

An Inner Model Proof of the Strong Partition Property for δ_1^2

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Abstract Assuming $V = L(\mathbb{R}) + AD$, using methods from inner model theory, we give a new proof of the strong partition property for δ_1^2 . The result was originally proved by Kechris et al.

The main theorem of this note is the following special case of [3, Theorem 1.1] originally due to Kechris, Kleinberg, Moschovakis, and Woodin.

Theorem 0.1 Assume $V = L(\mathbb{R}) + AD$. Then δ_1^2 has the strong partition property, that is, $\delta_1^2 \rightarrow (\delta_1^2)^{\delta_1^2}$ holds.

Our proof uses techniques from inner model theory and resembles Martin's proof of strong partition property for ω_1 (see Jackson [2]). We expect that it will have other applications and, in particular, can be used to show that under AD^+ , if Γ is any Π_1^1 -like (i.e., closed under $\forall^{\mathbb{R}}$ and non-self-dual) scaled point class and $\delta = \delta(\Gamma)$, then δ has the strong partition property. Our motivation to find a new proof of Theorem 0.1 comes from a desire to prove Kechris–Martin-like results for Π_1^1 -like scaled point classes which will settle Schimmerling [8, Question 19] and most likely, several other questions in the same neighborhood. We are optimistic that inner model-theoretic techniques will settle this question, and our optimism comes from the fact that the literature is already full of descriptive set-theoretic results that have been proved using methods from inner model theory (see, e.g., Hjorth [1], Sargsyan [5], and Steel [11]). More importantly for us, recently, Neeman, in [4], found a proof of the Kechris–Martin theorem for Π_3^1 using techniques from inner model theory. Finally, we believe that our proof can be used to prove the strong partition property for many cardinals $\delta = \delta(\Gamma)$ where Γ has strong closure properties. In fact, we expect that it can be used to prove [3, Theorem 1.1], but we certainly have not done so.

We now start proving Theorem 0.1.

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Proof of Theorem 0.1 Let $\kappa = \delta_1^2$. By Martin’s theorem (see [2, Theorem 2.31, Definition 2.30]), it is enough to show that κ is κ -reasonable, that is, there is a non-self-dual point class $\underline{\Gamma}$ closed under $\exists^{\mathbb{R}}$ and a map φ with domain \mathbb{R} satisfying

1. $\forall x(\varphi(x) \subseteq \kappa \times \kappa)$.
2. $\forall F : \kappa \rightarrow \kappa, \exists x \in \mathbb{R}(\varphi(x) = F)$.
3. $\forall \beta < \kappa, \forall \gamma < \kappa, R_{\beta, \gamma} \in \underline{\Delta}$ where

$$x \in R_{\beta, \gamma} \Leftrightarrow \varphi(x)(\beta, \gamma) \wedge \forall \gamma' < \kappa(\varphi(x)(\beta, \gamma') \rightarrow \gamma' = \gamma).$$

4. Suppose $\beta < \kappa, A \in \exists^{\mathbb{R}} \underline{\Delta}$, and $A \subseteq R_\beta = \{x : \exists \gamma < \kappa R_{\beta, \gamma}(x)\}$. Then $\exists \gamma_0 < \kappa$ such that $\forall x \in A \exists \gamma < \gamma_0 R_{\beta, \gamma}(x)$.

Let $\Gamma = \Sigma_1^2$. We claim that $\underline{\Gamma}$ is as desired and spend the rest of the proof to argue for it. In what follows, we will freely use the terminology developed for analyzing HOD of models of AD^+ . This terminology has been explicated in many places including Sargsyan [5], [6], [7], Schindler and Steel [9], Steel [11], and more recently in Steel and Woodin [12]. In particular, recall the definitions of suitable premouse, short tree, maximal tree, and short tree iterable. Given a suitable premouse \mathcal{P} , we let $\delta_{\mathcal{P}}$ be its Woodin cardinal and let $\lambda_{\mathcal{P}}$ be the least cardinal which is $< \delta_{\mathcal{P}}$ -strong in \mathcal{P} .

Suppose $a \in HC$. We say that an a -premouse \mathcal{Q} is *good* if

1. \mathcal{Q} is (ω, ω_1) -iterable,
2. $\mathcal{Q} \models \text{ZFC} - \text{Powerset} + \text{“there are no Woodin cardinals”} + \text{“there is a largest cardinal,”}$
3. \mathcal{Q} is full, that is, for every cutpoint ξ of \mathcal{Q} , $Lp(\mathcal{Q}|\xi) \preceq \mathcal{Q}$.

If \mathcal{Q} is good, then it has a unique (ω, ω_1) -iteration strategy with the Dodd–Jensen property. We let $\Sigma_{\mathcal{Q}}$ be this strategy. Also, let $\eta_{\mathcal{Q}}$ be the largest cardinal of \mathcal{Q} . Given an iteration tree \mathcal{T} on \mathcal{Q} according to $\Sigma_{\mathcal{Q}}$ with last model \mathcal{R} such that $\pi^{\mathcal{T}}$ exists, we let $\pi_{\mathcal{Q}, \mathcal{R}} : \mathcal{Q} \rightarrow \mathcal{R}$ be the iteration embedding. Notice that because $\Sigma_{\mathcal{Q}}$ has the Dodd–Jensen property, $\pi^{\mathcal{T}}$ is independent of \mathcal{T} . We say that \mathcal{Q} is *excellent* if whenever \mathcal{R} is a $\Sigma_{\mathcal{Q}}$ -iterate of \mathcal{Q} such that $\pi_{\mathcal{Q}, \mathcal{R}}$ is defined \mathcal{R} is good. In this case, we also say that $\Sigma_{\mathcal{Q}}$ is fullness preserving.

Suppose now that $\alpha < \kappa$ is such that it ends a weak gap (see Steel [10]). We then let

$$\mathcal{F}(\alpha, a) = \{\mathcal{Q} : J_\alpha(\mathbb{R}) \models \text{“}\mathcal{Q} \text{ is an excellent } a\text{-premouse”}\}.$$

Given an a -premouse \mathcal{P} such that $J_\alpha(\mathbb{R}) \models \text{“}\mathcal{P} \text{ is suitable and short tree iterable,”}$ we let $\mathcal{F}(\alpha, a, \mathcal{P})$ be the set of \mathcal{Q} such that in $J_\alpha(\mathbb{R})$, there is a correctly guided short tree \mathcal{T} on \mathcal{P} with last suitable model \mathcal{P}^* such that for some \mathcal{P}^* -cardinal $\eta \leq \lambda_{\mathcal{P}^*}$, $\mathcal{Q} = \mathcal{P}^*|(\eta^+)^{\mathcal{P}^*}$.

Lemma 0.2 *Suppose that $\alpha < \kappa$ ends a weak gap, $a \in HC$, and \mathcal{P} is an a -premouse such that $J_\alpha(\mathbb{R}) \models \text{“}\mathcal{P} \text{ is suitable and short tree iterable.”}$ Then $\mathcal{F}(\alpha, a, \mathcal{P}) \subseteq \mathcal{F}(\alpha, a)$.*

Proof Fix $\mathcal{Q} \in \mathcal{F}(\alpha, a, \mathcal{P})$. Work in $J_\alpha(\mathbb{R})$. Let \mathcal{T} be a correctly guided short tree on \mathcal{P} with last suitable model \mathcal{P}^* such that for some \mathcal{P}^* -cardinal $\eta \leq \lambda_{\mathcal{P}^*}$, $\mathcal{Q} = \mathcal{P}^*|(\eta^+)^{\mathcal{P}^*}$. Because \mathcal{P} is short tree iterable, we have that \mathcal{Q} is (ω, ω_1) -iterable via a unique iteration strategy Σ . As the iterations of \mathcal{Q} can also be viewed as iterations of \mathcal{P}^* , we have that Σ is fullness preserving, implying that \mathcal{Q} is excellent. □

Notice that if $\beta > \alpha$ is such that β ends a weak gap and $J_\beta(\mathbb{R}) \models$ “ \mathcal{P} is a suitable and short tree iterable a -premouse,” then there could be $\mathcal{Q} \in \mathcal{F}(\beta, a, \mathcal{P})$ which is not in $\mathcal{F}(\alpha, a, \mathcal{P})$. However, we always have the following easy lemma.

Lemma 0.3 *Suppose that $a \in HC$, \mathcal{P} is an a -premouse and $\alpha < \beta < \kappa$. Suppose that α and β end weak gaps such that both $J_\alpha(\mathbb{R})$ and $J_\beta(\mathbb{R})$ satisfy that \mathcal{P} is suitable and short tree iterable. Then $\mathcal{F}(\alpha, a, \mathcal{P}) \subseteq \mathcal{F}(\beta, a, \mathcal{P})$.*

Proof The lemma follows because any iteration tree on \mathcal{P} which is correctly guided and short in the sense of $J_\alpha(\mathbb{R})$ is also correctly guided and short in the sense of $J_\beta(\mathbb{R})$. □

Next we define $\leq_{\alpha,a}$ on $\mathcal{F}(\alpha, a)$ by setting $\mathcal{Q} \leq_{\alpha,a} \mathcal{R}$ if and only if there is an iteration tree \mathcal{T} on \mathcal{Q} according to $\Sigma_{\mathcal{Q}}$ with last model \mathcal{S} such that $\pi^{\mathcal{T}}$ exists, $\mathcal{S} \leq \mathcal{R}$, and $\mathcal{S} = \mathcal{R} \upharpoonright (\eta_{\mathcal{S}}^+)^{\mathcal{R}}$. Also, let $\leq_{\alpha,a,\mathcal{P}} = \leq_{\alpha,a} \upharpoonright \mathcal{F}(\alpha, a, \mathcal{P})$. As usual, we have the following.

Lemma 0.4 *We have that $\leq_{\alpha,a}$ and $\leq_{\alpha,a,\mathcal{P}}$ are directed, and $\leq_{\alpha,a,\mathcal{P}}$ is dense in $\leq_{\alpha,a}$.*

Let then $\mathcal{M}_\infty(\alpha, a)$ be the direct limit of $(\mathcal{F}(\alpha, a), \leq_{\alpha,a})$ under the iteration embeddings $\pi_{\mathcal{Q},\mathcal{R}}$. Also, let $\mathcal{M}_\infty(\alpha, a, \mathcal{P})$ be the direct limit of $(\mathcal{F}(\alpha, a, \mathcal{P}), \leq_{\alpha,a,\mathcal{P}})$ under the iteration embeddings $\pi_{\mathcal{Q},\mathcal{R}}$. The next lemma follows from Lemma 0.4.

Lemma 0.5 *We have $\mathcal{M}_\infty(\alpha, a) = \mathcal{M}_\infty(\alpha, a, \mathcal{P})$.*

We let $\pi_{\mathcal{Q},\infty} : \mathcal{Q} \rightarrow \mathcal{Q}^* \leq \mathcal{M}_\infty(\alpha, a, \mathcal{P})$ be the direct-limit embedding.¹

We can now define φ . First let S be the set of those reals x which code a pair (y_x, \mathcal{P}_x) such that

1. $y_x \in \mathbb{R}$,
2. for some $\alpha < \kappa$ ending a weak gap, $J_\alpha(\mathbb{R}) \models$ “ \mathcal{P}_x is a suitable and short tree iterable y_x -premouse.”

Clearly S is Σ_1^2 . We let $f : \kappa^2 \rightarrow \kappa$ be such that $f(\beta, \gamma)$ is the least α such that $J_\alpha(\mathbb{R}) \models \max(\beta, \gamma) < \delta_1^2$. We also let $g : S \times \kappa^2 \rightarrow \kappa$ be the function defined as follows: for all $(\beta, \gamma) \in \kappa^2$ and $x \in S$, if there is an ordinal $\alpha > f(\beta, \gamma)$ such that $J_\alpha(\mathbb{R}) \models$ “ \mathcal{P}_x is suitable and short tree iterable y_x -premouse,” then $g(\beta, \gamma)$ is the least such α , and otherwise $g(x, \beta, \gamma) = 0$. Notice that g is Σ_1^2 in codes. We define φ as follows.

Definition 0.6 If $x \notin S \cap \mathbb{R}$, then let $\varphi(x) = \emptyset$. Suppose now $x \in S$. Let (y_x, \mathcal{P}_x) be the pair coded by x . Given $\beta, \gamma < \kappa$, we let $(\beta, \gamma) \in \varphi(x)$ if and only if letting $\mathcal{P} = \mathcal{P}_x$ and $g(x, \beta, \gamma) = \alpha$, then $\alpha > 0$ and for some $a \in \mathcal{P}$ the following holds in $J_\alpha(\mathbb{R})$:

1. \mathcal{P} is suitable and short tree iterable;
2. a is the collapse of $x(0)$;
3. $a \subseteq \lambda_{\mathcal{P}} \times \lambda_{\mathcal{P}}$;
4. there is a correctly guided short tree \mathcal{T} on \mathcal{P} with last model \mathcal{S} such that $\pi_{\mathcal{P},\mathcal{S}}$ exists and an \mathcal{S} -cardinal η such that
 - (a) $(\eta^+)^{\mathcal{S}} < \lambda^{\mathcal{S}}$,
 - (b) if $\mathcal{Q} = \mathcal{S} \upharpoonright (\eta^+)^{\mathcal{S}}$ and $a^{\mathcal{Q}} = \pi_{\mathcal{P},\mathcal{S}}(a) \cap (\eta \times \eta)$, then $(\beta, \gamma) \in \pi_{\mathcal{Q},\infty}(a^{\mathcal{Q}}) \cap \text{rng}(\pi_{\mathcal{Q},\infty})$.

Given $\alpha < \Theta$, we let S_α , f_α , g_α , and φ_α be what the above definitions give over $J_\alpha(\mathbb{R})$. The following lemmas establish that φ is as desired. We start with the following easy lemma.

Lemma 0.7 For each $x \in \mathbb{R}$, $\varphi(x) = \bigcup_{\alpha < \kappa} \varphi_\alpha(x)$.

Proof Suppose $(\beta, \gamma) \in \varphi(x)$. Let $\alpha > g(x, \beta, \gamma)$ be such that it ends a weak gap. Then $(\beta, \gamma) \in \varphi_\alpha(x)$. The other direction is similar. \square

Lemma 0.8 For every $x \in \mathbb{R}$, $\varphi(x) \subseteq \kappa \times \kappa$.

Proof The claim follows from the fact that for every α and a , $\mathcal{M}_\infty(\alpha, a) \subseteq J_\alpha(\mathbb{R})$. \square

Lemma 0.9 Suppose $F : \kappa \rightarrow \kappa$. Then there is $x \in \text{dom}(\varphi)$ such that $\varphi(x) = F$.

Proof Fix y such that $F \in \text{HOD}_y$. There is then a suitable \mathcal{P} over y such that $F \in \text{rng}(\pi_{\mathcal{P}, \emptyset, \infty})$.² Notice that $\pi_{\mathcal{P}, \emptyset, \infty}(\lambda_{\mathcal{P}}) = \kappa$ (see [11, Chapter 8]). Let then $a \subseteq \lambda_{\mathcal{P}} \times \lambda_{\mathcal{P}}$ be such that $\pi_{\mathcal{P}, \emptyset, \infty}(a) = F$, and let x code the pair (y, \mathcal{P}) such that $x(0) = a$. It is then easy to see that $\varphi(x) = F$ (use Lemma 0.7).³ \square

Lemma 0.10 Suppose $\beta, \gamma < \kappa$. Let

$$x \in R_{\beta, \gamma} \Leftrightarrow \varphi(x)(\beta, \gamma) \wedge \forall \gamma' < \kappa (\varphi(x)(\beta, \gamma') \rightarrow \gamma' = \gamma).$$

Then $R_{\beta, \gamma}$ is Δ_1^2 .

Proof We have that the following are equivalent.

1. We have $x \in R_{\beta, \gamma}$.
2. There is α such that $J_\alpha(\mathbb{R}) \models$ “ $x \in \text{dom}(\varphi_\alpha)$ and γ is the unique ordinal such that $(\beta, \gamma) \in \varphi_\alpha(x)$.”
3. For all $\alpha > f(\beta, \gamma)$ such that $J_\alpha(\mathbb{R}) \models$ “ $x \in \text{dom}(\varphi_\alpha)$,” γ is the unique ordinal such that $(\beta, \gamma) \in \varphi_\alpha(x)$.

Clearly (1) implies (2) and (3). Also, that (3) implies (1) is straightforward. We show that (2) implies (1). Fix then α such that $J_\alpha(\mathbb{R}) \models$ “ $x \in \text{dom}(\varphi_\alpha)$ and γ is the unique ordinal such that $(\beta, \gamma) \in \varphi_\alpha(x)$.” It follows from the definition of φ_α that $\alpha > g(x, \beta, \gamma)$. Let (y, \mathcal{P}) be the pair coded by x , and let $a \in \mathcal{P}$ be the transitive collapse of $x(0)$. Working in $J_\alpha(\mathbb{R})$, let \mathcal{T} be a correctly guided short tree on \mathcal{P} with last model \mathcal{S} such that $\pi_{\mathcal{P}, \mathcal{S}}$ exists and an \mathcal{S} -cardinal η such that

1. $(\eta^+)^{\mathcal{S}} < \lambda_{\mathcal{S}}$;
2. if $\mathcal{Q} = \mathcal{S} | (\eta^+)^{\mathcal{S}}$ and $a^{\mathcal{Q}} = \pi_{\mathcal{P}, \mathcal{S}}(a) \upharpoonright \eta$, then $(\beta, \gamma) \in \pi_{\mathcal{Q}, \infty}(a^{\mathcal{Q}}) \cap \text{rng}(\pi_{\mathcal{Q}, \infty})$.

Suppose now there is some ξ such that for some γ' , $(\beta, \gamma') \in \varphi_\xi(x)$. Working in $J_\xi(\mathbb{R})$, let \mathcal{T}^* be a correctly guided short tree on \mathcal{P} with last model \mathcal{S}^* such that $\pi_{\mathcal{P}, \mathcal{S}^*}$ exists and an \mathcal{S}^* -cardinal ν such that

1. $(\nu^+)^{\mathcal{S}^*} < \lambda_{\mathcal{S}^*}$;
2. if $\mathcal{R} = \mathcal{S}^* | (\nu^+)^{\mathcal{S}^*}$ and $a^{\mathcal{R}} = \pi_{\mathcal{P}, \mathcal{S}^*}(a) \upharpoonright \nu$, then $(\beta, \gamma') \in \pi_{\mathcal{R}, \infty}(a^{\mathcal{R}}) \cap \text{rng}(\pi_{\mathcal{R}, \infty})$.

Let $\nu = \max(\xi, \alpha)$. The following is an easy claim.

Claim $J_\nu(\mathbb{R}) \models$ “ \mathcal{S} and \mathcal{S}^* are suitable and short tree iterable.”

Proof We have that \mathcal{P} is suitable and short tree iterable in both $J_\alpha(\mathbb{R})$ and $J_\xi(\mathbb{R})$. We also have $J_\alpha(\mathbb{R}) \models \text{“}\mathcal{T} \text{ is short”}$ and $J_\xi(\mathbb{R}) \models \text{“}\mathcal{T}^* \text{ is short.”}$ It then follows that $J_\nu(\mathbb{R}) \models \text{“}\mathcal{T} \text{ and } \mathcal{T}^* \text{ are short trees on } \mathcal{P} \text{.”}$ It then follows that $J_\nu(\mathbb{R}) \models \text{“}\mathcal{S} \text{ and } \mathcal{S}^* \text{ are suitable and short tree iterable.”}$ \square

We work now in $J_\nu(\mathbb{R})$. Using the claim we can find \mathcal{S}^{**} which is a suitable correct iterate of both \mathcal{S} and \mathcal{S}^* . Notice that since \mathcal{S}^{**} is suitable, the iteration embeddings $i : \mathcal{S} | (\lambda_{\mathcal{S}}^+)^{\mathcal{S}} \rightarrow \mathcal{S}^{**} | (\lambda_{\mathcal{S}^{**}}^+)^{\mathcal{S}^{**}}$ and $j : \mathcal{S}^* | (\lambda_{\mathcal{S}^*}^+)^{\mathcal{S}^*} \rightarrow \mathcal{S}^{**} | (\lambda_{\mathcal{S}^{**}}^+)^{\mathcal{S}^{**}}$ exist.

Suppose now that $\gamma \neq \gamma'$. Let $(\bar{\beta}, \bar{\gamma}, \bar{\gamma}') \in \mathcal{S}^{**}$ be such that letting $\zeta = \max(i(\eta_{\mathcal{Q}}), j(\eta_{\mathcal{R}}))$ and $\mathcal{W} = \mathcal{S}^{**} | (\zeta^+)^{\mathcal{S}^{**}}$, $\pi_{\mathcal{W}, \infty}(\bar{\beta}, \bar{\gamma}, \bar{\gamma}') = (\beta, \gamma, \gamma')$. It then follows that $(\bar{\beta}, \bar{\gamma}) \in i(\pi_{\mathcal{P}, \mathcal{S}}^{\mathcal{T}}(a))$ and $(\bar{\beta}, \bar{\gamma}') \in j(\pi_{\mathcal{P}, \mathcal{S}^*}^{\mathcal{T}^*}(a))$. However, $i \circ \pi_{\mathcal{P}, \mathcal{S}}^{\mathcal{T}} = j \circ \pi_{\mathcal{P}, \mathcal{S}^*}^{\mathcal{T}^*}$, implying that $i(\pi_{\mathcal{P}, \mathcal{S}}^{\mathcal{T}}(a)) = j(\pi_{\mathcal{P}, \mathcal{S}^*}^{\mathcal{T}^*}(a))$ and that

$$\mathcal{S}^{**} \models (\bar{b}, \bar{\gamma}) \in i(\pi_{\mathcal{P}, \mathcal{S}}^{\mathcal{T}}(a)) \wedge (\bar{b}, \bar{\gamma}') \in i(\pi_{\mathcal{P}, \mathcal{S}}^{\mathcal{T}}(a)).$$

Let now $(\tau, \tau^*) \in \mathcal{Q}$ be such that $\pi_{\mathcal{Q}, \infty}(\tau, \tau^*) = (\beta, \gamma)$. By elementarity of i , we then get that $\mathcal{S} \models \text{“there is } \tau^{**} \neq \tau^* \text{ such that } (\tau, \tau^{**}) \in \pi_{\mathcal{P}, \mathcal{S}}(a) \text{.”}$ Fix such a τ^{**} , and let $\zeta \in (\tau^{**}, \lambda_{\mathcal{S}})$ be an \mathcal{S} -cardinal. Then letting $\mathcal{Q}^* = \mathcal{S} | (\zeta^+)^{\mathcal{S}}$ we have that $(\beta, \pi_{\mathcal{Q}^*, \infty}(\tau^{**})) \in \varphi_\alpha(x)$ and $\pi_{\mathcal{Q}^*, \infty}(\tau^{**}) \neq \gamma$, a contradiction. \square

The next lemma finishes the proof.

Lemma 0.11 *Suppose $\beta < \lambda$, $A \in \Delta_1^2$ and $A \subseteq R_\beta = \{x : \exists \gamma < \kappa R_{\beta, \gamma}(x)\}$. Then $\exists \gamma_0 < \kappa$ such that $\forall x \in A \exists \gamma < \gamma_0 R_{\beta, \gamma}(x)$.*

Proof Let $h : A \rightarrow \kappa$ be defined by $h(x) = \nu$ if ν is the least such that ν ends a weak gap and $J_\nu(\mathbb{R}) \models x \in R_\beta$. Then f is Σ_1 over $J_\kappa(\mathbb{R})$, and hence, as κ is \mathbb{R} -admissible, f is bounded. \square

This completes the proof of Theorem 0.1. \square

Notes

1. Notice that because \mathcal{Q} has a unique iteration strategy, $\pi_{\mathcal{Q}, \infty}$ is independent of α and a . Because of this we dropped them from our notation.
2. Recall the direct limit construction that converges to $\text{HOD} | \Theta$. Here $\pi_{\mathcal{P}, \emptyset, \infty}$ is the direct limit embedding given by \emptyset -iterability embeddings. For more details see either of the aforementioned papers.
3. Notice that by reflection there is α such that α ends a weak gap and $J_\alpha(\mathbb{R}) \models \text{“}\mathcal{P} \text{ is suitable and short tree iterable.”}$ It is then the case that for any $\beta \in (\alpha, \kappa)$ which ends a weak gap, $J_\beta(\mathbb{R}) \models \text{“}\mathcal{P} \text{ is suitable and short tree iterable.”}$

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