

# Classical realizability and forcing

## Part 1: Introduction

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# What is classical realizability?

- Complete reformulation of the principles of Kleene realizability to take into account **classical reasoning**
  - Based on Griffin's discovery about the connection between classical reasoning and **control operators** (call/cc)

$$\text{call/cc} : ((A \Rightarrow B) \Rightarrow A) \Rightarrow A \quad (\text{Peirce's law})$$

- Initially designed for PA2, but extends to:
  - Higher-order arithmetic ( $\text{PA}_\omega$ )
  - Zermelo-Fraenkel set theory (ZF)
  - Interprets the **Axiom of Dependent Choices** (DC)
- Deep connections with **Cohen forcing** (cf Part 2)
  - $\rightsquigarrow$  can be used to define **new models** of PA2/ZF (cf Part 3)

# Different notions of models

- **Tarski models:**  $\llbracket A \rrbracket \in \{0; 1\}$ 
  - Interprets **classical provability** (correctness/completeness)
  
- **Intuitionistic realizability:**  $\llbracket A \rrbracket \in \mathfrak{P}(\Lambda)$  [Kleene 45]
  - Interprets **intuitionistic proofs**
  - Independence results in intuitionistic theories
  - Definitely incompatible with classical logic
  
- **Cohen forcing:**  $\llbracket A \rrbracket \in \mathfrak{P}(C)$  [Cohen 63]
  - Independence results, in classical theories  
(Negation of continuum hypothesis, Solovay's axiom, etc.)
  
- **Classical realizability:**  $\llbracket A \rrbracket \in \mathfrak{P}(\Lambda_c)$  [Krivine 94, 03]
  - Interprets **classical proofs**
  - Generalizes Tarski models... and forcing!

# The Brouwer-Heyting-Kolmogorov (BHK) semantics

- **Philosophical input:** the meaning of a proposition  $A$  is the set  $\llbracket A \rrbracket$  of **evidences** that  $A$  holds:

$$\llbracket A \Rightarrow B \rrbracket = \llbracket A \rrbracket \rightarrow \llbracket B \rrbracket \quad (\text{'computable' functions})$$

$$\llbracket A \wedge B \rrbracket = \llbracket A \rrbracket \times \llbracket B \rrbracket \quad (\text{Cartesian product})$$

$$\llbracket A \vee B \rrbracket = \llbracket A \rrbracket + \llbracket B \rrbracket \quad (\text{Disjoint union})$$

$$\llbracket (\forall x \in \mathbb{N}) A(x) \rrbracket = \prod_{n \in \mathbb{N}} \llbracket A(n) \rrbracket \quad (\text{Dependent product})$$

$$\llbracket (\exists x \in \mathbb{N}) A(x) \rrbracket = \sum_{n \in \mathbb{N}} \llbracket A(n) \rrbracket \quad (\text{Dependent sum})$$

- **Typical example:**  $(\forall x \in \mathbb{N})(\exists y \in \mathbb{N}) A(x, y)$

# From philosophy to mathematics

The BHK philosophical interpretation of propositions can be given a formal (i.e. mathematical) contents: the theory of **realizability**

$$t \Vdash A$$

- Which notion of an evidence?

- Gödel codes of recursive functions
- $\lambda$ -terms
- Elements of an arbitrary PCA

[Kleene 45]

- For which theory?

- Heyting Arithmetic (HA)
- Second/higher-order Heyting Arithmetic (HA<sub>2</sub>/HA <sub>$\omega$</sub> )
- Intuitionistic Zermelo-Fraenkel Set theory (IZF)

[Myhill-Friedman 73, McCarty 84]

# Building realizers from proofs

## Theorem

From a derivation  $d$  of  $A$ , one can effectively extract a realizer  $d^* \in \llbracket A \rrbracket$

- Works in most intuitionistic theories: HA, HA2, HA $\omega$ , IZF, etc.
- **Technically:** Read each **deduction rule** as a **typing rule** and build the program  $d^*$  accordingly:

$$\frac{x : A \vdash t : B}{\vdash \lambda x. t : A \Rightarrow B} \quad \frac{\vdash t : A \Rightarrow B \quad \vdash u : A}{\vdash tu : B}$$

- Relies on the property of

**Adequacy:** If  $\vdash t : A$ , then  $t \Vdash A$  (i.e.  $t \in \llbracket A \rrbracket$ )

- Axioms are realized separately

# Why BHK is incompatible with classical logic

- A simple argument:

- The following proposition is classically provable:

$$(\forall x \in \mathbb{N}) (\text{Halt}(x) \vee \neg \text{Halt}(x))$$

- But a realizer would solve the **halting problem!**
    - **Remark:** Incompatibility due to the restriction to computable functions. Vanishes if we introduce non computable realizers (oracles)

- Another argument, in 2nd-order logic:

- The **negation of excluded middle** is realizable!

$$\neg \forall X (X \vee \neg X)$$

- **Reason:** 2nd-order  $\forall$  commutes with  $\vee$  in Kleene's realizability

# A technical defect of BHK semantics

- In BHK semantics, we have  $\llbracket \perp \rrbracket = \emptyset$ . Hence:

$$\llbracket \neg A \rrbracket = \llbracket A \rrbracket \rightarrow \emptyset = \begin{cases} \emptyset & \text{if } \llbracket A \rrbracket \neq \emptyset \\ \Lambda & \text{if } \llbracket A \rrbracket = \emptyset \end{cases}$$

- **Consequences:**

- Negated formulas have no computational contents
- On the fragment formed by all negated formulas, BHK semantics degenerates to a 2-valued model  $\rightsquigarrow$  Tarski semantics
- BHK semantics not suited to be used with  $\neg\neg$ -translation



# How to cope with classical logic?

- 1 Keep BHK semantics, but compose it with **Friedman's translation**

$$\llbracket A \rrbracket^* := \llbracket A^{\neg\neg R} \rrbracket$$

- Translation  $A \mapsto A^{\neg\neg R}$  parameterized by a return formula  $R$ , uses relative negation  $\neg_R A := A \Rightarrow R$  instead of negation
- Useful for witness extraction for  $\Sigma_1^0/\Pi_2^0$ -formulas (Friedman's trick)
- Alters the computational meaning of proofs / typing rules

- 2 Hard-wire Friedman's translation in the semantics

$\rightsquigarrow$  get a new semantics: **Krivine's semantics**

# Realizability vs. Boolean/Heyting-valued models

- In Boolean/Heyting-valued models, conjunction is interpreted as **meet/intersection**...
  - ... so that universal quantification amounts to an **infinitary intersection**
- But in **proof theory**, universal quantification is very different from an infinitary conjunction:

$$\frac{\vdash A(x)}{\vdash \forall x A(x)} \quad \frac{\vdash A(0) \quad \vdash A(1) \quad \cdots \quad \vdash A(41)}{\vdash A(0) \wedge A(1) \wedge \cdots \wedge A(41)}$$

- In intuitionistic/classical realizability
  - Conjunction is interpreted as a Cartesian product
  - Universal quantification (over predicates or sets) is interpreted as an infinitary intersection ( $\neq$  infinitary conjunction)

# The missing link

	$\wedge = \forall = \cap$	$\wedge = \times, \forall = \cap$
Int. logic	Heyting-valued models	Int. realizability
Class. logic	Boolean-valued models (Cohen forcing)	<b>Class. realizability</b>

# A cardinals' heresy in classical realizability (teaser)

- Recall that in ZFC (= ZF + AC), cardinals are well-ordered (Since they are represented by ordinals, thanks to Zermelo's Lemma)
- In *Realizability algebras II: new models of ZF + DC (2012)*, Krivine presents a classical realizability model of ZF + DC (the **model of threads**) in which we can find:

- (1) An infinite set  $S \subseteq \mathbb{R}$  which is not equipotent with  $S \times S$
- (2) Two infinite sets  $S_1, S_2 \subseteq \mathbb{R}$  such that there is **no surjection** in either direction (and thus no injection in either direction)
- (3) An infinite sequence  $(S_q)_{q \in \mathbb{Q}}$  of infinite subsets of  $\mathbb{R}$  indexed by  $\mathbb{Q}$  whose cardinals are strictly increasing (dense ordering!)

If ZF is consistent, then so is ZF + DC + (1) + (2) + (3)

- In Part 3, we shall rephrase Krivine's result in 2nd-order logic

# Plan

- 1 Introduction
- 2 Second-order logic
- 3 Adding axioms
- 4 The  $\lambda_c$ -calculus

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# The language of (minimal) second-order logic

- Second-order logic deals with two kinds of objects:
  - 1st-order objects = **individuals** (i.e. basic objects of the theory)
  - 2nd-order objects =  **$k$ -ary relations** over individuals

## First-order terms and formulas

**First-order terms**  $e, e' ::= x \mid f(e_1, \dots, e_k)$

**Formulas**  $A, B ::= X(e_1, \dots, e_k) \mid A \Rightarrow B$   
 $\mid \forall x A \mid \forall X A$

- Two kinds of variables
  - 1st-order vars:  $x, y, z, \dots$
  - 2nd-order vars:  $X, Y, Z, \dots$  of all arities  $k \geq 0$
- Two kinds of substitution:
  - 1st-order subst.:  $e\{x := e_0\}, A\{x := e_0\}$  (defined as usual)
  - 2nd-order subst.:  $A\{X := P_0\}, P\{X := P_0\}$  (postponed)

# First-order terms

- Defined from a **first-order signature**  $\Sigma$  (as usual):

## First-order terms

$$e, e' ::= x \mid f(e_1, \dots, e_k)$$

- $f$  ranges over  $k$ -ary function symbols in  $\Sigma$
- In what follows we assume that:
  - Each  $k$ -ary function symbol  $f$  is interpreted in  $\mathbb{IN}$  by a function
 
$$f^{\mathbb{IN}} : \mathbb{IN}^k \rightarrow \mathbb{IN}$$
  - The signature  $\Sigma$  contains at least a function symbol for every primitive recursive function  $(0, s, +, -, \times, /, \text{mod}, \uparrow, \dots)$ , each of them being interpreted the standard way
- Denotation (in  $\mathbb{IN}$ ) of a closed first-order term  $e$  written  $\llbracket e \rrbracket$



# Formulas

- Formulas of **minimal second-order logic**

## Formulas

$$A, B ::= X(e_1, \dots, e_k) \mid A \Rightarrow B \\ \mid \forall x A \mid \forall X A$$

only based on implication and 1st/2nd-order universal quantification

- Other connectives/quantifiers are defined (**second-order encodings**)

$$\perp \equiv \forall Z Z \quad \text{(absurdity)}$$

$$\neg A \equiv A \Rightarrow \perp \quad \text{(negation)}$$

$$A \wedge B \equiv \forall Z ((A \Rightarrow B \Rightarrow Z) \Rightarrow Z) \quad \text{(conjunction)}$$

$$A \vee B \equiv \forall Z ((A \Rightarrow Z) \Rightarrow (B \Rightarrow Z) \Rightarrow Z) \quad \text{(disjunction)}$$

$$\exists x A(x) \equiv \forall Z (\forall x (A(x) \Rightarrow Z) \Rightarrow Z) \quad \text{(1st-order } \exists \text{)}$$

$$\exists X A(X) \equiv \forall Z (\forall X (A(X) \Rightarrow Z) \Rightarrow Z) \quad \text{(2nd-order } \exists \text{)}$$

$$e_1 = e_2 \equiv \forall Z (Z(e_1) \Rightarrow Z(e_2)) \quad \text{(Leibniz equality)}$$

# Predicates

- Concrete relations are represented using **predicates** (syntactic sugar)

**Predicates**  $P, Q ::= \hat{x}_1 \cdots \hat{x}_k A_0$  (of arity  $k$ )

## Definition (Predicate application and 2nd-order substitution)

- $P(e_1, \dots, e_k)$  is the formula defined by

$$P(e_1, \dots, e_k) \equiv A_0\{x_1 := e_1, \dots, x_k := e_k\}$$

where  $P \equiv \hat{x}_1 \cdots \hat{x}_k A_0$ , and where  $e_1, \dots, e_k$  are  $k$  first-order terms

- 2nd-order substitution**  $A\{X := P\}$  (where  $X$  and  $P$  are of the same arity  $k$ ) consists to replace in the formula  $A$  every atomic sub-formula of the form

$$X(e_1, \dots, e_k) \quad \text{by the formula} \quad P(e_1, \dots, e_k)$$

- Note:** Every  $k$ -ary 2nd-order variable  $X$  can be seen as a predicate:

$$X \equiv \hat{x}_1 \cdots \hat{x}_k X(x_1, \dots, x_k)$$

# Unary predicates as sets

- Unary predicates represent **sets of individuals**

**Syntactic sugar:**  $\{x : A\} \equiv \hat{x}A, \quad e \in P \equiv P(e)$

Example: The set  $\mathbb{IN}$  of Dedekind numerals

$$\mathbb{IN} \equiv \{x : \forall Z (0 \in Z \Rightarrow \forall y (y \in Z \Rightarrow s(y) \in Z) \Rightarrow x \in Z)\}$$

- Relativized quantifications:

$$(\forall x \in P) A(x) \equiv \forall x (x \in P \Rightarrow A(x))$$

$$\begin{aligned} (\exists x \in P) A(x) &\equiv \forall Z (\forall x (x \in P \Rightarrow A(x) \Rightarrow Z) \Rightarrow Z) \\ &\Leftrightarrow \exists x (x \in P \wedge A(x)) \end{aligned}$$

- Inclusion and extensional equality:

$$P \subseteq Q \equiv \forall x (x \in P \Rightarrow x \in Q)$$

$$P = Q \equiv \forall x (x \in P \Leftrightarrow x \in Q)$$

- Set constructors:  $P \cup Q \equiv \{x : x \in P \vee x \in Q\}$  (etc.)

# A type system for second-order logic ( $\lambda_{NK2}$ )

- Represent the computational contents of classical proofs using Curry-style **proof terms**, with **call/cc** for classical logic:

$$t, u ::= x \mid \lambda x. t \mid tu \mid \mathfrak{c}$$

- Typing judgement:**  $\underbrace{x_1 : A_1, \dots, x_n : A_n}_{\text{typing context } \Gamma} \vdash t : B$

## Typing rules

$$\frac{}{\Gamma \vdash x : A} \quad (x:A) \in \Gamma$$

$$\frac{}{\Gamma \vdash \mathfrak{c} : ((A \Rightarrow B) \Rightarrow A) \Rightarrow A}$$

$$\frac{\Gamma, x : A \vdash t : B}{\Gamma \vdash \lambda x. t : A \Rightarrow B}$$

$$\frac{\Gamma \vdash t : A \Rightarrow B \quad \Gamma \vdash u : A}{\Gamma \vdash tu : B}$$

$$\frac{\Gamma \vdash t : A}{\Gamma \vdash t : \forall x A} \quad x \notin FV(\Gamma)$$

$$\frac{\Gamma \vdash t : \forall x A}{\Gamma \vdash t : A\{x := e\}}$$

$$\frac{\Gamma \vdash t : A}{\Gamma \vdash t : \forall X A} \quad X \notin FV(\Gamma)$$

$$\frac{\Gamma \vdash t : \forall X A}{\Gamma \vdash t : A\{X := P\}}$$



# Typing examples

- Intuitionistic principles:

$$\begin{aligned}
 \text{pair} &\equiv \lambda xyz. z \ x \ y & : & \forall X \forall Y (X \Rightarrow Y \Rightarrow X \wedge Y) \\
 \text{fst} &\equiv \lambda z. z (\lambda xy. x) & : & \forall X \forall Y (X \wedge Y \Rightarrow X) \\
 \text{snd} &\equiv \lambda z. z (\lambda xy. y) & : & \forall X \forall Y (X \wedge Y \Rightarrow Y) \\
 \text{refl} &\equiv \lambda z. z & : & \forall x (x = x) \\
 \text{trans} &\equiv \lambda xyz. y (x \ z) & : & \forall x \forall y \forall z (x = y \Rightarrow y = z \Rightarrow x = z)
 \end{aligned}$$

- Excluded middle, double negation elimination:

$$\begin{aligned}
 \text{left} &\equiv \lambda xuv. u \ x & : & \forall X \forall Y (X \Rightarrow X \vee Y) \\
 \text{right} &\equiv \lambda yuv. v \ y & : & \forall X \forall Y (Y \Rightarrow X \vee Y) \\
 \text{EM} &\equiv \alpha (\lambda k. \text{right} (\lambda x. k (\text{left } x))) & : & \forall X (X \vee \neg X) \\
 \text{DNE} &\equiv \lambda z. \alpha (\lambda k. z \ k) & : & \forall X (\neg \neg X \Rightarrow X)
 \end{aligned}$$

- De Morgan laws:

$$\begin{aligned}
 \lambda zy. z (\lambda x. yx) & : \exists x A(x) \Rightarrow \neg \forall x \neg A(x) \\
 \lambda zy. \alpha (\lambda k. z (\lambda x. k (y \ x))) & : \neg \forall x \neg A(x) \Rightarrow \exists x A(x)
 \end{aligned}$$

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# Adding axioms

- Defining equations of all primitive recursive functions:

$$\begin{array}{ll} \forall x (x + 0 = x) & \forall x \forall y (x + s(y) = s(x + y)) \\ \forall x (x \times 0 = 0) & \forall x \forall y (x \times s(y) = x \times y + x) \end{array} \quad (\text{etc.})$$

- Peano 3rd and 4th axioms:

$$\begin{array}{l} \text{(P3)} \quad \forall x \forall y (s(x) = s(y) \Rightarrow x = y) \\ \text{(P4)} \quad \forall x \neg(s(x) = 0) \end{array}$$

## Definition of Second-Order Logic

(in this tutorial)

SOL = System NK2  
+ Defining equations (of prim. rec. functions)  
+ Peano axioms (P3) and (P4)

- Remark:** No induction axiom!



# Induction

- **Problem:** Induction axiom is not realizable!

$$\begin{aligned} \text{Ind} &\equiv \forall x (x \in \mathbb{N}) \\ &\Leftrightarrow \forall Z [0 \in Z \Rightarrow \forall y (y \in Z \Rightarrow s(y) \in Z) \Rightarrow \forall x (x \in Z)] \end{aligned}$$

- **Solution:** Relativize all 1st-order quantifications to  $\mathbb{N}$ :

**Non-relativized**

$$\forall x A(x) \quad \rightsquigarrow$$

$$\exists x A(x) \quad \rightsquigarrow$$

$$\forall Z (\forall x (A(x) \Rightarrow Z) \Rightarrow Z)$$

**Relativized**

$$(\forall x \in \mathbb{N}) A(x)$$

$$\forall x (x \in \mathbb{N} \Rightarrow A(x))$$

$$(\exists x \in \mathbb{N}) A(x)$$

$$\forall Z (\forall x (x \in \mathbb{N} \Rightarrow A(x) \Rightarrow Z) \Rightarrow Z)$$

## Theorem

If  $\text{PA2} \vdash A$ , then  $\text{PA2} - \text{Ind} \vdash A^{\mathbb{N}}$

( $A^{\mathbb{N}} = A$  relativized to  $\mathbb{N}$ )

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# Terms, stacks and processes

- Syntax of the language parameterized by
  - A countable set  $\mathcal{K} = \{\alpha; \dots\}$  of **instructions**, containing at least the instruction  $\alpha$  (**call/cc**)
  - A countable set  $\Pi_0$  of **stack constants** (or **stack bottoms**)

## Terms, stacks and processes

<b>Terms</b>	$t, u ::= x \mid \lambda x. t \mid tu \mid \kappa \mid k_\pi$	$(\kappa \in \mathcal{K})$
<b>Stacks</b>	$\pi, \pi' ::= \alpha \mid t \cdot \pi$	$(\alpha \in \Pi_0, t \text{ closed})$
<b>Processes</b>	$p, q ::= t \star \pi$	$(t \text{ closed})$

- A  $\lambda$ -calculus with two kinds of constants:
  - Instructions  $\kappa \in \mathcal{K}$ , including  $\alpha$
  - **Continuation constants**  $k_\pi$ , one for every stack  $\pi$  (generated by  $\alpha$ )
- **Notation:**  $\Lambda, \Pi, \Lambda \star \Pi$  (sets of closed terms / stacks / processes)

# Proof-like terms

- **Proof-like term**  $\equiv$  Term containing no continuation constant

**Proof-like terms**  $t, u ::= x \mid \lambda x . t \mid tu \mid \kappa \quad (\kappa \in \mathcal{K})$

- **Idea:** All realizers coming from actual proofs are of this form, continuation constants  $k_\pi$  are treated as paraproofs
- **Notation:**  $\text{PL} \equiv$  set of closed proof-like terms
- Natural numbers encoded as proof-like terms by:

**Krivine numerals**  $\bar{n} \equiv \bar{s}^n \bar{0} \in \text{PL} \quad (n \in \mathbb{N})$

writing  $\bar{0} \equiv \lambda xy . x$  and  $\bar{s} \equiv \lambda nxy . y (nxy)$

- **Note:** Krivine numerals  $\not\equiv$  Church numerals, but  $\beta$ -equivalent

# The Krivine Abstract Machine (KAM)

(1/2)

- We assume that the set  $\Lambda \star \Pi$  comes with a preorder  $p \succ p'$  of **evaluation** satisfying the following rules:

## Krivine Abstract Machine (KAM)

**Push**

$$tu \star \pi \quad \succ \quad t \star u \cdot \pi$$

**Grab**

$$\lambda x . t \star u \cdot \pi \quad \succ \quad t\{x := u\} \star \pi$$

**Save**

$$\alpha \star u \cdot \pi \quad \succ \quad u \star k_\pi \cdot \pi$$

**Restore**

$$k_\pi \star u \cdot \pi' \quad \succ \quad u \star \pi$$

...

...

(+ reflexivity &amp; transitivity)

- Evaluation not defined but **axiomatized**. The preorder  $p \succ p'$  is another parameter of the calculus, just like the sets  $\mathcal{K}$  and  $\Pi_0$
- Extensible machinery**: can add extra instructions and rules (We shall see examples later)

## The Krivine Abstract Machine (KAM)

(2/2)

- Rules **Push** and **Grab** implement **weak head  $\beta$ -reduction**:

$$\begin{array}{l} \text{Push} \\ \text{Grab} \end{array} \quad \begin{array}{l} tu \star \pi \quad \succ \quad t \star u \cdot \pi \\ \lambda x . t \star u \cdot \pi \quad \succ \quad t\{x := u\} \star \pi \end{array}$$

- Example:  $(\lambda xy . t) uv \star \pi \quad \succ \quad \lambda xy . t \star u \cdot v \cdot \pi$   
 $\quad \quad \quad \succ \quad t\{x := u\}\{y := v\} \star \pi$

- Rules **Save** and **Restore** implement **backtracking**:

$$\begin{array}{l} \text{Save} \\ \text{Restore} \end{array} \quad \begin{array}{l} \alpha \star u \cdot \pi \quad \succ \quad u \star k_\pi \cdot \pi \\ k_\pi \star u \cdot \pi' \quad \succ \quad u \star \pi \end{array}$$

- Instruction  $\alpha$  creates continuation constants  $k_\pi$ .  
Most often used in the pattern

$$\alpha(\lambda k . t) \star \pi \quad \succ \quad \dots \quad \succ \quad t\{k := k_\pi\} \star \pi$$

- Continuation constant  $k_\pi$  restores the saved context  $\pi$

# Example of extra instructions

- The instruction **quote**

$$\text{quote} \star t \cdot u \cdot \pi \succ u \star \overline{[t]} \cdot \pi$$

where  $t \mapsto [t]$  is a fixed bijection from  $\Lambda$  to  $\mathbb{N}$

- Useful to realize the **Axiom of Dependent Choices** (DC) [Krivine 03]
- The instruction **eq**

$$\text{eq} \star t_1 \cdot t_2 \cdot u \cdot v \cdot \pi \succ \begin{cases} u \star \pi & \text{if } t_1 \equiv t_2 \\ v \star \pi & \text{if } t_1 \not\equiv t_2 \end{cases}$$

- Tests syntactic equality  $t_1 \equiv t_2$
- Can be implemented using quote
- The instruction **⋈** ('fork')

$$\text{⋈} \star u \cdot v \cdot \pi \succ \begin{cases} u \star \pi \\ v \star \pi \end{cases}$$

- Non-deterministic choice operator**
- Useful for pedagogy – bad for realizability (collapses to forcing)