

A second order theory of ordinal numbers with Ackermann-type reflection schema

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§ 1. Introduction.

The underlying logic of the ordinal number theory OA given in [3] is a weakened second order logic. Adopting the standard second order logic, we can obtain a stronger theory. We shall denote it by OA^+ . In this paper we first show the consistency of OA^+ by interpreting it in ZF . In fact, OA^+ is interpretable in various theories which are much weaker than ZF . Roughly speaking, OA^+ is interpretable in those theories that have the first uncountable ordinal ω_1 and all subsets of $\omega_1 \times \omega_1$. I do not know whether OA^+ is strictly weaker than those theories. Next, we give a theory which is somewhat simple and whose strength is equal to that of OA^+ .

§ 2. The theory OA^+ .

2.1. The language of OA^+ (denoted by L_0).

- (a) Individual variables: x_0, x_1, \dots .
- (b) Predicate variables: P_0, P_1, \dots .
- (c) Predicate constants: $=*, * < *, O*$.
- (d) Logical symbols: \neg, \wedge, \exists .

2.2. The axioms and the inferences of OA^+ .

(a) The axioms and the inferences of the standard second order logic and the equality axiom: $a=b \leftrightarrow \forall P[Pa \rightarrow Pb]$.

(b) The following four:

$$Oa \wedge \forall x[x < a \leftrightarrow x < b] \rightarrow a = b;$$

$$Oa \wedge x < a \wedge y < x \rightarrow y < a;$$

$$\forall P[\forall x[Ox \rightarrow [(\forall y < x)Py \rightarrow Px]] \rightarrow \forall x[Ox \rightarrow Px]];$$

$$Oa_1 \wedge \dots \wedge Oa_n \wedge \forall x[A(x) \rightarrow Ox \wedge (\forall y < x)A(y)] \rightarrow \exists y[Oy \wedge \forall z[z < y \leftrightarrow A(z)]],$$

where $A(x)$ contains neither the predicate constant O nor free variables except $a_1 \dots a_n, x$.

§ 3. An interpretation of OA^+ in ZF .

There is a direct interpretation of OA^+ in ZF , but we show an indirect one to imply that OA^+ is interpretable in theories that are weaker than ZF .

By L_{ZF} , we shall denote the language of ZF .

First, we add the new constant symbol α, β to L_{ZF} and add the following axioms to ZF :

- (a) $\text{Ord}(\alpha) \wedge \text{Ord}(\beta) \wedge \alpha < \beta$,
- (b) $(\forall a_1 \cdots a_n < \alpha)[(\exists x < \beta)A(x, a_1 \cdots a_n, \beta) \rightarrow (\exists x < \alpha)A(x, a_1 \cdots a_n, \beta)]$

for every $A(x, a_1 \cdots a_n, \beta)$, where the constant symbol α does not occur in $A(x, a_1 \cdots a_n, \beta)$ and all free variables are indicated.

Denote this theory by ZF' .

LEMMA 1. ZF' is a conservative extension of ZF .

PROOF. Let B be a sentence of L_{ZF} and $ZF' \vdash B$. Note that for any finite set A_1, \dots, A_n of formulas of L_{ZF} , there exists a formula A of L_{ZF} such that

$$ZF' \vdash (\forall a, b \in On)[(\forall a_1 \cdots a_n < a)[(\exists x < b)A(xa_1 \cdots a_nb) \rightarrow (\exists x < a)A(xa_1 \cdots a_nb)] \\ \rightarrow \bigwedge_{i=1 \cdots n} (\forall a_1 \cdots a_n < a)[(\exists x < b)A_i(xa_1 \cdots a_nb) \rightarrow (\exists x < a)A_i(xa_1 \cdots a_nb)]] ,$$

where $x, a_1 \cdots a_n, b$ are all of the variables occurring free in A_1, \dots, A_n : E. g., let $A(xa_1 \cdots a_nb)$ be

$$\bigwedge_{i=1 \cdots n} [(\exists y < b)A_i(ya_1 \cdots a_nb) \rightarrow (\exists y \leq x)A_i(ya_1 \cdots a_nb)] .$$

So, there exists a formula A of L_{ZF} such that

$$ZF' \vdash (\exists a, b \in On)[0 < a < b \wedge (\forall a_1 \cdots a_n < a)[(\exists x < b)A(xa_1 \cdots a_nb) \\ \rightarrow (\exists x < a)A(xa_1 \cdots a_nb)]] \rightarrow B .$$

Now let $\alpha_0 = 1$ and $\alpha_{m+1} = \sup [\xi(a_1 \cdots a_n) \mid a_1 \cdots a_n < \alpha_m]$, where $\xi(a_1 \cdots a_n)$ means the least ordinal ξ such that $(\exists x < \omega_1)A(xa_1 \cdots a_n\omega_1) \rightarrow A(\xi a_1 \cdots a_n\omega_1)$, and put $\alpha = \sup \alpha_m$. Then $0 < \alpha < \omega_1$ and $(\forall a_1 \cdots a_n < \alpha)[(\exists x < \omega_1)A(xa_1 \cdots a_n\omega_1) \rightarrow (\exists x < \alpha)A(xa_1 \cdots a_n\omega_1)]$. Hence we have $ZF' \vdash B$, q. e. d.

Now, we shall interpret OA^+ in ZF' .

For each formula A of L_0 , we define its interpretation $I(A)$ in ZF' recursively as follows:

$$I(A) \text{ is } A \text{ if } A \text{ is } a < b \text{ or } a = b ,$$

$$I(Pa_1 \cdots a_n) \text{ is } \langle a_1 \cdots a_n \rangle \in P ,$$

$$I(Oa) \text{ is } \text{Ord}(a) \wedge a < \alpha ,$$

$I(\neg A)$ and $I(A \wedge B)$ are $\neg I(A)$ and $I(A) \wedge I(B)$ respectively,

$I(\exists x A)$ is $\exists x[\text{Ord}(x) \wedge x < \beta \wedge I(A)]$,

$I((\exists P)A)$ is $(\exists P)I(A)$,

where every symbol which is contained in L_0 as an individual variable or a predicate variable is assumed to be contained also in L_{ZF} as a variable.

THEOREM 1. $OA^+ \vdash A \Rightarrow ZF' \vdash I(A)$, for every sentence A of L_0 .

PROOF. We shall show this for the main case that A is the axiom

$$\forall a[Oa \wedge \forall x[B(xa) \rightarrow Ox \wedge (\forall y < x)B(ya)] \rightarrow \exists u[Ou \wedge \forall x[x < u \leftrightarrow B(xa)]]],$$

where B does not contain the predicate constant O .

Suppose $a < \alpha \wedge (\forall x < \beta)[I(B(xa)) \rightarrow x < \alpha \wedge (\forall y < x)I(B(ya))]$. Then we have $(\exists z < \beta)(\forall x < \beta)[I(B(xa)) \rightarrow x < z]$ since $\alpha < \beta$. This formula does not contain the constant symbol α , since the symbol O does not appear in $B(xa)$. Hence we have $(\exists z < \alpha)(\forall x < \beta)[I(B(xa)) \rightarrow x < z]$, which implies

$$(\exists u < \alpha)(\forall x < \beta)[x < u \leftrightarrow I(B(xa))].$$

Thus we have $ZF' \vdash I(A)$.

§ 4. The theory O_2 .

DEFINITION of O_2 . The underlying logic of the theory O_2 is the standard second order logic with an individual constant α and predicate constants $=$ and $<$. (We shall write L_α to denote this language.) The axioms are the following:

(a) “ $<$ is a well-ordering,”

(b) $(\forall a_1 \dots a_n < \alpha)[(\exists x < \alpha)A(xa_1 \dots a_n) \leftrightarrow \exists x A(xa_1 \dots a_n)]$, where $A(xa_1 \dots a_n)$ contains neither the constant α nor free variables except the indicated.

Now, the assertion in § 3 is divided into the following two: O_2 is consistent and OA^+ is interpretable in O_2 .

We used ω_1 to prove the consistency of O_2 in § 3. The author has no answer to the following question now:

QUESTION. Is ω_1 necessary to prove the consistency of O_2 ?; e. g., “Is the sentence $\forall P[(\forall x < \omega)(\exists! y)Pxy \rightarrow \exists z(\forall x < \omega) \neg Pxz]$ consistent with O_2 relative to O_2 ?”

In the rest, we show that OA^+ is almost equal to O_2 in strength.

For this purpose, we shall provide some metamathematical notions on OA^+ .

O -formulas are defined recursively as follows:

(a) $a < b$, $a = b$, $Pa_1 \dots a_n$ are O -formulas;

(b) If A and B are O -formulas, then so are $\exists x[Ox \wedge A]$, $(\exists P)A$, $A \wedge B$ and $\neg A$.

A P -formula means a formula in which the predicate constant O does not occur.

Let $L(b)$ be the conjunction of the following four:

$$\begin{aligned} & \forall y[\forall x[x < b \leftrightarrow x < y] \rightarrow b = y], \\ & \forall P[(\exists x < b)Px \rightarrow (\exists x < b)[Px \wedge (\forall y < b)[Py \rightarrow x \leq y]]], \\ & \forall x \forall y[x < y < b \rightarrow x < b], \\ & \forall x[x < b \rightarrow x \neq b]. \end{aligned}$$

$O^*(x)$ is the P -formula $(\forall b \leq x)L(b)$.

We shall denote the constant $\iota x \forall y[y < x \leftrightarrow Oy]$ by Ω as in [3].

The interpretation I of OA^+ in O_2 is defined recursively as follows: $I(a < b)$, $I(a = b)$, $I(Pa_1 \dots a_n)$ and $I(Oa)$ are $a < b$, $a = b$, $P_{\alpha_1} \dots a_n$ and $a < \alpha$ respectively; $I(\neg A)$, $I(A \wedge B)$, $I(\exists xA)$ and $I((\exists P)A)$ are $\neg I(A)$, $I(A) \wedge I(B)$, $\exists xI(A)$ and $(\exists P)I(A)$ respectively.

Next, for each formula $F(x)$ of L_0 , we define an interpretation $R(\lambda x F(x), *)$ (or simply $R_F(*)$) of O_2 in OA^+ recursively as follows:

$R_F(x)$ is x for every individual variable x ,

$R_F(\alpha)$ is Ω ,

$R_F(Xt_1 \dots t_n)$ is $Xs_1 \dots s_n$ where X is a predicate symbol and s_i is $R_F(t_i)$ for $i=1, \dots, n$,

$R_F(\neg A)$ and $R_F(A \wedge B)$ are $\neg R_F(A)$ and $R_F(A) \wedge R_F(B)$ respectively,

$R_F(\exists xA)$ is $\exists x[O^*(x) \wedge F(x) \wedge R_F(A)]$,

$R_F((\exists P)A)$ is $(\exists P)R_F(A)$.

We write often $R_t(A)$ for $R(\lambda x(x < t), A)$.

LEMMA 2. If a sentence A of L_α is logically valid (i.e., provable in the second order logic with $=$), then

$$OA^+ \vdash F(\Omega) \rightarrow R_F(A).$$

PROOF. By induction on the length of the proof for A .

LEMMA 3. $OA^+ \vdash A \Rightarrow O_2 \vdash I(A)$.

PROOF. Same as § 3.

LEMMA 4. $OA^+ \vdash (\forall x < \Omega)F(x) \rightarrow [R_F(I(A)) \leftrightarrow A]$, for every O -formula A .

PROOF. By induction based on the recursive definition of O -formulas.

LEMMA 5. Let A be a sentence of L_α such that $O_2 \vdash A$. Then there is a

formula $F(ux)$ such that

$$OA^+ \vdash \exists u[(\forall x < \Omega)F(ux) \wedge R(\lambda xF(ux), A)].$$

To prove this lemma we shall provide further metamathematical notions on OA^+ .

For any formula $A(x)$, the formula $(\exists! x)[A^*(x) \wedge (\forall y < x) \neg A^*(y)]$ is provable (in OA^+), where $A^*(x)$ is the formula $O^*(x) \wedge [\exists z[O^*(z) \wedge A(z)] \rightarrow A(x)]$. We write $\mu x A(x)$ for $\iota x[A^*(x) \wedge (\forall y < x) \neg A^*(y)]$.

If a function f can be defined by the postulate “ $y=f(x_1 \dots x_n) \leftrightarrow A(yx_1 \dots x_n)$ ” for some P -formula A , we call it a P -function.

$J(*, *)$, $K(*)$ and $L(*)$ are the P -functions defined similarly as in [3] such that for all $x, y < \Omega$, $J(K(x), L(x))=x$, $K(J(xy))=x$, $L(J(xy))=y$ and $J(xy)$, $K(x)$, $L(x) < \Omega$.

Let $L'(*, *)$ be the P -function defined by the following induction :

$$L'(0, x) = x,$$

$$L'(k, x) = L(L'(k-1, x)) \quad \text{if } 0 < k < \omega,$$

$$L'(k, x) = 0 \quad \text{otherwise.}$$

We shall write $(a)_i$ for $K(L'(i, a))$, and $(a)_{ij}$ for $((a)_i)_j$.

PROOF OF LEMMA 5. Suppose that a sentence A is provable in O_2 . Then there is a formula $B(xa_1 \dots a_n)$ of L_α which contains neither the constant α nor free variables except the indicated and which possesses the following property: The sentence $[< \text{ is a well-ordering}] \wedge 0 < \alpha \wedge (\forall a_1 \dots a_n < \alpha)[\exists x B(xa_1 \dots a_n) \rightarrow (\exists x < \alpha) B(x, a_1 \dots a_n)] \rightarrow A$ is logically valid. (See the proof of Lemma 1 for this reason.) Since B does not contain α , it is also a formula of L_0 ; besides a P -formula.

Let H be the P -function defined by the following induction :

$$H(0, a) = \mu x[R_{O^*}(B)(x, (a)_{01} \dots (a)_{0N})],$$

$$H(k, a) = \mu x[x < H(k-1, a) \wedge R_{H(k-1, a)}(B)(x, (a)_{k1} \dots (a)_{kN})]$$

if $0 < k < \omega$,

$$H(k, a) = 0 \quad \text{otherwise,}$$

where N means the n -th numeral.

$$\text{Put } \beta = \mu x[x \geq \Omega \wedge (\exists k, a < \Omega)[x = H(k, a)]].$$

From the definition we easily obtain that

$$(a) \quad O^*(H(k, a)),$$

$$(b) \quad (\forall j \leq k)[(a)_j = (b)_j] \rightarrow H(k, a) = H(k, b),$$

$$(c) \quad H(k, a) \neq 0 \rightarrow H(k+1, a) < H(k, a),$$

$$(d) \quad a, k < \Omega \wedge \beta = H(k, a) \neq 0 \rightarrow H(k+1, a) < \Omega.$$

SUBLEMMA 1. $\beta = 0 \rightarrow (\forall a_1 \cdots a_n < \Omega)[\exists x[O^*(x) \wedge R_{O^*}(B)(xa_1 \cdots a_n)] \rightarrow (\exists x < \Omega) R_{O^*}(B)(xa_1 \cdots a_n)]$.

PROOF. $\beta = 0$ implies $H(0, a) < \Omega$ for every $a < \Omega$.

SUBLEMMA 2. $a_1 \cdots a_n < \Omega \wedge \beta \neq 0 \wedge (\exists x < \beta)[R_\beta(B)(xa_1 \cdots a_n)] \rightarrow (\exists x < \Omega)[R_\beta(B)(xa_1 \cdots a_n)]$.

PROOF. Since $\beta \neq 0$, there exist $a, k < \Omega$ such that $\beta = H(k, a)$. Since $a, a_1 \cdots a_n < \Omega$, there exists $c < \Omega$ such that $((c)_{k+1})_1 = a_1, \dots, ((c)_{k+1})_N = a_n$ and $(\forall j \leq k)[(a)_j = (c)_j]$. Put $d = H(k+1, c)$. Then $d = \mu x[x < \beta \wedge R_\beta(B)(xa_1 \cdots a_n)]$ since $H(k, c) = H(k, a) = \beta$. Hence $R_\beta(B)(da_1 \cdots a_n)$ since $(\exists x < \beta)[R_\beta(B)(xa_1 \cdots a_n)]$. Besides $d = H(k+1, c) < \Omega$, since $H(k, c) = \beta \neq 0$ and $k, c < \Omega$, q. e. d.

Now let $F(ux)$ be the P -formula

$$O^*(x) \wedge [u = 0 \vee [u \neq 0 \wedge x < H((u)_0, (u)_1)]] .$$

SUBLEMMA 3. $OA^+ \vdash (\exists u < \Omega)[(\forall x < \Omega)F(ux) \wedge R(\lambda x F(ux),$

$$(\forall a_1 \cdots a_n < \alpha)[\exists x B(xa_1 \cdots a_n) \rightarrow (\exists x < \alpha)B(xa_1 \cdots a_n)]] .$$

PROOF. Case 1: $\beta = 0$. Put $u = 0$. Then $F(ux) \leftrightarrow O^*(x)$. Hence the desired conclusion is immediate from Sublemma 1.

Case 2: $\beta \neq 0$. There exist $a, k < \Omega$ such that $\beta = H(k, a)$. Put $u = J(k, J(a, 1))$. Then $F(ux) \leftrightarrow x < \beta$. The desired conclusion follows from $u < \Omega$ and Sublemma 2, q. e. d.

Now, write W for the sentence “ $<$ is a well-ordering.” Write B^* for the sentence $(\forall a_1 \cdots a_n < \alpha)[\exists x B(xa_1 \cdots a_n) \rightarrow (\exists x < \alpha)B(xa_1 \cdots a_n)]$. Since $\vdash W \wedge B^* \wedge 0 < \alpha \rightarrow A$, we have, by Lemma 2,

$$OA^+ \vdash F(u, \Omega) \wedge R(\lambda x F(ux), W \wedge B^* \wedge 0 < \alpha) \rightarrow R(\lambda x F(ux), A).$$

Since O^* is well-ordered by $<$, $OA^+ \vdash R(\lambda x F(ux), W)$. Since $F(ux)$ is a P -formula, $(\forall x < \Omega)F(ux) \wedge u < \Omega$ implies $F(u, \Omega)$. Hence by SubLemma 3, $OA^+ \vdash (\exists u < \Omega)[(\forall x < \Omega)F(ux) \wedge R(\lambda x F(ux), A)]$. This completes the proof of Lemma 5.

Now, we see that O_2 is a conservative extension of OA^+ in the following sense:

THEOREM 2. $OA^+ \vdash A \Leftrightarrow O_2 \vdash I(A)$ for every O -sentence A .

PROOF. (\Rightarrow) See § 3.

(\Leftarrow) Let $O_2 \vdash I(A)$. Then by Lemma 5 there is a formula $F(ux)$ such that $OA^+ \vdash \exists u[(\forall x < \Omega)F(ux) \wedge R(\lambda x F(ux), I(A))]$. Now, suppose $(\forall x < \Omega)F(ux) \wedge$

$R(\lambda xF(ux), I(A))$ in OA^+ . Then by Lemma 4, $R(\lambda xF(ux), I(A)) \leftrightarrow A$. Hence A ,
q. e. d.

§ 5. A remark.

Indeed, OA^+ is stronger than OA . Because the consistency of OA is provable in OA^+ . We verify this fact in this section. Since $OA^+ \vdash \text{Cons}(OA) \Leftrightarrow O_2 \vdash \text{Cons}(OA)$ by the result of the previous section, it suffices to show $O_2 \vdash \text{Cons}(OA)$.

For this purpose we shall provide some notions.

If a formula of L_α does not contain the constant α , we call it a P -formula. A term which is defined by a P -formula is called a P -term.

Consider (in O_2) the model L of the constructible sets in the similar manner in [3]. Similarly as xEy and $\langle xy \rangle^\circ$ in [3], there exist a P -formula $x \in y$ which means $\mathfrak{F}'x \in \mathfrak{F}'y$ intuitively and a P -term $\langle xy \rangle$ which means an ordered pair in L . We can easily define a P -term \tilde{x} which means the x -th ordinal in L .

Now, there exists a formula $I(*, *)$ of L_α which possesses the following properties in O_2 :

- (a) $I(s, \ulcorner x < y \urcorner) \leftrightarrow s(\ulcorner x \urcorner) < s(\ulcorner y \urcorner)$,
- (b) $I(s, \ulcorner Ox \urcorner) \leftrightarrow s(\ulcorner x \urcorner) < \alpha$,
- (c) $I(s, \ulcorner Px_1 \cdots x_n \urcorner) \leftrightarrow \langle s(\widetilde{\ulcorner x_1 \urcorner}) \cdots s(\widetilde{\ulcorner x_n \urcorner}) \rangle \in s(\ulcorner P \urcorner)$,
- (d) $I(s, \ulcorner A \wedge B \urcorner) \leftrightarrow I(s, \ulcorner A \urcorner) \wedge I(s, \ulcorner B \urcorner)$,
- (e) $I(s, \ulcorner \neg A \urcorner) \leftrightarrow \neg I(s, \ulcorner A \urcorner)$,
- (f) $I(s, \ulcorner \exists x A \urcorner) \leftrightarrow \exists a \forall s' [\forall b [b \neq \ulcorner x \urcorner \rightarrow s'(b) = s(b)] \wedge s'(\ulcorner x \urcorner) = a \rightarrow I(s', \ulcorner A \urcorner)]$,
- (g) $I(s, \ulcorner (\exists P) A \urcorner) \leftrightarrow \exists a \forall s' [\forall b [b \neq \ulcorner P \urcorner \rightarrow s'(b) = s(b)] \wedge s'(\ulcorner P \urcorner) = a \rightarrow I(s, \ulcorner A \urcorner)]$,

where $\ulcorner X \urcorner$ means Gödel number of X and $s(x)$ means the individual assigned to the "variable" x by the assignment s .

And there exists a P -formula $J(*, *)$ of L_α which possesses the properties (a), (c)-(g) in O_2 .

The following is clear:

LEMMA 6.

$$O_2 \vdash \forall \ulcorner A \urcorner [\ulcorner A \urcorner \text{ is a "P-formula"} \rightarrow \forall s [I(s, \ulcorner A \urcorner) \leftrightarrow J(s, \ulcorner A \urcorner)]] .$$

The notation \bar{b} (also \bar{x}) below means a finite sequence of variables.

LEMMA 7. Let A be a formula of L_α which does not contain free predicate variables, and a, \bar{b}, \bar{x}, y be all of the free variables in A . Then

$$O_2 \vdash \forall a \forall \bar{b} [\forall \bar{x} < a \exists y A \rightarrow \exists c \forall \bar{x} < a \exists y < c A].$$

PROOF. We may assume that A does not contain the constant α . For, the assertion for the general case results from the above by substituting α for one of the variables \bar{b} .

$$\forall a < \alpha \forall \bar{b} < \alpha \forall \bar{x} < \alpha [\exists y A \rightarrow \exists y < \alpha A]$$

is an axiom of O_2 . Hence

$$\forall a < \alpha \forall \bar{b} < \alpha [\forall \bar{x} < a \exists y A \rightarrow \forall \bar{x} < a \exists y < \alpha A].$$

Hence

$$\forall a < \alpha \forall \bar{b} < \alpha [\forall \bar{x} < a \exists y A \rightarrow \exists c \forall \bar{x} < a \exists y < c A].$$

This implies

$$\forall a \forall \bar{b} [\forall \bar{x} < a \exists y A \rightarrow \exists c \forall \bar{x} < a \exists y < c A]$$

by axioms of O_2 , since

$$[\forall \bar{x} < a \exists y A \rightarrow \exists c \forall \bar{x} < a \exists y < c A]$$

is a P -formula,

q. e. d.

LEMMA 8. $O_2 \vdash$ "For every formula A of L_0 and every individual a , there exists u such that

$$\forall x_1 \cdots x_n [\langle \tilde{x}_1 \cdots \tilde{x}_n \rangle \in u \leftrightarrow x_1 \cdots x_n < a \wedge I((v_1/x_1 \cdots v_n/x_n), A)],$$

where $v_1 \cdots v_n$ is a sequence of variables in which every free variable in A appears and $(v_1/x_1 \cdots v_n/x_n)$ means the assignment that assigns x_i to v_i for each $i=1 \cdots n$."

PROOF. Note that $O_2 \vdash \forall xy \exists z \forall v < x \forall w < y [\langle vw \rangle < z]$. Use induction (in O_2) on the complexity of A with the aid of Lemma 7.

LEMMA 9. $O_2 \vdash \forall \Gamma A \uparrow [\Gamma A \uparrow$ is an "axiom of OA " $\rightarrow I(O, \Gamma A \uparrow)]$.

PROOF. If A is an axiom of comprehension, it follows from Lemma 8. If A is an axiom of reflection (of Ackermann-type), it follows from Lemma 6. The other cases are trivial.

By Lemma 9 and the properties of $I(*, *)$, we have $O_2 \vdash \text{Cons}(OA)$.

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