

Several versions of Friedman's self-embedding theorem

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Friedman's self-embedding theorem

Theorem (Friedman 1973)

*If M is a countable model of PA, there exists a self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$.
($f(M)$ is a proper cut of M .)*

Starting from Friedman's theorem, several different/precise versions of self-embedding theorems are studied.

- Ali Enayat “From Friedman to Tanaka, and beyond”
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Outline

- 1 “From Friedman”: self-embedding for first-order arithmetic
 - Optimal self-embedding theorem for $I\Sigma_n$
 - Some more variations
- 2 “To Tanaka”: self-embedding for second-order arithmetic
 - Self-embedding theorems for subsystems of second-order arithmetic
 - Nonstandard arithmetic

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Fragments of PA (Induction and bounding)

- Σ_n -induction: for $\varphi \in \Sigma_n$,

$$\varphi(0) \wedge \forall n(\varphi(n) \rightarrow \varphi(n+1)) \rightarrow \forall n\varphi(n).$$

- Σ_n -bounding: for $\varphi \in \Sigma_n$,

$$\forall u\exists v[\forall n \leq u\exists m \varphi(n, m) \rightarrow \forall n \leq u\exists m \leq v \varphi(n, m)].$$

$I\Sigma_n$:= “basic axioms” + Σ_n -induction.

$B\Sigma_n$:= “basic axioms” + Σ_n -bounding.

$$PA := \bigcup_{n \in \omega} I\Sigma_n = \bigcup_{n \in \omega} B\Sigma_n.$$

Theorem (Paris, etc.)

$$I\Sigma_0 < B\Sigma_1 < I\Sigma_1 < B\Sigma_2 < I\Sigma_2 < B\Sigma_3 < \cdots < PA.$$

Friedman's self-embedding theorem

Original self-embedding theorem.

Theorem (Friedman 1973)

*If M is a countable model of PA, there exists a self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$.
($f(M)$ is a proper cut of M .)*

We can sharpen this theorem as follows.

Theorem (In Kaye's book (1991))

Let $n \geq 0$.

If M is a countable model of $\mathcal{I}\Sigma_{n+1}$, there exists a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$.

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Original self-embedding theorem.

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Friedman's self-embedding theorem

Question

If a countable model M has a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$, then, is M a model of $I\Sigma_{n+1}$?

No!

We can show that $M \models B\Sigma_{n+1}$, but,

Proposition (folklore)

Let M be a countable recursively saturated model of $I\Sigma_0$. Then, the following are equivalent.

- *M is a model of $B\Sigma_{n+1}$.*
- *M has a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$.*

\Rightarrow There should be a "stronger" self-embedding theorem for $I\Sigma_n$.

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Friedman's self-embedding theorem

Question

If a countable model M has a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$, then, is M a model of IS_{n+1} ?

No!

We can show that $M \models \text{B}\Sigma_{n+1}$, but,

Proposition (folklore)

Let M be a countable recursively saturated model of IS_0 . Then, the following are equivalent.

- M is a model of $\text{B}\Sigma_{n+1}$.
- M has a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$.

\Rightarrow There should be a "stronger" self-embedding theorem for IS_n .

Self-embedding theorem for $I\Sigma_n$

We can add an extra condition for $f(M)$.

Definition

Let M be a model of $I\Sigma_0$, and $I \subsetneq_e M$.

Then, I is said to be **semi-regular** if for any M -finite set $X \subseteq M$,

$$|X| \in I \Rightarrow X \cap I \text{ is bounded in } I.$$

Note that semi-regular cut is very useful in the model theory of arithmetic. (It is called “finiteness” in nonstandard arithmetic.)

Theorem

Let M be a countable model of $I\Sigma_0$. Then, the following are equivalent.

- M is a model of $I\Sigma_{n+1}$.
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Q-semi-regular embedding

Fix a Σ_0^0 -definable $Q : [M]^{<M} \rightarrow M$ such that
 $X \subseteq Y \Rightarrow Q(X) \leq Q(Y)$.

Definition

- $I \subseteq_e M$ is said to be **Q-semi-regular** if for any $X \subseteq_{\text{fin}} M$,
 $Q(X) \in I \Rightarrow X \cap I$ is bounded in I .
- For any definable $X \subseteq M$,
 $Q(X) = \sup\{Q(X \cap [0, a]) \mid a \in M\}$.

Theorem

Let $M \models \mathbb{I}\Sigma_0$. Then, the following are equivalent.

- $M \models “Q(X) < \infty \leftrightarrow X \text{ is bounded}”$
for any Σ_1 -definable $X \subseteq M$.
- M has a **Q-semi-regular self-embedding**.

Q-semi-regular embedding

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Theorem

Let $M \models I\Sigma_0$. Then, the following are equivalent.

- $M \models$ “ $Q(X) < \infty \leftrightarrow X$ is bounded”
for any Σ_1 -definable $X \subseteq M$.
- M has a **Q-semi-regular** self-embedding.

Q-semi-regular embedding

Fix a Σ_0^0 -definable $Q : [M]^{<M} \rightarrow M$ such that
 $X \subseteq Y \Rightarrow Q(X) \leq Q(Y)$.

Corollary

Let

$(M, S) \models \text{RCA}_0 + \text{“}\forall X Q(X) < \infty \leftrightarrow X \text{ is bounded”}$.

Then, there exists $S' \supseteq S$ such that

$(M, S') \models \text{WKL}_0 + \text{“}\forall X Q(X) < \infty \leftrightarrow X \text{ is bounded”}$.

Thus, for any Π_1^1 -formula φ ,

$\text{RCA}_0 + \text{“}\forall X Q(X) < \infty \leftrightarrow X \text{ is bounded”} \vdash \varphi$

if and only if

$\text{WKL}_0 + \text{“}\forall X Q(X) < \infty \leftrightarrow X \text{ is bounded”} \vdash \varphi$.

Self-embedding theorem for PA

Definition

Let M be a model of Iz , and $I \subsetneq_e M$.

Then, I is said to be **strong** if for any $b \in M \setminus I$ and M -finite sequence $\langle c_i \in M \mid i < b \rangle$,

$$\exists d \in M (c_i < d \Leftrightarrow c_i \in I).$$

Theorem (folklore)

Let M be a countable model of $I\Sigma_0$. Then, the following are equivalent.

- M is a model of PA.
- M has a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$ and $f(M)$ is strong.

When there is a self-embedding between $a < b$?

Theorem (In Kaye's book)

Let M be a countable model of $I\Sigma_{n+1}$, and let $a, b \in M$.
If for any Σ_n -definable partial function $\nu : \subseteq M \rightarrow M$, $\nu(a) < b$, then there exists a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $a \in f(M) \subsetneq_e M$ and $b \notin f(M)$.

However, this condition was not optimal for the above question.
Recently, an optimal version is proved.

Theorem (Enayat 201X)

Let M be a countable model of $I\Sigma_{n+1}$, and let $a, b \in M$. Then the following are equivalent.

- For any Σ_n -definable **total** function $\nu : M \rightarrow M$, $\nu(a) < b$.
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Self-embedding theorem for $I\Sigma_n$

Here is another characterization of $I\Sigma_n$.

Theorem

Let M be a countable model of $I\Sigma_0$. Then, the following are equivalent.

- *M is a model of $I\Sigma_{n+1}$.*
- *For any $a \in M$, M has a Σ_n -elementary self-embedding $f : M \rightarrow M$ such that $f(M) \subsetneq_e M$ and $f(x) = x$ for any $x < a$.*

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Subsystems of second-order arithmetic

Big five plus one

- RCA_0 : “discrete ordered semi-ring” + Σ_1^0 induction + Δ_1^0 comprehension.
- $WWKL_0$: RCA_0 + weak weak König’s lemma.
(Any tree which has a positive measure has a path.)
- WKL_0 : RCA_0 + weak König’s lemma.
- ACA_0 : RCA_0 + Σ_1^1 comprehension.
- ATR_0 : RCA_0 + arithmetical transfinite recursion.
- $\Pi_1^1 CA_0$: RCA_0 + Π_1^1 comprehension.

Self-embedding theorem for second-order arithmetic

‘For second-order arithmetic, Tanaka’s theorem is the “only and definitive” version.’ (Enayat)

Theorem (Tanaka)

Let (M, S) be a countable model of RCA_0 . Then, the following are equivalent.

- *(M, S) is a model of WKL_0 .*
- *There exists a self-embedding $f : (M, S) \rightarrow (M, S)$ such that $f(M) \subsetneq_e M$ and $f(S) \upharpoonright f(M) = S \upharpoonright f(M)$.*

$(S \upharpoonright I = \{X \cap I \mid X \in S\})$.

Self-embedding theorem for second-order arithmetic

Theorem (Wong's note)

Let (M, S) be a countable recursively saturated model of RCA_0^* .
Then, the following are equivalent.

- (M, S) is a model of WKL_0^* .
- There exists a self-embedding $f : (M, S) \rightarrow (M, S)$ such that $f(M) \subsetneq_e M$ and $f(S) \upharpoonright f(M) = S \upharpoonright f(M)$.

$(S \upharpoonright I = \{X \cap I \mid X \in S\}.)$

Self-embedding theorem for second-order arithmetic

With the notion of strong cut or elementarity, we can characterize ACA_0 .

Corollary

Let (M, S) be a countable model of RCA_0 , and let $n \geq 1$. Then, the following are equivalent.

- *(M, S) is a model of ACA_0 .*
- *There exists a self-embedding $f : (M, S) \rightarrow (M, S)$ such that $f(M) \subsetneq_e M$, $f(M)$ is strong and $f(S) \upharpoonright f(M) = S \upharpoonright f(M)$.*
- *There exists a Σ_n^0 -elementary self-embedding $f : (M, S) \rightarrow (M, S)$ such that $f(M) \subsetneq_e M$ and $f(S) \upharpoonright f(M) = S \upharpoonright f(M)$.*

However, I want some more versions!

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However, I want some more versions!

M-finite complexity

Definition (M-finite complexity)

Let M be a model of $I\Sigma_0$.

An **M-finite complexity** is an M-finite partial function $k : \subseteq 2^{<M} \rightarrow M$ such that $\sum_{\sigma \in \text{dom}(k)} 2^{-k(\sigma)} \leq 1$. We define $k(\sigma) = \infty$ if $\sigma \notin \text{dom}(k)$.

Definition

Let (M, S) be a model of RCA_0 and N be a model of $I\Sigma_0$ such that $M \subseteq_e N$.

- $(M, S) \subseteq_{e,r} N$ if for any finite complexity $k \in N$ there exists a set $X \in S$ and $c \in M$ such that $\forall n \in M k(X \upharpoonright n) > n - c$.
- $(M, S) \subseteq_{e,d} N$ if for any finite complexity $k \in N$ there exists a set $f, X \in S$ such that $\forall n \in M k(X \upharpoonright n) > f(n)$.

Self-embedding theorem for second-order arithmetic

Theorem

Let (M, S) be a countable model of RCA_0 . Then, the following are equivalent.

- 1 (M, S) is a model of WWKL_0 .
- 2 There exists a self-embedding $f : (M, S) \rightarrow (M, S)$ such that $(f(M), f(S) \upharpoonright f(M)) \subseteq_{e,r} M$.

Theorem

Let (M, S) be a countable model of RCA_0 . Then, the following are equivalent.

- 1 (M, S) is a model of $\text{RCA}_0 + \text{DNR}$.
- 2 There exists a self-embedding $f : (M, S) \rightarrow (M, S)$ such that $(f(M), f(S) \upharpoonright f(M)) \subseteq_{e,d} M$.

With elementarity

Theorem (Avigad, Dean, Rute)

n -WWKL₀ consists of RCA₀ plus the following assertion:

any Δ_n^0 -definable tree which has a positive measure has a path.

Note that 2-WWKL₀ is equivalent to the Lebesgue convergence theorem. (A.D.R.)

Theorem

Let (M, S) be a recursively saturated countable model of RCA₀, and let $n \geq 1$. Then, the following are equivalent.

- 1 (M, S) is a model of WWKL₀.
- 2 There exists a Σ_{n-1}^0 -elementary self-embedding $f : (M, S) \rightarrow (M, S)$ such that $(f(M), f(S) \upharpoonright f(M)) \subseteq_{e,r} M$.

Self-embedding theorem for second-order arithmetic

With the stronger notion of cut, we have the following.

Theorem

Let (M, S) be a countable model of RCA_0 . Then, the following are equivalent.

- 1 (M, S) is a model of $\Pi_1^1\text{-CA}_0$.
- 2 There exists a self-embedding $f : (M, S) \rightarrow (M, S)$ such that $f(M) \subsetneq_e M$ is a Ramsey strong cut and $f(S) \upharpoonright f(M) = S \upharpoonright f(M)$.

Nonstandard arithmetic

Tanaka's idea:

- Self-embedding theorem is very useful to construct a “good end-extension” to do nonstandard analysis within weak arithmetic.

Theorem (nonstandard arithmetic)

- 1 *The system consists of STP (standard part principle) and Σ_1^0 -overspill is a conservative extension of WKL_0 . (Tanaka)*
- 2 *The system consists of STP (standard part principle) and Σ_0^1 -transfer principle is a conservative extension of ACA_0 .*
- 3 *The system consists of LMP (for nonstandard measure theory), Σ_1^0 -overspill and Σ_{n-1}^0 -transfer principle is a conservative extension of n - $WWKL_0$. (Simpson/Y)*

Open questions

- Find self-embedding theorems which can characterize ATR_0 , RT_2^2 , etc.
- Show stronger conservation results for nonstandard arithmetic by using self-embedding theorems.
- What is the relation between self-embedding theorems and saturation principles?

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