

GENERIC TRIVIALIZATIONS OF GEOMETRIC THEORIES

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ABSTRACT. We study the theory T^* of the structure induced by parameter free formulas on a “dense” algebraically independent subset of a model of a geometric theory T . We show that while being a trivial geometric theory, T^* inherits most of the model theoretic complexity of T related to stability, simplicity, rosiness, NIP and NTP_2 . In particular, we show that T is strongly minimal, supersimple of SU-rank 1, or NIP exactly when so is T^* . We show that if T is superrosy of thorn rank 1, then so is T^* , and that the converse holds if T satisfies $\text{acl} = \text{dcl}$.

1. INTRODUCTION

This paper continues the work of the two authors started in [6], where the object of study was the expansion T^{ind} of a geometric theory T in a language \mathcal{L} , obtained by augmenting \mathcal{L} with a predicate for a “dense” algebraically independent subset $H(M)$ of a model M of T , thus forming what we referred to as an H -structure (M, H) . Density here essentially means that $H(M)$ intersects every infinite definable subset of M (one also requires the *extension property*, see Definition 2.1). Recall that a theory is called *geometric*, if in all of its models, the algebraic closure satisfies the exchange property, and T eliminates the infinity quantifier \exists^∞ . The class of geometric theories includes o-minimal, strongly minimal, supersimple SU-rank 1 theories, superrosy thorn rank 1 theories (also known as surgical geometric theories), as well as the p-adics in a single sort. In the o-minimal context, the expansion by dense (in the sense of the order) independent subset was introduced by A. Dolich, C. Miller and C. Steinhorn [12]. In [6], we establish basic model theoretic properties of T^{ind} and show how various stability/simplicity/rosiness properties of T transfer to T^{ind} .

In the present paper we consider the structure induced on $H(M)$ by parameter-free \mathcal{L} -formulas, which we denote by $H^*(M)$. To any geometric theory T this construction associates a complete theory T^* of such structures, the “generic trivialization” of T , which itself is a geometric theory with trivial algebraic closure.

To put the study of T^* into perspective, we recall from [6] that the notion of an H -structure of a geometric theory has a close connection to lovely pairs, another kind of expansion of geometric theories considered in [4] and [5] (and earlier studied in the SU-rank 1 context in [18]; in the o-minimal context in [13]; see also [16] and [3] for stable and simple settings). In fact, one gets a lovely pair from a (sufficiently saturated) H -structure if $H(M)$ is replaced with its algebraic closure. It follows from the results in [5] that in the non-trivial weakly one-based (linear) case, the geometry of M modulo $H(M)$ is a disjoint union of projective geometries over division rings. Thus, in the linear case, working modulo $H(M)$ allows one to recover the underlying vector spaces.

On the other hand, when we restrict to the set $H(M)$, all the information about the pregeometry induced by the algebraic closure in M is lost. Essentially, one looks at the formulas holding on independent tuples in models of T . Thus, for example, in the strongly minimal case, $H(M)$ will have no structure other than the one induced by equality, while in the o-minimal case, one gets a trivial weakly o-minimal expansion of a dense linear order.

However, it turns out that while the first order structure induced on the set $H(M)$ “forgets” the geometry of T , it retains most of its “combinatorial” complexity. One can therefore view the construction of an H -structure as a way to separate the underlying geometry from the “random noise” (e.g. in the SU-rank 1 case) and/or definable topology (in the o-minimal or C-minimal cases). A natural but challenging question, which is beyond the scope of this paper, is to what extent do the quotient geometry and the generic trivialization describe the original theory T (at least, in the linear case). Our main goal is to investigate how various model theoretic properties of a geometric theory T are reflected in its generic trivialization T^* .

In Section 2, we establish some preliminary results on T^* , and show that T is strongly minimal exactly when T^* is the theory of equality. We also show that any subset of an H -structure (M, H) \mathcal{L} -definable over $\text{acl}(H(M))$ has a co-finite subset \mathcal{L} -definable over $H(M)$, a property that allows us to “pull parameters into $H(M)$ ”.

In Section 3, we show that T is λ -stable, totally transcendental, or supersimple of SU-rank 1 exactly when so is T^* . We also show that if T is superrosy of thorn rank 1, then so is T^* , and prove the converse under assumption that T satisfies $\text{acl} = \text{dcl}$. We also establish the connection between Morley rank and forking in T and T^* .

In Section 4, we study the question of NIP and strong dependence. We show that T has NIP (is strongly dependent, dp-minimal) if and only if so is T^* . We also study the behavior of dp-rank in T and T^* .

Section 5 is devoted to the study of the NTP_2 property and burden in T and T^* .

2. FIRST PROPERTIES

We start this section by recalling basic definitions and results from [6].

Let T be a complete geometric theory in a language \mathcal{L} . That is, in any model $M \models T$, the algebraic closure satisfies the Exchange Property and T eliminates the quantifier \exists^∞ . Let H be a new unary predicate and let $\mathcal{L}_H = \mathcal{L} \cup \{H\}$.

Definition 2.1. We say that $(M, H(M))$ is an H -structure if

- (1) $H(M)$ is an algebraically independent subset of M .
- (2) (Density/coheir property) If $A \subset M$ is finite dimensional and $q \in S_1(A)$ is non-algebraic, there is $a \in H(M)$ such that $a \models q$.
- (3) (Extension property) If $A \subset M$ is finite dimensional and $q \in S_1(A)$ is non-algebraic, there is $a \in M$, $a \models q$ and $a \notin \text{acl}(A \cup H(M))$.

It is shown in [6] that H -structures exist for any geometric theory T . Note that $\text{acl}(H(M))$ is an elementary substructure of M (in fact, $(M, \text{acl}(H(M)))$ is a *lovely pair* in the sense of [4]).

Definition 2.2. Let A be a subset of an H -structure $(M, H(M))$. We say that A is H -independent if A is algebraically independent from $H(M)$ over $H(A)$.

Lemma 2.3. *Let (M, H) and (N, H) be sufficiently saturated H structures associated to a geometric theory T , let $\vec{a} \in M$ and $\vec{a}' \in N$ H -independent tuples such that $\text{tp}(\vec{a}, H(\vec{a})) = \text{tp}(\vec{a}', H(\vec{a}'))$. Then $\text{tp}_H(\vec{a}) = \text{tp}_H(\vec{a}')$.*

In particular the theory of H -structures is complete. We write T^{ind} for this common theory. We normally work with a sufficiently saturated model (M, H) of T^{ind} . Any such model is itself an H -structure.

Definition 2.4. Let $(M, H(M))$ be an H -structure. Let $\vec{a} = (a_1, \dots, a_n) \in M$. Let $\vec{h} \in H(M)$ be the smallest tuple such that $\vec{a} \downarrow_{\vec{h}} H$. We call \vec{h} the H -basis of \vec{a} and we denote it as $HB(\vec{a})$.

Basic properties of the H -basis of tuples can be found in [6]. In particular, $HB(\vec{a})$ is a subset of $\text{acl}(\vec{a})$ and is unique up to permutation. In this paper we will need the following result.

Proposition 2.5. *Let $A \subset M$ and let $Y \subset H(M)^n$ be \mathcal{L}_H -definable over A . Assume that $A = A \cup HB(A)$. Then there is $X \subset M^n$ \mathcal{L} -definable over A such that $Y = X \cap H(M)^n$.*

Proof. Let $\vec{a}, \vec{b} \in H(M)^n$ be such that $\text{tp}(\vec{a}/A) = \text{tp}(\vec{b}/A)$. Since A is H -independent, we get that both $A\vec{a}, A\vec{b}$ are H -independent sets and thus by Lemma 2.3 we get $\text{tp}_H(\vec{a}/A) = \text{tp}_H(\vec{b}/A)$. The result follows by compactness. \square

In particular, if we take $A = \emptyset$ in the proposition above, then we get that the types of tuples in H are isolated by their \mathcal{L} -types.

The following proposition will be used throughout this paper when replacing formulas over M with ones over $H(M)$.

Proposition 2.6. *Let $(M, H(M))$ be an H -structure, and suppose $D \subset M$ is a set \mathcal{L} -definable over $\text{acl}(H(M))$. Then there exists $D' \subset M$, \mathcal{L} -definable over $H(M)$, such that $D' \subset D$ and $D \setminus D'$ is finite.*

Proof. Let $D = \phi(M, \vec{a}, \vec{b})$, where $\vec{a} \in H(M)$ and $\vec{b} \in \text{acl}(\vec{a})$, witnessed by an \mathcal{L} -formula $\psi(\vec{y}, \vec{a})$. Let $\vec{b}_0 = \vec{b}, \vec{b}_1, \dots, \vec{b}_{n-1}$ be all the solutions of $\psi(\vec{y}, \vec{a})$. Let $D_i = \phi(M, \vec{a}, \vec{b}_i)$. For any nonempty $\sigma \subset n$, let

$$D_{(\sigma)} = \bigcap_{i \in \sigma} D_i \cap \bigcap_{j \in n \setminus \sigma} (M \setminus D_j).$$

For each $D_{(\sigma)}$ which is infinite, choose $c_\sigma \in H(M) \cap D_{(\sigma)}$ (any infinite \mathcal{L} -definable set intersects $H(M)$). Then $D_{(\sigma)}$ is \mathcal{L} -definable over $\vec{a}c_\sigma$. Indeed, it is defined by

$$\forall \vec{y} (\psi(\vec{y}, \vec{a}) \rightarrow (\phi(x, \vec{y}, \vec{a}) \leftrightarrow \phi(c_\sigma, \vec{y}, \vec{a}))).$$

Next, for any $i < n$,

$$D_i = \bigcup_{i \in \sigma, \emptyset \neq \sigma \subset n} D_{(\sigma)}.$$

Let

$$D'_i = \bigcup_{i \in \sigma, \emptyset \neq \sigma \subset n, |D_{(\sigma)}| \geq \omega} D_{(\sigma)}.$$

Then $D'_i \subset D_i$, D'_i is \mathcal{L} -definable over $H(M)$, and $D_i \setminus D'_i$ is finite. In particular, this holds for $D_0 = D$. \square

Remark 2.7. *One can easily generalize the above argument to the case when $D \subset M^n$ is of dimension n . In this setting, there exists $D' \subset D$ definable over $H(M)$, with $\dim(D \setminus D') < n$.*

Definition 2.8. We will denote by $H^*(M)$ the structure $H(M)$ together with sets $\phi(H(M)^n)$, where $\phi(\vec{x})$ is an \mathcal{L} -formula definable in M with no parameters (note that this is the same as the structure induced by L_H -formulas with no parameters, by Proposition 2.5). More formally, the language of $H^*(M)$ consists of the new predicate symbols $R_\phi(\vec{x})$ for each such formula $\phi(\vec{x})$, with the obvious interpretation.

Clearly, for any two sufficiently saturated H -structures (M, H) and (N, H) of a geometric theory T , the structures $H^*(M)$ and $H^*(N)$ are elementarily equivalent, and are also sufficiently saturated. Thus T gives rise to the unique theory $T^* = \text{Th}(H^*(M))$. We will refer to T^* as the *generic trivalization* of T .

First, we make some observations about the general model theoretic properties of $H^*(M)$.

Remark 2.9. (1) *$H^*(M)$ is a geometric structure with a trivial (identical) algebraic closure. Elimination of \exists^∞ follows from triviality of acl: any formula in one variable with n parameters having more than n realizations is infinite.*

(2) *For any \mathcal{L} -formula $\phi(\vec{x}, y)$ and $\vec{a} = (a_1, \dots, a_n) \in H(M)$, we have*

$$(M, H) \models \exists y (H(y) \wedge \phi(\vec{a}, y)) \iff M \models \exists^\infty y \phi(\vec{a}, y) \vee \bigvee_{i=1}^n \phi(\vec{a}, a_i)$$

Since T is geometric, the latter is an \mathcal{L} -formula. This shows that $H^(M)$ has quantifier elimination.*

We will now look at the case when the structure of $H^*(M)$ is as simple as possible.

Proposition 2.10. *T is strongly minimal if and only if $H^*(M)$ has no structure (other than the one induced by equality).*

Proof. Left to right is clear, since in T there is only one n -type of an independent tuple, for any n .

Suppose $H^*(M)$ has no structure, and T is not strongly minimal. Let (M, H) be an H -structure. In M there is an infinite co-infinite definable set D . Since $\text{acl}(H(M))$ is an elementary submodel of M , we may assume that D is definable over $\text{acl}(H(M))$. By Proposition 2.6, there is $D' \subset D$ \mathcal{L} -definable over $H(M)$, such that $D \setminus D'$ is finite. Clearly $D' \cap H(M)$ and $H(M) \setminus D'$ are disjoint infinite definable subsets of $H^*(M)$, a contradiction. \square

Thus, T is strongly minimal exactly when T^* is the theory of equality (which is also equivalent to saying that T^* is itself strongly minimal).

Clearly, we cannot expect T^* to be as well-behaved in the non-strongly minimal case. For example, if T defines a random graph, then so does T^* . Moreover, even though $H^*(M)$ has a trivial geometry, T^* can still interpret some non-trivial structures. In the next example we show how the structure of M can get reflected in $H^*(M)$ in a deeper way when T is of Morley rank two.

Example 2.11. *Let T be the theory of a vector space over a division ring. Let T_P be the theory of lovely (or beautiful, in Poizat's sense) pairs of models of M .*

Essentially, T_P is the theory of infinite-dimensional pairs of vector spaces. Then T_P has Morley rank 2, and the algebraic closures in T_P and T coincide (i.e. are given by the linear span), and T_P eliminates \exists^∞ . Thus, T_P is a geometric theory with $\text{acl} = \text{dcl}$. Consider an H -structure (M, P, H) of T_P . Then $H^*(M, P)$ is a linearly independent set having infinite intersection with $P(M)$ and all of its cosets, in particular $H^*(M, P)$ has Morley rank two. For $a, b \in H$ write aEb if $a - b \in P$. E is an \emptyset -definable equivalence relation in $H^*(M, P)$. We define a product in $H^*(M, P)/E$ by $[a]_E \cdot [b]_E = [c]_E$ where $c \in H^*(M)$ and $c \in a + b + P$. Then $(H^*(M)/E, \cdot)$ is an interpretable group in $H^*(M, P)$ even though the algebraic closure is trivial when restricted to $H^*(M, P)$.

Example 2.12. Let T be the theory of the p -adics \mathbb{Q}_p in the language \mathcal{L}_{Div} , where \mathcal{L} is the language of rings and for $a, b \in \mathbb{Q}_p$ we have that $Div(a, b)$ if and only if $v(a) \leq v(b)$, see [1] for more details. It is well known that T is a geometric theory. Let (\mathbb{Q}_p, H) be a model of T^{ind} . For $a, a' \in H^*(\mathbb{Q}_p)$ define $E(a, a')$ if $v(a) = v(a')$, which is a \emptyset -definable equivalence relation. We can define for $a, b \in H^*(\mathbb{Q}_p)$, $[a]_E + [b]_E = [a + b]_E$ and $-[a]_E = [-a]_E$. Note that the classes $[a \cdot b]_E$, $[1/a]_E$ are realized in $H^*(\mathbb{Q}_p)$ by the density property. The group $(H^*(\mathbb{Q}_p)/E, +)$ is an interpretable group in $H^*(\mathbb{Q}_p)$ even though the structure $H^*(\mathbb{Q}_p)$ is trivial.

Example 2.13. Let $((\mathbb{F}_2)^\omega, +, 0, P)$ be the generic unary predicate expansion of the \mathbb{F}_2 -vector space $((\mathbb{F}_2)^\omega, +, 0)$, in the sense of Chatzidakis-Pillay [10]. Let T be the theory of the structure consisting of $P((\mathbb{F}_2)^\omega)$ together with the relations $R_n(x, y_1, \dots, y_n)$ saying $x + y_1 + \dots + y_n = 0$ (or, equivalently, $x = y_1 + \dots + y_n$). Note that T is an ω -categorical 1-based SU-rank 1 theory. Let (M, H) be an H -structure of T . Then the theory T^* has quantifier elimination down to formulas of the form $\exists z R_n(z, x_1, \dots, x_n)$, and is ω -categorical. Moreover, T^* is the model companion of the theory of all structures in the language

$$(P_2(x_1, x_2), P_3(x_1, x_2, x_3), \dots),$$

where the relations $P_n(x_1, \dots, x_n)$ are symmetric and imply $x_i \neq x_j$ for all $1 \leq i < j \leq n$. In particular, any random n -hypergraph is definable in T^* .

Remark 2.14. Note that if T is geometric, then T^* is ω -categorical if and only if for any n T has finitely many types of independent n -tuples. This is clearly the case when T is strongly minimal, even though T itself may not be ω -categorical.

We will now take a closer look at the relationship between the induced structure on $H(M)$ and the original structure M .

Proposition 2.15. Suppose T is a geometric theory, (M, H) a sufficiently saturated H -structure. Fix a set Γ of \mathcal{L} -formulas of the form $\theta(x, \vec{y})$, where \vec{y} can have arbitrary length. Suppose that any definable subset of $H^*(M)$ is given by $\theta(x, \vec{b})$ for some $\theta(x, \vec{y})$ in Γ and $\vec{b} \in H^*(M)$. Then any definable subset of M has a finite symmetric difference with some definable set of the form $\theta(M, \vec{c})$ where $\vec{c} \in M$ and $\theta(x, \vec{y}) \in \Gamma$.

Proof. Suppose a definable set D in M is given by $\phi(x, \vec{c})$. By density property, we may assume that $\vec{c} \in \text{acl}(H(M))$. By Proposition 2.6, changing D to a cofinite subset if needed, we may assume that $\vec{c} \in H(M)$. By the assumption on Γ , $\psi(H(M), \vec{c}) = \theta(H(M), \vec{b})$ for some $\theta(x, \vec{y}) \in \Gamma$ and $\vec{b} \in H(M)$. Now, if $D = \psi(M, \vec{c})$ has an infinite symmetric difference with $\theta(M, \vec{b})$, by the density property,

the symmetric difference of $\psi(H(M), \vec{c}_1)$ and $\theta(H(M), \vec{b})$ is also non-empty (in fact, also infinite), a contradiction. \square

Thus, similarly to strongly minimal or o-minimal structures (where definable sets are described in terms of equality or order), M is " H -minimal": if a class of formulas is sufficient for describing definable subsets of $H^*(M)$, the same class of formulas will work for M .

We finish this section by looking at the case of ordered geometric structures.

Proposition 2.16. *Suppose T is a theory of an ordered geometric structure, and (M, H) a sufficiently saturated H -structure of T . Then*

- (1) *The order restricted to $H(M)$ is dense without endpoints.*
- (2) *If T is a weakly o-minimal expansion of DLO then $H^*(M)$ is also weakly o-minimal.*

Proof. (1) Follows from the fact that $H^*(M)$ has trivial geometry.

(2) Assume T is a weakly o-minimal expansion of DLO. By Proposition 2.5 and Remark 2.9 the definable subsets of $H^*(M)$ are the intersection of \mathcal{L} -definable subsets of M with H . Since the definable subsets of M are finite unions of convex sets and points, the definable subsets of $H^*(M)$ are also finite unions of convex sets and points. \square

Example 2.17. *Let $M = (\mathbb{Q} \times \{0, 1\}, <_{lex})$. Essentially, we replace each element in a dense linear order by a "predecessor-successor" pair. Note that $Th(M)$ is geometric with disintegrated algebraic closure (closure of any element has size 2: the element itself and its successor or predecessor). Note that M is not weakly o-minimal, e.g. the set of all predecessors is dense co-dense in M . The structure of $H^*(M)$ is that of a dense linear order expanded with a dense co-dense subset: those elements that were predecessors in the original structure M . Thus $H^*(M)$ is also not weakly o-minimal.*

Note that even without the assumption that M is ordered, if $H^*(M)$ is an ordered structure, the order must be dense without endpoints. A natural question is: can we extend the order to M ? In other words, does any linear order on $H^*(M)$ come from a linear order on M ? The following example shows that it is not the case.

Example 2.18. *Let $M = (\mathbb{Q} \times \{0, 1\}, <)$, where $<$ is the partial order defined by $(x, i) < (y, j)$ if and only if $x < y$. Then in M there is no definable linear order, while $(H(M), <)$ is a dense linear order.*

Remark 2.19. *Suppose now T is a C -minimal theory. Then the structure of $H^*(M)$ is weakly C -minimal, in the sense that every definable subset of $H^*(M)$ is given by a boolean combination of instances of C where the parameters may come from M .*

3. STABILITY, SIMPLICITY AND ROSINESS

Now we check how generic trivialization behaves with respect to stability, simplicity and rosiness. As we have already shown, T is strongly minimal if and only if so is T^* (which is equivalent to T^* being the theory of equality).

Proposition 3.1. *Let T be a geometric theory. Then T is λ -stable if and only if T^* is λ -stable.*

Proof. Let (M, H) be a sufficiently saturated H -structure of T , and $\lambda \geq |T|$. Thus, $T^* = Th(H^*(M))$.

Suppose T is λ -stable. Let $A \subset H^*(M)$ be of size $\leq \lambda$, then there at most λ different 1-types over A realized in M . Of these types, only the non-algebraic ones together with the family $\{tp(a/A) : a \in A\}$ are realized in $H^*(M)$. Thus T^* is also λ -stable.

Suppose T^* is λ -stable.

It suffices to show that for any set $B \subset M$ of size $\leq \lambda$, there at most λ different non-algebraic 1-types over B realized in M . Next, we may assume that $B = \text{acl}(A)$, where $A \subset H(M)$. By Proposition 2.6, for any \mathcal{L} -formula $\phi(x, \vec{a}, \vec{b})$ where $\vec{a} \in A$ and $\vec{b} \in \text{acl}(\vec{a})$, there is $\phi'(x, \vec{a}, \vec{c})$ a formula such that $\phi'(x, \vec{a}, \vec{c}) \subset \phi(x, \vec{a}, \vec{b})$, they have a finite symmetric difference and the tuple $\vec{c} \in H(M)$. Let C consist of all such \vec{c} . Then $|A \cup C| \leq \lambda$. Let p be any non-algebraic 1-type over B . Then p is axiomatized by \mathcal{L} -formulas of the form $\phi(x, \vec{a}, \vec{b})$, where $\vec{a} \in A$ and $\vec{b} \in \text{acl}(\vec{a})$. Replacing $\phi(x, \vec{a}, \vec{b})$ with $\phi'(x, \vec{a}, \vec{c})$, we get a consistent non-algebraic type p' over $A \cup C$. Note that if $p_1 \neq p_2$, then $p'_1 \neq p'_2$. Thus the number of non-algebraic 1 types over B is at most the number of non-algebraic 1-types over $A \cup C$, which is bounded by λ . □

Now we study the special case of totally transcendental theories. Before we start, the reader should notice that if $\varphi(x, \vec{a})$ defines a finite set in M , that set may not be realized in $H(M)$. But if $\varphi(x, \vec{a})$ defines an infinite set in M , the set has infinitely many realization in $H(M)$. In the next proposition we show that the Morley rank of an infinite formula is the same in M as in $H^*(M)$.

Notation 3.2. Let T be a geometric theory, (M, H) a sufficiently saturated H -structure of T . For any \mathcal{L} -formula $\varphi(x, \vec{y})$ and $\vec{a} \in H^*(M)$ we write $MR(\varphi(x, \vec{a}))$ for the Morley rank of the formula computed inside M and we write $MR_{H^*(M)}(\varphi(x, \vec{a}))$ for the Morley rank of the formula computed inside $H^*(M)$.

Proposition 3.3. Let T be a geometric theory, (M, H) a sufficiently saturated H -structure of T . Then T is totally transcendental if and only if T^* is totally transcendental. Moreover for any \mathcal{L} -formula $\varphi(x, \vec{y})$ and $\vec{a} \in H^*(M)$ if $\varphi(x, \vec{a})$ has infinitely many realizations, $MR_{H^*(M)}(\varphi(x, \vec{a})) = MR(\varphi(x, \vec{a}))$. In particular $MR(T) = MR(T^*)$

Proof. Claim For any ordinal α and for any formula $\varphi(x, \vec{a})$ where $\vec{a} \in H^*(M)$ we have that $MR_{H^*(M)}(\varphi(x, \vec{a})) \geq \alpha$ implies $MR(\varphi(x, \vec{a})) \geq \alpha$.

We prove the Claim by induction on α . The case $\alpha = 0$ and the limit case are clear. If $MR_{H^*(M)}(\varphi(x, \vec{a})) \geq 1$ it means that the formula $\varphi(x, \vec{a})$ has infinitely many realizations in $H^*(M)$ and thus it has infinitely many realizations in M .

Let $\varphi(x, \vec{a})$ be a formula in $H^*(M)$ and assume that $MR_{H^*(M)}(\varphi(x, \vec{a})) \geq \alpha + 1$, with $\alpha \geq 1$. Then there are $\{\psi_i(x, \vec{a}_i) : i \in \mathbb{N}\}$ pairwise contradictory formulas in $H^*(M)$ which imply $\varphi(x, \vec{a})$ in $H^*(M)$ and such that $MR_{H^*(M)}(\psi_i(x, \vec{a}_i)) \geq \alpha$ for all i . By induction hypothesis $MR(\psi_i(x, \vec{a}_i)) \geq \alpha$. Let $\theta_i(x, \vec{a}_i, \vec{a}) = \psi_i(x, \vec{a}_i) \wedge \varphi(x, \vec{a})$ and note that $MR(\theta_i(x, \vec{a}_i, \vec{a})) = MR(\psi_i(x, \vec{a}_i))$ since the symmetric difference of the two formulas is a finite set in the structure M (they agree in $H^*(M)$).

The formulas $\theta_i(x, \vec{a}, \vec{a}_i)$ may have finite intersection (which does NOT affect finding Morley ranks since $\alpha \geq 1$) and each one implies $\varphi(x, \vec{a})$. It follows that $MR(\varphi(x, \vec{a})) \geq \alpha + 1$.

Claim For any ordinal $\alpha > 0$ and \mathcal{L} -formula $\varphi(x, \vec{a})$ with $\vec{a} \in H$ if $MR(\varphi(x, \vec{a})) \geq \alpha$ then $MR_{H^*(M)}(\varphi(x, \vec{a})) \geq \alpha$.

We prove it by induction on α . If $\alpha = 1$, it means that $\varphi(x, \vec{a})$ is infinite, then by the density property it intersects H infinitely often and thus $MR_{H^*(M)}(\varphi(x, \vec{a})) \geq 1$. The limit case is clear. Assume the result holds for $\alpha > 0$ and that $MR(\varphi(x, \vec{a})) \geq \alpha + 1$. Then there are $\psi_i(x, \vec{b}_i)$ for $i \in \mathbb{N}$ pairwise disjoint, each of which implies $\varphi(x, \vec{a})$ and such that $MR(\psi_i(x, \vec{b}_i)) \geq \alpha$. We may write $\vec{b}_i = \vec{b}_i^0 \vec{b}_i^1$ so that \vec{b}_i^0 is independent over $\vec{a}, \vec{b}_{<i}$ and $\vec{b}_i^1 \in \text{acl}(\vec{a}, \vec{b}_{<i}, \vec{b}_i^0)$. Therefore we can realize $\text{tp}(\vec{b}_i^0/\vec{a}, \vec{b}_{<i})$ inside H and after changing parameters we may assume that $\vec{b}_i^0 \in H$ for every i and that $\vec{b}_i^1 \in \text{acl}(\vec{b}_i^0)$. By Proposition 2.6 there are elements $c_i \in H$ and formulas $\psi'_i(x, \vec{b}_i^0, c_i)$ such that $\psi'_i(x, \vec{b}_i^0, c_i)$ defines a cofinite subset of $\psi_i(x, \vec{b}_i)$. Note that $\psi'_i(x, \vec{b}_i)$ for $i \in \mathbb{N}$ are pairwise disjoint and each formula implies $\varphi(x, \vec{a})$. Also since each of $\psi_i(x, \vec{b}_i)$ defines an infinite set, $MR(\psi'_i(x, \vec{b}_i^0, c_i)) = MR(\psi_i(x, \vec{b}_i))$. By induction hypothesis we get that $MR_{H^*(M)}(\psi'_i(x, \vec{b}_i^0, c_i)) \geq \alpha$ and so $MR_{H^*(M)}(\varphi(x, \vec{a})) \geq \alpha + 1$ as we wanted. \square

Now we turn our attention to the supersimple SU-rank 1 case. Recall that a theory is supersimple of SU-rank 1 exactly when any non-algebraic formula in a single variable does not divide over \emptyset .

Proposition 3.4. *Let T be a geometric theory. Then T is supersimple of SU-rank 1 if and only if T^* is supersimple of SU-rank 1.*

Proof. Let (M, H) be a sufficiently saturated H -structure of T .

Suppose T is supersimple of SU-rank 1. Consider a non-algebraic \mathcal{L} -formula $\phi(x, \vec{a})$ where $\vec{a} \in H(M)$. Suppose $\phi(x, \vec{a})$ divides over \emptyset in $H^*(M)$, witnessed by an indiscernible sequence $(\vec{a}_i : i \in \omega)$ of tuples in $H(M)$. Thus the partial type $\{\phi(x, \vec{a}_i) : i \in \omega\}$ is not realized in $H(M)$, and hence is algebraic (in M). Let e_1, \dots, e_n be the all its realizations in M . We may assume that the sequence $(\vec{a}_i : i \in \omega)$ is indiscernible over \vec{e} . Then the sequence $(\vec{a}_i \vec{e} : i \in \omega)$ witnesses that a non-algebraic formula

$$\phi(x, \vec{a}_0) \wedge \bigwedge_{1 \leq i \leq n} \neg x = e_i$$

divides over \emptyset , a contradiction with T being supersimple of SU-rank 1.

Suppose T^* is supersimple of SU-rank 1. Let $\phi(x, \vec{a})$ be a non-algebraic \mathcal{L} -formula in M , and suppose it divides over \emptyset , witnessed by an indiscernible sequence $(\vec{a}_i : i \in \omega)$. Adding a finite acl-independent set B , if needed, we may assume that $(\vec{a}_i : i \in \omega)$ is Morley over B . Write $\vec{a}_i = \vec{a}'_i \vec{a}''_i$, where \vec{a}'_i is acl-independent over B , and $\vec{a}''_i \in \text{acl}(\vec{a}'_i B)$. Since the infinite tuple $B \vec{a}'_0 \vec{a}'_1 \dots$ is acl-independent, we may assume that $B \subset H(M)$ and $\vec{a}'_i \in H(M)$ for all i . By Proposition 2.6, we can find $\vec{c}_i \in H(M)$ and an \mathcal{L} -formula $\phi'(x, \vec{y}, \vec{z})$ such that $\phi'(M, \vec{a}'_i, \vec{c}_i)$ are cofinite subsets of $\phi(M, \vec{a}_i)$. We may also assume that $(\vec{a}'_i \vec{c}_i : i \in \omega)$ is indiscernible over B . Clearly, since $\{\phi(x, \vec{a}_i) : i \in \omega\}$ is inconsistent, so is $\{\phi'(x, \vec{a}'_i, \vec{c}_i) : i \in \omega\}$. Since $\phi'(H^*(M), \vec{a}'_i, \vec{c}_i)$ are infinite, this contradicts the assumption that T^* is supersimple of SU-rank 1. \square

Next, we will consider the case when T is a simple geometric theory, but not necessarily supersimple of SU-rank 1. Note that in this case, it is still open whether T^{ind} , or at least, T^* is also simple. However, we can still say something about the behavior of forking in T^* .

Proposition 3.5. *Let T be a geometric theory, (M, H) a sufficiently saturated H -structure of T , and suppose T is simple. Let $A \subset B \subset H^*(M)$ and let $\vec{c} \in H(M)$ be a tuple. Then if $\text{tp}(\vec{c}/B)$ forks over A (in M), $\text{tp}_{H^*(M)}(\vec{c}/B)$ forks over A (in $H^*(M)$).*

Proof. Assume first that $p(x, B) = \text{tp}(\vec{c}/B)$ forks over A (in M). Let $\{B_i : i \in \omega\}$ be a \mathcal{L} -Morley sequence in $\text{tp}(B/A)$ over A such that $\cup p(x, B_i)$ is inconsistent in M . Since the set B is a subset of $H^*(M)$, the set $B \setminus A$ is algebraically independent over A and by the density property we may assume that $B_0 \subset H^*(M)$. Since the sequence $\{B_i : i \in \omega\}$ is a \mathcal{L} -Morley sequence, the sequence is algebraically independent over A , so using an inductive argument we may assume by the density property that $B_i \subset H^*(M)$ for all i . Then $\{B_i : i \in \omega\}$ is an indiscernible sequence over A in $H^*(M)$ and $\cup p(x, B_i)$ is inconsistent in $H^*(M) \subset M$. This shows that $\text{tp}_{H^*(M)}(\vec{c}/B)$ forks over A (in $H^*(M)$). \square

Proposition 3.6. *Let T be a geometric theory, (M, H) a sufficiently saturated H -structure of T , and suppose T is simple, that $\text{dcl} = \text{acl}$ in T and that T^* is simple. Let $A \subset B \subset H^*(M)$ and let $\vec{c} \in H(M)$ be a tuple. Then if $\text{tp}_{H^*(M)}(\vec{c}/B)$ forks over A (in $H^*(M)$), $\text{tp}(\vec{c}/B)$ forks over A (in M).*

Proof. Assume now that $p(\vec{x}, B) = \text{tp}(\vec{c}/B)$ does not fork over A (in M). We may write $\vec{c} = (c_1, \dots, c_l, c_{l+1}, \dots, c_n)$, where c_1, \dots, c_l are independent over A and $c_{l+1}, \dots, c_n \in \text{dcl}(c_1, \dots, c_l, A)$. Let f_{l+1}, \dots, f_n be definable functions such that $c_i = f_i(c_1, \dots, c_l, A)$ for $i \geq l+1$. We will prove that $p^*(\vec{x}, B) = \text{tp}_{H^*(M)}(\vec{c}/B)$ does not fork over A (in M). Since T^* is simple, it suffices to check that for $\{B_i : i \in \omega\}$ a Morley sequence in $\text{tp}_{H^*(M)}(B/A)$ over A (in $H^*(M)$) one has that $\cup_{i \in \omega} p^*(x, B_i)$ is consistent in $H^*(M)$. By the previous proposition, the sequence $\{B_i : i \in \omega\}$ is a Morley sequence in $\text{tp}(B/A)$ over A (in M). Since $\text{tp}(\vec{c}/B)$ does not fork over A , there is $\vec{d} \models \cup_{i \in \omega} p(\vec{x}, B_i)$. Furthermore, we may assume that $\text{tp}(\vec{d}/\cup_{i \in \omega} B_i)$ does not fork over A . In particular, we must have $\dim(\vec{d}/A) = \dim(\vec{d}/\cup_{i \in \omega} B_i)$. Then we can write $\vec{d} = (d_1, \dots, d_l, d_{l+1}, \dots, d_n)$, then d_1, \dots, d_l are independent over $\cup_{i \in \omega} B_i$ and $d_{l+1}, \dots, d_n \in \text{dcl}(d_1, \dots, d_l, A)$. By the density property we may assume that $d_1, \dots, d_l \in H(M)$. Therefore $\text{tp}_H(c_1, \dots, c_l, A) = \text{tp}_H(d_1, \dots, d_l, A)$, so we must have that

$$\begin{aligned} \text{tp}_H(c_1, \dots, c_l, f_{l+1}(c_1, \dots, c_l, A), \dots, f_n(c_1, \dots, c_l, A), A) = \\ \text{tp}_H(d_1, \dots, d_l, f_{l+1}(d_1, \dots, d_l, A), \dots, f_n(d_1, \dots, d_l, A), A), \end{aligned}$$

but clearly

$$f_{l+1}(d_1, \dots, d_l, A), \dots, f_n(d_1, \dots, d_l, A) = (d_{l+1}, \dots, d_n),$$

so we get $\text{tp}_H(\vec{c}, B) = \text{tp}_H(\vec{d}, B)$ and thus $\text{tp}_{H^*(M)}(\vec{c}, B) = \text{tp}_{H^*(M)}(\vec{d}, B)$ for all i and $\vec{d} \models \cup_{i \in \omega} p^*(x, B_i)$ in $H^*(M)$. \square

Now we consider the case of thorn rank one theories (or *surgical* geometric theories). We show that if T is superrosy of thorn rank one then so is its generic trivialization T^* . We also show the converse under the assumption $\text{acl} = \text{dcl}$ in T . The proof of the first implication relies on a trick from [2] relating imaginaries in $H^*(M)$ with imaginaries in M (in the setting of lovely pairs instead of H -structures). We also use the following fact (see [14]):

Fact 3.7. *A geometric theory T is superrosy of thorn rank one if and only if for every definable set X (in any number of variables) and a definable equivalence relation $E(x, y)$ on X , only finitely many E -classes have the same dimension as X .*

Proposition 3.8. *Let T be a geometric theory.*

- (1) *If T is superrosy of thorn-rank 1 then so is T^* .*
- (2) *If $\text{acl} = \text{dcl}$ in T , and T^* is superrosy of thorn-rank 1, then so is T .*

Proof. Let (M, H) be a sufficiently saturated H -structure of T .

(1) Assume that T is superrosy of thorn rank one. Since T^* is geometric, by Fact 3.7 it suffices to show that there are no definable subset S of $(H^*(M))^m$ of dimension $n \leq m$ and a definable equivalence relations on S with infinitely many classes of dimension n . Note that any such set S is of the form $X \cap H(M)^m$, where X is a definable subset of M^m (with parameters from $H(M)$).

Assume that there is an L -definable set $X \subset M^m$ and a L -formula $\varepsilon(\vec{x}, \vec{y})$, such that $X \cap H(M)^m$ has dimension n , and when restricted to $X \cap H(M)^m$, $\varepsilon(-, -)$ defines an equivalence relation with infinitely many classes of dimension n . We may assume that $\varepsilon(\vec{a}, \vec{b})$ implies that $\vec{a}, \vec{b} \in X$. Since being superrosy of thorn rank 1 is preserved under reducts and expansions by constants, we may assume that both X and ε are defined over \emptyset .

Case 1: Suppose first $n = m$. Let X' consist of all $\vec{a} \in X$ such that \vec{a} is a tuple of distinct elements and there exists another tuple of distinct elements \vec{b} such that \vec{a} and \vec{b} are disjoint (as sets) and $\models \varepsilon(\vec{a}, \vec{b})$. Clearly, X' is still L -definable over \emptyset , has dimension n (in M), and ε restricted to $X' \cap H(M)^n$ is an equivalence relation with infinitely many (in fact, all) classes of dimension n .

Now we follow the ideas from [2] and define for $\vec{a}, \vec{b} \in X'$, $E(\vec{a}, \vec{b}) = "(\varepsilon(\vec{a}, \vec{z}) \vee \varepsilon(\vec{b}, \vec{z})) \wedge \neg(\varepsilon(\vec{a}, \vec{z})) \wedge \varepsilon(\vec{a}, \vec{z})"$ has dimension less than n ". That is, for $\vec{a}, \vec{b} \in X'$, $E(\vec{a}, \vec{b})$ holds iff the subset of X' defined by $\varepsilon(\vec{a}, \vec{z}) \Delta \varepsilon(\vec{b}, \vec{z})$ has dimension less than n . Since T eliminates \exists^∞ this relation is definable in M . Clearly, it is an equivalence relation (on X'). It remains to show that when restricted to $X' \cap H(M)^n$, E coincides with ε , and hence has infinitely many classes of dimension n on $X' \cap H(M)^n$ and therefore also on X' (in the sense of M).

If $\vec{a}, \vec{b} \in X' \cap H(M)^n$ and $\models \varepsilon(\vec{a}, \vec{b})$, then clearly $\varepsilon(\vec{a}, \vec{z}) \Delta \varepsilon(\vec{b}, \vec{z})$ is not realized in $H(M)$. Then, by the density property, $\varepsilon(\vec{a}, \vec{z}) \Delta \varepsilon(\vec{b}, \vec{z})$ must have has dimension less than n , and thus $\models E(\vec{a}, \vec{b})$.

If $\vec{a}, \vec{b} \in X' \cap H(M)^n$ and $\models \neg \varepsilon(\vec{a}, \vec{b})$, then $\varepsilon(\vec{a}, \vec{z}) \Delta \varepsilon(\vec{b}, \vec{z})$ coincides with $\varepsilon(\vec{a}, \vec{z}) \vee \varepsilon(\vec{b}, \vec{z})$ when restricted to $H(M)$. It follows from the definition of X' that each ε -class in $X' \cap H(M)^n$ has dimension n . Hence, $\varepsilon(\vec{a}, \vec{z}) \vee \varepsilon(\vec{b}, \vec{z})$ has dimension n , and therefore $\models \neg E(\vec{a}, \vec{b})$.

Case 2: Now suppose $n \leq m$. We will reduce to Case 1. For any function $f : \{1, \dots, m\} \rightarrow \{1, \dots, n\}$ consider the function $g_f : M^n \rightarrow M^m$ given by

$$g_f(x_1, \dots, x_n) = (x_{f(1)}, \dots, x_{f(m)}).$$

Since any m -tuple in $X \cap H(M)^m$ has at most n distinct entries, we have

$$X \cap H(M)^m \subset \bigcup_{f:\{1,\dots,m\} \rightarrow \{1,\dots,n\}} g_f(H(M)^n).$$

Since there are only finitely many such functions f , we can find $f : \{1, \dots, m\} \rightarrow \{1, \dots, n\}$, such that $\varepsilon(-, -)$ has infinitely many classes of dimension n when restricted to $X \cap g_f(H(M)^n)$. Let $Y = g_f^{-1}(X \cap g_f(H(M)^n))$, and for $\vec{h}, \vec{k} \in Y$, let $\varepsilon'(\vec{h}, \vec{k})$ denote $\varepsilon(g_f(\vec{h}), g_f(\vec{k}))$. Clearly, Y is L -definable, has dimension n , and ε' is an equivalence relation on $Y \cap H(M)^n$. Then apply Case 1 to Y and ε' .

(2) Assume now that $\text{acl} = \text{dcl}$ in T , T^* is superrosy of thorn-rank 1, but T is not superrosy of thorn-rank 1. Then there is a definable set $X \subset M^m$ of dimension $n \leq m$, and a definable equivalence relation E on X having infinitely many classes of dimension n . Since $\text{acl} = \text{dcl}$, we may assume that both X and E are definable over $H(M)$. Since being superrosy of thorn rank 1 is preserved under reducts and expansions by constants, we may assume that both X and E are definable over \emptyset .

Note that an E -class has dimension n exactly when we can find two tuples \vec{b} and \vec{c} that belong to the class, have dimension n , realize the same type and are such that $\dim(\vec{b}\vec{c}) = 2n$. Let $\vec{x}^n = (x_1, \dots, x_n)$ be projection of an m -tuple \vec{x} onto first n coordinates. By reordering the variables in necessary, we can find infinitely many E -classes of dimension n for which the witnesses have the property that $\dim(\vec{b}^n \vec{c}^n) = 2n$ (i.e. the tuples are generated by the first n entries). Fix a sufficiently large cardinal κ . By compactness, we can construct a sequence $(\vec{b}_\alpha, \vec{c}_\alpha : \alpha < \kappa)$ in X such that for any $\alpha < \kappa$:

$$\begin{aligned} \text{tp}(\vec{b}_\alpha) &= \text{tp}(\vec{c}_\alpha), \\ \models E(\vec{b}_\alpha, \vec{c}_\alpha), \end{aligned}$$

$\vec{b}_\alpha^n \vec{c}_\alpha^n$ is an independent tuple, and for any $\alpha \neq \beta < \kappa$, $\neg E(\vec{b}_\alpha, \vec{b}_\beta)$.

Reducing the sequence, if necessary, we may assume that there is an \emptyset -definable function \vec{f} such that

$$\vec{b}_\alpha = \vec{f}(\vec{b}_\alpha^n), \quad \vec{c}_\alpha = \vec{f}(\vec{c}_\alpha^n),$$

where $\vec{x}^n = (x_1, \dots, x_n)$ (projection of an m -tuple onto first n coordinates).

Let $X^H = \{(h_1, \dots, h_n) \in H^n : \vec{f}(\vec{h}) \in X, h_i \neq h_j, i \neq j\}$. Define E^H on X^H by $E^H(\vec{h}, \vec{k})$ iff $E(\vec{f}(\vec{h}), \vec{f}(\vec{k}))$. Clearly, both X^H and E^H are definable in $H^*(M)$, and E^H is an equivalence relation on X^H . Moreover, X^H has dimension n and the tuples \vec{b}_α^n and \vec{c}_α^n witness that E^H has infinitely many classes of dimension n . Indeed, $\vec{b}_\alpha^n, \vec{c}_\alpha^n \in X^H$, $\dim(\vec{b}_\alpha^n, \vec{c}_\alpha^n) = 2n$, $E^H(\vec{b}_\alpha^n, \vec{c}_\alpha^n)$ and $\neg E^H(\vec{b}_\alpha^n, \vec{b}_\beta^n)$ for $\alpha \neq \beta$. Contradiction with T^* being superrosy of thorn-rank 1. \square

In the light of the above results, thorn rank 1 setting seems to be most appropriate for studying generic trivializations. Without this assumption, $H^*(M)$ may be “formally” trivial, but become non-trivial when passing to $(H^*(M))^{eq}$, as in Example 2.11. In fact, if we allow T to have a definable equivalence relation E with infinitely many classes each of which is infinite, any structure definable in M/E will also be definable in $H^*(M)/E$.

4. NIP AND DP-RANK

In this section we will study the Independence Property; the setting is the same as before, T is a geometric theory and (M, H) a sufficiently saturated H -structure of T . Our goal is to prove that T is NIP (strongly dependent) if and only if T^* is NIP (strongly dependent) and to study how the dp-rank in both settings are related. The proofs in this section are very close to the ones dealing with NIP in the setting of lovely pairs of geometric structures [7] or just structures expanded with a predicate [9]. We need the following result from [6]:

Fact 4.1. *It T is geometric and T has NIP, then T^{ind} has NIP.*

Proposition 4.2. *Let T be a geometric theory and suppose T has NIP. Then T^* also has NIP.*

Proof. Let (M, H) be a sufficiently saturated H -structure of T . Assume that T^* has IP. Then there is $I = (\vec{b}_i : i \in \omega)$ an indiscernible sequence and a in $H^*(M)$ such that $\phi(a, \vec{b}_i)$ holds iff i is even. By Remark 2.9 the definable subsets of $H(M)$ are given by \mathcal{L} -definable sets intersected with $H(M)$, so there is an \mathcal{L} -definable formula $\theta(x, \vec{y})$ such that $\phi(x, \vec{y}) \wedge x \in H(M) \wedge \vec{y} \in H(M)$ is equivalent to $\theta(x, \vec{y}) \wedge x \in H(M) \wedge \vec{y} \in H(M)$.

Note that this sequence I also belongs to M , that a belongs to M and that $\theta(a, \vec{b}_i)$ holds iff i is even. So T^{ind} has the IP and thus by Fact 4.1 T has the IP. \square

Proposition 4.3. *Let T be a geometric theory and suppose T^* has NIP. Then T has NIP as well.*

Proof. Let (M, H) be a sufficiently saturated H -structure of T .

Suppose T has IP, witnessed by a formula $\phi(x, \vec{y})$ (we may assume that x is a single variable). Thus, in M there exists an indiscernible sequence $I = (\vec{b}_i : i \in \omega)$ and a (non-algebraic over I) such that $\phi(a, \vec{b}_i)$ holds iff i is even. Extending I we get an indiscernible sequence $J = (\vec{b}_i : i < \omega + \omega)$. Then there exists a' (non-algebraic over J) such that $\phi(a', \vec{b}_i)$ holds iff $i = 2n$ or $\omega + 2n$.

Note that the sequence $J = (\vec{b}_i : \omega \leq i < \omega + \omega)$ is independent and indiscernible over I . Let B be a finite subset of I such that $\vec{b}_\omega \perp_B I$. Then $(\vec{b}_i : \omega \leq i < \omega + \omega)$ is independent and indiscernible over B . We may assume that $B = \vec{d}$ is an independent tuple. For $\omega \leq i < \omega + \omega$, let $\vec{b}_i = \vec{b}_i^0 \vec{b}_i^1$, where \vec{b}_i^0 is a tuple independent over \vec{d} , and $\vec{b}_i^1 \in \text{acl}(\vec{d}, \vec{b}_i^0)$. Then the infinite tuple $\vec{d} \vec{b}_\omega^0 \vec{b}_{\omega+1}^0 \dots$ is independent over \emptyset . We may assume that a' , \vec{d} , and \vec{b}_i^0 for $\omega \leq i < \omega + \omega$ are all in $H(M)$. After changing parameters, the formula $\phi(x, \vec{b}_i)$ can be written as $\phi(x, \vec{d}, \vec{b}_i^0, \vec{b}_i^1)$ with $\vec{d}, \vec{b}_i^0 \in H$ and $\vec{b}_i^1 \in \text{acl}(\vec{d}, \vec{b}_i^0)$ for $\omega \leq i < \omega + \omega$. Note that the way we rewrite the formula does not depend on the index i . By Proposition 2.6 and the fact that J is indiscernible there is a sequence $\{c_i : \omega \leq i < \omega + \omega\}$ in H and formulas $\phi'(x, \vec{d}, \vec{b}_i^0, c_i)$ such that $\phi'(x, \vec{d}, \vec{b}_i^0, c_i)$ defines a cofinite subset of $\phi(x, \vec{d}, \vec{b}_i^0, \vec{b}_i^1)$. Furthermore, we may assume that the sequence $\{\vec{b}_i c_i : \omega \leq i < \omega + \omega\}$ is indiscernible. Let $J_e = \{i = \omega + 2n : n < \omega\}$ and let $J_o = \{i = \omega + 2n + 1 : n < \omega\}$. Since the type $\bigwedge_{i \in J_e} \phi(x, \vec{d}, \vec{b}_i^0, \vec{b}_i^1) \wedge \bigwedge_{i \in J_o} \neg \phi(x, \vec{d}, \vec{b}_i^0, \vec{b}_i^1)$ is not algebraic, so is the type $\bigwedge_{i \in J_e} \phi'(x, \vec{d}, \vec{b}_i^0, c_i) \wedge \bigwedge_{i \in J_o} \neg \phi'(x, \vec{d}, \vec{b}_i^0, c_i)$ and the formula $\phi'(x, \vec{y}^0, z)$ witnesses IP for $H^*(M)$ and thus for T^* . \square

We will refine our analysis in the setting of strongly dependent theories and compare the dp -rank of T and T^* . Basic facts about dp -rank can be found in [11], more general information about strongly dependent theories can be found in [17]. We only recall the basic definitions :

Definition 4.4. Let M be a sufficiently saturated structure. For a cardinal κ , an *ICT pattern of depth κ* in variables \vec{x} is a set of formulas $\{\varphi_\alpha(\vec{x}; \vec{y}^\alpha) : \alpha < \kappa\}$ together with an array $\{\vec{a}_n^\alpha : \alpha < \kappa, n < \omega\}$ such that $\vec{a}_n^\alpha \in M_{\vec{y}^\alpha}$ and for any $\eta : \kappa \rightarrow \omega$, the type

$$\bigwedge_{i < \kappa} \varphi_i(x, \vec{a}_{\eta(i)}^i) \wedge \bigwedge_{i < \kappa} \bigwedge_{j < \omega, j \neq \eta(i)} \neg \varphi_i(x, a_j^i)$$

is consistent. The dp -rank for a partial type $p(\vec{x})$ is the maximum cardinal κ (possibly finite) such that $p(\vec{x})$ is consistent with an ICT pattern in variables \vec{x} of depth κ . A theory is *strongly dependent* if the dp -rank of $x = x$ is $\leq \aleph_0$.

It is proved in [6] that if T is strongly dependent so is T^{ind} and vice versa. It is easy to modify the proofs given in Propositions 4.2 and 4.3 to show that T is strongly dependent if and only if T^* is strongly dependent. Instead of doing that, we show below how the dp -rank of $x = x$ in T is related to dp -rank of $x = x$ in T^* .

The reader should note that the dp -rank of $x = x$ can be $\geq n$ for every n but still smaller than \aleph_0 .

Proposition 4.5. *Let T be a geometric theory and suppose that T is strongly dependent. Then the dp -rank of $x = x$ in T either agrees with the dp -rank of $x = x$ in T^* or they differ by one.*

Proof. Let (M, H) be a sufficiently saturated H -structure of T .

Assume that $x = x$ has dp -rank greater than or equal to n in T^* . Then there are $\varphi_1(x, \vec{y}_1), \dots, \varphi_n(x, \vec{y}_n)$ \mathcal{L} -formulas without parameters and there are sequences $\{(\vec{a}_i^j : i < \omega) : j \leq n\}$ that form a ICT pattern of depth n in $H^*(M)$. Clearly this is also an ICT pattern of depth n in M .

Assume now that $x = x$ has dp -rank greater than or equal to n in T . Then there exist \mathcal{L} formulas $\varphi_1(x, \vec{y}_1), \dots, \varphi_n(x, \vec{y}_n)$ and mutually indiscernible sequences $\{(\vec{a}_i^j : i < \omega + \omega) : j \leq n\}$, that form a ICT pattern of depth n . Let $I_1 = (\vec{a}_i^1 : i < \omega), \dots, I_n = (\vec{a}_i^n : i < \omega)$ and let $J_1 = (\vec{a}_i^1 : \omega \leq i < \omega + \omega), \dots, J_n = (\vec{a}_i^n : \omega \leq i < \omega + \omega)$. Note that J_1 is independent and indiscernible over $I_1 \cup \dots \cup I_n$. Let B_1 be a finite subset of $I_1 \cup \dots \cup I_n$ such that $\vec{a}_\omega^1 \perp_{B_1} I_1 \cup \dots \cup I_n$. Then J_1 is independent and indiscernible over B_1 . In the same way by mutual indiscernability there is B_2 a finite subset of $I_1 \cup \dots \cup I_n$ such that $J_2 \perp_{B_2} I_1 \cup J_1 \cup I_2 \cup \dots \cup I_n$. And proceeding inductively we can find B_n a finite subset of $I_1 \cup \dots \cup I_n$ such that $J_n \perp_{B_n} I_1 \cup J_1 \cup \dots \cup I_{n-1} \cup J_{n-1} \cup I_n$. Let $\vec{b} = B_1 \cup \dots \cup B_n$, then $J_1 \cup \dots \cup J_n$ is an independent set over \vec{b} . We may assume that \vec{b} is independent. For $\omega \leq i < \omega + \omega$ and $1 \leq j \leq n$ we can write $\vec{a}_i^j = \vec{a}_{i_1}^j \vec{a}_{i_2}^j$, where $\vec{a}_{i_1}^j$ is a tuple independent over \vec{b} , and $\vec{a}_{i_2}^j \in \text{acl}(\vec{a}_{i_1}^j \vec{b})$. Since the elements in $\vec{b} \cup \{\vec{a}_{i_1}^j : \omega \leq i < \omega + \omega, 1 \leq j \leq n\}$ are algebraically independent, we may assume that all the elements in the set belong to H . By Proposition 2.6 there is a formula $\varphi'_1(x, \vec{z}_1, w)$ and there is $c_i^1 \in H$ such that $\varphi'_1(x, \vec{a}_{i_1}^1, c_i^1)$ defines a cofinite subset of $\varphi_1(x, \vec{a}_i^1)$ for $\omega \leq i \leq \omega + \omega$. Repeating the process for the formulas $\varphi_2(x, \vec{a}_i^2), \dots, \varphi_n(x, \vec{a}_i^n)$ we can find formulas

$\varphi'_2(x, \vec{a}_i^2, c_i^2), \dots, \varphi'_n(x, \vec{a}_i^n, c_i^n)$ which define cofinite subsets of the previous ones and the parameters c_i^j belong to H .

The formulas $\varphi_1(x, \vec{w}_1), \dots, \varphi_{n-1}(x, \vec{w}_{n-1})$ together with the sequences $\{(\vec{a}_i^j : \omega < i < \omega + \omega) : j \leq n-1\}$ form a ICT pattern of depth $n-1$. Note that for each $\eta : n-1 \rightarrow [\omega, \omega + \omega)$, the type

$$\bigwedge_{i \leq n-1} \varphi_i(x, \vec{a}_{\eta(i)}^i) \wedge \bigwedge_{1 \leq i \leq n-1} \bigwedge_{\omega \leq j < \omega + \omega, j \neq \eta(i)} \neg \varphi_i(x, a_j^i)$$

has infinitely many realizations (since the pattern can be extended to an ICT pattern of depth n), in particular it has infinitely many realizations in H . Note that exchanging each formula of the form $\varphi_i(x)$ for the formula $\varphi'_i(x)$ only removes a finite number of realizations. Thus the formulas $\varphi'_1(x, \vec{w}_1, z), \dots, \varphi'_{n-1}(x, \vec{w}_{n-1}, z)$ together with the sequences $\{(\vec{a}_{i_1}^j c_i^j : \omega < i < \omega + \omega) : j \leq n-1\}$ form a ICT pattern of depth $n-1$ inside the structure $H^*(M)$. \square

Corollary 4.6. *Let T be a geometric theory. Then T is dp-minimal if and only if T^* is dp-minimal.*

Question 4.7. *Are the dp-ranks of T and T^* equal?*

We end this section by looking at the effect of generic trivialization on VC-dimension. The relation in this setting is not clear, since the role of the algebraic closure (as opposed to the complexity of patterns of formulas) takes a more central role.

Remark 4.8. *Let (M, H) be an H -structure and let $\varphi(\vec{x}, \vec{y})$ be an \mathcal{L} -formula. Let $S_\varphi = \{\varphi(M^m, \vec{b}) : \vec{b} \in M^n\}$, let $S_\varphi^H = \{\varphi(H^m, \vec{b}) : \vec{b} \in H^n\}$ and let $VC(\varphi) = VC(S_\varphi)$, $VC^H(\varphi) = VC(S_\varphi^H)$. Then $VC^H(\varphi) \leq VC(\varphi)$*

Indeed, assume that $A \subset H^m$ has size n and that S_φ^H shatters A . This means that for every $B \subset A$ there is $\vec{h}_B \in H$ such that $B = A \cap \varphi(\vec{x}, \vec{h}_B)$. Then the same witnesses show that S_φ shatters A in M .

5. NTP_2 AND BURDEN

In this section we follow the presentation of NTP_2 theories from [8]. Let T be a complete theory and let $M \models T$ be a sufficiently saturated structure.

Definition 5.1. Let $p(x)$ be a partial type. An *inp*-pattern in $p(x)$ of depth κ consists of $(a_{\alpha, i} : \alpha < \kappa, i < \omega)$, $\phi_\alpha(x, y_\alpha)$, $\alpha < \kappa$ and $k_\alpha < \omega$ such that:

- (1) $\{\phi_\alpha(x, a_{\alpha, i}) : i < \omega\}$ is k_α -inconsistent, for each $\alpha < \kappa$
- (2) $\{\phi_\alpha(x, a_{\alpha, f(\alpha)}) : \alpha < \kappa\} \cup p(x)$ is consistent, for any $f : \kappa \rightarrow \omega$.

The burden of $p(x)$, denoted $bdn(p)$, is the supremum of the depths of all *inp*-patterns in $p(x)$. If we want to emphasize that we are finding the burden of a type $p(x)$ inside a theory T we write $bdn_T(p)$.

Definition 5.2. Let $k < \omega$. A formula $\phi(\vec{x}, \vec{y})$ has $k - TP_2$ if there is an array $(a_{\alpha, i} : \alpha, i < \omega)$ in $M_{\vec{y}}$ such that $\{\phi(\vec{x}, \vec{a}_{\alpha, i}) : i < \omega\}$ is k -inconsistent for every $\alpha < \omega$ and $\{\phi(\vec{x}, \vec{a}_{\alpha, f(\alpha)}) : \alpha < \omega\}$ is consistent for any $f : \omega \rightarrow \omega$. We say that $\phi(\vec{x}, \vec{y})$ has TP_2 if it has $k - TP_2$ for some k . Otherwise we say that $\phi(\vec{x}, \vec{y})$ is NTP_2 , and T is NTP_2 if every formula is.

Remark 5.3. Note that if $\phi(\vec{x}, \vec{y})$ has TP_2 witnessed by the array $(\vec{a}_{\alpha, i} : \alpha, i < \omega)$, then for every $f : \omega \rightarrow \omega$ we have that the type $\{\phi(\vec{x}, \vec{a}_{\alpha, f(\alpha)}) : \alpha < \omega\}$ is not algebraic.

Assume now that T is a geometric theory in a language \mathcal{L} and let (M, H) be a sufficiently saturated H -structure. Our goal, as in the previous sections, is to see how the bounds for the burden of types in T relate to bounds on the burden of types in T^* and how the failure of NTP_2 in T relates to the failure of NTP_2 in T^* .

We will use the following important facts from NTP_2 theories:

Fact 5.4. [8] T is NTP_2 if and only if every formula of the form $\phi(x, \vec{y})$ is NTP_2 , where x is variable in the sort of M (that is, of length one).

Fact 5.5. [15] Assume T has $k-TP_2$ witnessed by $\phi(\vec{x}; \vec{y})$. Then there is an array of parameters $\{\vec{a}_{\alpha, i} : \alpha < \omega, i < \omega\}$ witnessing $k-TP_2$ with $\phi(\vec{x}; \vec{y})$ such that whenever $i_0 < i_1 < \dots < i_n, j_0 < j_1 < \dots < j_n$ we have

$$\begin{aligned} \text{tp}(\vec{a}_{00}, \dots, \vec{a}_{0n}, \vec{a}_{10}, \dots, \vec{a}_{1n}, \dots, \vec{a}_{n0}, \dots, \vec{a}_{nn}) = \\ \text{tp}(\vec{a}_{i_0 j_0}, \dots, \vec{a}_{i_0 j_n}, \vec{a}_{i_1 j_0}, \dots, \vec{a}_{i_1 j_n}, \dots, \vec{a}_{i_n j_0}, \dots, \vec{a}_{i_n j_n}). \end{aligned}$$

In such a case we say the sequence of parameters $\{\vec{a}_{\alpha, i} : \alpha < \omega, i < \omega\}$ is array indiscernible.

Theorem 5.6. Let T be a geometric theory in a language \mathcal{L} and let (M, H) be a sufficiently saturated H -structure. If T has NTP_2 , then T^* has NTP_2 .

Proof. Assume that $H^*(M)$ has $k-TP_2$ for some k . By Fact 5.4 and Fact 5.5 there is $\phi(x; \vec{y})$ and an array indiscernible sequence of parameters $\{\vec{a}_{\alpha, i} : \alpha < \omega, i < \omega\}$ witnessing $k-TP_2$ with $\phi(x; \vec{y})$ in the structure $H^*(M)$. We may assume that the formula $\phi(x; \vec{y})$ is an \mathcal{L} -formula. Since $\{\phi(x, \vec{a}_{\alpha, i}) : i < \omega\}$ is k -inconsistent in $H^*(M)$ for every $\alpha < \omega$, the type $\wedge_{i < \omega} \phi(x, \vec{a}_{\alpha, i})$ is either inconsistent or finite in M .

If it is inconsistent, then there is $l \in \mathbb{N}$ such that $\{\phi(x, \vec{a}_{\alpha, i}) : i < \omega\}$ is l -inconsistent and the same formula and the same sequence of parameters witness $l-TP_2$ in M .

If it is consistent, there is $l \in \mathbb{N}$ such that $\wedge_{i < \omega} \phi(x, \vec{a}_{\alpha, i}) = \wedge_{i < l} \phi(x, \vec{a}_{\alpha, i})$. Let $\{e_{1\alpha}, \dots, e_{s\alpha}\}$ be the set of realizations of the type and let $\vec{e}_\alpha = (e_{1\alpha}, \dots, e_{s\alpha})$. Note that by indiscernability, the value of l and the value of s does not depend on α . Let $\psi(x, \vec{y}, \vec{z}) = \phi(x, \vec{y}) \wedge_{i \leq s} x \neq z_i$. Then the formula $\psi(x, \vec{y}, \vec{z})$ with the parameters $\{\vec{a}_{\alpha, i}, \vec{e}_\alpha : \alpha < \omega, i < \omega\}$ witness $l-TP_2$ in M . \square

Theorem 5.7. Let T be a geometric theory in a language \mathcal{L} and let (M, H) be a sufficiently saturated H -structure. If the type $x = x$ in T has finite burden so does the type $x = x$ in T^* and $\text{bdn}_T(x = x) \geq \text{bdn}_{T^*}(x = x) \geq \text{bdn}_T(x = x) - 1$. If the burden of the type $x = x$ in T (resp T^*) is κ for some infinite cardinal κ , then $\text{bdn}_T(x = x) = \text{bdn}_{T^*}(x = x)$.

Proof. Assume first that the burden of $x = x$ in T is $n < \omega$. Then there are \mathcal{L} -formulas $\phi_\alpha(x, \vec{y})$ and there is an array $\{a_{\alpha, i} : i < \omega + \omega, 1 \leq \alpha \leq n\}$ in $M_{\vec{y}}$ and there are positive integers $\{k_\alpha : 1 \leq \alpha \leq n\}$ such that $\{\phi_\alpha(x, \vec{a}_{\alpha, i}) : i < \omega + \omega\}$ is k_α -inconsistent and if $f : \{1, \dots, n\} \rightarrow \omega$ is a function, $\{\phi_\alpha(x, \vec{a}_{\alpha, f(\alpha)}) : \alpha < k\}$ is consistent. We may further assume that each row of the sequence of parameters $\{a_{\alpha, i} : i < \omega + \omega, \alpha \leq n\}$ is indiscernible over the other rows.

First we proceed as in the proof of dp-ranks (Proposition 4.5). Let $I_1 = (\vec{a}_{i,1} : i < \omega), \dots, I_n = (\vec{a}_{i,n} : i < \omega)$ and let $J_1 = (\vec{a}_{i,1} : \omega \leq i < \omega + \omega), \dots, J_n = (\vec{a}_{i,n} : \omega \leq i < \omega + \omega)$. Note that J_1 is independent and indiscernible over $I_1 \cup \dots \cup I_n$. Let B_1 be a finite subset of $I_1 \cup \dots \cup I_n$ such that $\vec{a}_{\omega,1} \perp_{B_1} I_1 \cup \dots \cup I_n$. Then J_1 is independent and indiscernible over B_1 . In the same way by mutual indiscernability there is B_2 a finite subset of $I_1 \cup \dots \cup I_n$ such that $J_2 \perp_{B_2} I_1 \cup J_1 \cup I_2 \cup \dots \cup I_n$. And proceeding inductively we can find B_n a finite subset of $I_1 \cup \dots \cup I_n$ such that $J_n \perp_{B_n} I_1 \cup J_1 \cup \dots \cup I_{n-1} \cup J_{n-1} \cup I_n$. Let $\vec{b} = B_1 \cup \dots \cup B_n$, then $J_1 \cup \dots \cup J_n$ is an independent set over \vec{b} . We may assume that \vec{b} is independent.

For each α and each $i \geq \omega$, we may write $\vec{a}_{\alpha,i} = \vec{a}_{\alpha,i}^1 \vec{a}_{\alpha,i}^2$, where $\vec{a}_{\alpha,i}^1$ is independent over \vec{b} and $\vec{a}_{\alpha,i}^2 \in \text{acl}(\vec{a}_{\alpha,i}^1, \vec{b})$. We may assume by the density property that $\vec{b} \in H$ and that for each α and $\omega \leq i < \omega + \omega$ we have that $\vec{a}_{\alpha,i}^1 \in H$. By Proposition 2.6 there is a formula $\phi'_1(x, \vec{b}, \vec{z}_1, w)$ and there is $c_{1,i} \in H$ such that $\phi'_1(x, \vec{b}, \vec{a}_{1,i}^1, c_{1,i})$ defines a cofinite subset of $\phi_1(x, \vec{a}_{1,i})$ for $\omega \leq i < \omega + \omega$. Similarly for $2 \leq j \leq n$ there are formulas $\phi'_j(x, \vec{b}, \vec{z}_j, w)$ and there is $c_{j,i} \in H$ such that $\phi'_j(x, \vec{b}, \vec{a}_{j,i}^1, c_{j,i})$ defines a cofinite subset of $\phi_j(x, \vec{a}_{j,i})$ for $\omega \leq i < \omega + \omega$.

Note that if we consider the array of formulas $\phi'_\alpha(x, \vec{y})$ and the parameters $\{\vec{b}, a_{\alpha,i}^1 c_{\alpha,i} : \omega < i < \omega + \omega, \alpha < n\}$, then $\{\phi'_\alpha(x, \vec{b}, \vec{a}_{\alpha,i}^1 c_{\alpha,i}) : i < \omega + \omega\}$ is k_α -inconsistent and if $f : \{1, \dots, n-1\} \rightarrow \omega$ is a function, $\{\phi_\alpha(x, \vec{b}, \vec{a}_{\alpha,f(\alpha)}^1 c_{\alpha,f(\alpha)}) : \alpha < k\}$ has infinitely many solutions and thus it has a solution in H . Since all parameters of the array belong to H , we have that $\text{bdn}_{H^*(M)}(x = x) \geq n - 1$. If instead of n we have an infinite cardinal the assertion is clear.

Now assume that $\text{bdn}_{T^*}(x = x) \geq n$. Then there are \mathcal{L} -formulas $\phi_\alpha(x, \vec{y})$ and there is an array $\{a_{\alpha,i} : i < \omega, 1 \leq \alpha \leq n\}$ in $H^*(M)_{\vec{y}}$ and positive integers $\{k_\alpha : \alpha \leq n\}$ such that $\{\phi_\alpha(x, \vec{a}_{\alpha,i}) : i < \omega\}$ is k_α -inconsistent in $H^*(M)$ and if $f : \{1, \dots, n\} \rightarrow \omega$ is a function, $\{\phi_\alpha(x, \vec{a}_{\alpha,f(\alpha)}) : \alpha < k\}$ is consistent in $H^*(M)$. We may assume that for each α , the row $\{a_{\alpha,i} : i < \omega\}$ is indiscernible. Let $\alpha \leq n$ and consider the type $\wedge_{i < \omega} \phi_\alpha(x, \vec{a}_{\alpha,i})$ in M .

If the type is inconsistent, then there is an integer l_α such that $\{\phi_\alpha(x, \vec{a}_{\alpha,i}) : i < \omega\}$ is l_α -inconsistent in M . Let $\psi_\alpha(x, \vec{y}) = \phi_\alpha(x, \vec{y})$ and keep the same parameters $\{\vec{a}_{\alpha,i} : i < \omega\}$ and let $\vec{e}_\alpha = \emptyset$.

If the type is consistent it must be algebraic, and then there is an integer l_α such that $\wedge_{i < \omega} \phi_\alpha(x, \vec{a}_{\alpha,i}) = \wedge_{i < l_\alpha} \phi_\alpha(x, \vec{a}_{\alpha,i})$. Let $\vec{e}_\alpha = \{e_{\alpha 1}, \dots, e_{\alpha s}\}$ be the realizations of the previous type and let $\psi_\alpha(x, \vec{a}_{\alpha,i}, \vec{e}_\alpha) = \phi_\alpha(x, \vec{a}_{\alpha,i}) \wedge \wedge_{i \leq s} x \neq e_i$. In this case change the α row for $\{\psi_\alpha(x, \vec{a}_{\alpha,i}, \vec{e}_\alpha) : i < \omega\}$ and change k_α for l_α .

Consider now the pattern associated to the formulas $\psi_\alpha(x, \vec{y}, \vec{z})$, the array $\{\vec{a}_{\alpha,i} \vec{e}_\alpha : i < \omega, \alpha \leq n\}$ and the integers $\{l_\alpha : 1 \leq \alpha \leq n\}$. If $f : \{1, \dots, n\} \rightarrow \omega$ is a function, $\{\psi_\alpha(x, \vec{a}_{\alpha,f(\alpha)}, \vec{e}_\alpha) : \alpha \leq n\}$ is consistent in $H^*(M)$, so unless the solution coincides with some $e_{\alpha i}$ (there are finitely many of those), we also get a solution for the type $\{\psi_\alpha(x, \vec{a}_{\alpha,f(\alpha)}, \vec{e}_\alpha) : \alpha \leq n\}$.

This shows (after removing finitely many rows if necessary) that $\text{bdn}_{T^*}(x = x) \geq n$. \square

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