

ON GÖDEL'S PROOF THAT $V=L$ IMPLIES THE
 GENERALIZED CONTINUUM HYPOTHESIS

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Chapter VIII, p. 53-61 of Gödel's book "*The consistency of the axiom of choice and of the generalized continuum hypothesis with the axioms of set theory*," Princeton, Third printing, 1953, is devoted to the derivation of the generalized continuum hypothesis from $V=L$ and the axioms of Σ . It is perhaps the most strenuous part of the book. While retaining most of the ideas and steps of Gödel's proof we present here a shorter version of this proof involving some simplifications.

We use the results, notations and numberings of Gödel's book up to 11.7 page 52.

11.8 Dfn $\langle yx \rangle \in \text{As.} \equiv y \in x \cdot (z)[\text{Od}'z < \text{Od}'y \cdot \supset \cdot \sim z \in x] \cdot \mathfrak{R}el(\text{As}).$

$\text{As}'x$ is what may be called the "designated" element of x .

11.81 Dfn $C'\alpha = \text{Od}'[\text{As}'(F'\alpha)] \cdot C \mathfrak{I}n \text{ On.}$

11.82 Dfn $C_1'\alpha = \text{Od}'[\text{As}'(F'\alpha - \{F'C'\alpha\})] \cdot C_1 \mathfrak{I}n \text{ On.}$

$C'\alpha$ is the order of the designated element of $F'\alpha$. $C_1'\alpha$ is the order of the "next designated" element of $F'\alpha$.

12.1 Dfn If $m \subset \text{On}$ and m is closed with respect to C, C_1, K_1, K_2 and with respect to J_0, \dots, J_8 as triadic relations, define recursively a function H on On as follows:

$$\eta \in \mathfrak{X}(J_0) \cdot \supset \cdot H'\eta = H''(m\eta)$$

$$\eta = J_i' \langle \beta\gamma \rangle \cdot \supset \cdot H'\eta = \mathfrak{F}_i(H'\beta, H'\gamma) \quad \text{for } i = 1, \dots, 8.$$

12.11. If $\eta \in m$, then every element x of $H'\eta$ is of the form $H'\alpha$ with $\alpha \in m\eta$.

Proof. If $\eta \in \mathfrak{X}(J_0)$ then $x \in H''(m\eta)$ and the statement is evident. If $\eta = J_1' \langle \beta\gamma \rangle$ then, by the closure properties of m w.r. to K_1, K_2 and by 9.25 we have $\beta, \gamma \in m\eta$. Then $x = H'\beta$ or $H'\gamma$. If $\eta = J_i' \langle \beta\gamma \rangle$, $i = 2, \dots, 8$, then again $\beta \in m\eta$. We have $x \in H'\beta$ and the proof follows by induction.

12.12. If m satisfies the conditions of Dfn. 12.1 then $\alpha \in m \cdot \supset \cdot \text{Od}'F'\alpha \in m$.

For, by the closure property of m w.r. to J_1 we have $\{F'\alpha\} = F'\alpha_1$ with $\alpha_1 = J_1'\langle\alpha\alpha\rangle \in m$. Put $\alpha' = \text{Od}'F'\alpha$. Then $\alpha' = \text{Od}'[As'\{F'\alpha\}] = C'\alpha_1 \in m$, by the closure property of m w.r. to C .

- 12.2 1) $F'\alpha \in F'\eta \cdot \equiv \cdot H'\alpha \in H'\eta$ for $\eta \in m, \alpha \in m\eta$.
 2) $F'\alpha = F'\eta \cdot \equiv \cdot H'\alpha = H'\eta$ for $\eta \in m, \alpha \in m\eta$.

The proof is by induction on η i.e. we prove 12.2 under the hypotheses

- I) $F'\alpha \in F'\beta \cdot \equiv \cdot H'\alpha \in H'\beta$ for $\beta \in m\eta, \alpha \in m\beta$.
 II) $F'\alpha = F'\beta \cdot \equiv \cdot H'\alpha = H'\beta$ for $\beta \in m\eta, \alpha \in m\beta$.

Observe that I) and II) imply

- I') $F'\alpha \in F'\beta \cdot \equiv \cdot H'\alpha \in H'\beta$ for $\alpha, \beta \in m\eta$
 II') $F'\alpha = F'\beta \cdot \equiv \cdot H'\alpha = H'\beta$ for $\alpha, \beta \in m\eta$.

II') is the same as II) by the symmetry of equality. To prove I') suppose $F'\alpha \in F'\beta$, then writing $\alpha' = \text{Od}'F'\alpha$ we have $F'\alpha' = F'\alpha \in F'\beta$. By 12.12 and 9.52, $\alpha' \in m\beta$. Then, by II'), $H'\alpha' = H'\alpha$, and by I), $H'\alpha' \in H'\beta$. Hence $H'\alpha \in H'\beta$. Next suppose $H'\alpha \in H'\beta$, then, by 12.11 there is an $\alpha' \in m\beta$ such that $H'\alpha' = H'\alpha$. We conclude as before $F'\alpha \in F'\beta$.

12.21 Let $\eta = J_i'\langle\beta\gamma\rangle$, $i = 1, \dots, 8$, $\eta \in m$. Under I), II), if $F'\alpha = F'\alpha'$ with $\alpha' \in m\beta$ [or $\alpha' \in m\gamma$] and if $F'\alpha$ is an ordered pair or an ordered triple, then, respectively, $F'\alpha = \langle F'\lambda F'\mu \rangle$ and $H'\alpha = \langle H'\lambda H'\mu \rangle$, or $F'\alpha = \langle F'\lambda F'\mu F'\nu \rangle$ and $H'\alpha = \langle H'\lambda H'\mu H'\nu \rangle$ with $\lambda, \mu, \nu \in m\alpha'$.-- There is a similar statement if in the hypothesis F is replaced by H .

Proof. By II') we have $H'\alpha = H'\alpha'$. Suppose $F'\alpha' = \{\{F'\lambda_1\}\{F'\lambda_1 F'\mu_1\}\}$. Put $\alpha_1 = \text{Od}'\{F'\lambda_1\}$, $\alpha_2 = \text{Od}'\{F'\lambda_1 F'\mu_1\}$, $\lambda = \text{Od}'F'\lambda_1$, $\mu = \text{Od}'F'\mu_1$. By the closure properties of m w.r. to C, C_1 , we get successively $\alpha_1, \alpha_2 \in m, \lambda, \mu \in m$. By 9.52 we have $\lambda < \alpha_1 < \alpha' < \beta$ [or $< \gamma$]; $\lambda, \mu < \alpha_2 < \alpha' < \beta$ [or $< \gamma$]. But $F'\alpha' = \{F'\alpha_1 F'\alpha_2\} = F'J_1'\langle\alpha_1\alpha_2\rangle$. Since $J_1'\langle\alpha_1\alpha_2\rangle < J_i'\langle\beta\gamma\rangle = \eta$ we have, by II'), $H'\alpha' = H'J_1'\langle\alpha_1\alpha_2\rangle = \{H'\alpha_1 H'\alpha_2\}$. Also $F'\alpha_2 = F'J_1'\langle\lambda\mu\rangle$. Since $J_1'\langle\lambda\mu\rangle < J_i'\langle\beta\gamma\rangle = \eta$, we have again, by II') $H'\alpha_2 = H'J_1'\langle\lambda\mu\rangle = \{H'\lambda H'\mu\}$ and similarly $H'\alpha_1 = \{H'\lambda\}$. This gives $F'\alpha' = \langle F'\lambda F'\mu \rangle$ and $H'\alpha' = \langle H'\lambda H'\mu \rangle$. Suppose next that $F'\alpha'$ is an ordered triple. Then $F'\mu$ is an ordered pair; since $\mu \in m\beta$, [or $\mu \in m\gamma$], we may write $F'\mu = \langle F'\mu' F'\nu' \rangle$, $H'\mu = \langle H'\mu' H'\nu' \rangle$, where $\mu', \nu' \in m\mu \subset m\alpha'$, and the required forms for $F'\alpha'$, $H'\alpha'$ follow. If the starting hypotheses concern H instead of F the treatment is similar but simpler we use 12.11 instead of Od' and 9.52.

We now prove 12.2 1) under I'), II'). We have different cases.

1.- $\eta \in \mathfrak{R}(J_0)$. We must show that $H'\alpha \in H''(m\eta) \equiv \cdot F'\alpha \in F''\eta$. The equivalence holds for the two terms are true.

2.- $\eta \in \mathfrak{R}(J_1)$. Then $\eta = J_1'\langle\beta\gamma\rangle$ where $\beta, \gamma \in m$, by the closure properties of m and $\beta\gamma < \eta$, by 9.25. Also $F'\eta = \{F'\beta F'\gamma\}$ and $H'\eta = \{H'\beta H'\gamma\}$. Now $H'\alpha \in H'\eta \cdot \equiv \cdot H'\alpha = H'\beta \vee H'\alpha = H'\gamma$. By II') the r.h.s. is equivalent to $F'\alpha = F'\beta \vee F'\alpha = F'\gamma$, and therefore equivalent to $F'\alpha \in F'\eta$.

3.- If $\eta \in \mathfrak{X}(J_2)$ then we have as before $\eta = J_2' \langle \beta\gamma \rangle, \beta, \gamma \in m\eta$. By 9.32, $F'\eta = F'\beta \cdot E, H'\eta = H'\beta \cdot E$. Now $F'\alpha \in F'\beta \cdot \equiv \cdot H'\alpha \in H'\beta$, by I'). Also, by 12.21, if $F'\alpha$ is an ordered pair then $F'\alpha = \langle F'\lambda F'\mu \rangle, H'\alpha = \langle H'\lambda H'\mu \rangle$, with $\lambda, \mu \in m\alpha$. If $F'\alpha \in E$ then $F'\lambda \in F'\mu$, so that, by I'), $H'\lambda \in H'\mu$, hence $H'\alpha \in E$, and the same if $H'\alpha$ is an ordered pair. Hence $H'\alpha \in H'\eta \cdot \equiv \cdot F'\alpha \in F'\eta$.

4.- If $\eta \in \mathfrak{X}(J_3)$ we get in the same fashion, by 9.33 $F'\eta = F'\beta - F'\gamma, H'\eta = H'\beta - H'\gamma$, with $\beta, \gamma \in m\eta$. Assume $F'\alpha \in F'\eta$ and I') applied to $F'\alpha$ with $F'\beta$ and $F'\gamma$ gives $H'\alpha \in H'\eta$. Assume $H'\alpha \in H'\eta$, we get in the same way $F'\alpha \in F'\eta$.

5.- Suppose $\eta \in \mathfrak{X}(J_4)$. As above $\eta = J_4' \langle \beta\gamma \rangle$, with $\beta, \gamma \in m\eta$, and $F'\eta = F'\beta \cdot V \times F'\gamma, H'\eta = H'\beta \cdot V \times H'\gamma$. Assume first that $F'\alpha \in F'\eta$, that is $F'\alpha \in F'\beta \cdot V \times F'\gamma$. By I') $H'\alpha \in H'\beta$. Now $F'\alpha$ being an ordered pair we have, by 12.21, $F'\alpha = \langle F'\lambda F'\mu \rangle, H'\alpha = \langle H'\lambda H'\mu \rangle$, with $\lambda, \mu \in m\alpha$. Since $F'\mu \in F'\gamma$, we get by I'), $H'\mu \in H'\gamma$. Hence $H'\alpha \in V \times H'\gamma$, and finally $H'\alpha \in H'\eta$. If $H'\alpha \in H'\eta$ we get in the same way $F'\alpha \in F'\eta$.

6.- Suppose $\eta \in \mathfrak{X}(J_5)$. As above $\eta = J_5' \langle \beta\gamma \rangle$, with $\beta, \gamma \in m\eta$, and $F'\eta = F'\beta \cdot \mathfrak{D}(F'\gamma), H'\eta = H'\beta \cdot \mathfrak{D}(H'\gamma)$. Assume $F'\alpha \in F'\eta$. Then $F'\alpha \in F'\beta$, so that, by I'), $H'\alpha \in H'\beta$. Put $\alpha_1 = J_1' \langle \alpha \alpha \rangle$. Then $\alpha_1 \in m, F'\alpha_1 = \{F'\alpha\}, H'(\alpha_1) = \{H'\alpha\}$. Consider the set $F'\gamma \cdot V \times \{F'\alpha\} = F'\alpha_2$, with $\alpha_2 = J_4' \langle \gamma \alpha_1 \rangle \in m$. $F'\alpha_2$ is not empty, since $F'\alpha \in \mathfrak{D}(F'\gamma)$. Hence, putting $\alpha' = C'\alpha_2$ we have $F'\alpha' \in F'\gamma$ and $\alpha' \in m\gamma$. By 12.21 we may write $F'\alpha' = \langle F'\lambda' F'\mu' \rangle, H'\alpha' = \langle H'\lambda' H'\mu' \rangle$, with $\mu' \in m\alpha'$. Also since $F'\alpha' \in F'\alpha_2$ we have $F'\mu' = F'\alpha$, so that, by II') $H'\mu' = H'\alpha$. By I'), $H'\alpha' \in H'\gamma$. Hence $H'\alpha' \in H'\gamma \cdot V \times \{H'\alpha\}$. This means $H'\alpha \in \mathfrak{D}(H'\gamma)$. Finally $H'\alpha \in H'\eta$. If $H'\alpha \in H'\eta$ we get in the same way $F'\alpha \in F'\eta$.

7.- $\eta \in \mathfrak{X}(J_i), i = 6, 7, 8$. Consider e.g. $i = 7$. As above $\eta = J_7' \langle \beta\gamma \rangle$, with $\beta, \gamma \in m\eta$ and $F'\eta = F'\beta \cdot \mathfrak{Cnb}_2(F'\gamma), H'\eta = H'\beta \cdot \mathfrak{Cnb}_2(H'\gamma)$. Assume $F'\alpha \in F'\eta$, that is $F'\alpha \in F'\beta, F'\alpha \in \mathfrak{Cnb}_2(F'\gamma)$. By I'): $H'\alpha \in H'\beta$. Now $F'\alpha$ being an ordered triple we have by 12.21: $F'\alpha = \langle F'\lambda F'\mu F'\nu \rangle, H'\alpha = \langle H'\lambda H'\mu H'\nu \rangle$ with $\lambda, \mu, \nu \in m\alpha$ and $\langle F'\mu F'\nu F'\lambda \rangle \in F'\gamma$ by 4.41. Put $\alpha' = \text{Od}' \langle F'\mu F'\nu F'\lambda \rangle$. By the closure properties of m and by 12.12 we have $\alpha' \in m$. Also, since $F'\alpha' \in F'\gamma$ we have $\alpha' \in \gamma$. Then, by 12.21 there are ordinals $\lambda', \mu', \nu' \in m\alpha'$ such that $F'\alpha' = \langle F'\lambda' F'\mu' F'\nu' \rangle, H'\alpha' = \langle H'\lambda' H'\mu' H'\nu' \rangle$. Since $F'\mu = F'\lambda', F'\nu = F'\mu', F'\lambda = F'\nu'$ we have by II') $H'\mu = H'\lambda', H'\nu = H'\mu', H'\lambda = H'\nu'$, and since $F'\alpha' \in F'\gamma$ we have by I') $H'\alpha' \in H'\gamma$. This is $\langle H'\mu H'\nu H'\lambda \rangle \in H'\gamma$, i.e. $H'\alpha \in \mathfrak{Cnb}_2(H'\gamma)$. Finally $H'\alpha \in H'\eta$. If we assume $H'\alpha \in H'\eta$ we get in the same way $F'\alpha \in F'\eta$. This completes the proof of 12.2. 1).

To conclude the proof of 12.2 we show that 2) is a consequence of 1) and I'). For suppose that $F'\alpha \neq F'\eta$. Then either $F'\eta - F'\alpha \neq O$, or $F'\alpha - F'\eta \neq O$. If $F'\eta - F'\alpha \neq O$, put $\alpha' = C'J_3' \langle \eta \alpha \rangle$. Then $\alpha' \in m$ by the closure properties of m w.r. to J_3 and C . Also $F'\alpha' \in F'J_3' \langle \eta \alpha \rangle = F'\eta - F'\alpha$, i.e. $F'\alpha' \in F'\eta, \sim (F'\alpha' \in F'\alpha)$. Hence $\alpha' \in m\eta$ by 9.52. We conclude by 1) $H'\alpha' \in H'\eta$ and by I') $\sim (H'\alpha' \in H'\alpha)$. Hence $H'\eta - H'\alpha \neq O$. If $F'\alpha - F'\eta \neq O$ we prove in the same way $H'\alpha - H'\eta \neq O$. Next suppose $H'\eta \neq H'\alpha$, for example $H'\eta - H'\alpha = H'J_3' \langle \eta \alpha \rangle \neq O$. Then, by 12.11 there is an $\alpha' \in m J_3' \langle \eta \alpha \rangle$ such that

$H'\alpha'\epsilon H'\eta, \sim(H'\alpha'\epsilon H'\alpha)$. By 12.11 we may suppose $\alpha'\epsilon m\eta$ and we conclude as before $F'\eta - F'\alpha \neq O$.

12.3 If G is an isomorphism from m to an ordinal o with respect to E , then $H'\eta = F'G'\eta$ for $\eta \epsilon m$.

Proof. By the definition of an isomorphism w.r. to E we have $\alpha\epsilon\beta \equiv G'\alpha\epsilon G'\beta$, for $\alpha, \beta \epsilon m$. Hence, for $\alpha, \beta, \gamma, \delta \epsilon m$, by definition 7.8, $\langle \alpha\beta \rangle \text{Le} \langle \gamma\delta \rangle \cdot \equiv \cdot \langle G'\alpha G'\beta \rangle \text{Le} \langle G'\gamma G'\delta \rangle$. Likewise, by definition 7.81 $\langle \alpha\beta \rangle \text{R} \langle \gamma\delta \rangle \cdot \equiv \cdot \langle G'\alpha G'\beta \rangle \text{R} \langle G'\gamma G'\delta \rangle$. It follows then by definition 9.2 that $\langle k\alpha\beta \rangle \text{S} \langle i\gamma\delta \rangle \cdot \equiv \cdot \langle kG'\alpha G'\beta \rangle \text{S} \langle iG'\gamma G'\delta \rangle$, for $i, k = 0, 1, \dots, 8$. Hence, for $\alpha, \beta, \gamma, \delta \epsilon m, i, k = 0, 1, \dots, 8$:

$$(1) \quad J_k' \langle \alpha\beta \rangle \epsilon J_i' \langle \gamma\delta \rangle \cdot \equiv \cdot J_k' \langle G'\alpha G'\beta \rangle \epsilon J_i' \langle G'\gamma G'\delta \rangle ,$$

and by the closure properties of m , (1) holds for $J_k' \langle \alpha\beta \rangle, J_i' \langle \gamma\delta \rangle \epsilon m$. We now prove that

$$(2) \quad \eta \epsilon m, \eta = J_i' \langle \gamma\delta \rangle \cdot \supset \cdot G'\eta = J_i' \langle G'\gamma G'\delta \rangle ,$$

under the induction hypothesis

$$(3) \quad \eta' \epsilon m\eta, \eta' = J_k' \langle \alpha\beta \rangle \cdot \supset \cdot G'\eta' = J_k' \langle G'\alpha G'\beta \rangle .$$

So suppose first that $J_i' \langle G'\gamma G'\delta \rangle \epsilon G'\eta$. Since G is an isomorphism of m , then $J_i' \langle G'\gamma G'\delta \rangle = G'\eta'$, with $\eta' \epsilon m\eta$. Let $\eta' = J_k' \langle \alpha\beta \rangle$. Then by (3) and by (1) $G'\eta' = J_k' \langle G'\alpha G'\beta \rangle \epsilon J_i' \langle G'\gamma G'\delta \rangle (= G'\eta')$, against 1.6. Suppose next that $G'\eta \epsilon J_i' \langle G'\gamma G'\delta \rangle$. Let $G'\eta = J_k' \langle \alpha'\beta' \rangle$. By 9.25 $\alpha', \beta' \leq G'\eta$; hence $\alpha' = G'\alpha, \beta' = G'\beta$, with $\alpha, \beta \epsilon m$. Then $J_k' \langle G'\alpha G'\beta \rangle = G'\eta \epsilon J_i' \langle G'\gamma G'\delta \rangle$. By (1), $J_k' \langle \alpha\beta \rangle \epsilon J_i' \langle \gamma\delta \rangle (= \eta)$. Hence $G'J_k' \langle \alpha\beta \rangle \epsilon G'\eta (*)$, and by (3) $G'J_k' \langle \alpha\beta \rangle = J_k' \langle G'\alpha G'\beta \rangle (= G'\eta)$. This contradicts (*). Hence (2) is proved.

We now prove 12.3 by induction on η . If $\eta \epsilon \mathfrak{X}(J_0)$, then $H'\eta = H''(m\eta)$. Also, by (2) $G'\eta \epsilon \mathfrak{X}(J_0)$, so that $F'G'\eta = F''G'\eta = F'''G'(m\eta)$. By the induction hypothesis this last is $H''(m\eta)$. If $\eta = J_i' \langle \beta\gamma \rangle, i = 1, \dots, 8$, then $\beta, \gamma \epsilon m\eta$. By the induction hypothesis and (2) $H'\eta = \mathfrak{F}_i(H'\beta H'\gamma) = \mathfrak{F}_i(F'G'\beta F'G'\gamma) = F'J_i' \langle G'\beta G'\gamma \rangle = F'G'J_i' \langle \beta\gamma \rangle = F'G'\eta$.

$$12.4 \quad \overline{F''\omega_\alpha} = \omega_\alpha \quad (\text{Gödel 12.1})$$

Proof. $\overline{F''\omega_\alpha} \leq \overline{\omega_\alpha} = \omega_\alpha$, by 8.31. On the other hand, there exists a subset of ω_α , namely $\omega_\alpha \cdot \mathfrak{X}(J_0)$, such that the values of F over this subset are all different, since if $\gamma \neq \delta$ and $\gamma, \delta \epsilon \omega_\alpha \cdot \mathfrak{X}(J_0)$, assume $\gamma < \delta$, then $F'\gamma \epsilon F'\delta$, by 9.3, so that $F'\gamma \neq F'\delta$. But $\omega_\alpha \cdot \mathfrak{X}(J_0) \supseteq \omega_\alpha$, because $J_0''(\omega_\alpha^2) \subseteq \omega_\alpha \cdot \mathfrak{X}(J_0)$, by 9.26 and J_0 is one-to-one. Hence $\overline{F''\omega_\alpha} \supseteq \omega_\alpha$.

By 12.4 the generalized continuum hypothesis follows immediately from the following theorem:

$$12.5 \quad \mathfrak{P}(F''\omega_\alpha) \subset F''\omega_{\alpha+1} \quad (\text{Gödel 12.2}).$$

This theorem is proved as follows. Consider $u \epsilon \mathfrak{P}(F''\omega_\alpha)$, that is $u \subset F''\omega_\alpha$. By $V=L$ there is a δ such that $u = F'\delta$; form the closure of the set $\omega_\alpha + \{\delta\}$ w.r. to C, C_1, K_1, K_2 and w.r. to the $J_i, i = 0, 1, \dots, 8$, as triadic

relations, according to 8.73 and let the closure be denoted by m . Now by 8.73 m is a set and $\bar{m} = \omega_\alpha$. m is a set of ordinals, hence m is well-ordered by E by 7.161 and is isomorphic to some ordinal o by 7.7. Let the isomorphism be denoted by G, so that $G''m = o$. Hence $\bar{o} = \bar{m} = \omega_\alpha$. By 12.3, since $\delta \in m$, we have $H'\delta = F'G'\delta$, so that $\text{Od}'(H'\delta) \leq G'\delta < \omega_{\alpha+1}$. Now $\omega_\alpha \subseteq m$ and by 12.1, $F'\beta = H'\beta$ for $\beta \in \omega_\alpha$. We may suppose $\delta \geq \omega_{\alpha+1}$, otherwise there is nothing to prove. Then by 12.2, for $\beta \in \omega_\alpha$: $F'\beta \in F'\delta \cdot \equiv \cdot H'\beta \in H'\delta$. Hence $F'\delta$ and $H'\delta$ have exactly the same elements with $F''\omega$ in common, i.e. $F'\delta \cdot F''\omega_\alpha = H'\delta F''\omega_\alpha$; but $u = F'\delta \subseteq F''\omega_\alpha$ by assumption, therefore $F'\delta = H'\delta F''\omega_\alpha$. Also $\omega_\alpha \in \mathfrak{X}(J_0)$, by 9.27, therefore, by 9.35 $F''\omega_\alpha = F'\omega_\alpha$; hence $F'\delta = H'\delta F'\omega_\alpha$. Therefore, by 9.611, $\text{Od}'u < \omega_{\alpha+1}$, in other words $u \in F''\omega_{\alpha+1}$, q.e.d.

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