

Reconstruction problems for first-order theories

Jesse Han

McMaster University

GSCL 2017

What are reconstruction problems?

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problems for
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Reconstructing T
from $\mathbf{Mod}(T)$

Reconstructing M
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 - ▶ The fundamental groupoid is not a complete invariant for topological spaces up to isomorphism.
 - ▶ The theory of a structure M is a complete invariant for the isomorphism class of some ultrapower $M^{\mathcal{U}}$: this is the Keisler-Shelah isomorphism theorem.

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$$F : \mathbf{C} \rightarrow \mathbf{D}.$$

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- ▶ If this happens for a fixed c as above, we say that we can *reconstruct* c from F .

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- ▶ *Endomorphism monoids.* We can assign a structure $M \mapsto \text{End}(M)$, which can be similarly topologized.
- ▶ *Absolute Galois groups.* We can assign a model M and a parameter set $A \subseteq M$ the Galois group $G(A) \stackrel{\text{df}}{=} \text{Aut}(\text{acl}(A)/\text{dcl}(A))$.

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We want to reconstruct theories or structures from these invariants up to some sort of equivalence; the natural candidate is *bi-interpretability*.

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An *interpretation* $I : T \rightarrow T'$ for T an \mathcal{L} -theory and T' an \mathcal{L}' -theory assigns to each formula (over \emptyset) X of T a definable set $I(X)$ of T' such that the truth of sentences is preserved if you replace all instances X of formulas from T with $I(X)$.

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Definition

An *interpretation* $(f, f^*) : M \rightarrow M'$ for $M \models T$ an \mathcal{L} -structure and $M' \models T'$ an \mathcal{L}' -structure is a surjective function $f : U \twoheadrightarrow M$ from some (0-)definable subset $U \subseteq M'$ such that pulling back (0-)definable sets $X \mapsto f^*X$ is an interpretation $T \rightarrow T'$.

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- ▶ *To sum up: we are assuming*

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The 2-category of first-order theories

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To complete the picture, we need a category of first-order theories.

- ▶ A theory which eliminates imaginaries is a *pretopos*: has all finite limits, finite coproducts and coequalizers of equivalence relations, both stable under pullback (SGA4, MR).

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- ▶ We can repeat this construction for structures, but replace theories with structures and interpretations between theories with interpretations between structures.

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$$\mathbf{Th} \stackrel{\text{df}}{=} \begin{cases} \text{Objects: } \mathbf{Def}(T), T \text{ a first-order theory} \\ \text{Morphisms: interpretations } I : T \rightarrow T' \\ \underline{\text{2-morphisms: natural transformations.}} \end{cases}$$

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$$\mathbf{Struct} \stackrel{\text{df}}{=} \begin{cases} \text{Objects: first-order structures } A \\ \text{Morphisms: interpretations } (f, f^*) : A \rightarrow B \\ \underline{\text{2-morphisms: definable functions making}} \\ \text{the diagrams commute.} \end{cases}$$

Just in case anyone forgot...

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- ▶ **Set** is a (or rather *the*) prototypical (pre)topos.
- ▶ Interpretations $T \rightarrow \mathbf{Set}$ are precisely *models*.
- ▶ Natural transformations between these interpretations are precisely *elementary embeddings*.
- ▶ Therefore, $\mathbf{Mod}(-)$ is precisely $\text{Hom}_{\mathbf{Th}}(-, \mathbf{Set})$, i.e. a contravariant 2 functor (which only reverses 1-morphisms) $\mathbf{Th}^{\text{op}} \rightarrow \mathbf{Cat}$. If I is an interpretation, $\mathbf{Mod}(I)$ is precomposition-by- I , i.e. "taking reducts along I ". If $f : I \rightarrow I'$ is a natural transformation, $\mathbf{Mod}(f)$ becomes the natural transformation $\mathbf{Mod}(I) \rightarrow \mathbf{Mod}(I')$ where the components are the elementary embeddings of the reducts induced by taking the reduct of f .

Question

When can we reconstruct T from $\mathbf{Mod}(-)$?

When can we reconstruct T from $\mathbf{Mod}(-)$?

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Theorem (Makkai-Reyes, 1977)

$\mathbf{Mod}(-)$ reflects equivalences: if $T \xrightarrow{I} T'$ is an interpretation such that $\mathbf{Mod}(T) \stackrel{\mathbf{Mod}(I)}{\simeq} \mathbf{Mod}(T')$ is an equivalence, then I was (part of) a bi-interpretation.

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- This is called *conceptual completeness*.

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- ▶ This generalizes the fact that structures cannot generally be reconstructed from their automorphism groups, since every equivalence of categories restricts to isomorphisms of automorphism groups.

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- ▶ This generalizes the fact that structures cannot generally be reconstructed from their automorphism groups, since every equivalence of categories restricts to isomorphisms of automorphism groups.
- ▶ We'll see an example of this later.

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When can we reconstruct T from $\mathbf{Mod}(-)$?

Let's try a different approach.

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When can we reconstruct T from $\mathbf{Mod}(-)$?

Let's try a different approach.

- ▶ Every (eq)-definable set $X \in T$ induces an *evaluation functor* (“taking points in models”) $\mathbf{Mod}(T) \xrightarrow{\text{ev}_X} \mathbf{Set}$.

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Question

What “extra structure” do we need to put on $\mathbf{Mod}(T)$ so that the evaluation functors are the only “structure-preserving” maps $\mathbf{Mod}(T) \rightarrow \mathbf{Set}$?

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Answer (Makkai, 1987)

Ultraproducts (and some other ultra-stuff).

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Ultracategories

- By the Los theorem, **Mod**(T) is closed under ultraproducts.

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- ▶ By the Los theorem, $\mathbf{Mod}(T)$ is closed under ultraproducts.
- ▶ The ultraproduct construction is functorial on elementary embeddings (e.g. the diagonal embedding into an ultrapower).

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- ▶ By the Los theorem, $\mathbf{Mod}(T)$ is closed under ultraproducts.
- ▶ The ultraproduct construction is functorial on elementary embeddings (e.g. the diagonal embedding into an ultrapower).
- ▶ Ultraproducts of models are computed “pointwise” in \mathbf{Set} , where they’re certain kinds of colimits; there are universal comparison maps between these colimits. Makkai calls these *ultramorphisms*.

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Definition

An *ultracategory* $\underline{\mathbf{K}}$ is a category together with *ultraproduct functors*

$$[\mathcal{U}] : \underline{\mathbf{K}}^I \rightarrow \underline{\mathbf{K}}$$

for every ultrafilter \mathcal{U} on every indexing set I such that the obvious diagrams commute. Together with appropriate notions of ultramorphism-preserving *ultrafunctors* and *ultratransformations*, we can define the 2-category \mathbf{Ult} of ultracategories.

Mod($-$) as a functor $\mathbf{Th}^{\text{op}} \rightarrow \mathbf{Ult}$

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Mod($-$) as a functor $\mathbf{Th}^{\text{op}} \rightarrow \mathbf{Ult}$

- ▶ **Mod**(T) inherits its ultracategory structure from **Set**; we call the resulting ultracategory **Mod**(T).

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Theorem. (Makkai, 1987)

Let $\underline{\mathbf{K}}$ be an ultracategory. Then $\mathbf{Ult}(\underline{\mathbf{K}}, \mathbf{Set})$ is a pretopos.

$\mathbf{Mod}(-)$ as a functor $\mathbf{Th}^{\text{op}} \rightarrow \mathbf{Ult}$

- ▶ $\mathbf{Mod}(T)$ inherits its ultracategory structure from \mathbf{Set} ; we call the resulting ultracategory $\mathbf{Mod}(T)$.

Theorem. (Makkai, 1987)

Let \mathbf{K} be an ultracategory. Then $\mathbf{Ult}(\mathbf{K}, \mathbf{Set})$ is a pretopos. There is a contravariant 2-adjunction

$$\mathbf{Ult}(-, \mathbf{Set}) : \mathbf{Ult}^{\text{op}} \rightleftarrows \mathbf{Th} : \mathbf{Mod}(-)$$

whose counit ϵ at any theory T

$$T \xrightarrow{\epsilon_T} \mathbf{Ult}(\mathbf{Mod}(T), \mathbf{Set})$$

is an equivalence of categories.

Mod(-) as a functor $\mathbf{Th}^{\text{op}} \rightarrow \mathbf{Ult}$

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This is strong conceptual completeness.

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is an equivalence of categories.

This is *strong conceptual completeness*. This means we can reconstruct T from **Mod**(T): if **Mod**(T) \simeq **Mod**(T'), then strong conceptual completeness gives a bi-interpretation $T \simeq T'$.

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Examples

- ▶ In practice, strong conceptual completeness is used like this: if you have a functor $\mathbf{Mod}(T) \rightarrow \mathbf{Set}$ (say expansion by a sort) which commutes with enough ultra-stuff, then the functor must have been isomorphic to an evaluation functor.

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- ▶ For example, let \mathbf{G} be a definable group in T and expand each model M of T by an $\text{ev}_{\mathbf{G}}(M)$ -torsor. This is easily seen to commute with ultra-stuff. More generally, any internal cover.

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- ▶ For example, let \mathbf{G} be a definable group in T and expand each model M of T by an $\text{ev}_{\mathbf{G}}(M)$ -torsor. This is easily seen to commute with ultra-stuff. More generally, any internal cover.
- ▶ Here's a negative example: let T be the theory of abelian groups, and let $F : \mathbf{Mod}(T) \rightarrow \mathbf{Set}$ be the functor $\text{Hom}_{\mathbf{Ab}}(\mathbb{Q}, -)$. This does not commute with ultraproducts, e.g.

$$\prod_p \text{Hom}_{\mathbf{Ab}}(\mathbb{Q}, \mathbb{Z}/p\mathbb{Z}) / \mathcal{U} \neq \text{Hom}_{\mathbf{Ab}}(\mathbb{Q}, \prod_p \mathbb{Z}/p\mathbb{Z} / \mathcal{U})$$

(think about torsion). In general, even the corepresentables $\text{Hom}_{\mathbf{Mod}(T)}(M, -)$ are not ultrafunctors.

$\text{Aut}(-)$ and $\text{End}(-)$ as 2-functors

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Proposition

Let **TopMon** be the 2-category of topological monoids.
There is a contravariant 2-functor (which only reverses
1-morphisms)

$$\mathbf{Struct}^{\text{op}} \xrightarrow{\text{End}(-)} \mathbf{TopMon}$$

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$$\mapsto \left(\mathbf{End}((f, f^*)) \xrightarrow{\mathbf{End}(\gamma)} \mathbf{End}((g, g^*)) \right).$$

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This restricts to the functor $\text{Aut}(-)$:

$\mathbf{Aut}(-)$ and $\mathbf{End}(-)$ as 2-functors

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Proposition

Furthermore, if we restrict to the underlying 2-groupoid $\mathbf{core}(\mathbf{Struct})$ of \mathbf{Struct} , $\mathbf{End}(-)$ becomes a contravariant 2-functor

$$\mathbf{core}(\mathbf{Struct})^{\mathrm{op}} \xrightarrow{\mathbf{Aut}(-)} \mathbf{TopGrp}$$

to the 2-category of topological groups. In particular, on 2-morphisms $\gamma : (f, f^) \rightarrow (g, g^*)$ we have $\mathbf{Aut}(g)(\sigma) = \mathbf{Aut}(\gamma) \circ \mathbf{Aut}(f) \circ \mathbf{Aut}(\gamma)^{-1}$ for all $\sigma \in \mathbf{Aut}(B)$.*

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$\mathbf{Aut}(-)$ and $\mathbf{End}(-)$ as 2-functors

Of course, we can forget the topologies and form the 2-functors to **Mon** and **Grp** instead.

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Of course, we can forget the topologies and form the 2-functors to **Mon** and **Grp** instead.

Observation

$\text{End}(-)$ reflects 2-isomorphisms: if $f \xrightarrow{\gamma} g$ becomes an isomorphism after applying $\text{End}(-)$, then $\text{End}(\gamma)$ is invertible, so γ must have been invertible.

$\mathbf{Aut}(-)$ and $\mathbf{End}(-)$ as 2-functors

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- ▶ Thus, $\mathbf{End}(-)$ reflects equivalences.
- ▶ However, $\mathbf{End}(-)$ does not reflect 1-isomorphisms: if we have mutual interpretations $f : A \rightleftarrows B : g$ with $\mathbf{End}(f)$ and $\mathbf{End}(g)$ forming an isomorphism of topological monoids $\mathbf{End}(g) : \mathbf{End}(A) \rightleftarrows \mathbf{End}(B) : \mathbf{End}(f)$, it is not generally true that f and g invert each other.

Can we reconstruct M from $\text{Aut}(-)$ or $\text{End}(-)$?

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Question

When can we reconstruct a first-order structure M from $\text{Aut}(-)$ or $\text{End}(-)$?

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In general, we can't.

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In general, we can't. (Take any two structures which are not bi-interpretable, but which have trivial automorphism groups.)

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When can we reconstruct a first-order structure M from $\text{Aut}(-)$ or $\text{End}(-)$?

Answer

In general, we can't. (Take any two structures which are not bi-interpretable, but which have trivial automorphism groups.)

What if we instead restrict our attention to ω -categorical structures, which are “highly symmetric” and have a nice structure theory determined by the action of their automorphism group?

Can we reconstruct ω -categorical M from $\text{Aut}(-)$ or $\text{End}(-)$?

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Can we reconstruct ω -categorical M from $\text{Aut}(-)$ or $\text{End}(-)$?

Question

Can we reconstruct an ω -categorical first-order structure M from $\text{Aut}(-) : \mathbf{Struct}^{\text{op}} \rightarrow \mathbf{TopGrp}$?

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Can we reconstruct ω -categorical M from $\text{Aut}(-)$ or $\text{End}(-)$?

Question

Can we reconstruct an ω -categorical first-order structure M from $\text{Aut}(-) : \mathbf{Struct}^{\text{op}} \rightarrow \mathbf{TopGrp}$?

Answer (Coquand-Ahlbrandt-Ziegler, 1986)

Yes. *In fact, M is bi-interpretable with the canonical structure $\text{Inv}(\text{Aut}(M) \curvearrowright M)$.*

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Answer (Bodirsky, Evans, Kompatscher, Pinsker, 2015)

Nope.

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Implications of the BEKP counterexample

Theorem (BEKP, 2015)

There exists an ω -categorical structure M such that $\text{End}(M)$ fails to determine M up to bi-interpretability. (Equivalently, there is another ω -categorical structure M' such that $\text{End}(M') \simeq \text{End}(M)$ as monoids, but not as topological monoids.)

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An monoid isomorphism $\mathbf{End}(M) \simeq \mathbf{End}(M')$ for $M \models T$, $M' \models T'$ ω -categorical induces (by taking directed colimits) an equivalence of categories $\mathbf{Mod}(T) \simeq \mathbf{Mod}(T')$.

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- ▶ Along with Makkai's strong conceptual completeness, we therefore conclude that some part of the ultracategory structure on $\mathbf{Mod}(T)$ is not preserved by this induced equivalence, i.e. the equivalence is not an ultraequivalence.
- ▶ We can actually see this very concretely.

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Implications of the BEKP counterexample

- ▶ Since $\mathbf{End}(M)$ is not homeomorphic to $\mathbf{End}(M')$ and the topology on either is sequential, the isomorphism $\mathbf{End}(M) \rightarrow \mathbf{End}(M')$ must fail to preserve a convergent sequence $f_n \rightarrow f$ of endomorphisms of M .

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- ▶ The ultraproduct $\prod_{\mathcal{U}} f_n$ is the same as $f^{\mathcal{U}}$.
- ▶ Either the equivalence $F : \mathbf{Mod}(T) \rightarrow \mathbf{Mod}(T')$ preserves $f^{\mathcal{U}}$ (i.e. satisfies $F(f^{\mathcal{U}}) = (Ff)^{\mathcal{U}}$) or it doesn't.

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- ▶ Either way, F fails to preserve an ultraproduct of endomorphisms.

Remark

This gives an example of an equivalence of categories $\mathbf{Mod}(T) \simeq \mathbf{Mod}(T')$ which was not induced by a bi-interpretation $T \simeq T'$.

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- ▶ Let $\mathcal{P} \xrightarrow{F} \mathbf{FinSet}$ be an exact, isomorphism-reflecting functor (a *fiber functor*) from a small Boolean pretopos \mathcal{P} to the category of finite sets.

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- ▶ Let $\mathcal{P} \xrightarrow{F} \mathbf{FinSet}$ be an exact, isomorphism-reflecting functor (a *fiber functor*) from a small Boolean pretopos \mathcal{P} to the category of finite sets.
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- ▶ Recall the *Ryll-Nardzewski theorem*: in an ω -categorical structure, there are only finitely many types in any given tuple of (sorted) variables.

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- ▶ Recall the *Ryll-Nardzewski theorem*: in an ω -categorical structure, there are only finitely many types in any given tuple of (sorted) variables.
- ▶ We can use this to apply much of the formalism to the countable model $M : T \rightarrow \mathbf{Set}$ of an ω -categorical theory T .

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Preliminaries

Let M be an ω -categorical structure.

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Let M be an ω -categorical structure.
Let T be its category of \emptyset -definable sets,

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Let M be an ω -categorical structure.

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Remark

As a functor, M is left-exact and isomorphism reflecting: it preserves all finite left limits (products, pullbacks, etc.) and if f becomes a bijection after taking points in M , then f was a definable bijection.

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Pro-representability by types

- Call the irreducible definable sets of T (by Ryll-Nardzewski, types) *atoms*.

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- ▶ Call the irreducible definable sets of T (by Ryll-Nardzewski, types) *atoms*.
- ▶ The point of all this is to characterize T in terms of the groups of definable automorphisms of its types.

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M is pro-representable by types:

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Theorem

M is pro-representable by types: there exists a projective system of atoms $(A_i)_{i \in I}$ of T such that

$$M \simeq \varinjlim_I \mathrm{Hom}_T(A_i, -).$$

Proof of theorem

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Proof of theorem

- ▶ *We form the indexing category \mathbf{I} by taking the category of points of M , restricted to the atoms of T .*

Proof of theorem

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- ▶ *We form the indexing category \mathbf{I} by taking the category of points of M , restricted to the atoms of T .*
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- ▶ *\mathbf{I} will be cofiltered.*
- ▶ *For any $(A, a) \in \mathbf{I}$, there is a canonical natural transformation $\text{Hom}_T(A, -) \rightarrow M$, induced by evaluation: we send $f : A \rightarrow X$ to $f(a) \in M(X)$.*

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- ▶ This induces (glues together into) a universal map θ :

$$\theta : G \stackrel{\mathrm{df}}{\longrightarrow_{\mathbf{I}}} \lim_{\longrightarrow} (\mathrm{Hom}_T(A_i, -)) \rightarrow M.$$

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- ▶ θ is a monomorphism: if two germs x, y in $G(X)$ are equalized by θ_X , then we can represent them by $x', y' : A \rightarrow X$ for some (A, a) such that $x'(a) = y'(a)$. Two H -equivariant maps between transitive H -sets—for any group H —are the same if and only if they agree on at least one point, so $x' = y' \implies x = y$.

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- ▶ The graph of a definable automorphism $\sigma : A \rightarrow A$ of an atom is an atom $\Gamma(\sigma) \subseteq A \times A$.

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- ▶ Therefore, since there are only finitely many types in each sort, $\text{Aut}_T(A)$ is finite for each A .

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- ▶ Therefore, since there are only finitely many types in each sort, $\text{Aut}_T(A)$ is finite for each A .
- ▶ If $(A, a) \xrightarrow{f} (B, b)$ is a map in \mathbf{I} , then for each $\sigma : A \rightarrow A$ there exists a unique $\rho : B \rightarrow B$ such that the diagram

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ \sigma \downarrow & & \downarrow \rho \\ A & \xrightarrow{f} & B \end{array}$$

commutes (after taking points in M).

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- ▶ This defines a functor $\mathbf{I} \rightarrow \mathbf{Grp}$, hence a projective system of finite groups, whose projective limit is a profinite group \mathbf{G} .

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Definition

We say an object (A, a) of \mathbf{I} is normal if the action $\mathbf{Aut}(A) \curvearrowright M(A)$ is transitive.

Normal objects

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first-order theories

Jesse Han

Introduction

Reconstruction
problems in model
theory

Reconstructing T
from $\mathbf{Mod}(T)$

Reconstructing M
from $\mathbf{Aut}(M)$ and
 $\mathbf{End}(M)$

Grothendieck's
formalism of Galois
categories

Definition

We say an object (A, a) of \mathbf{I} is normal if the action $\mathbf{Aut}(A) \curvearrowright M(A)$ is transitive.

- ▶ If we could find cofinally many normal objects in \mathbf{I} , the formalism would tell us:

$$\mathbf{Def}(T) \simeq \mathcal{C}_{\mathbf{G}} \stackrel{\text{df}}{=} \text{finite continuous } \mathbf{G}\text{-sets.}$$

Normal objects

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- ▶ This is because we need normal objects to construct a factorization of $M : \mathbf{Def}(T) \rightarrow \mathbf{Set}$ through $\mathcal{C}_{\mathbf{G}}$.
- ▶ Since $\mathbf{Aut}(A)$ is finite, A can't be normal if it's infinite.
- ▶ We can always obtain a canonical embedding $\mathcal{C}_{\mathbf{G}} \hookrightarrow \mathbf{Def}(T)$.

The category \mathcal{C}_G

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Theorem

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Let T be an ω -categorical theory. Let \mathbf{G} be the projective limit of the groups of definable automorphisms of types of T as previously described.

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Theorem

Let T be an ω -categorical theory. Let \mathbf{G} be the projective limit of the groups of definable automorphisms of types of T as previously described. Let $\mathcal{C}_{\mathbf{G}}$ be the elementary topos of finite continuous \mathbf{G} -sets.

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Let T be an ω -categorical theory. Let \mathbf{G} be the projective limit of the groups of definable automorphisms of types of T as previously described. Let $\mathcal{C}_{\mathbf{G}}$ be the elementary topos of finite continuous \mathbf{G} -sets. Then there exists a faithful functor

$$F : \mathcal{C}_{\mathbf{G}} \hookrightarrow \mathbf{Def}(T).$$

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- *Suffices to define F on the irreducible finite \mathbf{G} -sets and then extend the definition by requiring F to preserve coproducts.*

The category $\mathcal{C}_{\mathbf{G}}$

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- ▶ *Suffices to define F on the irreducible finite \mathbf{G} -sets and then extend the definition by requiring F to preserve coproducts.*
- ▶ *Any transitive \mathbf{G} -set has the form \mathbf{G}/\mathbf{H} , where \mathbf{H} is an open subgroup of \mathbf{G} .*

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- ▶ *Since \mathbf{H} is a neighborhood of the identity, it contains the kernel of some projection $\mathbf{G} \twoheadrightarrow \mathbf{Aut}(A)$, some A .*

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- ▶ *Since \mathbf{H} is a neighborhood of the identity, it contains the kernel of some projection $\mathbf{G} \twoheadrightarrow \mathbf{Aut}(A)$, some A . Let $\overline{H} \subseteq \mathbf{Aut}(A)$ be the image of H .*

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- ▶ Set $F(\mathbf{G}/\mathbf{H}) \stackrel{\text{df}}{=} A/\overline{\mathbf{H}}$.

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- ▶ Set $F(\mathbf{G}/\mathbf{H}) \stackrel{\text{df}}{=} A/\overline{\mathbf{H}}$.
- ▶ Define F similarly on \mathbf{G} -equivariant maps by doing the above to their graphs.

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- ▶ **G** can still be constructed whether there are enough normal (“Galois”) objects or not.

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- ▶ \mathbf{G} can still be constructed whether there are enough normal (“Galois”) objects or not. Is it an interesting invariant?
- ▶ In the usual formalism we restrict to the normal objects before constructing \mathbf{G} . What’s the relationship between \mathbf{G} obtained this way and \mathbf{G} obtained by just taking the projective limit of all the atoms outright? What about if we only look at algebraic types—when do we have enough normal objects?

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- ▶ What’s the relationship of \mathbf{G} with $\text{Aut}(M)$ and $\widehat{\text{Aut}(M)}$? (the latter should be the profinite fundamental group of the classifying topos of T ...)

Thank you!