

# Morley sequences in Dependent Theories

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# Basic notations

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- We assume that the theory  $T$  is dependent and  $T = T^{eq}$ .
- We write  $a \equiv_A b$  for  $\text{tp}(a/A) = \text{tp}(b/A)$ .
- We say that  $a$  and  $b$  are of Lascar distance 1 over a set  $A$  if there exists an  $A$ -indiscernible sequence containing both. This is not an equivalence relation, but its transitive closure  $E_A^L(x, y)$  is. We say that  $a$  and  $b$  have the same Lascar type if they are  $E_A^L$ -equivalent.
- We write  $\text{Lstp}(a/A) = \text{Lstp}(b/A)$  or  $a \equiv_{\text{Lstp}, A} b$ .

# Basic notations - II

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- Let  $I$  be an indiscernible sequence over a set  $A$ . Then  $a \models \text{Av}(I, A \cup I)$  if and only if  $I \cap \{a\}$  is indiscernible over  $A$ .
- All indiscernible sequences we mention will be assumed to be *endless*.  
We write  $I \equiv_A J$  meaning  $\text{EM}(I/A) = \text{EM}(J/A)$ . We say that  $J$  *continues*  $I$  over  $A$  if  $I \cap J$  is  $A$ -indiscernible.
- For  $I$  an indiscernible sequence over  $A$ , we often denote  $\text{Av}(I, A \cup I)$  by  $\text{Av}(I)$ .  
So this is just the type of the “next element” of  $I$  over  $A$ .

# Basic definitions - forking

- A formula  $\varphi(x, a)$  *divides* over a set  $A$  if there exists an  $A$ -indiscernible sequence  $I = \langle a_i : i < \omega \rangle$  containing  $a$  such that the set

$$\{\varphi(x, a_i) : i < \omega\}$$

is inconsistent.

- $\varphi(x, a)$  *forks* over  $A$  if it implies a finite disjunction of formulas that divide over  $A$ .
- Equivalently,  $\varphi(x, a)$  *forks* over  $A$  if every global type  $p$  which contains  $\varphi(x, a)$  divides over  $A$ .
- A type  $p$  *divides/forks* over a set  $A$  if it contains a dividing/forking formula.

# Basic definitions (splitting)

- A type  $p \in S(B)$  *does not split* over a set  $A$  if whenever  $b, c \in B$  have the same type over  $A$ , we have  $\varphi(x, b) \in p \iff \varphi(x, c) \in p$  for every formula  $\varphi(x, y)$ .
- A type  $p \in S(B)$  *does not split strongly* over a set  $A$  if whenever  $b, c \in B$  are of Lascar distance 1 over  $A$ , we have  $\varphi(x, b) \in p \iff \varphi(x, c) \in p$  for every formula  $\varphi(x, y)$ .
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- Note that a global type doesn't split over a set  $A$  if it is invariant under the action of the automorphism group of  $\mathcal{C}$  over  $A$ .

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# Trivialities on splitting

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- A type  $p$  over  $B$  does not split over  $A$  if and only if whenever  $b, c \in B$  have the same type over  $A$  and  $a \models p$ , we have  $ab \equiv_A ac$ .
- A type  $p$  over  $B$  does not Lascar-split over  $A$  if and only if whenever  $b, c \in B$  have the same *Lascar* type over  $A$  and  $a \models p$ , we have  $ab \equiv_A ac$ .
- Let  $M$  be a  $(|A| + \aleph_0)^+$ -saturated model containing  $A$ ,  $p \in S(M)$ . Then  $p$  does not Lascar-split over  $A$  if and only if  $p$  does not split strongly over  $A$ .
- Let  $A$  be a set. Then there are at most  $2^{2^{|A|+|\mathcal{T}|}}$  types over  $\mathcal{C}$  which do not split over  $A$ . Same is true for splitting replaced with Lascar splitting or strong splitting.

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- Let  $A$  be a set. Then there are at most  $2^{2^{|A|+|T|}}$  types over  $\mathcal{C}$  which do not split over  $A$ . Same is true for splitting replaced with Lascar splitting or strong splitting.

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- Let  $O$  a linear order,  $A$  a set. We call a sequence  $I = \langle a_i : i \in O \rangle$  a *Morley sequence over  $A$*  if it is an indiscernible sequence over  $A$  of realizations of  $p$  and  $\text{tp}(a_i/Aa_{<i})$  does not fork over  $A$  for all  $i \in O$ .
- If a sequence  $I$  is indiscernible over  $B$  and Morley over  $A \subseteq B$ , we sometimes say that  $I$  is *based on  $A$* .
- Let  $p \in S(B)$  be a type. We call a sequence  $I$  a *Morley sequence in  $p$*  if it is a Morley sequence over  $B$  of realizations of  $p$ .
- (*Existence of Morley sequences*). Let  $a, A \subseteq B$  be such that  $\text{tp}(a/B)$  does not fork over  $A$ . Then there exists a Morley sequence in  $\text{tp}(a/B)$  based on  $A$ .

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# Strong splitting and dividing

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- (Shelah) Strong splitting implies dividing, hence forking
- Hence Lascar-splitting implies forking (follows since for global types strong splitting coincides with Lascar-splitting).

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# Important consequences:

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- There are boundedly many global types which do not fork over a given set  $A$ .
  - Let  $I = \langle a_i : i < \lambda \rangle$  be such that
    - $\text{tp}(a_i/Aa_{<i})$  does not fork over  $A$
    - $\text{Lstp}(a_i/Aa_{<i}) = \text{Lstp}(a_j/Aa_{<i})$  for every  $j \geq i$ .
- Then  $I$  is a Morley sequence over  $A$  (that is, it is indiscernible over  $A$ ).

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# Forking - equivalences

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(Shelah, Adler)

The following are equivalent for a global type  $p$  and a set  $A$ :

- $p$  forks over  $A$
- $p$  divides over  $A$
- $p$  splits strongly over  $A$
- $p$  Lascar splits over  $A$
- $p$  is not Lascar-invariant over  $A$

# Morley sequence and average type

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- Let  $I = \langle b_i : i < \omega \rangle$  be an indiscernible sequence in  $p \in S(A)$ . The following are equivalent:
  - ◇  $I$  is a Morley sequence in  $p$ .
  - ◇  $\text{Av}(I)$  is a nonforking extension of  $p$ .
  - ◇ There exists a global extension of  $\text{Av}(I)$  which does not fork over  $A$ .
- A natural question is: what can be said about global extensions of  $\text{Av}(I) = \text{Av}(I, A \cup I)$  as above? How many such extensions are there? Can we describe them?
- The “obvious” candidate  $\text{Av}(I, \mathcal{C})$  does not always work.

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- (Poizat) We call an  $A$ -indiscernible type sequence  $I$  *special* if for every two realizations  $I_1$  and  $I_2$  of  $\text{tp}(I/A)$ , there exists  $J$  such that  $I_1 \frown J$  and  $I_2 \frown J$  are  $A$ -indiscernible.
- We call an  $A$ -indiscernible sequence *weakly special* if two realizations  $I_1$  and  $I_2$  of  $\text{Lstp}(I/A)$ , there exists  $J$  such that  $I_1 \frown J$  and  $I_2 \frown J$  are  $A$ -indiscernible.
- A Morley sequence over  $A$  is weakly special over  $A$ .
- Let  $\varphi(x, b)$  be a formula. We say that an indiscernible sequence  $J$  *eventually determines*  $\varphi(x, b)$  if  $\lim_{J'} \varphi(x, b)$  is constant for all  $J'$  continuing  $J$ .

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- (Poizat) We call an  $A$ -indiscernible type sequence  $I$  *special* if for every two realizations  $I_1$  and  $I_2$  of  $\text{tp}(I/A)$ , there exists  $J$  such that  $I_1 \frown J$  and  $I_2 \frown J$  are  $A$ -indiscernible.
- We call an  $A$ -indiscernible sequence *weakly special* if two realizations  $I_1$  and  $I_2$  of  $\text{Lstp}(I/A)$ , there exists  $J$  such that  $I_1 \frown J$  and  $I_2 \frown J$  are  $A$ -indiscernible.
- A Morley sequence over  $A$  is weakly special over  $A$ .
- Let  $\varphi(x, b)$  be a formula. We say that an indiscernible sequence  $J$  *eventually determines*  $\varphi(x, b)$  if  $\lim_{J'} \varphi(x, b)$  is constant for all  $J'$  continuing  $J$ .

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Let  $I$  be a weakly special sequence over  $A$ ,  $\varphi(x, b)$  a formula. The following is very similar to Poizat's (and Adler's) treatment of special sequences:

- There exists  $J \equiv_{\text{Lstp}, A} I$  which eventually determines  $\varphi(x, b)$ . Moreover, every  $J_0 \equiv_{\text{Lstp}, A} I$  can be extended to  $J$  that eventually determines  $\varphi(x, b)$ .
- For every  $J, J' \equiv_{\text{Lstp}, A} I$  which eventually determine  $\varphi(x, b)$  we have  $\lim_J \varphi(x, b) = \lim_{J'} \varphi(x, b)$ , that is, the “eventual value” of  $\varphi(x, b)$  depends only on Lascar type of  $J$  over  $A$ , and not on the choice of  $J$ .

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- Let  $I$  be a weakly special sequence over  $A$ . We define the *Eventual type* of  $I$  over a set  $C$ ,  $\text{Ev}(I, C)$ : the truth value of a formula  $\varphi(x, b)$  equals the “eventual value” of  $\varphi(x, b)$  as in the previous slide (depends only on  $\text{Lstp}(I/A)$ ). We denote  $\text{Ev}(I) = \text{Ev}(I, \mathfrak{C})$ .
- If  $I$  is a weakly special sequence over  $A$ , then  $\text{Ev}(I)$  is a global type extending  $\text{Av}(I)$ .
- If  $I$  is a weakly special sequence over  $A$  which is also an indiscernible set over  $A$ , then  $\text{Ev}(I) = \text{Av}(I, \mathfrak{C})$ .
- Example: an increasing sequence of elements in the structure  $(\mathbb{Q}, <)$  is weakly special and  $\text{Ev}(I) \neq \text{Av}(I, \mathfrak{C})$ .

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# Eventual types - III

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- Let  $I$  be a weakly special sequence over  $A$ . Then  $\text{Ev}(I)$  is a global type which does not Lascar-split over  $A$ . Hence it does not *fork* over  $A$ .
- Recall that  $\text{Ev}(I)$  extends  $\text{Av}(I)$ . It follows that  $I$  is a *Morley sequence* over  $A$ .
- We have established:  $I$  is a Morley sequence over  $A$  if and only if it is weakly special over  $A$ .

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# Stationarity of average types

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- So we have a partial answer to our question: given a Morley sequence  $I$ , the global type  $\text{Ev}(I)$  is an extension of  $\text{Av}(I)$  which does not fork over  $A$ .
- Let  $I$  be a Morley (nonforking) sequence over a set  $A$ . Then there exists a unique global types extending  $\text{Av}(I)$  which does not fork over  $A$ . In other words,  $\text{Av}(I)$  is stationary over  $A$ . (Requires a bit of work)
- So if  $I$  is a Morley sequence over  $A$ , then  $\text{Ev}(I)$  is *the unique global type extending  $\text{Av}(I)$  which does not fork over  $A$* .

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# Generic stability

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- Recall: if  $I$  is a weakly special indiscernible set over  $A$ , then  $\text{Ev}(I) = \text{Av}(I, \mathfrak{C})$ . Hence  $\text{Av}(I, \mathfrak{C})$  *does not fork over  $A$* .
- We call a type  $p \in S(A)$  *generically stable* if there exists a Morley sequence  $\langle b_i : i < \omega \rangle$  in  $p$  (over  $A$ ) which is an indiscernible set.
- This notion is based on Shelah's "stable" types (Shelah only studied finitely satisfiable types and co-heir sequences). The general notion was studied independently by Hrushovski and Pillay. In fact, I adopted the name they proposed.

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# Definability and Stationarity

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- Let  $p \in S(A)$  be generically stable. Then  $p$  is definable almost over  $A$ .
- Let  $p \in S(A)$  be a generically stable type such that the definition schema  $d_p$  as before is over  $A$  (e.g.  $A = \text{acl}(A)$ ). Then  $p$  is stationary.

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# Some consequences

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- A type  $p$  is generically stable if and only if it is extensible (does not fork over its domain) and every Morley sequence in it is an indiscernible set.
- Let  $p \in S(A)$  be generically stable,  $q \in S(B)$  extending  $p$ . Then  $q$  does not fork over  $A$  if and only if it is definable almost over  $A$ .
- A type which is parallel to a generically stable type is generically stable.
- A type dominated by generically stable type is generically stable.

# Symmetry Lemma

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From now on we write  $a \downarrow_A b$  for “ $\text{tp}(a/Ab)$  does not fork over  $A$ ” (although in general this relation does not need to be symmetric).

Let  $p \in S(A)$  be generically stable,  $q \in S(A)$  does not fork over  $A$ ,  $a \models p$ ,  $b \models q$ . Then

- $a \downarrow_A b \implies b \downarrow_A a$ . Moreover, if  $A = \text{acl}(A)$  and  $a \downarrow_A b$ , then there exists a unique nonforking extension of  $q$  to  $S(Aa)$  which equals  $\text{tp}(b/Aa)$ .
- $b \downarrow_A a \implies a \downarrow_A b$ .

# Properties of Stable Independence

Let  $p, q \in S(A)$  be generically stable,  $a, b$  realize  $p, q$  respectively, and let  $c, \bar{d}$  be any tuples (maybe infinite). Then:

- *Irreflexivity*  $a \perp_A a$  if and only if  $p$  is algebraic
- *Monotonicity* If  $a \perp_A bc\bar{d}$ , then  $a \perp_A cb$ .
- *Symmetry*  $a \perp_A b$  if and only if  $b \perp_A a$
- *Transitivity*  $a \perp_A c\bar{d}$  if and only if  $a \perp_{Ac} \bar{d}$  and  $a \perp_A c$
- *Existence* Let  $B \supseteq A$ , then there exists  $a' \equiv_A a$  such that  $\text{tp}(a'/B)$  is generically stable and  $a' \perp_A B$ .
- *Uniqueness* If  $a \perp_A c$ ,  $a' \perp_A c$  and  $a' \equiv_{\text{acl}(A)} a$ , then  $a \equiv_{Ac} a'$
- *Local Character* If  $a \perp_A c$ , then for some subset  $A_0$  of  $A$  of cardinality  $|T|$ ,  $a \perp_{A_0} c$ .

# More characterizations

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- A type  $p$  is generically stable if and only if nonforking is symmetric on the set of its realizations.
- This is essentially true because an indiscernible sequence  $I = \langle a_\alpha : \alpha < \lambda \rangle$  which is a forking independent set, that is,  $a_\alpha \perp a_{\neq\alpha}$  for all  $\alpha$  is an indiscernible set.
- A type  $p$  is generically stable if and only if there is a Morley sequence  $I$  in it such that  $\text{Av}(I, \mathfrak{C})$  does not fork over the domain of  $p$ .
- A type  $p$  is generically stable if and only if it has a global nonforking extension which is both definable over and finitely satisfiable in a small model  $M$ .
- A type  $p$  is generically stable if and only if it has a global nonforking extension which is both definable over and finitely satisfiable in a countable Morley sequence  $I$ .



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# Stable types

- (Lascar and Poizat) Recall that a type  $p$  is called *stable* if every extension of it is definable.
- Every stable type is generically stable.
- Let  $p \in S(A)$ . The Following Are Equivalent:
  - $p$  is stable.
  - Every extension of  $p$  is stable.
  - Every extension of  $p$  is generically stable.
  - Every indiscernible sequence in  $p$  is an indiscernible set.
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# Stable types

- (Lascar and Poizat) Recall that a type  $p$  is called *stable* if every extension of it is definable.
- Every stable type is generically stable.
- Let  $p \in S(A)$ . The Following Are Equivalent:
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# Interesting Examples

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sequences in  
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stability

Strong  
nonforking

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Generically  
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Generically stable types which are not stable or stably dominated:

- $(Q, P_0, <, +)$ ,  $p$  the “infinity” type. Then it is generically stable.
- Let  $RV$  be a two-sorted theory of a real closed (ordered) field  $R$  and an infinite dimensional vector space  $V$  over it. There is a definable partial order on  $V$ :

$$v_1 \leq v_2 \iff \exists r \in R, r \geq 1_R \text{ such that } v_2 = r \cdot v_1$$

Let  $M$  be a model and  $p \in S(M)$  be the type of a generic vector. Then  $p$  is generically stable and every Morley sequence is an indiscernible linearly independent set.

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# Morley sequences and dividing

(with Alf Onshuus)

Assume  $A$  is an extension base.

- Let  $\varphi(x, a)$  be a formula which divides over a set  $A$ . Then there exists a Morley sequence  $I$  in  $\text{tp}(a/A)$  witnessing dividing; that is, the set  $\varphi(x, I) = \{\varphi(x, a') : a' \in I\}$  is inconsistent.
- Moreover, there exists a global type  $q$  extending  $\text{tp}(a/A)$  which does not fork over  $A$  such that any Morley sequence in  $q$  over  $A$  exemplifies dividing of  $\varphi(x, a)$ .
- If  $A$  is a model,  $q$  can be chosen to be finitely satisfiable in  $A$ .
- Adler and Pillay noticed that the proof only uses  $NTP_2$  (and not  $NIP$ ).

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# Shelah's strong nonforking

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- Let  $A \subseteq B$ . We say that a type  $p = \text{tp}(a/B)$  *weakly divides* over  $A$  if  $\text{tp}(a/B)$  divides over  $A$  or  $\text{tp}(B/Aa)$  divides over  $A$ .
- Not the same as the original notion of weak dividing! So what...
- We say that  $P = \text{tp}(a/B)$  *weakly forks* over  $A$  if every extension of it to a global type weakly divides over  $A$ .
- We say that  $p$  is a *strongly nonforking/nondividing* extension of  $p|_A$  if it does not weakly fork/divide over  $A$ .

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# Strongly nonforking extensions

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Let  $N$  be saturated enough over  $A$ . Then

- A type  $p \in S(N)$  does not weakly fork over  $A$  if and only if for every  $a \models p$ 
  - $a \downarrow_A N$
  - $\text{tp}(N/Aa)$  does not divide over  $A$ .
- If  $p \in S(N)$  is a heir of  $p \upharpoonright A$  and does not fork over  $A$ , it is strongly nonforking over  $A$ . In particular this is the case if  $p$  is both a heir and a co-heir of  $p \upharpoonright A$ .
- Note: a global type which is both definable in  $p$  and a co-heir of  $p \upharpoonright A$ , is generically stable. Not so if  $p$  is just a heir and a co-heir.

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# Strong Morley sequences

Morley sequences in Dependent Theories

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Morley sequences in dependent theories

Generic stability

Strong nonforking

Related issues and weight

Generically stable measures

- Let  $O$  a linear order,  $A$  a set. We call a sequence  $I = \langle a_i : i \in O \rangle$  a *strong Morley sequence over  $B$  based on  $A$*  if it is an indiscernible sequence over  $B$  and  $\text{tp}(a_i/Ba_{<i})$  is strongly free over  $A$  for all  $i \in O$ .
- In the previous definition, we omit “based on  $A$ ” if  $A = B$ .
- Let  $p \in S(B)$  be a type. We call a sequence  $I$  a *strong Morley sequence in  $p$*  if it is a strongly Morley sequence over  $B$  of realizations of  $p$ .

# Strong Morley sequences and dividing

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“Kim’s Lemma” for dependent theories.

Assume  $A$  is an extension base.

- Let  $\varphi(x, a)$  be a formula which divides over a set  $A$ . Then every strongly Morley sequence  $I$  in  $\text{tp}(a/A)$  witnesses dividing; that is, the set  $\varphi(x, I) = \{\varphi(x, a') : a' \in I\}$  is inconsistent.
- Observed independently by Itay Kaplan and Artem Chernikov.

# Existence?

- That is all very nice, but do strong Morley sequences actually exist?
- Shelah claimed that any co-heir over  $M$  does not weakly fork over  $M$ . Turns out to be false.
- (Chernikov and Kaplan) Let  $M$  be a model,  $p \in S(M)$ . Assume that

$$p \vdash \bigvee_{i < k} \varphi_i(x, b_i) \vee \bigvee_{j < n} \psi_j(x, c_j)$$

where  $\varphi_i(x, y_i), \psi_j(x, z_j)$  are over  $M$ ,  $\varphi_i(x, b_i)$  does not divide over  $M$  for all  $i$ , and  $\psi_j(x, c_j)$  divides over  $M$  for all  $j$ . Then there are  $m < \omega$  and automorphisms  $\sigma_0, \dots, \sigma_{m-1}$  over  $M$  such that

$$p \vdash \bigvee_{i < k} \bigvee_{l < m} \varphi_i(x, \sigma_l(b_i))$$



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# Existence!

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- Every type over a model has an extension which is a global nonforking heir.
- Moreover, if  $T$  is extendible (that is, every type is extendible), then every type has a global extension which does not weakly fork over  $A$ .
- So strong Morley sequences exist, at least over models.

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# Properties of strong nonforking

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(with Itay Kaplan)

Let  $M$  be a model.

- Strong nonforking over  $M$  is symmetric.
- The following are equivalent for  $p \in S(M)$ 
  - Strong nonforking satisfies transitivity on the set of realizations of  $p$ .
  - Strong nonforking coincides with nonforking for realizations of  $p$ .
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# “Local character” for dependent theories

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Let  $M$  be a model (can be replaced with any set in an extendible dependent theory).

- ( $NTP_2$ ) Let  $\langle a_\alpha : \alpha < \lambda \rangle$  be a strongly nonforking sequence (that is,  $a_\alpha \perp_M a_{<\alpha}$ ),  $b$  an element. Then for almost all (except  $|T|$ -many)  $\alpha$  we have  $b \perp_M a_\alpha$ .
- This is not true when strong nonforking is replaced with nonforking.
- Question: what about assuming that  $\{a_\alpha : \alpha < \lambda\}$  is a forking independent set, that is,  $a_\alpha \perp_M a_{\neq\alpha}$  for all  $\alpha$ ?

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- Question: let  $\{a_\alpha : \alpha < \lambda\}$  be given. What is the weakest condition one needs to impose on this set such that whenever there are indiscernible sequences  $J_\alpha$  starting with  $a_\alpha$  there are indiscernible sequences  $J'_\alpha$  starting with *the same*  $a_\alpha$  such that  $J'_\alpha$  is indiscernible over  $J'_{\neq\alpha}$  and  $J'_\alpha \equiv J_\alpha$ ?
- (Shelah) True if this is a strongly nonforking sequence.
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# Related problems

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# Some unsatisfactory answers

- If  $\{a_\alpha : \alpha < \lambda\}$  is a nonforking sequence, then there are mutually indiscernible  $J_\alpha$  starting with  $a_\alpha$  (but one can not control their type!).
- If  $\{a_\alpha : \alpha < \lambda\}$  is a nonforking set, then whenever there are indiscernible sequences  $J_\alpha$  starting with  $a_\alpha$  there are indiscernible sequences  $J'_\alpha$  starting with *the same*  $a_\alpha$  such that  $J'_\alpha$  is indiscernible over  $a_{\neq\alpha}$  and  $J'_\alpha \equiv J_\alpha$ .
- Of course, if the type of  $a_\alpha$  is generically stable, any assumption suffices for the strongest conclusion.
- All these (and other similar results) use boundedness of nonforking.
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- So the “local character” mentioned above can be stated in a much more familiar way: every type has bounded weight.
- There are slightly different ways of defining weight, some of which might be equivalent (one still has to sort out the relationship between strong nonforking, strong nondividing and nonforking; work in progress). But in any reasonable definition the statement above is true.
- Moreover,  $T$  is strongly dependent if and only if every type has almost finite weight.
- Question: does almost finite weight imply finite weight? True in stable, and every simple theories (essentially due to Hyttinen).
- All this is very much related to Hans Adler’s work on “burden”; see his talk.

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# Generically stable measures

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No relevant data available.