The Big Six and Big Seven of Reverse Mathematics

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Working in Kohlenbach's higher-order RM, we identify two new 'Big' systems.

This is part of my joint project with Dag Normann to investigate the logical and computational properties of the uncountable.

https://arxiv.org/abs/2102.04787

The coding catastrophe

Countable sets versus sets that are countable

Friedman-Simpson Reverse Mathematics

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Reverse Mathematics

= finding the minimal axioms ${\cal A}$ needed to prove a theorem ${\cal T}$



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- $\bullet~\mathcal{T}$ is a theorem of ordinary (=non-set theoretic) mathematics
- The proof takes place in RCA_0 (\approx idealized computer, TM).

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Most theorems of 'ordinary' mathematics are either provable in RCA_0 or equivalent to one of the 'Big Five' theories.

= Main Theme of RM

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 $(\forall f \in C[0,1])(f(0)f(1) < 0 \rightarrow (\exists x \in [0,1])(f(x) = 0)).$

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 for computable $f : \mathbb{N} \to \mathbb{N}$ exists.

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Intuitively, RCA₀ can do computable mathematics (with restricted induction).

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Reverse Mathematics for WKL₀

Central principle:

Principle (Weak König's Lemma)

Every infinite binary tree has an infinite path.

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 Heine-Borel Every countable open covering of [0, 1] has a finite sub-covering.

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- Weierstraß a continuous function on [0, 1] attains a maximum.
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Nonetheless, such maxima and infinite paths are not computable.

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- Gödel's completeness/compactness theorem.
- A countable commutative ring has a prime ideal.
- O A countable formally real field is orderable.
- A countable formally real field has a (unique) closure.
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- A countable commutative ring has a prime ideal.
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- **4** A countable formally real field has a (unique) closure.
- Brouwer's fixed point theorem A continuous function from [0,1]ⁿ to [0,1]ⁿ has a fixed point.
- B Hahn-Banach theorem for separable spaces.
- A continuous function on [0,1] can be approximated by (Bernstein) polynomials.

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Simpson: connection to Hilbert's program for the FOM...

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- Ascoli-Arzela theorem: Every bounded equicontinuous sequence of real- valued continuous functions on a bounded interval has a uniformly convergent subsequence.
- Every countable commutative ring has a maximal ideal.

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Severy countable vector space has a basis.

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Severy countable vector space has a basis. (No AC needed)

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Similar equivalences for ATR_0 and Π_1^1 -CA₀, though some set theory comes to the fore already.

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= Mathematical theorems seem to 'cluster' around the Big Five, while 'sparse' everywhere else.

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 $= \Pi_1^1 - CA_0$ $= ATR_0$ $= ACA_0$ -WKL₀ - RCA₀

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 $\begin{array}{c} \Pi_1^1 - CA_0 \\ ATR_0 \\ ACA_0 \\ WKL_0 \leftrightarrow \end{array}$ $\mathsf{WKL}_{\mathsf{D}} \leftrightarrow \mathsf{Peano} \ \mathsf{exist.} \leftrightarrow \mathsf{Weierstra} \ \mathsf{approx.} \leftrightarrow \mathsf{Weierstra} \ \mathsf{max.} \leftrightarrow \mathsf{Hahn}$ Banach \leftrightarrow Heine-Borel \leftrightarrow Brouwer fixp. \leftrightarrow Gödel compl. \leftrightarrow ... RCA₀ proves Interm. value thm, Soundness thm, Existence of alg. clos. ...

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\mathsf{ATR}_0 \\
\mathsf{ACA}_0 \leftrightarrow \\
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 $\begin{array}{l} \mathsf{ACA}_0 \ \leftrightarrow \ \mathsf{Bolzano-Weierstra8} \ \leftrightarrow \ \mathsf{Ascoli-Arzela} \ \leftrightarrow \ \mathsf{K\ddot{o}ning} \ \leftrightarrow \ \mathsf{Ramsey} \ (k \geq 3) \\ \leftrightarrow \ \mathsf{Countable} \ \mathsf{Basis} \ \leftrightarrow \ \mathsf{Countable} \ \mathsf{Max}. \ \mathsf{Ideal} \ \leftrightarrow \ \ldots \end{array}$

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 $\begin{array}{c} \blacksquare \Pi_1^1\text{-}\mathsf{CA}_0 \\ \blacksquare \end{array}$ $ATR_{0} \leftrightarrow UIm \leftrightarrow Lusin \leftrightarrow Perfect Set \leftrightarrow Baire space Ramsey \leftrightarrow \dots$ $ACA_0 \leftrightarrow Bolzano-Weierstraß \leftrightarrow Ascoli-Arzela \leftrightarrow Köning \leftrightarrow Ramsey (k \geq 3)$ \leftrightarrow Countable Basis \leftrightarrow Countable Max. Ideal $\leftrightarrow \dots$ $\mathsf{WKL}_{\mathsf{D}} \leftrightarrow \mathsf{Peano} \mathsf{ exist.} \leftrightarrow \mathsf{Weierstraß} \mathsf{ approx.} \leftrightarrow \mathsf{Weierstraß} \mathsf{ max.} \leftrightarrow \mathsf{Hahn-}$ Banach \leftrightarrow Heine-Borel \leftrightarrow Brouwer fixp. \leftrightarrow Gödel compl. \leftrightarrow ... RCA₀ proves Interm. value thm, Soundness thm, Existence of alg. clos. ...

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 $\underbrace{ \varPi_1^1 \text{-}\mathsf{CA}_0 \leftrightarrow \mathsf{Cantor}\text{-}\mathsf{Bendixson} \leftrightarrow \mathsf{Silver} \leftrightarrow \mathsf{Baire space Det.} \leftrightarrow \mathsf{Menger} \leftrightarrow \ldots }_{ \underbrace{ \blacksquare }}$ $ATR_0 \leftrightarrow UIm \leftrightarrow Lusin \leftrightarrow Perfect Set \leftrightarrow Baire space Ramsey \leftrightarrow \dots$ $ACA_0 \leftrightarrow Bolzano-Weierstraß \leftrightarrow Ascoli-Arzela \leftrightarrow Köning \leftrightarrow Ramsey (k \geq 3)$ \leftrightarrow Countable Basis \leftrightarrow Countable Max. Ideal $\leftrightarrow \dots$ $\mathsf{WKL}_0 \leftrightarrow \mathsf{Peano} \ \mathsf{exist.} \leftrightarrow \mathsf{WeierstraB} \ \mathsf{approx.} \leftrightarrow \mathsf{WeierstraB} \ \mathsf{max.} \leftrightarrow \mathsf{Hahn-}$ Banach \leftrightarrow Heine-Borel \leftrightarrow Brouwer fixp. \leftrightarrow Gödel compl. \leftrightarrow ... RCA₀ proves Interm. value thm, Soundness thm, Existence of alg. clos. ...

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 $ATR_0 \leftrightarrow UIm \leftrightarrow Lusin \leftrightarrow Perfect Set \leftrightarrow Baire space Ramsey \leftrightarrow \dots$ $ACA_0 \leftrightarrow Bolzano-Weierstraß \leftrightarrow Ascoli-Arzela \leftrightarrow Köning \leftrightarrow Ramsey (k \geq 3)$ \leftrightarrow Countable Basis \leftrightarrow Countable Max. Ideal $\leftrightarrow \dots$ $\mathsf{WKL}_0 \leftrightarrow \mathsf{Peano} \ \mathsf{exist.} \leftrightarrow \mathsf{Weierstra} \ \mathsf{approx.} \leftrightarrow \mathsf{Weierstra} \ \mathsf{max.} \leftrightarrow \mathsf{Hahn-}$ Banach \leftrightarrow Heine-Borel \leftrightarrow Brouwer fixp. \leftrightarrow Gödel compl. \leftrightarrow ... RCA₀ proves Interm. value thm, Soundness thm, Existence of alg. clos. ... (Not Absolute: exceptions are in Dzhafarov's RM zoo)

= Mathematical theorems seem to 'cluster' around the Big Five, while 'sparse' everywhere else.

 $ATR_0 \leftrightarrow UIm \leftrightarrow Lusin \leftrightarrow Perfect Set \leftrightarrow Baire space Ramsey \leftrightarrow \dots$ $ACA_0 \leftrightarrow Bolzano-Weierstraß \leftrightarrow Ascoli-Arzela \leftrightarrow Köning \leftrightarrow Ramsey (k \geq 3)$ \leftrightarrow Countable Basis \leftrightarrow Countable Max. Ideal $\leftrightarrow \dots$ $\mathsf{WKL}_0 \leftrightarrow \mathsf{Peano} \ \mathsf{exist.} \leftrightarrow \mathsf{WeierstraB} \ \mathsf{approx.} \leftrightarrow \mathsf{WeierstraB} \ \mathsf{max.} \leftrightarrow \mathsf{Hahn-}$ $\mathsf{Banach} \leftrightarrow \mathsf{Heine}\operatorname{\mathsf{Borel}} \leftrightarrow \mathsf{Brouwer} \ \mathsf{fixp.} \leftrightarrow \mathsf{G\"{o}del} \ \mathsf{compl.} \leftrightarrow \ldots$ RCA₀ proves Interm. value thm, Soundness thm, Existence of alg. clos. ... Distinction between logical formula with mathematical meaning and purely logical' formula, i.e. between subject (math) and formalization (logic).

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 $\underbrace{ \varPi_1^1 \text{-}\mathsf{CA}_0 \leftrightarrow \mathsf{Cantor}\text{-}\mathsf{Bendixson} \leftrightarrow \mathsf{Silver} \leftrightarrow \mathsf{Baire space Det.} \leftrightarrow \mathsf{Menger} \leftrightarrow \ldots }_{ \underbrace{ \blacksquare }}$ $ATR_0 \leftrightarrow UIm \leftrightarrow Lusin \leftrightarrow Perfect Set \leftrightarrow Baire space Ramsey \leftrightarrow \dots$ $ACA_0 \leftrightarrow Bolzano-Weierstraß \leftrightarrow Ascoli-Arzela \leftrightarrow Köning \leftrightarrow Ramsey (k > 3)$ \leftrightarrow Countable Basis \leftrightarrow Countable Max. Ideal $\leftrightarrow \dots$ $\mathsf{WKL}_0 \leftrightarrow \mathsf{Peano} \ \mathsf{exist.} \leftrightarrow \mathsf{WeierstraB} \ \mathsf{approx.} \leftrightarrow \mathsf{WeierstraB} \ \mathsf{max.} \leftrightarrow \mathsf{Hahn-}$ Banach \leftrightarrow Heine-Borel \leftrightarrow Brouwer fixp. \leftrightarrow Gödel compl. \leftrightarrow ... RCA₀ proves Interm. value thm, Soundness thm, Existence of alg. clos. ... Our best, most fine-grained foundation of ordinary math?

The coding catastrophe

Countable sets versus sets that are countable

Representations

Higher-order objects (functions on \mathbb{R} , topologies, metric spaces, etc) are studied via second-order representations/codes in L_2 .

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This situation has prompted [Bishop/Bridges] to build a modulus of uniform continuity into their definitions of continuous function. Such a procedure may be appropriate for Bishop since his goal is to replace ordinary mathematical theorems by their "constructive" counterparts. However, as explained in chapter I, our goal is quite different. Namely, we seek to draw out the set existence assumptions which are implicit in the ordinary mathematical theorems *as they stand*. (S. Simpson, SOSOA) The coding catastrophe

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Prime Directive: if one wants to classify theorems as they stand, coding should not change the logical strength of these theorems.

The coding catastrophe ●●●●●●●● Countable sets versus sets that are countable

The Good: coding continuous functions

 ε - δ -continuity for $f : [0,1] \to \mathbb{R}$ is defined as follows:

 $(\forall \varepsilon > 0, x \in [0,1])(\exists \delta > 0)(\forall y \in [0,1])(|x-y| < \delta \rightarrow |f(x)-f(y)| < \varepsilon).$
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II.6. CONTINUOUS FUNCTIONS

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DEFINITION II.6.1 (continuous functions). Within RCA₀, let \widehat{A} and \widehat{B} be complete separable metric spaces. A (code for a) *continuous partial function* ϕ from \widehat{A} to \widehat{B} is a set of quintuples $\Phi \subseteq \mathbb{N} \times A \times \mathbb{Q}^+ \times B \times \mathbb{Q}^+$ which is required to have certain properties. We write $(a, r)\Phi(b, s)$ as an abbreviation for $\exists n ((n, a, r, b, s) \in \Phi)$. The properties which we require are:

- 1. if $(a, r)\Phi(b, s)$ and $(a, r)\Phi(b', s')$, then $d(b, b') \leq s + s'$;
- 2. if $(a, r)\Phi(b, s)$ and (a', r') < (a, r), then $(a', r')\Phi(b, s)$;
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where the notation (a', r') < (a, r) means that d(a, a') + r' < r.

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Hence, coding does not change the logical strength of theorems about continuous functions (assuming WKL is available).

The coding catastrophe

Countable sets versus sets that are countable

The Bad: coding Riemann integrable functions

Around 1850, Riemann's *Habilschrift* introduces his integral and forces discontinuous functions into mainstream math.

Countable sets versus sets that are countable

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Theorem (Arzela, 1885)

Let $f_n: ([0,1] \times \mathbb{N}) \to \mathbb{R}$ be a sequence such that

• Each f_n is Riemann integrable on [0, 1].

2 There is M > 0 such that $(\forall n \in \mathbb{N}, x \in [0, 1])(|f_n(x)| \le M)$.

• $\lim_{n\to\infty} f_n = f$ exists and is Riemann integrable. Then $\lim_{n\to\infty} \int_0^1 f_n(x) dx = \int_0^1 f(x) dx$.

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Formulated without codes, this theorem is classified near Z_2 , far beyond Π_1^1 -CA₀ and the usual range of RM.

Massive change of logical strength for a basic theorem about functions that are continuous almost everywhere.

The coding catastrophe

Countable sets versus sets that are countable

The ugly: rewriting history

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The Heine-Borel theorem for countable coverings features in RM from the beginning.

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countable covering is $\cup_{n \in \mathbb{N}} (a_n, b_n)$ for two sequences of reals $(a_n)_{n \in \mathbb{N}}, (b_n)_{n \in \mathbb{N}}$.

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Borel (PhD Thesis, 1899) formulates the Heine-Borel theorem for countable coverings where 'countable' means 'bijection to \mathbb{N} '.

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Similar for other countable objects: they are given by sequences in RM although the original is formulated using sets that are countable (Cantor, König, Ramsey, etc).

The coding catastrophe

Solution

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Kohlenbach's higher-order RM, introduced in RM2001.



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The language of all finite types L_{ω} has variables for:

 $n \in \mathbb{N}, X \subset \mathbb{N}, F : \mathbb{R} \to \mathbb{R}, \Theta : (\mathbb{R} \to \mathbb{R}) \to \mathbb{R}, \ldots$

The base theory RCA_0^{ω} proves the same L_2 sentences as RCA_0 .

The coding catastrophe ○○○○●○○○ Countable sets versus sets that are countable

Higher-order counterparts of the Big Five

Countable sets versus sets that are countable

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Each of the 'Big Five' has a higher-order counterpart; we concentrate on the weakest.

$$\ldots \rightarrow \mathsf{ACA}_0 \rightarrow \mathsf{WKL}_0 \rightarrow \mathsf{RCA}_0$$
 (1)

$$\dots \rightarrow \text{BOOT} \rightarrow \text{HBT} \rightarrow \text{RCA}_0^{\omega}.$$
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The coding catastrophe

Countable sets versus sets that are countable

Beyond the Big Five

The coding catastrophe $\circ\circ\circ\circ\circ\circ\circ\circ\circ\circ\circ$

Countable sets versus sets that are countable

Beyond the Big Five

Each of the 'Big Five' has a higher-order counterpart; we concentrate on the weakest.

$$\dots \to \mathsf{ACA}_0 \to \mathsf{WKL}_0 \to \mathsf{RCA}_0 \tag{3}$$
$$\dots \to \mathsf{BOOT} \to \mathsf{HBT} \to \underbrace{}_{\mathsf{Here \ be \ something!}} \to \mathsf{RCA}_0^\omega. \tag{4}$$

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Why there be something in (4)?

The coding catastrophe ○○○○○●○○ Countable sets versus sets that are countable

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Why there be something in (4)?

Because: RCA_0^{ω} is a weak system: Brouwer's theorem, given as all functions on \mathbb{R} are continuous, yields a conservative extension.

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The coding catastrophe

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The coding catastrophe ○○○○○○●○ Countable sets versus sets that are countable

Beyond the Big Five

The coding catastrophe 000000000

Countable sets versus sets that are countable

Beyond the Big Five

The following picture emerges:

$$\label{eq:rescaled_$$

The coding catastrophe ○○○○○○●○ Countable sets versus sets that are countable

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 $\dots \rightarrow \mathsf{ACA}_0 \rightarrow \mathsf{WKL}_0 \rightarrow \underbrace{\qquad}_{\mathsf{No \ known \ 'Big' \ system.}} \rightarrow \mathsf{RCA}_0$ $\dots \rightarrow \mathsf{BOOT} \rightarrow \mathsf{HBT} \rightarrow \underbrace{\mathsf{cocode}_0 \rightarrow \mathsf{cocode}_1}_{\mathsf{Big \ Six \ and \ Big \ Seven.}} \rightarrow \mathsf{RCA}_0^{\omega}.$

cocode₀ expresses that a countable (=injection to \mathbb{N} , Kunen, Brouwer) set of reals can be enumerated.

The coding catastrophe

Countable sets versus sets that are countable

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 $cocode_0$ expresses that a countable (=injection to N, Kunen, Brouwer) set of reals can be enumerated.

cocode₁ expresses that a strongly countable (=bijection to \mathbb{N} , Hrbacek-Jech) set of reals can be enumerated.

The coding catastrophe ○○○○○○○● Countable sets versus sets that are countable

Why study cocode_{*i*}?

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History: Borel explicitly states cocode₁ in his 1899 PhD thesis.

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Hyper: $ACA_0^{\omega} + cocode_1$ lives as the level of hyperarithmetical analysis. Associated second-order systems are 'rather logical'

The coding catastrophe

Some definitions

We assume sets are given by (possibly discontinuous) characteristic functions.

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Principle (cocode₀)

A countable set in [0,1] can be enumerated.

The coding catastrophe

Bolzano-Weierstrass

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Let BWC₀ be the following Bolzano-Weierstrass theorem: any countable $A \subset 2^{\mathbb{N}}$ has a supremum sup A. TFAE:

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- BOOT_C⁻: BOOT with 'at most one' condition.
- many of the above for [0, 1].
- . . .

We observe a certain robustness!

The coding catastrophe

Limit points

The Cantor-Bendixson theorem is studied in second-order RM (via codes). The original theorem readily implies item (b).

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Item (d) is called the countable chain condition, first formulated by Cantor.

The coding catastrophe

Limit points II

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Item (e) is formulated with bijections ONLY.

The coding catastrophe

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 $cocode_0 \leftrightarrow [cocode_1 + CB\mathbb{N}]$, and the disjuncts are independent.

 $CB\mathbb{N}^+ \leftrightarrow cocode_0$, where the former expresses that *h* is locally either *f* or the inverse of *g*.

The coding catastrophe

Heine-Borel theorem

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Heine-Borel theorem

We do not know whether HBC_0 is equivalent to $cocode_0$:

Principle (HBC₀)

For countable $A \subset \mathbb{R}^2$ with $(\forall x \in I)(\exists (a, b) \in A)(x \in (a, b))$, there is $(a_0, b_0), \dots (a_k, b_k) \in A$ with $(\forall x \in I)(\exists i \leq k)(x \in (a_i, b_i))$.

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Same for many sequential versions, like e.g. sequential ADS, RT22, KL. \dots

The coding catastrophe

Separation

The separation axiom as follows

 $(\forall n \in \mathbb{N})(\neg A(n) \vee \neg B(n))$

\downarrow $(\exists Z \subset \mathbb{N})(\forall n \in \mathbb{N})(A(n) \rightarrow n \in Z \land B(n) \rightarrow n \notin Z).$

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The coding catastrophe

Countable sets versus sets that are countable

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provides equivalent formulations for WKL_0 and ATR_0 when restricted to \varSigma_1^0 and \varSigma_1^1 -formulas

Allowing third-order parameters, there are versions equivalent to HBT and cocode_i for i = 0, 1.

The coding catastrophe

Some set theory

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This theorem is not provable in ZF. We study the following version:

Principle (CUC)

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Related results for \mathbb{R} is not the union of countable sets.

The coding catastrophe

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For this concept to make sense, one needs item (c) (and much more)....

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The system $ACA_0^{\omega} + cocode_1$ is in the range of hyperarithmetical analysis, and more natural than the known systems.

The coding catastrophe

Conclusion: the Big Six and Big Seven

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The following picture was obtained:

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Many equivalences exist and many many more lie in wait.

The coding catastrophe

Countable sets versus sets that are countable

The future: beyond Kleene and Turing

Our negative results rely on Kleene's S1-S9 computability theory (ITTMs outright compute all the stuff we wish to study).



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Kleene S1-S9: computation on all finite types, but complicated (no T-predicate and complicated ad hoc definition)

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The coding catastrophe

Countable sets versus sets that are countable

The future: beyond Kleene and Turing

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But we can almost have the best of both worlds!

The coding catastrophe

Brouwer to the rescue!

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Definition (NFP, 1970, Kreisel-Troelstra)

For any formula A, we have

 $(\forall f \in \mathbb{N}^{\mathbb{N}})(\exists n \in \mathbb{N})A(\overline{f}n) \to (\exists \gamma \in K_0)(\forall f \in \mathbb{N}^{\mathbb{N}})A(\overline{f}\gamma(f)),$

where ' $\gamma \in K_0$ ' means that γ is an RM-code.

Note that $\overline{f}n$ is the finite sequence $\langle f(0), f(1), \ldots, f(n-1) \rangle$.

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Note that \overline{fn} is the finite sequence $\langle f(0), f(1), \ldots, f(n-1) \rangle$. NFP is a classically equivalent alternative to comprehension from Brouwer's INT. But the ' $\gamma \in K_0$ ' in NFP can be fed to TMs!
The coding catastrophe

Some examples

The coding catastrophe

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Let ' $\leq_{\mathcal{T}}$ ' be Turing reducibility and define the 'higher-order jump'

 $J(Y) := \{n \in \mathbb{N} : (\exists f \in \mathbb{N}^{\mathbb{N}})(Y(f, n) = 0)\}.$

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(Baire category thm) for dense open sets $(Y_n)_{n \in \mathbb{N}}$ in \mathbb{R} , there is $x \in \bigcap_n Y_n$ with $x \leq_T J(t(\lambda n, Y_n, \exists^2))$.

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Final Thoughts

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Final Thoughts

The revolution is not an apple that falls when it is ripe. You have to make it fall. (AN & CG)

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Any (content) questions?