

NAMBA FORCINGS ON INACCESSIBLE CARDINALS

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ABSTRACT. In this paper, we show that if κ is inaccessible and $\text{Nm}(\kappa, \lambda, F)$ is semiproper for all κ -complete fine filter F over $\mathcal{P}_\kappa \lambda$ then $\text{Nm}(\kappa, 2^\lambda)$ is locally semiproper.

1. INTRODUCTION

It is known that the strong compactness of κ has many characterizations. Moreover, level-by-level characterizations are also known, as follows.

Theorem 1.1 (Hayut [3] for $(1) \leftrightarrow (2) \leftrightarrow (3)$, Jech [4] for $(2) \leftrightarrow (4)$). *For cardinals $\kappa < \lambda = \lambda^{<\kappa}$, the following are equivalent:*

- (1) *For every transitive model M , if $2^\lambda \subseteq M$ and $|M| = 2^\lambda$, then there are a transitive model N and an elementary embedding $i : M \rightarrow N$ with the following properties:*
 - $\text{crit}(i) = \kappa$.
 - *there is an $s \in N$ such that $i''2^\lambda \subseteq s$ and $N \models |s| < i(\kappa)$*
- (2) *For every $<\kappa$ -satisfiable theory T of $\mathcal{L}_{\kappa\kappa}$, if $|T| \leq 2^\lambda$, then T is satisfiable.*
- (3) *κ is λ -compact. That is, every κ -complete fine filter over λ can be extended to a κ -complete ultrafilter.*
- (4) *Every $\mathcal{P}_\kappa 2^\lambda$ -list has a cofinal branch.*
- (5) *Every $\mathcal{P}_\kappa 2^\lambda$ -thin list has a branch, and κ is inaccessible.*

We also know further implications related to the definition of strong compactness, as follows.

$$\begin{aligned}
 \kappa \text{ is strongly compact} &\Rightarrow \cdots \\
 &\Rightarrow \kappa \text{ is } 2^\lambda\text{-strongly compact} \\
 &\Rightarrow \kappa \text{ is } \lambda\text{-compact} \\
 &\Rightarrow \kappa \text{ is } \lambda\text{-strongly compact} \\
 &\Rightarrow \cdots
 \end{aligned}$$

Here, we say that κ is λ -strongly compact if $\mathcal{P}_\kappa \lambda$ carries a κ -complete fine ultrafilter.

We introduced a similar hierarchy of the $(\dagger)$ principle, which we call the dissection of $(\dagger)$, via two-cardinal Namba forcings (Figure 2). Through the dissection of $(\dagger)$, we can identify level-by-level implications between the above hierarchy of

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strong compactness and the dissection of $(\dagger)$. Figure 1 gives one such example and naturally suggests Question 1.2.

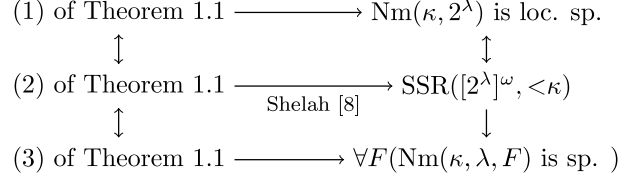


FIGURE 1. It seems that strong compactness and $(\dagger)$ have level-by-level implications.

Question 1.2. *Suppose that $\text{Nm}(\kappa, \lambda, F)$ is semiproper for all κ -complete fine filter F over $\mathcal{P}_\kappa \lambda$. Does $\text{SSR}([2^\lambda]^\omega, <\kappa)$ hold?*

For the definitions on the right-hand side of Figure 1, see Section 2. In this paper, we show that

Theorem 1.3. *If κ is inaccessible, then for every regular $\lambda = \lambda^{<\kappa} \geq \kappa$, the following are equivalent:*

- (1) $\text{Nm}(\kappa, 2^\lambda)$ is locally semiproper.
- (2) $\text{SSR}([2^\lambda]^{<\kappa}, <\kappa)$.
- (3) $\text{Nm}(\kappa, \lambda, F)$ is semiproper for all κ -complete fine filters over $\mathcal{P}_\kappa \lambda$.

2. PRELIMINARIES

In this section, we recall basic facts about Namba forcing with filters and a specific filter. We use [5] as a general reference for set theory. For more on the topic of filters, we refer to [2].

2.1. Semiproperness of Namba forcings. Namba forcing, introduced by Namba [6], is a poset that forces $\text{cf}(\aleph_2) = \omega$ while preserving $\aleph_1$. We begin by introducing a class, which includes Namba's original poset, denoted by $\text{Nm}(Z, F)$, indexed by filters F and its base set Z . For an $\aleph_2$ -complete fine filter F over $Z \subseteq \mathcal{P}(X)$, an F -Namba tree p is a set $p \subseteq [Z]^{<\omega}$ satisfying the following conditions:

- p is a tree, i.e., each $s \in p$ is $\subseteq$ -increasing, and p is closed under initial segments.
- There exists a maximal $s \in p$ such that $\forall t \in p (s \subseteq t \vee t \subseteq s)$. This s is called the trunk, denoted by $\text{tr}(p)$.
- For each $s \in p$, if $s \supsetneq \text{tr}(p)$, then $\text{Suc}(s) = \{a \in Z \mid s \frown \langle a \rangle \in p\} \in F^+$.

If $Z = \mathcal{P}_\kappa \lambda$, we write $\text{Nm}(\kappa, \lambda, F)$ to refer to $\text{Nm}(Z, F)$ (to emphasize the context of two-cardinal combinatorics). For a filter F , $\text{Nm}(Z, F)$ is defined as $\text{Nm}(Z, F^*)$. For an ideal I , we consider its dual filter, i.e., $\text{Nm}(Z, I)$ is $\text{Nm}(Z, I^*)$. We write $\text{Nm}(\kappa)$ and $\text{Nm}(\kappa, \lambda)$ to refer to $\text{Nm}(\kappa, I_\kappa)$ and $\text{Nm}(\mathcal{P}_\kappa \lambda, I_{\kappa\lambda})$, respectively. Here, I_κ and $I_{\kappa\lambda}$ are bounded ideals over κ and $\mathcal{P}_\kappa \lambda$, respectively. $\text{Nm}(\aleph_2)$ is the original Namba forcing. We now examine the basic properties of $\text{Nm}(Z, F)$.

Lemma 2.1. *If F is an $\aleph_2$ -complete fine filter over $Z \subseteq \mathcal{P}(X)$ then the following holds:*

- (1) If F is uniformly and exactly κ -complete¹ then $\text{Nm}(Z, F) \Vdash \text{cf}(\kappa) = \omega$.
- (2) If F is uniformly and exactly κ -complete then, for all $\delta \in [\kappa, |X|^V] \cap \text{Reg}$, if $\{z \in Z \mid |X| < z\} \in F$, then $\text{Nm}(Z, F) \Vdash \text{cf}(\delta) = \omega$.
- (3) If F is κ -complete then, for all $\delta \in [\aleph_1, \kappa) \cap \text{Reg}$, if $\delta^\omega < \kappa$ or $\delta = \aleph_1$, then for every semistationary (or stationary, respectively) subset $S \subseteq [\delta]^\omega$, $\text{Nm}(Z, F) \Vdash S$ is semistationary (or stationary, respectively). In particular, $\text{Nm}(Z, F) \Vdash \text{cf}(\delta) > \omega$.
- (4) $\text{Nm}(Z, F)$ is ω_1 -stationary preserving.

Namba forcings may be semiproper. Indeed, the following are well-known.

Theorem 2.2.

- (1) (Shelah [8] for (a) $\leftrightarrow$ (b); Doebler–Schindler [1] for (b) $\rightarrow$ (c)) The following are equivalent:
 - (a) $(\dagger)$ holds, that is, every ω_1 -stationary preserving poset is semiproper.
 - (b) $\text{Nm}(\kappa)$ is semiproper for all regular $\kappa \geq \aleph_2$.
 - (c) SSR holds, that is, for every $\lambda \geq \aleph_2$ and a semistationary subset $S \subseteq [\lambda]^\omega$, there exists an $x \in \mathcal{P}_{\aleph_2} \lambda$ such that $S \cap [x]^\omega$ is semistationary.
- (2) (Shelah [8]) For all regular κ , the following are equivalent:
 - (a) $\text{Nm}(\kappa)$ is semiproper.
 - (b) There exists a semiproper poset that forces $\text{cf}(\kappa) = \omega$.

Note that semiproperness of Namba forcings and semistationary reflection principles have a level-by-level characterization.

Theorem 2.3 (Tsukuura [11]). *Suppose that $\mu^\omega < \kappa$ for all $\mu < \kappa$ or that $\kappa = \aleph_2$ and $\aleph_2 \leq \kappa \leq \lambda = \lambda^{<\kappa}$ are regular cardinals. For a semistationary subset $S \subseteq [\lambda]^\omega$, the following are equivalent:*

- (1) $\text{Nm}(\kappa, \lambda)$ forces S to be semistationary.
- (2) There exists an $a \in \mathcal{P}_\kappa \lambda$ such that $S \cap [a]^\omega$ is semistationary.
- (3) For every κ -complete fine filter F over $\mathcal{P}_\kappa \lambda$, $\text{Nm}(\kappa, \lambda, F)$ forces S to be semistationary.

Note that the implication from (1) to (2) holds even if $\mu^\omega \geq \kappa$ for some $\mu < \kappa$.

We say that $\text{Nm}(\kappa, \lambda, F)$ is *locally semiproper* if, for every semistationary subset $S \subseteq [\lambda]^\omega$, $\text{Nm}(\kappa, \lambda, F) \Vdash S$ is semistationary. The local semiproperness of $\text{Nm}(\lambda, F)$ is defined analogously. We get a diagram as in Figure 2

Lastly, we conclude this section with a Lemma that used in killing the semiproperness of a Namba forcing. For a set $S \subseteq [W]^\omega$, we introduce the specific set $\text{Gal}_\theta(Z, F, S, A)$, the set of all $M \in [\mathcal{H}_\theta]^\omega$ such that $M \cap W \in S$ and $\bigcap \{f^{-1}M \cap \omega_1 \mid f : A \rightarrow \omega_1 \in M\} \in F^*$. The idea behind this definition comes from [9]. Note that the non-stationarity of $\text{Gal}_\theta(\aleph_2, I_{\aleph_2}, [\aleph_2]^\omega, \aleph_2)$ is equivalent to the strong Chang’s conjecture at $\aleph_2$. We will use the following:

Lemma 2.4. *For a stationary subset $S \subseteq [W]^\omega$, the following are equivalent:*

- (1) $\text{Gal}_\theta(Z, F, S, A)$ is stationary.
- (2) There exist a stationary subset $T \subseteq S$ and $p_A \in \text{Nm}(Z, F)$ such that $p_A \Vdash T$ is non-semistationary.

¹That is $\{A \in F^+ \mid F \restriction A \text{ is } \kappa\text{-complete and not } \kappa^+\text{-complete}\}$ is dense in $\langle F^+, \subseteq \rangle$

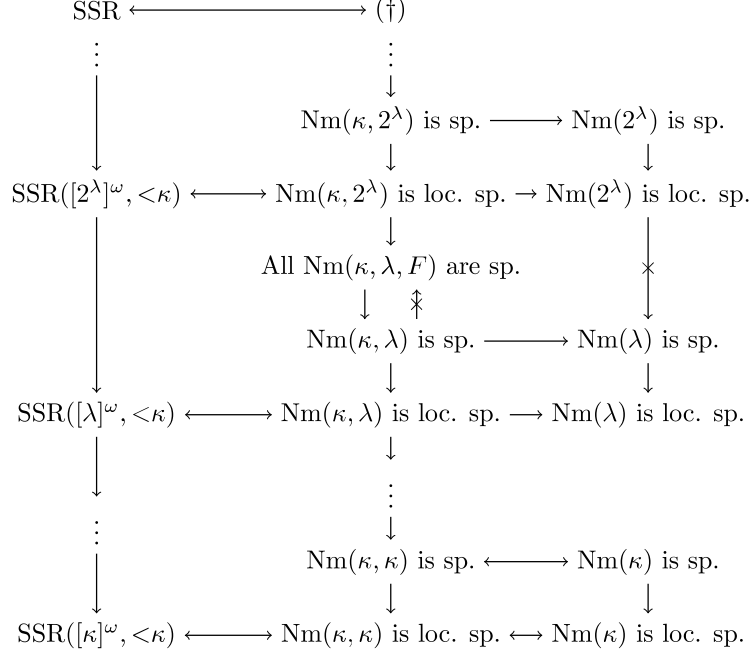


FIGURE 2. The dissection of (†).

2.2. Filters associated with thin lists. In the proof of Theorem 1.3, we use a specific filter $F_{\vec{d}}^-$ over $\mathcal{P}_\kappa \lambda$ associated with a $\mathcal{P}_\kappa 2^\lambda$ -thin list $\vec{d}$. For regular cardinals $\kappa \leq \lambda = \lambda^{<\kappa} \leq 2^\lambda$, a thin $\mathcal{P}_\kappa 2^\lambda$ -list $\vec{d} = \langle d_x \mid x \in \mathcal{P}_\kappa 2^\lambda \rangle$ is a sequence of subsets $d_x \subseteq x$ such that $\text{Lev}_x(\vec{d}) = \{d_y \cap x \mid x \subseteq y\}$ has size $< \kappa$ for all $x \in \mathcal{P}_\kappa 2^\lambda$. We fix such a list $\vec{d}$.

To define $F_{\vec{d}}^-$, the key ingredient is the following lemma.

Lemma 2.5. *For regular cardinals $\kappa \leq \lambda = \lambda^{<\kappa}$, there exists a family $\langle A_\alpha \mid \alpha < 2^\lambda \rangle$ of subsets of $\mathcal{P}_\kappa \lambda$ such that, for every $x, y \in \mathcal{P}_\kappa 2^\lambda$ with $x \cap y = \emptyset$,*

$$\bigcap_{\alpha \in x} A_\alpha \setminus \bigcup_{\alpha \in y} A_\alpha \text{ is unbounded in } \mathcal{P}_\kappa \lambda.$$

For $x \in \mathcal{P}_\kappa 2^\lambda$, define B_x by

$$B_x = \bigcup_{d \in \text{Lev}_x(\vec{d})} \left(\bigcap_{\alpha \in d \cap x} A_\alpha \setminus \bigcup_{\alpha \in x \setminus d} A_\alpha \right).$$

Here, $\langle A_\alpha \mid \alpha < 2^\lambda \rangle$ is given by Lemma 2.5. By Lemma 2.5, B_x is unbounded in $\mathcal{P}_\kappa \lambda$. Let $F_{\vec{d}}^-$ be the κ -complete fine filter generated by $\{B_x \mid x \in \mathcal{P}_\kappa 2^\lambda\}$.

$F_{\vec{d}}^-$ is a filter that directly connects λ -compactness and $\text{TP}(\kappa, \lambda)^2$. For details, we refer to [12] and [10].

²This filter can be used in a proof of (3) $\rightarrow$ (5) in Theorem 1.1.

3. PROOF OF THEOREM 1.3

We begin with the following lemma.

Lemma 3.1. *For a set X with $\omega_1 \subseteq X$ and $S \subseteq [X]^\omega$, the following are equivalent:*

- (1) *S is a semistationary subset.*
- (2) *For every $F : [X]^{<\omega} \rightarrow \omega_1$, there is an $x \in S$ such that x is closed under F .*

Proof. (1) $\rightarrow$ (2) is easy. Indeed, for each function $F : [X]^{<\omega} \rightarrow \omega_1$, we can choose x and y such that $x \in S$, $x \subseteq y$, $x \cap \omega_1 = y \cap \omega_1$, and y is closed under F . Then, for every $\xi_0, \dots, \xi_n \in x$, $F(\xi_0, \dots, \xi_n) \in y \cap \omega_1 = x \cap \omega_1$, as desired.

Let us show (2) $\rightarrow$ (1). Fix a function $F : [X]^{<\omega} \rightarrow X$. We want to find an $x \in S$ and a y such that $x \subseteq y$, $y \cap \omega_1 = x \cap \omega_1$, and y is closed under F . For each $a = \{a_0, \dots, a_n\}$, define finite sets X_n^a by

- $X_0^a = a$.
- $X_{i+1}^a = \{F(b) \mid b \in [X_i^a]^{<\omega}\} \cup X_i^a$.

Of course, each X_n^a is finite. Define $H : [X]^{<\omega} \rightarrow \omega_1$ by

$$H(a_0, \dots, a_n) = \begin{cases} \text{the } k\text{-th element of } X_l^{\{a_0, \dots, a_m\}} \cap \omega_1 & n = 2^k 3^l 5^m \\ 0 & \text{otherwise} \end{cases}$$

By (2), we can choose an $x \in S$ such that x is closed under H . Pick the least subset y that is closed under F and contains x . By the definition, $y \cap \omega_1$ can be written as the hull of x under H . So $y \cap \omega_1 = x \cap \omega_1$, as desired. $\square$

Lemma 3.2. *For an inaccessible cardinal κ and a regular cardinal $\lambda = \lambda^{<\kappa} \leq \kappa$, suppose that for every κ -complete fine filter F over $\mathcal{P}_\kappa \lambda$, $\text{Nm}(\kappa, \lambda, F)$ is semiproper. Then $\text{SSR}([2^\lambda]^\omega, <\kappa)$ holds.*

Proof. We show the contrapositive. Fix a non-reflecting semistationary subset $S \subseteq [2^\lambda]^\omega$. For every $x \in \mathcal{P}_\kappa 2^\lambda$, $S \cap [x]^\omega$ is not semistationary. By Lemma 3.1, we can choose $F_x : [x]^{<\omega} \rightarrow \omega_1$. Let $\pi : [2^\lambda]^{<\omega} \times \omega_1 \rightarrow 2^\lambda$ be a bijection. Define a $\mathcal{P}_\kappa 2^\lambda$ -list $\vec{d} = \langle d_x \mid x \in \mathcal{P}_\kappa 2^\lambda \rangle$ by $d_x = (\pi^{<}[x]^{<\omega} \times \omega_1) \cap x$. Since κ is inaccessible, $\vec{d}$ is a thin list.

Fix an independent family $\langle A_\xi \mid \xi < 2^\lambda \rangle$ on $\mathcal{P}_\kappa \lambda$. We can define $F_{\vec{d}}$ as in Section 2.2. Let θ be a sufficiently large regular cardinal. We show that $\text{Gal}_\theta(\mathcal{P}_\kappa \lambda, F_{\vec{d}}, \mathcal{P}_\kappa \lambda, S^{\text{cl}})$ is a stationary subset.

By Lemma 2.4, it is enough to show that $\text{Gal}_\theta(\mathcal{P}_\kappa \lambda, F_{\vec{d}}, \mathcal{P}_\kappa \lambda, S^{\text{cl}})$ is stationary.

For each club $C \subseteq [\mathcal{H}_\theta]^\omega$, pick a countable elementary substructure $M \prec \mathcal{H}_\theta$ with the following properties:

- $M \cap 2^\lambda \in S^{\text{cl}}$,
- $\kappa, \lambda, \langle A_\xi \mid \xi < 2^\lambda \rangle, F_{\vec{d}}, S \in M$, and
- $M \in C$.

We show that $M \in \text{Gal}_\theta(\mathcal{P}_\kappa \lambda, F_{\vec{d}}, \mathcal{P}_\kappa \lambda, S^{\text{cl}})$. That is, $\bigcap \{f^{-1}M \cap \omega_1 \mid f : \mathcal{P}_\kappa \lambda \rightarrow \omega_1 \in M\} \in F_{\vec{d}}^*$ is our claim.

Let $x \in \mathcal{P}_\kappa 2^\lambda$ be a subset with $\pi^{<}([x]^{<\omega} \times \omega_1) = x$ and $\bigcup(M \cap \mathcal{P}_\kappa 2^\lambda) \subseteq x$. Note that $B_x = \bigcup_{d \in \text{Lev}_{\vec{d}}(x)} (\bigcap_{\xi \in d} A_\xi \setminus \bigcup_{\xi \in x \setminus d} A_\xi) \in F_{\vec{d}}$. For each $a \in B_x$, we claim that $M \cap \omega_1 < \text{Sk}(M \cup \{a\}) \cap \omega_1$.

We work in $N = \text{Sk}(M \cup \{a\})$. Define a function $f : [\mathcal{H}_\theta]^{<\omega} \rightarrow \omega_1$ by

$$f(a) = \begin{cases} \xi & a \in A_{\pi(a,\xi)} \text{ and there is no other } \zeta \text{ such that } a \in A_{\pi(a,\zeta)} \\ 0 & \text{otherwise} \end{cases}$$

By $a \in B_x$, we have $d \in \text{Lev}_x(\bar{d})$ with $a \in \bigcap_{\xi \in d} A_\xi \setminus \bigcup_{\xi \in x \setminus d} A_\xi$. We have y with the following properties:

- $x \subseteq y$,
- $d_y \cap x = d$, and
- $f \upharpoonright [x]^{<\omega} = f_y \upharpoonright [x]^{<\omega}$.

Since $M \cap 2^\lambda = M \cap x \in S^{\text{cl}} \cap [x]^\omega \subseteq S^{\text{cl}} \cap [y]^\omega$ and there is no $X \in S \cap [y]^\omega$ that is closed under f_y , new countable ordinals are defined by f in N . In particular, $a \notin \bigcap \{f^{-1}M \cap \omega_1 \mid f : \mathcal{P}_\kappa \lambda \rightarrow \omega_1 \in M\}$. Therefore $B_x \subseteq \mathcal{P}_\kappa \lambda \setminus \bigcap \{f^{-1}M \cap \omega_1 \mid f : \mathcal{P}_\kappa \lambda \rightarrow \omega_1 \in M\}$, and thus, $\bigcap \{f^{-1}M \cap \omega_1 \mid f : \mathcal{P}_\kappa \lambda \rightarrow \omega_1 \in M\} \in F_d^*$, as desired. $\square$

Proof of Theorem 1.3. (2) $\leftrightarrow$ (1) and (2) $\rightarrow$ (3) follow from Theorem 2.3 and [11], respectively. (3) $\rightarrow$ (2) follows from Lemma 3.2. $\square$

Theorem 1.3 gives a simplified model in which there are pair of κ -complete fine filters $\langle F_0, F_1 \rangle$ over $\mathcal{P}_\kappa \lambda$ such that $\text{Nm}(\kappa, \lambda, F_0)$ is semiproper but $\text{Nm}(\kappa, \lambda, F_1)$ is *not* semiproper.

Corollary 3.3. *If κ is λ -strongly compact, then a standard poset which adds a $\square(2^\lambda)$ -sequence forces the following properties:*

- (1) $\mathcal{P}_\kappa \lambda$ is unchanged.
- (2) $\text{Nm}(\kappa, \lambda)$ is semiproper.
- (3) There is a κ -complete fine filter F such that $\text{Nm}(\kappa, \lambda, F)$ is *not* semiproper.

Proof. Let P be a standard poset which adds a $\square(2^\lambda)$ -sequence. It is known that P is $\lambda + 1$ -strategically closed.

Since κ is λ -strongly compact, $\text{Nm}(\kappa, \lambda)$ is semiproper. By [12, (2) of Lemma 2.11], $\text{Nm}(\kappa, \lambda)$ is forced to be semiproper.

On the other hand, by [7, Theorem 2.1], $\square(2^\lambda)$ implies that $\text{SSR}([2^\lambda]^\omega, <\kappa)$ fails. Since κ is still inaccessible in the extension, by Theorem 1.3, it is forced that $\mathcal{P}_\kappa \lambda$ carries a κ -complete fine filter F such that $\text{Nm}(\kappa, \lambda, F)$ is *not* semiproper. $\square$

Note that we proved that if $\square(2^\lambda)$ holds, then $\mathcal{P}_\kappa \lambda$ carries a κ -complete fine filter F such that $\text{Nm}(\kappa, \lambda, F)$ is *not* semiproper even if κ is not inaccessible [12]. The ideas are similar to those in the proof of Lemma 3.2; on the other hand, to define a $\mathcal{P}_\kappa \lambda$ -thin list from a $\square(2^\lambda)$ -sequence, we need the minimal walk method. This is somewhat difficult.

A $\square(2^\lambda)$ -sequence defines an explicit *non-reflecting* semistationary subset $S \subseteq [2^\lambda]^\omega$ and a thin list $\bar{d}$. As in the proof of Lemma 3.2, if we can show the thinness of $\bar{d}$ (starting from a *non-reflecting* stationary subset S , where S is not explicit), then we can omit the inaccessibility assumption from Theorem 1.3.

We conclude this paper with the following question.

Question 3.4. *Can we omit the inaccessibility assumption from Theorem 1.3?*

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