

The strength of the class forcing theorem

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Theorem (Forcing theorem)

\mathbb{P} is a set-sized separative partial order. $G \subseteq \mathbb{P}$ generic over V .

- $V[G] \models \varphi(a_1, \dots, a_n)$ iff $p \Vdash \varphi(\dot{a}_1, \dots, \dot{a}_n)$ for some $p \in G$.
- $p \Vdash \varphi$ is definable. (For each k the relation $p \Vdash \varphi$ for Σ_k formulae φ is definable.)

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- $p \Vdash \varphi$ is definable. (For each k the relation $p \Vdash \varphi$ for Σ_k formulae φ is definable.)

This is a theorem of (a fragment of) ZFC.

Second-order set theory

Models look like (M, \mathcal{X}) with sets and classes.

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Definition

Gödel–Bernays set theory GBC has axioms

- ZFC for the first-order part;
- Extensionality for classes;
- Replacement: for class function F and set a we have $F''a$ is a set;
- Global Choice: there is a bijection $\text{Ord} \rightarrow V$; and
- Elementary Comprehension: for φ with only set quantifiers and class A the following is a class:

$$\{x : \varphi(x, A)\}.$$

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Fact

GBC is conservative over ZFC: for first-order φ , $\text{GBC} \vdash \varphi$ iff $\text{ZFC} \vdash \varphi$.

A stronger second-order set theory

Definition

Kelley–Morse set theory KM has the axioms of axioms of GBC plus

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Fact

KM is not conservative over ZFC, e.g. proving $\text{Con}(\text{ZFC})$.

Pretame forcings

Theorem (Friedman)

GBC *proves* that all *pretame* class forcing notions satisfy the forcing theorem.

GBC doesn't prove the full class forcing theorem...

Theorem (Holy, Krapft, Lücke, Njegomir, Schlicht)

There is a (definable) class forcing notion \mathbb{F} so that first-order truth is definable from $\Vdash_{\mathbb{F}}$ (for quantifier-free formulae).

Corollary

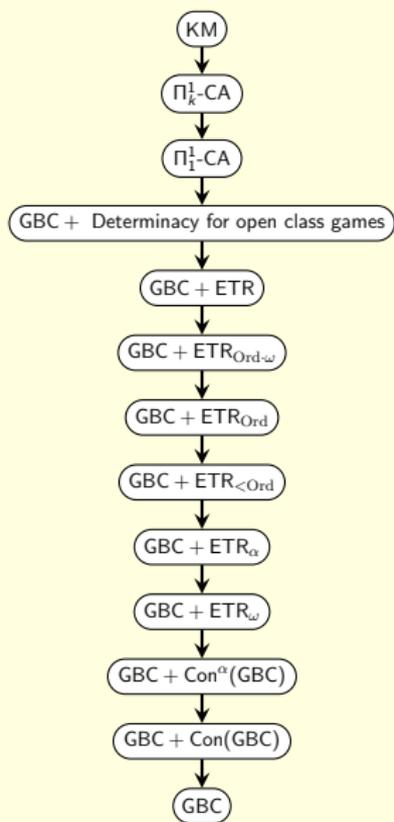
Over GBC, the forcing theorem for \mathbb{F} implies $\text{Con}(\text{ZFC})$.

...But KM does

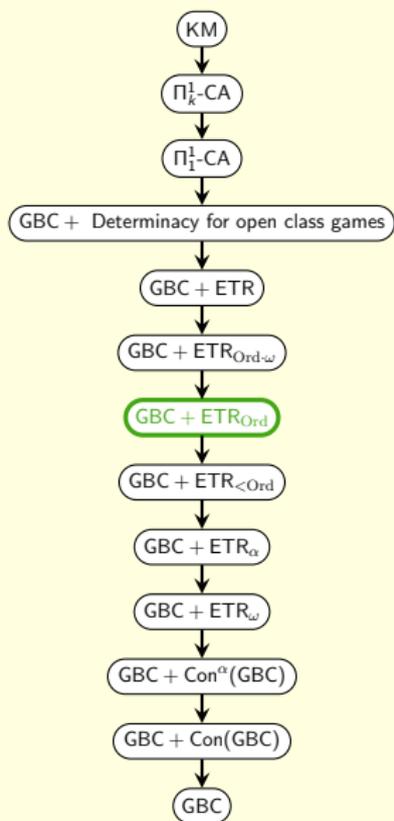
Theorem (Antos)

KM proves the forcing theorem for all class forcing notions.

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satisfying

- $p \Vdash \sigma \in \tau$ iff there are densely many $q \leq p$ so that there is $\langle \rho, r \rangle \in \tau$ with $q \leq r$ and $q \Vdash \sigma = \rho$;
- $p \Vdash \sigma \subseteq \tau$ iff $\langle \rho, r \rangle \in \sigma$ and $q' \leq p, r$ implies there is $q \leq q'$ with $q \Vdash \rho \in \tau$; and
- $p \Vdash \sigma = \tau$ iff $p \Vdash \sigma \subseteq \tau$ and $p \Vdash \tau \subseteq \sigma$.

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 - $p \Vdash \sigma = \tau$ iff $p \Vdash \sigma \subseteq \tau$ and $p \Vdash \tau \subseteq \sigma$.
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- We can unify the three relations into a single relation, since they are distinguished syntactically.
- $p \Vdash \sigma \subseteq \tau$ can be expressed in terms of $p \Vdash \sigma \in \tau$ and $p \Vdash \sigma = \tau$, so it's merely a convenience.
- Verifying that a class is \Vdash is first-order (in the parameter \mathbb{P}).

What do we really mean by the class forcing theorem?

Definition

Φ a collection of first-order formulae, closed under subformulae. \mathbb{P} admits a forcing relation for Φ if there is a relation $p \Vdash \varphi$ defined for $\varphi \in \Phi$ satisfying

- \Vdash is defined on atomic formulae as before;
- For class name Σ , $p \Vdash \tau \in \Sigma$ iff there are densely many $q \leq p$ so that there is $\langle \rho, r \rangle \in \Sigma$ with $q \leq r$ and $q \Vdash \tau = \rho$;
- $p \Vdash \varphi \wedge \psi$ iff $p \Vdash \varphi$ and $p \Vdash \psi$;
- $p \Vdash \neg \varphi$ iff there is no $q \leq p$ so that $q \Vdash \varphi$; and
- $p \Vdash \forall x \varphi(x)$ iff $p \Vdash \varphi(\tau)$ for all \mathbb{P} -names τ .

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- $p \Vdash \forall x\varphi(x)$ iff $p \Vdash \varphi(\tau)$ for all \mathbb{P} -names τ .

\mathbb{P} admits a forcing relation for a formula φ if there is Φ containing all instances of $\varphi(\bar{\tau})$ so that \mathbb{P} admits a forcing relation for Φ .

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Lemma Schema (GBC)

If \mathbb{P} admits a forcing relation for atomic formulae then it admits a forcing relation for φ for any φ in the forcing language.

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Proof.

By induction in the meta-theory. □

Constructing actual forcing extensions

Suppose $\mathfrak{M} = (M, \mathcal{X}) \models \text{GBC}$; $\mathbb{P} \in \mathcal{X}$ admits a forcing relation for all φ ;
 $G \subseteq \mathbb{P}$ generic over \mathfrak{M} .

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$$\sigma =_G \tau \quad \text{iff} \quad \exists p \in G \ p \Vdash \sigma = \tau$$

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Then $=_G$ is an equivalence relation and a congruence with respect to \in_G .
Set $\mathfrak{M}[G]$ to consist of the $=_G$ -equivalence classes with \in_G for its membership relation.

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Set $\mathfrak{M}[G]$ to consist of the $=_G$ -equivalence classes with \in_G for its membership relation.

Theorem

$\mathfrak{M}[G] \models \varphi([\tau_0], \dots, [\tau_m])$ iff there is $p \in G$ so that $p \Vdash \varphi(\tau_0, \dots, \tau_m)$.

Elementary transfinite recursion

Definition (Fujimoto)

Elementary transfinite recursion ETR is the schema asserting that for any well-order Γ and any **first-order** $\varphi(x, Y, A)$ (class parameter A) there is a class $S \subseteq \text{dom } \Gamma \times V$ which is a solution of the recursion

$$S_a = \{x : \varphi(x, S \upharpoonright a, A)\}$$

where $S_a = \{x : \langle a, x \rangle \in S\}$ and $S \upharpoonright a = S \cap ((\Gamma \upharpoonright a) \times V)$.

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Definition

ETR_{Ord} is the restriction of ETR to recursions of height $\leq \text{Ord}$.

The strength of ETR

Proposition

Over GBC, ETR implies Con(GBC).

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Over GBC, ETR *implies* Con(GBC).

Proof.

The Tarskian definition of truth is an elementary recursion of height ω . \square

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Theorem (Sato)

Π_1^1 -CA *proves* Con(GBC + ETR).

Separating ETR and ETR_{Ord}

Theorem

Over GBC, ETR *implies* $\text{Con}(\text{GBC} + \text{ETR}_{\text{Ord}})$.

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Proof deferred to a later slide.

Getting forcing relations for atomic formulae

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Over GBC, ETR_{Ord} implies that every class forcing \mathbb{P} admits a forcing relation for atomic formulae.

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Proof.

\Vdash is defined via an elementary recursion. This is a recursion along \in on \mathbb{P} -names. So we can organize it as a recursion of height Ord . \square

The uniform forcing relation

Definition

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Note that the uniform forcing relation cannot be definable from \mathbb{P} for danger of contradicting Tarski's theorem on the undefinability of truth. In particular, we don't have uniform forcing relations for ordinary set forcing in ZFC.

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From before we have $\Vdash_{\mathbb{P}}$ for atomic formulae. Extending to all formulae is itself an elementary recursion. \square

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Over GBC, ETR_{Ord} implies that every class forcing \mathbb{P} admits a uniform forcing relation.

Proof.

From before we have $\Vdash_{\mathbb{P}}$ for atomic formulae. Extending to all formulae is itself an elementary recursion. \square

Once we've seen that every forcing having a forcing relation for atomic formulae implies ETR_{Ord} we will get:

Corollary (GBC)

If every class forcing admits a forcing relation for atomic formulae then every class forcing admits a uniform forcing relation.

Definition

An *Ord-iterated truth predicate for first-order truth* is a class Tr consisting of triples $\langle \beta, \varphi, \vec{a} \rangle$, where $\beta \in \text{Ord}$, φ is a first-order formula in $\mathcal{L}_{\text{ZFC}}(\hat{\text{Tr}})$, and \vec{a} is a valuation for φ satisfying the following:

(a) Tr judges the truth of atomic statements correctly:

$$\text{Tr}(\beta, x = y, \langle a, b \rangle) \quad \text{iff} \quad a = b$$

$$\text{Tr}(\beta, x \in y, \langle a, b \rangle) \quad \text{iff} \quad a \in b$$

(b) Tr judges atomic assertions of the truth predicate self-coherently:

$$\text{Tr}(\beta, \hat{\text{Tr}}(x, y, z), \langle \alpha, \varphi, \vec{a} \rangle) \quad \text{iff} \quad \alpha < \beta \text{ and } \text{Tr}(\alpha, \varphi, \vec{a})$$

(c) Tr performs Boolean logic correctly:

$$\text{Tr}(\beta, \varphi \wedge \psi, \vec{a}) \quad \text{iff} \quad \text{Tr}(\beta, \varphi, \vec{a}) \text{ and } \text{Tr}(\beta, \psi, \vec{a})$$

$$\text{Tr}(\beta, \neg\varphi, \vec{a}) \quad \text{iff} \quad \neg\text{Tr}(\beta, \varphi, \vec{a})$$

(d) Tr performs quantifier logic correctly:

$$\text{Tr}(\beta, \forall x \varphi, \vec{a}) \quad \text{iff} \quad \forall b \text{Tr}(\beta, \varphi, b \hat{\ } \vec{a})$$

Definition

An *Ord-iterated truth predicate for first-order truth relative to a parameter A* is a class Tr consisting of triples $\langle \beta, \varphi, \vec{a} \rangle$, where $\beta \in \text{Ord}$, φ is a first-order formula in $\mathcal{L}_{\text{ZFC}}(\hat{\text{Tr}}, \hat{A})$, and \vec{a} is a valuation for φ satisfying the previous conditions plus:

(a') Tr judges the truth of atomic assertions about \hat{A} correctly:

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Definition

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- $\text{Tr}_\Gamma(A)$ denotes *the* Γ -iterated truth predicate relative to A .
- Tr_Γ denotes *the* Γ -iterated truth predicate relative to no parameter.

Theorem (Fujimoto)

Over GBC, ETR is equivalent to $\text{Tr}_\Gamma(A)$ exists for all well-orders Γ and all classes A .

ETR iff iterated truth

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Proof.

(\Rightarrow) $\text{Tr}_\Gamma(A)$ is defined via an elementary recursion of height $\omega \cdot \Gamma$.

ETR iff iterated truth

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Proof.

(\Leftarrow) Let $T = \text{Tr}_\Gamma(A)$. Consider an instance of ETR, iterating $\varphi(x, S, A)$ along Γ . That is, we want to find $S \subseteq \text{dom } \Gamma \times V$ so that $S_a = \{x : \varphi(x, S \upharpoonright a, A)\}$ for all $a \in \text{dom } \Gamma$.

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By the fixed-point lemma find $\bar{\varphi}$ so that $(V, \in, A, T \upharpoonright a) \models \bar{\varphi}(x, a)$ iff $(V, \in, A, S \upharpoonright a) \models \varphi(x, a)$.

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Then $S = \{\langle a, x \rangle : (a, \bar{\varphi}, x) \in T\}$ is as desired. □

ETR iff iterated truth

Corollary

Over GBC, ETR_{Ord} is equivalent to $\text{Tr}_{\text{Ord}}(A)$ exists for all classes A .

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Proof.

To prove (\Rightarrow) before we used a recursion of height $\omega \cdot \Gamma$, but $\omega \cdot \text{Ord} = \text{Ord}$. So ETR_{Ord} suffices to construct Ord -iterated truth predicates. (\Leftarrow) goes through the same. □

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Corollary

Let $\Gamma \geq \omega^\omega$. Over GBC, ETR_Γ is equivalent to $\text{Tr}_\Gamma(A)$ exists for all classes A .

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Corollary

Let $\Gamma \geq \omega^\omega$. Over GBC, ETR_Γ is equivalent to $\text{Tr}_\Gamma(A)$ exists for all classes A .

Proof.

$\Gamma \geq \omega^\omega$ implies $\omega \cdot \Gamma < \Gamma + \Gamma$ and ETR_Γ is equivalent to $\text{ETR}_{\Gamma+\Gamma}$. □

Separating ETR and ETR_{Ord}

Theorem

Suppose $(M, \mathcal{X}) \models \text{GBC} + \text{ETR}$. Then there is $\mathcal{Y} \subseteq \mathcal{X}$ coded in \mathcal{X} so that $(M, \mathcal{Y}) \models \text{GBC} + \text{ETR}_{\text{Ord}}$.

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Proof.

Fix $G \in \mathcal{X}$ a global well-order. Define

$$\mathcal{Y} = \bigcup_{\Gamma < \text{Ord} \cdot \omega} \text{Def}(M, \text{Tr}_\Gamma(G)).$$

Then $(M, \mathcal{Y}) \models \text{GBC}$.

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Then $(M, \mathcal{Y}) \models \text{GBC}$. It satisfies ETR_{Ord} because if $A \in \text{Def}(M, \text{Tr}_{\Gamma}(G))$ for $\Gamma < \text{Ord} \cdot \omega$ then $\text{Tr}_{\text{Ord}}(A)$ is in $\text{Def}(M, \text{Tr}_{\Gamma + \text{Ord} + 1}(G))$. \square

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Corollary

Over GBC , ETR implies $\text{Con}(\text{GBC} + \text{ETR}_{\text{Ord}})$.

Separating levels of ETR

Theorem

Suppose $(M, \mathcal{X}) \models \text{GBC} + \text{ETR}_{\Gamma \cdot \omega}$ for $\Gamma \in \mathcal{X}$. Then there is $\mathcal{Y} \subseteq \mathcal{X}$ coded in \mathcal{X} so that $(M, \mathcal{Y}) \models \text{GBC} + \text{ETR}_{\Gamma}$.

Outline of class forcing theorem \Rightarrow ETR_{Ord}

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Outline.

Fix a class A . Consider a certain \mathbb{F}_A . It admits a forcing relation \Vdash for atomic formulae.

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Infinitary languages

Definition

A a class. $\mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$ is the partial infinitary language relative to the parameter A . Formulae formed according to the following schema.

- Atomic formulae: $x = y$, $x \in y$, $x \in \hat{A}$;
- If φ is a formula then so is $\neg\varphi$;
- If φ_i are formulae for all $i \in I$ a **set**, so are $\bigvee_{i \in I} \varphi_i$ and $\bigwedge_{i \in I} \varphi_i$, so long as the φ_i have finitely many free variables.
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Definition

A a class. $\mathcal{L}_{\text{Ord},0}(\in, \hat{A})$ is the the quantifier-free infinitary language relative to the parameter A . It is the restriction of $\mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$ to quantifier-free formulae.

Getting the uniform $\mathcal{L}_{\text{Ord},0}(\in, V^{\mathbb{F}^A})$ -forcing relation

Lemma (Holy, Krapft, Lücke, Njegomir, Schlicht)

If a class forcing notion \mathbb{P} admits a forcing relation for atomic formulae then it admits a uniform forcing relation in the quantifier-free infinitary forcing language $\mathcal{L}_{\text{Ord},0}(\in, V^{\mathbb{P}}, \dot{G})$.

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Key point: this is done via a purely **syntactic translation**, not making reference to generic filters or truth in a forcing extension.

Truth predicates for the infinitary language

Definition

A class. An $\mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$ -*truth predicate* is a class Tr consisting of pairs $\langle \varphi, \vec{a} \rangle$, where φ is an $\mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$ -formula and \vec{a} is a valuation for φ satisfying the following:

(a) Tr judges the truth of atomic statements correctly:

$$\text{Tr}(x = y, \langle a, b \rangle) \quad \text{iff} \quad a = b$$

$$\text{Tr}(x \in y, \langle a, b \rangle) \quad \text{iff} \quad a \in b$$

$$\text{Tr}(x \in \hat{A}, \langle a \rangle) \quad \text{iff} \quad a \in A$$

(b) Tr performs Boolean logic correctly:

$$\text{Tr} \left(\bigwedge_{i \in I} \varphi_i, \vec{a} \right) \quad \text{iff} \quad \text{Tr}(\varphi_i, \vec{a}) \text{ for all } i \in I$$

$$\text{Tr}(\neg \varphi, \vec{a}) \quad \text{iff} \quad \neg \text{Tr}(\varphi, \vec{a})$$

(c) Tr performs quantifier logic correctly:

$$\text{Tr}(\forall x \varphi, \vec{a}) \quad \text{iff} \quad \forall b \text{Tr}(\varphi, b \hat{\wedge} \vec{a})$$

Theorem

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Intuition.

Define a certain **syntactic** translation

$$(\beta, \varphi) \mapsto \varphi_{\beta}^*$$

$$\text{Ord} \times \mathcal{L}_{\omega,\omega}(\in, \hat{A}) \rightarrow \mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$$

so that $\varphi(\vec{a})$ is true at level β iff $\varphi_{\beta}^*(\vec{a})$ is true.

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Key point: This translation is defined via a **set-like** recursion of height Ord, so it can be done just from GBC.

The *-translation (easy cases)

The translation is defined by induction on β and φ :

- Atomic formulae:

$$[x = y]_{\beta}^* = [x = y]$$

$$[x \in y]_{\beta}^* = [x \in y]$$

$$[x \in \hat{A}]_{\beta}^* = [x \in \hat{A}]$$

- Boolean combinations:

$$[\varphi \wedge \psi]_{\beta}^* = [\varphi_{\beta}^* \wedge \psi_{\beta}^*]$$

$$[\neg\varphi]_{\beta}^* = [\neg\varphi_{\beta}^*]$$

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The *-translation (substantive case)

The translation is defined by induction on β and φ :

- $[\hat{\text{Tr}}(x, y, z)]_{\beta}^*$ is the assertion that
 - x is some stage $\xi < \beta$;
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Formally:

$$\bigvee_{\substack{\xi < \beta \\ \psi \in \mathcal{L}_{\omega, \omega}(\in, \hat{\text{Tr}}, \hat{\mathcal{A}})}} [“x = \xi” \wedge “y = \psi” \wedge \exists \vec{a} \text{ valuation}_{\psi}(z, \vec{a}) \wedge \psi_{\xi}^*(\vec{a})]$$

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Let T be the $\mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$ -truth predicate. Define the proposed Ord-iterated truth predicate Tr as $(\beta, \varphi, \vec{a}) \in \text{Tr}$ iff $(\varphi_{\beta}^*, \vec{a}) \in T$.

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- $(\beta, \hat{\text{Tr}}(x, y, z), \langle \alpha, \varphi, \vec{a} \rangle) \in \text{Tr}$ iff $\alpha < \beta$ and $(\alpha, \varphi, \vec{a}) \in \text{Tr}$ □

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\mathbb{F}_A is defined by adding certain suprema to $\text{Coll}(\omega, V)$:

$$\mathbb{F}_A = \text{Coll}(\omega, V) \sqcup \{e_{n,m} : n, m \in \omega\} \sqcup \{a_n : n \in \omega\}$$

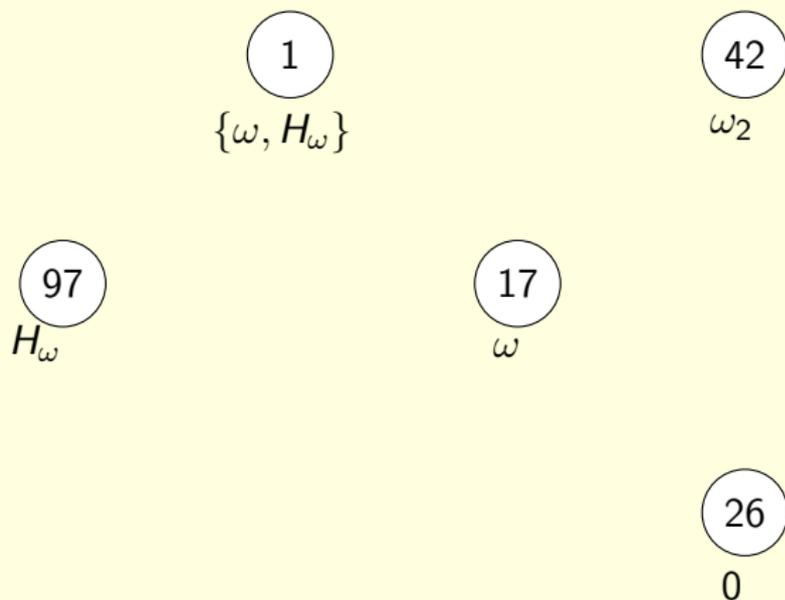
where for $p \in \text{Coll}(\omega, V)$

$$p \leq e_{n,m} \quad \text{iff} \quad p(n) \in p(m)$$

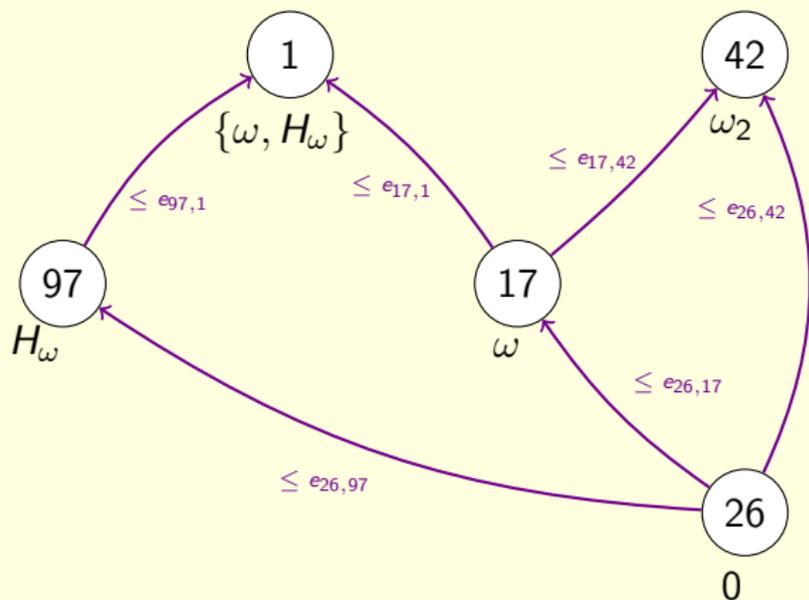
$$p \leq a_n \quad \text{iff} \quad p(n) \in A$$

and $\mathbf{1}_{\mathbb{F}_A} = \emptyset \in \text{Coll}(\omega, V)$ is above the new conditions.

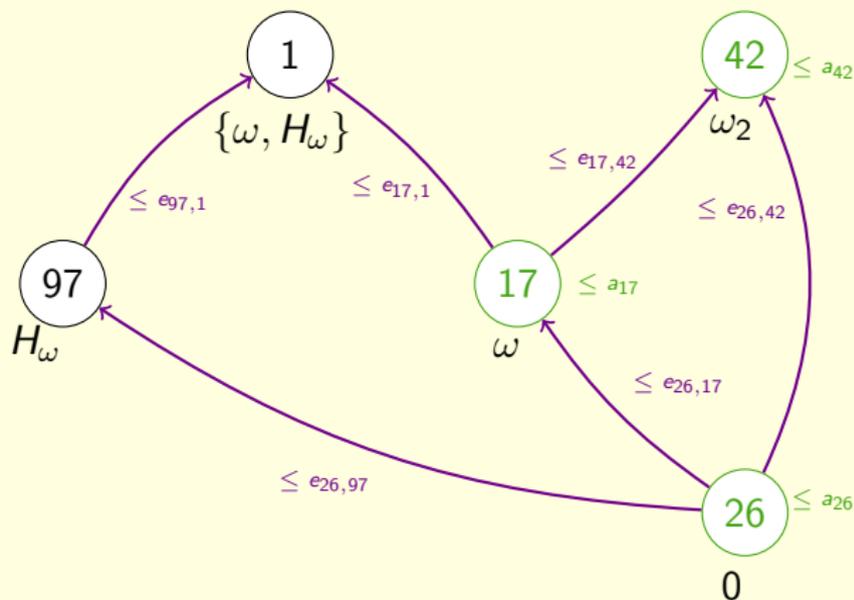
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$$\dot{\varepsilon} = \{ \langle \text{op}(\check{n}, \check{m}), e_{n,m} \rangle : n, m \in \omega \}$$

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These are **set-sized** names yet carry information about a proper class of conditions p .

For each set a define the name

$$\dot{n}_a = \{ \langle \check{k}, \underbrace{\{ \langle n, a \rangle \}}_{\in \text{Coll}(\omega, V)} \rangle : k < n \in \omega \}.$$

\dot{n}_a names the $n \in \omega$ that gets mapped to a by the generic bijection.

Defining truth from the forcing relation

Theorem

If \mathbb{F}_A admits its uniform $\mathcal{L}_{\text{Ord},0}(\in, V^{\mathbb{F}_A})$ -forcing relation then the $\mathcal{L}_{\text{Ord},\omega}(\in, \hat{A})$ -truth predicate exists.

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Intuition.

Define a **syntactic** translation

$$\begin{aligned} \varphi &\mapsto \varphi^* \\ \mathcal{L}_{\text{Ord},\omega}(\in, \hat{A}) &\rightarrow \mathcal{L}_{\text{Ord},0}(\in, V^{\mathbb{F}_A}) \end{aligned}$$

so that for $G \subseteq \mathbb{F}_A$ generic

$$(V, \in, A) \models \varphi(a) \quad \text{iff} \quad V[G] \models \left[(\omega, \dot{\varepsilon}^G, \dot{A}^G) \models \varphi^*((\dot{a}_a)^G) \right].$$

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Suppose the uniform $\mathcal{L}_{\text{Ord},0}(\in, V^{\mathbb{F}_A})$ -forcing relation exists. Define a class Tr as

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So ETR_{Ord} holds. □

Theorem

The following are equivalent over GBC.

- *The class forcing theorem: all class forcing notions admit a truth predicate for atomic formulae.*
- *All class forcing notions admit a uniform $\mathcal{L}_{\omega,\omega}(\in, V^{\mathbb{P}})$ -forcing relation.*
- *All class forcing notions admit a uniform $\mathcal{L}_{\text{Ord},\text{Ord}}(\in, V^{\mathbb{P}})$ -forcing relation.*
- ETR_{Ord} .
- *Ord-iterated $\mathcal{L}_{\omega,\omega}(\in, \hat{A})$ -truth predicates exist.*
- *$\mathcal{L}_{\text{Ord},\omega}(\in, A)$ -truth predicates exist.*
- *$\mathcal{L}_{\text{Ord},\text{Ord}}(\in, A)$ -truth predicates exist.*
- *Clopen class games of rank at most $\text{Ord} + 1$ are determined.*

Thank you!