ABSTRACT DECOMPOSITION THEOREM AND APPLICATIONS

RAMI GROSSBERG AND OLIVIER LESSMANN

Abstract. In this paper, we prove a decomposition theorem for abstract elementary classes \( K \) with the amalgamation property, under the assumption that certain axioms regarding independence, existence of some prime models, and regular types are satisfied. This context encompasses the following:

1. \( K \) is the class of models of an \( \aleph_0 \)-stable first order theory.
2. \( K \) is the class of \( \mathbb{F}_{\aleph_0} \)-saturated models of a superstable first order theory.
3. \( K \) is the class of models of an excellent Scott sentence \( \psi \in L_{\omega_1, \omega} \).
4. \( K \) is the class of models of an \( \omega \)-saturated model of a superstable good diagram \( D \).
5. \( K \) is the class of \( (D, \aleph_0) \)-homogeneous models of a totally transcendental good diagram \( D \).

We also prove the nonstructure part necessary to obtain a Main Gap theorem for (5), which appears in the second author’s Ph.D. thesis [Le]. The main gap in the contexts (1) and (2) are theorems of Shelah [Sh a]; (3) is by Grossberg and Hart [GrHa]; (4) by Hyttinen and Shelah [HySh2].

INTRODUCTION

This paper has two purposes. The first is to present an abstract setting lifting the essential features of classifiable first order theories, to settings which are not first order. The second is to present, as an application, a new Main Gap theorem in the context of homogeneous model theory.

In his celebrated paper [Sh 131], Saharon Shelah proved the so-called Main Gap Theorem for the class of \( \aleph_\gamma \)-saturated models of a complete first order theory \( T \). The result consists of showing that, if there are fewer than the maximum number of nonisomorphic models of cardinality \( \lambda > |T| \), then the theory \( T \) is superstable and satisfies NDOP, every \( \aleph_\gamma \)-saturated model has a decomposition in terms of an independent tree of small models, and furthermore, the tree is well-founded. This implies that the number of nonisomorphic models in each cardinal is bounded by a slow growing function. This exponential vs. slow growing dichotomy in the number of nonisomorphic models is what is referred to as the main gap.

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This is part of the second author’s Ph.D. thesis, under the guidance of the first author.
This main gap phenomenon is not limited to the first order case. About six years after \[Sh \, 131\], Rami Grossberg and Bradd Hart \[GrHa\] proved the main gap for the class of models of an excellent Scott sentence (see \[Sh \, 87\] or Lessmann’s paper in this volume for a definition of excellence). The crucial property allowing a decomposition is also NDOP.

Another non first order context with main gap phenomena is homogeneous model theory. Homogeneous model theory was introduced by Shelah in \[Sh \, 3\]. It is quite general and includes first order logic, e.c. models, Banach space model theory, many generic constructions, classes of models with amalgamation over sets (infinitary, \(L^n\)), as well as concrete cases like expansions of Hilbert spaces, and free groups. We have good notions of omega-stability/total transcendence \[Le\, 1\], superstability (\[HySh\, 2\], \[HyLe\]), stability (\[Sh \, 54\], \[Gr\, 1\], \[Gr\, 2\], \[GrLe\], \[HySh\, 1\]), and simplicity \[BuLe\]. For an exposition on homogeneous model theory, see \[Le\, 2\]. Hyttinen and Shelah proved a Main Gap theorem for locally saturated models of a superstable diagram \[HySh\, 2\] (4); NDOP is also the dividing line. Our result for the class of \((D, \kappa_0)\)-homogeneous models of a totally transcendental diagram (5) also uses NDOP. These results were proved independently and are incomparable approximations to the main gap conjecture for the class of \(\kappa\)-saturated models (it was proved under simplicity by Hyttinen and Lessmann).

The Main Gap proofs have two components: On the one hand we have a structure result (each model is decomposed into an independent tree of small models), and on the other hand we have a non-structure result (undesirable features, for example if the tree is not well-founded, produce the maximal number of models). In this paper, we present a framework in which we prove the structure part. This framework is defined in the context of Shelah’s Abstract Elementary Classes \[Sh \, 88\] with the Amalgamation Property and the Joint Embedding Property. See \[Gr\, 3\] for an exposition on this subject. We postulate the existence of an independence relation which is well-behaved over models. We also postulate the existence of a special kind of prime models, called primary, which exist over certain sets and behave well with respect to the independence relation (dominance). Finally, we posit the existence of certain types, called regular, which must be dense, and we ask for good behaviour (essentially capturing basic orthogonality calculus). This framework is general enough to include in the same proof \[Sh \, 131\], \[GrHa\], \[HySh\, 2\], and the case of \((D, \mu)\)-homogeneous models of a totally transcendental diagram \(D\) introduced in \[Le\, 1\].

In addition to providing a useful result allowing one to bypass all the technical aspects of a structure proof, we try to isolate and understand the essential features that ensure a good structural theory. The motivation is similar to Shelah’s good frames (see \[Sh \, 600\], \[Sh \, 705\]), in his work around categoricity for abstract elementary classes. Here, we think that a decomposition theorem under NDOP is a good indication that a good structure theory is possible. The next step is to see if geometric model theory can be developed in this context. There are also other good indications that this
is possible; a recent result of the second author with Hyttinen and Shelah [HLS] generalises one of the basic results of first order geometric model theory obtained for (1) – (2) to (3) – (5); we believe that generalisations to the context we isolate is possible.

Our result is a modest step towards the following conjecture of Shelah (late 1990s):

**Conjecture** (Shelah). Let $K$ be an AEC. Denote by $\delta$ the ordinal $(2^{\text{LS}(K)})^+$. If $K$ has at least one model, but fewer than the maximal number of models in some cardinal $\lambda > \beth_\delta$, then the number of nonisomorphic models of size $\aleph_\alpha$ is bounded by $\beth_\delta(\aleph_0 + |\alpha|)$ for each ordinal $\alpha$.

The paper is organised as follows: In Section 1, we introduce an axiomatic framework for abstract elementary classes with AP and JEP. We have axioms postulating the existence of a good independence relation capturing the essential features of the superstable case, in a spirit similar to Baldwin [Ba]. We have axioms on primary models, their existence over certain sets, their uniqueness, and their behavior with respect to the independence relation. We also have axioms regarding the existence of regular types and how they connect with independence and primary models. The axioms are numbered separately for easy reference. We prove a decomposition theorem in this axiomatic framework under NDOP (Theorem 1.32). The key difference with Shelah’s abstract treatment of his main gap theorems [Shc] is that his relies on compactness, whereas ours does not. We also describe how (1) – (4) fall within this framework.

In Section 2, we present the necessary orthogonality calculus to show that the class of $(D, \aleph_0)$-homogeneous models of a totally transcendental diagram $D$ satisfies the axioms of Section 1. This implies that under NDOP, every $(D, \aleph_0)$-homogeneous model is prime and minimal over an independent tree of small models. We also prove several additional lemmas that will allow us to complete the main gap for this class.

In Section 3, we introduce DOP (the negation of NDOP) for the class of $(D, \aleph_0)$-homogeneous models of a totally transcendental diagram $D$. We show that DOP implies the existence of many nonisomorphic models (Theorem 3.4). For nonstructure results using DOP (the failure of NDOP), the axiomatization needs several levels of saturation (or homogeneity, or fullness). We give a proof of the nonstructure parts of the theorem in the context of Chapter IV (of [Shc]). This gives the main gap for the class $K$ of $(D, \mu)$-homogeneous models of a totally transcendental diagram $D$ (for any infinite $\mu$). Note that, since finite diagrams generalise the first order case, it is easy to see that the failure of a finite diagram to be totally transcendental does not imply the existence of many models. All the basic tools in place, we can also show, using the methods of [Shc] or [Ha] that $\lambda \mapsto I(\lambda, K)$ is weakly monotonic (Morley’s Conjecture) for sufficiently large $\lambda$.

In Section 4, we introduce depth for the class of $(D, \aleph_0)$-homogeneous models. We prove that if a class is deep then it has many nonisomorphic
models (Theorem 1.23). Finally, we derive the main gap (Theorem 1.25) for this class. Using the same methods, we can also derive the main gap for the class of \((D, \mu)\)-homogeneous models of a totally transcendental diagram \(D\).

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1. The axiomatic framework and decomposition theorem

We fix \((K, \prec)\) an abstract elementary class \(\text{Sh88}\) (AEC for short), i.e. we assume that \((K, \prec)\) satisfies the following axioms:

**Definition 1.1 (Abstract Elementary Class).** \(K\) is a class of models in the same similarity type \(L\). The relation \(\prec\) is a partial order on \(K\).

1. \(K\) is closed under isomorphism;
2. If \(M, N \in K\) and \(M \prec N\) then \(M \subseteq N\), i.e. \(M\) is a submodel of \(N\);
3. If \(M, N, M^* \in K\) with \(M \subseteq N\) and \(M, N \prec M^*\) then \(M \prec N\);
4. There is a cardinal \(\text{LS}(K)\) such that for all \(M \in K\) and \(A \subseteq M\) there is \(N \prec M\) containing \(A\) of size at most \(|A| + \text{LS}(K)|\).
5. \(K\) is closed under Tarski-Vaught chains: Let \((M_i : i < \lambda)\) be a \(\prec\)-increasing and continuous chain of models of \(K\). Then \(\bigcup_{i<\lambda} M_i \in K\).

It is not difficult to see that if \(I\) is a directed partially ordered set and \((M_s : s \in I)\) is such that \(M_s \in K\) and \(M_s \prec M_t\) for \(s < t\) in \(I\), then \(\bigcup_{s \in I} M_s \in K\).

We now define naturally \(K\)-embedding to be those embeddings preserving \(\prec\). We will work under the additional hypothesis that \(K\) has the **Joint Embedding Property (JEP)** and the **Amalgamation Property (AP)**.

**Axiom 1 (Joint Embedding Property).** Let \(M_0, M_1 \in K\). Then there is \(M^* \in K\) and \(K\)-embeddings \(f_\ell : M_\ell \to M^*\) for \(\ell = 1, 2\).

**Axiom 2 (Amalgamation Property).** For \(M_\ell \in K\) (\(\ell = 0, 1, 2\)) and \(K\)-embeddings \(f_\ell : M_0 \to M_\ell\), for \(\ell = 1, 2\), there exist \(M^* \in K\) and \(K\)-embeddings \(g_\ell : M_\ell \to M^*\), for \(\ell = 1, 2\), such that \(g_1 \circ f_1 = g_2 \circ f_2\). In other words, the following diagram commutes:

\[
\begin{array}{ccc}
M_0 & \xrightarrow{f_2} & M_2 \\
M_1 & \xrightarrow{f_1} & M_\ell \\
& \uparrow{g_1} & \uparrow{g_2} \\
& M^* & \\
\end{array}
\]

**Remark 1.2.** Notice that when \(K\) is an AEC then the amalgamation property is equivalent to: For every \(M_\ell \in K\) (for \(\ell = 0, 1, 2\)) such that \(M_0 \prec M_\ell\) (for \(\ell = 1, 2\)) there are \(M^* \in K\) with \(M_2 \prec M^*\) and a \(K\)-embedding...
$g : M_1 \to M^*$ such that the following diagram commutes:

\[
\begin{array}{ccc}
M_1 & \xrightarrow{g} & M^* \\
\downarrow{\text{id}} & & \downarrow{\text{id}} \\
M_0 & \xrightarrow{\text{id}} & M_2
\end{array}
\]

Recall the next definition:

**Definition 1.3.** $M \in \mathcal{K}$ is $\lambda$-model homogeneous if whenever $N_0 \prec M$ and $N_1 \in \mathcal{K}$ with $N_0 \prec N_1$ and $N_1$ has size less than $\lambda$, then exists a $\mathcal{K}$-embedding $f : N_1 \to M$ which is the identity on $N$.

Assuming that $\mathcal{K}$ has AP and JEP, it is possible to construct $\lambda$-model homogeneous models for arbitrarily large $\lambda$. Notice that since we are not assuming the existence of large models in $\mathcal{K}$, a $\lambda$-model homogeneous model $M$ may be small, even though $\lambda$ is big. If $M$ is $\lambda$-model homogeneous, then any $N \in \mathcal{K}$ of size less than $\lambda$ $\mathcal{K}$-embeds into $M$. We can then use model-homogeneous models as monster models (more on this later). We make the following convenient convention.

**Convention 1.4.** We fix a $\bar{\kappa}$-model homogeneous model $C \in \mathcal{K}$, for a suitably large cardinal $\bar{\kappa}$. We will work inside $C$; all sets and models are assumed to be inside $C$ of size less than $\bar{\kappa}$.

We now postulate the existence of an independence relation on subsets of $\mathcal{C}$, i.e. a relation on triples of sets $A, B,$ and $C$,

\[ A \indep_B C, \]

satisfying the some axioms. These are similar to the standard first order axioms for non-forking in the context of superstability; i.e. Local Character is with respect to a finite set. They are weaker in one respect: we deal mainly with models. This appears in the phrasing of Symmetry, Transitivity, and Local Character. We do not assume Extension; this will be done addressed later when we deal with stationarity.

**Axiom 3 (Independence).** Let $A, B, C$ and $D$ be sets. Let $M$ be a model.

1. **(Definition)** $A \indep_B C$ if and only if $A \indep_B B \cup C$;
2. **(Triviality)** Let $M$ be a model. Then $A \indep_M A$;
3. **(Finite Character)** $A \indep_B C$ if and only if $A' \indep_B C'$, for all finite $A' \subseteq A, C' \subseteq C$;
4. **(Monotonicity)** If $A \indep_B C$ and $B \subseteq B_1 \subseteq M_1$ and $C' \subseteq C$, then $A \indep_B C'$;
(5) **(Local Character)** Let \((M_i : i < \omega)\) is an \(\prec\)-increasing sequence of models and \(M = \bigcup_{i<\omega} M_i\). Then, for every \(\bar{a}\) there is \(i < \omega\) such that \(\bar{a} \upharpoonright M_i\).

(6) **(Transitivity)** If \(M_0 \subseteq M_1 \subseteq C\), then \(A \downarrow M_1\) and \(A \upharpoonright M_0\) if and only if \(A \downarrow C\).

(7) **(Symmetry over models)** \(A \downarrow M\) if and only if \(M \downarrow A\).

(8) **(Invariance)** Let \(f\) be a \(\mathcal{K}\)-embedding with \(A \cup B \cup C \subseteq \text{dom}(f)\). Then \(A \downarrow C\) if and only if \(f(A) \downarrow f(C)\).

We are now concerned with prime models.

**Definition 1.5.** We say that a model \(M \in \mathcal{K}\) is prime over \(A\), if for every \(N \in \mathcal{K}\) containing \(A\), there exists a \(\mathcal{K}\)-embedding \(f : M \rightarrow N\), which is the identity on \(A\).

We work with a special kind of prime models, called primary models. We isolate the main property of bona fide primary models that we are going to use, namely that any two primary models over the same set are isomorphic (but we do not assume that all prime models have this property):

**Axiom 4 (Uniqueness of primary models).** Let \(M \in \mathcal{K}\) be primary over \(A\). Then \(M\) is prime over \(A\). Moreover, if \(M' \in \mathcal{K}\) is another primary model over \(A\), then \(M\) and \(M'\) are isomorphic over \(A\).

First, we need to define the notion of independent system. We will say that a set of finite sequences \(I\) is a tree if it is closed under initial segment. We will use the notation \(\eta \prec \nu\) to mean that \(\eta\) is an initial segment of \(\nu\).

**Definition 1.6.** Let \(I\) be a tree, we say that \(\langle M_\eta \mid \eta \in I \rangle \subseteq M_1\) is a system if \(M_\eta \in \mathcal{K}\) for each \(\eta \in I\) and \(M_\eta \subseteq M_\nu\) when \(\eta \prec \nu \in I\).

The concept in the next definition is called system in stable amalgamation by Shelah (see [Sh87b] and [Sh c]).

**Definition 1.7.** We say that \(\langle M_\eta \mid \eta \in I \rangle\) is an independent system if it is a system satisfying in addition:

\[
M_\eta \downarrow \bigcup_{\eta \neq \nu} M_\nu, \quad \text{for every } \eta \in I.
\]

Where \(\eta^-\) is the predecessor of \(\eta\), i.e. \(\eta^- := \eta \upharpoonright (\ell(\eta) - 1)\).

**Axiom 5 (Existence of primary models).**

1. Let \(M \in \mathcal{K}\). There is a primary model \(M' \prec M\) over the empty set;
2. If \(\bar{a} \in N \setminus M\) (where \(\bar{a}\) is finite) then there is a primary model \(M' \prec N\) over \(M \cup \bar{a}\);
(3) If \( \{ M_\eta \mid \eta \in I \} \subseteq N \) is an independent system, then there exists a primary model \( M' < N \) over \( \bigcup_{\eta \in I} M_\eta \).

The next axiom is one of the key properties of primary models.

**Axiom 6 (Dominance).** Suppose that \( A \downarrow C \) and \( M(C) \) is primary over \( M \). Then \( A \downarrow M(C) \).

This implies the Concatenation property of independence. We prove it in detail, but will be terser in the future.

**Lemma 1.8 (Concatenation).** If \( A \downarrow BC \) and \( C \downarrow B \) then \( C \downarrow BA \).

**Proof.** By Finite Character, we may assume that \( A, B, \) and \( C \) are finite. Let \( M'' < M' \) with \( M' \) primary over \( M \cup B \) and \( M'' \) primary over \( M \cup BC \). By Dominance, we have \( A \downarrow M'' \), so \( A \downarrow M'C \) by Monotonicity, \( A \downarrow C \) by Definition and Monotonicity, so \( C \downarrow A \) by Symmetry. By Dominance, we also have \( C \downarrow M' \). Thus \( C \downarrow M'A \) by Transitivity, so \( C \downarrow BA \) by Monotonicity.

**Lemma 1.9.** Let \( M < N \in K \) and assume that \( ab \downarrow N \). Then \( a \downarrow b \) if and only if \( a \downarrow b \).

**Proof.** By Monotonicity, \( a \downarrow N \), so if \( a \downarrow b \), then also \( a \downarrow b \) by Transitivity.

For the converse, choose a primary model \( M' \) over \( M \cup b \). we claim that \( a \downarrow Nb \). To see this, notice that \( N \downarrow ab \), so by Dominance \( N \downarrow M'' \), where \( M'' < M' \) is a primary model over \( M \cup ab \), which implies \( N \downarrow M'a \) and \( N \downarrow a \) by Monotonicity, so the claim follows by Symmetry. Now assume that \( a \downarrow b \).

By Dominance, we have \( a \downarrow M' \), so \( a \downarrow b \) by Transitivity using the claim.

**Definition 1.10.** We say that \( \{ B_i \mid i < \alpha \} \) is **independent over \( M \)** if

\[
B_i \downarrow M \bigcup \{ B_j \mid j \neq i, j < \alpha \},
\]

for every \( i < \alpha \).

We now prove the usual result on independent families.

**Lemma 1.11.** Let \( \{ B_i \mid i < \alpha \} \) be a family of sets and assume that

\[
(*) \quad B_{i+1} \downarrow M \bigcup \{ B_j \mid j < i \}, \text{ for every } i < \alpha.
\]

Then \( \{ B_i \mid i < \alpha \} \) is independent over \( M \).
Proof. By finite character of independence, it is enough to prove this statement for $\alpha$ finite. We do this by induction on the integer $\alpha$.

For $\alpha = 1$, (*) implies that $B_1 \perp_B B_0$, so by symmetry over models we have $B_0 \perp_B M$, which shows that $\{B_0, B_1\}$ is independent over $M$.

Assume by induction that the statement is true for $\alpha < \omega$. Let $i \leq \alpha + 1$ be given. We must show that

\[(**)\]

$B_i \perp \bigcup \{B_j \mid j \leq \alpha, j \neq i\} \cup B_{\alpha + 1}$.

Notice that by induction hypothesis

$B_i \perp \bigcup \{B_j \mid j \leq \alpha, j \neq i\}$.

And further by (*) we have

$B_{\alpha + 1} \perp \bigcup \{B_j \mid j \leq \alpha, j \neq i\} \cup B_i$.

Hence, the result follows by Concatenation.

Under our axioms, independent systems are quite independent. For $J$ a subtree of $I$, denote $M_J = \bigcup \{M_\eta : \eta \in J\}$ (note that $M_J$ is not necessarily a model). The following lemma is a version of Shelah’s generalised Symmetry Lemma. It also appears in a similar form in Makkai [Ma].

Lemma 1.12. Let $\langle M_\eta \mid \eta \in I \rangle$ be an independent system. Then, for any $I_1, I_2$ subtrees of $I$, we have:

\[(*)\]

\[M_{I_1} \perp_{M_{I_1 \cap I_2}} M_{I_2}\]

Proof. By the finite character of independence, it is enough to prove (*) for finite trees $I$. We prove this by induction on $|I_1 \cup I_2|$.

First, if $I_2 \subseteq I_1$, then it is obvious. Thus, assume that there is $\eta \in I_2 \setminus I_1$, and choose $\eta$ of maximal length. Let $J_2 := I_2 \setminus \{\eta\}$. Notice that by choice of $\eta$, we have $M_{I_1 \cap J_2} = M_{I_1 \cap I_2}$. By induction hypothesis, we have that

\[(*)\]

\[M_{I_1} \perp_{M_{I_1 \cap J_2}} M_{J_2}\]

Since $M_{\eta^-} \subseteq M_{J_2}$, by monotonicity (*) implies that

\[(**)\]

\[M_{I_1} \perp_{M_{\eta^-}} M_{J_2}\]
By definition of independent system and monotonicity we have

\[(***) \quad M_\eta \Downarrow_{M_\eta^{-}} M_{I_1} \cup M_{I_2}.\]

Therefore, by concatenation applied to (**) and (***) we can conclude that

\[(†) \quad M_{I_1} \Downarrow_{M_{I_1 \cap I_2}} M_{I_2}.\]

Now, using (*) and monotonicity we have

\[(‡) \quad M_{I_1} \Downarrow_{M_{I_1 \cap I_2}} M_{I_2}.\]

Thus, the transitivity property applied to (†) and (‡), implies that

\[M_{I_1} \Downarrow_{M_{I_1 \cap I_2}} M_{I_2}.\]

This finishes the proof.

In the context of an abstract elementary class with amalgamation, Shelah introduced a natural notion of types over models. The material we are about to cover can be found in more details in [Gr3]. Consider the following equivalence relation \(\sim\) on triples \((a, M, N)\), where \(M, N \in K\), \(M \prec N\) and \(a \in N\). We say that

\[(a_1, M, N_1) \sim (a_2, M, N_2)\]

if there is \(N^* \in K\) and \(K\)-embeddings \(f_\ell : N_\ell \to N^*\) which are the identity on \(M\) and such that \(f_1(a_1) = f_2(a_2)\). The picture is

\[
\begin{array}{ccc}
N_1 & \xrightarrow{f_1} & N^* \\
id & & \downarrow f_2 \\
M & \xrightarrow{id} & N_2
\end{array}
\]

The amalgamation property ensures that \(\sim\) is an equivalence relation. The equivalence class \((a, M, N)/\sim\) is written \(\text{ga-tp}(a/M, N)\); it is the galois type of \(a\) over \(M\) in \(N\).

**Definition 1.13.** Let \(M \in K\). Then

\(\text{ga-S}(M) = \{\text{ga-tp}(a/M, N) : \text{For some } a \in N, M \prec N \in K\}\).

As is common in first order model theory, we use the letters \(p, q, r\) for types. We will say that \(N'\) realizes \(\text{ga-tp}(a/M, N)\) if \(M \prec N'\) and there is \(b \in N'\) such that \(\text{ga-tp}(b/M, N') = \text{ga-tp}(a/M, N)\). We continue to write \(b \models p\), if \(a\) realizes \(p\). Similarly, we can define \(p \mid M'\) for \(M' \prec M\), and \(p \subseteq q\).

The amalgamation property guarantees that the types are well-behaved; for example an increasing and continuous union of types is a type.

We have the following striking correspondence between \(\lambda\)-saturation and \(\lambda\)-model homogeneity. Recall first:
Definition 1.14. Let $M \in K$. Then $M$ is $\lambda$-galois saturated if $M$ realizes each $p \in \text{ga-S}(N)$ for $N \prec M$ of size less than $\lambda$.

The next fact is due to Shelah (see [Sh 576], also [Gr3] for a proof).

Fact 1.15 (Shelah). Let $K$ be an abstract elementary class with AP and JEP. For any $\lambda > \text{LS}(K)$ we have that $M$ is $\lambda$-model homogeneous if and only if $M$ is $\lambda$-galois saturated.

This justifies further our use of $C$ as a monster model: All relevant types are realized in $C$. From now on, since we may only consider types of the form $\text{ga-tp}(a/M, C)$, we will omit $C$.

The invariance of the independence relation makes it natural to extend the independence relation to types.

Definition 1.16. Let $M \in K$.

(1) We say that $p \in \text{ga-S}(M)$ is free over $N \prec M$ if for every $\bar{a} \in C$ realizing $p$, we have $\bar{a} \upharpoonright N \Downarrow M$.

(2) We say that $p \in \text{ga-S}(M)$ is stationary if for every $N \in K$ containing $M$, there is a unique extension $p_N \in \text{ga-S}(N)$ of $p$ such that $p_N$ is free over $M$.

(3) We say that the stationary type $p \in \text{ga-S}(M)$ is based on $N$ if $p$ is free over $N$.

It is clear that ‘for every’ is equivalent to ‘for some’ in (1). Notice that in this context, the existence of a free extension to a stationary type (2), not just its uniqueness, is quite important.

Axiom 7 (Existence of Stationary types). Let $M \in K$. Then any non-algebraic $p \in \text{ga-S}(M)$ is stationary.

The next lemma follows from the definition, Local Character, and Transitivity.

Lemma 1.17. Let $p \in \text{ga-S}(M)$ and let $(M_i : i < \lambda)$ be an $\prec$-increasing and continuous chain of models such that $\bigcup_{i < \lambda} M_i = M$. Then there is $i < \lambda$ such that $p$ is based on $M_i$. In particular, there is always $N \prec M$ of size $\text{LS}(K)$ such that $p$ is based on $N$.

We now introduce a strong independence between stationary types: orthogonality.

Definition 1.18. Let $p \in \text{ga-S}(M)$ and $q \in \text{ga-S}(N)$. We say that $p$ is orthogonal to $q$, written $p \perp q$, if for every $M_1 \in K$ containing $M \cup N$ and for every $a \models p_{M_1}$ and $b \models q_{M_1}$, we have $a \upharpoonright M \Downarrow b$.

By symmetry of independence, $p \perp q$ if and only if $q \perp p$. Also, if $p \in \text{ga-S}(M)$, $q \in \text{ga-S}(N)$ and with $M \prec N$, then by definition $p \perp q$ if and only if $p_N \perp q$. In fact, more is true:
Lemma 1.19 (Parallelism). Let $M \prec N$ and $p, q \in \mathrm{ga-S}(M)$. Then $p \perp q$ if and only if $p_N \perp q_N$.

Proof. We have already shown the left to right direction, so suppose that $p_N \perp q_N$ and let $M_1 \in \mathcal{K}$ with $M \prec M_1$, and suppose, for a contradiction that $a \models p_{M_1}, b \models q_{M_1}$, but $a \nvdash b$. Let $N_1 \in \mathcal{K}$ containing $M_1 \cup N$. By stationarity, there exists $a'b' \models \mathrm{tp}(ab/N_1)$ such that $a'b' \perp N_1$. Notice that $a' \nvdash b'$, so $a' \nvdash b'$ by Lemma 1.9. But $a' \models p_N$ and $b' \models q_N$, contradicting the fact that $p_N \perp q_N$.

We now expand this definition to orthogonality against models.

Definition 1.20. Let $M, N, M_\ell \in \mathcal{K}$ for $\ell = 0, 1, 2$.

1. Let $p \in \mathrm{ga-S}(N)$. We say that $p$ is orthogonal to $M$, written $p \perp M$, if $p$ is orthogonal to each $q \in \mathrm{ga-S}(M)$.

2. If $M_0 \prec M_1, M_2$, we write that $M_1/M_0 \perp M_2$ if and only if $p \perp M_2$, for every $p \in \mathrm{ga-S}(M_0)$ realized in $M_1$.

We now concentrate on a special kind of types: regular types.

Definition 1.21. A stationary type $p \in \mathrm{ga-S}(M)$ is called regular if for any $N \prec M$ with $p$ based on $N$ and for any $M_1 \in \mathcal{K}$ containing $M$ and $q \in \mathrm{ga-S}(M_1)$ extending $p \upharpoonright N$, either $q = p_{M_1}$ or $q \perp p$.

Lemma 1.22. Let $M \subseteq M_1$. If $p \in \mathrm{ga-S}(M)$ is regular, then $p_{M_1} \in \mathrm{ga-S}(M_1)$ is regular.

Proof. Let $p \in \mathrm{ga-S}(M)$ be regular. Let $N \prec M$ with $p$ based on $N$. Then, $p_{M_1}$ is stationary based on $N$. Let $q \in \mathrm{ga-S}(N_1)$ extend $p \upharpoonright N$. Then either $q = p_{N_1} = (p_{M_1})_{N_1}$ or $q \perp p$. Hence by definition of $\perp$ we have $q \perp p_{M_1}$. This shows that $q$ is regular.

The next axioms guarantee that it is enough to focus on regular types.

Axiom 8 (Existence of Regular types). If $M \subseteq N$ and $M \not= N$, then there exists a regular type $p \in \mathrm{ga-S}(M)$ realized in $N \setminus M$.

Axiom 9 (Perp I). Let $M, N \in \mathcal{K}$ such that $M \prec N$. Let $p \in \mathrm{ga-S}(N)$ be regular. Then $p \perp M$ if and only if $p \perp q$, for every regular type $q \in \mathrm{ga-S}(M)$.

This is to establish connections with the dependence relation and orthogonality.

Axiom 10 (Equivalence). Let $M \in \mathcal{K}$ and let $p, q \in \mathrm{ga-S}(M)$ be regular and let $b \not\in M$ realize $p$. Then $q$ is realized in $M(b) \setminus M$ if and only if $p \nvdash q$.

Note that by Equivalence, the relation $\nvdash$ among regular types (over the same base set) is an equivalence relation.
Lemma 1.23. Let $M_0 \subseteq M \subseteq M' \subseteq N$. Let $p \in \text{ga-S}(M')$ be regular realized in $N \setminus M'$ and $q \in \text{ga-S}(M)$ such that $p \not\perp q$. Let $r \in \text{ga-S}(M_0)$ be regular. If $p \perp r$ then $q \perp r$.

Proof. By Lemma 1.22 the types $r_{M'}$ and $q_{M'}$ are regular. By definition, $p \not\perp q_{M'}$. If $q \not\perp r$, then $q_{M'} \not\perp r_{M'}$. By the Parallelism lemma, $p \perp r$ if and only if $p \perp r_{M'}$ and $q \perp r$ if and only if $q_{M'} \perp r_{M'}$. The conclusion follows from the equivalence axiom.

Lemma 1.24 (Primary base). If $M'$ is a primary model over $\bigcup_{\eta \in I} M_\eta$, where $\langle M_\eta \mid \eta \in I \rangle$ is an independent system and let $p \in S(M')$ be regular. Then there exists a finite subtree $J \subseteq I$ and a model $M^*$ primary over $\bigcup_{\eta \in J} M_\eta$ such that $p$ is based on $M^*$.

Proof. We prove this by induction on $|I|$. Let $(J_i : i < |I|)$ be induced subtrees of $I$ of size less than $|I|$ such that $\bigcup_{i < |I|} J_i = I$. Choose $M_i$ primary over $\bigcup_{\eta \in J_i} M_\eta$ such that $(M_i : i < |I|)$ is $\preceq$-increasing, continuous and $M' = \bigcup_{i < |I|} M_i$. This is possible by existence of primary models over independent system and the Uniqueness of primary models axiom. By Local Character, there exists $i < |I|$ such that $p$ is based on $M_i$. Since the size of $J_i$ is less than $|I|$, we are done by induction.

Lemma 1.25. Let $p = \text{ga-tp}(a/M)$ be regular and suppose that $p \perp M_1$, with $M_1 \subseteq M$. Then $M(a)/M \perp M_1$.

Proof. By axiom (Perp I) it is enough to show that any regular type $q \in \text{ga-S}(M)$ realized in $M(a) \setminus M$ is orthogonal to any regular type $r$ over $M_1$. But, if $q$ is regular realized in $M(a) \setminus M$, then by Equivalence we must have $q \not\perp p$. Since $p \perp M_1$ by assumption, then $p \perp r$. Then, by definition, $q \perp r$ if and only if $q \perp r_{M_1}$. Hence, we conclude by Equivalence.

Lemma 1.26. Let $M_0 \subseteq M$ and let $\bar{a}_1, \bar{a}_2$ such that $\bar{a}_1 \perp \bar{a}_2$. Suppose that ga-tp($\bar{a}_\ell/M$) $\perp M_0$, for $\ell = 1, 2$. Let $B$ be such that $B \perp M_0$, then $M$ $\bar{a}_1 \bar{a}_2 \perp B$.

Proof. By finite character of independence, it is enough to prove this for finite $B$. Let $\bar{b}$ be finite such that $\bar{b} \perp M_0$.

(*)& 

First, since ga-tp($\bar{a}_2/M$) $\perp M_0$, (*) implies that

(*)& 

$\bar{a}_2 \perp \bar{b}$.

Thus, by symmetry, we must have $\bar{b} \perp \bar{a}_2$, so $\bar{b} \perp M_2$, where $M_2$ is primary over $M \cup \bar{a}_2$. This shows that $\bar{b} \models \text{ga-tp}(\bar{b}/M)_{M_2}$. By assumption, we have...
that

\[(***) \quad \bar{a}_1 \perp \bar{a}_2, \]

so \(\bar{a}_1 \perp M \bar{a}_2\). Then \(\bar{a}_1 \models \text{ga-tp}(\bar{a}_1/M)_{M_2}\). But, \(\text{ga-tp}(\bar{a}_1/M) \perp \text{ga-tp}(\bar{b}/M)\), so by definition, we must have \(\bar{a}_1 \perp M \bar{b}\). By the first axiom of the independence relation, we have \(\bar{a}_1 \perp M \bar{b} \bar{a}_2\). By transitivity (and dominance) using (**), we obtain \(\bar{a}_1 \perp M \bar{b} \bar{a}_2\). Hence, by the concatenation property of independence and (†) again, we can derive

\[\bar{a}_1 \bar{a}_2 \perp M_0 \bar{b},\]

which is what we wanted. ⊣

**Corollary 1.27.** Let \(M \subseteq N\). Let \(\langle A_i \mid i < \alpha \rangle\) be independent over \(N\), such that \(A_i/N \perp M\), for each \(i < \alpha\). Let \(B\) be such that \(B \perp M\). Then

\[\bigcup \{A_i \mid i < \alpha\} \perp M B.\]

**Proof.** By finite character of independence and monotonicity, we may assume that \(\alpha < \omega\). We prove the statement by induction on \(\alpha\) and use the previous lemma at the successor step. ⊣

**Corollary 1.28.** Let \(\langle M_\eta \mid \eta \in I \rangle\) be a system satisfying:

1. \(\langle M_\eta \mid \eta^- = \nu, \eta \in I \rangle\) is independent over \(M_\nu\), for every \(\nu \in I\);
2. The type \(\text{ga-tp}(M_\eta/M_\eta^-) \perp M_\eta^-\), for every \(\eta \in I\).

Then \(\langle M_\eta \mid \eta \in I \rangle\) is an independent system.

**Proof.** By the finite character of independence, we may assume that \(I\) is finite. We prove this statement by induction on \(|I|\). First, notice that if there is no \(\eta \in I\) such that \(\eta^-\) exists, then the result follows from (1). We must show that

\[M_\eta \perp_{M_\eta^-} \bigcup \{M_\nu \mid \eta \not\approx \nu, \nu \in I\}.\]

Choose \(\nu \in I\) of maximal length such that \(\eta \not\approx \nu\). Let

\[I_1 := \{\rho \mid \eta \not\approx \rho, \nu^- < \rho\ \text{and} \ \rho \not\approx \nu\}.\]

Then, by (1), the system

\[(*) \quad \langle M_\rho, M_\nu \mid \rho \in I_1\rangle, \text{ is independent over } M_\nu^- .\]

Let

\[I_2 := \{\rho \mid \eta \not\approx \rho, \nu^- \not\approx \rho\}.\]

By induction hypothesis

\[(**) \quad M_\nu^- \perp_{M_\nu^-} M_{I_2} M_\eta.\]
Hence, by the previous corollary, using (*), symmetry on (**) and the fact that $M_\rho/M_\nu - \perp M_\nu$, for $\rho \in I_1$ or $\rho = \nu$, we conclude that

\[(***) \quad M_\nu M_{I_1} \perp M_{I_2} M_\eta.\]

Now, by induction hypothesis, we must have $M_{I_2} \perp M_\eta$, so by concatenation, we must have

\[(\dagger) \quad M_\eta \perp M_{I_1} M_{I_2} M_\nu.\]

Now, $M_\eta \perp M_\nu$ by monotonicity and induction hypothesis. Therefore, using (\dagger), transitivity and the definition of $I_1$ and $I_2$, we conclude that

\[M_\eta \perp \bigcup \{M_\nu \mid \eta \not\sim \nu, \nu \in I\}.\]

We now come to the main definition of this section.

**Definition 1.29.** $\mathcal{K}$ has NDOP if for every $M_0, M_1, M_2 \in \mathcal{K}$ such that $M_1 \perp M_2$, for every $M'$ primary over $M_1 \cup M_2$ and for every regular type $p \in \text{ga-S}(M')$, either $p \not\in M_0$ or $p \not\in M_2$.

**Theorem 1.30.** Suppose $\mathcal{K}$ has NDOP. Let $M, M_\eta \in \mathcal{K}$, for $\eta \in I$ be such that $\langle M_\eta \mid \eta \in I \rangle$ is an independent system and $M$ is primary over it. Let $a \in \mathcal{C} \setminus M$ be such that $\text{ga-tp}(a/M)$ is regular. Then there is $\eta$ such that $\text{ga-tp}(a/M) \not\in M_\eta$.

**Proof.** Let $p = \text{ga-tp}(a/M)$. Suppose that $p \perp M_\eta$ for every $\eta \in I$. By the prime base axiom and parallelism we may assume that $I$ is finite. We will obtain a contradiction to NDOP by induction on $|I|$. 

If $I = \{\eta \mid k : k < n\}$, it is obvious because $\bigcup_{\nu \in I} M_\nu = M_\eta$, so by definition of prime, we have $M' = M_\eta$. But $p \not\in p$ by triviality of independence. Therefore, $p \not\in M_\eta$ by definition.

Otherwise, there exists $\nu \in I$ such that both subtrees $I_1 := \{\eta : \eta \in I \nu \not\succ \eta\}$ and $I_2 := \{\eta : \eta \in I \nu \not\prec \eta\}$ are nonempty. By the third axiom on prime models, we can choose $M_k$ prime over $\bigcup_{\eta \in I_k} M_\eta$ for $k = 1, 2$. By induction hypothesis, we have

\[p \perp M_1 \quad \text{and} \quad p \perp M_2.\]

Furthermore, since $\langle M_\eta \mid \eta \in I \rangle$ is an independent system, we have

\[\bigcup_{\eta \in I_1} M_\eta \perp \bigcup_{\eta \in I_2} M_\eta.\]
Therefore, by the symmetry of independence and dominance, we must have

\[ M_1 \downarrow_{M_\nu} M_2. \]

But, \( M' \) is primary over \( M_1 \cup M_2 \). This contradicts the fact that \( \mathcal{K} \) has NDOP.

An \( \omega \)-tree is simply a tree of height at most \( \omega \).

**Definition 1.31.** We say that \( \langle M_\eta, a_\eta \mid \eta \in I \rangle \) is a decomposition of \( N \) over \( M \) if it satisfies the following conditions:

1. \( I \) is an \( \omega \)-tree;
2. \( \langle M_\eta \mid \eta \in I \rangle \) is a system with \( M_\eta \subseteq N \) for each \( \eta \in I \);
3. If \( \eta^- \) exists for \( \eta \in I \), then \( M_\eta/M_\eta- \perp M_\eta^- \);
4. For every \( \nu \in I \) the system \( \langle M_\eta \mid \eta^- = \nu, \eta \in I \rangle \) is independent over \( M_\nu \).
5. \( M_{\langle \rangle} = M \) and \( M_\eta \) is primary over \( M_{\eta^-} \cup a_\eta \);
6. For every \( \eta \in I \), the type \( \text{ga-tp}(a_\eta/M_\eta^-) \) is regular.

We say that \( \langle M_\eta, a_\eta \mid \eta \in I \rangle \) is a decomposition of \( N \) if it is a decomposition of \( N \) over \( M_{\langle \rangle} \) the primary model over the empty set.

Fix \( N \in \mathcal{K} \) and \( M \prec N \). We can introduce an ordering between decompositions of \( N \) over \( M \) as follows: We say that

\[ \langle M_\eta, a_\eta \mid \eta \in I \rangle \prec \langle N_\eta, b_\eta \mid \eta \in J \rangle \]

if \( I \subseteq J \) and for every \( \eta \in I \) we have

\[ M_\eta = N_\eta, \quad a_\eta = b_\eta. \]

It is now easy to show that the set of decompositions of \( N \) is inductive: Let \( \langle S_i \mid i < \alpha \rangle \) be a chain of decompositions \( S_i = \langle M_\eta^i, a_\eta^i \mid \eta \in I^i \rangle \). First, let \( I := \bigcup_{i < \alpha} I^i \). Then \( I \) is an \( \omega \)-tree. Hence, we can define the system \( S := \langle M_\eta, a_\eta \mid \eta \in I \rangle \), by \( M_\eta := M_\eta^i \) if \( \eta \in I^i \) and \( a_\eta := a_\eta^i \), if \( \eta \in I^i \). This is well-defined since \( \langle S_i \mid i < \alpha \rangle \) is chain. We need to check that \( S \) is a decomposition of \( N \). The only nontrivial fact is to check that for every \( \nu \in I \) the system

\[ \langle M_\eta \mid \eta^- = \nu, \eta \in I \rangle \]

is independent over \( M_\nu \). If it failed, then by finite character, there would be a finite set \( F \subseteq I \) such that

\[ \langle M_\eta \mid \eta^- = \nu, \eta \in F \rangle \]

is not independent. By then, there exists \( i < \alpha \) such that \( F \subseteq I^i \), contradicting the fact that \( S_i \) is a decomposition of \( N \).

Recall that we say that a model \( N \) is minimal over \( A \) if primary models exist over \( A \) and if \( M(A) \subseteq N \) is primary over \( A \), then \( N = M(A) \). Note that a decomposition as in the next theorem is called complete.
Theorem 1.32. Suppose $\mathcal{K}$ has NDOP. Then for every $M \subseteq N$, there exists $\langle M_\eta, a_\eta \mid \eta \in I \rangle$ a decomposition of $N$ over $M$ such that $N$ is primary and minimal over $\bigcup_{\eta \in I} M_\eta$.

Proof. First, notice that the set of decompositions of $N$ over $M$ is not empty. Therefore, by Zorn’s Lemma, since the set of decompositions of $N$ over $M$ is inductive, there exists a maximal decomposition

(*) $\langle M_\eta, a_\eta \mid \eta \in I \rangle$.

By Lemma 1.28 we know that $\langle M_\eta \mid \eta \in I \rangle$ is an independent system. Therefore, by the third axiom for primary models, there exists $M' \subseteq N$ primary over $\bigcup_{\eta \in I} M_\eta$. We will show that $M' = N$. This will show that $N$ is primary and minimal over $\bigcup_{\eta \in I} M_\eta$.

Suppose that $M' \neq N$. Then, by the axiom of existence of regular types, there exists a regular type $p \in ga-S(M')$ realized in $N \setminus M'$. We are going to contradict the maximality of (*) $\langle M_\eta, a_\eta \mid \eta \in I \rangle$. Since $\mathcal{K}$ has NDOP, by Theorem 1.30 there exists $\eta \in I$ such that $p \n perpendicular M_\eta$. Choose $\eta$ of smallest length such that $p \n perpendicular M_\eta$. By axiom (Perp I), there exists a regular type $q \in ga-S(M_\eta)$ such that $p \n perpendicular q$. Since $q$ is stationary, we can choose $q_{M'}$ the unique free extension of $q$ to the prime model $M'$. Then, by Lemma 1.22 the type $q_{M'}$ is regular. Since $p \n perpendicular q$ and $p \in ga-S(M')$, by definition $p \n perpendicular q_{M'}$. By Equivalence, since $p$ is realized in $N \setminus M'$, there exists $a \in N \setminus M'$ realizing $q \upharpoonright M'$. Hence $ga-tp(a/M') = q_{M'}$ and by choice of $q_{M'}$, this implies that

(**) $a \n perpendicular M'$.

Since $ga-tp(a/M_\eta)$ is regular and $a \in N \setminus M_\eta$, by the second axiom on primary models, there exists a primary model $M(a) \subseteq N$ over $M_\eta \cup a$. By dominance and (**) we must have

$$M(a) \n perpendicular M'.$$

Thus, by monotonicity of independence and choice of $M'$, we conclude that

(***) $M(a) \n perpendicular \bigcup_{\nu \in I \setminus \eta} \{ M_\nu \mid \nu^- = \eta, \nu \in I \}$.

But $\{ M_\nu \mid \nu^- = \eta \}$ is independent by definition of decomposition. Thus, (***) and Lemma 1.14 implies that

$$\{ M_\nu, M(a) \mid \nu^- = \eta, \nu \in I \}$$

is independent over $M_\eta$. Suppose now that $\eta^-$ exists. By choice of $\eta$ we must have $p \perp M_\eta^-$. Since $p \n perpendicular ga-tp(a/M_\eta)$, we must have by Lemma 1.23 and axiom (Perp I) that $ga-tp(a/M_\eta) \perp M_\eta^-$. Hence, by Lemma 1.25 we must have $M(a)/M_\eta \perp M_\eta^-$. This shows that we can add $a/M_\eta$ and $M(a)$ to (*) and still have a decomposition of $N$. This contradicts the maximality of (*). Thus $N$ is primary and minimal over $\bigcup_{\eta \in I} M_\eta$. $\square$
Corollary 1.33. If $K$ has NDOP and $N \in K$, then there exists a complete decomposition.

Proof. By the previous theorem since by axiom on primary models there exists a primary model over the empty set. ⊣

The same proof shows:

Corollary 1.34. If $K$ has NDOP and $N \in K$ is primary over a decomposition $\langle M_\eta \mid \eta \in I \rangle$ of $N$ over $M$, then $\langle M_\eta \mid \eta \in I \rangle$ is a complete decomposition of $N$ over $M$.

1.1. Examples. The abstract decomposition given in this section generalises the known NDOP cases. There are several classical first order cases. The first one is for $\aleph_0$-saturated models of a totally transcendental theory $T$. A second one is for $\aleph_1$-saturated models of a superstable theory $T$. And finally, for the class of models of a totally transcendental theory $T$. In each case, $C$ can be taken to be the saturated monster model for $T$. The independence relation is non-forking. Regular types in the first two cases are just the regular types in the sense of first order. In the last case, they correspond to strongly regular types. The primary models are the $F_{\aleph_0}$-primary models, the $\aleph_1$-primary models (also called $F_{\aleph_0}$) for the second case, and the $F_{\aleph_0}$-primary models in the third case. All the results needed to apply the theorem can be found in ShCa.

In the nonelementary case, there are two published examples. One in the context of an excellent Scott sentence in $L_{\omega_1, \omega}$ [GrHa]. Excellence implies AP and JEP; The model $C$ can be taken to be any sufficiently large full model. The independence relation is that afforded by the rank. Regular types are the SR types. The primary models are the usual primary models and their uniqueness is clear. The existence of primary models follows from excellence (see Sh87a, Sh87b) and the relevant orthogonality calculus can be found in [GrHa]. The other is for the class of locally saturated models of a superstable diagram. There we have amalgamation over sets, so $C$ can be taken to be strongly homogeneous. The details are in HySh2.

The aim of the next section is to prove that the axiomatic framework developed in this section holds for the class $K$ of $(D, \aleph_0)$-homogeneous models of a totally transcendental $D$. As we pointed out in the previous paragraph, we have an abstract elementary class with AP and JEP, and even more: we can work inside a large homogeneous model.

The independence relation is given by the rank; the axioms for independence, the existence of stationary types, the existence of regular types can all be found in Le1. The primary models are the $D_{\aleph_0}$-primary models; their uniqueness is clear and their existence over all sets in the totally transcendental case is also proved in Le1.

This leaves us with the proof of Equivalence, and Dominance. These results are part of what is called Orthogonality Calculus.
2. Orthogonality calculus in finite diagrams

In this section, we work in the context of totally transcendental good diagrams.

Let $T$ be a complete first order theory in a language $L$. A type $tp(c/A, M)$ is simply the set of first order formulas over $A$ which are true of $c$ in $M$. A diagram $D$ is a set of the form $\{tp(c/\emptyset, M) : c \in M\}$ for some $M \models T$. Fix a diagram $D$. A set $A$ is a $D$-set, if $tp(c/\emptyset) \in D$ for each finite $c \in A$. A $D$-model is a model whose universe is a $D$-set. We are interested in the class of $D$-models, i.e. the nonelementary class of models of $T$ omitting, over the empty set, all the types outside $D$.

This leads to the following notion of types:

**Definition 2.1.** $S_D(A) = \{ p \in S(A) : Ac$ is a $D$-set for each $c \models p \}$.

A model $M$ is $\lambda$-homogeneous if whenever $f : M \to M$ is a partial elementary map with $|\text{dom}(f)| < \lambda$ and $a \in M$ then there is an elementary map $g : M \to M$ extending $f$ such that $a \in \text{dom}(g)$. A model $M$ is $(D, \lambda)$-homogeneous if $M$ is $\lambda$-homogeneous and $M$ realizes exactly the types in $D$. Then, if $p \in S_D(A)$ and $A \subseteq M$ has size less than $\lambda$, then $p$ is realized in $M$ if $M$ is $(D, \lambda)$-homogeneous.

We will work inside a large $(D, \kappa)$-homogenous model $C$ of size $\kappa$, which functions as our monster model. Satisfaction is defined with respect to $C$, and all sets and models are assumed to be inside $C$, so all the relevant types are realized in $C$. The existence of such a model is the meaning of **good**.

Here is the meaning of stability in this context:

**Definition 2.2.** $D$ is $\lambda$-stable if $|S_D(A)| \leq \lambda$ for each $D$-set of size $\lambda$.

In [Le1], a notion of rank is introduced which is shown to be bounded under $\omega$-stability. $D$ is said to be totally transcendental if the rank is bounded. In the rest of this paper, we assume that $D$ is a totally transcendental diagram. We already established in [Le1] that many of the axioms of the previous section hold for totally transcendental diagrams (notably the properties of the independence relation and the existence of primary models) and facts from [Le1] will be used freely. We will now develop what is referred to as orthogonality calculus for this context and show that the remaining axioms used to obtain an abstract decomposition theorem also hold for the class of $(D, \aleph_0)$-homogeneous models of a totally transcendental diagram $D$.

Notice that homogeneity implies that the notion of $ga,tp(\bar{a}/M, N)$ coincides with $tp(\bar{a}/M, N)$.

The next few lemmas show Dominance.

First, for $D$-sets $A$ and $B$, we say that $A \subseteq_{TV} B$, if every $D$-type over finitely many parameters in $A$ realized in $B$ is realized in $A$. The subscript TV stands for Tarski-Vaught.

**Lemma 2.3.** Let $M$ be $(D, \aleph_0)$-homogeneous. Suppose $\bar{a} \perp M \bar{b}$. Then, for every $\bar{m} \in M$ the type $tp(\bar{b}/\bar{m}\bar{a})$ is realized in $M$. 

Proof. By symmetry, $\bar{b} \perp \bar{a}$. Hence, by taking a larger $\bar{m}$ if necessary, we may assume that $\text{tp}(\bar{b}/M\bar{a})$ does not split over $\bar{m}$. By $(D,N_0)$-homogeneity of $M$, we can find $b' \in M$, such that $\text{tp}(\bar{b}/\bar{m}) = \text{tp}(b'/\bar{m})$. We claim that $\text{tp}(\bar{b}/\bar{m}\bar{a}) = \text{tp}(b'/\bar{m}\bar{a})$. If not, there exists a formula $\varphi(\bar{x},\bar{m},\bar{a})$ such that $\models \varphi[b,\bar{m},\bar{a}]$ and $\models \neg \varphi[b',\bar{m},\bar{a}]$. But, $\text{tp}(\bar{b}/\bar{m}) = \text{tp}(b'/\bar{m})$, so $\text{tp}(\bar{a}/Mb)$ splits over $\bar{m}$, a contradiction. –

The next lemma is standard. Recall that $p \in S(A)$ is $D_{S_0}^s$-isolated if $p \in S_D(A)$ and is $F_{S_0}^s$-isolated.

Lemma 2.4. Let $A, B$ be $D$-sets such that $A \subseteq TV B$. If $\text{tp}(\bar{c}/A)$ is $D_{S_0}^s$-isolated, then $\text{tp}(\bar{c}/A) \vdash \text{tp}(\bar{c}/B)$.

Proof. Let $q(\bar{x},\bar{a}) \vdash \text{tp}(\bar{c}/A)$, with $\bar{a} \in A$. Suppose that $\text{tp}(\bar{c}/A) \not\vdash \text{tp}(\bar{c}/B)$. Then, there exists $b \in B$ and a formula $\varphi(\bar{x},\bar{y})$ such that $q(\bar{x},\bar{a}) \cup \varphi(\bar{x},\bar{b})$ and $q(\bar{x},\bar{a}) \cup \neg \varphi(\bar{x},\bar{b})$ are both realized in $C$. By assumption, there exists $\bar{b} \in A$ realizing be such that $\text{tp}(\bar{b}/\bar{a}) = \text{tp}(\bar{c}/\bar{b})$. Hence, by an automorphism fixing $\bar{a}$ and sending $\bar{b}$ to $\bar{b}'$, both $q(\bar{x},\bar{a}) \cup \varphi(\bar{x},\bar{b}')$ and $q(\bar{x},\bar{a}) \cup \neg \varphi(\bar{x},\bar{b}')$ are realized in $C$. This contradicts the choice of $q(\bar{x},\bar{a})$. –

A model is $M$ is $D_{S_0}^s$-primary over $A$ if $M = A \cup \{a_i : i < \lambda\}$ and $\text{tp}(a_i/A \cup \{a_j : j < i\})$ is $D_{S_0}^s$-isolated for each $i < \lambda$. We denote by $M(A)$ the $D_{S_0}^s$-primary model over $M \cup A$.

Theorem 2.5 (Dominance). Let $M$ be $(D,N_0)$-homogeneous and $A$ be a $D$-set. For each $B$, if $A \perp B$, then $M(A) \perp M$.

Proof. By finite character of independence, it is enough to show that if $\bar{a} \perp \bar{b}$, then $\bar{c} \perp \bar{b}$, for each finite $\bar{c} \in M(\bar{a})$. Let $\bar{c} \in M(\bar{a})$ be given. $M$ Then $\text{tp}(\bar{c}/M\bar{a})$ is $D_{S_0}^s$-isolated. Hence, by assumption and Lemma 2.4, $\text{tp}(\bar{c}/M\bar{a}) \vdash \text{tp}(\bar{c}/M\bar{a}b)$. Therefore, $\bar{c} \perp \bar{b}$. –

Recall the definition of orthogonality.

Definition 2.6. Let $p \in S_D(B)$ and $q \in S_D(A)$ be stationary. We say that $p$ is orthogonal to $q$, written $p \perp q$, if for every $D$-model $M$ containing $A \cup B$ and for every $a \models p_M$ and $b \models q_M$, we have $a \perp b$; $M$

Recall the following technical lemma in [Le1].

Lemma 2.7. Let $p, q \in S_D(M)$ and $M \subseteq N$ be in $K$. If $a \perp b$ for every $M$ $a \models q$ and $b \models p$, then $a \perp b$ for every $a \models q_N$ and $b \models p_N$.

Then, by the previous lemma we can immediately simplify the definition: for $p, q \in S_D(M)$, we have $p \perp q$ if and only if $a \perp b$ for every $a \models p$ and $b \models q$. 
Lemma 2.8. Let $M$ be $(D, \mathbb{N}_0)$-homogeneous. If $\bar{a} \not\subseteq M$ and $\text{tp}(\bar{a}/\bar{M}\bar{b})$ is $D^{\bar{s}}_{\mathbb{N}_0}$-isolated, then $\bar{a} \in M$.

Lemma 2.9. Let $\text{tp}(\bar{a}/\bar{M}\bar{b})$ be isolated, and $\text{tp}(\bar{b}/M)$ be regular. Suppose that $\bar{a} \upharpoonright \bar{b}$. Then, for any $\bar{c}$ if $\bar{a} \upharpoonright \bar{c}$, then $\bar{b} \upharpoonright \bar{c}$.

Proof. Suppose that $\bar{b} \upharpoonright \bar{c}$. By symmetry, we have that $\bar{c} \upharpoonright \bar{b}$. Choose $M$ such that $\text{tp}(\bar{c}/\bar{M}\bar{b})$ such that

$$R[q(\bar{z}, \bar{m}, \bar{b})] = R[\text{tp}(\bar{c}/\bar{M}\bar{b})] < R[\text{tp}(\bar{c}/M)].$$

Without loss of generality, since $\bar{a} \upharpoonright \bar{b}$, we can choose $p(\bar{x}, \bar{m}, \bar{b}) \subseteq \text{tp}(\bar{a}/\bar{M}\bar{b})$ be such that

$$R[p(\bar{y}, \bar{m}, \bar{a})] = R[\text{tp}(\bar{b}/M\bar{a})] < R[\text{tp}(\bar{b}/M)].$$

and also

$$R[p(\bar{b}, \bar{m}, \bar{x})] = R[\text{tp}(\bar{a}/\bar{M}\bar{b})] < R[\text{tp}(\bar{a}/M)].$$

Choose $\bar{c}' \in M$ such that $\text{tp}(\bar{c}/\bar{m}) = \text{tp}(\bar{c}'/\bar{m})$. Since $\bar{a} \upharpoonright \bar{c}$, we have in particular that $\text{tp}(\bar{a}/M\bar{c})$ does not split over $\bar{m}$ so that $\text{tp}(\bar{c}/\bar{m}\bar{a}) = \text{tp}(\bar{c}'/\bar{m}\bar{a})$. 

Thus, $\bar{b}$ realizes the following type

$$p(\bar{y}, \bar{m}, \bar{a}) \cup q(\bar{a}, \bar{m}, \bar{y}) \cup \text{tp}(\bar{b}/\bar{m}).$$

Since $\text{tp}(\bar{a}/\bar{M}\bar{b})$ is isolated, we may assume that $M(\bar{a}) \subseteq M(\bar{b})$. Now choose $\bar{b}' \in M(\bar{a})$ realizing (*). If $\bar{b}' \in M$, then $R[\text{tp}(\bar{a}/M)] = R[\text{tp}(\bar{a}/\bar{m}\bar{b}')] = R[p(\bar{b}', \bar{m}, \bar{x})]$, a contradiction. Hence $\bar{b}' \not\in M$ and so $\bar{b}' \not\subseteq \bar{b}$, by the previous lemma. Thus $\text{tp}(\bar{b}'/M)$ extends $\text{tp}(\bar{b}/\bar{m})$ and is not orthogonal to it, thus since $\text{tp}(\bar{b}/M)$ is regular based on $\bar{m}$, we must have $\text{tp}(\bar{b}'/M) = \text{tp}(\bar{b}/M)$. This is a contradiction, since then, $\bar{b}'$ realizes $q(\bar{c}', \bar{m}, \bar{y})$.

The next corollary is Equivalence.

Corollary 2.10 (Equivalence). Let $M \in K$, let $p, q \in S_D(M)$ be regular, and let $\bar{b} \not\in M$ realize $p$. Then $q$ is realized in $M(\bar{b}) \setminus M$ if and only if $p \not\perp q$.

Proof. Let $\bar{b} \in M$ realize $p$. Let $M(\bar{b})$ be $D^s_{\mathbb{N}_0}$-primary over $M \cup \bar{b}$.

Let $\bar{a} \in M(\bar{b}) \setminus M$. Then $\text{tp}(\bar{a}/M\bar{b})$ is $D^s_{\mathbb{N}_0}$-isolated. If $p \perp q$, then $\bar{b} \upharpoonright \bar{a}$.

Hence, by symmetry $\bar{a} \upharpoonright \bar{b}$, and so $\bar{a} \in M$, by Lemma 2.8, a contradiction.

For the converse, suppose that $p \not\perp q$. This implies that there is $\bar{a} \models q$ such that $\bar{a} \upharpoonright \bar{b}$.
Let \( q(\bar{x}, \bar{m}, \bar{b}) \subseteq \text{tp}(\bar{a}/M\bar{b}) \) be such that
\[
R[q(\bar{x}, \bar{m}, \bar{b})] = R[\text{tp}(\bar{a}/M\bar{b})] < R[q].
\]
Since \( q \) is regular, we may further assume that \( q \) is based on \( \bar{m} \). Thus, the element \( \bar{a} \) realizes the type
\[
(*) \quad q(\bar{x}, \bar{m}, \bar{b}) \cup q \upharpoonright \bar{m}.
\]
Since \( M(\bar{b}) \) is in particular \((D, \aleph_0)\)-homogeneous, there is \( \bar{a}' \in M(\bar{b}) \) realizing the type \((*)\). Since \( M(\bar{b}) \) is \((D, \aleph_0)\)-primary, we must have that \( \text{tp}(\bar{a}'/M\bar{b}) \) is isolated. Thus, since \( \bar{b} \not\models \bar{a} \), we must have by the Lemma 2.9 that \( \bar{a}' \not\models \bar{a} \).

This implies that \( \text{tp}(\bar{a}'/M) \) is an extension of the regular type \( q \upharpoonright \bar{m} \) which is not orthogonal to \( q \). Hence, since \( q \) is regular, we must have \( q = \text{tp}(\bar{a}'/M) \). This shows that \( q \) is realized (by \( \bar{a}' \)) in \( M(\bar{b}) \).

We encountered Morley sequences when we talked about stationary types in the previous chapter. The definition can be made for any type.

**Definition 2.11.** Let \( p \in S_D(A) \). We say that \( \langle \bar{a}_i \mid i < \omega \rangle \) is a Morley sequence for \( p \) if
\begin{enumerate}
  \item The sequence \( \langle \bar{a}_i \mid i < \omega \rangle \) is indiscernible over \( A \);
  \item For every \( i < \omega \) we have \( \bar{a}_i \upharpoonright A \cup \{\bar{a}_j \mid j < i\} \).
\end{enumerate}

The next fact was established in the previous chapter.

**Fact 2.12.** If \( p \in S_D(A) \) is stationary, then there is a Morley sequence for \( p \).

The next theorem is Axiom (Perp I).

**Theorem 2.13** (Perp I). Let \( p \in S_D(N) \) be regular, \( M \subseteq N \). Then \( p \perp M \) if and only if \( p \perp q \), for every regular \( q \in S(M) \).

**Proof.** One direction is obvious. Suppose that \( p \not\perp M \). We will find a regular type \( q \in S_D(M) \) such that \( p \not\perp q \).

Since \( p \) is regular, there exists a finite set \( \bar{f} \subseteq N \) such that \( p \) is regular over \( \bar{f} \). Write \( p(\bar{x}, \bar{f}) \) for the stationary type \( p_{\bar{f}} \). Also, there exists a finite set \( \bar{e} \subseteq M \) such that \( \text{tp}(\bar{f}/M) \) is based on \( \bar{e} \). Since \( p \not\perp M \), there exists a stationary type \( r \in S(M) \) such that \( p \not\perp r \). By monotonicity, we can find \( \bar{a} \models p, \bar{b} \models r_N \) such that \( \bar{a} \not\models \bar{f} \bar{b} \).

Since \( M \) is \((D, \aleph_0)\)-homogeneous, there exists \( \langle \bar{f}_i \mid i < \omega \rangle \subseteq M \), a Morley sequence for \( \text{tp}(\bar{f}/\bar{e}) \). Let \( p_i := p(\bar{x}, \bar{f}_i)_M \). This is well-defined since \( p(\bar{x}, \bar{f}) \) is stationary and \( \text{tp}(\bar{f}/\bar{e}) = \text{tp}(\bar{f}_i/\bar{e}) \), so \( p(\bar{x}, \bar{f}_i) \) is stationary.

For each \( i < \omega \), we can choose \( M_i \subseteq N \) such that there is an automorphism \( g_i \) with \( g_i(\bar{f}) = \bar{f}_i, g_i(\bar{e}) = \bar{e} \) and \( g_i(M) = M_i \). Since \( p_{M_i} \) is regular and \( p_i = g_i^{-1}(p_{M_i}) \), then
\[
(*) \quad p_i \text{ is regular, for each } i < \omega.
\]
A similar reasoning using an automorphisms sending $f\bar{f}$ to $f\bar{f}j$ shows that

\[(**)
\quad p \perp p_0 \text{ implies } p_i \perp p_j, \text{ for every } i \neq j < \omega.
\]

Finally, using the fact that $p \not\perp r$, we can derive

\[(***)
\quad p_i \not\perp r, \text{ for every } i < \omega.
\]

If we show that $p \not\perp p_0$, then (*) implies the conclusion of the lemma. Suppose, for a contradiction, that $p \perp p_0$. By (***) we can find $b' \models r$ and $\bar{a}_i \models p_i$, such that $b' \not\subseteq \bar{a}_i$ and $\bar{a}_i \notin M$, for each $i < \omega$. Now (***) implies that $\bar{a}_{j+1} \downarrow \{\bar{a}_i \mid i \leq j\}$, for every $j < \omega$. Hence, by (*) and Lemma 2.8 we have $\bar{a}_{i+1} \notin M_i$, where $M_i$ is $D_{8_0}$-primary over $M \cup \{\bar{a}_j \mid j < i\}$. Let $N$ be $D_{8_0}$-primary over $M \cup \{\bar{a}_j \mid j < \omega\}$. Since $\kappa(D) = 8_0$, there exists $n < \omega$ such that $b' \not\subseteq \bar{a}_n$. By symmetry over models, $\bar{a}_n \not\subseteq b'$. But $\bar{a}_n \not\subseteq \{\bar{a}_i \mid i < n\}$, and so $\bar{a}_n \not\subseteq M_n$, by dominance and symmetry. Hence, by transitivity of the independence relation, we have $\bar{a}_n \downarrow \bar{b}$, so $b' \downarrow \bar{a}_n$, a contradiction.

We now prove two additional lemmas that will be used in the next section.

**Lemma 2.14.** If $p \in S(M_1)$ is regular, $p \perp M_0$, and $M_1 \not\subseteq M_2$, then $p \perp M_2$.

**Proof.** Suppose that $p \not\perp M_2$. Then, by definition, there exists $q \in S(M_2)$ such that $p \not\perp q$. By definition, there is $N \supseteq M_1 \cup M_2$ such that

\[(*)
\quad p_N \not\perp q_N.
\]

We are going to find a type $q' \in S(M_0)$ such that $p \not\perp q'$.

Since $p$ and $q$ are stationary, there exist finite sets $\bar{c} \subseteq M_1$, $\bar{d} \subseteq M_2$, and $\bar{e} \subseteq M_0$ such that $p$ is based on $\bar{c}$, $q$ is based on $\bar{d}$, and both $\text{tp}(\bar{c}/M_0)$ and $\text{tp}(\bar{d}/M_0)$ are based on $\bar{e}$.

By (*) and finite character, there exist a set $F \subseteq N$, and $\bar{a}$, $\bar{b}$ such that

\[(**)
\quad \bar{a} \models p_{M_1 M_2 F}, \quad \bar{b} \models q_{M_1 M_2 F}, \quad \text{but} \quad \bar{a} \not\subseteq \bar{b}_{M_1 M_2 F}.
\]

By monotonicity, we may assume that $\bar{c}\bar{d}\bar{e} \subseteq F$. Since $\text{tp}(\bar{a}\bar{b}/N)$ is stationary, we may also assume that $\text{tp}(\bar{a}\bar{b}/M_1 M_2 F)$ is stationary based on $F$. Finally, we may further assume that $R[\text{tp}(\bar{a}/\bar{e})] < R[\text{tp}(\bar{a}/\bar{e}F)]$.

Since $M_0$ is $(D,8_0)$-homogeneous, we can choose $\bar{d}' \in M_0$ such that $\text{tp}(\bar{d}'/\bar{e}) = \text{tp}(\bar{d}/\bar{e})$. By stationarity, we have $\text{tp}(\bar{c}\bar{d}\bar{e}/\emptyset) = \text{tp}(\bar{c}\bar{d}\bar{e}/\emptyset)$. Now choose $F' \subseteq M_1$ such that $\text{tp}(\bar{c}\bar{d}\bar{e}F'/\emptyset) = \text{tp}(\bar{c}\bar{d}\bar{e}F'/\emptyset)$. Finally, let $\bar{a}'\bar{b}' \in \mathcal{C}$ such that $\text{tp}(\bar{a}'\bar{b}'\bar{c}\bar{d}\bar{e}F'/\emptyset) = \text{tp}(\bar{a}'\bar{b}'\bar{c}\bar{d}\bar{e}F'/\emptyset)$.
By invariance under automorphism, we have $R[\text{tp}(a'/c)] = R[\text{tp}(a'/F')]$ and $R[\text{tp}(b'/d')] = R[\text{tp}(b'/F')]$, since these statements are true without the apostrophe $’$.

Now let $q' := \text{tp}(b'/d')M_0 \in S(M_0)$. Such a type exists since $\text{tp}(b'/d')$ is stationary. We claim that $p \not\models q'$. Otherwise, by the previous remark, we have $p \perp q'M_1$. Now, let $a''b'' \models \text{tp}(a'b'/F')$. We have $a'' \models p$, $b'' \models q'M_1$, and so $a'' \models pM_1b''$. But then $R[\text{tp}(a''/c)] = R[\text{tp}(a''/b''F')]$ This contradicts the fact that $\text{tp}(a'b'/F') = \text{tp}(a''b''/F')$. $
$
Lemma 2.15. Let $p, q \in S_D(M)$ be regular. Let $\bar{a} \notin M$ realize $p$. If $p \not\models q$, then there exists $\bar{b} \in M(\bar{a}) \setminus M$ realizing $q$ such that $M(\bar{a}) = M(\bar{b})$.

Proof. By equivalence, there exists $\bar{b} \in M(\bar{a}) \setminus M$ realizing $q$. By definition of prime, it is enough to show that $\text{tp}(\bar{a}/M\bar{b})$ is $D_{\aleph_0}$-isolated.

Let $\bar{c} \in M$ be finite such that $p$ is regular over $\bar{c}$, and write $p(\bar{x}, \bar{c}) = p \upharpoonright \bar{c}$. Now, since $\text{tp}(\bar{b}/M\bar{a})$ is $D_{\aleph_0}$-isolated, there exists $r_1(\bar{y}, \bar{a})$ over $M$ isolating $\text{tp}(\bar{b}/M\bar{a})$. By a previous lemma, we know that $\bar{a} \not\models \bar{b}$, so let $r_2(\bar{x}, \bar{b})$ witness this. We claim that the following type isolates $\text{tp}(\bar{a}/M\bar{b})$:

(*) $p(\bar{x}, \bar{c}) \cup r_1(\bar{b}, \bar{x}) \cup r_2(\bar{x}, \bar{b})$.

Let $\bar{a}' \in M(\bar{a})$ realize (*). Then, $\bar{a}' \notin M$ by choice of $r_1$. Hence, $\bar{a} \not\models \bar{a}'$

so by choice of $p(\bar{x}, \bar{c})$, we have $\text{tp}(\bar{a}'/M) = \text{tp}(\bar{a}/M)$. Thus, $\text{tp}(\bar{a}/M\bar{b}) = \text{tp}(\bar{a}'/M\bar{b})$ using $r_2(\bar{a}', \bar{y})$. $
$
We can now show using the language of Section 1.

Theorem 2.16. Let $K$ be the class of $(D, \aleph_0)$-homogeneous models of a totally transcendental diagram $D$. Let $N \in K$ have NDOP. Then $N$ has a complete decomposition.

Proof. All the axioms of Section 1 have been checked for $K$. $
$
Remark 2.17. Similarly to the methods developed in this section for the class of $(D, \aleph_0)$-homogeneous models of a totally transcendental diagram $D$, we can check all the axioms for the class of $(D, \mu)$-homogeneous models of a totally transcendental diagram $D$, for any infinite $\mu$. This implies that if $K$ is the class of $(D, \mu)$-homogeneous models of a totally transcendental diagram $D$ and if $N \in K$ has NDOP, then $N$ has a complete decomposition (in terms of models of $K$).

3. DOP in finite diagrams

Let $K$ be the class of $(D, \aleph_0)$-homogeneous models of a totally transcendental diagram. In the language of the axiomatic framework, we take $C$ to be a large homogeneous model. We say that $K$ satisfies DOP if $K$ does not have NDOP. Recall that $\lambda(D)$, the first stability cardinal, is $|D| + |T|$. 

Claim 3.1. Suppose that $\mathcal{K}$ has DOP. Then there exists $M, M_i, M' \in \mathcal{K}$ for $i = 1, 2$ such that

1. $M_1 \not\subseteq M_2$;
2. $M'$ is prime over $M_1 \cup M_2$;
3. $|M'| = \lambda(D)$;
4. $M_i = M(\bar{a}_i)$, for $i = 1, 2$;
5. There exists a regular type $p \in S(M')$ such that $p \not\subseteq M_i$, for $i = 1, 2$;
6. The type $p$ is isolated over $\bar{a}_1 \bar{a}_2$.

Proof. By assumption, there exists $\mathcal{K}$ fails to have NDOP. Then, there exist $M_i \in \mathcal{K}$ for $i \leq 2$ with $M_1 \not\subseteq M_2$, there exists $M''$ which is $D_{\aleph_0}$-primary over $M_1 \cup M_2$ and there exists a regular type $p \in S(M'')$ such that $p \not\subseteq M_i$, for $i = 1, 2$.

Let $\bar{b} \in M''$ be a finite set such that $p$ is based on $\bar{b}$. Let $\bar{a}_i \in M_i$, for $i = 1, 2$ such that $\text{tp}(\bar{b}/M_1 \cup M_2)$ is $D_{\aleph_0}$-isolated over $\bar{a}_1 \bar{a}_2$. Let $M \in \mathcal{K}$, $M \subseteq M_0$ of cardinality $\lambda(D)$ be such that $\bar{a}_1 \not\subseteq M_0$. Such a model exists using local character and prime models. Let $M(\bar{a}_i)$ be prime over $M \cup \bar{a}_i$, for $i = 1, 2$. Then, by Dominance, Transitivity, and Monotonicity, we have $M(\bar{a}_1) \not\subseteq M(\bar{a}_2)$. By axiom on prime there exists $M' \subseteq M''$ prime over $M(\bar{a}_1) \cup M(\bar{a}_2)$. We may assume that $B \subseteq M'$. Let $p' = p \upharpoonright M'$. Then $p' \in S(M')$ is regular based on $\bar{b}$ and $p'_{M''} = p$. It remains to show that $p' \not\subseteq M(\bar{a}_i)$, for $i = 1, 2$. Let $r \in S(M(\bar{a}_i))$ be regular. Then $r_{M_i}$ is regular by our axiom. Furthermore, by definition, $p' \not\subseteq r$ and only if $p' \not\subseteq r_{M''}$. By Parallelism, since $M' \subseteq M''$, it is equivalent to show that $p \not\subseteq r_{M''}$. But, $r_{M_i} \in S(M_i)$ is regular, $p \not\subseteq M_i$, and $r_{M''} = (r_{M_i})_{M''}$. Therefore, by choice of $p$ we have $p \not\subseteq r_{M''}$, which finishes the proof.

Let $\mu > \lambda(D)$ be a cardinal (for the following construction, we may have $\mu \geq \lambda(D)$, but the strict inequality is used in the last claim). Let $\langle M_i \mid i < \mu \rangle$ be independent over a model $M \subseteq M_i$. Suppose that $|M_i| = \lambda(D)$. Let $R \subseteq [\mu]^2$ and suppose that $M_s = M_i \cup M_j$, for $s = (i, j)$. Such a model exist for each $s \in [\mu]^2$ by the axioms on prime. Then, by Dominance and the axiom on primes, the following system is independent:

(*) \[ \langle M_i \mid i < \mu \rangle \cup \{M\} \cup \langle M_s \mid s \in R \rangle. \]

Hence, there exists a model $M_R$ prime over $\bigcup_{i<\mu} M_i \cup \bigcup_{s \in R} M_s$.

Let $s = (i, j)$ and suppose that there exists a regular type $p_s \in S(M_s)$ such that $p_s \not\subseteq M_i, p_s \not\subseteq M_j$. Let $I_s$ be a Morley sequence for $p_s$ of length $\mu$. (Such a sequence exists since $\mathcal{C}$ is $(D, \mu^\pm)$-homogeneous. Then, by Dominance, definition of a Morley sequence, and axiom on prime, there exists $N_s = M_s(I_s)$.

The next claim will allows us to choose prime models over complicated independent systems with some additional properties.
Claim 3.2. The system  
\[ S_R = \langle M_i \mid i < \mu \rangle \cup \{ M \} \cup \langle N_s \mid s \in R \rangle \]
is an independent system.

Proof. By definition, we must show that \( N_s \downarrow A \), when \( A = \bigcup_{t \in R, t \neq s} N_t \).
By finite character, it is enough to show this for \( R \) finite. We prove this by induction on the cardinality of \( R \). When \( R \) is empty or has at most one element, there is nothing to do. Suppose that \( R = \{ s_i \mid i \leq n \} \cup \{ s \} \).
We show that we can replace \( M_{s_i} \) by \( N_{s_i} \) and \( M_s \) by \( N_s \) and still have an independent system. By (*), it is enough to show that if \( M_s \downarrow A \), then \( N_s \downarrow A \), for \( A = \bigcup_{i \leq n} N_{s_i} \). Using the axioms of the independence relation, it is enough to show that \( N_s \downarrow A \). By induction hypothesis, we have
\[ M_s \]
(**) \[ N_s \downarrow \bigcup_{s_i \in s} N_{s_i} \text{ and } N_{s_n} \downarrow \bigcup_{s_i \in s} N_{s_i} \]
Now, either \( s \cap s_n \) is empty so \( M_s \downarrow M_{s_n} \) by (*) or they extend \( j \) and so \( M_s \downarrow M_{s_n} \), by (*) again. Since \( M \subseteq M_j \), in either case, \( p_s \downarrow M_j \), by choice of \( p_j \). Hence \( p_s \downarrow M_{s_n} \) using Lemma 2.14. By induction hypothesis, there exists \( N' \) a prime model over \( \bigcup_{i<n} N_{s_i} \). Hence, by (**) and Dominance \( N_s \downarrow N' \) and \( N_{s_n} \downarrow N' \). Hence, using again by Lemma 2.14, we have \( p_s \downarrow N' \). Thus, \( I_s \downarrow N' \) and \( I_s \downarrow N_{s_n} \). Therefore \( I_s \downarrow N' \cup N_{s_n} \). By Dominance \( N_s \downarrow N' \cup N_{s_n} \). We are done by monotonicity.

We will now use DOP to construct systems as in the claim.

Let the situation be as in the first claim. Write \( p(\bar{x}, \bar{b}) = p \upharpoonright \bar{b} \). Let \( \langle \bar{a}_1^\alpha \bar{a}_2^\alpha \alpha < \mu \rangle \) be a Morley sequence for tp(\( \bar{a}_1 \bar{a}_2 / M \)). Such a Morley sequence exists by assumption on \( C \) and stationarity over models. Let \( M^\alpha \) be prime over \( M \cup \bar{a}_i^\alpha \), for \( i = 1, 2 \). Such a prime model exists by the axioms. Then \( M_i^\alpha \downarrow M_2^\beta \) for every \( \alpha < \beta \), by Dominance. By axiom on prime there exists \( M^\alpha \beta \) prime over \( M^\alpha_1 \cup M^\beta_2 \). Let \( \bar{b}^\alpha \beta \) be the image of \( \bar{b} \) in \( M^\alpha \beta \). Let \( p^{\alpha \beta} = p(\bar{x}, \bar{b}^{\alpha \beta})_{M^\alpha \beta} \in S(M^{\alpha \beta}) \), which exists and is regular since \( p \) is based on \( \bar{b} \). Thus, \( p^{\alpha \beta} \downarrow M_1^\alpha \) and \( p^{\alpha \beta} \downarrow M_2^\beta \). Let \( I^{\alpha \beta} \) be a Morley sequence of length \( \mu \) for \( p^{\alpha \beta} \). Let \( N^{\alpha \beta} \) be prime over \( M^{\alpha \beta} \cup I^{\alpha \beta} \). Then, for the claim, for each \( R \subseteq [\mu]^2 \), the system
\[ S_R = \{ M \} \cup \{ M^\alpha_i : \alpha < \mu, i = 1, 2 \} \cup \{ N^{\alpha \beta} : (\alpha, \beta) \in R \} \]
is an independent system. Hence, there exists \( M_R \) prime over it.
The final claim explains the name of Dimensional Order Property: It is possible to code the relation \( R \) (in particular an order in the following theorem) by looking at dimensions of indiscernibles in a model \( M_R \). Note that the converse holds also, namely that the following property characterises DOP (we do not prove this fact as it is not necessary to obtain the main gap). Recall \( \mu > \lambda (D) \).

**Claim 3.3.** The pair \( \langle \alpha, \beta \rangle \in R \) if and only if there exists \( \bar{c} \in M_R \) with the property that \( \text{tp}(\bar{a}_1\bar{a}_2\bar{b}/\emptyset) = \text{tp}(\bar{a}_1\bar{a}_2\bar{c}/\emptyset) \) and for every prime \( M^* \subseteq M_R \) over \( M \cup \bar{a}_1\bar{a}_2 \) containing \( \bar{c} \) there exists a Morley sequence for \( p(\bar{x}, \bar{c})_{M^*} \) of length \( \mu \).

**Proof.** If the pair \( \langle \alpha, \beta \rangle \in R \), then \( p_{\alpha\beta} \) is based on \( \bar{b}_{\alpha\beta} \). Furthermore, \( I_{\alpha\beta} \) is a Morley sequence of length \( \mu \) for \( p_{\alpha\beta} \) in \( M_R \). Let \( M' \) be prime over \( M \cup \bar{a}_1\bar{a}_2 \) containing \( \bar{b}_{\alpha\beta} \), then \( p(\bar{x}, \bar{b}_{\alpha\beta})_{M'} \) is realized by every element of \( I_{\alpha\beta} \) except possibly \( \lambda (D) \) many. Hence, there exists a Morley sequence of length \( \mu \), since \( \mu > \lambda (D) \).

For the converse, let \( \alpha < \beta < \mu \) be given such that \( \langle \alpha, \beta \rangle \notin R \). Let \( t = (\alpha, \beta) \). Let \( \bar{c} \subseteq M_R \) finite as in the claim. By using an automorphism, we have that \( \text{tp}(\bar{c}/\bar{a}_1\bar{a}_2) \) isolates \( \text{tp}(\bar{c}/M^1_1M^2_2) \) and hence there exists \( M_t \subseteq M_R \) prime over \( M^1_1M^2_2 \) containing \( \bar{c} \). By assumption on \( \bar{c} \), there exists \( I \subseteq M_R \) a Morley sequence for \( p(\bar{x}, \bar{c})_{M_t} \) of length \( \mu \). Let \( N_t \) be prime over \( M_t(I) \), which exists by assumption on prime. By the previous claim, the following system is independent

\[
\{M\} \cup \{M^\alpha_t \mid \alpha < \mu, i = 1, 2\} \cup \{N^{\alpha\beta} \mid \langle \alpha, \beta \rangle \in R\} \cup \{N_t\}.
\]

Thus, in particular \( N_t \perp \bigcup_{i<\mu} M_i \bigcup \bigcup_{s \in R} N_s \), so \( \bigcup_{i<\mu} M_i \bigcup \bigcup_{s \in R} N_s \), for each \( \bar{a} \in I \). By Dominance \( \bar{a} \downarrow M_R \) and so \( \bar{a} \in M_t \). This is a contradiction.

All the technology is now in place to apply the methods of \[Sh c\] or \[GrHa\] with the previous claim and to derive:

**Theorem 3.4.** Suppose that \( K \) has DOP. Then, \( K \) contains \( 2^\lambda \) nonisomorphic models of cardinality \( \lambda \), for each \( \lambda > |D| + |T| \).

**Theorem 3.5.** Suppose that the class of \((D, \mu)\)-homogeneous models of a totally transcendental diagram \( D \) has DOP. Then, for each \( \lambda > |D| + |T| + \mu \) there are \( 2^\lambda \) nonisomorphic \((D, \mu)\)-homogeneous models of cardinality \( \lambda \).

### 4. Depth and the main gap

We have now showed that if every model \((D, \aleph_0)\)-homogeneous model of a totally transcendental diagram \( D \) has NDOP, then every such model admits a decomposition. We will introduce an equivalence between decompositions,
as well as the notion of depth, in order to compute the spectrum function for $\mathcal{K}$. Most of the treatment will be done under the assumption that $\mathcal{K}$ has NDOP.

**Definition 4.1.** We say that $\mathcal{K}$ has NDOP if every $N \in \mathcal{K}$ has NDOP.

We introduce the depth of a regular type.

**Definition 4.2.** Let $p \in S_D(M)$ be regular. We define the depth of $p$, written $\text{Dep}(p)$. The depth $\text{Dep}(p)$ will be an ordinal, $-1$, or $\infty$ and we have the usual ordering $-1 < \alpha < \infty$ for any ordinal $\alpha$. We define the relation $\text{Dep}(p) \geq \alpha$ by induction on $\alpha$.

1. $\text{Dep}(p) \geq 0$ if $p$ is regular;
2. $\text{Dep}(p) \geq \delta$, when $\delta$ is a limit ordinal, if $\text{Dep}(p) > \alpha$ for every $\alpha < \delta$;
3. $\text{Dep}(p) \geq \alpha + 1$ if there exists $\bar{a}$ realizing $p$ and a regular type $r \in S_D(M(\bar{a}))$ such that $r \perp M$ and $\text{Dep}(r) \geq \alpha$.

We write:

- $\text{Dep}(p) = -1$ if $p$ is not regular;
- $\text{Dep}(p) = \alpha$ if $\text{Dep}(p) \geq \alpha$ but it is not the case that $\text{Dep}(p) \geq \alpha + 1$;
- $\text{Dep}(p) = \infty$ if $\text{Dep}(p) \geq \alpha$ for every ordinal $\alpha$.

We let $\text{Dep}(\mathcal{K}) = \sup\{\text{Dep}(p) + 1 \mid M \in \mathcal{K}, p \in S_D(M)\}$. This is called the depth of $\mathcal{K}$.

**Lemma 4.3.** Let $p \in S_D(M)$ be regular with $\text{Dep}(p) < \infty$. Let $\bar{a} \models p$ with $r \in S_D(M(\bar{a}))$ regular with $r \perp M$. Then $\text{Dep}(r) < \text{Dep}(p)$.

*Proof.* This is obvious, by definition of depth, if $\text{Dep}(r) = \text{Dep}(p)$ is as above, then $\text{Dep}(p) \geq \text{Dep}(p) + 1$, contradicting $\text{Dep}(p) < \infty$. -

**Lemma 4.4.** Let $p \in S_D(M)$ be regular. If $\text{Dep}(p) < \infty$ and $\alpha \leq \text{Dep}(p)$, then there exists $q$ regular such that $\text{Dep}(q) = \alpha$.

*Proof.* By induction on $\text{Dep}(p)$. For $\text{Dep}(p) = 0$ it is clear. Assume that $\text{Dep}(p) = \beta + 1$. Let $\bar{a} \models p$ and let $r \in S_D(M(\bar{a}))$ be such that $r \perp M$ and $\text{Dep}(r) \geq \beta$. Then, by the previous lemma, $\text{Dep}(r) = \beta$. Hence, we are done by induction. Assume that $\text{Dep}(p) = \delta$, where $\delta$ is a limit ordinal. Let $\alpha < \delta$. Then, $\text{Dep}(p) > \alpha$ by definition, so there exist $\bar{a} \models p$ and $r \in S_D(M(\bar{a}))$ regular such that $r \perp M$ and $\text{Dep}(r) \geq \alpha$. By the previous lemma $\text{Dep}(r) < \text{Dep}(p)$, so we are done by induction. -

We first show that the depth respects the equivalence relation $\not\models$.

**Lemma 4.5.** Let $p, q \in S_D(M)$ be regular such that $p \not\models q$. Then $\text{Dep}(p) = \text{Dep}(q)$.

*Proof.* By symmetry, it is enough to show that $\text{Dep}(p) \leq \text{Dep}(q)$. We show by induction on $\alpha$ that $\text{Dep}(p) \geq \alpha$ implies $\text{Dep}(q) \geq \alpha$. For $\alpha = 0$ or $\alpha$ a limit ordinal, it is obvious. Suppose that $\text{Dep}(p) \geq \alpha + 1$, and let $\bar{a}$ realize $p$ and $r \in S_D(M(\bar{a}))$ be such that $\text{Dep}(r) \geq \alpha$ and $r \perp M$. Since $p \not\models q$, by Lemma 2.13 there exists $\bar{b}$ realizing $q$ such that $M(\bar{a}) = M(\bar{b})$. This implies that $\text{Dep}(q) \geq \alpha + 1$. -
Lemma 4.6. Suppose $\mathcal{K}$ has NDOP. Let $M \subseteq N$, with $M, N \in \mathcal{K}$. Let $p \in S_D(M)$ be regular. Then $\text{Dep}(p) = \text{Dep}(p_N)$.

Proof. We first show that $\text{Dep}(p) \geq \text{Dep}(p_N)$. By induction on $\alpha$, we show that $\text{Dep}(p) \geq \alpha$ implies $\text{Dep}(p_N) \geq \alpha$.

For $\alpha = 0$ it follows from the fact that $p_N$ is regular. For $\alpha$ a limit ordinal it follows by induction. Suppose $\text{Dep}(p) \geq \alpha + 1$. Let $\bar{a}$ realize $p$ and $r \in S_D(M(\bar{a}))$ regular be such that $\text{Dep}(r) \geq \alpha$ and $r \perp M$. Without loss of generality, we may assume that $\bar{a} \perp N$. Hence, by Dominance $M(\bar{a}) \perp N$. Since $r \perp M$, then Lemma 2.14 implies that $r \perp N$. By induction hypothesis $\text{Dep}(r_{N(\bar{a})}) \geq \alpha$. Hence $\text{Dep}(p_N) \geq \alpha + 1$.

The converse uses NDOP. We show by induction on $\alpha$ that $\text{Dep}(p_N) \geq \alpha$ implies $\text{Dep}(p) \geq \alpha$. For $\alpha = 0$ or $\alpha$ a limit ordinal, this is clear. Suppose $\text{Dep}(p_N) \geq \alpha + 1$. Let $\bar{a}$ realize $p_N$. Then $\bar{a} \perp N$, so by Dominance $M(\bar{a}) \perp N$. Consider $N' D_\mathcal{K}_0$-primary over $M(\bar{a}) \cup N$. We may assume that $M' M = M'(\bar{a})$. Hence, there is $r \in S_D(N')$ regular such that $\text{Dep}(r) \geq \alpha$ and $r \perp N$. Hence, by NDOP, we must have $r \not\perp M(\bar{a})$. Therefore, by (Perp I) there exists a regular type $q \in S_D(M(\bar{a}))$ such that $r \not\perp q$. But, since $r \perp M$, also $\bar{q} \perp M$. Moreover, by Parallelism, $\bar{r} \not\perp q_{N'}$ and since $q_{N'}$ is regular, the previous lemma shows that $\text{Dep}(q_{N'}) = \text{Dep}(r) \geq \alpha$. Hence, by induction hypothesis, $\text{Dep}(q) \geq \alpha$. This implies that $\text{Dep}(p) \geq \alpha + 1$.

Let $\lambda(D) = |D| + |T|$. As we saw in Chapter III, if $D$ is totally transcendental, then $D$ is stable in $\lambda(D)$.

Lemma 4.7. Let $\mathcal{K}$ have NDOP. If $\text{Dep}(\mathcal{K}) \geq \lambda(D)^+$ then $\text{Dep}(\mathcal{K}) = \infty$.

Proof. Let $p$ be regular based on $B$. Let $M$ be $D_\mathcal{K}_0$-primary over the empty set. Then $\|M\| \leq \lambda(D)$. By an automorphism, we may assume that $B \subseteq M$. Then, by Lemma 4.6 we have $\text{Dep}(p) = \text{Dep}(p \upharpoonright M)$. Thus, since $|S_D(M)| \leq \lambda(D)$, there are at most $\lambda(D)$ possible depths. By Lemma 4.4 they form an initial segment of the ordinals. This proves the lemma.

Definition 4.8. The class $\mathcal{K}$ is called deep if $\text{Dep}(\mathcal{K}) = \infty$.

The next theorem is the main characterization of deep $\mathcal{K}$. A class $\mathcal{K}$ is deep if and only if a natural partial order on $\mathcal{K}$ is not well-founded. This will be used to construct nonisomorphic models in Theorem 4.28.

Theorem 4.9. $\mathcal{K}$ is deep if and only if there exists a sequence $\langle M_i, \bar{a}_i \mid i < \omega \rangle$

such that

1. $M_0$ has cardinality $\lambda(D)$;
2. $\text{tp}(\bar{a}_i/M_i)$ is regular;
3. $M_{i+1}$ is prime over $M_i \cup \bar{a}_i$;
4. $M_{i+1}/M_i \perp M_{i-1}$, if $i > 0$. 

Proof. Suppose that \( \mathcal{K} \) is deep. Prove by induction on \( i < \omega \) that a sequence satisfying (1)–(4) exists and that in addition

\[
(5) \quad \text{Dep}(\tp(\bar{a}_i/M_i)) = \infty.
\]

This is possible. For \( i = 0 \), let \( M \in \mathcal{K} \) and \( p \in S_D(M) \) be regular such that \( \text{Dep}(p) \geq \lambda(D)^+ + 1 \). Such a type exists since \( \mathcal{K} \) is deep. Now, let \( B \) be finite such that \( p \) is regular over \( B \). Let \( M_0 \in \mathcal{K} \) contain \( B \) be of cardinality \( \lambda(D) \). Then, since \( p = (p \upharpoonright M_0)_M \), we have \( \text{Dep}(p \upharpoonright M_0) \) by Lemma 4.6. Let \( \bar{a}_0 \) realize \( p \upharpoonright M_0 \). By the previous fact, \( \text{Dep}(\tp(\bar{a}_0/M_0)) = \infty \). Now assume that \( \bar{a}_i, M_i \) have been constructed. Let \( M_{i+1} \) be prime over \( M_i \cup \bar{a}_i \). By (5), we must have \( \text{Dep}(\tp(\bar{a}_i/M_i)) \geq \lambda(D)^+ + 1 \), so there exists \( \bar{a}_{i+1} \) realizing \( \tp(\bar{a}_i/M_i) \) and a regular type \( p_i \in S_D(M_{i+1}) \) such that \( \text{Dep}(p_i) \geq \lambda(D)^+ \) and \( p_i \models M_i \). Let \( \bar{a}_{i+1} \) realize \( p_i \), then (1)–(5) hold.

For the converse, suppose there exists \( \langle M_i, \bar{a}_i \mid i < \omega \rangle \) satisfying (1)–(4). We show by induction on \( \alpha \) that \( \text{Dep}(\tp(\bar{a}_i/M_i)) \geq \alpha \), for each \( i < \omega \). This is clearly enough since then \( \text{Dep}(\tp(\bar{a}_0/M_0)) = \infty \). For \( \alpha = 0 \), this is given by (2), and for \( \alpha \) a limit ordinal, this is by induction hypothesis. For the successor case, assume that \( \text{Dep}(\tp(\bar{a}_i/M_i)) \geq \alpha \), for each \( i < \omega \). Fix \( i \).

Then by (4) \( \tp(\bar{a}_{i+1}/M_{i+1}) \models M_i \). By (2) \( \tp(\bar{a}_{i+1}/M_{i+1}) \) is regular and by (3) \( M_{i+1} = M_i(\bar{a}_i) \). By induction hypothesis \( \text{Dep}(\tp(\bar{a}_{i+1}/M_{i+1})) \geq \alpha \), hence \( \text{Dep}(\tp(\bar{a}_i/M_i)) \geq \alpha + 1 \) by definition of depth.

Recall the following definition.

**Definition 4.10.** We say that \( A \) dominates \( B \) over \( M \) if for every set \( C \), if \( A \upharpoonright C \) then \( B \upharpoonright C \).

**Remark 4.11.** For any set \( A \), \( A \) dominates \( M(A) \) over \( M \). Thus, if \( M \subseteq N \), and \( \bar{a} \in N \setminus M \) there always is a model \( M' \) such that \( \bar{a} \in M' \subseteq N \) and \( M' \) is maximally dominated by \( \bar{a} \) over \( M \), i.e. \( M' \) is dominated by \( \bar{a} \) over \( M \) and every model contained in \( N \) strictly containing \( M' \) is not dominated by \( \bar{a} \) over \( M \).

We introduce triviality. The name comes from the fact that the pregeometry on the set of realizations of a trivial type is trivial.

**Definition 4.12.** A type \( p \in S_D(M) \) is **trivial** if for every \( M', N \in \mathcal{K} \) such that \( M \subseteq M' \subseteq N \) and for every set \( I \subseteq p_{M'}(N) \) of pairwise independent sequences over \( M' \), then \( I \) is a Morley sequence for \( p_{M'} \).

If \( p \) is trivial, \( \bar{a} \models p \) and \( \bar{a} \) dominates \( B \) over \( M \), then we say that \( B/M \) is trivial.

**Remark 4.13.** If \( \tp(\bar{a}/M) \) is trivial, then \( M(\bar{a})/M \) is trivial.

The next lemma says essentially that all the regular types of interest are trivial.
Lemma 4.14. If $K$ has NDOP, then if $p \in S_D(M)$ is regular with $\text{Dep}(p) > 0$, then $p$ is trivial.

Proof. Suppose $p \in S_D(M)$ is not trivial. Without loss of generality $\bar{a}_i$ for $i \leq 2$ be pairwise independent over $M$ such that $\{\bar{a}_i \mid i \leq 2\}$ is not. Since $\text{Dep}(p) > 0$, by using an automorphism, we can find $r \in S_D(M(\bar{a}_0))$ regular such that $r \perp M$.

Let $N = M(\bar{a}_0, \bar{a}_1, \bar{a}_2)$. Let $M' \subseteq N$ be maximal such that $\bar{a}_1 \bar{a}_2 \bisim M M'$. Thus, we may assume that $N = M'(\bar{a}_0, \bar{a}_1, \bar{a}_2)$. Since $\bar{a}_0$ realizes $p$, and $\bar{a}_0 / M' \perp p$, we have $\bar{a}_0 \downarrow M'$. Hence, by Lemma 2.14, we must have $r \perp M'$.

By the previous remark, choose $M_i \subseteq N$ maximally dominated by $\bar{a}_i$ over $M'$. By choice of $M_i$ we have $M_1 \preceq M_2$. Thus, by definition of $M_i$ and NDOP, necessarily $N$ is $D_{\aleph_0}^s$-primary over $M_1 \cup M_2$.

Now, since $M'/M \perp p$, we have $\bar{a}_0 \bar{a}_i \downarrow M'$. Hence $M(\bar{a}_0) \downarrow M_i$, for $i = 1, 2$. By Lemma 2.14 we have $r_N \perp M_i$ for $i = 1, 2$, contradicting NDOP.

The next lemmas are used to calculate the spectrum function.

Lemma 4.15. Assume $K$ has NDOP. Let $\langle M_\eta \mid \eta \in J \rangle$ be a complete decomposition of $N^*$ over $M$. Let $I$ be a subtree of $J$. Then there exists $N_I \subseteq N^*$ and $N_\eta \subseteq N^*$ for each $\eta \in J \setminus I$ such that $\{N_I\} \cup \{N_\eta \mid \eta \in J \setminus I\}$ is a complete decomposition of $N^*$ over $N_I$.

Proof. Define $N_I \subseteq N^*$ and $N_\eta \subseteq N^*$ for $\eta \in J \setminus I$ as follows

1. $N_I$ is $D_{\aleph_0}^s$-primary over $\bigcup \{M_\eta \mid \eta \in I\}$;
2. $N_I \perp M_J$;
3. $N_\eta = N_\eta^{-}(M_\eta)$ for $\eta \in J \setminus I$ and when $\eta^- \in I$ then $N_\eta = N_I(M_\eta)$;
4. $N_\eta \downarrow \bigcup_{\eta \prec \nu} M_\nu$.

This is easily done and one checks immediately that it satisfies the conclusion of the lemma.

We now define an equivalence relation on decompositions.

Definition 4.16. Let $\langle M_\eta \mid \eta \in I \rangle$ be a complete decomposition of $N^*$. Define an equivalence relation $\sim$ on $I \setminus \{\emptyset\}$ by

$$\eta \sim \nu \text{ if and only if } M_\eta / M_\eta^- \not\perp M_\nu / M_\nu^-.$$  

By Equivalence, this is indeed an equivalence relation. By the following lemma, any two sequences in the same $\sim$-equivalence class have a common predecessor.
Lemma 4.17. If \( \langle M_\eta \mid \eta \in I \rangle \) is a decomposition of \( N^* \), then for \( \eta, \nu \in I \setminus \{\} \) such that \( \eta^- \neq \nu^- \) we have \( M_\eta/M_\eta^- \perp M_\nu/M_\nu^- \).

Proof. Let \( \eta, \nu \in I \setminus \{\} \) such that \( \eta^- \neq \nu^- \). Let \( u \) be the largest common sequence of \( \eta^- \) and \( \nu^- \). We have \( M_\eta^- \perp_{M_\eta} M_\nu^- \), by independence of the decomposition. By definition \( M_\eta/M_\eta^- \perp M_\eta/M_\eta^- \). Hence, by Lemma 4.17, we have \( M_\eta/M_\eta^- \perp M_\nu/M_\nu^- \). Therefore \( M_\eta/M_\eta^- \perp M_\nu/M_\nu^- \).

The next lemma will be used inductively.

Lemma 4.18. Let \( \langle M_\eta \mid \eta \in I \rangle \) and \( \langle N_\nu \mid \nu \in J \rangle \) be a complete decompositions of \( N^* \) over \( M \). Let \( I' = \{ \eta \in I \mid \eta^- = \{\} \} \) and \( J' = \{ \nu \in J \mid \nu^- = \{\} \} \).

Then there exists a bijection \( f : I' \rightarrow J' \) such that

1. \( f \) preserves \( \sim \)-classes;
2. If \( \eta \in I' \) and \( M_\eta/M \) is trivial then \( M_\eta \nsubseteq N_{f(\eta)}/M \).

Proof. Choose a representative for each \( \mathcal{L} \)-class among the regular types of \( S_D(M) \). Build the bijection by pieces. For each regular \( p \in S_D(M) \), the cardinalities of \( \{ \eta \in I \mid M_\eta/M \not\subseteq p \} \) and \( \{ \nu \in J \mid N_\nu/N \not\subseteq p \} \) are equal and both equal to the dimension of \( p(N^*) \) by construction. If \( p \) is not trivial, then choose any bijection between the two sets. If \( p \) is trivial, for each \( \eta \in I \) such that \( M_\eta/M \not\subseteq p \) there exists exactly one \( \nu \in J' \) such that \( M_\eta \nsubseteq N_{\nu}/M \).

Let \( f \) send each such \( \eta \) to their corresponding \( \nu \). Since there is no relation between \( p \)'s belonging to different equivalence classes, this is enough.

The following quasi-isomorphism will be relevant for the isomorphism type of models.

Definition 4.19. Two \( \omega \)-trees \( I, J \) are said to be \textit{quasi-isomorphic}, if there exists a partial function \( f \) from \( I \) to \( J \) such that

1. \( f \) is order-preserving;
2. For each \( \eta \in I \) all but at most \( \lambda(D) \) many successors of \( \eta \) are in \( \text{dom}(f) \);
3. For each \( \nu \in J \) all but at \( \lambda(D) \) many successors of \( \nu \) are in \( \text{ran}(f) \).

A function \( f \) as above is called a \textit{quasi-isomorphism}.

Theorem 4.20. Let \( \langle M_\eta \mid \eta \in I \rangle \) and \( \langle M_\nu \mid \nu \in J \rangle \) be complete decompositions of \( N^* \). Then there exists a \( \sim \)-class preserving quasi-isomorphism from \( I \) to \( J \).

Proof. For each \( \eta \in I \), let \( I^+_\eta = \{ \eta \in I \mid \nu^- = \eta \} \). We define a partial class preserving function \( f_\eta \) from \( I^+_\eta \) into \( J \) as follows. Then \( M_\eta \) has cardinality \( \lambda(D) \), so we can find \( I_0 \) and \( J_0 \) of cardinality at most \( \lambda(D) \) such that there exists \( N \subseteq N^* \) containing \( M_\eta \), such that \( M \) is \( D^s_{\aleph_0} \)-primary over both.
If \( \text{Theorem 4.23.} \)

there exists a partial function \( f_\eta \) from \( I_\eta^+ \setminus I_0 \) into \( J \) satisfying conditions (1) and (2) in Lemma 4.18.

Now let \( f = \bigcup_{\eta \in I} f_\eta \) (we let \( f_\emptyset \) map \( \emptyset \) to \( \emptyset \)). Clearly \( f \) is well-defined, since the domains of all the \( f_\eta \)'s are disjoint. Further, by construction, the condition involving \( \lambda(D) \) is satisfied.

It remains to show that \( f \) is one-to-one and order preserving. We check order preserving and leave one-to-one to the reader. Let \( \eta \prec \nu \in I \) be given. We may assume that \( \eta \neq \emptyset \). Then, by Lemma 4.14, we have \( M_\eta/M_\eta^- \) is trivial. We are going to compute \( f(\eta) \) and \( f(\nu) \). Recall that \( f(\eta) = f_\eta(\eta) \).

In the notation of Lemma 4.15 and of the first paragraph, we have

\[
\langle N_\zeta : \zeta \in I \setminus I_0 \rangle \cup \{N\} \quad \text{and} \quad \langle N'_\zeta : \zeta \in J \setminus J_0 \rangle \cup \{N\},
\]

two complete decompositions of \( N^* \) over \( N \). By Lemma 4.18 we have

\[
N_\eta^- \nsubseteq N_{f(\eta)^-}.
\]

Then, necessarily \( M_\nu/M_\nu^- \nsubseteq M_\nu/(f_\nu(\nu^-)) \) and any sequence \( \sim \)-related to \( \nu \) is \( \prec \)-above \( \eta \). Consider the following independent tree

\[
\langle N'_\zeta : \zeta \in I \setminus I_0, f_\eta^-(\eta) \nprec \zeta \rangle \cup \langle N_\zeta : \zeta \in I, \eta \prec \zeta \rangle \cup \{N\}.
\]

By triviality of \( M_\eta/M_\eta^- \), it is a decomposition of \( N^* \) over \( N \). Hence, by Lemma 4.17 we have \( M_\nu/M_\nu^- \nsubseteq N_\zeta/N_\zeta^- \), for each \( \zeta \in I \setminus I_0, f_\eta^-(\eta) \nprec \zeta \). This implies that the \( \sim \)-class of \( f_\eta^-(\nu) \) is above \( f_\nu(\eta^-) \). Thus, \( f \) is order preserving.

In order to construct many nonisomorphic models, we will need a special kind of trees. For an \( \omega \)-tree \( I \) and \( \eta \in I \), denote by \( I_\eta = \{ \nu \in I \mid \eta \prec \nu \} \). We write \( I_\eta \cong I_\nu \) if both trees are isomorphic as trees.

**Definition 4.21.** An \( \omega \)-tree \( I \) is called *ample* if for every \( \eta \in I \), with \( \eta^- \in I \), we have

\[
|\{ \nu \in I : \nu^- = \eta^- \text{ and } I_\nu \cong I_\eta \}| > \lambda(D).
\]

We now state a fact about ample \( \omega \)-trees. If \( I \) is a tree, by definition every \( \eta \in I \) is well-founded in the order of \( I \). The *rank* of \( \eta \) in \( I \) will be the natural rank associated with the well-foundedness relation on \( \eta \) in \( I \).

**Fact 4.22.** Let \( I, J \) be ample trees. Let \( f \) be a quasi-isomorphism from \( I \) to \( J \). Then for each \( \eta \in \text{dom}(f) \), the rank of \( \eta \) in \( I \) is equal to the rank of \( f(\eta) \) in \( J \).

In the next proof, write \( \ell(\eta) \) for the level of \( \eta \).

**Theorem 4.23.** If \( K \) is deep, for each \( \mu > \lambda(D) \), there are \( 2^\mu \) nonisomorphic models of cardinality \( \mu \).
Proof. Let \( \mu > \lambda(D) \). Since \( \mathcal{K} \) is deep by Theorem 4.23 there exists

\[
\langle M_i, \bar{a}_i \mid i < \omega \rangle
\]

such that

1. \( M_0 \) has cardinality \( \lambda(D) \);
2. \( \text{tp}(\bar{a}_i/M_i) \) is regular;
3. \( M_{i+1} \) is prime over \( M_i \cup \bar{a}_i \);
4. \( M_{i+1}/M_i \perp M_{i-1} \), if \( i > 0 \).

Let \( p = \text{tp}(\bar{a}_0/M_0) \). Then \( p \) is regular based on a finite set \( B \). We will find \( 2^\mu \) non-isomorphic models of size \( \mu \) with \( B \) fixed. This implies the conclusion of the theorem since \( \mu^{<\aleph_0} = \mu \).

For each \( X \subseteq \mu \) of size \( \mu \), let \( I_X \) be an ample \( \omega \)-tree with the property that the set of ranks of elements of the first level of \( I_X \) is exactly \( X \). Such a tree clearly exists \((\mu > \lambda(D))\). Define the following system \( \langle M^X_\eta \mid \eta \in I_X \rangle \):

1. \( M^X_\emptyset = M_0 \);
2. If \( \eta_0 < \cdots < \eta_n \in I_X \), then

\[
\text{tp}(M^X_{\eta_0} \cdots M^X_{\eta_n}/\emptyset) = \text{tp}(M_{t(\eta_0)} \cdots M_{t(\eta_n)}/\emptyset).
\]

This is easy to do and by choice of \( \langle M_i, \bar{a}_i \mid i < \omega \rangle \) this is a decomposition. Let \( M_X \) be a \( D^*_0 \)-primary model over \( \bigcup \{ M^X_\eta \mid \eta \in I_X \} \). Then \( M_X \in \mathcal{K} \) has cardinality \( \mu \). By NDOP, \( \langle M_i, \bar{a}_i \mid i < \omega \rangle \) is a complete decomposition of \( M_X \) over \( M_0 \).

We claim that for \( X \neq Y \) as above, \( M_X \not\cong_B M_Y \). Let \( X, Y \subseteq \mu \) of cardinality \( \mu \) be such that \( X \neq Y \). Suppose \( M_X \cong_B M_Y \). Then, by Theorem 4.20 there exists a class-preserving quasi-isomorphism between \( I_X \) and \( I_Y \). Since \( B \) is fixed, the first level of \( I_X \) is mapped to the first level of \( I_Y \). By the previous fact, we conclude that \( X = Y \), a contradiction. \( \dashv \)

We have shown that deep diagrams have many models. The usual methods (see Shc for example) can be used to compute the spectrum of \( \mathcal{K} \) when \( \mathcal{K} \) is not deep. Recall that when \( \mathcal{K} \) has NDOP but is not deep then \( \text{Dep}(\mathcal{K}) < \lambda(D)^+ \), by Lemma 4.21.

**Theorem 4.24.** If \( \mathcal{K} \) has NDOP but is not deep, then for each ordinal \( \alpha \) with \( \aleph_\alpha \geq \lambda(D) \), we have \( I(\aleph_\alpha, \mathcal{K}) \leq \Sigma_{\text{Dep}(\mathcal{K})}(\aleph_0 + |\alpha|^{|T|}) < \Sigma_{\lambda(D)^+}(\aleph_0 + |\alpha|) \).

This proves the main gap for the class \( \mathcal{K} \) of \((D, \aleph_0)\)-homogeneous models of a totally transcendental diagram \( D \).

**Theorem 4.25 (Main Gap).** Let \( \mathcal{K} \) be the class of \((D, \aleph_0)\)-homogeneous models of a totally transcendental diagram \( D \). Then, either \( I(\aleph_\alpha, \mathcal{K}) = 2^{\aleph_\alpha} \), for each ordinal \( \alpha \) such that \( \aleph_\alpha > |T| + |D| \), or \( I(\aleph_\alpha, \mathcal{K}) < \Sigma_{(|T| + |D|)}(\aleph_0 + |\alpha|) \), for each \( \alpha \) such that \( \aleph_\alpha > |T| + |D| \).

**Proof.** If \( \mathcal{K} \) has DOP (Theorem 4.14) or has NDOP but is not deep (Theorem 4.23), then \( \mathcal{K} \) has the maximum number of models. Otherwise, \( \mathcal{K} \) has NDOP and is not deep and the bound follows from Theorem 4.24. \( \dashv \)
Similar methods using the existence of $D_{\mu}^\alpha$-prime models for totally transcendental diagrams allow us to prove the main gap for $(D, \mu)$-homogeneous models of a totally transcendental diagram $D$.

**Theorem 4.26.** Let $\mathcal{K}$ be the class of $(D, \mu)$-homogeneous models of a totally transcendental diagram $D$. Then, either $I(\aleph_\alpha, \mathcal{K}) = 2^{\aleph_\alpha}$, for each ordinal $\alpha$ such that $\aleph_\alpha > |T| + |D| + \mu$, or $I(\aleph_\alpha, \mathcal{K}) < \beth(|T| + |D| + (\aleph_0 + |\alpha|))$, for each $\alpha$ such that $\aleph_\alpha > |T| + |D| + \mu$.

Finally, similarly to [GrHa] or [Ha], it is possible to show that for $\alpha$ large enough, the function $\alpha \mapsto I(\aleph_\alpha, \mathcal{K})$ is non-decreasing, for the class $\mathcal{K}$ of $(D, \mu)$-homogeneous models of a totally transcendental diagram $D$.

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E-mail address, Rami Grossberg: rami@cmu.edu

DEPARTMENT OF MATHEMATICAL SCIENCES, CARNEGIE MELLON UNIVERSITY, PITTSBURGH, PA 15213, UNITED STATES

E-mail address, Olivier Lessmann: lessmann@maths.ox.ac.uk

MATHEMATICAL INSTITUTE, OXFORD UNIVERSITY, OXFORD OX1 3LB, UNITED KINGDOM