

Set Theory and its Impact on Analysis

Juris Steprāns — *York University*

June 8, 2003

- The origins of the use of set theoretic techniques in analysis go back to Cantor who introduced ordinal numbers and the derived set operation in his study of trigonometric series and the structure of sets of uniqueness. (A set is called a set of uniqueness if the only trigonometric series converging to zero on its complement is the trivial one.)

- The origins of the use of set theoretic techniques in analysis go back to Cantor who introduced ordinal numbers and the derived set operation in his study of trigonometric series and the structure of sets of uniqueness. (A set is called a set of uniqueness if the only trigonometric series converging to zero on its complement is the trivial one.)
- Other mileposts include the construction of Lebesgue measure and the discovery of non-measurable sets;

- The origins of the use of set theoretic techniques in analysis go back to Cantor who introduced ordinal numbers and the derived set operation in his study of trigonometric series and the structure of sets of uniqueness. (A set is called a set of uniqueness if the only trigonometric series converging to zero on its complement is the trivial one.)
- Other mileposts include the construction of Lebesgue measure and the discovery of non-measurable sets;
- Suslin's detection of an error in an argument of Lebesgue and his subsequent proof that analytic sets (namely, projections of Borel sets) need not be Borel;

- The origins of the use of set theoretic techniques in analysis go back to Cantor who introduced ordinal numbers and the derived set operation in his study of trigonometric series and the structure of sets of uniqueness. (A set is called a set of uniqueness if the only trigonometric series converging to zero on its complement is the trivial one.)
- Other mileposts include the construction of Lebesgue measure and the discovery of non-measurable sets;
- Suslin's detection of an error in an argument of Lebesgue and his subsequent proof that analytic sets (namely, projections of Borel sets) need not be Borel;
- The proof that analytic sets are measurable and a closer analysis of the rest of the projective hierarchy carried out by Suslin, Lusin, Alexandroff and others;

- The origins of the use of set theoretic techniques in analysis go back to Cantor who introduced ordinal numbers and the derived set operation in his study of trigonometric series and the structure of sets of uniqueness. (A set is called a set of uniqueness if the only trigonometric series converging to zero on its complement is the trivial one.)
- Other mileposts include the construction of Lebesgue measure and the discovery of non-measurable sets;
- Suslin's detection of an error in an argument of Lebesgue and his subsequent proof that analytic sets (namely, projections of Borel sets) need not be Borel;
- The proof that analytic sets are measurable and a closer analysis of the rest of the projective hierarchy carried out by Suslin, Lusin, Alexandroff and others;
- and, of course, the Hausdorff-Banach-Tarski paradox.

- The re-invigourated interaction between set theory and analysis of the last 30 years began with the realization measurability and other regularity properties of sets in the projective hierarchy were connected to the theory of large cardinal and generic reals over inner models ...

- The re-invigourated interaction between set theory and analysis of the last 30 years began with the realization measurability and other regularity properties of sets in the projective hierarchy were connected to the theory of large cardinal and generic reals over inner models ... thus explaining the lack of progress since the work of Lusin.

- The re-invigourated interaction between set theory and analysis of the last 30 years began with the realization measurability and other regularity properties of sets in the projective hierarchy were connected to the theory of large cardinal and generic reals over inner models ... thus explaining the lack of progress since the work of Lusin.
- However, recently set theoretic techniques have been used to attain absolute results.

1 Planar geometry

- *S. Jackson and D. Mauldin:* There is a set $S \subseteq \mathbb{R}^2$ such that $|S \cap L| = 1$ for every isometric copy L of \mathbb{Z}^2 . Such sets will be called Steinhaus sets since the question was first raised by him.

1 Planar geometry

- *S. Jackson and D. Mauldin:* There is a set $S \subseteq \mathbb{R}^2$ such that $|S \cap L| = 1$ for every isometric copy L of \mathbb{Z}^2 . Such sets will be called Steinhaus sets since the question was first raised by him.
- A reasonable first try is to enumerate all isometric copies of the integer lattice and proceed by transfinite induction...

1 Planar geometry

- *S. Jackson and D. Mauldin:* There is a set $S \subseteq \mathbb{R}^2$ such that $|S \cap L| = 1$ for every isometric copy L of \mathbb{Z}^2 . Such sets will be called Steinhaus sets since the question was first raised by him.
- A reasonable first try is to enumerate all isometric copies of the integer lattice and proceed by transfinite induction... but obstacles can arise:

1 Planar geometry

- *S. Jackson and D. Mauldin:* There is a set $S \subseteq \mathbb{R}^2$ such that $|S \cap L| = 1$ for every isometric copy L of \mathbb{Z}^2 . Such sets will be called Steinhaus sets since the question was first raised by him.
- A reasonable first try is to enumerate all isometric copies of the integer lattice and proceed by transfinite induction... but obstacles can arise:
- There is a set of 17 points in the plane that can not be extended to meet \mathbb{Z}^2 except by adding the third corner of a right angle triangle with integer legs:

$$\begin{aligned}
& \left(\frac{216}{5}, \frac{2}{5} \right) \left(\frac{107}{5}, \frac{4}{5} \right) \left(\frac{283}{5}, \frac{1}{5} \right) \left(\frac{174}{5}, \frac{3}{5} \right) \left(\frac{677}{13}, \frac{5}{13} \right) \left(\frac{340}{13}, \frac{10}{13} \right) \\
& \left(\frac{744}{13}, \frac{2}{13} \right) \left(\frac{407}{13}, \frac{7}{13} \right) \left(\frac{70}{13}, \frac{12}{13} \right) \left(\frac{474}{13}, \frac{4}{13} \right) \left(\frac{137}{13}, \frac{9}{13} \right) \left(\frac{541}{13}, \frac{1}{13} \right) \\
& \left(\frac{204}{13}, \frac{6}{13} \right) \left(\frac{712}{13}, \frac{11}{13} \right) \left(\frac{271}{13}, \frac{3}{13} \right) \left(\frac{779}{13}, \frac{8}{13} \right) \left(\frac{2601}{65}, \frac{57}{65} \right)
\end{aligned}$$

- Jackson and Mauldin get around this by a clever inductive strategy as well as an analysis of mechanical linkages, Gröbner bases and some intricate number theory.

- Jackson and Mauldin get around this by a clever inductive strategy as well as an analysis of mechanical linkages, Gröbner bases and some intricate number theory.
- *Exercise: A. Miller and W. Weiss:* There is no Steinhaus set for a square.

- Jackson and Mauldin get around this by a clever inductive strategy as well as an analysis of mechanical linkages, Gröbner bases and some intricate number theory.
- *Exercise: A. Miller and W. Weiss:* There is no Steinhaus set for a square.
- *Open Question:* Is there a Borel set in the plane meeting each line at precisely 2 points?

2 Banach spaces

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem:

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.
- More sophisticated infinite dimensional Ramsey theory was used by W. T. Gowers in his positive solution to the homogeneous space problem of Banach:

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.
- More sophisticated infinite dimensional Ramsey theory was used by W. T. Gowers in his positive solution to the homogeneous space problem of Banach: If a Banach space is isomorphic to all of its infinite dimensional subspaces then it is isomorphic to a Hilbert space.

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.
- More sophisticated infinite dimensional Ramsey theory was used by W. T. Gowers in his positive solution to the homogeneous space problem of Banach: If a Banach space is isomorphic to all of its infinite dimensional subspaces then it is isomorphic to a Hilbert space.
- The Ramsey theoretic part of his result states that every Banach space contains a subspace which either has an unconditional basis or is hereditarily indecomposable.

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.
- More sophisticated infinite dimensional Ramsey theory was used by W. T. Gowers in his positive solution to the homogeneous space problem of Banach: If a Banach space is isomorphic to all of its infinite dimensional subspaces then it is isomorphic to a Hilbert space.
- The Ramsey theoretic part of his result states that every Banach space contains a subspace which either has an unconditional basis or is hereditarily indecomposable.
- Gowers and Maurey constructed a space without an unconditional basic sequence ...

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.
- More sophisticated infinite dimensional Ramsey theory was used by W. T. Gowers in his positive solution to the homogeneous space problem of Banach: If a Banach space is isomorphic to all of its infinite dimensional subspaces then it is isomorphic to a Hilbert space.
- The Ramsey theoretic part of his result states that every Banach space contains a subspace which either has an unconditional basis or is hereditarily indecomposable.
- Gowers and Maurey constructed a space without an unconditional basic sequence ... hence it is hereditarily indecomposable.

2 Banach spaces

- A now classical application of Ramsey theory is Rosenthal's theorem: A Banach space Y does not contain an isomorphic copy of ℓ_1 if and only if every bounded sequence in Y has a weakly Cauchy subsequence.
- More sophisticated infinite dimensional Ramsey theory was used by W. T. Gowers in his positive solution to the homogeneous space problem of Banach: If a Banach space is isomorphic to all of its infinite dimensional subspaces then it is isomorphic to a Hilbert space.
- The Ramsey theoretic part of his result states that every Banach space contains a subspace which either has an unconditional basis or is hereditarily indecomposable.
- Gowers and Maurey constructed a space without an unconditional basic sequence ... hence it is hereditarily indecomposable.

- *P. Koszmider:* There is an infinite, separable, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm is not isomorphic to any of its proper subspaces nor any of its proper quotients.

- *P. Koszmider:* There is an infinite, separable, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm is not isomorphic to any of its proper subspaces nor any of its proper quotients.
- *P. Koszmider:* Assuming the continuum hypothesis, there is an infinite, separable, connected, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm has few operators in the sense that every linear bounded operator T on $\mathcal{C}(K)$ is of the form $gI + S$ where g is in $\mathcal{C}(K)$ and S is weakly compact.

- *P. Koszmider:* There is an infinite, separable, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm is not isomorphic to any of its proper subspaces nor any of its proper quotients.
- *P. Koszmider:* Assuming the continuum hypothesis, there is an infinite, separable, connected, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm has few operators in the sense that every linear bounded operator T on $\mathcal{C}(K)$ is of the form $gI + S$ where g is in $\mathcal{C}(K)$ and S is weakly compact.
- This gives the first example of a $\mathcal{C}(K)$ space which is indecomposable and the first example of a $\mathcal{C}(K)$ space which is not isomorphic to any $\mathcal{C}(K')$ for K' zero-dimensional.

- *P. Koszmider:* There is an infinite, separable, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm is not isomorphic to any of its proper subspaces nor any of its proper quotients.
- *P. Koszmider:* Assuming the continuum hypothesis, there is an infinite, separable, connected, compact Hausdorff space K for which the Banach space $\mathcal{C}(K)$ of all continuous real-valued functions with the supremum norm has few operators in the sense that every linear bounded operator T on $\mathcal{C}(K)$ is of the form $gI + S$ where g is in $\mathcal{C}(K)$ and S is weakly compact.
- This gives the first example of a $\mathcal{C}(K)$ space which is indecomposable and the first example of a $\mathcal{C}(K)$ space which is not isomorphic to any $\mathcal{C}(K')$ for K' zero-dimensional.
- The methods used for these results are not Ramsey theoretic but have their roots in transfinite inductive constructions of Boolean algebras.

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.
- Define E and F to be Borel equivalent if and only if $E \leq_B F$ and $F \leq_B E$.

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.
- Define E and F to be Borel equivalent if and only if $E \leq_B F$ and $F \leq_B E$.
- Much attention has recently been focused on the question of classifying Borel equivalence relations up to Borel equivalence.

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.
- Define E and F to be Borel equivalent if and only if $E \leq_B F$ and $F \leq_B E$.
- Much attention has recently been focused on the question of classifying Borel equivalence relations up to Borel equivalence.
- The best behaved equivalence relations are those that have real invariants attached to each equivalence class.

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.
- Define E and F to be Borel equivalent if and only if $E \leq_B F$ and $F \leq_B E$.
- Much attention has recently been focused on the question of classifying Borel equivalence relations up to Borel equivalence.
- The best behaved equivalence relations are those that have real invariants attached to each equivalence class.
- Note that the Borel relation, $x \sim y$ if and only if $x - y \in \mathbb{Q}$ is an example of a Borel equivalence relation *without* nice invariants.

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.
- Define E and F to be Borel equivalent if and only if $E \leq_B F$ and $F \leq_B E$.
- Much attention has recently been focused on the question of classifying Borel equivalence relations up to Borel equivalence.
- The best behaved equivalence relations are those that have real invariants attached to each equivalence class.
- Note that the Borel relation, $x \sim y$ if and only if $x - y \in \mathbb{Q}$ is an example of a Borel equivalence relation *without* nice invariants.
- Recall that if G is a torsion free abelian group of rank n then G is isomorphic to a subgroup of \mathbb{Q}^n .

3 Classifying finite rank abelian groups

- If E and F are Borel equivalence relations on standard Borel spaces X and Y then define $E \leq_B F$ if and only if there is a Borel map $\Phi : X \rightarrow Y$ such that xEy if and only if $\Phi(x)F\Phi(y)$.
- Define E and F to be Borel equivalent if and only if $E \leq_B F$ and $F \leq_B E$.
- Much attention has recently been focused on the question of classifying Borel equivalence relations up to Borel equivalence.
- The best behaved equivalence relations are those that have real invariants attached to each equivalence class.
- Note that the Borel relation, $x \sim y$ if and only if $x - y \in \mathbb{Q}$ is an example of a Borel equivalence relation *without* nice invariants.
- Recall that if G is a torsion free abelian group of rank n then G is isomorphic to a subgroup of \mathbb{Q}^n .

- Hence the space of all torsion free abelian groups of rank n can be considered to be a closed subset of $\mathcal{P}(\mathbb{Q})$ with the usual Cantor (pointwise) topology.

- Hence the space of all torsion free abelian groups of rank n can be considered to be a closed subset of $\mathcal{P}(\mathbb{Q})$ with the usual Cantor (pointwise) topology.
- Moreover, the isomorphism equivalence relation is a Borel relation.

- Hence the space of all torsion free abelian groups of rank n can be considered to be a closed subset of $\mathcal{P}(\mathbb{Q})$ with the usual Cantor (pointwise) topology.
- Moreover, the isomorphism equivalence relation is a Borel relation.
- If G is a torsion free abelian group, $0 \neq x \in G$ and p is a prime then the p -height of x is the supremum of all n such that $x = yp^n$ for some $y \in G$. Denote this by $\chi_x(p)$.

- Hence the space of all torsion free abelian groups of rank n can be considered to be a closed subset of $\mathcal{P}(\mathbb{Q})$ with the usual Cantor (pointwise) topology.
- Moreover, the isomorphism equivalence relation is a Borel relation.
- If G is a torsion free abelian group, $0 \neq x \in G$ and p is a prime then the p -height of x is the supremum of all n such that $x = yp^n$ for some $y \in G$. Denote this by $\chi_x(p)$.
- It can be shown that for any x and y in G for all but finitely many primes p , $\chi_x(p) = \chi_y(p)$.

- Hence the space of all torsion free abelian groups of rank n can be considered to be a closed subset of $\mathcal{P}(\mathbb{Q})$ with the usual Cantor (pointwise) topology.
- Moreover, the isomorphism equivalence relation is a Borel relation.
- If G is a torsion free abelian group, $0 \neq x \in G$ and p is a prime then the p -height of x is the supremum of all n such that $x = yp^n$ for some $y \in G$. Denote this by $\chi_x(p)$.
- It can be shown that for any x and y in G for all but finitely many primes p , $\chi_x(p) = \chi_y(p)$.
- Let $\chi(G)$ be the equivalence class of all functions from the primes to $\mathbb{N} \cup \{\infty\}$ which agree with χ_x at all but finitely many primes for some (any) non-identity $x \in G$.

- Hence the space of all torsion free abelian groups of rank n can be considered to be a closed subset of $\mathcal{P}(\mathbb{Q})$ with the usual Cantor (pointwise) topology.
- Moreover, the isomorphism equivalence relation is a Borel relation.
- If G is a torsion free abelian group, $0 \neq x \in G$ and p is a prime then the p -height of x is the supremum of all n such that $x = yp^n$ for some $y \in G$. Denote this by $\chi_x(p)$.
- It can be shown that for any x and y in G for all but finitely many primes p , $\chi_x(p) = \chi_y(p)$.
- Let $\chi(G)$ be the equivalence class of all functions from the primes to $\mathbb{N} \cup \{\infty\}$ which agree with χ_x at all but finitely many primes for some (any) non-identity $x \in G$.
- Baer has shown that if G and H are rank 1 torsion free abelian groups then G and H are isomorphic if and only if $\chi(G) = \chi(H)$.

- *G. Hjorth and S. Thomas* If \equiv_n denotes the isomorphism equivalence relation on subgroups of \mathbb{Q}^n then $\equiv_n \leq_B \equiv_{n+1}$ but $\equiv_{n+1} \not\leq_B \equiv_n$.

- *G. Hjorth and S. Thomas* If \equiv_n denotes the isomorphism equivalence relation on subgroups of \mathbb{Q}^n then $\equiv_n \leq_B \equiv_{n+1}$ but $\equiv_{n+1} \not\leq_B \equiv_n$.
- The proof uses notions of descriptive set theory and some deep results of Margulis and Zimmer about group actions in Ergodic theory.