

Parameter-free schemes in second-order arithmetic

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Second-order arithmetic

Second-order arithmetic has two types of objects: numbers and sets of numbers (reals).

Syntax: Two-sorted logic

- Separate variables and quantifiers for numbers and sets of numbers.
- Convention: lower-case letters for numbers, upper-case letters for sets.
- Notation:
 - ▶ Σ_n^0 - first-order Σ_n -formula
 - ▶ Σ_n^1 - n -alternations of set quantifiers followed by a first-order formula.

Although first-order logic can be used to formalize second-order arithmetic, that formalization is not natural or easy to work with.

Semantics: A model is $\mathcal{M} = \langle M, +, \times, <, 0, 1, \in, \mathcal{S} \rangle$.

- M is the collection of numbers.
- \mathcal{S} is the collection of sets of numbers: if $A \in \mathcal{S}$, then $A \subseteq M$.

Second-order axioms

- **Numbers:** Peano Arithmetic PA
- **Sets:**
 - ▶ Extensionality
 - ▶ Induction axiom: $\forall X ((0 \in X \wedge \forall n(n \in X \rightarrow n+1 \in X)) \rightarrow \forall n n \in X)$

Applies only to available sets, not second-order formulas.

Weak axiom systems

Arithmetical comprehension ACA_0

Comprehension scheme for first-order formulas: for all n , Σ_n^0 - CA_0
if $\varphi(n, A)$ is a first-order formula, then $\{n \mid \varphi(n, A)\}$ is a set.

Note the use of set parameters.

- If $\langle M, +, \times, <, 0, 1 \rangle \models PA$ and \mathcal{S} consists of definable subsets of M , then

$$\mathcal{M} = \langle M, +, \times, <, 0, 1, \in, \mathcal{S} \rangle \models ACA_0.$$

- ACA_0 is conservative over PA.

Elementary Transfinite Recursion ATR_0

ACA_0

Transfinite recursion: every first-order recursion on sets along a set well-order has a solution.

- A set well-order is a linear order Γ whose every subset has a minimal element.
- A solution to a recursion is a code of a function $F : \text{dom}(\Gamma) \rightarrow \mathcal{S}$.

A code for F is $\bar{F} = \{ \langle n, m \rangle \mid n \in \text{dom}(\Gamma), m \in F(n) \}$.

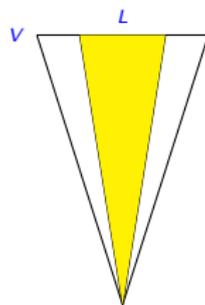
- Applications:
 - ▶ Iterate the Turing jump operation.
 - ▶ Build an internal constructible universe L .

Gödel's L in ATR_0

Gödel's constructible universe L

Suppose $V \models \text{ZF}$.

- $L_0 = \emptyset$
- $L_{\alpha+1}$ is the set of all **subsets** of L_α **definable over** L_α .
- $L_\lambda = \bigcup_{\alpha < \lambda} L_\alpha$ for a limit λ .
- $L = \bigcup_{\alpha \in \text{Ord}} L_\alpha$.



Suppose $\mathcal{M} = \langle M, +, \times, <, 0, 1, \in, \mathcal{S} \rangle \models \text{ATR}_0$ and $\Gamma \in \mathcal{S}$ is a **well-order**.

- \mathcal{M} can construct the L -hierarchy along Γ .
- There is a set coding a sequence of L_Δ for $\Delta \leq \Gamma$ obeying the definition of L .

A model of ATR_0 has its own constructible universe $L^{\mathcal{M}}$!

Comprehension scheme

Increasing the amount of comprehension to more complex second-order assertions produces a hierarchy of second-order set theories.

Σ_n^1 -comprehension $\Sigma_n^1\text{-CA}_0$

If $\varphi(n, A)$ is a Σ_n^1 -formula, then $\{n \mid \varphi(n, A)\}$ is a set.

- $\Sigma_1^1\text{-CA}_0$ is stronger than ATR_0 .

culminating in:

Full second-order arithmetic Z_2

For all n , Σ_n^1 -comprehension.

Definition: **Full parameter-free second-order arithmetic** Z_2^{-P}

Full comprehension **without parameters**.

Choice scheme

Σ_n^1 -choice Σ_n^1 -AC

If $\varphi(n, X, A)$ is a Σ_n^1 -formula and for every n , there is a set X such that $\varphi(n, X, A)$, then there is a set Y such that for every n , $\varphi(n, Y_n, A)$. $Y_n = \{m \mid \langle n, m \rangle \in Y\}$

Choice scheme AC

For all n , Σ_n^1 -choice.

Proposition:

- Over ACA_0 , AC implies Z_2 .
- The “constructible reals” of a model of Z_2 satisfy $Z_2 + AC$.
- Z_2 is equiconsistent with $Z_2 + AC$.

Definition: Parameter-free choice scheme AC^{-P}

Choice scheme without parameters.

Theorem: (Feferman, Lévy) It is consistent that there is a model of Z_2 in which AC^{-P} fails.

Theorem: (Guzicki) It is consistent that there is a model of $Z_2 + AC^{-P}$ in which AC fails.

Collection scheme

Σ_n^1 -collection $\Sigma_n^1\text{-Coll}$

If $\varphi(n, X, A)$ is a Σ_n^1 -formula and for every n , there is a set X such that $\varphi(n, X, A)$, then there is a set Y such that for every n , there is m such that $\varphi(n, Y_m, A)$.

Collection scheme Coll

For all n , Σ_n^1 -collection.

Proposition:

- Over ACA_0 , Coll implies Z_2 .
- Over ACA_0 , Coll is equivalent to AC .

Definition: Parameter-free collection scheme Coll^{-p}

Collection scheme without parameters.

Equiconsistency of Z_2 and Z_2^{-P}

Theorem: (H. Friedman) Z_2 and Z_2^{-P} are equiconsistent.

Proof idea: Suppose $\mathcal{M} = \langle M, +, \times, <, 0, 1, \in, \mathcal{S} \rangle \models Z_2^{-P}$.

- Carry out the L -construction inside \mathcal{M} , but use only **parameter-free definable well-orders**.
- Let $(L^{-P})^{\mathcal{M}}$ be the resulting model.
- The “**constructible reals**” of $(L^{-P})^{\mathcal{M}}$ satisfy $Z_2 + AC$.

Parameter-free schemes

Questions:

- Is Z_2^{-P} equivalent to Z_2 ? No
- Does AC^{-P} imply Z_2^{-P} over ACA_0 ? Open
- Is AC^{-P} equivalent to $Coll^{-P}$ over ACA_0 ? No

Quick review of forcing

Set-up

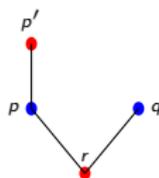
- $V \models \text{ZFC}$
- $\mathbb{P} \in V$ is a **forcing notion**: partial order with largest element $\mathbf{1}$

Dense sets and generic filters

$D \subseteq \mathbb{P}$ is **dense** if for every $p \in \mathbb{P}$, there is $q \in D$ with $q \leq p$.

$G \subseteq \mathbb{P}$ is a **filter**:

- $\mathbf{1} \in G$.
- (**upward closure**) If $p \in G$ and $p' \geq p$, then $p' \in G$.
- (**compatibility**) If $p, q \in G$, then $r \in G$ such that $r \leq p, q$.



A filter $G \subseteq \mathbb{P}$ is **V -generic** if it meets every dense set $D \in V$ of \mathbb{P} : $D \cap G \neq \emptyset$.

Theorem: V has no V -generic filters for \mathbb{P} .

The **forcing extension** $V[G]$ is constructed from V together with an external V -generic filter G .

Quick review of forcing (continued)

\mathbb{P} -name: name for an element of $V[G]$

Defined **recursively** to consist of pairs $\langle \tau, p \rangle$ where $p \in \mathbb{P}$ and τ is a \mathbb{P} -name.

Special \mathbb{P} -names

- Given $a \in V$, $\check{a} = \{\langle \check{b}, 1 \rangle \mid b \in a\}$.
- $\dot{G} = \{\langle \check{p}, p \rangle \mid p \in \mathbb{P}\}$.

Forcing extension $V[G]$

Suppose $G \subseteq \mathbb{P}$ is V -generic.

The **interpretation** of a \mathbb{P} -name σ by G :

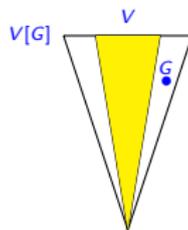
$\sigma_G = \{\tau_G \mid \langle \tau, p \rangle \in \sigma \text{ and } p \in G\}$. Defined recursively.

The **forcing extension** $V[G] = \{\sigma_G \mid \sigma \text{ is a } \mathbb{P}\text{-name in } V\}$.

- $V \subseteq V[G]$: $\check{a}_G = a$.
- $G \in V[G]$: $\dot{G}_G = G$.
- $V[G] \models \text{ZFC}$

Forcing relation $p \Vdash \varphi(\sigma)$: whenever G is V -generic and $p \in G$, then $V[G] \models \varphi(\sigma_G)$.

- For a fixed first-order formula $\varphi(x)$, the relation $p \Vdash \varphi(\sigma)$ is **definable**.
- If $q \leq p$ and $p \Vdash \varphi(\sigma)$, then $q \Vdash \varphi(\sigma)$.
- If $V[G] \models \varphi(\sigma_G)$, then there is $p \in G$ such that $p \Vdash \varphi(\sigma)$.



Jensen's forcing

Jensen's forcing \mathbb{J} - adds a **unique** generic real

- \mathbb{J} is a **sub-partial order** of Sacks forcing \mathbb{S}
- constructed using \diamond in L construction is technical
- adds a **unique generic Π_2^1 -definable singleton real**
- used by Jensen to show that it is consistent to have a **non-constructible Π_2^1 -definable singleton real**.

Every Σ_2^1 -definable singleton real is in L by Shoenfield's Absoluteness.

Iterations of forcing notions

Suppose \mathbb{P} is a forcing notion, $G \subseteq \mathbb{P}$ is V -generic, and \mathbb{Q} is a forcing notion in $V[G]$.

V has a \mathbb{P} -name \dot{Q} for \mathbb{Q} . Every element of $V[G]$ has a \mathbb{P} -name in V .

In V , we define a forcing notion $\mathbb{P} * \dot{Q}$ such that forcing with $\mathbb{P} * \dot{Q}$ is the same as forcing with \mathbb{P} followed by forcing with \mathbb{Q} .

- Elements: (p, \dot{q}) with $p \in \mathbb{P}$ and $p \Vdash \dot{q} \in \dot{Q}$.
- Order: $(p, \dot{q}) \leq (r, \dot{s})$ if $p \leq r$ and $p \Vdash \dot{q} \leq \dot{s}$.
- **n -step iterations** are defined similarly (infinite iterations can be defined as well).

Example: $\mathbb{S} * \dot{\mathbb{S}}$, where $\dot{\mathbb{S}}$ is the name for the Sacks forcing of the forcing extension.

Sacks forcing of $V[G]$ is different from Sacks forcing of V because $V[G]$ has new perfect trees.

Automorphisms of forcing notions

Suppose \mathbb{P} is a notion of forcing and π is an **automorphism** of \mathbb{P} .

We apply π (recursively) to \mathbb{P} -names: $\langle \tau, p \rangle \in \sigma$ if and only if $\langle \pi(\tau), \pi(p) \rangle \in \pi(\sigma)$.

- $\pi(\check{\alpha}) = \check{\alpha}$

The forcing relation respects automorphisms: $p \Vdash \varphi(\sigma)$ if and only if $\pi(p) \Vdash \varphi(\pi(\sigma))$.

If $G \subseteq \mathbb{P}$ is V -generic, then $\pi " G$ is V -generic.

Examples

- For any $p, q \in \text{Add}(\omega, 1)$, there is an automorphism π such that p and $\pi(q)$ are compatible.
- Every permutation of κ gives rise to a **coordinate-switching automorphism** of $\text{Add}(\omega, \kappa)$.
- For any $p, q \in \text{Add}(\omega, \kappa)$, there is a **coordinate-switching automorphism** π such that p and $\pi(q)$ are compatible.
- Jensen's forcing \mathbb{J} is rigid.

A very bad model of Z_2^{-P}

Theorem: (Kanovei and Lyubetsky) It is consistent that there is a model $\mathcal{M} = \langle M, +, \times, <, 0, 1, \in, \mathcal{S} \rangle \models Z_2^{-P}$ such that \mathcal{S} is not closed under complements.

Proof: Let $G \subseteq \text{Add}(\omega, \omega)$ be V -generic.

- Let $\{a_n \mid n < \omega\}$ be the ω -many generic reals from G .
- Let $\mathcal{S} = P^V(\omega) \cup \{a_n \mid n < \omega\}$.
- \mathcal{S} is not closed under complements.
- Let $\mathcal{M} = \langle \omega, +, \times, <, 0, 1, \in, \mathcal{S} \rangle$.
- Let $\dot{\mathcal{M}}$ be the canonical $\text{Add}(\omega, \omega)$ -name for \mathcal{M} .
- Fix a second-order formula $\varphi(x)$.
- Suppose, for $n < \omega$, $p \Vdash \dot{\mathcal{M}} \models \varphi(\check{n})$, but $q \Vdash \dot{\mathcal{M}} \models \neg\varphi(\check{n})$.
- Let π be a coordinate-switching automorphism such that there is $r \leq p, \pi(q)$.
- $\pi(\dot{\mathcal{M}}) = \dot{\mathcal{M}}$.
- $\pi(q) \Vdash \pi(\dot{\mathcal{M}}) \models \neg\varphi(\pi(\check{n}))$, and hence $\pi(q) \Vdash \dot{\mathcal{M}} \models \neg\varphi(\check{n})$.
- $r \Vdash \dot{\mathcal{M}} \models \varphi(\check{n})$ ($r \leq p$) and $r \Vdash \dot{\mathcal{M}} \models \neg\varphi(\check{n})$ ($r \leq \pi(q)$). Impossible!
- If some $p \Vdash \dot{\mathcal{M}} \models \varphi(\check{n})$, then all $p \Vdash \dot{\mathcal{M}} \models \varphi(\check{n})$.
- By definability of the forcing relation, $\{n < \omega \mid \mathcal{M} \models \varphi(n)\} \in P^V(\omega) \subseteq \mathcal{S}$.
- $\mathcal{M} \models Z_2^{-P}$. \square

A model of $\Sigma_2^1\text{-CA}_0 + Z_2^{-P}$

Question: Are there “nice” models of Z_2^{-P} , but not Z_2 ?

Theorem: (Kanovei and Lyubetsky) It is consistent that there is a model of $Z_2^{-P} + \Sigma_2^1\text{-CA}_0$ in which $\Sigma_4^1\text{-CA}_0$ fails.

The model is constructed in a forcing extension by a (non-linear) tree iteration of Sacks forcing.

Theorem: (G.) It is consistent that there is a model of $Z_2^{-P} + \Sigma_2^1\text{-CA}_0$ in which $\Sigma_3^1\text{-CA}_0$ fails.

The model is constructed in a forcing extension by a tree iteration of Jensen's forcing.

Finite iterations of Jensen's forcing

Theorem (Abraham) In L , for every $n < \omega$, there is an n -length iteration

$\mathbb{J}_n = \mathbb{Q}_0 * \dot{\mathbb{Q}}_1 * \cdots * \dot{\mathbb{Q}}_{n-1}$ such that:

- $\mathbb{Q}_0 = \mathbb{J}$.
- If $G_i \subseteq \mathbb{J}_n \restriction i$ is L -generic, then in $L[G_i]$, $\mathbb{Q} = (\dot{\mathbb{Q}}_i)_{G_i}$ has all properties of Jensen's forcing.
- \mathbb{J}_n adds a unique generic Π_2^1 -definable n -length sequence of reals.

Let $\vec{\mathbb{J}} = \langle \mathbb{J}_n \mid n < \omega \rangle$.

Tree iterations of Jensen's forcing

Let T be a tree of height at most ω .

- T is finite.
- $T = \omega_1^{<\omega}$.

$\mathbb{P}(\vec{\mathbb{J}}, T)$: tree iteration along T

Elements: $p : D_p \rightarrow \bigcup_{n < \omega} \mathbb{J}_n$ such that:

- D_p is a finite subtree of T ,
- for all $s \in D_p$, $p(s) \in \mathbb{J}_{\text{len}(s)}$,
- for $s \subseteq t$ in D_p , $p(s) = p(t) \upharpoonright \text{len}(s)$.

Order: $q \leq p$ if $D_q \supseteq D_p$ and for all $s \in D_p$, $q(s) \leq p(s)$.

Tree iteration of Jensen's forcing (continued)

The tree iteration $\mathbb{P}(\vec{\mathbb{J}}, T)$ adds a tree \mathcal{T}^G (isomorphic to T) such that each node on level n has an L -generic n -length sequence of reals for \mathbb{J}_n .

Theorem: (Friedman, G.) Suppose G is L -generic for $\mathbb{P}(\vec{\mathbb{J}}, \omega^{<\omega})$ or $\mathbb{P}(\vec{\mathbb{J}}, \omega_1^{<\omega})$.

In $L[G]$:

- The only L -generic n -length sequence of reals for \mathbb{J}_n are those coming from the nodes of \mathcal{T}^G .
- The collection of all L -generic n -length sequences of reals for \mathbb{J}_n (any n) is Π_2^1 -definable.

Lemma: Suppose

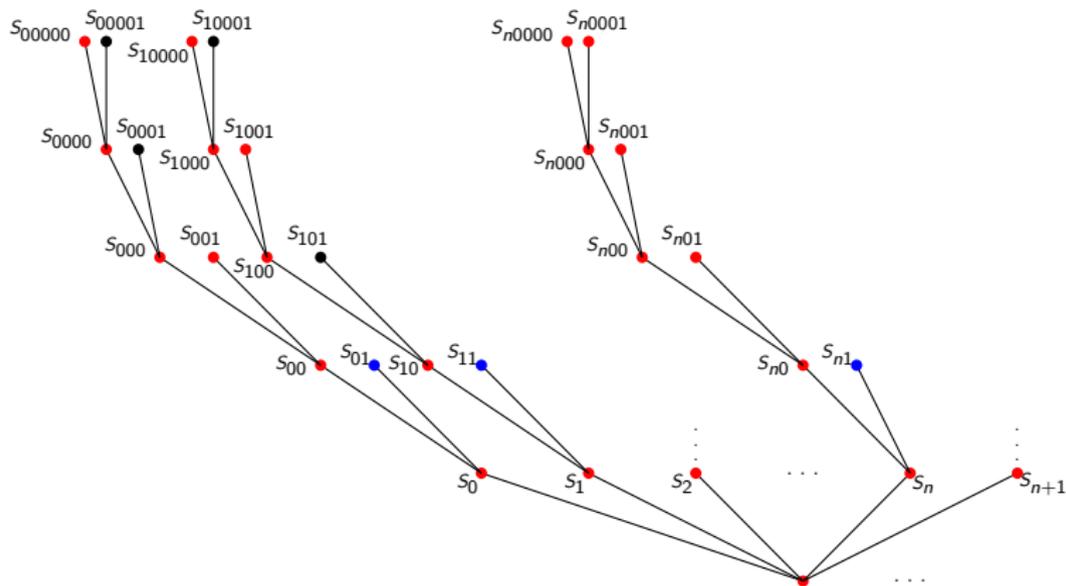
- $G \subseteq \mathbb{P}(\vec{\mathbb{J}}, \omega^{<\omega})$ (or $\mathbb{P}(\vec{\mathbb{J}}, \omega_1^{<\omega})$) is L -generic.
- T is a finite subtree of $\omega^{<\omega}$ (or countable subtree of $\omega_1^{<\omega}$).
- $G_T = G \upharpoonright \mathbb{P}(\vec{\mathbb{J}}, T)$.

Then

- G_T is L -generic for $\mathbb{P}(\vec{\mathbb{J}}, T)$.
- The only L -generic n -length sequences of reals for \mathbb{J}_n in $L[G_T]$ are those coming from the nodes of T .

Kanovei's tree

Suppose $G \subseteq \mathbb{P}(\mathbb{J}, \omega^{<\omega})$ is L -generic. In $L[G]$, define the tree $S \subseteq \mathcal{T}^G$:



- $s_n \in S$ for every $n < \omega$
- $s_{n\vec{0}_m} \in S$ for every $n, m < \omega$
 $\vec{0}_n$ is the sequence of $n \geq 1$ -many zeroes
- $s_{n\vec{0}_{m+1}1} \in S$ whenever $s_{n1}(1)(m) = 1$

$$s_{01}(1) = 100\dots$$

$$s_{11}(1) = 010\dots$$

$$s_{n1}(1) = 111\dots$$

A model of $Z_2^{-P} + \Sigma_2^1\text{-CA}_0$ in which $\Sigma_3^1\text{-CA}_0$ fails

Big idea:

- $S_{n1} \notin S$.
- S_{n1} is coded into S .

Let

- $\mathcal{T} = \{T \subseteq S \mid T \text{ finite}\}$,
- $\mathcal{S} = \{A \in P^{L[G_T]}(\omega) \mid T \in \mathcal{T}\}$,
- $\mathcal{M} = \langle \omega, +, \times, <, 0, 1, \in, \mathcal{S} \rangle$,
- $\dot{\mathcal{M}}$ is a canonical $\mathbb{P}(\vec{\mathbb{J}}, \omega^{<\omega})$ -name for \mathcal{M} .

Every permutation f of ω gives rise to an automorphism π_f of $\mathbb{P}(\vec{\mathbb{J}}, \omega^{<\omega})$ which permutes the subtrees \mathcal{T}_n^G (sitting on nodes S_n) of \mathcal{T}^G , while preserving the rest of the tree structure.

- $\pi_f(\dot{\mathcal{M}}) = \dot{\mathcal{M}}$
- for any $p, q \in \mathbb{P}(\vec{\mathbb{J}}, \omega^{<\omega})$, there is an automorphism π_f such that p and $\pi_f(q)$ are compatible.

A model of $Z_2^{-P} + \Sigma_2^1\text{-CA}_0$ in which $\Sigma_3^1\text{-CA}_0$ fails (continued)

Theorem (G.): $\mathcal{M} = \langle \omega, +, \times, <, 0, 1, \in, \mathcal{S} \rangle \models \Sigma_2^1\text{-CA}_0 + Z_2^{-P} + \neg\Sigma_3^1\text{-CA}_0$.

Proof:

- $\mathcal{M} \models \Sigma_2^1\text{-CA}_0$ by Shoenfield's Absoluteness.
- $\mathcal{M} \models Z_2^{-P}$ because every parameter-free definable $A \in \mathcal{S}$ is in L by the automorphism argument.
- The collection $\{\vec{r} \in \mathcal{S} \mid \vec{r} \text{ is an } L\text{-generic } n\text{-length sequence for } \mathbb{J}_n\} = \{S_s \mid s \in T \text{ for some } T \in \mathcal{T}\}$ is Π_2^1 -definable in \mathcal{M} (uses the construction of the \mathbb{J}_n).
- $S_{01}(1) \notin \mathcal{S}$.
- $S_{01}(1)$ is Σ_3^1 -definable in \mathcal{M} : $m \in S_{01}(1)$ if and only if there are two L -generic $m+1$ -length sequences of reals for \mathbb{J}_{m+1} whose first coordinate is S_0 . \square

Theorem: (G.) Coll^{-P} fails in \mathcal{M} .

Proof:

- For every $n < \omega$, \mathcal{M} has an L -generic n -length sequence of reals for \mathbb{J}_n .
- If $T \subseteq \mathcal{S}$ is finite, then $L[G_T]$ cannot have a set containing for every $n < \omega$, an L -generic n -length sequence of reals for \mathbb{J}_n .

A model of $Z_2^{-P} + \text{Coll}^{-P} + \Sigma_2^1\text{-CA}_0$ in which AC^{-P} and $\Sigma_4^1\text{-CA}_0$ fail

Suppose $G \subseteq \mathbb{P}(\vec{J}, \omega_1^{<\omega})$ is L -generic. In $L[G]$, define the tree $S \subseteq \mathcal{T}^G$:

- $S_\xi \in S$ for every $\xi < \omega_1$ all level 1 nodes
- $S_{\xi \bar{0}^m}$ for every $\xi < \omega_1$ and $m < \omega$ all left-most branches
- $S_{\xi \bar{0}^{m+1}n}$ for every $\xi < \omega_1$ and $m, k < \omega$. all left-most branch nodes split ω -times
- $S_{\xi \bar{0}^{m+1}\eta} \in S$ for all $\eta < \omega_1$ if and only if $S_{\xi 1}(1)(m) = 1$ left-most branch node splits ω_1 -many times

Big idea:

- $S_{\xi 1} \notin S$.
- $S_{\xi 1}$ is coded into S .

Let

- $\mathcal{T} = \{T \subseteq S \mid T \text{ countable}\}$,
- $\mathcal{S} = \{A \in P^{L[G_T]}(\omega) \mid T \in \mathcal{T}\}$,
- $\mathcal{M} = \langle \omega, +, \times, <, 0, 1, \in, \mathcal{S} \rangle$.

Corollary: AC^{-P} and Coll^{-P} are not equivalent over ACA_0 (or even $\Sigma_2^1\text{-CA}_0$).

A model of $Z_2^{-P} + AC^{-P} + \Sigma_2^1\text{-CA}_0$ in which $\Sigma_4^1\text{-CA}_0$ fails

Big idea:

- $S_{\xi_n} \notin S$.
- The finite sequences $S_{\xi_n} \upharpoonright n$ are coded into S .

Suppose $G \subseteq \mathbb{P}(\vec{J}, \omega_1^{<\omega})$ is L -generic. In $L[G]$, define the tree $S \subseteq \mathcal{T}^G$:

For $n < \omega$, let p_n be the n -th prime.

- $S_\xi \in S$ for every $\xi < \omega_1$ all level 1 nodes
- $S_{\xi \vec{0}_m}$ for every $\xi < \omega_1$ and $m < \omega$ all left-most branches
- $S_{\xi \vec{0}_{m+1} n}$ for every $\xi < \omega_1$ and $m, k < \omega$. all left-most branch nodes split ω -times
- $S_{\xi \vec{0}_{p_n^m} \eta} \in S$ for all $\eta < \omega_1$ if and only if $S_{\xi_n}(1)(m) = 1$ ($m < n$) left-most branch node splits ω_1 -many times

Questions

- Can we obtain a model of $Z_2^{-P} + \text{Coll}^{-P} + \Sigma_2^1\text{-CA}_0$ in which, optimally, $\Sigma_3^1\text{-CA}_0$ fails?
- Can we obtain a model of $Z_2^{-P} + \text{AC}^{-P} + \Sigma_2^1\text{-CA}_0$ in which, optimally, $\Sigma_3^1\text{-CA}_0$ fails?
- Can we obtain a model of $\text{ACA}_0 + \text{AC}^{-P}$ in which Z_2^{-P} fails?
- Given $n < \omega$, can we obtain a model of $Z_2^{-P} + \Sigma_n^1\text{-CA}_0$ in which $\Sigma_{n+1}^1\text{-CA}_0$ fails?