

## A FILTER ON $[\lambda]^\kappa$

C. A. DI PRISCO<sup>1</sup> AND W. MAREK<sup>2</sup>

**ABSTRACT.** We define a filter on  $[\lambda]^\kappa$  with properties similar to those of the closed unbounded filter in  $P_\kappa(\lambda)$ . This filter's behaviour depends on set theoretical hypotheses.

The study of the combinatorial properties of the collection of subsets of uncountable cardinals has been a main line of research in the theory of large cardinals. For  $\kappa < \lambda$  regular uncountable cardinals, the space  $P_\kappa(\lambda)$  is the collection of subsets of  $\lambda$  of cardinality smaller than  $\kappa$ . This space was introduced in the investigation of strongly compact cardinals and of supercompact cardinals. In [Je1] Jech studied the space  $P_\kappa(\lambda)$  on its own and obtained interesting generalizations to the context of this space of classical results pertaining to the theory of the space  $\kappa$ .

The space  $[\lambda]^\kappa$ , the collection of subsets of  $\lambda$  of cardinality  $\kappa$ , arises in the investigation of the so-called huge cardinals. As shown in Solovay, Reinhardt and Kanamori [SRK],  $\kappa$  is huge with target  $\lambda$  if and only if there exists a  $\kappa$ -complete normal fine ultrafilter on  $[\lambda]^\kappa$ .

We recall the definition of huge cardinal. We say that  $\kappa$  is huge with target  $\lambda$  if there is an elementary embedding  $j: V \rightarrow M$  of the universe into a transitive model  $M$  containing all the ordinals such that  $\kappa$  is the critical point of  $j$ ,  $j(\kappa) = \lambda$  and  ${}^\lambda M \subseteq M$ . We denote this by  $\kappa \rightarrow (\lambda)$ . (See [BDPT].) In this case the axiom of choice allows us to show that the set  $(\lambda)^\kappa = \{P \subseteq \lambda \mid \text{order type of } P = \kappa\}$  belongs to the normal ultrafilter on  $[\lambda]^\kappa$ , and thus we can characterize the fact that  $\kappa \rightarrow (\lambda)$  by the fact that there exists a normal,  $\kappa$ -complete, fine ultrafilter on  $(\lambda)^\kappa$ . Thus, under the axiom of choice the first characterization implies the second. This is not so in the absence of the axiom of choice; for instance, under the axiom of determinateness the implication fails, as shown by Mignone in [Mig].

A natural problem is to find a filter on  $[\lambda]^\kappa$  analogous to the closed unbounded filter for  $P_\kappa(\lambda)$  constructed by Jech in [Je1]. The filter we construct is a  $\kappa$ -complete, normal, fine, nontrivial filter, and, as shown by J. Baumgartner, it is the smallest filter on  $[\lambda]^\kappa$  with these properties. Under the assumption that  $\kappa$  is huge with target  $\lambda$ , all elements of our filter have measure 1 with respect to the normal measure

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generated by the witnessing elementary embedding. Thus our filter exhibits a behaviour similar to the closed unbounded filter in  $P_\kappa(\lambda)$ .

Since the space  $[\lambda]^\kappa$  is simply  $P_{\kappa^+}(\lambda) - P_\kappa(\lambda)$ , one could ask why we consider a new notion of a closed unbounded set at all since we have Jech's notion of a closed unbounded set in  $P_{\kappa^+}(\lambda)$  and could restrict it to  $[\lambda]^\kappa$ . The reason for seeking another filter is that under  $\kappa \rightarrow (\lambda)$  not all the closed unbounded sets in the sense of Jech have measure 1, and, in fact, the cones over sets of cardinality  $\kappa$  have measure 0. Thus a different notion is necessary.

The behaviour of our filter is not a simple one. As we said, if  $\kappa \rightarrow (\lambda)$  then our filter is included in every fine normal measure on  $[\lambda]^\kappa$ , but if the universe is not too fat (for instance if  $V = L$ ) our filter is just the closed unbounded filter on  $P_{\kappa^+}(\lambda)$ .

We acknowledge the helpful remarks made by J. Baumgartner. He proved Theorem 1(e) using a property of closed unbounded sets of  $P_\kappa(\lambda)$  which uses functions from  $[\lambda]^{<\omega}$  into  $\lambda$  and which can be obtained from Menas' basis result for closed unbounded sets [Me1]. We follow, in general, the notation of Jech in [Je2]. If  $a \in P_\kappa(\lambda)$ ,  $\hat{a} = \{p \in P_\kappa(\lambda) \mid a \subseteq p\}$  and  $\check{a} = \{P \in [\lambda]^\kappa \mid a \subseteq P\}$ .

**1. The filter  $\mathfrak{F}_{\kappa,\lambda}$ .** Given a set  $X \subseteq P_\kappa(\lambda)$ , define  $A_X$ , the basic set generated by  $X$ , as follows:

$$(*) \quad A_X = \{P \in [\lambda]^\kappa \mid \text{there exists a directed system } D \subseteq X \text{ such that } P = \bigcup D\}.$$

We now define the filter  $\mathfrak{F}_{\kappa,\lambda}$  as follows:  $A \in \mathfrak{F}_{\kappa,\lambda}$  if and only if there is a closed and unbounded subset  $X$  of  $P_\kappa(\lambda)$  such that  $A_X \subseteq A$ .

**THEOREM 1.** *The filter  $\mathfrak{F}_{\kappa,\lambda}$  possesses the following properties:*

- (a) *The cones  $\check{a}$  (for  $a \in P_\kappa(\lambda)$ ) belong to  $\mathfrak{F}_{\kappa,\lambda}$ .*
- (b)  *$\mathfrak{F}_{\kappa,\lambda}$  is  $\kappa$ -complete.*
- (c)  *$\mathfrak{F}_{\kappa,\lambda}$  is normal; Fodor's property holds for  $\mathfrak{F}_{\kappa,\lambda}$ -stationary sets.*
- (d) *If  $\kappa \rightarrow (\lambda)$  and  $\mu$  is the normal measure induced on  $[\lambda]^\kappa$  by a witnessing embedding, then every set in  $\mathfrak{F}_{\kappa,\lambda}$  has  $\mu$ -measure 1. In this case  $\mathfrak{F}_{\kappa,\lambda}$  is not  $\kappa^+$ -complete.*
- (e)  *$\mathfrak{F}_{\kappa,\lambda}$  is the least  $\kappa$ -complete, normal, fine filter on  $[\lambda]^\kappa$ .*

**PROOF.** (a) If  $a \in P_\kappa(\lambda)$  the the cone  $\check{a}$  over  $a$  in  $[\lambda]^\kappa$  is exactly  $A_{\hat{a}}$ .

(b) Obvious.

(c) Let  $\{A_\nu \mid \nu < \lambda\}$  be a  $\lambda$ -sequence of elements of  $\mathfrak{F}_{\kappa,\lambda}$ . Choose, for each  $\nu < \lambda$ , a set  $X_\nu$  closed and unbounded in  $P_\kappa(\lambda)$  such that  $A_{X_\nu} \subseteq A_\nu$ . Define now  $Y = \Delta_{\nu < \lambda} X_\nu$ . We show that  $A_Y \subseteq \Delta_{\nu < \lambda} A_\nu$ . It is enough to verify that  $A_Y \subseteq \Delta_{\nu < \lambda} A_{X_\nu}$ . The latter set is  $\{P \in [\lambda]^\kappa \mid \text{for all } \xi \in P, P \in A_{X_\xi}\} = \{P \in [\lambda]^\kappa \mid \text{for all } \xi \in P \text{ there is a directed system } D_\xi \subseteq X_\xi \text{ such that } P = \bigcup D_\xi\}$ . Let  $P \in A_Y$ , and pick  $D \subseteq Y$ . Given  $\xi \in P$ , put  $D_\xi = \{a \in P_\kappa(\lambda) \mid a \in D \text{ and } \xi \in a\}$ . Then  $D_\xi$  is directed for each  $\xi \in P$ , since  $D \subseteq \Delta_{\nu < \lambda} X_\nu = Y$ ,  $D_\xi \subseteq X_\xi$ , and, finally,  $\bigcup D_\xi = \bigcup D$ .

(d) Assume now that  $\kappa \rightarrow (\lambda)$ . Let  $\mu$  be the normal measure in  $[\lambda]^\kappa$  generated by the witnessing embedding  $j$ ;  $\mu$  is defined by  $A \in \mu \Leftrightarrow j''\lambda \in j(A)$ .

Thus we must show that  $j''\lambda \in j(A_X)$  whenever  $X \subseteq P_\kappa(\lambda)$  is a closed unbounded set. By the elementarity of  $j$  we have that if  $j: V \rightarrow M$ , then  $j(A_X) = A_{j(X)}^M$ . We need

to show that  $M \vDash j''\lambda \in A_{j(X)}$ , i.e. we need to exhibit in  $M$  a directed system contained in  $A_{j(X)}$  whose union is  $j''\lambda$ . This system is simply  $\{j(a) \mid a \in X\}$ .

Under the hypothesis that  $\kappa \rightarrow (\lambda)$ , the filter  $\mathfrak{F}_{\kappa,\lambda}$  is not  $\kappa^+$ -complete. In fact, put  $A_\xi = \{\xi, \kappa + \xi\}$  (the cone in  $[\lambda]^\kappa$  over  $\{\xi, \kappa + \xi\}$ ). If  $\mathfrak{F}_{\kappa,\lambda}$  were  $\kappa^+$ -complete then we would have that  $\bigcap_{\xi < \kappa} A_\xi = \kappa \dot{\neq} \kappa$  is in the filter and, therefore, that it has measure 1. This is absurd since  $(\lambda)^\kappa \cap \kappa \dot{\neq} \kappa = \emptyset$ . From the proof it follows that  $A_X \in \mu$  for every  $X$  unbounded in  $P_\kappa(\lambda)$ .

(Note that if  $X$  is unbounded then  $A_X$  is  $\mathfrak{F}_{\kappa,\lambda}$  stationary. This follows from the fact that a hand-over-hand construction with alternating choices from a given closed and unbounded set and  $X$  is possible. In fact, the family of  $A_X$ 's for  $X$  unbounded generates a  $\kappa$ -complete filter. In opposition to Theorem 1(c), this filter does not seem to be normal.)

To prove (e) we need to establish some facts: Following Menas [Me1], given a function  $f: [\lambda]^n \rightarrow P_\kappa(\lambda)$  let  $C(f) = \{p \in P_\kappa(\lambda) \mid f(x_1, \dots, x_n) \subseteq p \text{ for all } x_1, \dots, x_n \text{ contained in } p\}$ . For any  $f: [\lambda]^n \rightarrow P_\kappa(\lambda)$ ,  $C(f)$  is a closed and unbounded subset of  $P_\kappa(\lambda)$ .

Also, let  $C_\kappa(f) = \{P \in [\lambda]^\kappa \mid f(x_1, \dots, x_n) \subseteq P \text{ for } x_1, \dots, x_n \text{ in } P\}$ . Given  $f: [\lambda]^n \rightarrow P_\kappa(\lambda)$ ,  $A_{C(f)} = C_\kappa(f)$ . To prove this, let  $P \in A_{C(f)}$ . There is a directed set  $D \subseteq C(f)$  such that  $P = \bigcup D$ . Now, if  $\{x_1, \dots, x_n\} \subseteq P$ , there is  $p \in D$  such that  $\{x_1, \dots, x_n\} \subseteq p$ , but then  $f(x_1, \dots, x_n) \subseteq p \subseteq P$ . Conversely, given  $P \in C_\kappa(f)$ , it is easy to show that  $C(f) \cap P$  is a directed subset of  $C(f)$  with union  $P$ .

Menas showed in [Me1] that for any  $X \subseteq P_\kappa(\lambda)$  closed and unbounded there is an  $f: [\lambda]^2 \rightarrow P_\kappa(\lambda)$  such that  $C(f) \subseteq X$ . From this follows

**LEMMA 2 (BASIS PROPERTY).** *A set  $A$  belongs to the filter  $\mathfrak{F}_{\kappa,\lambda}$  if and only if there is a function  $f: [\lambda]^2 \rightarrow P_\kappa(\lambda)$  such that  $C_\kappa(f) \subseteq A$ .*

Now (e) follows. Indeed, if  $\mathfrak{F}_{\kappa,\lambda}$  is not the least  $\kappa$ -complete, normal, fine filter on  $[\lambda]^\kappa$  then let  $\mathfrak{F} \subsetneq \mathfrak{F}_{\kappa,\lambda}$  be the least such filter. Let  $A \in \mathfrak{F}_{\kappa,\lambda} - \mathfrak{F}$ . Clearly both  $A$  and  $[\lambda]^\kappa - A$  are  $\mathfrak{F}$ -stationary (both meet each element of  $\mathfrak{F}$ ). By Lemma 2 there is  $f: [\lambda]^2 \rightarrow P_\kappa(\lambda)$  such that  $C_\kappa(f) \subseteq A$ . Thus  $([\lambda]^\kappa - A) \cap C_\kappa(f) = \emptyset$ . Applying normality of  $\mathfrak{F}$  twice, we find an  $\mathfrak{F}$ -stationary set  $B \subseteq ([\lambda]^\kappa - A)$  and a fixed pair of ordinals  $x_1, x_2$  in  $\lambda$  such that for every  $P \in B$ ,  $\{x_1, x_2\} \subseteq P$  and  $f(x_1, x_2) \not\subseteq P$ . But then,  $B \cap f(x_1, x_2) = \emptyset$ , contradicting the fact that  $\mathfrak{F}$  is fine.  $\square$

We remark that the filter  $\mathfrak{F}_{\kappa,\lambda}$  is never  $\kappa^{++}$  complete (for each  $\alpha < \kappa^+$  take  $\{\alpha\}^\vee = \{P \in [\lambda]^\kappa \mid \alpha \in P\}$ ; all these sets are in  $\mathfrak{F}_{\kappa,\lambda}$  but  $\bigcap_{\alpha < \kappa^+} \{\alpha\}^\vee = \emptyset$ ).

As in the case of  $P_\kappa(\lambda)$  (see Jech [Je1]) we tailored our definition of closed unbounded sets of  $[\lambda]^\kappa$  to be able to show that all elements of  $\mathfrak{F}_{\kappa,\lambda}$  have measure 1 under normal measures on  $[\lambda]^\kappa$ . It is known that the definition of closed unbounded subset of  $P_\kappa(\lambda)$  can be weakened by showing that an unbounded set is closed under directed systems if and only if it is closed under unions of chains (see Magidor [Ma]). The same phenomenon occurs for  $[\lambda]^\kappa$  since we have the following closure lemma.

LEMMA 3. Given  $\kappa$  an uncountable regular cardinal, let  $\{a_\xi \mid \xi < \kappa\}$  be a sequence of length  $\kappa$  such that  $\{a_\xi \mid \xi < \kappa\}$  is a directed subset of  $P_\kappa(\lambda)$ . Then there exist arbitrarily large initial segments  $\{a_\xi \mid \xi < \eta\}$  ( $\eta < \kappa$ ) which are directed.

Given a directed  $D \subseteq P_\kappa(\lambda)$ , if  $|\cup D| = \kappa$  and  $|D| > \kappa$  it is easy to construct  $D' \subseteq D$  with  $|D'| = \kappa$  and  $\cup D' = \cup D$ . Thus we may always assume our directed systems have cardinality  $\kappa$ . We use Lemma 3 to split  $D$  into an increasing chain of directed subsystems each of size smaller than  $\kappa$ . The union of each of these subsystems is in  $X$ . Thus, given  $P \in A_X$ , we can present  $P$  as the union of an increasing  $\kappa$ -chain of elements of  $X$ . We thus have

THEOREM 4. If statement (\*) of the definition of  $\mathfrak{F}_{\kappa,\lambda}$  is replaced by

(\*)  $A'_X = \{P \in [\lambda]^\kappa \mid P \text{ is the union of an increasing } \kappa\text{-chain of elements of } X\}$ ,  
we obtain the same filter.

The argument of the proof does not go through if  $X$  is only unbounded and not closed. In fact, if  $\kappa \rightarrow (\lambda)$  then the following set  $E$  is unbounded but  $A'_E$  is not in the filter (it has normal measure zero). Let

$$E = \{p \mid \exists \alpha \forall \xi < \lambda \text{ if } p \cap [\kappa \cdot \xi, \kappa \cdot (\xi + 1)) \neq \emptyset, \\ \text{then } p \cap [\kappa \cdot \xi, \kappa \cdot (\xi + 1)) = (\kappa \cdot \xi) + \alpha - (\kappa \cdot \xi) \\ \text{and } \{\xi \mid p \cap [\kappa \cdot \xi, \kappa \cdot (\xi + 1)) \neq \emptyset\} = \kappa \cap p = \alpha\}.$$

Clearly if  $P \in A'_E$  then o.t.  $P > \kappa$ . So  $A'_E \cap (\lambda)^\kappa = \emptyset$  [DPM].

Assume  $\kappa$  is huge with a target  $\lambda$  and  $\nu$  a corresponding normal measure in  $[\lambda]^\kappa$  and that, in addition, there exists a normal measure  $\mu$  in  $P_\kappa(\lambda)$  with the partition property (this happens, for instance, if  $\kappa$  is twice huge with  $\lambda$  a first target). The set  $E$  has  $\mu$ -measure 0. However since the measure  $\mu$  has the partition property there exists a set  $X$ , of  $\mu$ -measure 1 such that  $p, q \in X$  and  $p \subsetneq q \Rightarrow |p| < |q \cap \kappa|$  (cf. [Me2]). The set  $A'_X$  is not in our filter (otherwise  $A'_X \cap (\lambda)^\kappa$  has  $\nu$ -measure 1, which is absurd).

We will now prove a lemma which implies that, just as in the case of the closed unbounded filter in  $P_\kappa(\lambda)$ , it is enough to apply twice the operation  $\Delta$  (diagonal intersection) to cones to obtain all sets of the form  $A_X$  for  $X$  closed and unbounded in  $P_\kappa(\lambda)$ .

LEMMA 5. Given a collection  $\{X_\xi \mid \xi < \lambda\}$  of closed unbounded sets in  $P_\kappa(\lambda)$ ,

$$\Delta_{\xi < \lambda} A_{X_\xi} = A_{\Delta_{\xi < \lambda} X_\xi}.$$

PROOF. It is enough to prove  $\Delta_{\xi < \lambda} A_{X_\xi} \subseteq A_{\Delta_{\xi < \lambda} X_\xi}$ . We first prove the following:

Fact 6. If  $P \in \Delta_{\xi < \lambda} A_{X_\xi}$  then for every  $q \in P_\kappa(P)$ , the intersection  $\bigcap_{\xi \in q} X_\xi$  is closed and unbounded in  $P_\kappa(P)$ .

Indeed, given  $p \in P_\kappa(P)$ , we perform an induction of length  $|q| \cdot \omega$  to cover  $p$  with elements of each  $X_\xi$  ( $\xi \in q$ ). Since  $P \in \Delta_{\xi < \lambda} A_{X_\xi}$ , for every  $\alpha \in P$  there is an increasing  $\kappa$ -chain of elements of  $X_\alpha$  with union  $P$ . Therefore if  $q = \{\alpha_\nu \mid \nu < |q|\}$ , let  $p^0_\nu = p$ , and for each  $\nu < |q|$  let  $p^0_\nu \in X_{\alpha_\nu}$  be such that  $\bigcup_{\xi < \nu} p^0_\xi \subseteq p^0_\nu \subseteq P$ . Similarly,

put  $p_0^{n+1} = \bigcup_{\nu < |q|} p_\nu^n$  and  $p_\nu^{n+1} \in X_{\alpha_\nu}$  such that  $\bigcup_{\xi < \nu} p_\xi^{n+1} \subseteq p_\nu^{n+1} \subseteq P$ . The sets  $p_\nu^n$  can always be found as  $P$  is the limit of  $\kappa$ -chains of elements of each  $X_{\alpha_\nu}$ . Finally,  $\bigcup_{n \in \omega, \nu < |q|} p_\nu^n$  is a subset of  $P$  which contains  $p$  and belongs to  $\bigcap_{\xi \in q} X_\xi$ . This completes the proof of the Fact.

To complete the proof of Lemma 5 it is enough to show that if  $P \in \Delta_{\xi < \lambda} A_{X_\xi}$  and  $p \in P_\kappa(P)$  then there is a  $q \in \Delta_{\xi < \lambda} X_\xi$  such that  $p \subseteq q \subseteq P$ . Using Fact 6 we find such  $q$  as follows: Let  $q_0 = p$ ,  $q_{n+1}$  is a set in  $\bigcap_{\xi \in q_n} X_\xi$  such that  $q_n \subseteq q_{n+1} \subseteq P$ . Let  $q = \bigcup_{n \in \omega} q_n$ .  $\square$

If  $\mathcal{C}$  is a collection of subsets (of  $P_\kappa(\lambda)$  or  $[\lambda]^\kappa$ ) we denote by  $\Delta\mathcal{C}$  the collection consisting of diagonal intersections of elements of  $\mathcal{C}$ .

**COROLLARY 7.**  $\{A_X: X \text{ is closed and unbounded in } P_\kappa(\lambda)\} = \Delta\Delta\{\check{p} \mid p \in P_\kappa(\lambda)\}$ .

**PROOF.** D. Carr [Ca] showed that closed unbounded subsets of  $P_\kappa(\lambda)$  are just elements of  $\Delta\Delta\{\hat{p} \mid p \in P_\kappa(\lambda)\}$ . So given  $X \subseteq P_\kappa(\lambda)$  closed and unbounded,  $X = \Delta_{\xi < \lambda} \Delta_{\eta < \lambda} \hat{p}_{\xi, \eta}$ . Now we apply Lemma 5 twice.  $\square$

Consider now the following operator  $A''_X$ :

$$A''_X = \left\{ P \in [\lambda]^\kappa \mid \text{there is an end extension chain of length } \kappa \right. \\ \left. \text{of elements of } X, \langle p_\xi \rangle_{\xi < \kappa}, \text{ such that } P = \bigcup_{\xi < \kappa} p_\xi \right\}.$$

Clearly the elements of  $A''_X$  are of order type  $\kappa$  only, and, in fact, a form of the converse property holds as well:

If  $\langle p_\xi \rangle_{\xi < \kappa}$  is a  $\subseteq$ -chain such that  $\overline{\bigcup_{\xi < \kappa} p_\xi} = \kappa$ , then there exists a cofinal end extension subchain  $\langle p_{\eta_\xi} \rangle_{\xi < \kappa}$ .

It follows that if  $\kappa \rightarrow (\lambda)$  then the filter generated for  $A''_X$  (for  $X$  closed and unbounded) is exactly  $\mathfrak{F}_{\kappa, \lambda}$ . However, for the set  $X$  considered above,  $A''_X = \emptyset$  (even though  $\nu(A_X) = 1$ ).

**2. Another identity crisis.** As we showed in §1, if  $\kappa \rightarrow (\lambda)$  then  $\mathfrak{F}_{\kappa, \lambda}$  is included in any fine normal measure on  $[\lambda]^\kappa$ . In particular,  $(\lambda)^\kappa$  is  $\mathfrak{F}_{\kappa, \lambda}$ -stationary since it has measure 1 under any such measure. As we show below this is rather exceptional. First, notice the following:

**PROPOSITION 1.**  $(\lambda)^\kappa$  does not belong to the filter  $\mathfrak{F}_{\kappa, \lambda}$ .

**PROOF.** Construct, for any closed unbounded subset  $X$  of  $P_\kappa(\lambda)$ , an element of  $A_X$  of order type greater than  $\kappa$ . (In fact, for any  $\alpha, \kappa \leq \alpha < \kappa^+$ , there is an element of  $A_X$  of order type greater than  $\alpha$ .)  $\square$

We now prove some auxiliary facts regarding the width of the universe.

**PROPOSITION 2.** If  $0^\#$  does not exist then for every cardinal  $\kappa$  and  $\lambda \geq \kappa$ , whenever  $\langle A, \varepsilon \rangle <_1 \langle L_\lambda, \varepsilon \rangle$ ,  $|A| \geq \kappa$ , then  $L_\kappa \subseteq A$ .

**PROOF.** Otherwise there is  $\nu < \kappa$  such that  $\nu \notin A$ . Consider now  $\eta$  such that  $\pi: A \rightarrow L_\eta$  is the transitive Mostowski contraction. Then  $\eta \geq \kappa$  so  $\nu^{+t}$ , the successor of

$\nu$  in the sense of  $L$ , is less than or equal to  $\eta$ . In particular,  $P(\nu) \cap L \subseteq L_\eta$  so  $\{Y \subseteq \nu \mid \nu \in \pi^{-1}(Y)\}$  is an  $L$ -ultrafilter, contradicting the fact that  $0^\#$  does not exist.  $\square$

Similarly, we prove the following

**PROPOSITION 3.** *Let  $\kappa$  be a cardinal and  $a \subseteq \nu < \kappa$  such that  $a^\#$  does not exist. Then, if  $\langle A, \varepsilon \rangle <_1 \langle L_\lambda[a], \varepsilon \rangle$  and  $\{a\} \cup \nu \subseteq A$ , it follows that  $|A| \geq \kappa$  implies  $L_\kappa[a] \subseteq A$ .*

(This result can be extended even further, for instance, if  $0^\dagger$  does not exist, a similar lemma can be obtained for  $\nu$  greater than the least ordinal measurable in an inner model.)

**LEMMA 4.** *Let  $\kappa$  and  $a$  be as in Proposition 3 and  $\lambda > \kappa$ . Then the cone  $\check{\kappa}$  over  $\kappa$  in  $[\lambda]^\kappa$  belongs to  $\mathfrak{F}_{\kappa,\lambda}$ .*

**PROOF.** For every  $\xi \geq \kappa$ ,  $|L_\xi[a]| = |\xi|$ . Enumerate  $L_\lambda[a]$  in order type  $\lambda$  in such a way that  $L_\kappa[a]$  is enumerated by  $\kappa$ . Then every subset of  $\lambda$  codes a subset of  $L_\lambda[a]$ . Consider now  $X = \{p \subseteq \lambda \mid |p| < \kappa \text{ and } p \text{ codes an elementary substructure of } L_\lambda[a] \text{ containing } \{a\} \cup \nu\}$ .

The set  $X$  is clearly closed and unbounded in  $P_\kappa(\lambda)$ . If  $P \in A_X$  then  $P$  also codes an elementary substructure of  $L_\lambda[a]$  only now  $|P| = \kappa$ . By Proposition 3, the model coded by  $P$  contains  $L_\kappa[a]$ , so  $P$  must contain all of  $\kappa$  (since  $\kappa$  enumerates  $L_\kappa[a]$ ). We have thus proved that if  $P \in A_X$  then  $\kappa \subseteq P$ , that is to say,  $P \in \check{\kappa}$ . Therefore  $\check{\kappa} \in \mathfrak{F}_{\kappa,\lambda}$ .  $\square$

**THEOREM 5.** *Under the same assumptions,  $\check{P} \in \mathfrak{F}_{\kappa,\lambda}$  for all  $P \in [\lambda]^\kappa$ , therefore  $(\lambda)^\kappa$  is not  $\mathfrak{F}_{\kappa,\lambda}$ -stationary.*

**PROOF.** If  $\pi$  is a permutation of  $\lambda$ , it can be extended to  $P_\kappa(\lambda)$  and to  $[\lambda]^\kappa$  in the obvious way: if  $a \in P_\kappa(\lambda)$ ,  $\pi(a) = \pi''(a)$ , and for  $P \in [\lambda]^\kappa$ ,  $\pi(P) = \pi''P$ . It is clear that  $A_{\pi[X]} = \pi[A_X]$  for a closed unbounded  $X \subseteq P_\kappa(\lambda)$ . The filter generated by the closed unbounded subsets of  $P_\kappa(\lambda)$  and the filter  $\mathfrak{F}_{\kappa,\lambda}$  are invariant under any permutation of  $\lambda$  and thus, if for any  $P \in [\lambda]^\kappa$ ,  $\check{P} \in \mathfrak{F}_{\kappa,\lambda}$ , then for every  $P \in [\lambda]^\kappa$  we have  $\check{P} \in \mathfrak{F}_{\kappa,\lambda}$ . The rest follows easily.  $\square$

Using this theorem we can proceed toward a connection between  $\mathfrak{F}_{\kappa,\lambda}$  and the closed unbounded filter on  $P_{\kappa^+}(\lambda)$ .

**LEMMA 6.** *If  $X \subseteq P_\kappa(\lambda)$  is closed and unbounded then  $A_X$  is closed under unions of increasing chains of length  $\leq \kappa$ .*

**PROOF.** Let  $\{P_\xi\}_{\xi < \eta}$  be an  $\eta$ -chain of elements of  $A_X$  with  $\eta < \kappa$ , and let  $P = \bigcup_{\xi < \eta} P_\xi$ . For each  $\xi < \eta$ ,  $P_\xi = \bigcup_{\zeta < \kappa} p_{\zeta,\xi}^\xi$ , where  $p_0^\xi \subseteq p_1^\xi \subseteq \dots \subseteq p_\zeta^\xi \subseteq \dots$ ,  $\zeta < \kappa$ , is an increasing  $\kappa$ -chain of elements of  $X$ .

We will now construct a  $\kappa$ -chain  $\{q_\zeta\}_{\zeta < \kappa} \subseteq X$  such that  $\bigcup_{\zeta < \kappa} q_\zeta = P$ . Each  $q_\zeta$  ( $\zeta < \kappa$ ) will in turn be the union of an  $\eta$ -chain of elements of  $X$ ,

$$q_\zeta = \bigcup_{\xi < \eta} q_{\zeta,\xi}$$

Define the  $q_{\zeta,\xi}$ 's as follows:

$$q_{0,0} = p_0^0, \quad q_{0,\xi} = \text{the first element of } \{p_\zeta^\xi\}_{\zeta < \kappa} \text{ containing } \bigcup_{\delta < \xi} q_{0,\delta}.$$

Note that  $q_{0,\xi}$  is defined because  $\bigcup_{\delta < \xi} q_{0,\delta}$  has cardinality  $< \kappa$  and it is contained in  $P_\xi$ . Since  $P_\xi$  has cardinality  $\kappa$  and  $P_\xi = \bigcup_{\zeta < \kappa} p_\zeta^\xi$  there must be a  $p_\zeta^\xi$  containing  $\bigcup_{\delta < \xi} q_{0,\delta}$ .

Now put  $q_0 = \bigcup_{\xi < \eta} q_{0,\xi}$ . If we have already defined  $q_\delta$  for all  $\delta < \zeta$  then we define  $q_{\zeta,0}$  as the first element of  $\{p_\zeta^0\}_{\zeta < \kappa}$  covering properly  $\bigcup_{\delta < \zeta} q_{\delta,0}$ , and  $q_{\zeta,\xi}$  as the first element of  $\{p_\zeta^\xi\}_{\zeta < \kappa}$  covering  $\bigcup_{\tau \leq \xi} \bigcup_{\delta < \zeta} q_{\delta,\tau}$ . Now put  $q_\zeta = \bigcup_{\xi < \eta} q_{\zeta,\xi}$ .

Clearly, each  $q_\zeta \in X$ , and  $\bigcup q_\zeta = P$ .

For sequences of length  $\kappa$  the construction is somewhat different: Let  $\{P_\xi\}_{\xi < \kappa}$  be an increasing  $\kappa$ -chain of elements of  $A_X$ . As before for each  $\xi < \kappa$ ,  $P_\xi = \bigcup_{\zeta < \kappa} p_\zeta^\xi$ , where  $\{p_\zeta^\xi\}_{\zeta < \kappa}$  is an increasing  $\kappa$ -chain from  $X$ . We now define a  $\kappa$ -chain  $\{q_\zeta\}_{\zeta < \kappa} \subseteq X$  such that  $\bigcup_{\zeta < \kappa} q_\zeta = \bigcup_{\xi < \kappa} P_\xi$ . Let  $q_0 = p_0^0$ , and if we have defined  $q_\delta$  for all  $\delta < \gamma$ , put  $q_\gamma =$  the first element of  $\{p_\zeta^\gamma\}_{\zeta < \kappa}$  covering  $(\bigcup_{\delta < \gamma} q_\delta) \cup (\bigcup \{p_\beta^\alpha \mid \alpha, \beta < \gamma\})$ . Clearly  $\bigcup_{\zeta < \kappa} q_\zeta = \bigcup_{\xi < \kappa} P_\xi$ , and each  $q_\zeta \in X$ .  $\square$

**THEOREM 7.** *Under the hypothesis of Proposition 3,  $\mathfrak{F}_{\kappa,\lambda} = \text{CLUB}_{\kappa^+,\lambda} \upharpoonright [\lambda]^\kappa$  (where  $\text{CLUB}_{\kappa^+,\lambda}$  is the filter generated by the closed unbounded subsets of  $P_{\kappa^+}(\lambda)$ ).*

**PROOF.** The previous lemma implies that  $\mathfrak{F}_{\kappa,\lambda} \subseteq \text{CLUB}_{\kappa^+,\lambda}$  because under our assumptions all the cones  $\check{P}$ , for  $P \in P_{\kappa^+}(\lambda)$ , belong to  $\mathfrak{F}_{\kappa,\lambda}$  and therefore each  $A \in \mathfrak{F}_{\kappa,\lambda}$  is unbounded in  $P_{\kappa^+}(\lambda)$ .

For the other inclusion we use Carr's result, namely that if  $A \in \text{CLUB}_{\kappa^+,\lambda}$  then  $A = \Delta_{\xi < \lambda} \Delta_{\eta < \lambda} \hat{r}_{\xi,\eta}$  with  $r_{\xi,\eta} \in P_{\kappa^+}(\lambda)$  (and  $\hat{r}_{\xi,\eta}$  is its cone in  $P_{\kappa^+}(\lambda)$ ). Now, if  $r_{\xi,\eta} \in [\lambda]^\kappa$  then the cone over  $r_{\xi,\eta}$  in  $P_{\kappa^+}(\lambda)$  is just  $\check{r}_{\xi,\eta}$ , which under our assumption is in  $\mathfrak{F}_{\kappa,\lambda}$ . It is easy to verify that  $A = \Delta_{\xi < \lambda} \Delta_{\eta < \lambda} \hat{r}_{\xi,\eta}$ , and therefore  $A \in \mathfrak{F}_{\kappa,\lambda}$  since  $\mathfrak{F}_{\kappa,\lambda}$  is normal.  $\square$

One way of interpreting these results is that under assumptions like  $V = L$ , besides Menas' basis for the closed unbounded sets in  $P_{\kappa^+}(\lambda)$  there are two other bases. One is sets of the the form  $A_X$  for  $X$  closed and unbounded in  $P_\kappa(\lambda)$ . Another is sets of the form  $C_\kappa(f)$  for  $f: [\lambda]^2 \rightarrow P_\kappa(\lambda)$ .

These results show that  $\mathfrak{F}_{\kappa,\lambda}$  might or might not be the closed unbounded filter on  $P_{\kappa^+}(\lambda)$  restricted to  $[\lambda]^\kappa$  depending on the width of the universe.

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INSTITUTO VENEZOLANO DE INVESTIGACIONES CIENTÍFICAS, APDO. 1827, CARACAS, 1010A VENEZUELA  
(Current address of C. A. Di Prisco)

UNIVERSIDAD CENTRAL DE VENEZUELA, CIUDAD UNIVERSITARIA LOS CHAGUARAMOS, CARACAS 1051,  
VENEZUELA

UNIwersytet Warszawski, Instytut Matematyki, Krakowskie Przedmieście 26–28, 00-325  
Warszawa, Poland

*Current address* (W. Marek): Department of Computer Science, University of Kentucky, Lexington,  
Kentucky 40506-0027