

ON FULL SUSLIN TREES

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0. Introduction. In the present paper we answer a combinatorial question of Kunen listed in Arnie Miller's Problem List. We force, e.g. for the first strongly inaccessible Mahlo cardinal λ , a full (see 1.1(2)) λ -Suslin tree and we remark that the existence of such trees follows from $\mathbf{V} = \mathbf{L}$ (if λ is Mahlo strongly inaccessible). This answers [Mi91, Problem 15.13].

Our notation is rather standard and compatible with those of classical textbooks on Set Theory. However, in forcing considerations, we keep the older tradition that

a stronger condition is the larger one.

We will keep the following conventions concerning use of symbols.

NOTATION 0.1. (1) λ, μ will denote cardinal numbers and $\alpha, \beta, \gamma, \delta, \xi, \zeta$ will be used to denote ordinals.

(2) Sequences (not necessarily finite) of ordinals are denoted by ν, η, ϱ (with possible indices).

(3) The length of a sequence η is $\text{lg}(\eta)$.

(4) For a sequence η and an ordinal $\alpha \leq \text{lg}(\eta)$, $\eta \upharpoonright \alpha$ is the restriction of the sequence η to α (so $\text{lg}(\eta \upharpoonright \alpha) = \alpha$). If a sequence ν is a proper initial segment of a sequence η then we write $\nu \triangleleft \eta$ (and $\nu \trianglelefteq \eta$ has the obvious meaning).

(5) A tilde indicates that we are dealing with a name for an object in forcing extension (like \tilde{x}).

1. Full λ -Suslin trees. A subset T of ${}^{>\omega}2$ is an α -tree whenever (α is a limit ordinal and) the following three conditions are satisfied:

- $\langle \rangle \in T$, if $\nu \triangleleft \eta \in T$ then $\nu \in T$,
- $\eta \in T$ implies $\eta \frown \langle 0 \rangle, \eta \frown \langle 1 \rangle \in T$, and

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• for every $\eta \in T$ and $\beta < \alpha$ such that $\text{lg}(\eta) \leq \beta$ there is $\nu \in T$ such that $\eta \leq \nu$ and $\text{lg}(\eta) = \beta$.

A λ -Suslin tree is a λ -tree $T \subseteq {}^{\lambda}2$ in which every antichain is of size less than λ .

DEFINITION 1.1. (1) For a tree $T \subseteq {}^{\alpha}2$ and an ordinal $\beta \leq \alpha$ we let

$$T_{[\beta]} := T \cap {}^{\beta}2 \quad \text{and} \quad T_{[<\beta]} := T \cap {}^{\beta>}2.$$

If $\delta \leq \alpha$ is limit then we define

$$\text{lim}_{\delta} T_{[<\delta]} := \{\eta \in {}^{\delta}2 : (\forall \beta < \delta)(\eta \upharpoonright \beta \in T)\}.$$

(2) An α -tree T is *full* if for every limit ordinal $\delta < \alpha$ the set $\text{lim}_{\delta}(T_{[<\delta]}) \setminus T_{[\delta]}$ has at most one element.

(3) An α -tree $T \subseteq {}^{\alpha}2$ has *true height* α if for every $\eta \in T$ there is $\nu \in {}^{\alpha}2$ such that

$$\eta \triangleleft \nu \quad \text{and} \quad (\forall \beta < \alpha)(\nu \upharpoonright \beta \in T).$$

We will show that the existence of full λ -Suslin trees is consistent assuming the cardinal λ satisfies the following hypothesis.

HYPOTHESIS 1.2. (a) λ is a strongly inaccessible (Mahlo) cardinal,
 (b) $S \subseteq \{\mu < \lambda : \mu \text{ is a strongly inaccessible cardinal}\}$ is a stationary set,

(c) $S_0 \subseteq \lambda$ is a set of limit ordinals,

(d) for every cardinal $\mu \in S$, $\diamond_{S_0 \cap \mu}$ holds true.

Further in this section we will assume that λ , S_0 and S are as above and we may forget to repeat these assumptions.

Let us recall that the *diamond principle* $\diamond_{S_0 \cap \mu}$ postulates the existence of a sequence $\bar{\nu} = \langle \nu_{\delta} : \delta \in S_0 \cap \mu \rangle$ (called a $\diamond_{S_0 \cap \mu}$ -sequence) such that $\nu_{\delta} \in {}^{\delta}2$ (for $\delta \in S_0 \cap \mu$) and

$$(\forall \nu \in {}^{\mu}2)[\text{the set } \{\delta \in S_0 \cap \mu : \nu \upharpoonright \delta = \nu_{\delta}\} \text{ is stationary in } \mu].$$

Now we introduce a forcing notion \mathbb{Q} and its relative \mathbb{Q}^* which will be used in our proof.

DEFINITION 1.3. (1) A condition in \mathbb{Q} is a tree $T \subseteq {}^{\alpha}2$ of a true height $\alpha = \alpha(T) < \lambda$ (see 1.1(3); so α is a limit ordinal) such that $\|\text{lim}_{\delta}(T_{[<\delta]}) \setminus T_{[\delta]}\| \leq 1$ for every limit ordinal $\delta < \alpha$; the order on \mathbb{Q} is defined by $T_1 \leq T_2$ if and only if $T_1 = T_2 \cap {}^{\alpha(T_1)}2$ (so it is the end-extension order).

(2) For a condition $T \in \mathbb{Q}$ and a limit ordinal $\delta < \alpha(T)$, let $\eta_{\delta}(T)$ be the unique member of $\text{lim}_{\delta}(T_{[<\delta]}) \setminus T_{[\delta]}$ if there is one, otherwise $\eta_{\delta}(T)$ is not defined.

(3) Let $T \in \mathbb{Q}$. A function $f : T \rightarrow \text{lim}_{\alpha(T)}(T)$ is called a *witness* for T if $(\forall \eta \in T)(\eta \triangleleft f(\eta))$.

(4) A condition in \mathbb{Q}^* is a pair (T, f) such that $T \in \mathbb{Q}$ and $f : T \rightarrow \lim_{\alpha(T)}(T)$ is a witness for T ; the order on \mathbb{Q}^* is defined by $(T_1, f_1) \leq (T_2, f_2)$ if and only if $T_1 \leq_{\mathbb{Q}} T_2$ and $(\forall \eta \in T_1)(f_1(\eta) \leq f_2(\eta))$.

PROPOSITION 1.4. (1) *If $(T_1, f_1) \in \mathbb{Q}^*$, $T_1 \leq_{\mathbb{Q}} T_2$ and*

(*) *either $\eta_{\alpha(T_1)}(T_2)$ is not defined or it does not belong to $\text{rang}(f_1)$*

then there is $f_2 : T_2 \rightarrow \lim_{\alpha(T_2)}(T_2)$ such that $(T_1, f_1) \leq (T_2, f_2) \in \mathbb{Q}^$.*

(2) *For every $T \in \mathbb{Q}$ there is a witness f for T .*

PROOF. Should be clear. ■

PROPOSITION 1.5. (1) *The forcing notion \mathbb{Q}^* is $(< \lambda)$ -complete, in fact any increasing chain of length $< \lambda$ has the least upper bound in \mathbb{Q}^* .*

(2) *The forcing notion \mathbb{Q} is strategically γ -complete for each $\gamma < \lambda$.*

(3) *Forcing with \mathbb{Q} adds no new sequences of length $< \lambda$. Since $\|\mathbb{Q}\| = \lambda$, forcing with \mathbb{Q} preserves cardinal numbers, cofinalities and cardinal arithmetic.*

PROOF. (1) It is straightforward: suppose that $\langle (T_\zeta, f_\zeta) : \zeta < \xi \rangle$ is an increasing sequence of elements of \mathbb{Q}^* . Clearly we may assume that $\xi < \lambda$ is a limit ordinal and $\zeta_1 < \zeta_2 < \xi \Rightarrow \alpha(T_{\zeta_1}) < \alpha(T_{\zeta_2})$. Let $T_\xi = \bigcup_{\zeta < \xi} T_\zeta$ and $\alpha = \sup_{\zeta < \xi} \alpha(T_\zeta)$. Clearly, the union is increasing and T_ξ is a full α -tree. For $\eta \in T_\xi$ let $\zeta_0(\eta)$ be the first $\zeta < \xi$ such that $\eta \in T_\zeta$ and let $f_\xi(\eta) = \bigcup \{f_\zeta(\eta) : \zeta_0(\eta) \leq \zeta < \xi\}$. By the definition of the order on \mathbb{Q}^* we see that the sequence $\langle f_\zeta(\eta) : \zeta_0(\eta) \leq \zeta < \xi \rangle$ is \triangleleft -increasing and hence $f_\xi(\eta) \in \lim_{\alpha}(T_\xi)$. Plainly, the function f_ξ witnesses that T_ξ has true height α , and thus $(T_\xi, f_\xi) \in \mathbb{Q}^*$. It should be clear that (T_ξ, f_ξ) is the least upper bound of the sequence $\langle (T_\zeta, f_\zeta) : \zeta < \xi \rangle$.

(2) For our purpose it is enough to show that for each ordinal $\gamma < \lambda$ and a condition $T \in \mathbb{Q}$ the second player has a winning strategy in the following game $\mathcal{G}_\gamma(T, \mathbb{Q})$. (Also we can let Player I choose T_ξ for ξ odd.)

The game lasts γ moves and during a play the players, called I and II, choose successively open dense subsets \mathcal{D}_ξ of \mathbb{Q} and conditions $T_\xi \in \mathbb{Q}$. At stage $\xi < \gamma$ of the game, Player I chooses an open dense subset \mathcal{D}_ξ of \mathbb{Q} and Player II answers playing a condition $T_\xi \in \mathbb{Q}$ such that

$$T \leq_{\mathbb{Q}} T_\xi, \quad (\forall \zeta < \xi)(T_\zeta \leq_{\mathbb{Q}} T_\xi), \quad \text{and} \quad T_\xi \in \mathcal{D}_\xi.$$

The second player wins if he always has legal moves during the play.

Let us describe the winning strategy for Player II. At each stage $\xi < \gamma$ of the game he plays a condition T_ξ and writes down a function f_ξ such that $(T_\xi, f_\xi) \in \mathbb{Q}^*$. Moreover, he keeps an extra obligation that $(T_\zeta, f_\zeta) \leq_{\mathbb{Q}^*} (T_\xi, f_\xi)$ for each $\zeta < \xi < \gamma$.

So arriving at a non-limit stage of the game he takes the condition (T_ζ, f_ζ) he constructed before (or just (T, f) , where f is a witness for T ,

if this is the first move; by 1.4(2) we can always find a witness). Then he chooses $T_\zeta^* \geq_{\mathbb{Q}} T_\zeta$ such that $\alpha(T_\zeta^*) = \alpha(T_\zeta) + \omega$ and $(T_\zeta^*)_{[\alpha(T_\zeta)]} = \lim_{\alpha(T_\zeta)}(T_\zeta)$. Thus $\eta_{\alpha(T_\zeta)}(T_\zeta^*)$ is not defined. Now Player II takes $T_{\zeta+1} \geq_{\mathbb{Q}} T_\zeta^*$ from the open dense set $\mathcal{D}_{\zeta+1}$ played by his opponent at this stage. Clearly $\eta_{\alpha(T_\zeta)}(T_{\zeta+1})$ is not defined, so Player II may use 1.4(1) to choose $f_{\zeta+1}$ such that $(T_\zeta, f_\zeta) \leq_{\mathbb{Q}^*} (T_{\zeta+1}, f_{\zeta+1}) \in \mathbb{Q}^*$.

At a limit stage ξ of the game, the second player may take the least upper bound $(T'_\xi, f'_\xi) \in \mathbb{Q}^*$ of the sequence $\langle (T_\zeta, f_\zeta) : \zeta < \xi \rangle$ (exists by (1)) and then apply the procedure described above.

(3) Follows from (2) above. ■

DEFINITION 1.6. Let \mathbf{T} be the canonical \mathbb{Q} -name for a generic tree added by forcing with \mathbb{Q} :

$$\Vdash_{\mathbb{Q}} \mathbf{T} = \bigcup \{T : T \in \mathcal{G}_{\mathbb{Q}}\}.$$

It should be clear that \mathbf{T} is (forced to be) a full λ -tree. The main point is to show that it is λ -Suslin and this is done in the following theorem.

THEOREM 1.7. $\Vdash_{\mathbb{Q}}$ “ \mathbf{T} is a λ -Suslin tree”.

PROOF. Suppose that \underline{A} is a \mathbb{Q} -name such that

$$\Vdash_{\mathbb{Q}} \text{“}\underline{A} \subseteq \mathbf{T} \text{ is an antichain”},$$

and let T_0 be a condition in \mathbb{Q} . We will show that there are $\mu < \lambda$ and a condition $T^* \in \mathbb{Q}$ stronger than T_0 such that $T^* \Vdash_{\mathbb{Q}}$ “ $\underline{A} \subseteq \mathbf{T}_{[<\mu]}$ ” (and thus it forces that the size of \underline{A} is less than λ).

Let \underline{A} be a \mathbb{Q} -name such that

$$\Vdash_{\mathbb{Q}} \text{“}\underline{A} = \{\eta \in \mathbf{T} : (\exists \nu \in \underline{A})(\nu \trianglelefteq \eta) \text{ or } \neg(\exists \nu \in \underline{A})(\eta \trianglelefteq \nu)\}”.$$

Clearly, $\Vdash_{\mathbb{Q}}$ “ $\underline{A} \subseteq \mathbf{T}$ is dense open”.

Let χ be a sufficiently large regular cardinal ($\beth_7(\lambda^+)^+$ is enough).

CLAIM 1.7.1. *There are $\mu \in S$ and $\mathfrak{B} \prec (\mathcal{H}(\chi), \in, <^*_\chi)$ such that:*

- (a) $\underline{A}, \underline{A}, S, S_0, \mathbb{Q}, \mathbb{Q}^*, T_0 \in \mathfrak{B}$,
- (b) $\|\mathfrak{B}\| = \mu$ and ${}^{\mu}>\mathfrak{B} \subseteq \mathfrak{B}$,
- (c) $\mathfrak{B} \cap \lambda = \mu$.

PROOF. First construct inductively an increasing continuous sequence $\langle \mathfrak{B}_\xi : \xi < \lambda \rangle$ of elementary submodels of $(\mathcal{H}(\chi), \in, <^*_\chi)$ such that $\underline{A}, \underline{A}, S, S_0, \mathbb{Q}, \mathbb{Q}^*, T_0 \in \mathfrak{B}_0$ and for every $\xi < \lambda$,

$$\|\mathfrak{B}_\xi\| = \mu_\xi < \lambda, \quad \mathfrak{B}_\xi \cap \lambda \in \lambda, \quad \text{and} \quad {}^{\mu_\xi \geq} \mathfrak{B}_\xi \subseteq \mathfrak{B}_{\xi+1}.$$

Note that for a club E of λ , for every $\mu \in S \cap E$ we have

$$\|\mathfrak{B}_\mu\| = \mu, \quad {}^{\mu}>\mathfrak{B}_\mu \subseteq \mathfrak{B}_\mu, \quad \text{and} \quad \mathfrak{B}_\mu \cap \lambda = \mu.$$

Choose $\mu \in S \cap E$ and let $\mathfrak{B} = \mathfrak{B}_\mu$.

Let $\mu \in S$ and $\mathfrak{B} \prec (\mathcal{H}(\chi), \in, <^*)$ be given by 1.7.1. We know that $\diamond_{S_0 \cap \mu}$ holds, so fix a $\diamond_{S_0 \cap \mu}$ -sequence $\bar{\nu} = \langle \nu_\delta : \delta \in S_0 \cap \mu \rangle$.

Let

$$\begin{aligned} \mathcal{I} := \{T \in \mathbb{Q} : T \text{ is incompatible (in } \mathbb{Q}) \text{ with } T_0 \text{ or:} \\ T \geq T_0 \text{ and } T \text{ decides the value of } \mathbf{A} \cap \alpha(T) > 2 \text{ and} \\ (\forall \eta \in T)(\exists \varrho \in T)(\eta \trianglelefteq \varrho \ \& \ T \Vdash_{\mathbb{Q}} \varrho \in \mathbf{A})\}. \end{aligned}$$

CLAIM 1.7.2. \mathcal{I} is a dense subset of \mathbb{Q} .

Proof. Should be clear (remember 1.5(2)).

Now we choose by induction on $\xi < \mu$ a continuous increasing sequence $\langle (T_\xi, f_\xi) : \xi < \mu \rangle \subseteq \mathbb{Q}^* \cap \mathfrak{B}$.

STEP: $i = 0$. T_0 is already chosen and it belongs to $\mathbb{Q} \cap \mathfrak{B}$. We take any f_0 such that $(T_0, f_0) \in \mathbb{Q}^* \cap \mathfrak{B}$ (exists by 1.4(2)).

STEP: limit ξ . Since ${}^{\mu} \mathfrak{B} \subseteq \mathfrak{B}$, the sequence $\langle (T_\zeta, f_\zeta) : \zeta < \xi \rangle$ is in \mathfrak{B} . By 1.5(1) it has the least upper bound (T_ξ, f_ξ) (which belongs to \mathfrak{B}).

STEP: $\xi = \zeta + 1$. First we take the (unique) tree T_ξ^* of true height $\alpha(T_\xi^*) = \alpha(T_\zeta) + \omega$ such that $T_\xi^* \cap \alpha(T_\zeta) > 2 = T_\zeta$ and: if $\alpha(T_\zeta) \in S_0$ and $\nu_{\alpha(T_\zeta)} \notin \text{rang}(f_\zeta)$ then $(T_\xi^*)_{[\alpha(T_\zeta)]} = \lim_{\alpha(T_\zeta)} (T_\zeta) \setminus \{\nu_{\alpha(T_\zeta)}\}$, otherwise $(T_\xi^*)_{[\alpha(T_\zeta)]} = \lim_{\alpha(T_\zeta)} (T_\zeta)$.

Let $T_\xi \in \mathbb{Q} \cap \mathcal{I}$ be strictly above T_ξ^* (exists by 1.7.2). Clearly we may choose such T_ξ in \mathfrak{B} . Now we have to define f_ξ . We do it by 1.4, but additionally we require that

$$\text{if } \eta \in T_\xi \text{ then } (\exists \varrho \in T_\xi)(\varrho \triangleleft f_\xi(\eta) \ \& \ T \Vdash_{\mathbb{Q}} \text{“} \varrho \in \mathbf{A} \text{”}).$$

Plainly the additional requirement causes no problems (remember the definition of \mathcal{I} and the choice of T_ξ) and the choice can be done in \mathfrak{B} .

There are no difficulties in carrying out the induction. Finally we let

$$T_\mu := \bigcup_{\xi < \mu} T_\xi \quad \text{and} \quad f_\mu = \bigcup_{\xi < \mu} f_\xi.$$

By the choice of \mathfrak{B} and μ we are sure that T_μ is a μ -tree. It follows from 1.5(1) that $(T_\mu, f_\mu) \in \mathbb{Q}^*$, so in particular the tree T_μ has enough μ branches (and belongs to \mathbb{Q}).

CLAIM 1.7.3. For every $\varrho \in \lim_\mu (T_\mu)$ there is $\xi < \mu$ such that

$$(\exists \beta < \alpha(T_{\xi+1}))(T_{\xi+1} \Vdash_{\mathbb{Q}} \text{“} \varrho \restriction \beta \in \mathbf{A} \text{”}).$$

Proof. Fix $\varrho \in \lim_\mu (T_\mu)$ and let

$$S_\nu^* := \{\delta \in S_0 \cap \mu : \alpha(T_\delta) = \delta \text{ and } \nu_\delta = \varrho \restriction \delta\}.$$

Plainly, the set S_ν^* is stationary in μ (remember the choice of $\bar{\nu}$). By the

definition of the T_ξ 's (and by $\varrho \in \lim_\mu(T_\mu)$) we conclude that for every $\delta \in S_\nu^*$,

$$\text{if } \eta_\delta(T_{\delta+1}) \text{ is defined then } \varrho \upharpoonright \delta \neq \eta_\delta(T_\mu) = \eta_\delta(T_{\delta+1}).$$

But $\varrho \upharpoonright \delta = \nu_\delta$ (as $\delta \in S_\nu^*$). So look at the inductive definition: necessarily for some $\varrho_\delta^* \in T_\delta$ we have $\nu_\delta = f_\delta(\varrho_\delta^*)$, i.e. $\varrho \upharpoonright \delta = f_\delta(\varrho_\delta^*)$. Now, $\varrho_\delta^* \in T_\delta = \bigcup_{\xi < \delta} T_\xi$ and hence for some $\xi(\delta) < \delta$, we have $\varrho_\delta^* \in T_{\xi(\delta)}$. By Fodor's lemma we find $\xi^* < \mu$ such that the set

$$S'_\nu := \{\delta \in S_\nu^* : \xi(\delta) = \xi^*\}$$

is stationary in μ . Consequently, we find ϱ^* such that the set

$$S_\nu^+ := \{\delta \in S'_\nu : \varrho^* = \varrho_\delta^*\}$$

is stationary (in μ). But the sequence $\langle f_\xi(\varrho^*) : \xi^* \leq \xi < \mu \rangle$ is \trianglelefteq -increasing, and hence the sequence ϱ is its limit. Now we easily obtain the claim using the inductive definition of the (T_ξ, f_ξ) 's.

It follows from the definition of $\underline{\mathbf{A}}$ and 1.7.3 that

$$T_\mu \Vdash_{\mathbb{Q}} \text{“}\underline{\mathbf{A}} \subseteq T_\mu\text{”}$$

(remember that $\underline{\mathbf{A}}$ is a name for an antichain of $\underline{\mathbf{T}}$), and hence

$$T_\mu \Vdash_{\mathbb{Q}} \text{“}\|\underline{\mathbf{A}}\| < \lambda\text{”},$$

finishing the proof of the theorem. ■

DEFINITION 1.8. A λ -tree T is S_0 -full, where $S_0 \subseteq \lambda$, if for every limit $\delta < \lambda$,

- if $\delta \in \lambda \setminus S_0$ then $T_{[\delta]} = \lim_\delta(T)$,
- if $\delta \in S_0$ then $\|T_{[\delta]} \setminus \lim_\delta(T)\| \leq 1$.

COROLLARY 1.9. *Assuming Hypothesis 1.2:*

(1) *The forcing notion \mathbb{Q} preserves cardinal numbers, cofinalities and cardinal arithmetic.*

(2) $\Vdash_{\mathbb{Q}} \text{“}\underline{\mathbf{T}} \subseteq {}^{\lambda > 2}$ is a λ -Suslin tree which is full and even S_0 -full”. [So, in $\mathbf{V}^{\mathbb{Q}}$, in particular we have: for every $\alpha < \beta < \mu$, for all $\eta \in T \cap \alpha^2$ there is $\nu \in T \cap \beta^2$ such that $\eta \triangleleft \nu$, and for a limit ordinal $\delta < \lambda$, $\lim_\delta(T_{[<\delta]}) \setminus T_{[\delta]}$ is either empty or has a unique element (and then $\delta \in S_0$).]

Proof. By 1.5 and 1.7. ■

Of course, we do not need to force.

DEFINITION 1.10. Let $S_0, S \subseteq \lambda$. A sequence $\langle (C_\alpha, \nu_\alpha) : \alpha < \lambda \text{ limit} \rangle$ is called a *squared diamond sequence* for (S, S_0) if for each limit ordinal $\alpha < \lambda$,

- (i) C_α is a club of α disjoint from S ,
- (ii) $\nu_\alpha \in \alpha^2$,

- (iii) if $\beta \in \text{acc}(C_\alpha)$ then $C_\beta = C_\alpha \cap \beta$ and $\nu_\beta \triangleleft \nu_\alpha$,
 (iv) if $\mu \in S$ then $\langle \nu_\alpha : \alpha \in C_\mu \cap S_0 \rangle$ is a diamond sequence.

PROPOSITION 1.11. *Assume (in addition to 1.2)*

- (e) *there exists a squared diamond sequence for (S, S_0) .*

Then there is a λ -Suslin tree $T \subseteq {}^\lambda 2$ which is S_0 -full.

PROOF. Look carefully at the proof of 1.7. ■

COROLLARY 1.12. *Assume that $\mathbf{V} = \mathbf{L}$ and λ is Mahlo strongly inaccessible. Then there is a full λ -Suslin tree.*

PROOF. Let $S \subseteq \{\mu < \lambda : \mu \text{ is strongly inaccessible}\}$ be a stationary non-reflecting set. By Beller and Litman [BeLi80], there is a square $\langle C_\delta : \delta < \lambda \text{ limit} \rangle$ such that $C_\delta \cap S = \emptyset$ for each limit $\delta < \lambda$. As in Abraham, Shelah and Solovay [AShS 221, §1] we can also have the squared diamond sequence. ■

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