \uparrow A$; in other words, this means the following:

$$\forall x, y \in \mathbb{N}^A \left(x \upharpoonright u = y \upharpoonright u \Longrightarrow (x \in X \Longleftrightarrow y \in X) \right). \tag{*}$$

We say that X is a set of finite support, if it is concentrated on a finite set $u \subseteq A$. The collection \mathscr{X} of all sets $X \subseteq \mathbb{N}^A$ of finite support is closed under unions, intersections, complements, and differences, i.e., it is an algebra of subsets of \mathbb{N}^A . Note that if (*) holds for finite sets $u, v \subseteq A$ then it also holds for $u \cap v$. (If $x \upharpoonright (u \cap v) = y \upharpoonright (u \cap v)$ then consider $z \in \mathbb{N}^A$ such that $z \upharpoonright u = x \upharpoonright u$ and $z \upharpoonright v = y \upharpoonright v$.) It follows that for any $X \in \mathscr{X}$ there is a least finite $u = ||X|| \subseteq A$ satisfying (*).

In the remainder, if U is any subset of $\mathscr{P}(I)$, where I is a given set, then $Ui\Phi(i)$ (generalized quantifier) means that the set $\{i \in I : \Phi(i)\}$ belongs to U.

The following definition realizes the idea of a finite iteration of ultrafilters. Suppose that $u = a_1 < \cdots < a_n \subseteq A$ is a finite set. We put

$$D_u = \{X \subseteq \mathbb{N}^u : D_{a_n} k_n \dots D_{a_2} k_2 D_{a_1} k_1 (\langle k_1, k_2, \dots, k_n \rangle \in X)\}; \\ D = \{X \in \mathscr{X} : X \downarrow ||X|| \in D_{||X||}\}.$$

The following is quite clear.

PROPOSITION 2.1. (i) D_u is an ultrafilter on \mathbb{N}^u ; (ii) if $u \subseteq v \subseteq A$, v finite, $X \subseteq \mathbb{N}^u$, then $X \in D_u$ iff $X \uparrow v \in D_v$; (iii) $D \subseteq \mathscr{X}$ is an ultrafilter in the algebra \mathscr{X} ; (iv) if $X \in \mathscr{X}$, $u \subseteq A$ finite, and $||X|| \subseteq u$, then $X \in D \iff X \downarrow u \in D_u$.

§3. The ultrapower. To match the nature of the algebra \mathscr{X} of sets $X \subseteq \mathbb{N}^A$ of finite support, we consider the family F of all $f : \mathbb{N}^A \to \mathbb{R}$, concentrated on some finite set $u \subseteq A$, in the sense that

$$\forall x, y \in \mathbb{N}^A \left(x \upharpoonright u = y \upharpoonright u \Longrightarrow f(x) = f(y) \right). \tag{\dagger}$$

As above, for any $f \in F$ there exists a least finite $u = ||f|| \subseteq A$ satisfying (†).

Let \mathscr{R} be the set of all finitary relations on \mathbb{R} . For any *n*-ary relation $E \in \mathscr{R}$ and any $f_1, \ldots, f_n \in F$, define

$$E^D(f_1,\ldots,f_n) \iff D x \in \mathbb{N}^A E(f_1(x),\ldots,f_n(x)).$$

The set $X = \{x \in \mathbb{N}^A : E(f_1(x), \dots, f_n(x))\}$ is obviously concentrated on $u = ||f_1|| \cup \dots \cup ||f_n||$, hence, it belongs to \mathscr{X} , and $||X|| \subseteq u = ||f_1|| \cup \dots \cup ||f_n||$. In particular, $f = {}^D g$ means that $D x \in \mathbb{N}^A$ (f(x) = g(x)). The following is clear:

PROPOSITION 3.1. $=^{D}$ is an equivalence relation on F, and any relation on F of the form E^{D} is $=^{D}$ -invariant.

Put $[f]_D = \{g \in F : f = D^{D} g\}$, and $*\mathbb{R} = F/D = \{[f]_D : f \in F\}$. For any *n*-ary $(n \ge 1)$ relation $E \in \mathcal{R}$, let *E be the relation on $*\mathbb{R}$ defined as follows:

* $E([f_1]_D,\ldots,[f_n]_D)$ iff $E^D(f_1,\ldots,f_n)$ iff $D \ x \in \mathbb{N}^A \ E(f_1(x),\ldots,f_n(x)).$

The independence on the choice of representatives in the classes $[f_i]_D$ follows from Proposition 3.1. Put ${}^*\!\mathcal{R} = \{{}^*\!E : E \in \mathcal{R}\}$. Finally, for any $r \in \mathbb{R}$ we put ${}^*\!r = [c_r]_D$, where $c_r \in F$ satisfies $c_r(x) = r, \forall x$.

Let \mathscr{L} be the first-order language containing a symbol E for any relation $E \in \mathscr{R}$. Then $\langle \mathbb{R}; \mathscr{R} \rangle$ and $\langle *\mathbb{R}; *\mathscr{R} \rangle$ are \mathscr{L} -structures.

THEOREM 3.2. The map $r \mapsto *r$ is an elementary embedding (in the sense of the language \mathscr{L}) of the structure $\langle \mathbb{R}; \mathscr{R} \rangle$ into $\langle *\mathbb{R}; *\mathscr{R} \rangle$.

PROOF. This is a routine modification of the ordinary argument. By $\mathscr{L}[F]$ we denote the extension of \mathscr{L} by functions $f \in F$ used as parameters. It does not have a direct semantics, but if φ is a formula of $\mathscr{L}[F]$ and $x \in \mathbb{N}^{4}$ then $\varphi[x]$ will denote the formula obtained by the substitution of f(x) for any $f \in F$ which occurs in φ . Thus, $\varphi[x]$ is an \mathscr{L} -formula with parameters in \mathbb{R} .

LEMMA 3.3 (Łoš). For any closed $\mathscr{L}[F]$ -formula $\varphi(f_1, \ldots, f_n)$ (all parameters $f_i \in F$ indicated), we have:

$$\langle {}^{*}\mathbb{R}; {}^{*}\mathcal{R} \rangle \models \varphi([f_{1}]_{D}, \dots, [f_{n}]_{D}) \iff D x (\langle \mathbb{R}; \mathcal{R} \rangle \models \varphi(f_{1}, \dots, f_{n})[x]).$$

PROOF. We argue by induction on the logic complexity of φ . For φ an atomic relation $E(f_1, \ldots, f_n)$, the result follows by the definition of *E. The only notable induction step is \exists in the direction \Leftarrow . Suppose that φ is $\exists y \ \psi(y, f_1, \ldots, f_n)$, and

$$D \ x \ (\langle \mathbb{R}; \mathscr{R} \rangle \models \varphi(f_1, \ldots, f_n)[x]),$$

that is,

$$D x (\langle \mathbb{R}; \mathscr{R} \rangle \models \exists y \ \psi(y, f_1, \dots, f_n)[x]))$$

Obviously there exists a function $f \in F$, concentrated on $u = ||f_1|| \cup \cdots \cup ||f_n||$, such that, for any $x \in \mathbb{N}^A$, if there exists a real y satisfying $\langle \mathbb{R}; \mathcal{R} \rangle \models \psi(y, f_1, \ldots, f_n)[x]$, then y = f(x) also satisfies this formula, i.e., $\langle \mathbb{R}; \mathcal{R} \rangle \models \psi(f, f_1, \ldots, f_n)[x]$. Formally,

$$\forall x \in \mathbb{N}^4 \left(\exists y \in \mathbb{R} \left(\langle \mathbb{R}; \mathscr{R} \rangle \models \psi(y, f_1, \dots, f_n)[x] \right) \implies \langle \mathbb{R}; \mathscr{R} \rangle \models \psi(f, f_1, \dots, f_n)[x] \right).$$

This implies $D \times (\langle \mathbb{R}; \mathscr{R} \rangle \models \psi(f, f_1, \dots, f_n)[x])$. Then, by the inductive assumption, $\langle *\mathbb{R}; *\mathscr{R} \rangle \models \psi([f]_D, [f_1]_D, \dots, [f_n]_D)$, hence $\langle *\mathbb{R}; *\mathscr{R} \rangle \models \varphi([f_1]_D, \dots, [f_n]_D)$, as required.

To accomplish the proof of Theorem 3.2, consider a closed \mathcal{L} -formula $\varphi(r_1, \ldots, r_n)$ with parameters $r_1, \ldots, r_n \in \mathbb{R}$. We have to prove the equivalence

$$\langle \mathbb{R}; \mathscr{R} \rangle \models \varphi(r_1, \ldots, r_n) \iff \langle \mathbb{R}; \mathbb{R} \rangle \models \varphi(\mathbb{R}; \mathbb{R}).$$

Let $f_i = c_{r_i}$, thus, $f_i \in F$ and $f_i(x) = r_i$, $\forall x$. Obviously $\varphi(f_1, \ldots, f_n)[x]$ coincides with $\varphi(r_1, \ldots, r_n)$ for any $x \in \mathbb{N}^A$, hence $\varphi(r_1, \ldots, r_n)$ is equivalent to $D \times \varphi(f_1, \ldots, f_n)[x]$. On the other hand, by definition, $*r_i = [f_i]_D$. Now the result follows by Lemma 3.3.

§4. The iteration. Theorem 3.2 yields a definable proper elementary extension $\langle \mathbb{R}; \mathbb{R} \rangle$ of the structure $\langle \mathbb{R}; \mathbb{R} \rangle$. Yet this extension is not countably saturated due to the fact that the ultrapower \mathbb{R} was defined with maps concentrated on finite sets $u \subseteq A$ only. To fix this problem, we iterate the extension used above ω_1 -many times.

Suppose that $\langle M; \mathscr{M} \rangle$ is an \mathscr{L} -structure, so that \mathscr{M} consists of finitary relations on a set M, and for any $E \in \mathscr{R}$ there is a relation $E^{\mathscr{M}} \in \mathscr{M}$ of the same arity, associated with E. Let F_M be the set of all maps $f: \mathbb{N}^A \to M$ concentrated on finite sets $u \subseteq A$. The structure $F_M/D = \langle {}^*M; \mathscr{M} \rangle$, defined as in Section 3, but with the modified F, will be called *the D-ultrapower* of $\langle M; \mathscr{M} \rangle$. Theorem 3.2 remains true in this general setting: the map $x \mapsto {}^*x \ (x \in M)$ is an elementary embedding of $\langle M; \mathscr{M} \rangle$ in $\langle {}^*M; \mathscr{M} \rangle$.

We define a sequence of \mathscr{L} -structures $\langle M_{\alpha}; \mathscr{M}_{\alpha} \rangle$, $\alpha \leq \omega_{1}$, together with a system of elementary embeddings $e_{\alpha\beta} : \langle M_{\alpha}; \mathscr{M}_{\alpha} \rangle \rightarrow \langle M_{\beta}; \mathscr{M}_{\beta} \rangle$, $\alpha < \beta \leq \omega_{1}$, so that

- (i) $\langle M_0; \mathcal{M}_0 \rangle = \langle \mathbb{R}; \mathcal{R} \rangle;$
- (ii) $\langle M_{\alpha+1}; \mathcal{M}_{\alpha+1} \rangle$ is the *D*-ultrapower of $\langle M_{\alpha}; \mathcal{M}_{\alpha} \rangle$, that is, $\langle M_{\alpha+1}; \mathcal{M}_{\alpha+1} \rangle = F_{\alpha}/D$, where $F_{\alpha} = F_{M_{\alpha}}$ consists of all functions $f : \mathbb{N}^{A} \to M_{\alpha}$ concentrated on finite sets $u \subseteq A$. In addition, $e_{\alpha,\alpha+1}$ is the associated *-embedding $\langle M_{\alpha}; \mathcal{M}_{\alpha} \rangle \to \langle M_{\alpha+1}; \mathcal{M}_{\alpha+1} \rangle$, while $e_{\gamma,\alpha+1} = e_{\alpha,\alpha+1} \circ e_{\gamma\alpha}$ for any $\gamma < \alpha$ (in other words, $e_{\gamma,\alpha+1}(x) = e_{\alpha,\alpha+1}(e_{\gamma\alpha}(x))$ for all $x \in M_{\alpha}$);
- (iii) if $\lambda \leq \omega_1$ is a limit ordinal then $\langle M_{\lambda}; \mathcal{M}_{\lambda} \rangle$ is the direct limit of the structures $\langle M_{\alpha}; \mathcal{M}_{\alpha} \rangle$, $\alpha < \lambda$. This can be achieved by the following steps:

- (a) M_{λ} is defined as the set of all pairs $\langle \alpha, x \rangle$ such that $x \in M_{\alpha}$ and $x \notin \operatorname{ran} e_{\gamma \alpha}$ for all $\gamma < \alpha$.
- (b) If E ∈ R is an n-ary relation symbol then we define an n-ary relation E_λ on M_λ as follows. Suppose that x_i = ⟨α_i, x_i⟩ ∈ M_λ for i = 1,...,n. Let α = sup {α₁,..., α_n} and z_i = e_{α_i,α}(x_i) for every i, so that α_i ≤ α < λ and z_i ∈ M_α. (Note that if α_i = α then e_{α_i,α} is the identity.) Define E_λ(x₁,..., x_n) iff ⟨M_α; M_α⟩ ⊨ E(z₁,..., z_n).
- (c) Put $\mathcal{M}_{\lambda} = \{E_{\lambda} : E \in \mathcal{R}\}$ then $\langle M_{\lambda}; \mathcal{M}_{\lambda} \rangle$ is an \mathcal{L} -structure.
- (d) Define an embedding e_{αλ} : M_α → M_λ (α < λ) as follows. Consider any x ∈ M_α. If there is a least γ < α such that there exists an element y ∈ M_γ with x = e_{γα}(y) then let e_{αλ}(x) = ⟨γ, y⟩. Otherwise put e_{αλ}(x) = ⟨α, x⟩.

A routine verification of the following is left to the reader.

PROPOSITION 4.1. If $\alpha < \beta \leq \omega_1$ then $e_{\alpha\beta}$ is an elementary embedding of $\langle M_{\alpha}; \mathcal{M}_{\alpha} \rangle$ to $\langle M_{\beta}; \mathcal{M}_{\beta} \rangle$.

Note that the construction of the sequence of models $\langle M_{\alpha}; \mathcal{M}_{\alpha} \rangle$ is definable, hence, so is the last member $\langle M_{\omega_1}; \mathcal{M}_{\omega_1} \rangle$ of the sequence. It remains to prove that the \mathscr{L} -structure $\langle M_{\omega_1}; \mathcal{M}_{\omega_1} \rangle$ is countably saturated.

This is also a simple argument. Suppose that, for any k, $\varphi_k(p_k, x)$ is an \mathscr{L} -formula with a single parameter $p_k \in M_{\omega_1}$ (the case of many parameters does not essentially differ from the case of one parameter), and there exists an element $x_k \in M_{\omega_1}$ such that $\bigwedge_{i \leq k} \varphi_i(p_i, x_k)$ is true in $\langle M_{\omega_1}; \mathscr{M}_{\omega_1} \rangle$ — in other words, we have $\langle M_{\omega_1}; \mathscr{M}_{\omega_1} \rangle \models \varphi_i(p_i, x_k)$ whenever $k \geq i$. Fix an ordinal $\gamma < \omega_1$ such that for any k, i there exist (then obviously unique) y_k , $q_i \in M_{\gamma}$ with $x_k = e_{\gamma\omega_1}(y_k)$ and $p_i = e_{\gamma\omega_1}(q_i)$. Then $\varphi_i(q_i, y_k)$ is true in $\langle M_{\gamma}; \mathscr{M}_{\gamma} \rangle$ whenever $k \geq i$.

Fix $a \in A$ such that D_a is a non-principal ultrafilter, that is, all cofinite subsets of \mathbb{N} belong to D_a . Consider the structure $\langle M_{\gamma+1}; \mathcal{M}_{\gamma+1} \rangle$ as the *D*-ultrapower of $\langle M_{\gamma}; \mathcal{M}_{\gamma} \rangle$. The corresponding set F_{γ} consists of all functions $f : \mathbb{N}^A \to M_{\gamma}$ concentrated on finite sets $u \subseteq A$. In particular, the map $f(x) = y_k$ whenewer x(a) = k belongs to F_{γ} . As any set of the form $\{k : k \ge i\}$ belongs to D_a , we have $D_a k (\langle M_{\gamma}; \mathcal{M}_{\gamma} \rangle \models \varphi_i(q_i, y_k))$, that is, $D x \in \mathbb{N}^A (\langle M_{\gamma}; \mathcal{M}_{\gamma} \rangle \models \varphi_i(q_i, f)[x])$, for any $i \in \mathbb{N}$. It follows, by Lemma 3.3, that $\varphi_i(^*q_i, y)$ holds in $\langle M_{\gamma+1}; \mathcal{M}_{\gamma+1} \rangle$ for any i, where $^*q_i = e_{\gamma,\gamma+1}(q_i) \in M_{\gamma+1}$ while $y = [f]_D \in M_{\gamma+1}$ is the *D*-equivalence class of f in F_{γ} . Put $\mathbf{x} = e_{\gamma+1,\omega_1}(\mathbf{y})$; then $\varphi_i(p_i, \mathbf{x})$ is true in $\langle M_{\omega_1}; \mathcal{M}_{\omega_1} \rangle$ for any i because obviously $p_i = e_{\gamma+1,\omega_1}(^*q_i), \forall i$.

§5. Varia. By appropriate modifications of the constructions, the following can be achieved:

- 1. For any given infinite cardinal κ , a κ -saturated elementary extension of \mathbb{R} , definable with κ as the only parameter of definition.
- 2. A special elementary extension of \mathbb{R} , of as large cardinality as desired. For instance, take, in stage α of the construction considered in Section 4, ultrafilters on \beth_{α} . Then the result will be a definable special structure of cardinality \beth_{ω_1} . Recall that special models of equal cardinality are isomorphic [1, Theorem 5.1.17]. Therefore, such a modification admits an explicit model-theoretical characterization up to isomorphism.

- 3. A class-size definable elementary extension of \mathbb{R} , κ -saturated for any cardinal κ .
- 4. A class-size definable elementary extension of the whole set universe, κ -saturated for any cardinal κ . (Note that this cannot be strengthened to Ord-saturation, i.e., saturation with respect to all class-size families. For instance, Ord^{M} -saturated elementary extensions of a minimal transitive model $M \models \mathbf{ZFC}$, definable in M, do not exist see [2, Theorem 2.8].)

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