

LÖWENHEIM-SKOLEM AND INTERPOLATION THEOREMS IN INFINITARY LANGUAGES¹

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Communicated by F. W. Gehring, September 15, 1971

Let L be a first-order finitary predicate language with equality. For each pair of infinite cardinals κ and λ with $\kappa \geq \lambda$ we let $L_{\kappa\lambda}$ be the logic extending L which allows the conjunction (\wedge) and disjunction (\vee) of fewer than κ formulas and the simultaneous universal or existential quantification of fewer than λ variables. We set $L_{\infty\lambda} = \bigcup_{\kappa} L_{\kappa\lambda}$. The standard syntactical and semantical concepts are defined as usual (see [1], [2]). If θ is a sentence we write $\mathfrak{A} \models \theta$ to mean that θ is true on the model \mathfrak{A} . $\mathfrak{A} \equiv_{\kappa\lambda} \mathfrak{B}$ means that \mathfrak{A} and \mathfrak{B} have the same true sentences of $L_{\kappa\lambda}$. $\mathfrak{A}, \mathfrak{B}$, and \mathfrak{A}_i are always used for models for L , and we follow the convention that their universes are A, B, A_i respectively. The cardinality of a set X is denoted by $|X|$. If L' is some other language, then $L'_{\kappa\lambda}$ is the corresponding infinitary logic built on L' . For ease in stating many of our results we assume, except in the last section, that L has only countably many nonlogical symbols. A detailed presentation of these and related results is in preparation for publication elsewhere.

1. $L_{\infty\omega}$ and the Löwenheim-Skolem theorem. One form of the downward Löwenheim-Skolem theorem for sentences of $L_{\omega_1\omega}$ can be stated as follows:

(A) If $\mathfrak{A} \models \theta$, then $\mathfrak{A}_0 \models \theta$ for some countable $\mathfrak{A}_0 \subseteq \mathfrak{A}$. The conclusion of (A) is quite weak; certainly the converse does not generally hold. One of our first goals is to define a notion of "almost all" such that the following biconditional holds for sentences of $L_{\omega_1\omega}$:

(B) $\mathfrak{A} \models \theta$ iff $\mathfrak{A}_0 \models \theta$ for almost all countable $\mathfrak{A}_0 \subseteq \mathfrak{A}$. More importantly, we also generalize (B) to apply to sentences of $L_{\infty\omega}$ (for which (A) usually fails). To do this we must first index the countable submodels of a model and define countable approximations to any sentence of $L_{\infty\omega}$.

Let κ be an uncountable cardinal. We define a filter D over $\mathcal{P}_{\omega_1}(\kappa)$, the countable subsets of κ , as follows:

DEFINITION. $X \subseteq \mathcal{P}_{\omega_1}(\kappa)$ belongs to D iff X contains some X' such that (i) for every $s \in \mathcal{P}_{\omega_1}(\kappa)$ there is some $s' \in X'$ such that $s \subseteq s'$ and (ii) X' is closed under unions of countable chains.

LEMMA. D is a countably complete filter, and if $X_\xi \in D$ for all $\xi < \kappa$ then $\{s : s \in X_\xi \text{ for all } \xi \in s\} \in D$.

¹AMS 1970 subject classifications. Primary 02H10, 02B20, 02B25.

¹ Research supported in part by the National Science Foundation under grant NSF GP 20298.

DEFINITION. Let \mathfrak{A} be a model with $|A| \leq \kappa$. Let $A = \{a_\xi : \xi < \kappa\}$. If $s \in \mathcal{P}_{\omega_1}(\kappa)$ we define \mathfrak{A}_s to be the submodel of \mathfrak{A} generated by $\{a_\xi : \xi \in s\}$.

Terminology. “For almost all s ” means “for all s in some set belonging to D .” “For almost all countable submodels of \mathfrak{A} ” means “for \mathfrak{A}_s for almost all s .”

REMARKS. (1) \mathfrak{A}_s is almost independent of enumeration of the elements of A ; that is, if $A = \{a'_\xi : \xi < \kappa\}$ then $\{a_\xi : \xi \in s\} = \{a'_\xi : \xi \in s\}$ for almost all s . “Almost all countable submodels of \mathfrak{A} ” therefore has a definite meaning independent of the cardinal $\kappa \geq |A|$ and the enumeration of A .

(2) The filter D has a game-theoretic characterization. If $X \subseteq \mathcal{P}_{\omega_1}(\kappa)$ we define the game G_X played as follows: I and II alternately choose elements of κ ; I wins if the resulting set of their choices belongs to X , and II wins otherwise. Then I has a winning strategy for G_X iff $X \in D$.

For the next definition we assume that the formulas of a conjunction or disjunction in $L_{\kappa+\omega}$ are indexed by κ .

DEFINITION. Let θ be a formula of $L_{\kappa+\omega}$. We define its approximations θ^s for $s \in \mathcal{P}_{\omega_1}(\kappa)$ by induction:

- (i) if θ is atomic then θ^s is θ ;
- (ii) if θ is $\neg\psi(\exists x\psi, \forall x\psi)$ then θ^s is $\neg\psi^s(\exists x\psi^s, \forall x\psi^s)$;
- (iii) if θ is $\bigwedge_{\xi < \kappa} \theta_\xi$ ($\bigvee_{\xi < \kappa} \theta_\xi$) then θ^s is $\bigwedge_{\xi \in s} \theta_\xi^s$ ($\bigvee_{\xi \in s} \theta_\xi^s$).

Notice that θ^s is always a formula of $L_{\omega_1\omega}$, and that if θ is a formula of $L_{\omega_1\omega}$, then θ^s is θ for almost all s .

By induction on formulas, using the Lemma giving properties of D , we obtain the following generalized Löwenheim-Skolem theorem.

THEOREM 1. Assume that $|A| \leq \kappa$, and let θ be a sentence of $L_{\kappa+\omega}$. Then $\mathfrak{A} \models \theta$ iff $\mathfrak{A}_s \models \theta^s$ for almost all s .

As immediate consequences we obtain result (B) above and the following:

COROLLARY. Assume θ can be written in negation-normal form (that is, only atomic subformulas are negated) without uncountable disjunctions. Then $\mathfrak{A} \models \theta$ iff $\mathfrak{A}^s \models \theta^s$ for almost all s . In particular, if σ and $\psi_\xi(x)$ belong to $L_{\omega_1\omega}$ ($\xi < \kappa$), then $\mathfrak{A} \models \sigma \rightarrow \exists x \bigwedge_{\xi < \kappa} \psi_\xi(x)$ iff $\mathfrak{A} \models \sigma \rightarrow \exists x \bigwedge_{\xi \in s} \psi_\xi(x)$ for all countable $s \subseteq \kappa$.

Another consequence of Theorem 1 is the following characterization of $\equiv_{\infty\omega}$ which generalizes Scott’s Isomorphism Theorem (see [1]).

THEOREM 2. Assume that $|A|, |B| \leq \kappa$. Then

- (i) $\mathfrak{A} \equiv_{\infty\omega} \mathfrak{B}$ iff $\mathfrak{A}_s \cong \mathfrak{B}_s$ for almost all s ;
- (ii) $\mathfrak{A} \not\equiv_{\infty\omega} \mathfrak{B}$ iff $\mathfrak{A}_s \not\cong \mathfrak{B}_s$ for almost all s .

To prove Theorem 2 it is enough to prove both of the implications from left to right. For (i) this is not difficult, using the standard back-and-forth properties of $\equiv_{\infty\omega}$ (see [1]). For (ii) this is immediate from Theorem 1. S. Shelah has observed that (ii) also follows from a game-theoretic characterization of $\equiv_{\infty\omega}$ and the Gale-Stewart theorem that open games are determined.

As might be expected from Theorem 2, reduced products of countable models modulo the filter D can also be used to characterize $\equiv_{\infty\omega}$.

DEFINITION. (a) L^* is the expansion of L formed by adding a new predicate P_{\neg} for every predicate P (including $=$) of L . (b) If \mathfrak{A} is an L -model then \mathfrak{A}^* is its expansion to L^* satisfying

$$\forall v_0 \cdots v_k [P_{\neg}(v_0, \dots, v_k) \leftrightarrow \neg P(v_0, \dots, v_k)].$$

(c) If \mathfrak{A}' is an L^* -model and $\mathfrak{B}' \subseteq \mathfrak{A}'$, then \mathfrak{B}' is *strongly maximal* in \mathfrak{A}' if B' is a maximal subset of A' satisfying $\forall xy (x = \neg y \leftrightarrow \neg x = y)$.

THEOREM 3. Assume that $|A|, |B| \leq \kappa$. The following are equivalent:

- (i) $\mathfrak{A} \equiv_{\infty\omega} \mathfrak{B}$;
- (ii) $\Pi\mathfrak{A}_s^*/D \cong \Pi\mathfrak{B}_s^*/D$;
- (iii) \mathfrak{B}^* is isomorphic to a strongly maximal submodel of $\Pi\mathfrak{A}_s^*/D$.

The implication from (i) to (ii) is immediate from Theorem 2(i). The implication from (ii) to (iii) is not difficult, using the Lemma giving properties of D . To show that (iii) implies (i) we first show that $\{s: \mathfrak{A}_s \not\cong \mathfrak{B}_s\} \notin D$, and then use Theorem 2(ii) to conclude that $\mathfrak{A} \equiv_{\infty\omega} \mathfrak{B}$. Examples show the $*$ is necessary for (ii) to imply (i).

We also obtain results analogous to Theorems 2 and 3 for embeddability in place of isomorphism.

2. $L^P(\omega)$ and closed classes.

DEFINITION. Let K be a class of models closed under isomorphism.

- (a) K is *closed* if: $\mathfrak{A} \in K$ iff $\mathfrak{A}_0 \in K$ for almost all countable $\mathfrak{A}_0 \subseteq \mathfrak{A}$.
- (b) K is *closed downward* if: whenever $\mathfrak{A} \in K$, then $\mathfrak{A}_0 \in K$ for almost all countable $\mathfrak{A}_0 \subseteq \mathfrak{A}$.

Classes which are closed downward satisfy a downward Löwenheim-Skolem theorem, while closed classes also satisfy an upward theorem. Theorem 1 implies that $\text{Mod}(\sigma)$ is closed if σ is a sentence of $L_{\omega_1\omega}$, and Theorem 2 implies that closed classes are closed under $\equiv_{\infty\omega}$. A closed class is uniquely determined by the countable models in it, and hence, there are 2^{2^ω} different closed classes. If K and its complement are closed downward then K is closed, but the converse fails. If K' is a class of L' -models which is closed downward, then $K' \upharpoonright L$ (= the class of all reducts of models in K' to L) is also closed downward. Therefore $\text{Mod}(\sigma') \upharpoonright L$ is closed downward, but not generally closed, for any sentence σ' of $L'_{\omega_1\omega}$.

We define $L^p(\omega)$ to be the class of formulas of Keisler's $L(\omega)$ (from [2]) which can be put in prenex form. Thus, $\sigma \in L^p(\omega)$ iff σ is equivalent to some $(Q_n v_n)_{n < \omega} \chi$, where χ is a quantifier-free formula (in countably many variables). Therefore $\sigma \in L^p(\omega)$ if σ is a formula of $L_{\omega_1 \omega}$ or a universal or existential sentence of $L_{\omega_1 \omega_1}$. If σ is a sentence of $L^p(\omega)$ then $\text{Mod}(\sigma)$ is closed downward, but not generally closed. Most of the interest of $L^p(\omega)$ stems from:

THEOREM 4. *If K is closed then $K = \text{Mod}(\sigma)$ for some sentence σ of $L^p(\omega)$.*

COROLLARY 1. *If K is closed downward then there is a sentence σ of $L^p(\omega)$ such that $K \subseteq \text{Mod}(\sigma)$, and K and $\text{Mod}(\sigma)$ contain precisely the same countable models.*

The intersection of two classes which are closed downward is either empty or contains a countable model. Hence, Corollary 1 implies a separation result for disjoint classes closed downward, a particular case of which is the following interpolation theorem for $L^p(\omega)$.

COROLLARY 2. *Let L_1 and L_2 be countable languages whose intersection is L . Let $\theta \in L_1^p(\omega)$ and $\psi \in L_2^p(\omega)$, and assume that $\models \theta \rightarrow \neg \psi$. Then there is some $\sigma \in L^p(\omega)$ such that $\models \theta \rightarrow \sigma$ and $\models \sigma \rightarrow \neg \psi$.*

The case of Corollary 1 where $K = \text{Mod}(\bar{\Sigma}) \upharpoonright L$ for some set $\bar{\Sigma}$ of finitary sentences is due to Svenonius [3]. Corollary 2 is essentially due to Takeuti (see the next section). Even if θ and ψ are also in $L_{i_{\omega_1 \omega_1}}$, Malitz's example (given in [4]) shows that the interpolant σ need not be in $L_{\infty \omega_1}$.

The logic $L^p(\omega)$ also admits some preservation theorems.

DEFINITION. (a) \mathfrak{U} is the β -union of a nonempty set S of submodels of \mathfrak{U} (where β is any cardinal > 0) if every subset of A of power less than β is contained in the universe of some model in S .

(b) $(\forall^n \exists)^p(\omega)$ is the set of all sentences of $L^p(\omega)$ of the form $\forall x_0 \cdots x_{n-1} \exists y_0 \cdots y_k \cdots \chi$, where χ is quantifier-free.

THEOREM 5. (i) *K is closed downward and closed under $(n + 1)$ -unions iff $K = \text{Mod}(\theta)$ for some $\theta \in (\forall^n \exists)^p(\omega)$.*

(ii) *K is closed downward and closed under ω -unions iff $K = \text{Mod}(\bigwedge_n \theta_n)$ where $\theta_n \in (\forall^n \exists)^p(\omega)$ for all n .*

A sentence whose negation is in $(\forall^0 \exists)^p(\omega)$ is universal. Case $n = 0$ of Theorem 5 then implies: K is closed and closed under submodels iff $K = \text{Mod}(\theta)$ for some universal θ of $L^p(\omega)$. This is a different formulation of a theorem of Tarski [5].

3. Generalizations to uncountable models. If λ is any infinite cardinal and $\kappa > \lambda$ we can define a filter over $\mathcal{P}_\lambda^+(\kappa)$ analogously to §1 and

obtain a notion of “almost all” subsets of κ of power at most λ . Most of the results of the preceding sections have analogues here, especially if $\lambda^{\lambda} = \lambda$. Some of them are of less interest, however, due to the failure of the Isomorphism Theorem for models of uncountable regular power (see [2]). We do obtain the following interpolation theorem generalizing Corollary 2 of §2. $L^p(\lambda)$ is the set of all formulas equivalent to some $(Q_{\xi}v_{\xi})_{\xi < \lambda}\chi$, where χ is quantifier-free. Hence every formula of $L_{\lambda+\lambda}$ belongs to $L^p(\lambda)$.

THEOREM 6. *Let L_1 and L_2 be languages, with at most λ^{λ} nonlogical symbols, whose intersection is L . Assume that $\theta \in L_1^p(\lambda)$, $\psi \in L_2^p(\lambda)$, and $\models \theta \rightarrow \neg\psi$. Then there is some $\sigma \in L^p(\lambda^{\lambda})$ such that $\models \theta \rightarrow \sigma$ and $\models \sigma \rightarrow \neg\psi$.*

The case where θ and ψ belong to $L_{i_{\lambda+\lambda}}$ was proved (syntactically) by Takeuti [4], in response to Malitz's examples of implications which have no interpolants in any $L_{\kappa\lambda}$. This case in fact implies the above form of the theorem, but Takeuti does not obtain the general results from which we derive it.

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