

# Forking and superstability in tame abstract elementary classes

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- ▶ Roughly, a good  $\lambda$ -frame is a nice class of models of size  $\lambda$ , together with a forking-like notion for types of singletons.
- ▶ Shelah showed how to build a good frame using GCH-like set-theoretic assumptions and local model-theoretic hypotheses.

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- ▶ Roughly, a good  $\lambda$ -frame is a nice class of models of size  $\lambda$ , together with a forking-like notion for types of singletons.
- ▶ Shelah showed how to build a good frame using GCH-like set-theoretic assumptions and local model-theoretic hypotheses.
- ▶ We show how to build one in ZFC, paying with more global (but very natural) model-theoretic hypotheses.

# Abstract elementary classes

## Definition (Shelah)

Let  $K$  be a nonempty class of structures of the same similarity type  $L(K)$ , and let  $\leq$  be a partial order on  $K$ .  $(K, \leq)$  is an *abstract elementary class (AEC)* if it satisfies:

1.  $K$  is closed under isomorphism,  $\leq$  respects isomorphisms.
2. If  $M \leq N$  are in  $K$ , then  $M \subseteq N$ .
3. Coherence: If  $M_0 \subseteq M_1 \leq M_2$  are in  $K$  and  $M_0 \leq M_2$ , then  $M_0 \leq M_1$ .
4. Downward Löwenheim-Skolem axiom: There is a cardinal  $\text{LS}(K) \geq |L(K)| + \aleph_0$  such that for any  $N \in K$  and  $A \subseteq |N|$ , there exists  $M \leq N$  containing  $A$  of size  $\leq \text{LS}(K) + |A|$ .
5. Chain axioms: If  $\delta$  is a limit ordinal,  $\langle M_i : i < \delta \rangle$  is a  $\leq$ -increasing chain in  $K$ , then  $M := \bigcup_{i < \delta} M_i$  is in  $K$ , and:
  - 5.1  $M_i \leq M$  for all  $i < \delta$ .
  - 5.2 If  $N \in K$  is such that  $M_i \leq N$  for all  $i < \delta$ , then  $M \leq N$ .



- ▶ Example: For  $\psi \in L_{\omega_1, \omega}$ ,  $\Phi$  a countable fragment containing  $\psi$ ,  $K := (\text{Mod}(\psi), \prec_\Phi)$  is an AEC with  $\text{LS}(K) = \aleph_0$ .

- ▶ Example: For  $\psi \in L_{\omega_1, \omega}$ ,  $\Phi$  a countable fragment containing  $\psi$ ,  $K := (\text{Mod}(\psi), \prec_\Phi)$  is an AEC with  $\text{LS}(K) = \aleph_0$ .
- ▶ The main test question in the study of AECs is the categoricity conjecture:

### Conjecture (Shelah)

For every  $\kappa$  there exists a cardinal  $\mu = \mu(\kappa)$  such that whenever  $K$  is an AEC with  $\text{LS}(K) = \kappa$  and  $K$  is categorical in *some* cardinal above  $\mu$ , then  $K$  is categorical in *all* cardinals above  $\mu$ .

# Simplifying assumptions

Let  $K$  be an AEC.

## Definition

- ▶  $f : M \rightarrow N$  is a  $(K-)$ embedding if  $f : M \cong f[M]$  and  $f[M] \leq N$ . (From now on, every mapping will be assumed to be an embedding).
- ▶  $K$  has *no maximal models* if for any  $M \in K$  there exists  $N \in K$  so that  $M < N$  (i.e.  $M \leq N$  and  $M \neq N$ ).
- ▶  $K$  has *joint embedding* if for any  $M_1, M_2 \in K$ , there exists  $N \in K$  and  $f_\ell : M_\ell \rightarrow N$ ,  $\ell = 1, 2$ .
- ▶  $K$  has *amalgamation* if for any  $M_0, M_1, M_2 \in K$  with  $M_0 \leq M_\ell$ ,  $\ell = 1, 2$ , there exists  $N \in K$  and  $f_\ell : M_\ell \rightarrow N$  so that  $f_1 \upharpoonright M_0 = f_2 \upharpoonright M_0$ .

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- ▶ If we assume they hold globally, we can build a homogeneous *monster model*  $\mathfrak{C}$  in which every model of the AEC embeds.
- ▶ Another simplifying assumption is tameness, a weak compactness property that was first isolated by Grossberg and VanDieren to prove an approximation to Shelah's categoricity conjecture.

## Definition (Tameness)

Let  $K$  be an AEC with amalgamation.  $K$  is  $\mu$ -tame if for any  $M \in K$  and distinct  $p, q \in S(M)$  there exists  $M_0 \leq M$  of size  $\leq \mu$  such that  $p \upharpoonright M_0 \neq q \upharpoonright M_0$ .

# Two approaches to AECs

## Question (The global approach to AECs)

Work in ZFC, but assume a monster model and maybe some tameness. What can we say about the AEC?

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Work in ZFC, but assume a monster model and maybe some tameness. What can we say about the AEC?

## Question (The local approach to AECs)

Make simplifying assumptions in only a few cardinals. When can we transfer them up? Can we build a structure theory cardinal by cardinal?

- ▶ This is the approach Shelah adopts in his books on classification theory for AECs.
- ▶ Many proofs have a set-theoretic flavor and rely on GCH-like principles.
- ▶ The key notion there is that of a good  $\lambda$ -frame, a local AEC version of superstability.

# Pre-frame

## Definition (Shelah)

Let  $\lambda$  be a cardinal. A *pre- $\lambda$ -frame* is a triple  $\mathfrak{s} = (K, \perp, S^{\text{bs}})$ , where  $K$  is an AEC with  $\lambda \geq \text{LS}(K)$ ,  $K_\lambda \neq \emptyset$ , for all  $M \in K_\lambda$ ,  $S^{\text{bs}}(M)$  is a set of non-algebraic types, and:

1.  $\perp$  is a relation on quadruples of the form  $(M_0, M_1, a, N)$ , where  $a \in N$  and  $M_0 \leq M_1 \leq N$  are all in  $K_\lambda$ .
2. The following properties hold:
  - 2.1 Invariance: Both  $\perp$  and  $S^{\text{bs}}$  are invariant under isomorphisms.
  - 2.2 Monotonicity: If  $a \underset{M_0}{\perp}^N M_1$ ,  
 $M_0 \leq M'_0 \leq M'_1 \leq M_1 \leq N' \leq N \leq N''$  with  $a \in N'$  and  $N'' \in K_\lambda$ , then  $a \underset{M'_0}{\perp}^{N'} M'_1$  and  $a \underset{M'_0}{\perp}^{N''} M'_1$ .
  - 2.3 Nonforking types are basic: If  $a \underset{M}{\perp}^N M$ , then  $\text{tp}(a/M; N) \in S^{\text{bs}}(M)$ .

# Good frame

## Definition (Shelah)

$\mathfrak{s} = (K, \perp, S^{\text{bs}})$  is a good  $\lambda$ -frame if it is a pre- $\lambda$ -frame and:

- ▶  $K_\lambda$  has amalgamation, joint embedding, and no maximal models.
- ▶ Stability:  $|S^{\text{bs}}(M)| \leq \|M\|$  for all  $M \in K_\lambda$ .
- ▶ Density of basic types: If  $M < N$  are both in  $K_\lambda$ , then there is  $a \in N$  such that  $\text{tp}(a/M; N) \in S^{\text{bs}}(M)$ .
- ▶ Full existence: If  $p \in S^{\text{bs}}(M)$  and  $N \geq M$ , then there exists  $q \in S^{\text{bs}}(N)$  extending  $p$  that does not fork over  $M$ .
- ▶ Uniqueness: If  $p, q \in S^{\text{bs}}(N)$  do not fork over  $M$  and  $p \upharpoonright M = q \upharpoonright M$ , then  $p = q$ .

- ▶ Symmetry: If  $a_1 \underset{M_0}{\overset{N}{\downarrow}} M_2$ ,  $a_2 \in M_2$ , and  $\text{tp}(a_2/M_0; N) \in S^{\text{bs}}(M_0)$ , then there is  $M_1$  containing  $a_1$  and  $N' \geq N$  such that  $a_2 \underset{M_0}{\overset{N'}{\downarrow}} M_1$ .
- ▶ Local character: If  $\delta$  is a limit ordinal,  $\langle M_i : i \leq \delta \rangle$  is an increasing chain in  $K_\lambda$  with  $M_\delta = \bigcup_{i < \delta} M_i$ , and  $p \in S^{\text{bs}}(M_\delta)$ , then there exists  $i < \delta$  such that  $p$  does not fork over  $M_i$ .
- ▶ Continuity: If  $\delta$  is a limit ordinal,  $\langle M_i : i \leq \delta \rangle$  is an increasing chain in  $K_\lambda$  with  $M_\delta = \bigcup_{i < \delta} M_i$ ,  $p \in S(M_\delta)$  is so that  $p \restriction M_i$  does not fork over  $M_0$  for all  $i < \delta$ , then  $p$  does not fork over  $M_0$ .

We say a good frame is *type-full* if the basic types are all the nonalgebraic types (in that case the density of basic types becomes trivial).

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## Fact (Shelah)

*Assume  $2^\lambda < 2^{\lambda^+} < 2^{\lambda^{++}}$  and the weak diamond ideal in  $\lambda^+$  is not  $\lambda^{++}$ -saturated.*

*Let  $K$  be an AEC and let  $\lambda \geq LS(K)$  be a cardinal. Assume:*

- 1.  $K$  is categorical in  $\lambda$  and  $\lambda^+$ .*
- 2.  $0 < I(\lambda^{++}, K) < \mu_{unif}(\lambda^{++}, 2^{\lambda^+})$*

*Then  $K$  has a good  $\lambda^+$ -frame.*

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The first theorem actually follows from the second (using some results from Sh:394).

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Both follow from the categoricity hypothesis. Even if we do not assume the second, our nonforking notion will still be well-behaved for  $\mu^+$ -saturated bases.



## Proof sketch (continued)

So we assume  $K$  is an AEC with a monster model,  $\mu$ -tameness, and:

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  4. Symmetry holds as well: If not, we get the order property, and thus instability.

# An explicit description of forking

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## Proposition

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## Definition (Shelah)

For  $M \leq N$  in  $K$ ,  $M \in K_\mu$ ,  $p \in S(N)$   $\mu$ -splits over  $M$  if there exists  $N_1, N_2 \in K_\mu$  with  $M \leq N_\ell \leq N$ ,  $\ell = 1, 2$ , and  $h : N_1 \cong_M N_2$  such that  $h(p \upharpoonright N_1) \neq p \upharpoonright N_2$ .



## Some corollaries that do not mention frames

Let  $K$  be an AEC with a monster model. Assume  $K$  is  $\mu$ -tame and categorical in a cardinal  $\lambda$  with  $\text{cf}(\lambda) > \mu$ .

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1.  $K$  has a unique limit model in all  $\lambda' \geq \lambda$ . More precisely, if  $\delta$  and  $\rho$  are limit ordinals,  $\langle M_i \in K_{\lambda'} : i \leq \delta \rangle, \langle N_i \in K_{\lambda'} : i \leq \rho \rangle$  are  $<_{\text{univ}}$ -increasing continuous, then  $M_\delta \cong M_\rho$ , and if in addition  $M_0 = N_0$ , then  $M_\delta \cong_{M_0} N_\rho$ .

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2.  $K$  is stable in all cardinals.

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1. If  $\kappa = \aleph_0$ , then  $K$  is stable in all  $\lambda \geq \mu$ .
2. If GCH holds, then  $K$  is stable in all  $\lambda \geq \mu$  such that  $\lambda^{<\kappa} = \lambda$ .

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Let  $K$  be an AEC with a monster model. Assume  $K$  is  $\mu$ -tame and stable in  $\mu$ . Let  $\kappa$  be the least regular cardinal such that  $\mu$ -nonsplitting has local character for  $<_{\mu, \omega}$ -increasing chains of cofinality  $\geq \kappa$ . The following hold:

1. If  $\kappa = \aleph_0$ , then  $K$  is stable in all  $\lambda \geq \mu$ .
2. If GCH holds, then  $K$  is stable in all  $\lambda \geq \mu$  such that  $\lambda^{<\kappa} = \lambda$ .

## Remark

The following were already known:

1. (Shelah)  $\kappa \leq \mu^+$ .
2. (Grossberg-VanDieren)  $K$  is stable in all  $\lambda$  such that  $\lambda = \lambda^\mu$ .
3. (Baldwin-Kueker-VanDieren)  $K$  is stable in  $\mu^+$ .



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## Question

Let  $K$  be an AEC with a monster model that is tame and totally categorical. Does  $K$  have a nonforking notion for models?

# 감사합니다

- ▶ For further reference, see:  
Sebastien Vasey, *Forking and superstability in tame AECs*.
- ▶ A preprint can be accessed from my webpage:  
<http://math.cmu.edu/~svasey/>
- ▶ For a direct link, you can take a picture of the QR code below:

