

Martin's Axiom and Choice Principles

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Statement of Martin's Axiom

Let κ be an infinite well-ordered cardinal number. $\text{MA}(\kappa)$ stands for the principle:

If (P, \leq) is a non-empty c.c.c. partial order and if \mathcal{D} is a family of $\leq \kappa$ dense sets in P , then there is a filter F of P such that $F \cap D \neq \emptyset$ for all $D \in \mathcal{D}$.

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Martin's Axiom: $\forall \omega \leq \kappa < 2^{\aleph_0}$ ($\text{MA}(\kappa)$).

Some Known Facts

- ZFC $\not\vdash$ MA: **(a)** AC (the *Axiom of Choice*) + MA $\Rightarrow 2^{\aleph_0}$ is regular **(b)** it is relatively consistent with ZFC that 2^{\aleph_0} is singular.

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- MA(2^{\aleph_0}) is false.
- (ZF) DC \Rightarrow MA(\aleph_0) \Rightarrow “every compact c.c.c. T_2 space is Baire” \Rightarrow “every countable compact T_2 space is Baire”, where DC is the *Principle of Dependent Choice*: if R is a binary relation on a non-empty set E such that $\forall x \in E \exists y \in E (x R y)$, then there is a sequence $(x_n)_{n \in \omega}$ of elements of E such that $\forall n \in \omega (x_n R x_{n+1})$.

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- MA(\aleph_0) is **not provable** in ZF.
- (ZFC) For any $\kappa \geq \omega$, MA(κ) \Leftrightarrow MA(κ) restricted to complete Boolean algebras \Leftrightarrow MA(κ) restricted to partial orders of cardinality $\leq \kappa$ \Leftrightarrow if X is any compact c.c.c. T_2 space and U_α are dense open sets for $\alpha < \kappa$, then $\bigcap_{\alpha} U_\alpha \neq \emptyset$.

Let MA_κ denote $MA(\kappa)$ restricted to partial orders of cardinality $\leq \kappa$ and let MA^* denote $\forall \kappa < 2^{\aleph_0} (MA_\kappa)$. Then from the above observations we have that

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However, we have shown that this is not the case in set theory without choice.

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- Note that MA_{\aleph_0} is provable in ZF, MA_{\aleph_1} is **not** provable in ZFC (Gödel's model $L \models \text{GCH} + \neg MA_{2^{\aleph_0}}$), and $\text{CH} \Rightarrow MA^*$.

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- 5 Does “every Dedekind-finite set is finite” imply $\text{MA}(\aleph_0)$? (**Negative answer** in ZF.)
- 6 Does $\forall p(2p = p)$ imply $\text{MA}(\aleph_0)$?

- It is **unknown** whether “*every countable compact T_2 space is Baire*” is provable in ZF. Our conjecture is that the answer is in the negative.

We note that the stronger statement “*every countable compact T_2 space is metrizable*” is **not provable** in ZF (Keremedis–Tachtsis, 2007)

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- (Fossy–Morillon, 1998) “Every compact T_2 space is Baire” is **equivalent** to *Dependent Multiple Choice* (DMC): if R is a binary relation on a non-empty set E such that $\forall x \in E \exists y \in E (x R y)$, then there is a sequence $(F_n)_{n \in \omega}$ of non-empty finite subsets of E such that $\forall n \in \omega \forall x \in F_n \exists y \in F_{n+1} (x R y)$.

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 - DMC is strictly weaker than DC and MC (the *Axiom of Multiple Choice*).
 - MC is equivalent to AC in ZF, but is *not* equivalent to AC in ZFA.

A preliminary and a couple of known results

Theorem

“Every compact c.c.c. T_2 space is Baire” + the Boolean Prime Ideal Theorem (BPI) \Rightarrow MA(\aleph_0) restricted to complete Boolean algebras. Thus, DMC + BPI \Rightarrow MA(\aleph_0) restricted to complete Boolean algebras.

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(BPI is **equivalent** to “ \forall infinite X , the Stone space $S(X)$ of X is compact” (Herrlich–Keremedis–Tachtsis, 2011). We establish that BPI **cannot be dropped** from the hypotheses. Hence, MA(\aleph_0) is **not equivalent** to “every compact c.c.c. T_2 space is Baire” in set theory without choice.)

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Proof Let $(B, +, \cdot, 0, 1)$ be a c.c.c. complete Boolean algebra. Let $S(B)$ be the Stone space of B (which is T_2). By BPI, $S(B)$ is compact. Using the fact that B has the c.c.c. and is *complete*, one shows that $S(B)$ is a c.c.c. space, and hence it is Baire. Then, a generic filter for a given countable set of dense subsets of $B \setminus \{0\}$ can be obtained, using the fact that $S(B)$ is Baire. 

Lemma

Let (P, \leq) be a partial order. Then there is a complete Boolean algebra B and a map $i : P \rightarrow B \setminus \{0\}$ such that:

- 1 $i[P]$ is dense in $B \setminus \{0\}$.
- 2 $\forall p, q \in P (p \leq q \rightarrow i(p) \leq i(q))$.
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(If (P, \leq) is a partial order, then B is the complete Boolean algebra $\text{ro}(P)$ of the regular open subsets of P (O is regular open if $O = \text{int cl}(O)$ = the interior of the closure of O), where P is endowed with the topology generated by the sets $N_p = \{q \in P : q \leq p\}$, $p \in P$. Also, for $b, c \in B$, $b \leq c$ if and only if $b \subseteq c$, $b \wedge c = b \cap c$, $b \vee c = \text{int cl}(b \cup c)$, $b' = \text{int}(P \setminus b)$, and if $S \subseteq B$, $\bigvee S = \text{int cl}(\bigcup S)$ and $\bigwedge S = \text{int}(\bigcap S)$. For $p \in P$, $i(p) := \text{int cl}(N_p)$.)

Theorem

(Herrlich–Keremedis, 1999) The following hold:

- ① $\text{MA}(\aleph_0) + \text{AC}_{\text{fin}}^{\aleph_0}$ implies \forall infinite X (2^X is Baire) which in turn implies the following:
 - (a) \forall infinite X , $\mathcal{P}(X)$ is Dedekind-infinite,
 - (b) $\text{AC}_{\text{fin}}^{\aleph_0}$,
 - (c) The Partial Kinna–Wagner Selection Principle (i.e. for every infinite family \mathcal{A} such that $\forall X \in \mathcal{A}$, $|X| \geq 2$, there is an infinite subfamily \mathcal{B} and a function F on \mathcal{B} such that $\forall B \in \mathcal{B}$, $\emptyset \neq f(B) \subsetneq B$).
- ② For any infinite set X , if 2^X is Baire then X is not amorphous.

(An infinite set X is *amorphous* if it cannot be written as a disjoint union of two infinite sets.)

Lemma

Let A and B be two sets such that B has at least two elements. Then for $(P, \leq) = (\text{Fn}(A, B), \supseteq)$, the mapping $i : P \rightarrow \text{ro}(P) \setminus \{\emptyset\}$ ($i(p) = \text{int cl}(N_p)$) is $i(p) = N_p$ for all $p \in P$, where for $p \in P$, $N_p = \{q \in P : q \leq p\}$.

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Proof Fix $p \in P$. Since $\forall q \in P$, N_q is the smallest (w.r.t. \subseteq) open set containing q , we have $q \in \text{cl}(N_p)$ iff $N_q \cap N_p \neq \emptyset$ iff p and q are compatible. Thus, $\text{cl}(N_p) = \{q \in P : q \text{ is compatible with } p\}$. Hence, $r \in \text{int cl}(N_p)$ iff $N_r \subseteq \text{cl}(N_p)$ iff every $q \leq r$ is compatible with p . Thus, $\text{int cl}(N_p) = \{r \in P : \text{every extension of } r \text{ is compatible with } p\}$.

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Now, let $r \in \text{int cl}(N_p)$. If $r \notin N_p$, then $p \not\leq r$. Then $\exists a \in A$ such that $(a, p(a)) \in p \setminus r$, and since $|B| \geq 2$, $\exists b \in B \setminus \{p(a)\}$. Let $r' = r \cup \{(a, b)\}$. Then r' is an extension of r which is incompatible with p , and hence $r \notin \text{int cl}(N_p)$, a contradiction. Therefore, $\text{int cl}(N_p) = N_p$, so $i(p) = N_p$ for all $p \in P$.

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Proof Let $D = \{d_n : n \in \omega\}$ be a countable dense subset of $2^{\mathbb{R}}$. ($2^{\mathbb{R}}$ is separable in ZF). Let $\mathcal{B} = \text{ro}(P)$ be the complete Boolean algebra associated with the poset $(P, \leq) = (\text{Fn}(\mathbb{R}, 2), \supseteq)$ via the mapping i of the lemma.

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- \mathcal{B} has the c.c.c.: Let S be an antichain in \mathcal{B} and $s \in S$. Since $i[P]$ is dense in $\mathcal{B} \setminus \{\emptyset\}$ and D is dense in $2^{\mathbb{R}}$, we may let $n_s = \min\{n \in \omega : \exists F_{n,s} \in [\mathbb{R}]^{<\omega}, i(d_n \upharpoonright F_{n,s}) \subseteq s\}$. Since $p \leq q \rightarrow i(p) \leq i(q)$, the map $s \mapsto n_s, s \in S$, is 1-1 (if $s, s' \in S$ are such that $s \neq s'$, but $n_s = n_{s'} = k$ for some $k \in \omega$, then there are $F_{k,s}, F_{k,s'} \in [\mathbb{R}]^{<\omega}$ such that

$$i(d_k \upharpoonright F_{k,s}) \subseteq s \text{ and } i(d_k \upharpoonright F_{k,s'}) \subseteq s'.$$

Letting q be the union of the above two restrictions of d_k we have that $i(q) \subseteq s$ and $i(q) \subseteq s'$, and thus s and s' are compatible, a contradiction). Therefore, S is countable and \mathcal{B}

- Let $\mathcal{O} = \{O_n : n \in \omega\}$ be a family of dense open subsets of $2^{\mathbb{R}}$. Then, $\forall n \in \omega, D_n := \{p \in P : [p] \subseteq O_n\}$ is dense in P . Hence, $i[D_n]$ is dense in $\mathcal{B} \setminus \{\emptyset\}$ for all $n \in \omega$. By $\text{MA}(\aleph_0)$ on \mathcal{B} , there is a filter G of \mathcal{B} such that $G \cap i[D_n] \neq \emptyset$ for each $n \in \omega$. Then (by the lemma)
 $H = i^{-1}(G) = \{p \in P : i(p) = N_p \in G\}$ and clearly $H \cap D_n \neq \emptyset$ for each $n \in \omega$.

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Furthermore, H is a filter of P : Since $p \leq q \rightarrow i(p) \leq i(q)$ and G is a filter of \mathcal{B} , it follows that H is upward closed.

Now, let $p, q \in H$. Then $i(p) = N_p$ and $i(q) = N_q$ are in G ; hence $N_p \cap N_q \in G$. However, $N_p \cap N_q = N_{p \cup q}$, and hence $i(p \cup q) \in G$, so $p \cup q \in H$ and clearly $p \cup q \leq p$ and $p \cup q \leq q$. Thus, H is a filter of P . It follows that $\bigcup H$ is a function with $\text{dom}(\bigcup H) \subseteq \mathbb{R}$ and $\text{ran}(\bigcup H) \subseteq 2$. So, extending $\bigcup H$ to a function $f \in 2^{\mathbb{R}}$, we obtain that $f \in \bigcap \mathcal{O}$.

□

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- The weaker result “ $\text{MA}(\aleph_0) \Rightarrow 2^{\mathbb{R}}$ is Baire” has a much easier proof than the one for the previous theorem, and its **keypoint is the ZF fact that the poset** $(\text{Fn}(\mathbb{R}, 2), \supseteq)$ (which is order isomorphic to (\mathcal{B}, \subseteq) , where \mathcal{B} is the standard base for the Tychonoff topology on $2^{\mathbb{R}}$) **has the c.c.c.** In fact, its proof readily yields that for any set X ,
 - “ $(\text{Fn}(X, 2), \supseteq)$ has the c.c.c.” + $\text{MA}(\aleph_0) \Rightarrow 2^X$ is Baire.

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Proof Assume $AC_{\text{fin}}^{\aleph_0}$ and let X be an infinite set. Let S be an antichain in $(\text{Fn}(X, 2), \supseteq)$. For each $n \in \omega$, let $S_n = \{p \in S : |p| = n\}$. It is fairly easy to see that since S is an antichain and $\forall s \in S, \text{ran}(s) \subseteq 2$, we have that S_n is a finite set for each $n \in \omega$. By $AC_{\text{fin}}^{\aleph_0}$, it follows that $S = \bigcup_{n \in \omega} S_n$ is countable.

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Assume that for every infinite set X , $(\text{Fn}(X, 2), \supseteq)$ has the c.c.c.. Let $\mathcal{A} = \{A_i : i \in \omega\}$ be a countably infinite family of non-empty finite sets. Without loss of generality, we may assume that \mathcal{A} is disjoint. Let $X = \bigcup \mathcal{A}$. By our hypothesis, $(\text{Fn}(X, 2), \supseteq)$ has c.c.c. Let

$$S_0 = \{f \in 2^{A_0} : |f^{-1}(\{1\})| = 1\},$$

and for $i \in \omega \setminus \{0\}$, let

$$S_i = \{f \in 2^{A_0 \cup \dots \cup A_i} : [f \upharpoonright (A_0 \cup \dots \cup A_{i-1}) \equiv \mathbf{0}] \wedge [|f^{-1}(\{1\}) \cap A_i| = 1]\}.$$

Then $S = \bigcup_{i \in \omega} S_i$ is an antichain in $(\text{Fn}(X, 2), \leq)$, and thus S is countable, and clearly $|S| = \aleph_0$. Let $S = \{s_n : n \in \omega\}$ be an enumeration of S . For $j \in \omega$, let $n_j = \min\{n \in \omega : s_n \in S_j\}$ and $c_j =$ the unique element x of A_j such that $s_{n_j}(x) = 1$. Then $f = \{(j, c_j) : j \in \omega\}$ is a choice function of the family \mathcal{A} . \square

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Corollary

$\text{BPI} \Rightarrow$ "for every infinite set X , $(\text{Fn}(X, 2), \supseteq)$ has the c.c.c.".
The implication is not reversible in ZF.

Theorem

MA(\aleph_0) restricted to complete Boolean algebras is false in the Second Fraenkel Model of ZFA. Thus, MC $\not\Rightarrow$ (MA(\aleph_0) restricted to complete Boolean algebras) in ZFA set theory, and consequently MC (and hence “every compact T_2 space is Baire”) does not imply MA(\aleph_0) in ZFA.

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- Let $P = \{f : f \text{ is a choice function of } \{A_i : i \leq n\} \text{ for some } n \in \omega\}$, and for $f, g \in P$, declare $f \leq g$ if and only if $f \supseteq g$. Then $(P, \leq) \in \mathcal{N}$ and every antichain in P is finite.

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- The mapping $i : P \rightarrow \text{ro}(P) \setminus \{\emptyset\}$ is $i(p) = N_p$.

- The complete Boolean algebra $(\text{ro}(P), \subseteq)$ has the c.c.c.; in fact, every antichain in $\text{ro}(P)$ is finite: Let S be an antichain in B . For every $s \in S$, let

$$W_s = \{p \in P : |p| = n_s \text{ and } i(p) \subseteq s\}$$

where n_s is the least integer n such that there is a $p \in P$ with $i(p) \subseteq s$. Then $W = \bigcup\{W_s : s \in S\}$ is an antichain in P , thus it is finite. Hence, S is finite.

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- $\forall n \in \omega$, the set

$$D_n = \{f \in P : A_n \in \text{dom}(f)\}$$

is dense in P , and hence $i[D_n]$ is dense in $\text{ro}(P)$ for all $n \in \omega$. Let $\mathcal{D} = \{D_n : n \in \omega\}$. If G were an $i[\mathcal{D}]$ -generic filter of $\text{ro}(P)$, then $H = i^{-1}(G)$ would be a \mathcal{D} -generic filter of P , so $\bigcup H$ would be a choice function of \mathcal{A} , which is impossible. Thus, $\text{MA}(\aleph_0)$ is false for the c.c.c. complete Boolean algebra $\text{ro}(P)$. □

Theorem

$MA(\aleph_0)$ is false in Mostowski's Linearly Ordered Model of ZFA.
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Proof Start with a ground model M with a linearly ordered set (A, \preceq) of atoms which is order isomorphic to (\mathbb{Q}, \leq) . G is the group of all order automorphisms of (A, \preceq) and Γ is finite support filter. The Mostowski model \mathcal{N} is the model determined by M , G and Γ .

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The power set of the set A of atoms in Mostowski's model is Dedekind-finite, and hence $\forall X (2^X \text{ is Baire})$ is false in \mathcal{N} . Since BPI is true in \mathcal{N} , it follows that $\forall X ((\mathbb{F}_n(X, 2), \supseteq)$ has the c.c.c.) is also true in \mathcal{N} . Thus, $MA(\aleph_0)$ is false in Mostowski's model. \square

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Proof Start with a ground model M of ZFA + AC with a countable set A of atoms. Let G be the group of all permutations of A and let Γ be the finite support filter. Then the Basic Fraenkel Model \mathcal{N} is the permutation model determined by M , G and Γ .

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$MA(\aleph_0)$ is false in \mathcal{N} , since $\forall X$, $\text{Fn}(X, 2)$ has the c.c.c. (for $\text{AC}_{\text{fin}}^{\aleph_0}$ is true in \mathcal{N}) and A is amorphous (where A is the set of atoms), and hence 2^A is not Baire in \mathcal{N} . \square

Theorem

If ZFA is consistent, so is $ZFA + MA^ + \neg MA(\aleph_0) + (DF = F) + CUT$.*

(DF = F stands for “every Dedekind-finite is finite” and CUT is the Countable Union Theorem.)

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Proof Start with a model M of $ZFA + AC + CH$, in which there is a set of atoms $A = \bigcup \{A_n : n \in \omega\}$ which is a countable disjoint union of \aleph_1 -sized sets. Let G be the group of all permutations of A , which fix A_n for every $n \in \omega$. Let Γ be the (normal) filter of subgroups of G generated by $\{\text{fix}_G(E) : E = \bigcup_{i \in I} A_i, I \in [\omega]^{<\omega}\}$. Let \mathcal{N} be the FM model determined by M , G and Γ .

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- In \mathcal{N} , CH is true, hence so is MA^* .
- The family $\mathcal{A} = \{A_n : n \in \omega\}$ has no partial Kinna–Wagner Selection function in \mathcal{N} .

- $DF = F$ is true in \mathcal{N} , and hence $\forall X, (\text{Fn}(X, 2), \supseteq)$ has the c.c.c.:

Let $x \in \mathcal{N}$ be a non-well-orderable set and let $E = \bigcup \{A_i : i \leq k\}$ be a support of x . Then there exists an element $z \in x$ and a $\phi \in \text{fix}_G(E)$ such that $\phi(z) \neq z$. Let E_z be a support of z ; wlog assume that $E_z = E \cup A_{k+1}$ and that $\phi \in \text{fix}_G(A \setminus A_{k+1})$. Let

$$y = \{\psi(z) : \psi \in \text{fix}_G(A \setminus A_{k+1})\}.$$

Then y is well-orderable and infinite; otherwise the index of the proper subgroup

$$H = \{\eta \in \text{fix}_G(A \setminus A_{k+1}) : \eta(z) = z\}$$

in $\text{fix}_G(A \setminus A_{k+1})$ is finite. However, $\text{fix}_G(A \setminus A_{k+1})$ is isomorphic to $\text{Sym}(\aleph_1)$, and by a result of Gaughan, every proper subgroup of $\text{Sym}(\aleph_1)$ has uncountable index. We have reached a contradiction, and thus y is infinite.

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Theorem

There is a ZF model in which $(DF = F) + CUT$ is true, whereas $MA(\aleph_0)$ is false.

- CUT is true in \mathcal{N} : Fairly similar argument to the one for $DF = F$ in \mathcal{N} .
- $MA(\aleph_0)$ is false in \mathcal{N} : **(a)** $(Fn(A, 2), \supseteq)$ has the c.c.c. (since by CUT in \mathcal{N} – or $DF = F$ –, it follows that $AC_{fin}^{\aleph_0}$ is also true in \mathcal{N}) **(b)** $\mathcal{A} = \{A_n : n \in \omega\}$ has no partial Kinna–Wagner selection function in \mathcal{N} , and hence $2^A (= 2^{\cup \mathcal{A}})$ is not Baire in \mathcal{N} . □

Theorem

There is a ZF model in which $(DF = F) + CUT$ is true, whereas $MA(\aleph_0)$ is false.

Proof This follows from the facts that

$\Phi = (DF = F) + CUT + \neg MA(\aleph_0)$ is a conjunction of injectively boundable statements and Φ has a ZFA model, so by Pincus' transfer theorems it follows that Φ has a ZF model. □

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Proof We start with a countable transitive model M of $ZF + CH$, and we extend M to a symmetric model N of ZF with the same reals as in M , but which does not satisfy AC^{\aleph_0} .

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Proof We start with a countable transitive model M of $ZF + CH$, and we extend M to a symmetric model N of ZF with the same reals as in M , but which does not satisfy AC^{\aleph_0} .

Let $P = \text{Fn}(\omega \times \aleph_1 \times \aleph_1, 2, \aleph_1)$ be the set of all partial functions p with $|p| < \aleph_1$, $\text{dom}(p) \subset \omega \times \aleph_1 \times \aleph_1$ and $\text{ran}(p) \subseteq 2$, partially ordered by reverse inclusion, i.e., $p \leq q$ if and only if $p \supseteq q$. Since \aleph_1 is a regular cardinal, it follows that (P, \leq) is a \aleph_1 -closed poset. Hence, forcing with P adds only new subsets of \aleph_1 and no new subsets of cardinals $< \aleph_1$. Therefore, forcing with P adds no new reals; it only adds new subsets of \mathbb{R} .

Let $a_{n,m} = \{j \in \aleph_1 : \exists p \in G, p(n, m, j) = 1\}$, $n \in \omega$, $m \in \aleph_1$, let $A_n = \{a_{n,m} : m \in \aleph_1\}$, $n \in \omega$, and let $\mathcal{A} = \{A_n : n \in \omega\}$.

Every permutation ϕ of $\omega \times \aleph_1$ induces an order-automorphism of (P, \leq) by requiring for every $p \in P$,

$$\begin{aligned}\text{dom } \phi(p) &= \{(\phi(n, m), k) : (n, m, k) \in \text{dom}(p)\}, \\ \phi(p)(\phi(n, m), k) &= p(n, m, k).\end{aligned}$$

Let \mathcal{G} be the group of all order-automorphisms of (P, \leq) induced (as above) by all those permutations ϕ of $\omega \times \aleph_1$, which satisfy

$$\phi(n, m) = (n, m') \text{ for all ordered pairs } (n, m) \in \omega \times \aleph_1.$$

(So ϕ is essentially such that $\forall n \in \omega, \exists$ permutation ϕ_n of \aleph_1 so that $\phi(n, m) = (n, \phi_n(m))$ for all $n \in \omega$. Further, the effect of ϕ on a condition $p \in P$ is that ϕ changes only the second coordinate of p .)

For every finite subset $E \subset \omega \times \aleph_1$, let $\text{fix}_{\mathcal{G}}(E) = \{\phi \in \mathcal{G} : \forall e \in E, \phi(e) = e\}$ and let Γ be the filter of subgroups of \mathcal{G} generated by $\{\text{fix}_{\mathcal{G}}(E) : E \subset \omega \times \aleph_1, |E| < \aleph_0\}$. An element $x \in M$ is called *symmetric* if there exists a finite subset $E \subset \omega \times \aleph_1$ such that $\forall \phi \in \text{fix}_{\mathcal{G}}(E), \phi(x) = x$. Under these circumstances, we call E a *support* of x . An element $x \in M$ is called *hereditarily symmetric* if x and every element of the transitive closure of x is symmetric. Let HS be the set of all hereditarily symmetric names in M and let $N = \{\tau_G : \tau \in \text{HS}\} \subset M[G]$ be the symmetric extension model of M . Since M and N have the same reals, we have MA^* is true in the model N .

Furthermore, the countable family $\mathcal{A} = \{A_n : n \in \omega\}$ has no choice function, and thus AC^{\aleph_0} is false in N . □

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Thank You!