## Sheaf Models for CZF refuting Power Set and Full Separation

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Oberwolfach April 2008

Previously (~2004), R. Lubarsky, B. van den Berg and I have (independently) constructed **realizability models** for CZF which refute the Power Set axiom but still validate the Full Separation schema.

(CZF + Sep has strength of 2<sup>nd</sup> Order Arith.)

The aim of this talk is to describe

#### sheaf models for CZF

which always **refute Full Separation** and in some natural cases also refute **Power Set**.

Our models arise as a variation of D. Scott's (pre)sheaf models for IZF but by iterating a *restricted powerset* functor  $\mathcal{P}_s$  instead of the *full powerset* functor  $\mathcal{P}$  of the (pre)sheaf topos.

## Recap of IZF and CZF

**Intuitionistic Zermelo Fraenkel** set theory IZF is obtained from ZF by dropping Excluded Middle and replacing the Regularity axiom by  $\in$ -induction.

**Constructive Zermelo Fraenkel** set theory CZF is obtained from IZF by

- (1) restricting the Separation scheme to **bounded** formula
- (2) replacing the Powerset axiom by the following **Fullness** axiom  $(\exists c \subseteq \mathsf{mv}(a,b))(\forall r \in \mathsf{mv}(a,b))(\exists s \in c) \ s \subseteq r$ where  $\mathsf{mv}(a,b)$  is the class of total realtions from a to b
- (3) strengthening Replacement to **Strong Collection**   $(\exists c)(\forall \vec{z})$   $((\forall x \in a)(\exists y \in b)\varphi) \Rightarrow (\exists d \in c)\mathbb{M}(x:a, y:d)\varphi$ where  $\mathbb{M}(x:a, y:b)\varphi(x, y, ...)$  stands for  $(\forall x \in a)(\exists y \in b)\varphi \land (\forall y \in b)(\exists x \in a)\varphi(x, y, ...).$

### **Presheaf Models for IZF**

As suggested by D. Scott (~1980) for arbitrary small categories C in  $\hat{C} = \text{Set}^{C^{\text{op}}}$  consider the **class**-valued presheaf V(C) which is the least fixpoint of  $\mathcal{P}$ .

Recall that for  $X \in \widehat{\mathcal{C}}$  the power object  $\mathcal{P}(X)$  is given by

 $\mathcal{P}(X)(I) = \operatorname{Sub}_{\widehat{\mathcal{C}}}(\mathsf{y}(I) \times X)$ 

where y(I) = C(-, I).

For  $a \in \mathcal{P}(X)(I)$  and  $u : J \to I$ 

$$a \cdot u = \mathcal{P}(X)(u)(a) = \{ \langle v, x \rangle \mid \langle uv, x \rangle \in a \}$$

is the **reindexing** of A along u.

Equality and membership in  $V(\mathcal{C})$  are given by the following forcing clauses

$$\begin{split} I \Vdash a \in b & \text{iff} \quad \langle \text{id}_I, a \rangle \in b \\ I \Vdash a = b & \text{iff} \quad \text{for all } u : J \rightarrow I \text{ and } c \in V(\mathcal{C})(J) \\ & \langle u, c \rangle \in a \text{ implies } J \Vdash c \in b \cdot u \\ & \langle u, c \rangle \in b \text{ implies } J \Vdash c \in a \cdot u \end{split}$$

and forcing clauses for logic are as usual.

## Sheaf Models for IZF

In 1980 M. Fourman has shown how to interpret IZF in **cocomplete** toposes  $\mathcal{E}$  by constructing  $V_{\alpha}$  in  $\mathcal{E}$  for every ordinal  $\alpha$ .

For the typical case of a Grothendieck topos  $\mathcal{E} = Sh(\mathcal{C}, \mathcal{J})$  a forcing definition using  $V(\mathcal{C})$  can be obtained by modifying the clause for elementhood as follows

$$I \Vdash a \in b \quad \text{iff} \quad \text{there exists a } \mathcal{J}\text{-cover } (I_i \xrightarrow{u_i} I)$$
  
and  $c_i \in V(\mathcal{C})(I_i) \text{ s.t. for all } i$   
 $I_i \Vdash a \cdot u_i = c_i \text{ and } \langle u_i, c_i \rangle \in b$ 

The clause for equality is as before and the clauses for  $\perp$ ,  $\vee$  and  $\exists$  have to be modified as usual in Kripke-Joyal semantics.

**Theorem** The (colimit of the) cumulative hierachy in  $Sh(C, \mathcal{J})$  is isomorphic to V(C)modulo the equivalence relation = on V(C)as given by forcing.

Proof (Idea)

Since  $\langle u_i, c_i \rangle \in b$  is equivalent to  $\langle id_{I_i}, c_i \rangle \in b \cdot u_i$ the definition of  $\in$  (implicitly) performs  $\mathcal{J}$ closure.

## "Getting Smaller" (1)

Instead of iterating the powerset functor  $\mathcal{P}$  on  $\widehat{\mathcal{C}}$  we consider a subfunctor  $\mathcal{P}_{cg}$  which is defined as follows.

A presheaf  $X \in \widehat{C}$  is **countably generated** iff there exists a countable (including the empty one) family  $(x_n \in X(I_n))$  s.t. every  $x \in X(I)$ is of the form  $x = x_n \cdot u$  for some  $u : I \rightarrow$  $I_n$ . We write  $\operatorname{Sub}_{cg}(X)$  for the **collection of countably generated subpresheaves of** Xand define  $\mathcal{P}_{cg}$  as

$$\mathcal{P}_{cg}(X)(I) = \mathsf{Sub}_{cg}(\mathsf{y}(I) \times X)$$

Now we may define the **countably gener**ated hierachy  $U(\mathcal{C})$  in  $\widehat{\mathcal{C}}$  as

$$U(\mathcal{C})_{\alpha} = \bigcup_{\beta < \alpha} \mathcal{P}_{cg}(V_{\beta})$$

which stabilises at  $\omega_1$ , i.e.  $U(\mathcal{C})_{\omega_1}$  is the least fixpoint of  $\mathcal{P}_{cg}$ .

## "Getting Smaller" (2)

We have in mind the **countable cover** topology on C when defining (by transfinite recursion) the forcing clauses for = and  $\in$  as

$$\begin{split} I \Vdash a \in b & \text{iff} \quad \text{there exists a countable family} \\ & (u_n, c_n) \text{ in } b \text{ such that } (u_n) \\ & \text{covers } I \text{ and for all } n \\ & \text{dom}(u_n) \Vdash c_n = a \cdot u_n \\ I \Vdash a = b & \text{iff} \quad \text{for all } u : J \rightarrow I \text{ and } c \in U(J) \\ & \text{it holds that} \\ & \langle u, c \rangle \in a \text{ implies } J \Vdash c \in b \cdot u \\ & \text{and} \\ & \langle u, c \rangle \in b \text{ implies } J \Vdash c \in a \cdot u. \end{split}$$

For suitably chosen C the structure U(C)with = and  $\in$  defined as above give rise to models of CZF refuting both the Power Set axiom and the Full Separation schema.

Next we explain what "suitably chosen" means:

### **Constructive Toposes**

are categories  ${\mathcal E}$  such that

(1)  $\mathcal{E}$  is a Heyting category, i.e. is regular and for all  $f : A \to B$  in  $\mathcal{E}$  the map  $f^{-1}$ :  $Sub_{\mathcal{E}}(B) \to Sub_{\mathcal{E}}(A)$  has a right adjoint  $\forall_f$ 

(2)  ${\cal E}$  has stable and disjoint finite sums

(3) every equivalence relation  $r = \langle r_1, r_2 \rangle$ :  $R \rightarrow A \times A$  appears as kernel pair of the coequalizer  $q : A \rightarrow A_{/R}$  of  $r_1$  and  $r_2$ 

(4)  $\mathcal{E}$  is locally cartesian closed (lccc), i.e. for every  $f : A \to B$  the pullback functor  $f^*$ :  $\mathcal{E}/B \to \mathcal{E}/A$  has a right adjoint  $\Pi_f$ .

Regular categories satisfying conditions (2) and (3) are called **pretoposes** provided coequalizers of equivalence relations are stable under pullbacks. This latter condition follows from (4) because  $f^*$  has a right adjoint and thus preserves colimits.

We need **constructive**  $\infty$ -toposes, i.e. constructive toposes with stable and disjoint **countable sums**. They have a **natural numbers object** (nno)  $N = \prod_{\omega} 1$ .

# A More Abstract View (1)

In order to prove **soundness of our model** we need a more **abstract view** of it.

Let  $\mathcal{E}$  be some fixed constructive  $\infty$ -topos endowed with the **countable cover** topology: a sieve S on  $I \in \mathcal{E}$  **covers** I iff there exists a countable family  $(u_n : I_n \to I)$  in S s.t. for every  $u : J \to I$  in S there exists a  $v : J \to I_n$ with  $u = u_n v$ . This topology is *subcanonical*, i.e. all representable presheaves are sheaves. We write  $Sh_{\infty}(\mathcal{E})$  for the category of sheaves over  $\mathcal{E}$  w.r.t. countable cover topology.

Following a suggestion of Jean Bénabou we identify **"small"** with **representable** and call a map  $f : Y \to X$  **"small"**, i.e. a **family of small objects**, iff for all  $x : y(I) \to X$ 



for some  $u: J \to I$  in  $\mathcal{E}$ .

# A More Abstract View (2)

For interpreting bounded formulas as sets, i.e. small objects, we require the equality predicates to be small maps. We call an object X**separated** iff  $\delta_X$  is small and denote the ensuing full subcategory of  $Sh_{\infty}(\mathcal{E})$  by  $Idl_{\infty}(\mathcal{E})$ . We write  $S_{\mathcal{E}}$  for the collection of small maps in  $Idl_{\infty}(\mathcal{E})$ .

 $IdI_{\infty}(\mathcal{E})$  is thought of as the **category of classes** and  $\mathcal{S}_{\mathcal{E}}$  as the collection of all **families of sets** indexed by classes.  $IdI_{\infty}(\mathcal{E})$  is a Heyting category and  $\mathcal{S}_{\mathcal{E}}$  satisfies the axioms (S1)  $\mathcal{S}_{\mathcal{E}}$  is closed under composition and contains all isos

(S2)  $\mathcal{S}_{\mathcal{E}}$  is stable under pullbacks along arbitrary morphisms of  $\mathcal{E}$ 

(S3) all diagonals  $\delta_A : A \rightarrow A \times A$  are in  $S_{\mathcal{E}}$ (S4) if e is a cover, i.e. regular epi, and  $f \circ e \in S_{\mathcal{E}}$  then  $f \in S_{\mathcal{E}}$ 

(S5) if  $f: C \to A$  and  $g: D \to A$  are in  $\mathcal{S}_{\mathcal{E}}$ then  $[f,g]: C + D \to A$  is also in  $\mathcal{S}_{\mathcal{E}}$ 

**Remark** Under (S1) and (S2) condition (S3) is equivalent to the requirement that  $g \in S_{\mathcal{E}}$  whenever f and fg are in  $S_{\mathcal{E}}$ .

# A More Abstract View (3)

The following characterisation of  $IdI_{\infty}(\mathcal{E})$  within  $Sh_{\infty}(\mathcal{E})$  is useful later when constructing a universe corresponding to  $U(\mathcal{E})$ .

**Th 1** For objects A of  $Sh(\mathcal{E})$  t.f.a.e.

(1) A is in  $\mathrm{Idl}_\infty(\mathcal{E})$ 

(2) A arises as colimit in  $\widehat{\mathcal{E}}$  of an  $\infty$ -ideal diagram, i.e. an  $\omega_1$ -directed diagram of monos between representable objects

(3) for every  $f : y(I) \to A$  its image in  $Sh_{\infty}(\mathcal{E})$  is representable.

**NB** An analogous theorem was suggested by A. Joyal and proved by S. Awodey et.al. for Sh( $\mathcal{E}$ ), the category of sheaves w.r.t. the **finite** cover topology on  $\mathcal{E}$ , the full subcategory Idl( $\mathcal{E}$ ) of separated objects and ideal diagram, i.e.  $\omega_0$ -directed diagrams of monos between representable objects.

We can't take this because in the ensuing model of set theory the ordinal  $\omega$  is not a set though sets host a nno!

## A More Abstract View (4)

Next we consider a **small powerset** functor  $\mathcal{P}_s$  on  $\mathrm{Idl}_{\infty}(\mathcal{E})$  whose initial fixpoint will be the universe corresponding to  $U(\mathcal{E})$ .

A relation  $r : R \rightarrow A \times I$  is called **small** iff  $\pi_2 \circ r : R \rightarrow I$  is in  $\mathcal{S}_{\mathcal{E}}$ , i.e. r is small iff it is a(n *I*-indexed) family of small subobjects of A. Obviously, for  $u : J \rightarrow I$  in  $\mathcal{E}$  the relation  $(A \times u)^* r$  is also small.

**Th 2** For every A in  $Idl_{\infty}(\mathcal{E})$  there is a small relation  $\in_A \to A \times \mathcal{P}_s(A)$  such that for every small relation  $r : R \to A \times I$  there exists a unique map  $\varrho : I \to \mathcal{P}_s(A)$  in  $Idl_{\infty}(\mathcal{E})$  s.t.



The object  $\mathcal{P}_s(A)$  is called the *power class* of A. Its elements are subsets of A. But in general  $\mathcal{P}_s(A)$  is not small even if A is small.

### A More Abstract View (5)

Yoneda tells us that

 $\mathcal{P}_s(A)(I) \cong \mathrm{Idl}_\infty(\mathcal{E})(y(I), \mathcal{P}_s(A)) \cong$ 

 $\cong \{r : R \rightarrowtail A \times y(I) \mid r \text{ small relation} \}$ 

Since the powerset functor  $\mathcal{P}$  for  $Sh_{\infty}(\mathcal{E})$  is given by  $\mathcal{P}(A)(I) = Sub_{Sh_{\infty}(\mathcal{E})}(A \times y(I))$  it follows that

$$\mathcal{P}_s(A) \subseteq \mathcal{P}(A)$$

for  $A \in Sh_{\infty}(\mathcal{E})$ .

**Remark** Notice that  $\mathcal{P}(A)$  is the class of *subclasses* of A (an "impredicative" notion of class is available in  $Sh_{\infty}(\mathcal{E})$ !) whereas  $\mathcal{P}_s(A)$ is the subclass of  $\mathcal{P}(A)$  consisting of (families of) *subsets* of A.

**Th 3**  $\mathcal{P}_s(1)$  is small iff  $\mathcal{E}$  is a topos.

*Proof.* We have  $\mathcal{P}_s(1)(I) \cong \{\text{repr. subobj. of } y(I)\} \cong \text{Sub}_{\mathcal{E}}(I).$ Thus  $\mathcal{P}_s(1)$  is small iff  $\text{Sub}_{\mathcal{E}}$  is representable iff  $\mathcal{E}$  is a topos.

### A More Abstract View (6)

**Th 4** The functor  $\mathcal{P}_s : \mathrm{Idl}_{\infty}(\mathcal{E}) \to \mathrm{Idl}_{\infty}(\mathcal{E})$ preserves  $\infty$ -ideal colimits.

Proof (Sketch) If  $y(J) \cong R \xrightarrow{r} A \times y(I)$  then by Th.1(3) the map  $r_1 = \pi_1 \circ r : y(J) \to A$  factors through  $m : y(K) \to A$  via some regular epimorphism  $e : y(J) \to y(K)$  and we have



and  $y(K) \times y(I) \cong y(K \times I)$ .

Thus, if A is the  $\infty$ -ideal colimit of  $(y(A_i))_{i \in I}$ then

$$\mathcal{P}_s(\operatorname{colim}_{i \in I}) \cong \operatorname{colim}_{i \in I} \mathcal{P}_s(y(A_i))$$

## A More Abstract View (7)

Since  $\mathcal{P}_s$  preserves  $\infty$ -ideal colimits (Th 4) it has an initial fixpoint  $U_{\mathcal{E}}$  which is attained after  $\omega_1$  iterations, i.e.

$$U_{\mathcal{E}} = \operatorname{colim}_{\alpha < \omega_1} \mathcal{P}_s^{\alpha}(0)$$

Interpreting  $\in$  as

 $\in_{U_{\mathcal{E}}} \to U_{\mathcal{E}} \times \mathcal{P}_s(U_{\mathcal{E}}) \cong U_{\mathcal{E}} \times U_{\mathcal{E}}$ 

and equality as  $\delta_{U_{\mathcal{E}}}$  gives rise to a first order structure (in  $\mathrm{Idl}_{\infty}(\mathcal{E})$  thus in  $\widehat{\mathcal{E}}$ ) which can be shown to be isomorphic to the forcing model  $U(\mathcal{E})$  modulo = as defined by forcing.

More precisely,  $U_{\mathcal{E}}$  is isomorphic to  $U(\mathcal{E})_{/\sim}$  – where  $a \sim b$  means  $I \Vdash a = b$  for  $a, b \in U(\mathcal{E})$  – and this isomorphism respects  $\in$ .

From work of Awodey, Simpson et.al. it follows that

#### Th 5

 $U_{\mathcal{E}}$  is a model of  $CZF_{Exp}^{-}$ , i.e. CZF without Infinity and Fullness but with Exponentiation.

## Countable Ordinals in $U(\mathcal{E})$

We associate with every countable ordinal  $\alpha$ a global element  $\hat{\alpha}$  of  $U(\mathcal{E})$  as follows: if  $\alpha = \sup_{n \in \omega} \alpha_n$  then let  $\hat{\alpha}$  be the subpresheaf of  $y(1) \times U(\mathcal{E})$  generated by the countable set  $\{\langle n, \widehat{\alpha_n} \rangle \mid n \in \omega\}$  where  $n : 1 \to N$  is the *n*-th numeral of nno N in  $\mathcal{E}$ .

One easily checks that  $\widehat{\omega}$  witnesses the set-theoretic Infinity axiom. Thus we have that

**Th 6**  $U(\mathcal{E})$  is a model of  $CZF_{Exp}$ .

One easily checks that

#### Lemma 1

 $\hat{\alpha} \in U(\mathcal{E})_{\alpha}$  fails in  $U(\mathcal{E})$  for  $\alpha < \omega_1$ . Thus, there is **no** set a in  $U(\mathcal{E})$  such that  $\hat{\alpha} \in a$ holds in  $U(\mathcal{E})$  for all  $\alpha < \omega_1$ .

### Fullness

For maps  $a : A \to I$  and  $b : B \to I$  in  $\mathcal{E}$  we write  $M_I(a, b)$  for the collection of all subobjects  $r : R \to A \times B$  such that  $\pi_1 \circ r : R \to A$ .

**Type-Theoretic Fullness Axiom** (TTFA) For all  $a : A \to I$  and  $b : B \to I$  in  $\mathcal{E}$  there exist a cover  $\tilde{e} : \tilde{I} \to I$ , a map  $c : C \to \tilde{I}$ and  $R \in M_C(c^*\tilde{e}^*A, c^*\tilde{e}^*B)$  such that for every  $f : D \to \tilde{I}$  and  $S \in M_D(f^*\tilde{e}^*A, f^*\tilde{e}^*B)$  there exists a cover  $e : E \to D$  and a map  $g : E \to C$ with fe = cg and  $g^*R \subseteq e^*S$ .

#### Th 7

If  $\mathcal{E}$  validates the type-theoretic fullness axiom TTFA then  $U(\mathcal{E})$  validates the Fullness axiom of CZF.

### "Good" Examples of $\mathcal{E}$

**Th 8** If  $\mathcal{T}$  is the **typed pca**  $Mod(K_2)$ ,  $Mod(\mathcal{P}\omega)$  or  $QCB_0$  (i.e.  $T_0$  quotients of subspaces of  $\mathcal{P}\omega$ ) then for the realizability model  $RC(\mathcal{T})$ , i.e. the ex/reg completion of  $Asm(\mathcal{T})$ , we have

- (1)  $\operatorname{RC}(\mathcal{T})$  is a constructive  $\infty$ -topos
- (2)  $\operatorname{RC}(\mathcal{T})$  validates TTCA
- (3)  $\operatorname{RC}(\mathcal{T})$  has no subobject classifier.

Proof (ideas)

(1) For any  $\mathcal{T}$  one knows that  $\mathbf{RC}(\mathcal{T})$  is a constructive topos. Stable and disjoint countable sums exist in  $\mathbf{RC}(\mathcal{T})$  since they exists in the categories  $\mathbf{Mod}(K_2)$ ,  $\mathbf{Mod}(\mathcal{P}\omega)$  and  $\mathbf{QCB}_0$ .

(2) Essentially as in Aczel's verification Fullness w.r.t. his interpretation in type theory. (3) Lietz and S. have shown that RC(T) is a topos iff T has a universal type which is not

the case for the  $\mathcal{T}$ 's under consideration.

### Failure of Full Separation 1

In CZF<sub>Exp</sub> Brouwer's 2<sup>nd</sup> Number Class  $W_1$  appears as an inductively defined subclass of the set  $\omega^{(\omega^{\omega})}$ , namely as the least C s.t.

(1)  $\lambda f.0 \in C$ 

(2) if  $F \in C$  then the functional

succ(F)(f) = 
$$\begin{cases} 1 & \text{if } f(0) = 0\\ F(\lambda n.f(n+1)) & \text{otherwise} \end{cases}$$

is in C as well

(3) if  $(F_n)_{n \in \omega}$  is a sequence in C then

$$\left(\sup_{n\in\omega}F_n\right)(f) = \begin{cases} 2 & \text{if } f(0) = 0\\ F_{f(0)-1}(\lambda n.f(n+1)) & \text{otherwise} \end{cases}$$
  
is in C as well.

By transfinite recursion over  $W_1$  we define a class function  $E: W_1 \rightarrow \text{Ord}$ 

$$E(t) = \begin{cases} \emptyset & \text{if } t = 0\\ E(t') \cup \{E(t')\} & \text{if } t = \operatorname{succ}(t')\\ \bigcup_{n \in \omega} E(t_n) & \text{if } t = \operatorname{sup}_{n \in \omega} t_n \end{cases}$$

### Failure of Full Separation 2

Since  $\mathcal{E}$  has countable sums  $\omega^{\omega}$  contains all functions on  $\omega$  and thus  $\omega^{(\omega^{\omega})}$  contains all *continuous* functionals (corresponding to countably branching wellfounded trees).

Thus  $U(\mathcal{E}) \models \hat{\alpha} \in E[W_1]$  for all  $\alpha < \omega_1$ . Thus, by Lemma 1, in  $U(\mathcal{E})$  it does not hold that  $E[W_1]$  is a set. If  $U(\mathcal{E})$  validated Full Separation then  $E[W_1]$  were a set

**Th 9** If  $\mathcal{E}$  is a constructive  $\infty$ -topos then Full Separation fails in  $U(\mathcal{E})$ .

#### Remark

Obviously, the class  $E[W_1]$  is a subclass of the class  $\omega_1$  of all countable ordinals. Thus, in  $U(\mathcal{E})$  the class  $\omega_1$  cannot be a set which means that REA, the Regular Extension axiom, fails in  $U(\mathcal{E})$  since REA allows one to prove that  $\omega_1$  is a set.

### Main Theorems

### Theorem 10

If  $\mathcal{E}$  is a cocomplete topos validating TTFA then  $U(\mathcal{E})$  is a model for CZF validating the Power Set axiom but refuting the Full Separation scheme.

*Proof* Immediate from Th 7 and Th 3 since the Powerset axiom holds whenever  $\mathcal{P}(1)$  is a set.

### Theorem 11

If  $\mathcal{T}$  is  $Mod(K_2)$ ,  $Mod(\mathcal{P}\omega)$  or  $QCB_0$  then  $U(\mathbf{RC}(\mathcal{T}))$  refutes both the Power Set axiom and the Full Separation scheme.

Proof Immediate from Th 10 and Th 8.

### Theorem 12

If  $\mathcal{E}$  is the ex/reg-completion of  $Mod(K_2)$  or  $Mod(\mathcal{P}\omega)$  then  $U(\mathcal{E})$  refutes both the Power Set axiom and the Full Separation scheme.

*Proof* Like for Th 11 since an analogue of Th 8 holds for the ex/reg-completions of  $Mod(K_2)$  and  $Mod(\mathcal{P}\omega)$ .

### Summary

- We have extended D. Scott's presheaf model for IZF to arbitrary sheaf models (Grothendieck toposes) thus simplifying M. Fourman's treatment.
- 2. Iterating a "small" version  $\mathcal{P}_s$  of the power functor  $\mathcal{P}$  in particular sheaf models we have obtained models of CZF refuting both Powerset and Full Separation.
- 3. In these models the class  $\omega_1$  is not a set and thus REA fails.
- 4. The site for the simplest such sheaf model is the *exact completion* of the category of countably based  $T_0$ -spaces endowed with the countable cover topology.