

Axiomatic theory of hereditarily finite sets and its  
fragments.

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## Abstract

Axiomatization of the theory of hereditarily finite sets in classical first-order logic is systematically explored and formalized. Our list of axioms includes the usual ones of the Zermelo-Fraenkel set theory, as well as some of their less usual variants and alternatives. The strongest theory considered is ZFfin, obtained from ZF by replacing the axiom of infinity with its negation and adding the axiom of transitive closure. Of particular interest are the axioms used in the set fragment of the Alternative Set Theory by Vopěnka [10, 7, 8, 9], which provide a different approach to axiomatizing ZFfin. The hierarchy of fragments of ZFfin is represented as a hierarchy of locales.

Set-theoretic membership, the only basic predicate in the language of the theory, is rendered as a polymorphic binary predicate. Accordingly, first-order formulas of this language are understood as predicates over that type. ZFfin is not finitely axiomatizable, so it is necessary to use axiom schemata. To that end, an inductive definition of set-theoretically definable predicates is introduced and their basic properties are elaborated.

A major aim of the formalization is to study several axioms of finiteness and to formalize the equivalence of the fragments in which these axioms are used. In particular, we formalize the equivalence of ZFfin and the set fragment of Vopěnka's Alternative Set Theory, where the latter uses the schema of induction for sets as a finiteness principle. Next to that, Tarski finiteness and Dedekind finiteness are used. The formalization also focuses on the axioms of transitive closure, regularity, and the axiom schema of epsilon induction and their interplay in the context of various fragments.

Hereditarily finite sets, previously formalized by Paulson, satisfy the theory ZFfin. To demonstrate independence of some statements, several non-standard models of specific fragments are constructed. We formalize the Beranys-Rieger method of permutation models, and using the construction of a model dating back to [6] we formalize the proof that neither the scheme of regularity nor the existence of a transitive closure follow from regularity for finite sets.

This formalization takes inspiration from various sources but does not follow closely any of them. In addition to already cited literature, it covers some results from [1], [2], [4] and [3].

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# Chapter 1

## Fragments of Zermelo-Fraenkel set theory without infinity

```
theory ZFfin
imports Main
begin
```

We explore axiomatizations of the theory of hereditarily finite sets, their fragments and relationships between them.

### 1.1 Preliminaries

```
lemma ex-or-iff-or [simp]:  $(\exists w. (w = x \vee w = y) \wedge P u w) \longleftrightarrow (P u x \vee P u y)$ 
  <proof>
lemma abstract-foundation-iff:  $((\exists x. P x) \longrightarrow (\exists x. B x \wedge P x)) \longleftrightarrow (\forall x. B x \longrightarrow \neg P x) \longrightarrow (\forall x. \neg P x)$ 
  <proof>
```

### 1.2 Signature

#### 1.2.1 Membership and basic set-theoretic notions

```
locale set-signature =
  fixes membership :: 'a  $\Rightarrow$  'a  $\Rightarrow$  bool (infix  $\varepsilon$  50)
```

```
begin
```

General relation between regularity schema and epsilon-induction scheme.  
Applying the above remark about B-induction and B-foundation

```
thm abstract-foundation-iff[of  $\lambda x. \neg P x \lambda x. (\forall y. y \varepsilon x \longrightarrow (P y))$ , unfolded not-not, symmetric]
```

**thm** *abstract-foundation-iff*[of  $\lambda y. P y \lambda x. (\forall y. y \varepsilon x \longrightarrow \neg (P y))$ , unfolded not-not]

## 1.2.2 Set theoretical notions

We use "M" (as in "Menge") for our defined versions of set-theoretical concepts, built upon membership.

**definition** *subsetM* :: 'a  $\Rightarrow$  'a  $\Rightarrow$  bool (-  $\subseteq_M$  - [51,51] 53) **where**  
*subsetM* x y  $\equiv (\forall z. z \varepsilon x \longrightarrow z \varepsilon y)$

**lemma** *subsetM-refl*[simp]: x  $\subseteq_M$  x  
 ⟨proof⟩

**lemma** *subsetM-trans*[simp]: **assumes** x  $\subseteq_M$  y y  $\subseteq_M$  z **shows** x  $\subseteq_M$  z  
 ⟨proof⟩

**definition** *proper-subsetM* :: 'a  $\Rightarrow$  'a  $\Rightarrow$  bool (-  $\subset_M$  - [50,50] 50) **where**  
*proper-subsetM* x y  $\equiv (\forall z::'a. z \varepsilon x \longrightarrow z \varepsilon y) \wedge x \neq y$

**named-theorems** *set-defs*

**lemmas**[*set-defs*] = *proper-subsetM-def subsetM-def*

**lemma** *proper-subset-def'*: x  $\subset_M$  y  $\longleftrightarrow$  x  $\subseteq_M$  y  $\wedge$  x  $\neq$  y  
 ⟨proof⟩

**lemma** *proper-subsetI*: x  $\subseteq_M$  y  $\Longrightarrow$  x  $\neq$  y  $\Longrightarrow$  x  $\subset_M$  y  
 ⟨proof⟩

**lemma** *proper-subsetM-irrefl*[simp]:  $\neg$  x  $\subset_M$  x  
 ⟨proof⟩

**definition** *transM*:: 'a  $\Rightarrow$  bool **where**  
*transM* x  $\equiv \forall y. y \varepsilon x \longrightarrow y \subseteq_M x$

Hilbert's description operator *The* is used to define sets that are determined by their elements. Resulting set-theoretic operations can and will be used in appropriate contexts only that guarantee the existence of corresponding sets, and their unicity (provable with extensionality).

**definition** *collectM* :: ('a  $\Rightarrow$  bool)  $\Rightarrow$  'a **where**  
*collectM* Q  $\equiv THE z. (\forall u. (u \varepsilon z \longleftrightarrow Q u))$

**definition** *emptysetM* ( $\emptyset$ ) **where**  
*emptysetM*  $\equiv collectM (\lambda x. x \neq x)$

**definition** *separationM* :: 'a  $\Rightarrow$  ('a  $\Rightarrow$  bool)  $\Rightarrow$  'a **where**  
*separationM* y Q  $\equiv collectM (\lambda u. u \varepsilon y \wedge Q u)$

**definition** *powersetM* :: 'a  $\Rightarrow$  'a ( $\mathfrak{P}$ ) **where**

$powersetM\ x \equiv collectM\ (\lambda\ u.\ u \subseteq_M x)$

**definition**  $binunionM :: 'a \Rightarrow 'a \Rightarrow 'a$  (**infixl**  $\cup_M$  55) **where**  
 $binunionM\ x\ y \equiv collectM\ (\lambda\ u.\ u \varepsilon x \vee u \varepsilon y)$

**definition**  $intersectionM :: 'a \Rightarrow 'a \Rightarrow 'a$  ( $-\ \cap_M -$  [55,54] 60) **where**  
 $intersectionM\ x\ y \equiv collectM\ (\lambda\ u.\ u \varepsilon x \wedge u \varepsilon y)$

**lemma**  $intersection-symm: x \cap_M y = y \cap_M x$   
*<proof>*

**definition**  $unionM :: 'a \Rightarrow 'a$  ( $\bigcup_M$ ) **where**  
 $unionM\ x \equiv collectM\ (\lambda\ u.\ (\exists\ v.\ v \varepsilon x \wedge u \varepsilon v))$

**definition**  $differenceM :: 'a \Rightarrow 'a \Rightarrow 'a$  ( $-\ \setminus_M -$ ) **where**  
 $differenceM\ x\ y \equiv collectM\ (\lambda\ u.\ u \varepsilon x \wedge \neg u \varepsilon y)$

**definition**  $singletonM :: 'a \Rightarrow 'a$  ( $\{-\}_M$  70) **where**  
 $singletonM\ x \equiv collectM\ (\lambda\ u.\ u = x)$

**definition**  $pairM :: 'a \Rightarrow 'a \Rightarrow 'a$  ( $\{-,-\}_M$  [51,51] 60) **where**  
 $pairM\ x\ y \equiv collectM\ (\lambda\ u.\ u = x \vee u = y)$

— Set successor. Also known as adjunction.

**definition**  $setsucM :: 'a \Rightarrow 'a \Rightarrow 'a$  (**suc**) **where**  
 $setsucM\ x\ y \equiv collectM\ (\lambda\ u.\ u \varepsilon x \vee u = y)$

**definition**  $replaceM :: ('a \Rightarrow 'a \Rightarrow bool) \Rightarrow 'a \Rightarrow 'a$  **where**  
 $replaceM\ P\ x \equiv collectM\ (\lambda\ u.\ \exists\ v.\ v \varepsilon x \wedge P\ v\ u)$

**definition**  $leastM :: ('a \Rightarrow bool) \Rightarrow 'a$  ( $\bigcap_M$ ) **where**  
 $leastM\ Q \equiv collectM\ (\lambda\ u.\ \forall\ y.\ Q\ y \longrightarrow u \varepsilon y)$

Least transitive superset

**definition**  $least-tsM :: 'a \Rightarrow 'a$  **where**  
 $least-tsM\ x = \bigcap_M (\lambda\ y.\ transM\ y \wedge x \subseteq_M y)$

**definition**  $ordered-pairM :: 'a \Rightarrow 'a \Rightarrow 'a$  ( $\langle -, - \rangle$  [51,51] 60) **where**  
 $ordered-pairM\ a\ b \equiv \{\{a\}_M, \{a,b\}_M\}_M$

**definition**  $relationM :: 'a \Rightarrow bool$  **where**  
 $relationM\ x \equiv \forall\ v.\ v \varepsilon x \longrightarrow (\exists\ a\ b.\ v = \langle a, b \rangle)$

**definition**  $rel-inverseM :: 'a \Rightarrow 'a$  **where**  
 $rel-inverseM\ r \equiv collectM\ (\lambda\ u.\ \exists\ a\ b.\ \langle a, b \rangle \varepsilon r \wedge u = \langle b, a \rangle)$

**definition**  $functionM :: 'a \Rightarrow bool$  **where**  
 $functionM\ x \equiv relationM\ x \wedge (\forall\ a\ b\ c.\ \langle a, b \rangle \varepsilon x \wedge \langle a, c \rangle \varepsilon x \longrightarrow b = c)$

**lemma** *funD*:  $\text{functionM } f \implies \langle a, b \rangle \varepsilon f \implies \langle a, c \rangle \varepsilon f \implies b = c$   
*<proof>*

**definition** *domM* :: 'a  $\Rightarrow$  'a **where**  
*domM* *r*  $\equiv$  *collectM* ( $\lambda u. \exists v. \langle u, v \rangle \varepsilon r$ )

**definition** *rngM* :: 'a  $\Rightarrow$  'a **where**  
*rngM* *r*  $\equiv$  *collectM* ( $\lambda u. \exists v. \langle v, u \rangle \varepsilon r$ )

**definition** *one-oneM* :: 'a  $\Rightarrow$  bool **where**  
*one-oneM* *f*  $\equiv$  *functionM* *f*  $\wedge$  ( $\forall a b c. \langle b, a \rangle \varepsilon f \wedge \langle c, a \rangle \varepsilon f \longrightarrow b = c$ )

**lemma** *one-one-inj*:  $\text{one-oneM } f \implies \langle b, a \rangle \varepsilon f \implies \langle c, a \rangle \varepsilon f \implies b = c$   
*<proof>*

**lemma** *one-oneI*: **assumes**  $\forall v. v \varepsilon f \longrightarrow (\exists a b. v = \langle a, b \rangle)$  ( $\forall a b c. \langle b, a \rangle \varepsilon f \wedge \langle c, a \rangle \varepsilon f \longrightarrow b = c$ )  
**shows** *one-oneM* *f*  
*<proof>*

**lemma** *one-oneD1*:  $\text{one-oneM } f \implies \forall v. v \varepsilon f \longrightarrow (\exists a b. v = \langle a, b \rangle)$   
*<proof>*

**lemma** *one-oneD2*:  $\text{one-oneM } f \implies (\forall a b c. \langle b, a \rangle \varepsilon f \wedge \langle c, a \rangle \varepsilon f \longrightarrow b = c)$   
*<proof>*

**lemma** *one-oneD3*:  $\text{one-oneM } f \implies (\forall a b c. \langle a, b \rangle \varepsilon f \wedge \langle a, c \rangle \varepsilon f \longrightarrow b = c)$   
*<proof>*

**definition** *set-equivalent* :: 'a  $\Rightarrow$  'a  $\Rightarrow$  bool ( $- \approx_M$  - [51,51] 52) **where**  
*set-equivalent* *x y*  $\equiv$  ( $\exists f. \text{one-oneM } f \wedge x = \text{domM } f \wedge y = \text{rngM } f$ )

**definition** *cartesian-productM* :: 'a  $\Rightarrow$  'a  $\Rightarrow$  'a ( $- \times_M$  - [51,51] 60) **where**  
*cartesian-productM* *x y*  $\equiv$  *collectM* ( $\lambda u. \exists v_1 v_2. v_1 \varepsilon x \wedge v_2 \varepsilon y \wedge u = \langle v_1, v_2 \rangle$ )

**definition** *composeM* :: 'a  $\Rightarrow$  'a  $\Rightarrow$  'a ( $- \circ_M$  - [51,51] 60) **where**  
*f*  $\circ_M$  *g* = *collectM* ( $\lambda u. \exists a b c. \langle a, b \rangle \varepsilon g \wedge \langle b, c \rangle \varepsilon f \wedge u = \langle a, c \rangle$ )

**definition** *tarski-fin* :: 'a  $\Rightarrow$  bool **where**  
*tarski-fin* *x*  $\equiv$   $\forall y. (\forall z. z \varepsilon y \longrightarrow z \subseteq_M x) \longrightarrow (\exists z. z \varepsilon y) \longrightarrow (\exists z. z \varepsilon y \wedge \neg(\exists w. w \varepsilon y \wedge z \subset_M w))$

**lemma** *tarski-subset-tarski*: **assumes** *tarski-fin* *x y*  $\subseteq_M x$  **shows** *tarski-fin* *y*  
*<proof>*

**definition** *dedekind-fin* :: 'a  $\Rightarrow$  bool **where**  
*dedekind-fin* *x*  $\equiv$   $\forall y. (y \subset_M x \longrightarrow \neg x \approx_M y)$

— *x* is regular if it contains no infinite  $\varepsilon$ -decreasing chain as a subset

**definition** *regular* :: 'a ⇒ bool **where**

*regular*  $x \equiv \forall y. y \subseteq_M x \longrightarrow (\exists z. z \varepsilon y) \longrightarrow (\exists z. z \varepsilon y \wedge (\forall v. \neg (v \varepsilon z \wedge v \varepsilon y)))$

— Ordinals and natural numbers

**definition** *epschain* :: 'a ⇒ bool **where**

*epschain*  $x \equiv \text{trans}M\ x \wedge (\forall y\ z. y \varepsilon x \wedge z \varepsilon x \longrightarrow y \varepsilon z \vee y = z \vee z \varepsilon y)$

— In theories that do not rely on the regularity axiom, ordinals are explicitly assumed not to contain infinite  $\varepsilon$ -decreasing chains

**definition** *ordM* :: 'a ⇒ bool **where**

*ordM*  $x \equiv \text{epschain}\ x \wedge \text{regular}\ x$

**lemma** *ordM-I*: *regular*  $x \implies \text{epschain}\ x \implies \text{ordM}\ x$

*<proof>*

**lemma** *ordM-regular[simp]*: *ordM*  $x \implies \text{regular}\ x$

*<proof>*

**lemma** *ordM-D1*: *ordM*  $x \implies y \varepsilon x \implies y \subseteq_M x$

*<proof>*

**lemma** *ordM-trans*: **assumes** *ordM*  $v$   $w \varepsilon u$   $u \varepsilon v$  **shows**  $w \varepsilon v$

*<proof>*

**lemma** *ordM-D2*: *ordM*  $x \implies y \varepsilon x \implies z \varepsilon x \implies y \varepsilon z \vee y = z \vee z \varepsilon y$

*<proof>*

**definition** *is-sucM* :: 'a ⇒ bool **where**

*is-sucM*  $x \equiv \exists y. (\forall z. z \varepsilon x \longleftrightarrow z \varepsilon y \vee z = y)$

— A natural number is an ordinal  $x$  such that:  $x$  and all its elements are either empty or a successor

**definition** *natM* :: 'a ⇒ bool **where**

*natM*  $x \equiv \text{ordM}\ x \wedge (\forall v. (v \varepsilon x \vee v = x) \longrightarrow (\exists u. u \varepsilon v) \longrightarrow \text{is-sucM}\ v)$

**lemma** *natM-I*: *ordM*  $x \implies \text{is-sucM}\ x \implies (\bigwedge v. \exists u. u \varepsilon v \implies v \varepsilon x \implies \text{is-sucM}\ v) \implies \text{natM}\ x$

*<proof>*

**lemma** *nat-is-suc*: *natM*  $x \implies \exists u. u \varepsilon x \implies \text{is-sucM}\ x$

*<proof>*

**lemma** *nat-mem-is-suc*: *natM*  $x \implies v \varepsilon x \implies \exists u. u \varepsilon v \implies \text{is-sucM}\ v$

*<proof>*

**lemma** *natM-D*: *natM*  $x \implies \text{ordM}\ x$

*<proof>*

**definition** *cardinality* :: 'a ⇒ 'a ⇒ bool **where**

*cardinality* x n ≡ natM n ∧ x ≈<sub>M</sub> n

**lemmas**[*set-defs*] = *transM-def epschain-def ordM-def tarski-fin-def is-sucM-def natM-def functionM-def relationM-def one-oneM-def rngM-def domM-def regular-def cardinality-def set-equivalent-def*

### 1.2.3 Set relations and properties

We represent a set formula as the predicate it defines. A predicate assigns truth values to assignments. We consider countably many variables  $x_i$ , represented by natural numbers. An assignment maps variables to elements of the domain, i.e., it maps *nat* to 'a. Predicates defined by set formulas are defined inductively.

**inductive** *SetFormulaPredicate* :: ((nat ⇒ 'a) ⇒ bool) ⇒ bool

**where**

*SFP-mem*:  $\bigwedge m n. \text{SetFormulaPredicate } (\lambda \Xi. (\exists m) \varepsilon (\exists n))$  — formula  $x_m \varepsilon x_n$   
| *SFP-eq*:  $\bigwedge m n. \text{SetFormulaPredicate } (\lambda \Xi. (\exists m) = (\exists n))$  — formula  $x_m = x_n$   
| *SFP-neg*:  $\text{SetFormulaPredicate } P \implies \text{SetFormulaPredicate } (\lambda \Xi. \neg P \Xi)$  — formula  $\neg \varphi$   
| *SFP-disj*:  $\text{SetFormulaPredicate } P \implies \text{SetFormulaPredicate } Q \implies \text{SetFormulaPredicate } (\lambda \Xi. P \Xi \vee Q \Xi)$  — formula  $\varphi \vee \psi$   
| *SFP-all*:  $\bigwedge n. \text{SetFormulaPredicate } P \implies \text{SetFormulaPredicate } (\lambda \Xi. \forall a. P (\exists(n:=a)))$  — formula  $\forall x_n. \varphi$

**named-theorems** *SFP-rules*

**lemmas**[*SFP-rules*] = *SFP-mem SFP-eq SFP-neg SFP-disj SFP-all*

Every set-theoretically definable predicate depends on finitely many values. Such values correspond to free variables.

**lemma** *bounded-free*: **assumes** *SetFormulaPredicate* P

**shows**  $\exists m. \forall \Xi \Xi'. (\forall i < m. \Xi i = \Xi' i) \longrightarrow P(\Xi) = P(\Xi')$

*<proof>*

**lemma** *transform-variables*: **assumes** *SetFormulaPredicate* P

**shows** *SetFormulaPredicate*  $(\lambda \Xi. P (\lambda n. \Xi(f n)))$

*<proof>*

**lemma** *update-variable[intro]*: **assumes** *SetFormulaPredicate* P

**shows** *SetFormulaPredicate*  $(\lambda \Xi. P(\exists(n:= \Xi m)))$

*<proof>*

**lemma** *swap-variables*: **assumes** *SetFormulaPredicate* P

**shows** *SetFormulaPredicate*  $(\lambda \Xi. P (\exists(k := \Xi l, l := \Xi k)))$

*<proof>*

A rule allowing to get rid of quantifiers when proving that a predicate is a *SetFormulaPredicate*

**lemma** *sfp-all-rule4* [*SFP-rules*]: **assumes**  $\bigwedge m. \text{SetFormulaPredicate } (\lambda \Xi. Q (\Xi m) (\Xi k1) (\Xi k2) (\Xi k3) (\Xi k4))$

**shows**  $\text{SetFormulaPredicate } (\lambda \Xi. \forall y. Q y (\Xi k1) (\Xi k2) (\Xi k3) (\Xi k4))$   
 $\langle \text{proof} \rangle$

**named-theorems** *logsimps*

**lemmas**[*logsimps*] = *not-not*

**lemma** *reduce-ex* [*logsimps*]:  $(\lambda \Xi. (\exists z. Q z \Xi)) = (\lambda \Xi. \neg (\forall z. \neg (Q z \Xi)))$   
 $\langle \text{proof} \rangle$

**lemma** *reduce-and* [*logsimps*]:  $(\lambda \Xi. (P \Xi) \wedge (Q \Xi)) = (\lambda \Xi. (\neg ((\neg (P \Xi)) \vee (\neg (Q \Xi)))))$   
 $\langle \text{proof} \rangle$

**lemma** *reduce-imp*[*logsimps*]:  $(\lambda \Xi. (P \Xi) \longrightarrow (Q \Xi)) = (\lambda \Xi. (\neg (P \Xi) \vee (Q \Xi)))$   
 $\langle \text{proof} \rangle$

**lemma** *reduce-iff*[*logsimps*]:  $(\lambda \Xi. (P \Xi) \longleftrightarrow (Q \Xi)) = (\lambda \Xi. \neg (\neg (\neg P \Xi \vee Q \Xi) \vee \neg (\neg Q \Xi \vee P \Xi)))$   
 $\langle \text{proof} \rangle$

**lemma** *SFP-const*[*intro,simp*]:  $\text{SetFormulaPredicate } (\lambda \Xi. b)$   
 $\langle \text{proof} \rangle$

**lemma** *SFP-ex*: **assumes**  $\text{SetFormulaPredicate } P$  **shows**  $\text{SetFormulaPredicate } (\lambda \Xi. (\exists z. P (\Xi (m := z))))$   
 $\langle \text{proof} \rangle$

**lemma** *SFP-replace*: **assumes**  $\text{SetFormulaPredicate } P$  **and** *fresh-m*:  $\forall \Xi \Xi'. (\forall i < m. \Xi i = \Xi' i) \longrightarrow P \Xi = P \Xi'$

**shows**  $\text{SetFormulaPredicate}(\lambda \Xi. \exists z. \forall v. (v \varepsilon z) = (\exists u. u \varepsilon \Xi m \wedge P (\Xi (0:=u, 1:=v))))$   
 $\langle \text{proof} \rangle$

A (binary) relation is set-theoretically definable if the predicate it defines by assigning values to variables  $x_0$  and  $x_1$  is set-theoretically definable. The value of the relation therefore cannot depend on other variables than  $x_0$  and  $x_1$ . In other words, if a formula  $\varphi$  defining a set-theoretically definable relation contains a free variable  $x_k$ ,  $1 < k$ , then it is equivalent to  $\forall x_k. \varphi$

**definition** *SetRelation* ::  $('a \Rightarrow 'a \Rightarrow \text{bool}) \Rightarrow \text{bool}$

**where**

$\text{SetRelation } P \equiv \text{SetFormulaPredicate } (\lambda \Xi. P (\Xi 0) (\Xi 1))$

A set-theoretically definable property is defined similarly.

**definition** *SetProperty* ::  $('a \Rightarrow \text{bool}) \Rightarrow \text{bool}$

**where**

$\text{SetProperty } P \equiv \text{SetFormulaPredicate } (\lambda \Xi. P (\Xi 0))$

## Auxiliary proofs for specific useful set-relations and set-properties

**lemma** *SR-neg*[simp, intro]: *SetRelation*  $P \implies \text{SetRelation } (\lambda x y. \neg P x y)$   
*<proof>*

**lemma** *SR-sym*[simp, intro]: **assumes** *SetRelation*  $P$  **shows** *SetRelation*  $(\lambda x y. P y x)$   
*<proof>*

**lemma** *SR-neq*[simp]: *SetRelation*  $(\neq)$   
*<proof>*

**lemma** *SP-const*[simp]: *SetProperty*  $(\lambda x. b)$   
*<proof>*

**lemma** *SP-neg*[simp, intro]: *SetProperty*  $P \implies \text{SetProperty } (\lambda x. \neg P x)$   
*<proof>*

**lemma** *SP-tarski*[simp]: *SetProperty* *tarski-fin*  
*<proof>*

**lemma** *SP-setsuc*[simp]: *SetProperty* *is-sucM*  
*<proof>*

**lemma** *SP-nat*[simp]: *SetProperty* *natM*  
*<proof>*

**lemma** *empty-mem-ord'*: **assumes** *ordM*  $x \exists z. z \in x$   
**shows**  $\exists \text{ emp. } (\forall u. \neg u \in \text{emp}) \wedge \text{emp} \in x$   
*<proof>*

**end**

## 1.3 Axiomatizations of hereditarily finite sets

### 1.3.1 Finiteness axioms

The aim of each of the axioms is to guarantee that each element of the domain will be finite.

Usual axiom: there is no inductive set.

**locale** *L-fin* = *set-signature* +  
**assumes** *fin*:  $\neg (\exists x. \emptyset \in x \wedge (\forall y. y \in x \longrightarrow \text{setsucM } y y \in x))$

Induction schema for set formulas, a.k.a. set induction schema or just set induction. Not to be confused with epsilon induction.

**locale** *L-setind* = *set-signature* +  
**assumes** *setind*:  $\bigwedge P. \text{SetFormulaPredicate } P \implies$

$P(\exists(0:= \emptyset)) \longrightarrow (\forall x y. P(\exists(0:= x)) \longrightarrow P(\exists(0:= \text{setsucM } x y))) \longrightarrow (\forall x. P(\exists(0:= x)))$

**begin**

**lemma** *setind-SP*: **assumes** *SetProperty P* **and**  $P \emptyset$  **and** *step*:  $\forall x y. P x \longrightarrow P(\text{setsucM } x y)$

**shows**  $P x$

*<proof>*

**lemma** *setind-var*: **assumes** *SetFormulaPredicate P*  $P(\exists(n:= \emptyset))$  **and** *step*:  $\forall x y. P(\exists(n:= x)) \longrightarrow P(\exists(n:= \text{setsucM } x y))$

**shows**  $P(\exists(n:= x))$

*<proof>*

**end**

**locale** *L-dedekind* = *set-signature* +

**assumes** *dedekind*:  $\forall x. \text{dedekind-fin } x$

**locale** *L-tarski* = *set-signature* +

**assumes** *tarski*:  $\forall y. \text{tarski-fin } y$

### 1.3.2 Extensionality

**locale** *L-setext* = *set-signature* +

**assumes** *setext*:  $x = y \longleftrightarrow (\forall z. z \varepsilon x \longleftrightarrow z \varepsilon y)$

**begin**

set in HOL is defined as a class. Therefore, the following comprehension is an axiom.

**lemma**  $x \in \{u. P u\} \longleftrightarrow P x$

*<proof>*

In case of (our) M-sets, only uniqueness, not existence is guaranteed by extensionality.

**lemma** *collect-def'*:

**assumes**  $\forall u. (u \varepsilon w \longleftrightarrow Q u)$

**shows**  $\text{collectM } Q = w$

*<proof>*

**lemma** *collect-def-ex*: — A formulation useful in proofs

**assumes**  $\exists w. \forall u. (u \varepsilon w \longleftrightarrow Q u)$

**shows**  $u \varepsilon \text{collectM } Q \longleftrightarrow Q u$

*<proof>*

**lemma** *proper-subset-diff[simp]* :  $y \subset_M x \implies \exists z. z \varepsilon x \wedge \neg z \varepsilon y$

*<proof>*

**lemma** *subsetM-antisym*:  $y \subseteq_M x \implies x \subseteq_M y \implies x = y$   
*<proof>*

**lemma** *proper-subsetM-trans[simp]*: **assumes**  $x \subset_M y$   $y \subset_M z$  **shows**  $x \subset_M z$   
*<proof>*

**lemma** *emptyset-mem-ord*: **assumes**  $\text{ordM } x$   $\exists z. z \in x$  **shows**  $\emptyset \in x$   
*<proof>*

**end**

### 1.3.3 Empty set

**locale** *L-empty = set-signature +*  
**assumes** *empty*:  $\exists x. \forall y. (\neg y \in x)$

Since the empty set is defined *collectM*, and hence Hilbert's *The*, nothing useful can be said about  $\emptyset$  without extensionality.

**locale** *L-setext-empty = L-setext + L-empty*

**begin**

— Here we can already prove that  $\emptyset$ , has the intended meaning.

**lemma** *empty-is-empty[simp]*:  $\forall y. (\neg y \in \emptyset)$   
*<proof>*

**lemma** *emptyset-def'[set-defs]*:  $x = \emptyset \iff (\forall u. \neg u \in x)$   
*<proof>*

**lemma** *empty-mem-false [set-defs]*:  $u \in \emptyset \iff \text{False}$   
*<proof>*

**lemma** *setsuc-empty-sing*:  $\text{setsucM } \emptyset x = \{x\}_M$   
*<proof>*

**lemma** *SFP-empty-n [simp]*: *SetFormulaPredicate*  $(\lambda \Xi. \Xi n = \emptyset)$   
*<proof>*

**lemma** *SP-empty[simp]*: *SetProperty*  $(\lambda x. x = \emptyset)$   
*<proof>*

**lemma** *SFP-empty-n' [simp]*: *SetFormulaPredicate*  $(\lambda \Xi. \forall u. \neg u \in \Xi n)$   
*<proof>*

**lemma** *empty-dedekind[simp]*: **shows** *dedekind-fin*  $\emptyset$   
*<proof>*

**lemma** *subset-of-empty[simp]*:  $u \subseteq_M \emptyset \iff u = \emptyset$   
*<proof>*

**lemma** *empty-tarski*[simp]: **shows** *tarski-fin*  $\emptyset$   
*<proof>*

**lemma** *nemp-setI*[intro]:  $x \in y \implies y \neq \emptyset$   
*<proof>*

**lemma** *nemp-setI-ex*:  $\exists x. x \in y \implies y \neq \emptyset$   
*<proof>*

**lemma** *empty-is-subset*:  $\emptyset \subseteq_M A$   
*<proof>*

**lemma** *empty-regular*[simp]: *regular*  $\emptyset$   
*<proof>*

**lemma** *empty-trans*[simp]: *transM*  $\emptyset$   
*<proof>*

**lemma** *emp-natM*[simp]: *natM*  $\emptyset$   
*<proof>*

**lemma** *binunion-emp*[simp]:  $\emptyset \cup_M t = t \cup_M \emptyset = t$   
*<proof>*

**end**

### 1.3.4 Set pair

Pairing is a simple set construction which can be easily obtained by set successor and empty set. It is interesting on its own, in particular in a context without the empty set axiom.

**locale** *L-pair* = *set-signature* +  
**assumes** *pair*:  $\forall x y. \exists z. \forall v. v \in z \longleftrightarrow v = x \vee v = y$

**locale** *L-setext-pair* = *L-setext* + *L-pair*

**begin**

**lemma** *singleton-def*'[*set-defs*]:  $u \in \{y\}_M \longleftrightarrow u = y$   
*<proof>*

**lemma** *singleton-eq*[*set-defs*]:  $u = \{y\}_M \longleftrightarrow (\forall v. v \in u \longleftrightarrow v = y)$   
*<proof>*

**lemma** *pair-def*'[*set-defs*]:  $u \in \{x,y\}_M \longleftrightarrow u = x \vee u = y$   
*<proof>*

**lemma** *pair-eq* [*set-defs*]:  $w = \{x,y\}_M \longleftrightarrow (\forall u. (u \in w) \longleftrightarrow u = x \vee u = y)$

*<proof>*

**lemma** *regular-not-self-mem*: **assumes** *regular x* **shows**  $\neg x \in x$   
*<proof>*

**lemma** *ordered-pair-unique[simp]*:  $\langle u, v \rangle = \langle u', v' \rangle \longleftrightarrow u = u' \wedge v = v'$   
*<proof>*

**lemma** *sing-eq-iff*:  $\{a\}_M = \{b\}_M \longleftrightarrow a = b$   
*<proof>*

**lemma** *sing-eq-pair-iff*:  $\{a\}_M = \{b, c\}_M \longleftrightarrow a = b \wedge b = c$   
*<proof>*

**lemma** *sing-eq-pair-iff'*:  $\{b, c\}_M = \{a\}_M \longleftrightarrow a = b \wedge b = c$   
*<proof>*

**lemma** *SFP-mem-ordered-pair[SFP-rules]*: *SetFormulaPredicate* ( $\lambda \Xi. \exists k \in \langle \Xi l, \Xi m \rangle$ )  
*<proof>*

**lemma** *SFP-eq-ordered-pair [SFP-rules]*: *SetFormulaPredicate* ( $\lambda \Xi. \exists k = \langle \Xi l, \Xi m \rangle$ )  
*<proof>*

**lemma** *SFP-ordered-pair-mem[SFP-rules]*: *SetFormulaPredicate* ( $\lambda \Xi. \langle \exists k, \exists l \rangle \in \Xi m$ )  
*<proof>*

**end**

### 1.3.5 Set successor

Also known as adjunction. Enables constructing sets in steps. This axiom plays an important role in the fragment of set theory axiomatized by extensionality, empty set and set successor (see *L-setext-empty-setsuc* below), mutually interpretable with Robinson's arithmetic Q.

**locale** *L-setsuc* = *set-signature* +  
**assumes** *setsuc*:  $\forall x y. \exists z. \forall u. u \in z \longleftrightarrow u \in x \vee u = y$

**locale** *L-setext-setsuc* = *L-setext* + *L-setsuc*  
— some statements do not need the empty set

**begin**

**lemma** *setsuc-def'[set-defs, simp]*:  $u \in \text{setsuc } M \ x \ y \longleftrightarrow (u \in x \vee u = y)$   
*<proof>*

**lemma** *setsuc-triv[simp]*:  $y \in x \implies \text{setsucM } x \ y = x$   
*<proof>*

**lemma** *is-suc-def'*:  $\text{is-sucM } x \longleftrightarrow (\exists y. x = \text{setsucM } y \ y)$   
*<proof>*

**lemma** *trans-suc-trans*:  $\text{transM } x \implies \text{transM } (\text{setsucM } x \ x)$   
*<proof>*

**lemma** *epschain-suc-epschain*:  $\text{epschain } x \implies \text{epschain } (\text{setsucM } x \ x)$   
*<proof>*

**lemma** *ord-pred-fun*: **assumes**  $\text{ordM } x \ \text{ordM } y$   $\text{setsucM } x \ x = \text{setsucM } y \ y$   
**shows**  $x = y$   
*<proof>*

**lemma** *SFP-setsuc-mem[SFP-rules]*: *SetFormulaPredicate*  $(\lambda \Xi. \exists k \in \text{setsucM } (\exists l) (\exists m))$   
*<proof>*

**lemma** *SFP-setsuc-eq[SFP-rules]*: *SetFormulaPredicate*  $(\lambda \Xi. \exists k = \text{setsucM } (\exists l) (\exists m))$   
*<proof>*

**end**

**locale** *L-empty-setsuc* = *L-empty* + *L-setsuc*  
— some statements do not need extensionality

**begin**

**sublocale** *L-pair*  
*<proof>*

**lemma** *singleton-setsuc*: **shows**  $\exists y. \forall u. u \in y \longleftrightarrow u = z$   
*<proof>*

**lemma** *pair-setsuc*: **shows**  $\exists y. \forall u. u \in y \longleftrightarrow u = z_1 \vee u = z_2$   
*<proof>*

**lemma** *triple-setsuc*: **shows**  $\exists y. \forall u. u \in y \longleftrightarrow u = z_1 \vee u = z_2 \vee u = z_3$   
*<proof>*

**lemma** *regular-antisym-mem*: **assumes**  $\text{regular } x \ z_1 \in x \ z_2 \in x$  **shows**  $\neg (z_1 \in z_2 \wedge z_2 \in z_1)$   
*<proof>*

**lemma** *regular-antisym2-mem*: **assumes**  $\text{regular } x \ z_1 \in x \ z_2 \in x \ z_3 \in x$  **shows**  $\neg$

$(z_1 \varepsilon z_2 \wedge z_2 \varepsilon z_3 \wedge z_3 \varepsilon z_1)$   
 $\langle proof \rangle$

**lemma** *ord-mem-ord*: **assumes**  $ordM\ v\ u \varepsilon\ v$  **shows**  $ordM\ u$   
 $\langle proof \rangle$

**end**

**locale** *L-setext-empty-setsuc* = *L-setext* + *L-empty* + *L-setsuc*

**begin**

**sublocale** *L-setext-empty*  
 $\langle proof \rangle$

**sublocale** *L-setext-setsuc*  
 $\langle proof \rangle$

**sublocale** *L-empty-setsuc*  
 $\langle proof \rangle$

**sublocale** *L-setext-pair*  
 $\langle proof \rangle$

**lemma** *empty-mem-ord*: **assumes**  $ordM\ x\ x \neq \emptyset$  **shows**  $\emptyset \varepsilon x$   
 $\langle proof \rangle$

**lemma** *SP-injective* [*simp*]: *SetProperty*  $(\lambda x. \forall a\ b\ c. \langle b, a \rangle \varepsilon x \wedge \langle c, a \rangle \varepsilon x \longrightarrow b = c)$   
 $\langle proof \rangle$

**lemma** *SP-unique-image* [*simp*]: *SetProperty*  $(\lambda x. \forall a\ b\ c. \langle a, b \rangle \varepsilon x \wedge \langle a, c \rangle \varepsilon x \longrightarrow b = c)$   
 $\langle proof \rangle$

**lemma** *SFP-compose* [*simp, intro*]: *SetFormulaPredicate*  $(\lambda \Xi. \exists a\ b\ c. \langle a, b \rangle \varepsilon \Xi\ k \wedge \langle b, c \rangle \varepsilon \Xi\ l \wedge \Xi\ m = \langle a, c \rangle)$   
 $\langle proof \rangle$

**lemma** *SP-function* [*simp*]: *SetProperty*  $(\lambda x. functionM\ x)$   
 $\langle proof \rangle$

**lemma** *SP-one-one* [*simp*]: *SetProperty*  $(\lambda x. one-oneM\ x)$   
 $\langle proof \rangle$

**lemma** *dom-SR* [*simp*]: *SetRelation*  $(\lambda x\ u. \exists w. x = \langle u, w \rangle)$   
 $\langle proof \rangle$

**lemma** *rng-SR* [*simp*]: *SetRelation*  $(\lambda x\ u. \exists w. x = \langle w, u \rangle)$

*<proof>*

**end**

**locale** *L-binunion* = *set-signature* +  
**assumes** *binunion*:  $\forall x y. \exists z. \forall v. v \varepsilon z \longleftrightarrow (v \varepsilon x \vee v \varepsilon y)$

**locale** *L-setext-binunion* = *L-setext* + *L-binunion*

**begin**

**lemma** *binunion-def*[*set-defs*]:  $u \varepsilon x \cup_M y \longleftrightarrow u \varepsilon x \vee u \varepsilon y$   
*<proof>*

**end**

**locale** *L-setext-pair-binunion* = *L-setext* + *L-pair* + *L-binunion*

— A specific minimalist combination of axioms that guarantees the existence of both ordered pair and set successor

**begin**

**sublocale** *L-setext-binunion*  
*<proof>*

**sublocale** *L-setext-pair*  
*<proof>*

**sublocale** *L-setsuc*  
*<proof>*

**sublocale** *L-setext-setsuc*  
*<proof>*

**lemma** *SFP-ordered-pair-setsuc-eq*[*SFP-rules*]: *SetFormulaPredicate* ( $\lambda \Xi. \exists k =$   
 $\langle \Xi l, \text{setsucM } (\Xi m) (\Xi n) \rangle$ )  
*<proof>*

**end**

### 1.3.6 Regularity

**locale** *L-reg* = *set-signature* +  
**assumes** *reg*:  $\forall x. (\exists y. y \varepsilon x) \longrightarrow (\exists y. y \varepsilon x \wedge (\forall v. \neg (v \varepsilon y \wedge v \varepsilon x)))$

**begin**

**lemma** *any-reg*[*simp*]: *regular* *x*

*<proof>*

Note that  $\neg x \varepsilon x$  cannot be proved without existence of a singleton.

**end**

**lemma** (in *set-signature*) *reg-all-regular-iff*:

$L\text{-reg } (\varepsilon) \longleftrightarrow (\forall x. \text{regular } x)$

*<proof>*

Schema of regularity

**locale** *L-regs* = *set-signature* +

**assumes** *regs*:  $\text{SetFormulaPredicate } P \implies (\exists x. P (\exists (0:=x))) \longrightarrow (\exists x. P (\exists (0:=x)) \wedge (\forall y. y \varepsilon x \longrightarrow \neg P (\exists (0:=y))))$

**begin**

*regs* is stronger than normal regularity in the absence of infinity axiom, since one cannot prove the existence of transitive supersets/closures. See *not-reg-setind-implies-regs* in *ZFfin-regs-model.thy*

**sublocale** *L-reg*

*<proof>*

**lemma** *regs-epsind*:

$\text{SetFormulaPredicate } Q \implies (\forall x. (\forall y. (y \varepsilon x \longrightarrow Q (\exists (0:=y)))) \longrightarrow Q (\exists (0:=x))) \longrightarrow (\forall x. Q (\exists (0:=x)))$

*<proof>*

**lemma** *regs-mem-not-refl*:  $\neg u \varepsilon u$

*<proof>*

**end**

Epsilon induction schema is logically equivalent to the regularity schema (that is, regardless of what  $\varepsilon$  means), see  $((\exists x. ?P x) \longrightarrow (\exists x. ?B x \wedge ?P x)) = ((\forall x. ?B x \longrightarrow \neg ?P x) \longrightarrow (\forall x. \neg ?P x))$  above.

**locale** *L-epsind* = *set-signature* +

**assumes** *epsind*:  $\text{SetFormulaPredicate } Q \implies (\forall x. (\forall y. (y \varepsilon x \longrightarrow Q (\exists (0:=y)))) \longrightarrow Q (\exists (0:=x))) \longrightarrow (\forall x. Q (\exists (0:=x)))$

**begin**

**lemma** *epsind-regs*: **assumes**  $\text{SetFormulaPredicate } P \exists x. P (\exists (0:=x))$

**shows**  $\exists x. P (\exists (0:=x)) \wedge (\forall y. y \varepsilon x \longrightarrow \neg P (\exists (0:=y)))$

*<proof>*

**sublocale** *L-regs*

*<proof>*

**end**

### 1.3.7 Separation

Separation is often an alternative to set successor. It allows one to construct “from above” many sets that set successor builds “from below”.

**locale** *L-sep* = *set-signature* +

**assumes** *sep*: *SetFormulaPredicate*  $P \implies \forall x. \exists z. \forall u. (u \in z \longleftrightarrow u \in x \wedge P (\exists(\theta:= u)))$

**begin**

**sublocale** *L-empty*

*<proof>*

**lemma** *sep-var*: **assumes** *SetFormulaPredicate*  $P$  **shows**  $\forall x. \exists z. \forall u. (u \in z \longleftrightarrow u \in x \wedge P (\exists(n:= u)))$

*<proof>*

**lemma** *sep-SP*: **assumes** *SetProperty*  $P$  **shows**  $\forall x. \exists z. \forall u. (u \in z \longleftrightarrow u \in x \wedge P u)$

*<proof>*

**lemma** *sep-SR*: **assumes** *SetRelation*  $P$  **shows**  $\forall x. \exists z. \forall u. (u \in z \longleftrightarrow u \in x \wedge P u r)$

*<proof>*

**lemma** *singleton-sep*: **assumes**  $z \in x$

**shows**  $\exists y. \forall u. u \in y \longleftrightarrow u = z$

*<proof>*

**lemma** *pair-sep*: **assumes**  $z_1 \in x \ z_2 \in x$

**shows**  $\exists y. \forall u. u \in y \longleftrightarrow u = z_1 \vee u = z_2$

*<proof>*

**lemma** *triple-sep*: **assumes**  $z_1 \in x \ z_2 \in x \ z_3 \in x$

**shows**  $\exists y. \forall u. u \in y \longleftrightarrow u = z_1 \vee u = z_2 \vee u = z_3$

*<proof>*

**lemma** *regular-not-self-mem-sep*: **assumes** *regular*  $x$  **shows**  $\neg x \in x$

*<proof>*

**lemma** *regular-antisym-mem-sep*: **assumes** *regular*  $x \ y_1 \in x \ y_2 \in x$  **shows**  $\neg (y_1 \in y_2 \wedge y_2 \in y_1)$

*<proof>*

**lemma** *regular-antisym2-mem-sep*: **assumes** *regular*  $x \ y_1 \in x \ y_2 \in x \ y_3 \in x$  **shows**  $\neg (y_1 \in y_2 \wedge y_2 \in y_3 \wedge y_3 \in y_1)$

*<proof>*

**lemma** *ord-mem-ord-sep*: **assumes** *ordM*  $v \ u \in v$  **shows** *ordM*  $u$

*<proof>*

**end**

The interest of this locale is to investigate intersections of various kinds.

**locale** *L-setext-sep* = *L-setext* + *L-sep*

**begin**

**sublocale** *L-setext-empty*

*<proof>*

**lemma** *separ-def-SFP*: **assumes** *SetFormulaPredicate P*

**shows**  $u \varepsilon \text{separationM } y (\lambda x. P(\exists(n:=x))) \longleftrightarrow (u \varepsilon y \wedge (P(\exists(n:=u))))$

*<proof>*

**lemma** *separ-def-SP*: **assumes** *SetProperty P*

**shows**  $u \varepsilon \text{separationM } y (\lambda x. P x) \longleftrightarrow (u \varepsilon y \wedge P u)$

*<proof>*

**lemma** *separ-def-SR*: **assumes** *SetRelation P*

**shows**  $u \varepsilon \text{separationM } y (\lambda x. P x r) \longleftrightarrow (u \varepsilon y \wedge P u r)$

*<proof>*

**lemma** *least-def'*:

**assumes**  $Q(\exists(n:=w))$  **and** *SetFormulaPredicate Q*

**shows**  $u \varepsilon \bigcap_M (\lambda x. Q(\exists(n:=x))) \longleftrightarrow (\forall y. Q(\exists(n:=y))) \longrightarrow u \varepsilon y$

*<proof>*

**lemma** *least-def-ex*:

$\exists w. Q(\exists(n:=w)) \implies \text{SetFormulaPredicate } Q \implies$

$u \varepsilon \bigcap_M (\lambda x. Q(\exists(n:=x))) \longleftrightarrow (\forall y. Q(\exists(n:=y))) \longrightarrow u \varepsilon y$

*<proof>*

**lemma** *intersection-def'[set-defs]*:  $z \varepsilon x \cap_M y \longleftrightarrow z \varepsilon x \wedge z \varepsilon y$

*<proof>*

**lemma** *intersect-subset*:  $x \cap_M y \subseteq_M x \cap_M y \subseteq_M y$

*<proof>*

**lemma** *intersect-regular*: **assumes** *regular x regular y*

**shows** *regular*  $(x \cap_M y)$

*<proof>*

**lemma** *intersect-transM*: **assumes** *transM x transM y*

**shows** *transM*  $(x \cap_M y)$

*<proof>*

**lemma** *intersect-epschain*: **assumes** *epschain x epschain y*

**shows** *epschain* ( $x \cap_M y$ )  
*<proof>*

**lemma** *intersect-ordM*: **assumes** *ordM*  $x$  *ordM*  $y$   
**shows** *ordM* ( $x \cap_M y$ )  
*<proof>*

**lemma** *ordM-subset-mem*: **assumes** *ordM*  $x$  *ordM*  $y$   $y \subset_M x$   
**shows**  $y \in x$   
*<proof>*

**lemma** *ordM-total*: **assumes** *ordM*  $x$  *ordM*  $y$   
**shows**  $x \in y \vee y \in x \vee x = y$   
*<proof>*

**lemma** *nat-mem-nat*: **assumes** *natM*  $v$   $u \in v$  **shows** *natM*  $u$   
*<proof>*

**lemma** *set-of-ords-regular*: **assumes**  $\forall y. y \in s \longrightarrow \text{ordM } y$   
**shows** *regular*  $s$   
*<proof>*

**lemma** *intersect-natM*: **assumes** *natM*  $x$  *natM*  $y$   
**shows** *natM* ( $x \cap_M y$ )  
*<proof>*

**end**

**locale** *L-setext-setsuc-sep* = *L-setext* + *L-setsuc* + *L-sep*

**begin**

We want to prove that ordinals are closed under the successor operation. However, regularity is a problem. It is not necessarily preserved by taking successors.

Separation is needed to avoid the following pathological situation: consider an epschain  $C = \{c_z \mid z \in \mathbb{Z}\}$  of type  $\mathbb{Z}$  where moreover  $\emptyset \in c_z$  for each  $z$ . That is,  $u \in c_m$  iff  $u = c_k$  with  $k < m$ , or  $u = \emptyset$ . We postulate that an infinite subclass of  $C$  is a set iff it contains  $c_0$ . Now,  $c_z$  are ordinals for all  $z \leq 0$ . But  $c_1$  is not regular, since it contains an infinite descending chain  $\{c_k \mid k \leq 0\}$  as a subset.

**sublocale** *L-setext-empty-setsuc*  
*<proof>*

**sublocale** *L-setext-sep*  
*<proof>*

**lemma** *regular-setsuc*: **assumes** *transM*  $x$  *regular*  $x$  *regular*  $y$

**shows** *regular* (*setsucM* *x* *y*)  
 ⟨*proof*⟩

**lemma** *ord-suc-ord*: **assumes** *ordM* *x* **shows** *ordM* (*setsucM* *x* *x*)  
 ⟨*proof*⟩

**lemma** *nat-suc-nat*: **assumes** *natM* *x* **shows** *natM* (*setsucM* *x* *x*)  
 ⟨*proof*⟩

**lemma** *one-natM[simp]*: *natM* ( $\{\emptyset\}_M$ )  
 ⟨*proof*⟩

**lemma** *ord-mem-suc*: **assumes** *ordM* *x* **and**  $y \in x$   
**shows**  $setsucM\ y\ y \in x \vee setsucM\ y\ y = x$   
 ⟨*proof*⟩

**lemma** *ord-limit-or-suc*: **assumes** *ordM* *x*  
**shows**  $is-sucM\ x \vee (\forall\ u.\ u \in x \longrightarrow setsucM\ u\ u \in x)$   
 ⟨*proof*⟩

**lemma** **assumes** *regular* *x* *regular* *y*  
**shows** *regular* (*setsucM* *x* *y*)  
 ⟨*proof*⟩

**end**

### 1.3.8 Transitive superset

The existence of transitive supersets needs to be assumed explicitly if the axiom of infinity is absent (or negated). It is related to regularity, since it enables obtaining an infinite set from infinite descending epsilon chains.

**locale** *L-ts = set-signature* +  
**assumes** *ts*:  $\forall\ x.\ \exists\ z.\ (transM\ z \wedge (x \subseteq_M z))$

**locale** *L-setext-sep-ts = L-setext* + *L-sep* + *L-ts*

**begin**

**sublocale** *L-setext-sep*  
 ⟨*proof*⟩

**lemma** *least-ts-def'*:  $u \in least-tsM\ x \longleftrightarrow (\forall\ v.\ transM\ v \wedge x \subseteq_M v \longrightarrow u \in v)$   
 (**is**  $u \in least-tsM\ x \longleftrightarrow (\forall\ v.\ ?Q\ v \longrightarrow u \in v)$ )  
 ⟨*proof*⟩

**lemma** *least-ts-is-transitive*: *transM* (*least-tsM* *x*)  
 ⟨*proof*⟩

**end**

**locale**  $L\text{-setext-sep-reg} = L\text{-setext} + L\text{-sep} + L\text{-reg}$

**locale**  $L\text{-setext-sep-reg-ts} = L\text{-setext} + L\text{-sep} + L\text{-reg} + L\text{-ts}$

**begin**

**sublocale**  $L\text{-setext-sep-ts}$   
*<proof>*

The schema of regularity follows from regularity and transitive superset.

**sublocale**  $L\text{-regsch}$   
*<proof>*

**end**

### 1.3.9 Replacement

**locale**  $L\text{-repl} = \text{set-signature} +$

**assumes** *replf*:  $\text{SetFormulaPredicate } P \implies (\forall u. \exists! v. P(\Xi(0:=u, 1:=v))) \longrightarrow$   
 $(\forall x. \exists z. \forall v. v \varepsilon z \longleftrightarrow (\exists u. u \varepsilon x \wedge P(\Xi(0:=u, 1:=v))))$

— We can replace  $x_0$  by the unique  $x_1$  satisfying  $P(x_0, x_1)$ . Note the presence of parameters  $x_i, i \geq 2$

**locale**  $L\text{-setext-empty-repl} = L\text{-setext} + L\text{-empty} + L\text{-repl}$

**begin**

Replacing using total functions is equivalent to replacing using partial functions.

**lemma** *repl*: **assumes**  $\text{SetFormulaPredicate } P$  **and** *func*:  $\forall u v w. P(\Xi(0:=u, 1:=v)) \wedge P(\Xi(0:=u, 1:=w)) \longrightarrow v = w$

**shows**  $\forall x. \exists z. (\forall v. v \varepsilon z \longleftrightarrow (\exists u. u \varepsilon x \wedge P(\Xi(0:=u, 1:=v))))$   
*<proof>*

**lemma** *repl-vars*: **assumes**  $\text{SetFormulaPredicate } P$  **and** *func*:  $\forall u v w. P(\Xi(k:=u, l:=v)) \wedge P(\Xi(k:=u, l:=w)) \longrightarrow v = w$

**shows**  $\forall x. \exists z. (\forall v. v \varepsilon z \longleftrightarrow (\exists u. u \varepsilon x \wedge P(\Xi(k:=u, l:=v))))$   
*<proof>*

**lemma** *repl-SR*: **assumes**  $\text{SetRelation } P$   $\forall u v w. P u v \wedge P u w \longrightarrow v = w$

**shows**  $\forall x. \exists z. (\forall v. v \varepsilon z \longleftrightarrow (\exists u. u \varepsilon x \wedge P u v))$   
*<proof>*

**lemma** *replace-def'*:

**assumes**  $\text{SetFormulaPredicate } P$   $\forall u v w. P(\Xi(k:=u, l:=v)) \wedge P(\Xi(k:=u, l:=w)) \longrightarrow v = w$

**shows**  $\forall v. v \varepsilon \text{replaceM } (\lambda u v. P(\Xi(k:=u, l:=v))) x \longleftrightarrow (\exists u. u \varepsilon x \wedge (P(\Xi(k:=u, l:=v))))$

*<proof>*

Separation can be obtained from replacement.

**sublocale** *L-setext-sep*

*<proof>*

**end**

Separation does not follow from replacement without the empty set axiom.  
We show it by constructing a counter-model.

**theorem** *not-repl-ext-implies-separ*:  $\neg (\forall \text{ mem. } L\text{-repl mem} \wedge L\text{-setext mem} \longrightarrow L\text{-sep mem})$

*<proof>*

**locale** *L-setext-empty-setsuc-repl* = *L-setext* + *L-empty* + *L-setsuc* + *L-repl*

**begin**

**sublocale** *L-setext-empty-setsuc*

*<proof>*

**sublocale** *L-setext-empty-repl*

*<proof>*

**lemma** *tarski-setsuc-tarski*: **assumes** *tarski-fin x* **shows** *tarski-fin (setsucM x y)*

*<proof>*

**end**

### 1.3.10 Powerset

**locale** *L-power* = *set-signature* +

**assumes**

*power*:  $\forall x. \exists y. (\forall u. u \varepsilon y \longleftrightarrow u \subseteq_M x)$

**locale** *L-setext-empty-power* = *L-setext* + *L-empty* + *L-power*

**begin**

**sublocale** *L-setext-empty*

*<proof>*

**lemma** *powerset-def*<sup>[set-defs]</sup>:  $u \varepsilon (\mathfrak{P} x) \longleftrightarrow u \subseteq_M x$

*<proof>*

**lemma**  $\emptyset \varepsilon \mathfrak{P} \emptyset$

*<proof>*

**lemma** *set-one-mem* [*simp*]:  $u \in \mathfrak{P} \emptyset \longleftrightarrow u = \emptyset$   
 ⟨*proof*⟩

**lemma** *set-one-def*:  $\mathfrak{P} \emptyset = \{\emptyset\}_M$   
 ⟨*proof*⟩

**lemma** *set-two-mem*:  $u \in \mathfrak{P} (\mathfrak{P} \emptyset) \longleftrightarrow u = \emptyset \vee u = \{\emptyset\}_M$   
 ⟨*proof*⟩

**end**

**locale** *L-setext-empty-power-repl* = *L-setext* + *L-empty* + *L-power* + *L-repl*

— Subsumes many already existing locales. In particular, we obtain set successor from powerset and replacement

**begin**

**sublocale** *L-setext-empty-repl*  
 ⟨*proof*⟩

**sublocale** *L-setext-empty-power*  
 ⟨*proof*⟩

**sublocale** *L-setext-empty-setsuc*  
 ⟨*proof*⟩

**sublocale** *L-setext-empty-setsuc-repl*  
 ⟨*proof*⟩

**end**

### 1.3.11 Union

**locale** *L-union* = *set-signature* +  
**assumes** *union*:  $\forall x. \exists y. \forall v. v \in y \longleftrightarrow (\exists u. u \in x \wedge v \in u)$

**locale** *L-setext-union* = *L-setext* + *L-union*

**begin**

**lemma** *union-def* [*set-defs*]:  $u \in \bigcup_M x \longleftrightarrow (\exists v. v \in x \wedge u \in v)$   
 ⟨*proof*⟩

**lemma** *union-trans-trans*: **assumes**  $\forall v. v \in x \longrightarrow \text{transM } v$   
**shows**  $\text{transM } (\bigcup_M x)$   
 ⟨*proof*⟩

**end**

**locale**  $L\text{-setext-sep-binunion-ts} = L\text{-setext} + L\text{-sep} + L\text{-binunion} + L\text{-ts}$

**begin**

**sublocale**  $L\text{-setext-binunion}$   
*<proof>*

**sublocale**  $L\text{-setext-sep-ts}$   
*<proof>*

**lemma**  $\text{trans-union: } \text{transM } u \implies \text{transM } v \implies \text{transM } (u \cup_M v)$   
*<proof>*

**lemma**  $\text{leastTS-union: } \text{least-tsM } (u \cup_M v) = \text{least-tsM } u \cup_M \text{least-tsM } v$   
*<proof>*

**end**

The following locale is called Elementary Set Theory (EST) in Baratella and Ferro, "A theory of Sets with the Negation of the Axiom of Infinity", 1993.

**locale**  $L\text{-setext-empty-union-repl-pair} = L\text{-setext} + L\text{-empty} + L\text{-union} + L\text{-repl} + L\text{-pair}$

**begin**

— binunion is the union of a pair

**sublocale**  $L\text{-setext-pair-binunion}$   
*<proof>*

**end**

The locale  $L\text{-setext-empty-union-repl-pair}$  (i.e., the fragment EST also used by Baratella and Ferro [1]) is the right context in which to show that the schema of regularity yields existence of transitive closures (least transitive supersets)

**locale**  $L\text{-setext-empty-union-repl-pair-regsch} = L\text{-setext} + L\text{-empty} + L\text{-union} + L\text{-repl} + L\text{-pair} + L\text{-regsch}$

**begin**

**sublocale**  $L\text{-setext-empty-union-repl-pair}$   
*<proof>*

**sublocale**  $L\text{-setext-empty-repl}$   
*<proof>*

**sublocale**  $L\text{-setext-union}$   
*<proof>*

**lemma** *transitive-closure-ex*:

**shows**  $\forall x. \exists z. x \subseteq_M z \wedge \text{trans}M z \wedge (\forall u. u \varepsilon z \longleftrightarrow (\forall t. x \subseteq_M t \wedge \text{trans}M t \longrightarrow u \varepsilon t))$

(**is**  $\forall x. \exists z. ?TC x z$  **is**  $\forall x. ?hasTC x$ )

*<proof>*

**sublocale** *L-setext-sep-reg-ts*

*<proof>*

**end**

**locale** *L-setext-empty-power-union-repl* = *L-setext* + *L-empty* + *L-power* + *L-union* + *L-repl*

— ZF without infinity and regularity. Axioms enabling reasoning about functions, cardinality, and therefore about Dedekind finiteness.

**begin**

**sublocale** *L-setext-empty-power-repl*

*<proof>*

**sublocale** *L-setext-setsuc-sep*

*<proof>*

**sublocale** *L-setext-union*

*<proof>*

**sublocale** *L-setext-empty-union-repl-pair*

*<proof>*

**lemma** *ordered-pair-mem*: **assumes**  $v \varepsilon x \ v' \varepsilon y$  **shows**  $\langle v, v' \rangle \varepsilon \mathfrak{P} (\mathfrak{P} (x \cup_M y))$

*<proof>*

**lemma** *ordered-pair-mem-union*: **assumes**  $\langle u, v \rangle \varepsilon r$  **shows**  $u \varepsilon \bigcup_M (\bigcup_M r) \ v \varepsilon \bigcup_M (\bigcup_M r)$

*<proof>*

**lemma** *car-prod-ex*:  $\exists z. \forall u. u \varepsilon z \longleftrightarrow (\exists v \ v'. v \varepsilon x \wedge v' \varepsilon y \wedge u = \langle v, v' \rangle)$

*<proof>*

**lemma** *car-prod-def'*:  $u \varepsilon x \times_M y \longleftrightarrow (\exists v \ v'. v \varepsilon x \wedge v' \varepsilon y \wedge u = \langle v, v' \rangle)$

*<proof>*

**lemma** *rel-inv-def'*:  $u \varepsilon \text{rel-inverse}M r \longleftrightarrow (\exists a \ b. \langle a, b \rangle \varepsilon r \wedge u = \langle b, a \rangle)$

*<proof>*

**lemma** *dom-def'*:  $u \varepsilon \text{dom}M r \longleftrightarrow (\exists v. \langle u, v \rangle \varepsilon r)$

*<proof>*

**lemma** *rng-def'*:  $u \in \text{rng}M\ r \longleftrightarrow (\exists v. \langle v, u \rangle \in r)$   
*<proof>*

**lemma** *SFP-dom[simp, intro]*: *SetFormulaPredicate*  $(\lambda \Xi. \Xi\ k = \text{dom}M\ (\Xi\ l))$   
*<proof>*

**lemma** *SFP-rng[simp, intro]*: *SetFormulaPredicate*  $(\lambda \Xi. \Xi\ k = \text{rng}M\ (\Xi\ l))$   
*<proof>*

**lemmas**[*SFP-rules*] = *SFP-rng[unfolded set-defs logsimps]* *SFP-dom[unfolded set-defs logsimps]*

**lemma** *SetRelation*  $(\lambda x\ y. \exists f. \text{one-one}M\ f \wedge x = \text{dom}M\ f \wedge y = \text{rng}M\ f)$   
(**is** *SetRelation*  $(\lambda x\ y. (\exists f. ?P\ x\ y\ f))$ )  
*<proof>*

**lemma** *SR-equiv[simp]*: *SetRelation*  $(\lambda x\ y. x \approx_M y)$   
*<proof>*

**lemma** *SP-dedekind[simp]*: *SetProperty dedekind-fin*  
*<proof>*

**lemma** *SR-card*: *SetRelation cardinality*  
*<proof>*

**lemma** *rel-inv-dom-rng*:  $\text{dom}M\ (\text{rel-inverse}M\ r) = \text{rng}M\ r\ \text{rng}M\ (\text{rel-inverse}M\ r)$   
 $= \text{dom}M\ r$   
*<proof>*

**lemma** *rel-inv-rel*:  $\text{relation}M\ f \implies \text{relation}M\ (\text{rel-inverse}M\ f)$   
*<proof>*

**lemma** *one-one-inv*:  $\text{one-one}M\ f \implies \text{one-one}M\ (\text{rel-inverse}M\ f)$   
*<proof>*

**lemma** *dedekind-setsuc-dedekind*: **assumes** *dedekind-fin* *x* **shows** *dedekind-fin* (*setsuc* *M* *x* *t*)  
*<proof>*

**lemma** *set-equivalent-sym*:  $x \approx_M y \longleftrightarrow y \approx_M x$   
*<proof>*

**lemma** *compose-def'*:  $u \in f \circ_M g \longleftrightarrow (\exists a\ b\ c. \langle a, b \rangle \in g \wedge \langle b, c \rangle \in f \wedge u = \langle a, c \rangle)$   
*<proof>*

**lemma** *rel-comp*: **assumes** *relation* *M* *f* *relation* *M* *g* **shows** *relation* *M*  $(f \circ_M g)$   
*<proof>*

**lemma fun-comp:** **assumes**  $\text{functionM } f \text{ functionM } g$  **shows**  $\text{functionM } (f \circ_M g)$   
 ⟨proof⟩

**lemma one-one-comp:** **assumes**  $\text{one-oneM } f \text{ one-oneM } g$  **shows**  $\text{one-oneM } (f \circ_M g)$   
 ⟨proof⟩

**lemma set-equivalent-trans:** **assumes**  $x \approx_M y \ y \approx_M z$  **shows**  $x \approx_M z$   
 ⟨proof⟩

**lemma union-of-ords-regular:** **assumes**  $\forall y. y \in s \longrightarrow \text{ordM } y$   
**shows**  $\text{regular } (\bigcup_M s)$   
 ⟨proof⟩

**lemma union-of-ords-ord:** **assumes**  $\forall y. y \in s \longrightarrow \text{ordM } y$   
**shows**  $\text{ordM } (\bigcup_M s)$   
 ⟨proof⟩

**lemma union-ord:** **assumes**  $\text{ordM } x$  **shows**  $\text{ordM } (\bigcup_M x)$   
 ⟨proof⟩

**lemma non-limit-union-ord-mem:** **assumes**  $\forall u. u \in s \longrightarrow \text{ordM } u \ \text{is-sucM } (\bigcup_M s)$   
**shows**  $\bigcup_M s \in s$   
 ⟨proof⟩

**lemma limit-ord:** **assumes**  $\forall u. u \in s \longrightarrow \text{ordM } u \wedge \text{setsucM } u \ u \in s$   
**shows**  $\neg \text{is-sucM } (\bigcup_M s)$   
 ⟨proof⟩

**lemma not-limit-ord:** **assumes**  $\text{ordM } x \ \text{is-sucM } x$   
**shows**  $x = \text{setsucM } (\bigcup_M x) (\bigcup_M x)$   
 ⟨proof⟩

**lemma natM-fin:** **assumes**  $s \subseteq_M x \ s \neq \emptyset \ \forall u. u \in s \longrightarrow \text{setsucM } u \ u \in s$   
**shows**  $\neg \text{natM } x$   
 ⟨proof⟩

**lemma nat-induction-sfp:** **assumes**  $\text{SetFormulaPredicate } P$  **and**  $P (\exists(0:=\emptyset))$   
**and**

*step:*  $\bigwedge x. \text{natM } x \implies P (\exists(0:=x)) \implies P (\exists(0:=\text{setsucM } x \ x))$  **and**  $\text{natM } x$   
**shows**  $P (\exists(0:=x))$

⟨proof⟩

**lemma nat-induction-sp:** **assumes**  $\text{SetProperty } P$  **and**  $P \emptyset$  **and**  $\text{natM } x$  **and**  
*step:*  $\bigwedge x. \text{natM } x \implies P \ x \implies P (\text{setsucM } x \ x)$

**shows**  $P \ x$

⟨proof⟩

**theorem** *nat-tarski-fin*: **assumes**  $\text{natM } x$  **shows** *tarski-fin*  $x$   
*<proof>*

**lemma** *nat-dedekind-finite*: **assumes**  $\text{natM } x$  **shows** *dedekind-fin*  $x$   
*<proof>*

**lemma** *card-emp*: *cardinality*  $\emptyset \emptyset$   
*<proof>*

**lemma** *nat-equiv-unique*: **assumes**  $\text{natM } x \text{ natM } y$   $x \approx_M y$   
**shows**  $x = y$   
*<proof>*

**lemma** *card-fun*: **assumes** *cardinality*  $x n$  *cardinality*  $x m$  **shows**  $n = m$   
*<proof>*

**end**

**locale** *L-setext-empty-power-union-repl-reg* = *L-setext* + *L-empty* + *L-power* +  
*L-union* + *L-repl*  
+ *L-reg*

**begin**

Some consequences of the axiom of regularity

**sublocale** *L-setext-empty-power-union-repl*  
*<proof>*

**lemma** *mem-not-refl*:  $\neg x \in x$   
*<proof>*

**lemma** *mem-antisym*:  $\neg (u \in v \wedge v \in u)$   
*<proof>*

**lemma** *suc-unique*: **assumes**  $\text{setsucM } c c = \text{setsucM } d d$   
**shows**  $c = d$   
*<proof>*

**lemma** *mem-neq-singleton*:  $x \neq \{x\}_M$   
*<proof>*

**lemma** *suc-subset[simp]*:  $z \subset_M \text{setsucM } z z$   
*<proof>*

**lemma** *card-setsuc*: **assumes**  $\neg y \in x$  *cardinality*  $x m$  **shows** *cardinality*  $(\text{setsucM } x y)$   $(\text{setsucM } m m)$   
*<proof>*

**end**

### 1.3.12 Successor induction

An important fragment of the theory of hereditarily finite sets. The finiteness principle used is the induction schema for set formulas. This route to axiomatizing ZF<sub>fin</sub> is developed in Vopěnka: Mathematics in the alternative set theory [10]. Notice that no regularity principles are used in this fragment.

**locale** *L-setext-empty-setsuc-setind* = *L-setext* + *L-empty* + *L-setsuc* + *L-setind*

**begin**

**sublocale** *L-setext-empty-setsuc*  
 ⟨*proof*⟩

**lemma** *binunion-ex*:

**shows**  $\exists z. (\forall u. u \varepsilon z \longleftrightarrow u \varepsilon x \vee u \varepsilon x')$  (**is** *?P* *x x'*)  
 ⟨*proof*⟩

**sublocale** *L-union*  
 ⟨*proof*⟩

**sublocale** *L-repl*  
 ⟨*proof*⟩

**sublocale** *L-setext-empty-repl*  
 ⟨*proof*⟩

**lemma** *setsuc-separ*: **assumes**  $y \varepsilon u$

**shows**  $u = \text{setsucM } (\text{separationM } u \ (\lambda x. x \neq y)) \ y$   
 ⟨*proof*⟩

**lemma** *setsuc-subset-setind*:  $u \subseteq_M \text{setsucM } x \ y \longleftrightarrow u \subseteq_M x \vee (\exists u'. u' \subseteq_M x \wedge u = \text{setsucM } u' \ y)$   
 ⟨*proof*⟩

**sublocale** *L-power*  
 ⟨*proof*⟩

**sublocale** *L-setext-empty-power-union-repl*  
 ⟨*proof*⟩

**lemma** *min-subset-ex*: **assumes**  $u \neq \emptyset$  **shows**  $\exists z. z \varepsilon u \wedge (\nexists w. w \varepsilon u \wedge w \subset_M z)$   
 ⟨*proof*⟩

A general variant of Tarski finiteness axiom (also proved in Vopěnka's book). Nonempty sets have maximal (and minimal) elements under inclusion.

**lemma** *max-subset-ex*: **assumes**  $u \neq \emptyset$  **shows**  $\exists z. z \varepsilon u \wedge (\nexists w. w \varepsilon u \wedge z \subset_M w)$

w)  
<proof>

**lemma** *max-mem*: **assumes**  $P\ n\ n\ \varepsilon\ x\ SetProperty\ P$   
**shows**  $\exists\ m.\ m\ \varepsilon\ x\ \wedge\ P\ m\ \wedge\ (\forall\ k.\ k\ \varepsilon\ x\ \wedge\ P\ k\ \longrightarrow\ \neg\ m\ \subset_M\ k)$   
<proof>

**sublocale** *L-tarski*  
<proof>

**sublocale** *L-dedekind*  
<proof>

**lemma** *fun-images*: **assumes** *SetFormulaPredicate*  $P$  **and**  $\forall\ u.\ (\exists!\ v.\ P(\Xi(0:=u,1:=v)))$   
**shows**  $\exists\ z.\ (\forall\ v.\ v\ \varepsilon\ z\ \longleftrightarrow\ (\exists\ u.\ u\ \varepsilon\ x\ \wedge\ P(\Xi(0:=u,1:=v))))$   
<proof>

**sublocale** *L-fin*  
<proof>

**theorem** *ord-is-suc*: **assumes**  $ordM\ x$  **shows**  $x = \emptyset \vee is-sucM\ x$   
<proof>

**theorem** *ord-iff-nat*:  $ordM\ x \longleftrightarrow natM\ x$   
<proof>

**lemma** *ord-iff-empty-or-suc*:  $ordM\ x \longleftrightarrow x = \emptyset \vee (\exists\ y.\ ordM\ y \wedge x = setsucM\ y)$   
<proof>

**lemma** *union-of-ords-mem*: **assumes**  $\forall\ y.\ y\ \varepsilon\ s \longrightarrow ordM\ y\ s \neq \emptyset$   
**shows**  $\bigcup_M\ s\ \varepsilon\ s$   
<proof>

**end**

### 1.3.13 Negation of inf

ZF with inf replaced by fin

**locale** *L-setext-empty-power-union-repl-reg-fin* = *L-setext* + *L-empty* + *L-power*  
+ *L-union* + *L-repl* + *L-reg* + *L-fin*

**begin**

**sublocale** *L-setext-empty-power-union-repl-reg*  
<proof>

**sublocale** *L-setind*  
<proof>

**lemma** *cardinality-ex*:  $\exists! n. \text{natM } n \wedge x \approx_M n$   
*<proof>*

**sublocale** *L-setext-empty-setsuc-setind*  
*<proof>*

**end**

### 1.3.14 Dedekind finite

**locale** *L-setext-empty-power-union-repl-dedekind* = *L-setext* + *L-empty* + *L-power* + *L-union* + *L-repl* + *L-dedekind*

**begin**

**sublocale** *L-setext-empty-power-union-repl*  
*<proof>*

**sublocale** *L-fin*  
*<proof>*

**end**

### 1.3.15 Tarski finite

**locale** *L-setext-empty-power-sep-setsuc-tarski* = *L-setext* + *L-empty* + *L-power* + *L-sep* + *L-setsuc* + *L-tarski*

**begin**

**sublocale** *L-setext-empty-power*  
*<proof>*

**sublocale** *L-setext-empty-setsuc*  
*<proof>*

In a suitable context, the axiom of Tarski finiteness yields the set induction schema.

**sublocale** *L-setind*  
*<proof>*

**sublocale** *L-setext-empty-setsuc-setind*  
*<proof>*

It follows in particular that union and replacement are provable in this context.

**sublocale** *L-repl*  
*<proof>*

**sublocale** *L-union*

*<proof>*

**end**

### 1.3.16 Set induction and regularity schema

An apparently minor variation of the set induction schema, which nevertheless yields also the schema of regularity (i.e., epsilon induction). It is used in Pudlák and Sochor [5].

**locale** *L-setindregs* = *set-signature* +

**assumes** *setindregs*: *SetFormulaPredicate*  $P \implies$

$P(\Xi(0:=\emptyset)) \longrightarrow (\forall x y. P(\Xi(0:=x)) \wedge P(\Xi(0:=y)) \longrightarrow P(\Xi(0:=\text{setsuc}M x y))) \longrightarrow (\forall x. P(\Xi(0:=x)))$

**begin**

**lemma** *setindregs-sp*: **assumes** *SetProperty*  $P P \emptyset \forall x y. P x \wedge P y \longrightarrow P(\text{setsuc}M x y)$

**shows**  $\forall x. P x$

*<proof>*

**lemma** *setindregs-var*: **assumes** *SetFormulaPredicate*  $P P(\Xi(n:=\emptyset)) \forall x y. P(\Xi(n:=x)) \wedge P(\Xi(n:=y))$

$\longrightarrow P(\Xi(n:=\text{setsuc}M x y))$

**shows**  $\forall x. P(\Xi(n:=x))$

*<proof>*

**sublocale** *L-setind*

*<proof>*

**end**

**locale** *L-setext-empty-setsuc-setindregs* = *L-setext* + *L-empty* + *L-setsuc* + *L-setindregs*

**begin**

**sublocale** *L-setext-empty-setsuc-setind*

*<proof>*

**lemma** *epsind-from-setindregs-sp*: **assumes** *spp*: *SetProperty*  $P$  **and** *indp*:  $(\forall x. (\forall y. (y \varepsilon x \longrightarrow P y)) \longrightarrow P x)$

**shows**  $\forall x. P x$

*<proof>*

**lemma** *epsind-from-setindregs*: **assumes** *sfp*: *SetFormulaPredicate*  $P$  **and** *indp*:  $(\forall x. (\forall y. (y \varepsilon x \longrightarrow P(\Xi(0:=y)))) \longrightarrow P(\Xi(0:=x)))$

**shows**  $\forall x. P(\exists(0:=x))$   
*<proof>*

**sublocale** *L-epsind*  
*<proof>*

**sublocale** *L-setext-empty-union-repl-pair-regsch*  
*<proof>*

**end**

### 1.3.17 Summary of dependencies

**theorem** *epsind-regsch-iff*:  
*L-epsind mem*  $\longleftrightarrow$  *L-regsch mem*  
*<proof>*

We give additional names to some important collections of axioms. Here is a "canonical" axiomatization of the theory of hereditarily finite sets.

**locale** *ZFfn* = *L-setext* + *L-empty* + *L-power* + *L-union* + *L-repl* + *L-fin* + *L-epsind*

**begin**

**sublocale** *L-setext-empty-power-union-repl-reg-fin*  
*<proof>*

**sublocale** *L-regsch*  
*<proof>*

**sublocale** *L-reg*  
*<proof>*

**sublocale** *L-setsuc*  
*<proof>*

**sublocale** *L-sep*  
*<proof>*

**sublocale** *L-setind*  
*<proof>*

**sublocale** *L-dedekind*  
*<proof>*

**sublocale** *L-tarski*  
*<proof>*

**end**

This is the list of axioms for sets from Vopěnka's book [10].

**locale** *ASTset* = *L-setext* + *L-empty* + *L-setsuc* + *L-setind* + *L-regsch*

**begin**

Vopěnka [10] shows that all axioms of *ZFfn* are provable in *ASTset*

**sublocale** *ZFfn*  
*<proof>*

The variation of set induction which combines it with regularity schema is provable from set induction schema and epsilon induction (i.e., regularity schema). Taken for granted in [5].

**sublocale**  $L\text{-setindregs}$   
 $\langle\text{proof}\rangle$

**end**

$ZFfin$  and  $ASTset$  are two different axiomatizations of the same theory.

**sublocale**  $ASTset \subseteq ZFfin$   
 $\langle\text{proof}\rangle$

**sublocale**  $ZFfin \subseteq ASTset$   
 $\langle\text{proof}\rangle$

In the AST, set induction and epsilon induction (i.e., regularity schema) can be replaced by the variant  $setindregs$

**theorem**  $setindregs\text{-ast}$ :  $L\text{-setext-empty-setsuc-setindregs mem} \longleftrightarrow ASTset\ mem$   
 $\langle\text{proof}\rangle$

**theorem**  $zffin\text{-ast}$ :  $ZFfin\ mem \longleftrightarrow ASTset\ mem$   
 $\langle\text{proof}\rangle$

Ambivalence of the separation schema and the replacement schema.

**theorem**  $repl\text{-implies-sep}$ :  
**shows**  $L\text{-setext-empty-repl mem} \implies L\text{-sep mem}$   
 $\langle\text{proof}\rangle$

Under certain finiteness assumptions, separation entails replacement. See [2] for details.

**theorem**  $sep\text{-implies-repl}$ :  
**shows**  $L\text{-setext-empty-power-sep-setsuc-tarski mem} \implies L\text{-repl mem}$   
 $\langle\text{proof}\rangle$

Entailment between different finiteness principles, in their natural contexts.

The following is included in Vopěnka [10] by exploring the consequences of induction for set formulas.

**theorem** (in  $L\text{-setext-empty-setsuc}$ )  
**shows**  $setind\text{-implies-tarski}$ :  $L\text{-setind}(\varepsilon) \implies L\text{-tarski}(\varepsilon)$  **and**  
 $setind\text{-implies-fin-by-setsuc}$ :  $L\text{-setind}(\varepsilon) \implies L\text{-fin}(\varepsilon)$  **and**  
 $setind\text{-implies-dedekind-by-setsuc}$ :  $L\text{-setind}(\varepsilon) \implies L\text{-dedekind}(\varepsilon)$   
 $\langle\text{proof}\rangle$

**theorem** (in  $L\text{-setext-empty-power-union-repl}$ )  
 $dedekind\text{-implies-fin}$ :  $L\text{-dedekind}(\varepsilon) \implies L\text{-fin}(\varepsilon)$   
 $\langle\text{proof}\rangle$

Equivalence of finiteness principles, in sufficiently strong common context.

**theorem** (in *L-setext-empty-power-union-repl-reg*)  
*fin-implies-tarski*:  $L\text{-fin}(\varepsilon) \implies L\text{-tarski}(\varepsilon)$  **and**  
*tarski-implies-fin*:  $L\text{-tarski}(\varepsilon) \implies L\text{-fin}(\varepsilon)$  **and**  
*fin-implies-setind*:  $L\text{-fin}(\varepsilon) \implies L\text{-setind}(\varepsilon)$  **and**  
*setind-implies-fin*:  $L\text{-setind}(\varepsilon) \implies L\text{-fin}(\varepsilon)$  **and**  
*fin-implies-dedekind*:  $L\text{-fin}(\varepsilon) \implies L\text{-dedekind}(\varepsilon)$   
*<proof>*

The validity of the regularity schema/epsilon induction is closely related to the existence of a transitive superset See also Proposition 5.4, Kaye and Wong [3]. There, the equivalence of *L-epsind* and *L-ts* is shown in the context of EST + regularity. Instead, we follow Sochor [7] and [8] in improving the claim by weakening both implications.

**theorem** (in *L-setext-sep-reg*) *ts-implies-epsind*:  
 $L\text{-ts}(\varepsilon) \implies L\text{-epsind}(\varepsilon)$   
*<proof>*

**theorem** (in *L-setext-empty-union-repl-pair*) *epsind-implies-ts*:  
 $L\text{-epsind}(\varepsilon) \implies L\text{-ts}(\varepsilon)$   
*<proof>*

Consequently, in a sufficiently strong context we can verify the equivalence of axioms A81 (regularity) + A82 (transitive superset) and A8 (schema of regularity) from Sochor [7], p. 709.

**theorem** (in *L-setext-empty-union-repl-pair*) *ts-reg-iff-regsch*:  
 $L\text{-ts}(\varepsilon) \wedge L\text{-reg}(\varepsilon) \iff L\text{-regsch}(\varepsilon)$   
*<proof>*

**end**

## Chapter 2

# Models and counter-models

```
theory ZFfin-HF
imports HereditarilyFinite.Rank ZFfin
begin
```

### 2.1 Hereditarily finite sets

We show that the hereditarily finite sets as implemented in *HereditarilyFinite.HF* are a model of *ZFfin* as implemented in *ZF-finite.ZFfin*

```
interpretation zfhf: ZFfin ( $\in$ )
  rewrites zfhf.emptysetM = 0 and
           zfhf.singletonM y =  $\{y\}$  and
           zfhf.setsucM x y =  $x \triangleleft y$ 
⟨proof⟩

end
```

### 2.2 Permutation models

```
theory Permutation-models
imports ZFfin
begin
```

A useful tool of constructing models with specific properties is the Bernays-Rieger permutation method, which redefines the membership relation. We show that a permutation model obtained in this way preserves extensionality, empty set, powerset, union, and replacement. The method has been used, inter alia, in several works directly relevant to our formalization ([6], [11], [1], [4])

```
locale permutation-model = L-setext-empty-power-union-repl +
  fixes perm
  assumes
    bij-perm: bij (perm :: 'a  $\Rightarrow$  'a) and
```

*SR-fmem*: *SetRelation* ( $\lambda x y. x \varepsilon \text{perm } y$ )

**begin**

**abbreviation** *perm-mem* (**infixr**  $\varepsilon^f$  51) **where**  
*perm-mem*  $x y \equiv x \varepsilon \text{perm } y$

**sublocale** *L-setext-empty*  
*<proof>*

**interpretation** *pm*: *L-setext perm-mem*  
*<proof>*

**lemma** *SFP-fmem[SFP-rules]*: *SetFormulaPredicate* ( $\lambda \Xi. \Xi m \varepsilon^f \Xi n$ )  
*<proof>*

**lemma** *SR-perm-eq*: *SetRelation* ( $\lambda x y. \text{perm } x = y$ )  
*<proof>*

**lemma** *permSFP-SFP*: **assumes** *pm.SetFormulaPredicate P* **shows** *SetFormulaPredicate P*  
*<proof>*

**lemma** *perm-model*:  
**shows** *L-setext-empty-power-union-repl perm-mem*  
*<proof>*

**end**

**end**

## 2.3 Regularity

**theory** *Not-regular-model*  
**imports** *Permutation-models*  
**begin**

Axioms of extensionality, empty set, powerset, union, replacement and set induction are not sufficient to prove regularity, even in the presence of transitive superset axiom.

We prove this using permutation models. It is enough to transpose 0 and 1 in order to obtain a model which violates regularity, cf. [1, Theorem 13]

**context** *L-setext-empty-power-union-repl*

**begin**

**definition** *swap-zero-one* ::  $'a \Rightarrow 'a$  **where**  
*swap-zero-one*  $x = (\text{if } x = \emptyset \text{ then } \{\emptyset\}_M \text{ else } (\text{if } x = \{\emptyset\}_M \text{ then } \emptyset \text{ else } x))$

**lemma** *swap-zero-one-involution*[simp]: *swap-zero-one* (*swap-zero-one*  $x$ ) =  $x$   
 ⟨*proof*⟩

**lemma** *bij-swap-zero-one*: *bij swap-zero-one*  
 ⟨*proof*⟩

**lemma** *swap-zero-one-mem*:  $a \varepsilon \text{ swap-zero-one } b \iff (b \neq \{\emptyset\}_M \wedge a \varepsilon b) \vee (a = \emptyset \wedge b = \emptyset)$   
 ⟨*proof*⟩

**lemma** *swap-zero-one-perm-model*: *permutation-model* ( $\varepsilon$ ) *swap-zero-one*  
 ⟨*proof*⟩

**interpretation** *swap*: *permutation-model* ( $\varepsilon$ ) *swap-zero-one*  
 ⟨*proof*⟩

**notation** *swap.perm-mem* (**infix**  $\langle \varepsilon^s \rangle$  50)

**interpretation** *swap*: *L-setext-empty-power-union-repl* ( $\varepsilon^s$ )  
 ⟨*proof*⟩

**notation** *swap.emptysetM* ( $\langle \emptyset^s \rangle$ )

**notation** *swap.setsucM* ( $\langle \text{suc}^s \rangle$ )

—  $\{\emptyset\}$  is the empty set in the permuted model

**lemma** *one-swap*:  $\neg (a \varepsilon^s \{\emptyset\}_M)$   
 ⟨*proof*⟩

**lemma** *swap-empty*:  $\emptyset^s = \{\emptyset\}_M$   
 ⟨*proof*⟩

**lemma** *zero-swap-mem-iff*:  $a \varepsilon^s \emptyset \iff a = \emptyset$   
 ⟨*proof*⟩

Since  $\emptyset \varepsilon^s \emptyset$ , the permuted model is not regular.

**theorem** *not-reg-swap-zero-one*:  $\neg (L\text{-reg } (\varepsilon^s))$   
 ⟨*proof*⟩

In order to show that the model with membership  $\varepsilon^s$  satisfies *L-setind* (*L-ts* resp.) if the original model does, we first show how the modified successor behaves.

**lemma** *swap-mem-mem*:  $\neg (x = \emptyset \wedge y = \emptyset) \implies x \varepsilon^s y \implies x \varepsilon y$   
 ⟨*proof*⟩

**lemma** *swap-setsuc-1-y*: **assumes**  $y \neq \emptyset$  **shows**  $\text{suc}^s (\{\emptyset\}_M) y = \{y\}_M$   
 ⟨*proof*⟩

**lemma** *swap-setsuc-0-y*: **assumes**  $y \neq \emptyset$  **shows**  $\text{suc}^s \emptyset y = \{\emptyset, y\}_M$

*<proof>*

**lemma** *swap-setsuc-0-0*:  $\text{suc}^s \emptyset \emptyset = \emptyset$

*<proof>*

**lemma** *swap-setsuc-1-0*:  $\text{suc}^s (\{\emptyset\}_M) \emptyset = \emptyset$

*<proof>*

**lemma** *swap-setsuc-1-1*:  $\text{suc}^s (\{\emptyset\}_M) (\{\emptyset\}_M) = \{\{\emptyset\}_M\}_M$

*<proof>*

**lemma** *setsuc-setsuc'*: **assumes**  $x \neq \emptyset \wedge x \neq \{\emptyset\}_M$

**shows**  $\text{suc}^s x y = \text{suc} x y$

*<proof>*

**theorem** *setind-swap-setind*:  $L\text{-setind} (\varepsilon) \longrightarrow L\text{-setind} (\varepsilon^s)$

*<proof>*

**lemma** *ts-swap-ts*:  $L\text{-ts} (\varepsilon) \longrightarrow L\text{-ts} (\varepsilon^s)$

*<proof>*

**end**

**theorem** *not-reg-model*: **assumes**  $L\text{-setext-empty-power-union-repl} (mem :: 'a \Rightarrow 'a \Rightarrow bool) L\text{-setind} mem L\text{-ts} mem$

**shows**  $\neg (\forall (m :: 'a \Rightarrow 'a \Rightarrow bool). L\text{-setext-empty-power-union-repl} m \wedge L\text{-setind} m \wedge L\text{-ts} m \longrightarrow L\text{-reg} m)$

*<proof>*

**end**

## 2.4 Independence of transitive superset

**theory** *Not-ts-model*

**imports** *Permutation-models*

**begin**

We explore the model defined by the permutation transposing  $n$  and  $\{n+1\}_M$  for each natural number  $n$ . The membership in the model is not well-founded since there is an infinite decreasing chain  $\dots \varrho \varepsilon^f 1 \varepsilon^f 0$ .

Despite that if the native membership satisfies regularity and finiteness, the permuted model also satisfies regularity and finiteness.

Consequently,  $0$  (the empty set) has not transitive superset, since it could be infinite if it existed. As a corollary, the permutation model does not satisfy schema of regularity (or, equivalently, epsilon induction) since it entails transitive superset axiom.

The construction is given in Rieger in [6] and also in [4] who underscore

that the model is recursive. The statement that regularity schema does not follow from regularity was also proved in [11].

**context** *L-setext-empty-power-union-repl-reg*

**begin**

**fun** *regperm* :: 'a  $\Rightarrow$  'a **where**

*regperm* a = (if *natM* a then {*setsucM* a a}<sub>M</sub> else  
if ( $\exists$  b. *natM* b  $\wedge$  a = {*setsucM* b b}<sub>M</sub>) then THE b. a = {*setsucM*  
b b}<sub>M</sub> else a)

**lemma** *two-natM*: *natM* (*setsucM* ( $\{\emptyset\}_M$ )( $\{\emptyset\}_M$ ))  
(*proof*)

**lemma** *suc-sing-not-nat*:  $\neg$  *natM* ({*setsucM* b b}<sub>M</sub>)  
(*proof*)

**lemma** *regperm-image-nat*: **assumes** *natM* a  
**shows** *regperm* a = {*setsucM* a a}<sub>M</sub>  
(*proof*)

**lemma** *regperm-image-plus*: **assumes** *natM* b  
**shows** *regperm* ({*setsucM* b b}<sub>M</sub>) = b  
(*proof*)

**lemma** *regperm-image-else*: **assumes**  $\neg$  *natM* a  $\nexists$  b. *natM* b  $\wedge$  a = {*setsucM* b  
b}<sub>M</sub>  
**shows** *regperm* a = a  
(*proof*)

**lemma** *regperm-bij*: *bij* *regperm*  
(*proof*)

**lemma** *SR-regperm-eq*: *SetRelation* ( $\lambda$  x y. *regperm* x = y)  
(*proof*)

**lemma** *SR-regperm-mem*: *SetRelation* ( $\lambda$  x y. x  $\in$  *regperm* y)  
(*proof*)

**end**

**context** *L-setext-empty-power-union-repl-reg-fin*

**begin**

**interpretation** *perm*: *permutation-model* ( $\varepsilon$ ) *regperm*  
(*proof*)

**abbreviation** *fmem* (**infix**  $\varepsilon^f$  51) **where**  
*fmem* x y  $\equiv$  *perm.perm-mem* x y

**interpretation** *fm*: *L-setext-empty-power-union-repl fmem*

*<proof>*

**lemma** *regperm-mem-nat*: **assumes** *natM a*

**shows**  $u \varepsilon^f a \longleftrightarrow u = (\text{setsucM } a \ a)$

*<proof>*

**lemma** *fmem-not-wf*:  $\neg (\text{wfp } (\varepsilon^f))$

*<proof>*

The main meta-theorem. The axiom of the transitive superset does not hold in the model since the transitive closure of  $\emptyset$  would be an infinite set.

**theorem** *regperm-not-ts*:  $\neg L\text{-ts } (\varepsilon^f)$

*<proof>*

**theorem** *regperm-not-regs*:  $\neg L\text{-regs } (\varepsilon^f)$

*<proof>*

**lemma** *regperm-reg*:

**shows** *L-setext-empty-power-union-repl-reg*  $(\varepsilon^f)$

*<proof>*

**lemma** *perm-empty*:  $\text{fm.emptysetM} = \{\{\emptyset\}_M\}_M$

*<proof>*

**lemma** *perm-one*:  $\text{fm.binunionM } \text{fm.emptysetM} (\text{fm.singletonM } \text{fm.emptysetM}) = \{\{\{\emptyset\}_M\}_M\}_M$

*<proof>*

**lemma** *perm-else-setsuc-else*: **assumes**  $\neg \text{natM } u \# b$ .  $\text{natM } b \wedge u = \{\text{setsucM } b \ b\}_M$

**shows**  $\neg \text{natM } (\text{setsucM } u \ u) \# b$ .  $\text{natM } b \wedge \text{setsucM } u \ u = \{\text{setsucM } b \ b\}_M$

*<proof>*

**lemma** *perm-setsuc*: **assumes**  $\neg \text{natM } u \# b$ .  $\text{natM } b \wedge u = \{\text{setsucM } b \ b\}_M$

**shows**  $\text{fm.setsucM } u \ u = \text{setsucM } u \ u$

*<proof>*

**lemma** *perm-fin*: *L-fin*  $(\varepsilon^f)$

*<proof>*

**interpretation** *find*: *L-setind*  $(\varepsilon^f)$

*<proof>*

**end**

Summary of results. We have shown that if a type admits a membership relation satisfying certain axioms of finite sets (namely axioms of ZF where *inf* is replaced by *fin*), it does not follow that the membership on the type satisfies the existence of transitive supersets or the regularity schema.

**theorem** *not-reg-setind-implies-regsch-ts:*  
**assumes** *L-setext-empty-power-union-repl-reg-fin* ( $m :: 'a \Rightarrow 'a \Rightarrow \text{bool}$ )  
**shows**  $\neg (\forall (mem :: 'a \Rightarrow 'a \Rightarrow \text{bool}). L\text{-setext-empty-power-union-repl-reg } mem$   
 $\wedge L\text{-setind } mem \longrightarrow L\text{-regsch } mem \vee L\text{-ts } mem)$   
*<proof>*

**end**

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