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Author(s): Saharon Shelah

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ON UNIQUENESS OF PRIME MODELS

SAHARON SHELAH¹

Abstract. We prove there are theories (stable or countable) for which over every A there is a prime model but it is not necessarily unique. We also give a simplified proof of the uniqueness theorem for countable stable theories.

Let us call a model M of a (complete, first-order) theory T prime if it can be elementarily embedded into any other model of T . Vaught [V] (see e.g. [CK]) proved the uniqueness and gives necessary and sufficient conditions for the existence of a prime model for *countable* complete T . Morley generalized the notion to “prime over A ” where A is a subset of some model of T (here the embeddings are the identity on A) and proved their existence for \aleph_0 -stable T . Sacks inquired into their uniqueness. More exactly he conjectured (i) they are unique if T is \aleph_0 -stable and even (ii) they are unique if for every A , the isolated types in $S(A)$ are dense. These questions appear in a preliminary version of the list of questions of [CK]. Shelah [Sh 3] proved their uniqueness for \aleph_0 -stable T . In [Sh 1, IV, 5.6] it was proved that if T is countable and stable, and over every A there is a prime model, then it is unique (more details in [Sh 1]). We show here that we cannot omit the countability nor the stability assumption in this theorem, and give a simpler proof of the uniqueness, and finish by remarking a further result. In fact we prove more general results.

As we do not want to require from the reader knowledge of [Sh 1], (mainly Chapter IV) we list below all relevant information. For understanding the negative result (i.e. the counterexamples), the reader should read definitions B, C, E and the easy claims D, F (whose proof can be easily reconstructed). For understanding the uniqueness result the reader should believe G, H, I are true. For credits and proofs see [Sh 1] or [Sh 2].

REMARK. The most interesting case below is $P_{\aleph_0}^t$ when we get the usual notions.

A. *Notation.* For notational simplicity, for a fixed T , let $\mathfrak{C} = \mathfrak{C}_T$ be a fixed $\bar{\kappa}$ -saturated model of T , and M, N be elementary submodels of \mathfrak{C} of cardinality $< \bar{\kappa}$, A, B, C subsets of \mathfrak{C} of cardinality $< \bar{\kappa}$, a, b, c elements of \mathfrak{C} , and $\bar{a}, \bar{b}, \bar{c}$ finite sequences of them. We write $a \in M$ instead of $a \in |M|$ and $\bar{a} \in A$ instead of $\text{Range}(\bar{a}) \subseteq A$. Let $\text{tp}(\bar{a}, A)$ be the type \bar{a} realizes over A .

B. DEFINITION. (1) $S^m(A)$ is the set of complete m -types over A realized in \mathfrak{C} . Let $S(A) = S^1(A)$.

(2) $p \in S^m(A)$ is P_λ^t -isolated if there is $q \subseteq p$, $|q| < \lambda$, such that $q \vdash p$ (i.e. every sequence realizing q realizes p). If q is over $B \subseteq A$, $|B| < \lambda$, we say p is P_λ^t -isolated over B .

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(3) $p \in S^m(A)$ is P_λ^α -isolated if there is $B \subseteq A$, $|B| < \lambda$, and $p \upharpoonright B \vdash q$ (where $p \upharpoonright B = \{\varphi(\bar{x}, \bar{a}) \in p : \bar{a} \in B\}$). We say p is P_λ^α -isolated over B .

C. DEFINITION. (1) $\langle a_i : i < \alpha \rangle$ is a P_λ^α -construction over A , if for each i , $\text{tp}(b_i, A \cup \{b_j : j < i\})$ is P_λ^α -isolated. The construction is exemplified by $\langle B_i : i < \alpha \rangle$ if $\text{tp}(b_i, A \cup \{b_j : j < i\})$ is P_λ^α -isolated over B_i .

(2) B is P_λ^α -constructible over A if $B = A \cup \{b_i : i < \alpha\}$ for some b_i , α where $\langle b_i : i < \alpha \rangle$ is a P_λ^α -construction over A .

(3) M is P_λ^α -saturated if for every $p \in S(A)$, $A \subseteq M$, p P_λ^α -isolated, p is realized in M . (So P_λ^α -saturation is λ -saturation; and P_λ^α -saturation is λ -compactness provided that T has the P_λ^α -extension property (see E), which is the interesting case.)

(4) M is P_λ^α -prime over A if $A \subseteq M$, M is P_λ^α -saturated and for every P_λ^α -saturated N , $A \subseteq N$, there is an elementary embedding of M into N over A .

(5) M is P_λ^α -primary over A if $|M|$ is P_λ^α -constructible over A and is P_λ^α -saturated.

D. Claim. (1) Every P_λ^α -primary model over A is P_λ^α -prime over A .

(2) Over every A there is a P_λ^α -primary (hence prime) model if T satisfies the P_λ^α -extension property, defined below.

(3) If A is P_λ^α -constructible over B , $\bar{a} \in A$ then $\text{tp}(\bar{a}, B)$ is P_λ^α -isolated, provided that λ is regular (or cf $\lambda \geq \kappa(T)$, see H).

(4) If $\langle b_j : j < \alpha \rangle$, is a P_λ^α -construction over A , exemplified by $\langle B_i : i < \alpha \rangle$, we can change the order of the b 's (and it will still be a P_λ^α -construction) if $b_j \in B_i$ implies b_j precedes b_i in the new order.

(5) If C is P_λ^α -constructible over A and $A \subseteq B \subseteq C$, with $|B - A| < \text{cf } \lambda$ then $\text{tp}(\bar{c}, B)$ is P_λ^α -isolated for any $\bar{c} \in C$, provided that λ is regular or cf $\lambda \geq \kappa(T)$.

E. DEFINITION. (1) T satisfies the P_λ^α -extension property if every 1-type p over a set A , $|p| < \lambda$, has a P_λ^α -isolated extension in $S(A)$.

(2) T satisfies the P_λ^α -extension property if every 1-type p over a set B , $B \subseteq A$, $|B| < \lambda$ has a P_λ^α -isolated extension $S(A)$.

F. Claim. If $\langle b_i : i < \alpha \rangle$ is a P_λ^α -construction over A , $C \subseteq A \cup \{b_i : i < \alpha\}$, $|C| \leq \kappa$, $\lambda \leq \kappa$ then by reordering the b_i 's we can assume $C \subseteq A \cup \{b_i : i < \kappa\}$ (see D(4)).

G. THEOREM. Every two P_λ^α -primary models over A are isomorphic over A provided that λ is regular (or cf $\lambda \geq \kappa(T)$, see H) (Ressayre, see [Sh 1, IV, 3.9]).

H. THEOREM. There is a regular cardinal $\kappa = \kappa_r(T)$ such that for $\lambda \geq 2^{|\mathcal{T}|}$, $\lambda = \lambda^{<\kappa}$ ($= \sum_{\mu < \kappa} \lambda^\mu$) iff T is stable in λ (i.e. $|A| \leq \lambda \Rightarrow |S(A)| \leq \lambda$). T is called stable if $\kappa < \infty$ and then $\kappa \leq |T|^+$.

I. THEOREM. For stable T we can define a notion "p forks over A" (for a type p) such that

(1) for every $p \in S(A)$ there is $B \subseteq A$, $|B| < \kappa$, over which p does not fork.

(2) If $p \subseteq q$, $B \subseteq C$, q does not fork over B , then p does not fork over C .

(3) If p forks over A , then some finite subset of p does.

(4) If $p \in S^m(C)$, $A \subseteq B \subseteq C$, p does not fork over B and $p \upharpoonright B$ does not fork over A then p does not fork over A .

(5) If $B \subseteq C$, $\text{tp}(\bar{a}, C \cup \bar{b})$ does not fork over B iff $\text{tp}(\bar{b}, C \cup \bar{a})$ does not fork over B .

(6) If $\text{tp}(\bar{a}, A)$ does not fork over $B \subseteq A$, and $\text{tp}(\bar{b}, A \cup \bar{a})$ does not fork over B , then $\text{tp}(\bar{a} \wedge \bar{b}, A)$ does not fork over B .

(7) If $\text{tp}(\bar{a}, A)$ is P_λ^t -isolated and does not fork over $B \subseteq A$, then $\text{tp}(\bar{a}, B)$ is P_λ^t -isolated.

1. DEFINITION. For any linearly ordered I , let L^I be the (first-order) language with a two-place relation E_s for each $s \in I$ (we shall write $x E_s y$ instead of $E_s(x, y)$). Let T^I be the theory in L^I : with the sentences saying for $s, t \in I$

(i) each E_s is an equivalence relation,

(ii) each E_s -equivalence class is infinite, and E_s has infinitely many equivalence classes,

(iii) for $s < t$, E_t refines E_s ; moreover, each E_s -equivalence class is divided by E_t to infinitely many equivalence classes.

2. Claim. T^I is a complete theory with elimination of quantifiers, it is stable and $\kappa_r(T^I)$ is the first regular κ such that in I there is no increasing sequence of length κ .

PROOF. Easy (for $\kappa_r(T^I)$ use H). (This is [Sh 1, Ex. II, 2.3] not proved there.)

From here until conclusion 7 we deal with theories T^I . We first show that (under certain assumptions on I) T has P_λ^s (P_λ^t) prime models over every A .

3. LEMMA. (1) Let $B \subseteq A$, $|B| < \mu$, p a 1-type over B . Then p has a P_μ^s -isolated extension in $S(A)$. In more detail, for each q , $p \subseteq q \in S(B)$, either q is realized in A or q has a unique extension in $S(A)$.

(2) T satisfies the extension property for P_μ^s , hence over every A a P_μ^s -prime model exists (see D(1), D(2), E(2)).

PROOF. (1) Clearly it suffices to prove the second phrase. Suppose $q \in S(B)$ has two extensions in $S(A)$. We will show it is realized in A . Let $J = \{s \in I: \text{for some } b \in B, (x E_s b) \in q\}$, so clearly J is an initial segment of I . By an assumption above, for some formula φ with parameters from A , $q \cup \{\varphi^t\}$ is consistent (for $t = 0, 1$ where $\varphi^0 = \varphi$, $\varphi^1 = \neg\varphi$). As by 2, T^I has elimination of quantifiers, we can assume φ is quantifier-free, hence we can assume φ is atomic. If $\varphi = (x = a)$ then a realizes q , as desired, so we can assume for some $s \in I$, $a \in A$, $\varphi = x E_s a$. Clearly $s \notin J$ (otherwise for some b , $x E_s b \in q$, and then if $\models b E_s a$ then $q \vdash x E_s a$, and if $\models b E_s a$ then $q \vdash \neg x E_s a$, both cases contradicting the choice of φ). We now prove that a realizes q ; as T^I has elimination of quantifiers, it suffices to prove that $x E_t b \in q \Leftrightarrow \models a E_t b$ for every $b \in B$, $t \in I$ (clearly for equality this holds).

For $t \leq s$ this follows by the consistency of $q \cup \{x E_s a\}$. (If c realizes this type then $x E_t b \in q \Leftrightarrow \models c E_t b \Leftrightarrow \models a E_t b$ —the last arrow as $\models c E_s a$.) So let $t > s$, hence $t \notin J$, hence for each $b \in B$, $x E_t b \notin q$ (by the definition of J , as $s \notin J$ and J is an initial segment of I), so we have to prove $\models \neg a E_t b$. For this, it suffices to prove $\models \neg a E_s b$ (as $s \leq t$), but otherwise $q \cup \{x E_s a\}$ would not be consistent.

(2) Immediate.

4. DEFINITION. We say the linearly ordered set I is μ -proper if whenever $J \subseteq I$, $|J| < \mu$ then for some $J_0 \subseteq I$, $J < J_0$, $|J_0| < \mu$ and for no $t \in I$, $J < t < J_0$ (for $\mu = \aleph_0$ this just says each element of I has an immediate successor).

5. LEMMA. (1) Suppose I is μ -proper. Any 1-type p over A , $|p| < \mu$ has a P_μ^t -isolated extension in $S(A)$, i.e. there is a 1-type q over A , $p \subseteq q$, $|q| < \mu$, and q has a unique extension in $S(A)$.

(2) T^I satisfies the extension property for P_μ^t , hence over every A a P_μ^t -primary model exists (see D(1), D(2), E(1)).

PROOF. (1) As T^I has elimination of quantifiers, we can assume p consists of

quantifier-free formulas, indeed atomic and negation of atomic formulas. Let $B = \{b \in A; b \text{ appears in } p\}$ and $J_0 = \{s \in I: \text{for some } b, xE_s b \in p\}$, so $|B|, |J_0| < \mu$; hence by the μ -properness of I , there is $J_1 \subseteq I, |J_1| < \mu, J_0 < J_1$ but for no $t \in I, J_0 < t < J_1$. By inessential changes we can assume $s \in J_0 \cup J_1$ whenever E_s appears in p , and $p \subseteq q$ where q has the form

$$\{xE_s b_s: s \in J_0\} \cup \{\neg xE_s b: s \in J_1, b \in B\} \cup \{x \neq b: b \in B\}.$$

We can also assume no element of A realizes q . Now we prove q has a unique extension in $S(A)$. By the assumption above for each $a \in A, q \vdash x \neq a$. Now consider an atomic formula $\varphi = xE_t a$; if for some $s \in J_0, t \leq s$, then $q \vdash \varphi$ when $\models aE_t b_s$ and $q \vdash \neg \varphi$ when $\models \neg aE_t b_s$. So assume there is no such s , hence by J_1 's choice for some $s \in J_1, s \leq t$. If for some $s(0) \in J_0, \models \neg aE_{s(0)} b_{s(0)}$, then $p \vdash \neg \varphi$, so assume there is no such $s(0)$. As $a \in A$ does not realize q , for some $b \in B$, and $s(1) \in J_1, \models aE_{s(1)} b$, but $\neg xE_{s(1)} b \in q$ hence $q \vdash \neg \varphi$.

So for any atomic formula φ with parameters from $A, q \vdash \varphi$ or $q \vdash \neg \varphi$. As T' has elimination of quantifiers, this proves q has a unique extension in $S(A)$.

(2) Immediate.

6. LEMMA. Suppose $x = t, I$ is μ -proper or $x = s$. Suppose also $s(i)$ ($i < \lambda$) is a strictly increasing sequence in I, λ regular, $\lambda > \mu = \text{cf } \mu$ or $\lambda > \mu^+$. Then the \mathbf{P}_μ^x -prime model (over \emptyset) is not unique.

PROOF. By D(1), D(2) and 5.2 there is a \mathbf{P}_μ^x -prime model (over \emptyset) $M, |M| = \{a_i: i < \alpha_0\}$, $\text{tp}(a_i, A_i)$ is \mathbf{P}_μ^x -isolated where $A_i = \{a_j: j < i\}$. Now we prove the following:

(*) if $b_i \in |M|$ for $i < \lambda$, and for each $\alpha < \lambda$, for all large enough $i < \lambda$, the b_i 's are $E_{s(\alpha)}$ -equivalent then for some $b \in M$, for each $\alpha < \lambda$ for all large enough $i < \lambda, \models bE_{s(\alpha)} b_i$.

Suppose such b does not exist, hence we can assume the b_i 's are distinct.

By F we can assume that $b_i \in A_\lambda$ for each $i < \lambda$. Let for $\alpha < \lambda, \zeta(\alpha) < \lambda$ be such that $\zeta(\alpha) \leq i < \lambda \Rightarrow b_i E_{s(\alpha)} b_{\zeta(\alpha)}$ and $\alpha < \zeta(\alpha)$. As we assume appropriate $b \in |M|$ does not exist, for each $B \subseteq |M|, |B| < \lambda$, there is $\xi_0 < \lambda$, such that $\xi_0 \leq \xi < \lambda, b \in B \Rightarrow \models \neg bE_{s(\xi_0)} b_\xi$ (as λ is regular). Hence it is easy to find $\delta < \lambda, \text{cf } \delta \geq \mu$ such that:

(i) $b_j \in A_\delta$ iff $j < \delta$ iff $\zeta(j) < \delta$,

(ii) for each $i < \delta$ for some $\xi_i < \delta$, for every $\xi, \xi_i \leq \xi < \delta$ and $b \in A_i, \models \neg bE_{s(\xi_i)} b_\xi$.

By D(3), $\text{tp}(b_\delta, A_\delta)$ is \mathbf{P}_μ^x -isolated, hence for some $i < \delta, \text{tp}(b_\delta, A_i) \vdash \text{tp}(b_\delta, A_\delta)$, but $b_{\zeta(\xi_i)}$ realizes the former but not the latter, contradiction.

Now we shall exhibit another \mathbf{P}_μ^x -prime model, not isomorphic to M . Trivially every elementary submodel N of M which is \mathbf{P}_μ^x -saturated is a \mathbf{P}_μ^x -prime model.

So choose $a_0 \in M$, and let N be the submodel of M with universe $\{b \in |M|; \text{for some } i < \lambda, \models \neg bE_{s(i)} a_0\}$. We leave to the reader the proof that N is an elementary submodel of M and N is \mathbf{P}_μ^x -saturated hence is \mathbf{P}_μ^x -prime. Let us prove N is not isomorphic to M by showing N fails to satisfy (*). For each $i < \lambda$ there is $b_i \in |M|$ such that $\models b_i E_{s(i)} a_0 \wedge \neg b_i E_{s(i+1)} a_0$, so $b_i \in N$. By the definition of N , no $b \in N$ as required in (*) exists.

7. *Conclusion.* Let μ be an infinite cardinality, and λ be μ^+ when μ is regular, and μ^{++} otherwise.

There is a stable theory T of cardinality λ such that for $x = t, s$, over every A there is a P_μ^x -prime model; but even for $A = \emptyset$ it is not unique.

PROOF. Just choose T^I with $I = \lambda$.

8. DEFINITION. (1) Let M^0 be the following model: $|M^0| = \mathbf{Z} \cup \{h: h: \mathbf{Z} \rightarrow \mathbf{Z} \text{ such that for all small enough } n, h(n) = 0\}$ (\mathbf{Z} the integers).

$P = \mathbf{Z}$,

$Q = |M^0| - P$,

$<$ the natural order on \mathbf{Z} ,

$E = \{\langle h_1, h_2, n \rangle: h_1, h_2 \in Q, n \in P, \text{ and for every integer } m \leq n, h_1(m) = h_2(m)\}$,

F a two-place function from Q to P ,

$F(h_1, h_2) = \min\{n \in \mathbf{Z}: h_1(n+1) \neq h_2(n+1)\}$ when $h_1 \neq h_2$, and $F(h, h) = 0$,

S a one-place function from P to P —the successor,

S^{-1} the inverse of S .

(2) Let T^0 be the (first-order) theory of M^0 .

9. *Claim.* T^0 is a countable complete theory which has elimination of quantifiers.

10. LEMMA. *Over each A (for T^0) there is a $P_{\aleph_0}^t$ -prime model over A . It is not unique if $A \subseteq P$, A has order-type $\mathbf{Z} \times \omega_1$. Similarly for P_λ^t .*

12.² *Conclusion.* There is a countable complete theory for which over every A there is a $P_{\aleph_0}^t$ -prime model, but it is not always unique.³

Now we prove the uniqueness theorem.

By G, there is a unique P_λ^t -primary model over each A , hence it suffices to prove

13. LEMMA. *Suppose C is P_λ^t -constructible over A , $A \subseteq B \subseteq C$, T stable, then B is P_λ^t -constructible over A provided that at least one of the following conditions hold:*

(a) $\lambda^+ \geq \kappa(T)$, λ regular,

(b) $\text{cf } \lambda \geq \kappa(T)$,

(c) *for some λ_0 , $\lambda_0^+ \geq \kappa(T)$ and the conclusion of the lemma holds whenever $|C - A| \leq \lambda_0$.*

PROOF. The proof proceeds by induction on $|C - A|$.

If $|C - A| \leq \text{cf } \lambda$, the result is immediate using any enumeration of $|B - A|$ by D(3) and D(5). Now in cases (a) and (b) let $\lambda_0 = \text{cf } \lambda$ and in case (c) take λ_0 satisfying case (c). In any case we have $\lambda_0^+ \geq \kappa(T)$ and the conclusion holds if $|C - A| = \mu$ is $\leq \lambda_0$. Thus we can assume $\mu > \lambda_0$. Now we find C_i ($i < \mu$) such that

(i) C_i is increasing continuous and $C = \bigcup_{i < \mu} C_i$,

(ii) $|C_i| \leq |i| + \lambda_0$,

(iii) for each $\bar{c} \in C_i$, $\text{tp}(\bar{c}, B)$ does not fork over $B \cap C_i$ and $\text{tp}(\bar{c}, A)$ does not fork over $A \cap C_i$,

(iv) C_{i+1} is P_λ^x -constructible over $A \cup C_i$.

²This is a complement to 14 (= [Sh 1, IV, 5.6]); by it there is no countable stable example. So now we describe a countable unstable example, which is, essentially, an encoding of the uncountable example.

³In Lemma 5.1, for $\mu = \aleph_0$ it suffices to assume jumps are dense in I (i.e. for $s < t$ in I there are s_0, t_0 , $s \leq s_0 < t_0 \leq t$, t_0 the successor of s_0), and similiary for any λ . Applying the idea to 9–12 (using $2 \times Q$ instead \mathbf{Z}) we get in 12 an \aleph_0 -categorical theory.

Each C_i is constructed in ω -steps using I(1) to guarantee (iii) and D(4) to guarantee (iv). Now we apply our induction hypothesis to $A \cup C_i, A \cup C_i \cup (B \cap C_{i+1}), A \cup C_{i+1}$ (for A, B, C resp.). So let us define α_i and b_j ($\alpha_i \leq j < \alpha_{i+1}$) such that $B \cap C_{i+1} - (A \cup C_i) = \{b_j: \alpha_i \leq j < \alpha_{i+1}\}$, and $\text{tp}(b_j, A \cup C_i \cup \{b_\gamma: \alpha_i \leq \gamma < j\})$ is \mathbf{P}_i^* -isolated. If we show this type does not fork over $A \cup \{b_\gamma: \gamma < j\}$ we can conclude by I(7) that $\text{tp}(b_j, A \cup \{(b_\gamma: \gamma < j)\})$ is \mathbf{P}_i^* -constructible and then the theorem. To this end consider $\bar{c} \in C_i$; by I(2) as $\text{tp}(\bar{c}, B)$ does not fork over $B \cap C_i$, also $\text{tp}(\bar{c}, A \cup (B \cap C_{i+1}))$ does not fork over $B \cap C_i$. This implies (again by I(2)) that $\text{tp}(\bar{c}, A \cup \{b_\gamma: \gamma \leq j\})$ does not fork over $A \cup \{b_\gamma: \gamma < j\}$ so by I(5), $\text{tp}(b_j, A \cup \bar{c} \cup \{b_\gamma: \gamma < j\})$ does not fork over $A \cup \{b_\gamma: \gamma < j\}$. Now by I(3), $\text{tp}(b_j, A \cup C_i \cup \{b_\gamma: \gamma < j\})$ does not fork over $A \cup \{b_\gamma: \gamma < j\}$ whence by I(7), $\text{tp}(b_j, A \cup \{b_\gamma: \gamma < j\})$ is \mathbf{P}_i^* -isolated. So $\{b_\gamma: \gamma < \bigcup_{i < \lambda} \alpha_i\}$ demonstrate B is \mathbf{P}_i^* -constructible over A .

14. *Conclusion.* Suppose the conditions on T, λ, λ_0 from 13 are satisfied and over A there is \mathbf{P}_i^* -primary model M (i.e. $|M|$ is \mathbf{P}_i^* -constructible over A and \mathbf{P}_i^* -saturated). Then this is the unique \mathbf{P}_i^* -prime model over A . Note that for a countable stable T , we get uniqueness for \mathbf{P}_i^* -prime models by (a) and H.

PROOF. By D(1), M is \mathbf{P}_i^* -prime over A . If N is too then w.l.o.g. $N \prec M$ (as being \mathbf{P}_i^* -prime over A , N can be elementarily embedded into M over A), so 13, by N is \mathbf{P}_i^* -constructible over A , hence by G, N, M are isomorphic over A .

CONCLUDING REMARK. For those acquainted with [Sh 1] we remark (the number shows which place in this paper is relevant)

2. *Claim.* For T^I , every formula which is almost over A is equivalent to a formula over A .

5. LEMMA. T^I satisfies axioms XI 1, XII 1 for \mathbf{P}_i^a .

6. LEMMA. The lemma holds also for $x = a$.

13. LEMMA. The lemma holds for \mathbf{P}_i^a -construction too.

14. *Conclusion.* The conclusion holds for \mathbf{P}_i^a too.

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HEBREW UNIVERSITY
 JERUSALEM, ISRAEL

UNIVERSITY OF WISCONSIN
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