

## TOPOLOGIES DETERMINED BY $\sigma$ -IDEALS ON $\omega_1$

S. BROVERMAN, J. GINSBURG, K. KUNEN, AND F. D. TALL

**0. Introduction.**  $\sigma$ -ideals (collections of sets which are closed under subset and countable union) are certainly important mathematically—consider first category sets, sets of measure zero, nonstationary sets, etc.—but aside from the observation that in certain spaces the first category  $\sigma$ -ideal is proper,  $\sigma$ -ideals have not been extensively studied by topologists. In this note we study a natural topology determined by a  $\sigma$ -ideal, exploiting the interplay between the set-theoretic properties of the  $\sigma$ -ideal and the topological properties of the associated space. For simplicity we shall restrict ourselves to studying  $\sigma$ -ideals on  $\omega_1$ , although generalizations to large cardinals are interesting as well.

Corson [4] defined the space

$$\Sigma = \{f \in 2^{\omega_1} : |\{\alpha : f(\alpha) = 1\}| \leq \aleph_0\},$$

given the topology inherited from the usual topology on the product of  $\aleph_1$  copies of the two-point discrete space. Let  $\mathcal{I}$  be an arbitrary  $\sigma$ -ideal on  $\omega_1$ . Define

$$\Sigma(\mathcal{I}) = \{f \in 2^{\omega_1} : \{\alpha : f(\alpha) = 1\} \in \mathcal{I}\}.$$

The spaces  $\Sigma(\mathcal{I})$  will be our object of study. One could also look at various box topologies on  $\Sigma(\mathcal{I})$  but these are of less interest.

Section 1 of this note characterizes the normal  $\Sigma(\mathcal{I})$ 's. Section 2 deals with cardinal invariants and calibers. Section 3 is concerned with “Baireness” and the effect of various set-theoretic assumptions.

Since whenever  $S$  is an uncountable subset of  $\omega_1$ ,  $2^S$  is homeomorphic to  $2^{\omega_1}$ , without loss of generality we shall assume  $\mathcal{I}$  contains all countable subsets of  $\omega_1$ .

**1. Normality.** Although we are primarily interested in cardinal functions on  $\Sigma(\mathcal{I})$ , in this section we give a nice characterization of the  $\mathcal{I}$ 's for which  $\Sigma(\mathcal{I})$  is normal.

**THEOREM 1.**  $\Sigma(\mathcal{I})$  is normal if and only if  $\mathcal{I} = \mathcal{P}(\omega_1)$  (the collection of all subsets of  $\omega_1$ ) or  $[\omega_1]^\omega$  (the collection of all countable subsets of  $\omega_1$ ).

*Proof.* Corson proved  $\Sigma$  is normal. Suppose  $\mathcal{I}$  is not  $[\omega_1]^\omega$  or  $\mathcal{P}(\omega_1)$ . We claim  $\Sigma(\mathcal{I})$  is not normal. There is an uncountable  $A \in \mathcal{I}$  with uncountable complement. Thus  $2^A$ ,  $2^{\omega_1 - A}$ , and  $2^A \times 2^{\omega_1 - A}$  are all homeomorphic to  $\{0, 1\}^{\omega_1}$ . Let

$$h : 2^A \times 2^{\omega_1 - A} \rightarrow 2^{\omega_1}$$

---

Received July 26, 1977. The first two authors acknowledge support from NRC postdoctoral fellowships, the third from NSF grant GP-43882X, the fourth from NRC grant A-7354.

be defined by

$$h(f, g) = f \cup g.$$

Clearly  $h$  is a homeomorphism. Let  $\pi_*$  be the projection map from  $2^A \times 2^{\omega_1 - A}$  onto  $2^{\omega_1 - A}$ . Let  $X = \pi_*[h^{-1}(\Sigma(\mathcal{I}))]$ . Then  $X = \{g \in 2^{\omega_1 - A} : g^{-1}(\{1\}) \in \mathcal{I}\}$ . Thus  $X \supseteq \{g \in 2^{\omega_1 - A} : |g^{-1}(\{1\})| \leq \aleph_0\}$ , but the function  $g_1 : \omega_1 - A \rightarrow 2$  defined by  $g_1(\beta) = 1$ , for all  $\beta \in \omega_1 - A$ , is not in  $X$ . Note also that  $2^A \times X = \pi_*^{-1}(X) = h^{-1}(\Sigma(\mathcal{I}))$ , and hence  $h(2^A \times X)$  is a homeomorphism onto  $\Sigma(\mathcal{I})$ . But we shall show  $2^A \times X$  includes a closed non-normal subspace, so it and  $\Sigma(\mathcal{I})$  are not normal.

Let  $\omega_1(\omega_1 + 1)$  denote the order topology on  $\omega_1(\omega_1 + 1)$ . It is easily seen that  $\omega_1 + 1$  is homeomorphically embedded in  $2^{\omega_1}$  by

$$[\phi(\alpha)](\beta) = \begin{cases} 1 & \text{if } \beta < \alpha < \omega_1, \\ 0 & \text{if } \alpha \leq \beta < \omega_1, \\ 1 & \text{if } \alpha = \omega_1. \end{cases}$$

Since  $|A| = |\omega_1 - A| = \aleph_1$ , we can similarly embed  $\omega_1 + 1$  into  $2^A$  and into  $2^{\omega_1 - A}$  by homeomorphisms  $r$  and  $s$  defined as above. Thus  $r(\omega_1 + 1)$  is a closed subspace of  $2^A$  and  $s(\omega_1 + 1)$  is a closed subspace of  $2^{\omega_1 - A}$ . Furthermore  $s(\alpha) \in X$  for all  $\alpha < \omega_1$ , since  $[s(\alpha)]^{-1}(\{1\})$  is countable, hence in  $\mathcal{I}$ . Since  $s(\omega_1) = g_1$ , we see that  $s(\omega_1 + 1) \cap X = s(\omega_1)$  is a closed subset of  $X$ . Since  $s(\omega_1)$  is homeomorphic to  $\omega_1$ , we have  $\omega_1 + 1 \times \omega_1$  embedded as a closed subset of  $2^A \times X$ . But (see e.g. [7, 8M4])  $\omega_1 + 1 \times \omega_1$  is not normal. Hence  $2^A \times X$  and  $\Sigma(\mathcal{I})$  are not normal.

**2. Cardinal invariants and calibers.** We refer to [9] for the definitions of various cardinal functions.  $\Sigma(\mathcal{I})$  is dense in  $2^{\omega_1}$  and hence satisfies the countable chain condition, indeed has *precaliber*  $\aleph_1$  [13]. It is easy to see that any  $\Sigma(\mathcal{I})$  is  $\aleph_0$ -bounded (every countable subset has compact closure) and hence countably compact, but  $\Sigma(\mathcal{I})$  is separable if and only if  $\mathcal{I} = \mathcal{P}(\omega_1)$ . Since the weight of  $2^{\omega_1}$  is  $\aleph_1$ , the popular cardinal functions on  $\Sigma(\mathcal{I})$  are easily determined. All  $\Sigma(\mathcal{I})$  have weight  $\aleph_1$  and  $\pi$ -weight  $\aleph_1$ . If  $\mathcal{I} \neq \mathcal{P}(\omega_1)$ , the Lindelöf number of  $\Sigma(\mathcal{I})$  is  $\aleph_1$ . The hereditary Lindelöf number, hereditary density, and spread of all  $\Sigma(\mathcal{I})$  are  $\aleph_1$ . Since  $\Sigma(\mathcal{I})$  is dense in  $2^{\omega_1}$  which has character  $\aleph_1$ , so does  $\Sigma(\mathcal{I})$ . Indeed no point of  $2^{\omega_1}$ , hence  $\Sigma(\mathcal{I})$ , has countable character, so since  $\Sigma(\mathcal{I})$  is countably compact,  $\psi(\Sigma(\mathcal{I})) = \aleph_1$ . Clearly  $|\Sigma(\mathcal{I})| = 2^{\aleph_1}$  unless  $\mathcal{I} = [\omega_1]^\omega$  in which case  $|\Sigma(\mathcal{I})| = 2^{\aleph_0}$ .

What are non-trivial and what are the heart of this note are the calibers and Baireness (see next section) of  $\Sigma(\mathcal{I})$ .

*Definition.* Let  $\kappa$  be an infinite cardinal. A space  $X$  has *caliber*  $\kappa$  (or  $\kappa$  is a caliber of  $X$ ) if each family of  $\kappa$  open subsets of  $X$  includes a subfamily of power  $\kappa$  with non-void intersection.

See [3] and [13] for information on calibers. A problem raised in the former—to which we shall give in some sense the “natural” solution—is to find spaces

with predetermined sets of calibers. But first we characterize those  $\mathcal{I}$ 's for which  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$ .

**THEOREM 2.** *Let  $\mathcal{I}$  be a  $\sigma$ -ideal on  $\omega_1$ . Then  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$  if and only if each uncountable subset of  $\omega_1$  includes an uncountable member of  $\mathcal{I}$ .*

*Proof.* Suppose  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$ . Let  $S$  be an uncountable subset of  $\omega_1$ . For each  $\alpha \in S$ , let  $U_\alpha = \pi_\alpha^{-1}(\{1\}) \cap \Sigma(\mathcal{I})$ . Since  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$ , there is an uncountable  $S' \subseteq S$  such that  $\bigcap \{U_\alpha : \alpha \in S'\} \neq \emptyset$ . Let  $f \in \bigcap \{U_\alpha : \alpha \in S'\}$ . Then  $f^{-1}(\{1\}) \supseteq S'$ , so  $S' \in \mathcal{I}$ .

Conversely, let  $\{U_\alpha\}_{\alpha < \omega_1}$  be a family of open subsets of  $\Sigma(\mathcal{I})$ . Without loss of generality we may assume each  $U_\alpha$  is the intersection of  $\Sigma(\mathcal{I})$  with a basic open set in  $2^{\omega_1}$ . Basic open sets in  $2^{\omega_1}$  restrict only finitely many coordinates, say  $U_\alpha$  restricts  $R_\alpha \subseteq \omega_1$ . By the  $\Delta$ -system lemma (see e.g. [10]) there is an uncountable  $S \subseteq \omega_1$  and a finite  $R \subseteq \omega_1$  such that for every  $\alpha, \beta \in S$ ,  $R_\alpha \cap R_\beta = R$ . There is then an uncountable  $S' \subseteq S$  such that  $\pi_\delta(U_\alpha) = \pi_\delta(U_\beta)$  for all  $\delta \in R$  and  $\alpha, \beta \in S'$ . Since  $R_\alpha - R$  is finite, there is an  $n \in \omega$  and an uncountable  $S'' \subseteq S'$  such that  $|R_\alpha - R| = n$  for all  $\alpha \in S''$ . Let  $R_\alpha - R = \{a_{\alpha,1}, \dots, a_{\alpha,n}\}$ . Then  $\{a_{\alpha,1} : \alpha \in S''\}$  is an uncountable subset of  $\omega_1$ . By hypothesis then, there is an uncountable  $S_1 \subseteq S''$  such that  $\{a_{\alpha,1} : \alpha \in S_1\} \in \mathcal{I}$ . Suppose  $k < n$  and we have obtained uncountable  $S_1, \dots, S_k \subseteq \omega_1$  such that  $S_1 \supseteq \dots \supseteq S_k$ , and each  $\{a_{\alpha,i} : \alpha \in S_i\}$  is in  $\mathcal{I}$ . Then as before there is an uncountable  $S_{k+1} \subseteq S_k$  such that  $\{a_{\alpha,k+1} : \alpha \in S_{k+1}\} \in \mathcal{I}$ . Continuing by induction, we obtain an uncountable  $S_n$  included in each  $S_k$ ,  $k \leq n$ , such that  $\{a_{\alpha,k} : \alpha \in S_n\} \in \mathcal{I}$  for  $1 \leq k \leq n$ . Define  $f \in 2^{\omega_1}$  by

$$f(\delta) = \begin{cases} \pi_\delta(U_\alpha) & \text{if } \delta \in R, \text{ any } \alpha \in S_n, \\ \pi_\delta(U_\beta) & \text{if } \beta \in S_n, \delta \in R_\beta - R, \\ 0 & \text{if } \delta \notin S_n. \end{cases}$$

Then  $f \in \bigcap \{U_\alpha : \alpha \in S_n\}$  and so  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$ .

In particular it follows immediately that  $\Sigma$  does not have caliber  $\aleph_1$  [13]. This is the key to the solution of Comfort's problem. Shelah [12] gave an earlier solution but his spaces were not regular. Ours are products of generalizations of  $\Sigma$  and hence are completely regular, and—in some sense—canonical. Let  $\lambda$  be an infinite cardinal. Let

$$X_\lambda = \{f \in 2^\lambda : |f^{-1}(\{1\})| < \lambda\}.$$

**THEOREM 3.** *For every regular  $\lambda$ , an infinite cardinal  $\mu$  is a caliber of  $X_\lambda$  if and only if  $\text{cf}(\mu) \neq \aleph_0$  and  $\text{cf}(\mu) \neq \lambda$ .*

*Proof.* If  $\mu$  is a caliber of  $X_\lambda$ ,  $\text{cf}(\mu) \neq \aleph_0$  since clearly  $\aleph_0$  is not a caliber of  $X_\lambda$  and, as Shelah observes, if  $\mu$  were a caliber, so would be  $\text{cf}(\mu)$ . A straightforward generalization of Theorem 2 yields that  $X_\lambda$  does not have caliber  $\lambda$ . Conversely, suppose  $\text{cf}(\mu) \neq \aleph_0$  and  $\text{cf}(\mu) \neq \lambda$ . If  $\mu$  is regular,  $\mu < \lambda$ , then again the method of Theorem 2 shows  $X_\lambda$  has caliber  $\mu$ . If  $\mu > \lambda$  is regular,

$X_\lambda$  clearly has caliber  $\mu$  since it has a basis of cardinality  $\lambda$ . Suppose  $\mu$  is singular. If  $\text{cf}(\mu) > \lambda$ , again  $X_\lambda$  trivially has caliber  $\mu$ . The non-trivial question then is when  $\text{cf}(\mu) < \lambda$ , which breaks down into two cases depending on whether  $\mu > \lambda$  or  $\mu < \lambda$ .

*Case 1.* Suppose  $\mu > \lambda$ . There is a strictly increasing sequence  $\{\mu_\alpha\}_{\alpha < \text{cf}(\mu)}$  of regular cardinals such that  $\mu = \bigcup\{\mu_\alpha : \alpha < \text{cf}(\mu)\}$  and each  $\mu_\alpha > \lambda$ . Let  $\mathcal{U} = \{U_i : i < \mu\}$  be a family of basic open sets in  $X_\lambda$ . For each  $\alpha < \text{cf}(\mu)$  there is a basic open set  $B_\alpha$  in  $X_\lambda$  such that  $|\{i \in \mu_\alpha : B_\alpha \subseteq U_i\}| = \mu_\alpha$ , since the weight of  $X_\lambda$  is  $\lambda$ . Since  $\text{cf}(\mu)$  is a caliber of  $X_\lambda$ , there is then an  $A \subseteq \text{cf}(\mu)$ ,  $|A| = \text{cf}(\mu)$  such that  $\bigcap\{B_\alpha : \alpha \in A\} \neq \emptyset$ . Thus

$$\bigcap\{\bigcap\{U_i : i \in \mu_\alpha\} : \alpha \in A\} \supseteq \bigcap\{B_\alpha : \alpha \in A\} \neq \emptyset.$$

Hence  $X_\lambda$  has caliber  $\mu$ .

*Case 2.* Let  $\mathcal{U} = \{U_i : i < \mu\}$  be a family of basic open sets in  $X_\lambda$ . Let  $R_i$  be the set of coordinates restricted by  $U_i$ .  $R_i$  is finite and so  $|\bigcup\{R_i : i < \mu\}| \leq \mu$ . Let  $R = \bigcup\{R_i : i < \mu\}$ . Let  $U_i^{R^c}$  be the trace of  $U_i$  in  $2^{R^c}$ . Shelah [12] proved that even singular calibers are preserved by arbitrary products, so  $2^{R^c}$  has caliber  $\mu$ . Hence there is an  $S \subseteq \mu$ ,  $|S| = \mu$ , such that  $\bigcap\{U_i^{R^c} : i \in S\} \neq \emptyset$ . But then in  $X_\lambda$ ,  $\bigcap\{U_i : i \in S\} \neq \emptyset$  since  $|R| < \lambda$ . Thus  $X_\lambda$  has caliber  $\mu$ .

**THEOREM 4.** *For singular  $\lambda$  with  $\text{cf}(\lambda) > \aleph_0$ ,  $\mu$  is a caliber of  $X_\lambda$  if and only if  $\text{cf}(\mu) > \aleph_0$  and  $\mu \neq \lambda$ .*

*Proof.* If  $\mu$  is a caliber, then  $\text{cf}(\mu) > \aleph_0$ . Also,  $\lambda$  is not a caliber of  $X_\lambda$  by the usual argument. Suppose  $\text{cf}(\mu) > \aleph_0$  and  $\mu \neq \lambda$ . If  $\mu$  is regular then  $X_\lambda$  has caliber  $\mu$  as before. If  $\mu$  is singular and  $\text{cf}(\mu) > \lambda$ , again  $\mu$  is a caliber as in the previous Theorem. If  $\mu < \lambda$ , then  $\mu$  is a caliber of  $X_\lambda$  as in Case 2 above. If  $\mu > \lambda$  but  $\text{cf}(\mu) < \lambda$ , as in Case 1  $\mu$  is a caliber of  $X_\lambda$ .

**COROLLARY 5.** *For any set  $\Gamma$  of infinite cardinals, there is a  $T_{3\frac{1}{2}}$  space  $X_\Gamma$  such that  $\lambda$  is a caliber of  $X_\Gamma$  if and only if  $\text{cf}(\lambda) \neq \aleph_0$ ,  $\lambda \notin \Gamma$ , and  $\text{cf}(\lambda) \notin \Gamma$ .*

*Proof.* If  $\Gamma$  is empty, let  $X_\Gamma$  be, for example,  $2^\omega$ . Otherwise let

$$X_\Gamma = \prod\{X_\lambda : \lambda \in \Gamma\}.$$

This solution to Comfort’s problem is natural in that the  $X_\lambda$ ’s are easily defined from the  $\lambda$ ’s. The only improvement one could ask for is to get a compact space with predetermined calibers. One cannot just take compactification of our spaces since this will reintroduce the calibers we have omitted. This is because the  $X_\lambda$ ’s are dense in powers of 2 and hence inherit precalibers [13].

**3. Baireness and set theory.** We now consider the “Baireness” of the  $\Sigma(\mathcal{I})$ ’s.

*Definition.* Let  $\kappa$  be an infinite cardinal. A space  $X$  is  $\kappa$ -Baire if the intersection of  $\leq \kappa$  dense open sets is always dense. A Baire space is an  $\aleph_0$ -Baire space.

Every  $\Sigma(\mathcal{I})$  is countably compact and hence Baire. Since  $\Sigma(\mathcal{I})$  is dense in  $2^{\omega_1}$ , if  $2^{\omega_1}$  is not  $\kappa$ -Baire for some  $\kappa$ , then  $\Sigma(\mathcal{I})$  is not  $\kappa$ -Baire. We are interested in the  $\aleph_1$ -Baireness of the  $\Sigma(\mathcal{I})$ 's because of the sophisticated set theory involved.

Since the Cantor set  $2^\omega$  is a direct factor of  $2^{\omega_1}$ , if the Cantor set is not  $\aleph_1$ -Baire, neither is  $2^{\omega_1}$  or any other  $\Sigma(\mathcal{I})$ . Assuming the continuum hypothesis (*CH*) then, no  $\Sigma(\mathcal{I})$  is  $\aleph_1$ -Baire. This seems to be the theme of our results; we can show under various hypotheses how to get all or some  $\Sigma(\mathcal{I})$ 's not  $\aleph_1$ -Baire, but we have not been able to find a condition which implies a non-trivial class of  $\Sigma(\mathcal{I})$ 's are  $\aleph_1$ -Baire.

It is set-theoretic folklore that it is consistent with the negation of *CH* that the Cantor set be not  $\aleph_1$ -Baire (add Cohen reals). Thus we see it is consistent with either *CH* or  $\sim CH$  that no  $\Sigma(\mathcal{I})$  is  $\aleph_1$ -Baire.

Under the assumption of Martin's Axiom (*MA*) plus  $\sim CH$ ,  $2^{\omega_1}$  is  $\aleph_1$ -Baire. This is the only example we have of a  $\Sigma(\mathcal{I})$  even consistently  $\aleph_1$ -Baire. The following result gives a useful condition under which  $\Sigma(\mathcal{I})$  is not  $\aleph_1$ -Baire.

**THEOREM 6.** *Let  $\mathcal{I}$  be a  $\sigma$ -ideal on  $\omega_1$ . Suppose there is a family  $\{A_\alpha\}_{\alpha < \omega_1}$  of infinite subsets of  $\omega_1$  such that for each  $I \in \mathcal{I}$ , there is an  $A_\alpha$  such that  $I \cap A_\alpha = \emptyset$ . Then  $\Sigma(\mathcal{I})$  is not  $\aleph_1$ -Baire.*

*Proof.* Let  $U_\alpha = \{f \in \Sigma(\mathcal{I}) : f^{-1}(\{1\}) \cap A_\alpha \neq \emptyset\}$ . Each  $U_\alpha$  is a dense open subset of  $\Sigma(\mathcal{I})$ . If  $f \in \bigcap \{U_\alpha : \alpha < \omega_1\}$ , then  $f^{-1}(\{1\})$  meets each  $A_\alpha$  so  $f \notin \Sigma(\mathcal{I})$ .

It is not difficult to see that disjointness can be weakened to finite intersection in this result.

**Definition [14].** An uncountable subset  $L$  of  $\omega_1$  is said to be  $\mathcal{I}$ -Lusin for a  $\sigma$ -ideal  $\mathcal{I}$  if  $L \cap I$  is countable for all  $I \in \mathcal{I}$ .

**COROLLARY 7.** *If there is an  $\mathcal{I}$ -Lusin set, then  $\Sigma(\mathcal{I})$  is not  $\aleph_1$ -Baire.*

*Proof.* Let  $L = \{a_\beta : \beta < \omega_1\}$ . Let  $A_\alpha = \{a_\beta : \beta \geq \alpha\}$ .

Observe that the condition in Corollary 7 is just the negation of that in Theorem 2. Thus if  $\Sigma(\mathcal{I})$  is  $\aleph_1$ -Baire,  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$ . Indeed Tall [13] shows more generally that any countable chain condition  $\aleph_1$ -Baire space has caliber  $\aleph_1$ . Note that any uncountable subset of  $\omega_1$  satisfies the condition in Corollary 7 for the space  $\Sigma$ , showing that that space is not  $\aleph_1$ -Baire. This result is due to Solomon [13].

**Definition.** A  $\sigma$ -ideal  $\mathcal{I}$  is  $\kappa$ -generated if there is a set  $\mathcal{I}' \subseteq \mathcal{I}$ ,  $|\mathcal{I}'| \leq \kappa$ , such that each member of  $\mathcal{I}$  is included in a countable union of members of  $\mathcal{I}'$ .

**THEOREM 8 [14].** *If  $\mathcal{I}$  is  $\aleph_1$ -generated, then there is an  $\mathcal{I}$ -Lusin set.*

There is a model of set theory (namely that for Baumgartner's version of

Generalized Martin's Axiom) in which  $2^{\aleph_0} = \aleph_1$ ,  $2^{\aleph_1} > \aleph_2$ , and for each  $\mathcal{I}$  which is  $\kappa$ -generated for some  $\kappa < 2^{\aleph_1}$  there is an  $\mathcal{I}$ -Lusin set.

It is thus easy to generate  $\sigma$ -ideals which—assuming some extra set-theoretic axioms if necessary—fail to have caliber  $\aleph_1$  and hence are not  $\aleph_1$ -Baire.

Our next combinatorial notion seems to have a more felicitous formulation in terms of filters rather than ideals. Given a  $\sigma$ -ideal  $\mathcal{I}$ , let  $\mathcal{I}^*$  be the dual countably complete filter, i.e.  $\mathcal{I}^* = \{S \subseteq \omega_1 : \omega_1 - S \in \mathcal{I}\}$ .

*Definition.*  $\uparrow_{\mathcal{I}}$  is the assertion that there exist infinite subsets of  $\omega_1 \{A_\alpha\}_{\alpha < \omega_1}$  such that each uncountable member of  $\mathcal{I}^*$  includes some  $A_\alpha$ .  $\uparrow$  is  $\uparrow_{\mathcal{I}(\omega_1)}$ .

By Theorem 6,  $\uparrow_{\mathcal{I}}$  implies  $\mathcal{I}$  is not  $\aleph_1$ -Baire if  $\mathcal{I}$  is proper. It also implies  $2^{\omega_1}$  is not  $\aleph_1$ -Baire, for let  $\{A_\alpha\}_{\alpha < \omega_1}$  witness  $\uparrow$ . Let  $T_\alpha = \{f \in 2^{\omega_1} : f(\xi) = 1 \text{ for all } \xi \in A_\alpha\}$ . Then  $f \notin \bigcup \{T_\alpha : \alpha < \omega_1\}$  implies  $|\{\xi : f(\xi) = 1\}| \leq \aleph_0$ . Let  $S_\alpha = \{f \in 2^{\omega_1} : f(\xi) = 0 \text{ for all } \xi > \alpha\}$ . Then

$$2^{\omega_1} = \bigcup \{T_\alpha : \alpha < \omega_1\} \cup \{S_\alpha : \alpha < \omega_1\}.$$

But each  $S_\alpha$  and  $T_\alpha$  is nowhere dense. It follows that  $MA + \neg CH$  refutes  $\uparrow$ . Baumgartner had also shown this directly.

Clearly  $\uparrow$  implies  $\uparrow_{\mathcal{I}}$  for all  $\mathcal{I}$ .  $CH$  trivially implies  $\uparrow$  as does

$\clubsuit$ : there exists  $\{S_\lambda : \lambda \text{ countable limit ordinal}\}$  such that  $S_\lambda \subseteq \lambda$ , the order-type of  $S_\lambda$  in the natural order is  $\omega$ ,  $\bigcup S_\lambda = \lambda$ , and every uncountable subset of  $\omega_1$  includes some  $S_\lambda$ .

$\clubsuit$  was introduced in [11] and is called “club”.  $\uparrow$ , being weaker, is here called “stick”. This proposition was considered and generalized in [2].  $CH$  does not imply  $\clubsuit$  since  $\clubsuit + CH = \diamond$  [5] and  $CH \not\rightarrow \diamond$  (Jensen [6]). Hence  $\uparrow \not\rightarrow \clubsuit$ . Shelah has recently shown that  $\clubsuit$  does not imply  $CH$ . It follows (as Baumgartner [2] had already shown) that  $\uparrow \not\rightarrow CH$ . Baumgartner also obtains models in which  $\uparrow$  fails, for example by adjoining  $\aleph_2$  Cohen reals. These models of Baumgartner, we note for future use, are obtained by CCC extensions.

Although we cannot prove that no  $\Sigma(\mathcal{I})$ ,  $\mathcal{I}$  proper, is  $\aleph_1$ -Baire, we can show that  $(\Sigma(\mathcal{I}))^\omega$  cannot be  $\aleph_1$ -Baire for any proper  $\mathcal{I}$ . This follows from the fact that no such  $\Sigma(\mathcal{I})$  is separable, but all have  $\pi$ -weight  $\aleph_1$ . As Juhász observed [8; 13], if  $X^\omega$  is  $\aleph_1$ -Baire and  $\pi(X) \leq \aleph_1$ , then  $X$  is separable. It follows that, assuming  $MA + \neg CH$ ,  $\Sigma(\mathcal{I})$  has no “reasonable” completeness property (else  $(\Sigma(\mathcal{I}))^\omega$  would be  $\aleph_1$ -Baire [13]).

In contrast to the  $\aleph_1$ -Baire question, we do have two interesting examples of  $\mathcal{I}$ 's for which  $\Sigma(\mathcal{I})$  has caliber  $\aleph_1$ . It follows from Theorem 2 that  $\Sigma(\mathcal{P}(\omega_1))$  has caliber  $\aleph_1$ . Another example can be obtained by generating a  $\sigma$ -ideal from the elements of a maximal almost disjoint collection of subsets of  $\omega_1$ . Most interesting is  $\Sigma(\mathcal{J})$  for the  $\sigma$ -ideal  $\mathcal{J}$  of nonstationary sets. (A subset of  $\omega_1$  is nonstationary if its complement includes a closed unbounded set. See [10] for discussion and proof that  $\mathcal{J}$  is a  $\sigma$ -ideal.) It is an easy exercise to show that every uncountable subset of  $\omega_1$  includes an uncountable nonstationary set, so by Theorem 2,  $\Sigma(\mathcal{J})$  has caliber  $\aleph_1$ .

It is known (see e.g. [1, 7.5]) that if  $M[G]$  is a *CCC* extension of a model  $M$ , then every closed unbounded subset of  $\omega_1$  in the extension includes a closed unbounded set in the ground model. Therefore  $\dot{\mathfrak{I}}_{\mathcal{J}}$  is preserved by *CCC* extensions. In particular then, there are models of  $\sim\dot{\mathfrak{I}}$  indeed of  $MA + \sim CH$  in which  $\dot{\mathfrak{I}}_{\mathcal{J}}$  holds and hence  $\Sigma(\mathcal{J})$  is not  $\aleph_1$ -Baire. Indeed we do not know the answer to the following:

*Problem.* Find a model for  $\sim\dot{\mathfrak{I}}_{\mathcal{J}}$ .

*Note added in proof.* After seeing the first version of this paper, Baumgartner constructed a model in which  $\Sigma(\mathcal{J})$  is  $\aleph_1$ -Baire. Indeed, as he later noted, this conclusion follows from Shelah's "Proper Poset Axiom," which is a strengthening of Martin's Axiom plus  $\sim CH$ . It follows that whether or not  $\Sigma(\mathcal{J})$  is  $\aleph_1$ -Baire is independent of Martin's Axiom plus  $\sim CH$ .

#### REFERENCES

1. J. E. Baumgartner, *A new class of order types*, Ann. Math. Logic 9 (1976), 187–222.
2. ———, *Almost-disjoint sets, the dense set problem and the partition calculus*, Ann. Math. Logic 10 (1976), 401–439.
3. W. W. Comfort, *A survey of cardinal invariants*, Gen. Top. Appl. 1 (1971), 163–199.
4. H. H. Corson, *Normality in subsets of product spaces*, Am. J. Math. 81 (1959), 785–796.
5. K. J. Devlin, *Variations on  $\dot{\mathfrak{I}}$* , preprint.
6. K. J. Devlin and H. Johnsbråten, *The Souslin Problem*, Lect. Notes Math. 405 (Springer-Verlag, Berlin).
7. L. Gillman and M. Jerison, *Rings of continuous functions* (van Nostrand, Princeton, 1960).
8. A. Hajnal and I. Juhász, *A consequence of Martin's Axiom*, Res. Paper 110, Dept. of Math., Univ. of Calgary, Calgary, Alberta.
9. I. Juhász, *Cardinal functions in topology*, Mathematical Centre, Amsterdam, 1971.
10. K. Kunen, *Combinatorics*, in *Handbook of mathematical logic* North-Holland, Amsterdam, 1977), 371–401.
11. A. J. Ostaszewski, *On countably compact, perfectly normal spaces*, J. London Math. Soc. (2) 14 (1976), 505–516.
12. S. Shelah, *Remarks on cardinal invariants in topology*, Gen. Top. Appl. 7 (1977), 251–259.
13. F. D. Tall, *The countable chain condition versus separability—applications of Martin's Axiom*, Gen. Top. Appl. 4 (1974), 315–339.
14. ———, *Some applications of a generalized Martin's Axiom*, submitted for publication.

*University of Texas,  
Austin, Texas;  
University of Manitoba,  
Winnipeg, Manitoba;  
University of Wisconsin,  
Madison, Wisconsin;  
University of Toronto,  
Toronto, Ontario*