

# ON THE LENGTH OF CHAINS OF PROPER SUBGROUPS COVERING A TOPOLOGICAL GROUP

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ABSTRACT. We prove that if an ultrafilter  $\mathcal{L}$  is not coherent to a  $Q$ -point, then each analytic non- $\sigma$ -bounded topological group  $G$  admits an increasing chain  $\langle G_\alpha : \alpha < \mathfrak{b}(\mathcal{L}) \rangle$  of its proper subgroups such that: (i)  $\bigcup_\alpha G_\alpha = G$ ; and (ii) For every  $\sigma$ -bounded subgroup  $H$  of  $G$  there exists  $\alpha$  such that  $H \subset G_\alpha$ . In case of the group  $\text{Sym}(\omega)$  of all permutations of  $\omega$  with the topology inherited from  $\omega^\omega$  this improves upon earlier results of S. Thomas.

## 1. INTRODUCTION

A theorem of Macpherson and Neumann [13] states that if the group  $\text{Sym}(\omega)$  can be written as a union of an increasing chain  $\langle G_i : i < \lambda \rangle$  of proper subgroups  $G_i$ , then  $\lambda > \omega$ . Throughout this paper the minimal  $\lambda$  with this property will be denoted by  $\text{cf}(\text{Sym}(\omega))$ . For every increasing function  $f \in \omega^\omega$  we denote by  $S_f$  the subgroup of  $\text{Sym}(\omega)$  generated by  $\{\pi \in \text{Sym}(\omega) : \pi, \pi^{-1} \leq^* f\}$ , where  $x \leq^* y$  means that  $x(n) \leq y(n)$  for all but finitely many  $n \in \omega$ . If we additionally require that for every  $f \in \omega^\omega$  there exists  $i \in \lambda$  such that  $S_f \subset G_i$ , then the minimal length of such a chain will be denoted by  $\text{cf}^*(\text{Sym}(\omega))$ . It is clear that  $\text{cf}^*(\text{Sym}(\omega)) \geq \max\{\text{cf}(\text{Sym}(\omega)), \mathfrak{b}\}$ . The consistency of  $\text{cf}^*(\text{Sym}(\omega)) > \text{cf}(\text{Sym}(\omega))$  and the inequality  $\text{cf}^*(\text{Sym}(\omega)) \leq \text{cf}(\mathfrak{d})$  were established in [18, Proposition 2.5]. The initial aim of this paper was to sharpen the latter upper bound on  $\text{cf}^*(\text{Sym}(\omega))$ . This led us to consider increasing chains of proper submonoids of topological monoids.

We recall that a *semigroup* is a set with a binary associative operation  $\cdot : X \times X \rightarrow X$ . A semigroup with a two-sided unit 1 is called a *monoid*. It is clear that each group is a monoid. By a *topological monoid* we understand a monoid  $X$  with a topology  $\tau$  making the binary operation  $\cdot : X \times X \rightarrow X$  of  $X$  continuous.

**Definition 1.1.** Let  $X$  be a topological monoid (resp. group). The minimal length of an increasing chain  $\langle X_i : i < \lambda \rangle$  of proper submonoids (resp. subgroups)  $X_i$  of  $X$  such that  $X = \bigcup_{i < \lambda} X_i$  and for every  $\sigma$ -bounded subset  $H$  of  $X$  there exists  $i \in \lambda$  such that  $H \subset X_i$  will be denoted by  $\text{cf}_m^*(X)$  (resp.  $\text{cf}_g^*(X)$ ).

We recall that a subset  $B$  of a topological monoid  $X$  is said to be *totally bounded*, if for every open neighborhood  $U$  of the identity 1 of  $X$  there exists a finite subset  $F$  of  $X$  such that  $X \subset FU \cap UF$ . A subset  $B$  is said to be  *$\sigma$ -bounded*, if it can

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be written as a countable union of totally bounded subsets. A direct verification shows that  $\text{cf}^*(\text{Sym}(\omega))$  as defined in [18] and  $\text{cf}_g^*(\text{Sym}(\omega))$  in the sense of our Definition 1.1 coincide.

It is clear that  $\text{cf}_m^*(X) \leq \text{cf}_g^*(X)$  for every topological group  $X$ . We do not know whether these cardinals can be different. Probably the most interesting case is the group  $\text{Sym}(\omega)$ .

Let  $R$  be a relation on  $\omega$  and  $x, y \in \omega^\omega$ . We denote by  $[x R y]$  the set  $\{n \in \omega : x(n) R y(n)\}$ . For an ultrafilter  $\mathcal{F}$  the notation  $x \leq_{\mathcal{F}} y$  means  $[x \leq y] \in \mathcal{F}$ . Let  $\mathfrak{b}(\mathcal{F})$  be the cofinality of the linearly ordered set  $(\omega^\omega, \leq_{\mathcal{F}})$ .

Following [2] we define a point  $x \in X$  of a topological monoid  $X$  to be *left balanced* (resp. *right balanced*) if for every neighborhood  $U \subset X$  of the unit 1 of  $X$  there is a neighborhood  $V \subset X$  of 1 such that  $Vx \subset xU$  (resp.  $xV \subset Ux$ ). Observe that  $x$  is left balanced if the left shift  $l_x : X \rightarrow X$ ,  $l_x : y \mapsto xy$ , is open at 1. Let  $B_L$  and  $B_R$  denote respectively the sets of all left and right balanced points of the monoid  $X$ . A topological monoid  $X$  is defined to be *left balanced* (resp. *right balanced*) if  $X = B_L \cdot U$  (resp.  $X = U \cdot B_R$ ) for every neighborhood  $U \subset X$  of the unit 1 in  $X$ . If a topological monoid  $X$  is both left and right balanced, then we say that  $X$  is *balanced*.

We define a topological monoid  $X$  to be a Menger monoid<sup>1</sup>, if for every sequence  $\langle U_n : n \in \omega \rangle$  of open neighborhoods of 1 there exists a sequence  $\langle F_n : n \in \omega \rangle$  of finite subsets of  $X$  such that  $X = \bigcup_{n \in \omega} F_n U_n \cap U_n F_n$ . A topological monoid  $X$  is said to be  $\omega$ -*bounded*, if for every neighborhood  $U$  of 1 there exists a countable  $C \subset X$  such that  $X = C \cdot U$ .

The following two theorems are the principal results of this paper.

**Theorem 1.2.** *Let  $X$  be a first countable  $\omega$ -bounded balanced topological monoid such that one of its finite powers is not a Menger monoid. Then  $\text{cf}_m^*(X) \leq \mathfrak{b}(\mathcal{L})$  for every ultrafilter  $\mathcal{L}$  which is not coherent to any  $Q$ -point.*

**Theorem 1.3.** *Let  $G$  be an  $\omega$ -bounded topological group such that one of its finite powers is not a Menger monoid. Then  $\text{cf}_g^*(G) \leq \mathfrak{b}(\mathcal{L})$  for every ultrafilter  $\mathcal{L}$  which is not coherent to any  $Q$ -point.*

Applying [2, Proposition 7.5] we conclude that the Baire space  $\omega^\omega$  with the operation of composition is a balanced topological monoid, and  $\sigma$ -bounded subsets of this topological monoid are exactly those which are contained in the  $\sigma$ -compact subsets of  $\omega^\omega$ . It is easy to see that  $\omega^\omega$  is not a Menger monoid. Thus we get the following

**Corollary 1.4.** *Let  $\mathcal{L}$  be an ultrafilter coherent to no  $Q$ -point. Then  $\omega^\omega$  can be written as the union of an increasing chain of its proper subsets of length  $\leq \mathfrak{b}(\mathcal{L})$ , each of which is closed under composition, and such that every  $\sigma$ -compact subset of  $\omega^\omega$  is contained in one of the elements of this chain.*

A metrizable space  $X$  is said to be *analytic*, if it is a continuous image of  $\omega^\omega$ . A topological group  $G$  is called *analytic* if such is the underlying topological space. Theorem 1.3 implies the following:

**Corollary 1.5.** *Let  $G$  be an analytic group which is not  $\sigma$ -bounded. Then  $\text{cf}_g^*(G) \leq \mathfrak{b}(\mathcal{L})$  for every ultrafilter  $\mathcal{L}$  which is not coherent to any  $Q$ -point.*

<sup>1</sup>In terms of [2] this means that  $(X, \mu_L \wedge \mu_R)$  is a Menger monoid.

$\text{Sym}(\omega)$  is easily seen to be a  $G_\delta$ -subset of  $\omega^\omega$  and the composition as well as the inversion are continuous with respect to the topology inherited from  $\omega^\omega$ . Therefore  $\text{Sym}(\omega)$  with this topology is a Polish topological group. A direct verification also shows that it is not  $\sigma$ -bounded.

**Corollary 1.6.**  *$\text{cf}^*(\text{Sym}(\omega)) \leq \mathfrak{b}(\mathcal{L})$  for every ultrafilter  $\mathcal{L}$  which is not coherent to a  $Q$ -point.*

Combined with the following consequence of [12, Theorem 2.8], Corollary 1.6 yields the upper bound for  $\text{cf}^*(\text{Sym}(\omega))$  obtained earlier in [18].

**Proposition 1.7.** *There exists an ultrafilter  $\mathcal{L}$  which is not coherent to any  $Q$ -point and such that  $\mathfrak{b}(\mathcal{L}) = \text{cf}(\mathfrak{d})$ .*

We recall from [5] that ultrafilters  $\mathcal{F}$  and  $\mathcal{U}$  on  $\omega$  are said to be *nearly coherent*, if there exists an increasing sequence  $\langle k_n : n \in \omega \rangle$  of natural numbers such that  $\bigcup_{n \in I} [k_n, k_{n+1}) \in \mathcal{F}$  if and only if  $\bigcup_{n \in I} [k_n, k_{n+1}) \in \mathcal{U}$  for every subset  $I$  of  $\omega$ . In what follows we shall drop “near” and simply say that two ultrafilters are coherent. In other words,  $\mathcal{F}$  and  $\mathcal{U}$  are coherent if and only if  $\phi(\mathcal{F}) = \phi(\mathcal{U})$  for some increasing surjection  $\phi : \omega \rightarrow \omega$ . The coherence relation is an equivalence relation. NCF is the statement that all ultrafilters are coherent. Its consistency was established in [7].

An ultrafilter  $\mathcal{L}$  is called:

- a (*pseudo-*)  $P_\kappa$ -point, where  $\kappa$  is a cardinal, if for every  $\mathcal{L}' \in [\mathcal{L}]^{<\kappa}$  there exists  $L \in \mathcal{L}$  (resp.  $L \in [\omega]^\omega$ ) such that  $L \subset^* L'$  for all  $L' \in \mathcal{L}'$ .  $P_{\omega_1}$ -points are also called  $P$ -points;
- a *simple*  $P_\kappa$ -point, if there exists a sequence  $\langle L_\alpha : \alpha < \kappa \rangle$  of infinite subsets of  $\omega$  such that  $L_\alpha \subset^* L_\beta$  for all  $\kappa > \alpha > \beta$  and  $\mathcal{L} = \{X \subset \omega : L_\alpha \subset X \text{ for some } \alpha < \kappa\}$ ;
- a  $Q$ -point, if for every increasing surjection  $\phi : \omega \rightarrow \omega$  there exists  $L \in \mathcal{L}$  such that  $\phi \upharpoonright L$  is injective;
- a *Ramsey ultrafilter*, if it is simultaneously both a  $P$ - and a  $Q$ -point.

Corollary 1.6 implies the following statements.

**Corollary 1.8.** *Suppose that there exists a pseudo- $P_{\mathfrak{b}^+}$ -point. Then  $\text{cf}^*(\text{Sym}(\omega)) = \mathfrak{b}$ .*

**Corollary 1.9.** *Suppose that  $\mathfrak{u} < \text{cf}^*(\text{Sym}(\omega))$ . Every two ultrafilters that are not coherent to  $Q$ -points are coherent. In particular, if there is no  $Q$ -point, then NCF holds.*

Corollary 1.8 can be compared to the following theorem: If  $\lambda < \kappa$  are regular uncountable cardinals such that there exists a simple  $P_\lambda$ -point  $\mathcal{U}$  and a  $P_\kappa$ -point  $\mathcal{F}$ , then  $\text{cf}^*(\text{Sym}(\omega)) \leq \lambda$  (cf. [18, Theorem 3.4]). The assumption of this theorem (whose consistency was conjectured in [7]) clearly implies that  $\mathfrak{u} < \mathfrak{s}$  and  $\mathcal{U}$  is not coherent to  $\mathcal{F}$ , and hence there are exactly two coherence classes of ultrafilters (cf. [6, Corollary 13]). The question whether there can be exactly  $n$  coherence classes of ultrafilters for  $1 < n < \omega$  remains open.

On the other hand, given any ground model of GCH and a regular cardinal  $\nu$  in it, the forcing from [8] with  $\delta = \omega_1$  and  $\nu = \kappa$  ( $\delta$  and  $\nu$  are the two parameters there) yields a model of “there exists a simple  $P_\kappa$ -point  $\mathcal{U}$  and  $\mathfrak{b} = \omega_1 \leq 2^\omega = \kappa$ ”. Combined with Theorem 1.3 this gives the consistency of the statement “there exists a simple  $P_\kappa$ -point  $\mathcal{U}$  and  $\omega_1 = \mathfrak{b} = \text{cf}^*(\text{Sym}(\omega)) = \mathfrak{b}(\mathcal{U}) < \kappa$ ”.

We shall denote the set of all unbounded nondecreasing elements of  $\omega^\omega$  by  $\omega^{\uparrow\omega}$ . We call a set  $F \subset \omega^{\uparrow\omega}$  *finitely dominating*, if for every  $x \in \omega^\omega$  there exists a finite subset  $\{f_0, \dots, f_n\}$  of  $F$  such that  $x \leq^* \max\{f_0, \dots, f_n\}$ . Following [14] we denote the minimal size of a family of non-finitely dominating sets covering  $\omega^{\uparrow\omega}$  by  $\text{cov}(\mathfrak{D}_{fin})$ .

As the next theorem shows, NCF implies that  $\text{cf}^*(\text{Sym}(\omega))$  is maximal possible.

**Theorem 1.10.**  $\text{cf}^*(\text{Sym}(\omega)) \geq \text{cov}(\mathfrak{D}_{fin})$ . *Moreover, NCF implies that  $\text{cf}^*(\text{Sym}(\omega)) = \mathfrak{d}$ .*

Shelah and Tsaban [17] proved that  $\max\{\mathfrak{b}, \mathfrak{g}\} \leq \text{cov}(\mathfrak{D}_{fin})$ , and the strict inequality is consistent (cf. [14]). Thus Theorem 1.10 improves the lower bound in  $\mathfrak{g} \leq \text{cf}^*(\text{Sym}(\omega))$  [18, Theorem 2.6]. Combining Corollary 1.9 and the fact that there are no  $Q$ -points under  $\mathfrak{u} < \mathfrak{s}$  (cf. [3, Theorems 13.6.2, 13.8.1]), we get the following:

**Corollary 1.11.** *If  $\mathfrak{u} < \min\{\mathfrak{s}, \text{cf}^*(\text{Sym}(\omega))\}$ , then NCF holds.*

We do not know whether the inequality  $\mathfrak{u} < \text{cf}^*(\text{Sym}(\omega))$  (or even  $\mathfrak{u} < \text{cf}(\text{Sym}(\omega))$ ) implies NCF. This would be true if  $\text{cf}(\text{Sym}(\omega)) \leq \mathfrak{mcf} = \min\{\mathfrak{b}(\mathcal{F}) : \mathcal{F} \text{ is an ultrafilter}\}$  (in particular, if  $\mathfrak{mcf}$  is attained at some ultrafilter not coherent to a  $Q$ -point). It would also be interesting to establish whether NCF implies  $\text{cf}(\text{Sym}(\omega)) = \mathfrak{d}$ .

This work is a continuation of our previous paper [2]. We refer the reader to [19] for the definitions and basic properties of small cardinals which are used but not defined in this paper. All filters are assumed to be non-principal.

## 2. PROOFS

The main technical tool for the proofs of Theorems 1.2 and 1.3 was developed in [2]. This will allow us to prove some stronger technical statements in this section, namely Propositions 2.5 and 2.6. In order to formulate them we need to recall some definitions.

Let  $\mathcal{F}$  be a filter. Following [4] (our definition of an  $[\mathcal{F}]$ -cover differs slightly from the one given in [2, 4], however, by [3, 5.5.2, 5.5.3] the two versions are equivalent), we define an indexed cover  $\langle B_n : n \in \omega \rangle$  of a set  $X$  to be an  $[\mathcal{F}]$ -cover if there is an increasing surjection  $\phi : \omega \rightarrow \omega$  such that  $\phi(\{n \in \omega : x \in B_n\}) \in \mathcal{F}$  for every  $x \in X$ .

A subset  $X$  of a topological monoid  $M$  is defined to be  $[\mathcal{F}]$ -Menger if for every sequence  $\langle U_n : n \in \omega \rangle$  of neighborhoods of 1 in  $M$  there is a sequence  $\langle F_n : n \in \omega \rangle$  of finite subsets of  $M$  such that  $\langle U_n \cdot F_n \cap F_n \cdot U_n : n \in \omega \rangle$  is an  $[\mathcal{F}]$ -cover of  $X$ . The latter happens if and only if

$$X \subset \bigcup_{F \in \mathcal{F}} \bigcap_{n \in \phi(F)} U_n \cdot F_n \cap F_n \cdot U_n$$

for some monotone surjection  $\phi : \omega \rightarrow \omega$ .

**Definition 2.1.** For a topological monoid (group)  $X$  and a free filter  $\mathcal{F}$  on  $\omega$  by  $\text{cf}_m^{\mathcal{F}}(X)$  (resp.  $\text{cf}_g^{\mathcal{F}}(X)$ ) we denote the minimal length of an increasing chain  $\langle X_i : i < \lambda \rangle$  of proper submonoids (subgroups)  $X_i$  of  $X$  such that  $X = \bigcup_{i < \lambda} X_i$  and for every  $[\mathcal{F}]$ -Menger subset  $H$  of  $X$  there exists  $i \in \lambda$  such that  $H \subset X_i$ .

If no such chain exists, then we say that  $\text{cf}_m^{\mathcal{F}}(X)$  (resp.  $\text{cf}_g^{\mathcal{F}}(X)$ ) is undefined.

It is easy to check that  $\text{cf}_m^*(X)$  (resp.  $\text{cf}_g^*(X)$ ) is  $\text{cf}_m^{\mathfrak{F}r}(X)$  (resp.  $\text{cf}_g^{\mathfrak{F}r}(X)$ ), where  $\mathfrak{F}r$  denotes the Fréchet filter consisting of all cofinite subsets of  $\omega$ .

Let  $\mathcal{F}$  be an ultrafilter. A sequence  $\langle b_\alpha : \alpha < \mathfrak{b}(\mathcal{F}) \rangle$  of increasing elements of  $\omega^\omega$  is called a  $\mathfrak{b}(\mathcal{F})$ -scale, if it is cofinal with respect to  $\leq_{\mathcal{F}}$  and  $b_\alpha \leq_{\mathcal{F}} b_\beta$  for all  $\alpha \leq \beta < \mathfrak{b}(\mathcal{F})$ .

Let us denote the family of all monotone surjections from  $\omega$  to  $\omega$  by  $\mathcal{S}$ . Following [3, §10.1] (see also [9]) we denote for an ultrafilter  $\mathcal{F}$  by  $\mathfrak{q}(\mathcal{F})$  the minimal size of a subfamily  $\Phi$  of  $\mathcal{S}$  such that for every  $\psi \in \mathcal{S}$  there exists  $\phi \in \Phi$  such that  $[\phi \leq \psi] \in \mathcal{F}$ . It is clear that there exists a sequence  $\langle \phi_\alpha : \alpha < \mathfrak{q}(\mathcal{F}) \rangle \in \mathcal{S}^{\mathfrak{q}(\mathcal{F})}$  such that  $[\phi_\beta < \phi_\alpha] \in \mathcal{F}$  for all  $\beta > \alpha$  and for every  $\psi \in \mathcal{S}$  there exists  $\alpha$  with the property  $[\phi_\alpha < \psi] \in \mathcal{F}$ . Such a family will be called a  $\mathfrak{q}(\mathcal{F})$ -scale.

Cardinals  $\mathfrak{b}(\mathcal{F})$  and  $\mathfrak{q}(\mathcal{F})$  are the cofinality and the coinitality of the linearly ordered set  $(\omega^{\uparrow\omega}, \leq_{\mathcal{F}})$ , which in a certain sense makes them dual.

If an ultrafilter  $\mathcal{F}$  is not coherent to any  $Q$ -point then  $\mathfrak{b}(\mathcal{F}) = \mathfrak{q}(\mathcal{F})$ , for a proof see [12, 10] or [3, 10.2.5]. On the other hand, there can be ultrafilters  $\mathcal{F}$  with  $\mathfrak{b}(\mathcal{F}) \neq \mathfrak{q}(\mathcal{F})$ , see [9]. As we shall see later, this means that  $\text{cf}_g^{\mathcal{F}}(X)$  and  $\text{cf}_m^{\mathcal{F}}(X)$  are not always well-defined.

**Theorem 2.2.** *Let  $\mathcal{F}$  be an ultrafilter and  $X$  a first countable  $\omega$ -bounded balanced topological monoid (resp. first countable topological group) and suppose that one of its finite powers is not a Menger monoid.*

- (1) *If the cardinal  $\text{cf}_m^{\mathcal{F}}(X)$  (resp.  $\text{cf}_g^{\mathcal{F}}(X)$ ) exists, then it is equal to  $\mathfrak{b}(\mathcal{F})$  and  $\mathfrak{b}(\mathcal{F}) = \mathfrak{q}(\mathcal{F})$ .*
- (2) *If  $\mathcal{F}$  is not coherent to any  $Q$ -point, then the cardinal  $\text{cf}_m^{\mathcal{F}}(X)$  (resp.  $\text{cf}_g^{\mathcal{F}}(X)$ ) exists and hence it is equal to  $\mathfrak{b}(\mathcal{F}) = \mathfrak{q}(\mathcal{F})$ .*
- (3) *For the group  $X = \text{Auth}(\mathbb{R}_+)$  of the homeomorphisms of the half-line the cardinal  $\text{cf}_m^{\mathcal{F}}(X)$  exists if and only if  $\text{cf}_g^{\mathcal{F}}(X)$  exists if and only if  $\mathcal{F}$  is not coherent to a  $Q$ -point.*

We postpone the proof of Theorem 2.2 for the moment. It is clear that for a topological group  $X$  the existence of  $\text{cf}_g^{\mathcal{F}}(X)$  implies the existence of  $\text{cf}_m^{\mathcal{F}}(X)$ , and in this case  $\text{cf}_m^{\mathcal{F}}(X) \leq \text{cf}_g^{\mathcal{F}}(X)$ .

**Question 2.3.** Is the existence of  $\text{cf}_g^{\mathcal{F}}(X)$  equivalent to the existence of  $\text{cf}_m^{\mathcal{F}}(X)$  (at least for the group  $\text{Sym}(\omega)$ )? Are these cardinals always equal (if they exist)?

The following result was established in [2].

**Lemma 2.4.** *A topological group (resp. balanced topological monoid)  $H$  is  $[\mathcal{L}]$ -Menger for some ultrafilter  $\mathcal{L}$  coherent to no  $Q$ -point if and only if  $H$  is algebraically generated by an  $[\mathcal{L}]$ -Menger subspace  $X \subset H$ .*

The condition in Lemma 2.4 that  $\mathcal{L}$  is not coherent to any  $Q$ -point is essential by [2, Theorem 6.4]. However, we do not know whether it can be omitted from Theorem 1.2, Theorem 1.3 or Corollary 1.6.

Theorem 1.2 is a special case of the following result:

**Proposition 2.5.** *Let  $X$  be a first countable  $\omega$ -bounded balanced topological monoid such that one of its finite powers is not a Menger monoid, and let  $\mathcal{F}$  be a filter on  $\omega$ . If there exists an ultrafilter  $\mathcal{L} \supset \mathcal{F}$  that is not coherent to any  $Q$ -point, then  $\text{cf}_m^{\mathcal{F}}(X)$  is well-defined and is less than or equal to  $\mathfrak{b}(\mathcal{L})$ .*

*Proof.* Let  $\mathcal{L} \supset \mathcal{F}$  be an ultrafilter that is not coherent to any  $Q$ -point,  $\langle b_\alpha : \alpha < \mathfrak{b}(\mathcal{L}) \rangle$  be a  $\mathfrak{b}(\mathcal{L})$ -scale, and  $\langle \phi_\alpha : \alpha < \mathfrak{q}(\mathcal{L}) = \mathfrak{b}(\mathcal{L}) \rangle$  be a  $\mathfrak{q}(\mathcal{L})$ -scale. Assume that  $X^k$  is not a Menger monoid for some  $k \in \omega$ . Let  $\{U_n : n \in \omega\}$  be a local base at the neutral element 1 of  $X$ . Without loss of generality, we may assume that  $U_{n+1}^3 \subset U_n$  for all  $n \in \omega$ . Applying [2, Proposition 7.1], we can additionally assume that there exists a sequence  $\langle C_n : n \in \omega \rangle$  of countable subsets of  $X$  such that  $U_n \cdot C_n = C_n \cdot U_n = X$  for all  $n$ , and for every  $F \in [X]^{<\omega}$  there exists  $F' \in [C_n]^{<\omega}$  such that  $F U_{n+1} \cap U_{n+1} F \subset F' U_n \cap U_n F'$ . Fix an enumeration  $\{c_{n,m} : m \in \omega\}$  of  $C_n$ . For a pair  $(\phi, b) \in \mathcal{S} \times \omega^\omega$  we set

$$Y_{\phi,b} = \bigcup_{L \in \mathcal{L}} \bigcap_{n \in L} U_{\phi(n)} \cdot \{c_{k,m} : \phi(n) \leq k \leq n, m \leq b(n)\} \cap \{c_{k,m} : \phi(n) \leq k \leq n, m \leq b(n)\} \cdot U_{\phi(n)}$$

and denote by  $X_\alpha$  the submonoid of  $X$  generated by  $Y_{\phi_\alpha, b_\alpha}$ . A direct verification shows that  $Y_{\phi,b}$  is an  $[\mathcal{L}]$ -Menger subset of  $X$  for arbitrary pair  $(\phi, b) \in \mathcal{S} \times \omega^\omega$  (cf. e.g., the proof of [2, Lemma 3.2]), and hence by Lemma 2.4  $X_\alpha$  is an  $[\mathcal{L}]$ -Menger submonoid of  $X$ . Thus  $\langle X_\alpha : \alpha < \mathfrak{b}(\mathcal{L}) \rangle$  is an increasing sequence of  $[\mathcal{L}]$ -Menger submonoids of  $X$ . Since  $X^k$  is not a Menger monoid and the  $[\mathcal{L}]$ -Menger property is preserved by finite powers [2, Corollary 3.5], each  $X_\alpha$  is a proper submonoid of  $X$ .

It suffices to show that each  $[\mathcal{F}]$ -Menger submonoid  $H$  of  $X$  is contained in some  $X_\alpha$ . Given such  $H$  let us find an increasing  $f \in \omega^\omega$  and  $\phi \in \mathcal{S}$  such that

$$H \subset \bigcup_{F \in \mathcal{F}} \bigcap_{n \in F} U_{\phi(n)} \cdot \{c_{\phi(n),m} : m \leq f(n)\} \cap \{c_{\phi(n),m} : m \leq f(n)\} \cdot U_{\phi(n)}.$$

(Such  $f$  and  $\phi$  can be easily constructed by the definition of the  $[\mathcal{F}]$ -Menger property.)

Choose  $\alpha$  such that  $f \leq_{\mathcal{L}} b_\alpha$  and  $\phi_\alpha \leq_{\mathcal{L}} \phi$ . We claim that  $H \subset X_\alpha$ . Indeed, let us fix  $h \in H$  and pick  $F_0 \in \mathcal{F}$  such that

$$h \in \bigcap_{n \in F_0} U_{\phi(n)} \cdot \{c_{\phi(n),m} : m \leq f(n)\} \cap \{c_{\phi(n),m} : m \leq f(n)\} \cdot U_{\phi(n)}.$$

Set  $A = [\phi_\alpha \leq \phi]$ ,  $B = [f \leq b_\alpha]$ , and observe that  $A, B \in \mathcal{L}$ . Then

$$\begin{aligned} h &\in \bigcap_{n \in F_0} U_{\phi(n)} \cdot \{c_{\phi(n),m} : m \leq f(n)\} \cap \{c_{\phi(n),m} : m \leq f(n)\} \cdot U_{\phi(n)} \subset \\ &\subset \bigcap_{n \in F_0 \cap A} U_{\phi_\alpha(n)} \cdot \{c_{k,m} : \phi_\alpha(n) \leq k \leq n, m \leq f(n)\} \cap \\ &\quad \cap \{c_{k,m} : \phi_\alpha(n) \leq k \leq n, m \leq f(n)\} \cdot U_{\phi_\alpha(n)} \subset \\ &\subset \bigcap_{n \in F_0 \cap A \cap B} U_{\phi_\alpha(n)} \cdot \{c_{k,m} : \phi_\alpha(n) \leq k \leq n, m \leq b_\alpha(n)\} \cap \\ &\quad \cap \{c_{k,m} : \phi_\alpha(n) \leq k \leq n, m \leq b_\alpha(n)\} \cdot U_{\phi_\alpha(n)} \subset X_\alpha, \end{aligned}$$

which completes our proof.  $\square$

Theorem 1.3 is a consequence of the following:

**Proposition 2.6.** *Let  $G$  be an  $\omega$ -bounded topological group such that one of its finite powers is not a Menger monoid and let  $\mathcal{F}$  be a filter on  $\omega$ . If there exists an*

ultrafilter  $\mathcal{L} \supset \mathcal{F}$  that is not coherent to any  $Q$ -point, then  $\text{cf}_g^{\mathcal{F}}(G)$  is well-defined and is less than or equal to  $\mathfrak{b}(\mathcal{L})$ .

*Proof.* By a result of Guran [11],  $G$  is topologically isomorphic to a subgroup of a product  $\prod_{i \in I} Q_i$ , where each  $Q_i$  is a second countable group. There exists  $J \in [I]^\omega$  with the property that one of the finite powers of  $H := \text{pr}_J(G)$  is not a Menger monoid. Indeed, let  $k \in \omega$  be such that  $G^k$  is not a Menger monoid. There exists a sequence  $\langle U_n : n \in \omega \rangle$  of open neighbourhoods of the neutral element of  $G$  such that  $G^k \neq \bigcup_{n \in \omega} F_n U_n^k \cap U_n^k F_n$  for any sequence  $\langle F_n : n \in \omega \rangle$  of finite subsets of  $G^k$ . Shrinking  $U_n$ , if necessary, we may additionally assume that  $U_n = \prod_{i \in J_n} W_{i,n} \times \prod_{i \in I \setminus J_n} Q_i$ , where  $J_n$  is a finite subset of  $I$  and  $W_{i,n}$  is an open neighbourhood of the neutral element of  $Q_i$ . Set  $J = \bigcup_{n \in \omega} J_n$ ,  $H = \text{pr}_J(G)$ , and  $V_n = \prod_{i \in J_n} W_{i,n} \times \prod_{i \in I \setminus J_n} Q_i$ . It follows from the above that  $H^k \neq \bigcup_{n \in \omega} K_n V_n^k \cap V_n^k K_n$  for any sequence  $\langle K_n : n \in \omega \rangle$  of finite subsets of  $H^k$ , which means that  $H^k$  is not a Menger monoid.

By applying the same argument as in the proof of Proposition 2.5 to the (first countable) group  $H$ , we conclude that there exists an appropriate increasing chain  $\langle H_\alpha : \alpha < \mathfrak{b}(\mathcal{L}) \rangle$  of proper subgroups of  $H$  such that  $H = \bigcup_\alpha H_\alpha$ . Now  $\langle \text{pr}_J^{-1}(H_\alpha) : \alpha < \mathfrak{b}(\mathcal{L}) \rangle$  is a witness for  $\text{cf}_g^{\mathcal{F}}(G) \leq \mathfrak{b}(\mathcal{L})$ , which completes our proof.  $\square$

*Proof of Theorem 2.2.* (1) Suppose that  $\kappa := \text{cf}_m^{\mathcal{F}}(X)$  exists and  $\kappa < \mathfrak{q}(\mathcal{F})$ . All other cases ( $\kappa > \mathfrak{q}(\mathcal{F})$ ,  $\kappa < \mathfrak{b}(\mathcal{F})$ ,  $\kappa > \mathfrak{b}(\mathcal{F})$ , or  $X$  is a topological group,  $\text{cf}_g^{\mathcal{F}}(X)$  exists and  $\text{cf}_g^{\mathcal{F}}(X) < \mathfrak{q}(\mathcal{F})$ ,  $\text{cf}_g^{\mathcal{F}}(X) > \mathfrak{q}(\mathcal{F})$ ,  $\text{cf}_g^{\mathcal{F}}(X) < \mathfrak{b}(\mathcal{F})$ , or  $\text{cf}_g^{\mathcal{F}}(X) > \mathfrak{b}(\mathcal{F})$ ) are analogous.

We use the notations from the proof of Proposition 2.5. For every  $\alpha < \mathfrak{q}(\mathcal{F})$  let

$$Z_\alpha = \bigcup_{F \in \mathcal{F}} \bigcap_{n \in F} U_{\phi_\alpha(n)} \cdot \{c_{\phi_\alpha(n), m} : m \leq n\} \cap \{c_{\phi_\alpha(n), m} : m \leq n\} \cdot U_{\phi_\alpha(n)}$$

and observe that  $\langle Z_\alpha : \alpha < \mathfrak{q}(\mathcal{F}) \rangle$  is an increasing sequence of  $[\mathcal{F}]$ -Menger subspaces of  $X$  covering  $X$ . Let  $\langle X_\xi : \xi < \kappa \rangle$  be a sequence of proper submonoids of  $X$  witnessing for  $\text{cf}_m^{\mathcal{F}}(X) = \kappa$ . Since  $\mathfrak{q}(\mathcal{F})$  is regular and for every  $\alpha < \mathfrak{q}(\mathcal{F})$  there exists  $\xi < \kappa$  with  $Z_\alpha \subset X_\xi$ , we conclude that there exists  $\xi$  such that  $X_\xi \supset Z_\alpha$  for cofinally many  $\alpha \in \mathfrak{q}(\mathcal{F})$ , which means  $X_\xi = X$  and thus contradicts the assumption that  $X_\xi$  is a proper submonoid of  $X$ .

(2) The existence of  $\text{cf}_m^{\mathcal{F}}(X)$  (resp.  $\text{cf}_g^{\mathcal{F}}(X)$ ) follows from Proposition 2.5 (resp. Proposition 2.6.) The rest is a consequence of the previous item.

(3) This item follows directly from [2, Theorem 6.4].  $\square$

A sequence  $\langle U_n : n \in \omega \rangle$  is called an  $\omega$ -cover of a set  $X$  if for every finite  $F \subset X$  there exists  $n \in \omega$  such that  $F \subset U_n$ . If, moreover, there exists an increasing sequence  $\langle n_k : k \in \omega \rangle$  of integers such that for every finite  $F \subset X$  and for all but finitely many  $k \in \omega$  there exists  $n \in [n_k, n_{k+1})$  such that  $F \subset U_n$ , then the cover  $\langle U_n : n \in \omega \rangle$  is called  $\omega$ -groupable.

*Proof of Corollary 1.5.* In light of Theorem 1.3 it is enough to verify the following:

**Claim 2.7.** *If all finite powers of an analytic topological group  $G$  are Menger monoids, then  $G$  is  $\sigma$ -bounded<sup>2</sup>.*

*Proof.* Suppose that all finite powers of  $G$  are Menger monoids. By applying [21, Lemma 17] and [2, Prop. 3.1, Lemma 3.2], we can conclude that  $G$  is  $[\mathcal{U}]$ -Menger for some ultrafilter  $\mathcal{U}$ . Given a decreasing base  $\langle U_n : n \in \omega \rangle$  at the identity of  $G$  we can find a sequence  $\langle F_n : n \in \omega \rangle$  of finite subsets of  $G$  such that  $\langle B_n = F_n U_n \cap U_n F_n : n \in \omega \rangle$  is an  $[\mathcal{U}]$ -cover of  $G$ . For every  $g \in G$  denote the set  $\{n \in \omega : g \in B_n\}$  by  $\mathcal{N}_g$ .

It follows that there exists an increasing number sequence  $\langle n_k : k \in \omega \rangle$  such that  $\bigcup_{\mathcal{N}_g \cap [n_k, n_{k+1}) \neq \emptyset} [n_k, n_{k+1}) \in \mathcal{U}$  for all  $g \in G$  (if  $\phi$  is a finite-to-one surjection witnessing for  $\langle B_n : n \in \omega \rangle$  being an  $[\mathcal{U}]$ -cover, then the sequence  $\langle \min \phi^{-1}(k) \rangle_{k \in \omega}$  is as required.) Let  $F'_k$  be a finite subset of  $G$  such that  $D_k := U_k F'_k \cap F'_k U_k \supset \bigcup_{n \in [n_k, n_{k+1})} B_n$ .  $\langle D_k : k \in \omega \rangle$  is clearly an  $\omega$ -cover of  $G$ . Applying [16, Theorem 4.5] (see also [20, Theorem 7]), we conclude that  $\langle D_k : k \in \omega \rangle$  is  $\omega$ -groupable.

Let  $\langle k_m : m \in \omega \rangle$  be an increasing number sequence witnessing for this. Set  $Y_m = \bigcap_{l \geq m} \bigcup_{k \in [k_m, k_{m+1})} D_k$ . A direct verification shows that each  $Y_m$  is totally bounded and  $G = \bigcup_{m \in \omega} Y_m$ .  $\square$   $\square$

*Proof of Corollary 1.8.* Suppose that  $\mathcal{U}$  is a pseudo- $P_{\mathfrak{b}^+}$ -point. Since  $\phi(\mathcal{U})$  is clearly a pseudo- $P_{\mathfrak{b}^+}$ -point for every finite-to-one  $\phi$ ,  $\mathcal{U}$  is not coherent to a  $Q$ -point by [3, Theorem 13.8.1]. Therefore  $\text{cf}^*(\text{Sym}(\kappa)) \leq \mathfrak{b}(\mathcal{U})$ . It suffices to apply the following result of Nyikos [15] (see [6, Proposition 5] or [3, Theorem 13.2.1, Corollary 10.3.2] for its proof): *If  $\mathcal{L}$  is pseudo- $P_{\mathfrak{b}^+}$ -point, then  $\mathfrak{b}(\mathcal{L}) = \mathfrak{b}$ .*  $\square$

*Proof of Corollary 1.9.* Let  $\mathcal{U}$  be an ultrafilter generated by  $\mathfrak{u}$  many subsets of  $\omega$ . It is well-known that  $\mathfrak{b}(\mathcal{U}) = \mathfrak{d}$  and  $\mathcal{U}$  is coherent to any ultrafilter  $\mathcal{F}$  such that  $\mathfrak{b}(\mathcal{F}) > \mathfrak{u}$ , see [3, Theorem 10.3.1] or [6, Theorem 12]. It suffices to apply Corollary 1.5 and the transitivity of the coherence relation.  $\square$

**Lemma 2.8.** *If  $F \subset \omega^\omega$  is a finitely dominating family of strictly increasing functions, then  $\bigcup_{f \in F} S_f$  generates  $\text{Sym}(\omega)$ .*

*Proof.* Let  $H = \langle \bigcup_{f \in F} S_f \rangle$  and  $\pi \in \text{Sym}(\omega)$  be such that all its orbits are finite, i.e. for every  $n \in \omega$  the set  $\{\pi^k(n) : k \in \omega\}$  is finite, where  $\pi^1 = \pi$  and  $\pi^{k+1} = \pi \circ \pi^k$ . Let  $\mathcal{A} = \{a_i : i \in \omega\}$  be the enumeration of orbits of  $\pi$  such that  $\min a_i < \min a_{i+1}$  for all  $i$ . The following claim is obvious.

**Claim 2.9.** *There exist two increasing sequences  $\langle n_i^0 : i \in \omega \rangle$  and  $\langle n_i^1 : i \in \omega \rangle$  of natural numbers such that for every  $a \in \mathcal{A}$  there exists a pair  $\langle i, j \rangle \in \omega \times 2$  such that  $a \subset [n_i^j, n_{i+1}^j)$ .*

Let  $h \in \omega^\omega$  be an increasing function such that  $h(n_i^j) \geq \max\{\pi(m), \pi^{-1}(m) : m \in [n_i^j, n_{i+1}^j)\}$  for all  $i$  and  $j$ , and  $F_0$  be a finite subset of  $F$  such that  $h \leq^* \max F_0$ . Fix any  $a \in \mathcal{A}$  and find  $\langle i, j \rangle \in \omega \times 2$  such that  $a \subset [n_i^j, n_{i+1}^j)$ . Let  $f \in F_0$  be such that  $f(n_i^j) > h(n_i^j)$ . By the definition of  $h$  the above implies  $\pi(m), \pi^{-1}(m) \leq h(n_i^j) \leq f(n_i^j) \leq f(m)$  for every  $m \in a$ . Therefore for every

<sup>2</sup>This fact can be thought of as the analogue for topological groups of the following result proven in [1]: if for every sequence  $\langle u_n : n \in \omega \rangle$  of open covers of an analytic space  $X$  there exists a sequence  $\langle v_n : n \in \omega \rangle$  such that  $v_n \in [u_n]^{<\omega}$  and  $X = \bigcup_{n \in \omega} \cup v_n$ , then  $X$  is  $\sigma$ -compact.



$a \in \mathcal{A}$  there exists  $f_a \in F_0$  such that  $\pi(m), \pi^{-1}(m) < f_a(m)$  for all  $m \in a$ . Set  $\pi_f = \pi \upharpoonright \bigcup \{a \in \mathcal{A} : f_a = f\}$  and note that  $\pi_f \in S_f$  and  $\pi = \circ_{f \in F_0} \pi_f$  (the latter composition obviously does not depend on the order in which we take  $\pi_f$ 's). Hence  $\pi \in H$ .

$\text{Sym}(\omega)$  is easily seen to be a  $G_\delta$ -subset of  $\omega^\omega$ . Therefore  $\text{Sym}(\omega)$  with the topology  $\tau$  inherited from  $\omega^\omega$  is a Polish topological group. It is also easy to check that the set  $E$  of all permutations of  $\omega$  with finite orbits is a dense  $G_\delta$  of  $(\text{Sym}(\omega), \tau)$ , and hence  $E \circ E \supset \text{Sym}(\omega)$  by the Baire Category Theorem. It suffices to note that  $E \circ E \subset H$ .  $\square$

*Proof of Theorem 1.10.* The first statement is a direct consequence of Lemma 2.8: Suppose that  $\kappa = \text{cf}^*(\text{Sym}(\omega)) < \text{cov}(\mathfrak{D}_{fin})$  and  $\langle G_\alpha : \alpha < \kappa \rangle$  is an increasing sequence of proper subgroups of  $\text{Sym}(\omega)$  witnessing for that. Set  $B_\alpha = \{f \in \omega^{\uparrow\omega} : S_f \subset G_\alpha\}$ . By the definition of  $\text{cf}^*(\text{Sym}(\omega))$ ,  $\bigcup_{\alpha < \kappa} B_\alpha = \omega^{\uparrow\omega}$ . Since  $\kappa < \text{cov}(\mathfrak{D}_{fin})$ , there exists  $\alpha < \kappa$  such that  $B_\alpha$  is finitely dominating, which by Lemma 2.8 implies that  $G_\alpha = \text{Sym}(\omega)$  and hence contradicts the properness of  $G_\alpha$ .

The second one follows from the fact that NCF implies that  $\text{cov}(\mathfrak{D}_{fin}) = \mathfrak{d}$ . Indeed, suppose that NCF holds. Then  $\mathfrak{b}(\mathcal{F}) = \mathfrak{d}$  for all ultrafilters  $\mathcal{F}$ , see e.g. [5, Theorem 16] or [3, 12.3.1]. In addition, every not finitely dominating subset of  $\omega^{\uparrow\omega}$  is  $\leq_{\mathcal{F}}$ -bounded for every ultrafilter  $\mathcal{F}$ .  $\square$

### 3. APPENDIX

Following the suggestion of the referee, we include here from [3] an essentially self-contained proof of the fact that there are no  $Q$ -points (in fact, rare ultrafilters) provided that  $\mathfrak{r} < \mathfrak{s}$ . This is a direct consequence of Corollary 3.3 and Proposition 3.4 below.

The easiest way to do this would be to simply copy relevant pieces of [3]. But since the book [3] is available online, this does not make much sense. Therefore we take another approach and present a simplified proof. The simplification comes mainly from the obvious equality  $\mathcal{F} = \mathcal{F}^\perp$  which holds for all ultrafilters. However, this simplification seems to hide some ideas.

In what follows  $\mathfrak{F}r$  denotes the filter of cofinite subsets of  $\omega$ . By a *semifilter* we mean a subset  $\mathcal{S}$  of  $[\omega]^\omega$  which is closed with respect to taking supersets of its elements and such that  $S \cap A \in \mathcal{S}$  for all  $S \in \mathcal{S}$  and  $A \in \mathfrak{F}r$ . For a subset  $\Psi$  of  $\omega \times \omega$  and  $n \in \omega$  we set  $\Psi(n) = \{m \in \omega : (n, m) \in \Psi\}$  and  $\Psi^{-1}(n) = \{m \in \omega : (m, n) \in \Psi\}$ .  $\Psi \subset \omega \times \omega$  is called a *finite-to-finite multifunction*, if  $\Psi(n), \Psi^{-1}(n)$  are finite and nonempty for all  $n \in \omega$ . The family of all finite-to-finite multifunction will usually be considered with the preorder  $\subset^*$ . A semifilter  $\mathcal{S}_0$  is said to be *subcoherent* to a semifilter  $\mathcal{S}_1$ , if there exists a finite-to-finite multifunction  $\Psi$  such that  $\Psi(\mathcal{S}_0) \subset \mathcal{S}_1$ , where  $\Psi(\mathcal{S}_0) = \{\Psi(S) : S \in \mathcal{S}_0\}$  and  $\Psi(X) = \bigcup_{n \in X} \Psi(n)$  for all  $X \subset \omega$ . Semifilters  $\mathcal{S}_0$  and  $\mathcal{S}_1$  are called *coherent*, if each of them is subcoherent to the other one. A direct verification shows that the subcoherence relation is an equivalence relation. The equivalence class of a semifilter  $\mathcal{S}$  will be denoted by  $[\mathcal{S}]$ . Each family  $\mathcal{B}$  of infinite subsets of  $\omega$  generates a semifilter, namely the smallest semifilter  $\langle \mathcal{B} \rangle$  containing  $\mathcal{B}$ <sup>3</sup>. Given a semifilter  $\mathcal{S}$ , we denote by  $\text{non}[\mathcal{S}]$  the smallest size of a family  $\mathcal{B} \subset [\omega]^\omega$  such that  $\langle \mathcal{B} \rangle$  is not subcoherent to  $\mathcal{S}$ . For an ultrafilter

<sup>3</sup>Note that in this appendix the notation  $\langle \cdot \rangle$  has a different meaning than in the main part of the paper.

$\mathcal{F}$  we denote by  $\text{cov}[\mathcal{F}]$  the minimal size of a family  $\mathcal{S} \subset [\mathcal{F}]$  such that  $\bigcap \mathcal{S} = \mathfrak{F}r$ . The increasing sequence of natural numbers whose range coincides with an infinite subset  $X$  of  $\omega$  will be denoted by  $e_X$ . An ultrafilter  $\mathcal{U}$  is called *rare* if the collection  $\{e_F : F \in \mathcal{F}\}$  is dominating. It is clear that every  $Q$ -point is rare and the question whether the existence of a rare ultrafilter implies the existence of a  $Q$ -point is open.

The proof of the following statement is fairly simple and can be found in the introductory part of [3].

- Proposition 3.1.** (1) *For every finite-to-finite multifunction  $\Psi$  there exists an increasing sequence  $\langle n_k : k \in \omega \rangle$  of natural numbers with  $n_0 = 0$  such that  $\Psi(n) \subset [n_{k-1}, n_{k+2})$  for all  $n \in [n_k, n_{k+1})$ . Therefore the cofinality of the family of all finite-to-finite multifunctions equals  $\mathfrak{d}$  and any family of finite-to-finite multifunctions of size  $< \mathfrak{b}$  has an upper bound.*
- (2)  *$\text{cov}[\mathcal{F}] \geq \mathfrak{b}$  and  $\text{non}[\mathcal{F}] \leq \mathfrak{d}$  for all ultrafilters  $\mathcal{F}$ .*
- (3) *Let  $\mathcal{S}$  be a semifilter and  $\mathcal{F}$  be a ultrafilter. Then  $\mathcal{S}$  is subcoherent (resp. coherent) to  $\mathcal{F}$  if and only if there exists a monotone surjection  $\psi : \omega \rightarrow \omega$  such that  $\psi(\mathcal{S}) \subset \psi(\mathcal{F})$  (resp.  $\psi(\mathcal{S}) = \psi(\mathcal{F})$ ).*
- (4) *The restriction to ultrafilters of the coherence relation on the set of all semifilters coincides with the near coherence relation on ultrafilters (see the definition after Proposition 1.7.)*

The following statement is a special case of [3, Theorem 9.2.5].

**Proposition 3.2.** *Suppose that  $\mathcal{F}$  is an ultrafilter,  $\mathcal{C} \subset [\mathcal{F}]$ ,  $|\mathcal{C}| < \text{cov}[\mathcal{F}]$ . Then for every family  $\mathcal{B} \subset [\omega]^\omega$  of size less than  $\text{cov}[\mathcal{F}]$  there exists a monotone surjection  $\psi : \omega \rightarrow \omega$  such that  $\psi(\mathcal{B}) \subset \psi(\bigcap \mathcal{C})$ .*

*Proof.* For every  $B \in \mathcal{B}$  and  $\mathcal{C} \in \mathcal{C}$  we denote by  $\mathcal{C}_B$  the semifilter consisting of all infinite subsets  $X$  of  $\omega$  such that

$$\exists C \in \mathcal{C} \forall a, b \in \omega (a, b \in \omega \setminus X \wedge [a, b) \cap C \neq \emptyset \rightarrow [a, b) \cap B \neq \emptyset).$$

Given an arbitrary  $B \in \mathcal{B}$ , consider the finite-to-finite multifunction  $\Psi_B : \omega \Rightarrow \omega$  assigning to each  $n \in \omega$  the interval  $\Psi_B(n) = [n, \min(B \setminus [0, n))]$ . Observe that  $\Psi_B(\mathcal{C}) \subset \mathcal{C}_B$  for all  $\mathcal{C} \in \mathcal{C}$ . Indeed, suppose that  $a, b \in \omega \setminus \Psi_B(\mathcal{C})$  for some  $\mathcal{C} \in \mathcal{C}$  and  $[a, b) \cap \mathcal{C} \neq \emptyset$ . The inclusion  $a \in \omega \setminus \Psi_B(\mathcal{C})$  means that  $a \notin \mathcal{C}$  and  $a > \min(B \setminus [0, n))$  for all  $n < a$  with  $n \in \mathcal{C}$ . Similarly for  $b$ . Let  $m \in \mathcal{C} \cap [a, b)$ . It follows from the above that  $\min(B \setminus [0, m)) < b$ , and hence  $[a, b) \cap B \neq \emptyset$ . Therefore  $\mathcal{C} \in \mathcal{C}$  is a witness for  $\Psi_B(\mathcal{C})$  being an element of  $\mathcal{C}_B$ .

Observe that the semifilter  $\langle \Psi_B(\mathcal{C}) \rangle$  belongs to  $[\mathcal{F}]$ . Since  $|\mathcal{B}|, |\mathcal{C}| < \text{cov}[\mathcal{F}]$ , the intersection  $\bigcap \{ \langle \Psi_B(\mathcal{C}) \rangle : B \in \mathcal{B}, \mathcal{C} \in \mathcal{C} \}$  contains a co-infinite set  $X$ . Let  $\langle n_k : k \in \omega \rangle$  be an increasing enumeration of  $\omega \setminus X$  and  $\psi^{-1}(k) = [n_k, n_{k+1})$ . We claim that  $\psi(\mathcal{B}) \subset \psi(\bigcap \mathcal{C})$ . Indeed, let us fix  $B \in \mathcal{B}$  and  $\mathcal{C} \in \mathcal{C}$ . Since  $X \in \langle \Psi_B(\mathcal{C}) \rangle \subset \mathcal{C}_B$ , there exists  $C \in \mathcal{C}$  such that

$$\forall a, b \in \omega (a, b \in \omega \setminus X \wedge [a, b) \cap C \neq \emptyset \rightarrow [a, b) \cap B \neq \emptyset),$$

which means that  $\psi(C) \subset \psi(B)$ , and hence  $\psi(B) \in \psi(\mathcal{C})$ . Since  $B$  and  $\mathcal{C}$  are arbitrary elements of  $\mathcal{B}$  and  $\mathcal{C}$ , respectively, our proof is completed.  $\square$

**Corollary 3.3.** *Let  $\mathcal{F}$  be an ultrafilter. Then  $\text{non}[\mathcal{F}] \geq \text{cov}[\mathcal{F}]$ .*

The following proposition is a special case of [3, Theorem 13.8.1].

**Proposition 3.4.** *Let  $\mathcal{F}$  be a rare ultrafilter. Then*

- (1)  $\text{non}[\mathcal{F}] \leq \mathfrak{r}$ ; and
- (2)  $\text{cov}[\mathcal{F}] \geq \mathfrak{s}$ .

*Proof.* 1. By the inequality  $\text{non}[\mathcal{F}] \leq \mathfrak{d}$  we may assume  $\mathfrak{r} < \mathfrak{d}$ . Since  $\mathcal{F}$  is rare, so is  $\psi(\mathcal{F})$  for any monotone surjection  $\psi : \omega \rightarrow \omega$ . Applying Proposition 3.1(3) we conclude that no semifilter  $\mathcal{S} \in [\mathcal{F}]$  can be generated by fewer than  $\mathfrak{d}$  sets. Let  $\mathcal{U}$  be an ultrafilter with  $\mathcal{U} \subset \langle \mathcal{B} \rangle$  for some  $\mathcal{B} \subset [\omega]^\omega$  with  $|\mathcal{B}| = \mathfrak{r}$ . It follows from the above that  $\mathcal{U} \notin [\mathcal{F}]$ , hence  $\mathcal{U}$  is not subcoherent to  $\mathcal{F}$ , and consequently  $\langle \mathcal{B} \rangle$  is neither subcoherent to  $\mathcal{F}$ . This yields  $\text{non}[\mathcal{F}] \leq |\mathcal{B}| = \mathfrak{r}$ .

2. First we show that there exists a subfamily  $\mathcal{B} \subset \mathcal{F}$  of size  $|\mathcal{B}| = \mathfrak{b}$  without an infinite pseudointersection. Indeed, let  $\langle f_\alpha : \alpha < \mathfrak{b} \rangle$  be a  $\mathfrak{b}$ -scale, i.e. an increasing and unbounded with respect to  $\leq^*$  sequence. Since  $\mathcal{F}$  is rare, for every  $\alpha$  there exists  $F_\alpha \in \mathcal{F}$  such that  $e_{F_\alpha} \geq^* f_\alpha$ . If  $X \in [\omega]^\omega$  is such that  $X \subset^* F_\alpha$  and  $F_\alpha \not\subset^* X$ , then  $e_X \geq^* f_\alpha$ , and hence the existence of an infinite pseudointersection of  $\langle F_\alpha : \alpha < \mathfrak{b} \rangle$  would contradict the unboundedness of  $\langle f_\alpha : \alpha < \mathfrak{b} \rangle$ .

Thus for every semifilter  $\mathcal{S} \in [\mathcal{F}]$  there exists a subfamily  $\mathcal{S}' \in [\mathcal{S}]^{\mathfrak{b}}$  without an infinite pseudointersection.

Since  $\text{cov}[\mathcal{F}] \geq \mathfrak{b}$ , we can assume that  $\mathfrak{s} > \mathfrak{b}$ . We proceed in the same way as in [3, Theorem 9.2.7(7)]. Set  $\lambda = \text{cov}[\mathcal{F}]$  and find a family  $\mathcal{S} \subset [\mathcal{F}]$  such that  $|\mathcal{S}| = \lambda$  and  $\cap \mathcal{S} = \mathfrak{F}r$ . For every  $\mathcal{S} \in \mathcal{S}$  find  $\mathcal{B}_\mathcal{S} \subset \mathcal{S}$  of size  $|\mathcal{B}_\mathcal{S}| = \mathfrak{b}$  such that  $\mathcal{B}_\mathcal{S}$  has no infinite pseudointersection. It suffices to prove that  $\bigcup \{\mathcal{B}_\mathcal{S} : \mathcal{S} \in \mathcal{S}\}$  is a splitting family. Indeed, let us fix  $X \in [\omega]^\omega$ . Since  $\omega \setminus X \notin \mathfrak{F}r$ , there exists  $\mathcal{S} \in \mathcal{S}$  such that  $\omega \setminus X \notin \mathcal{S}$ , and hence  $B \not\subset^* \omega \setminus X$  for all  $B \in \mathcal{B}_\mathcal{S}$ . In other words, all elements of  $\mathcal{B}_\mathcal{S}$  have infinite intersection with  $X$ . If none of the elements of  $\mathcal{B}_\mathcal{S}$  splits  $X$ , we get that  $X \subset^* B$  for all  $B \in \mathcal{B}_\mathcal{S}$ , which contradicts our choice of  $\mathcal{B}_\mathcal{S}$ . Therefore  $X$  is split by some element of  $\mathcal{B}_\mathcal{S}$ , and hence  $\bigcup \{\mathcal{B}_\mathcal{S} : \mathcal{S} \in \mathcal{S}\}$  is a splitting family, which completes our proof.  $\square$

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