

LIE ALGEBRAS IN WHICH EVERY FINITELY GENERATED SUBALGEBRA IS A SUBIDEAL

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1. Introduction.

1.1. We prove that: *To every positive integer n there exist positive integers $\lambda_1(n)$ and $\lambda_2(n)$ such that every Lie algebra all of whose $\lambda_2(n)$ -generator subalgebras are n -step subideals is nilpotent of class $\leq \lambda_1(n)$.*

This result is the Lie theoretic analogue of that by Roseblade [4]. We leave unanswered the question of whether or not we can replace $\lambda_2(n)$ by n . However we give an example which shows that if $\lambda_2(n)$ is replaced by $n - 2$, then the result is false.

1.2. **Notation.** All Lie algebras considered in this paper (unless otherwise specified) will have finite or infinite dimension over a fixed (but arbitrary) field k .

We employ the notation of [3] and [5].

Let L be a Lie algebra and H a subspace of L . By $H \leq L$, $H \triangleleft L$, $H \text{ si } L$, $H \triangleleft^m L$ we shall mean (respectively) that H is a subalgebra, an ideal, *subideal* (in the sense of Hartley [3] p. 257), and m -step subideal of L .

Square brackets $[,]$ will denote Lie multiplication and triangular brackets \langle , \rangle will denote the subalgebra generated by their contents. If A, B are subsets of L , then $[A, B]$ is the subspace spanned by all $[a, b]$ with $a \in A, b \in B$; and inductively, $[A, {}_0B] = A$ and $[A, {}_nB] = [[A, {}_{n-1}B], B] (n > 0)$. We let $\langle A^B \rangle$ be the smallest subalgebra of L containing A and invariant under Lie multiplication by the elements of B . If A, B are subspaces we define $A \circ B = \langle [A, B]^C \rangle$, where $C = \langle A, B \rangle$; and inductively $A \circ_1 B = A \circ B$, $A \circ_{n+1} B = (A \circ_n B) \circ B$; and $A + B$ is the vector space spanned by A and B .

$L^{(n)}, L^n, Z_n(L)$ denote respectively the n -th terms of the derived series, lower central series and upper central series of L . Inductively we define $L^{(0)} = L$, $L^{(n)} = [L^{(n-1)}, L^{(n-1)}]$, $L^1 = L$, $L^{n+1} = [L^n, L]$, $Z_0(L) = 0$, $Z_n(L)/Z_{n-1}(L) = Z(L/Z_{n-1}(L)) (n > 0)$ where $Z(L) = \text{centre of } L = \{x \in L \mid [x, L] = 0\}$.

If $H \leq L$, then the ideal closure series of H in L ,

$$\dots H_i \triangleleft H_{i-1} \triangleleft \dots \triangleleft H_0 = L ,$$

is defined inductively by $H_0 = L$, $H_{i+1} = \langle H^{H^i} \rangle$. Evidently $H \triangleleft^n L$ if and only if $H = H_n$.

By a *class X of Lie algebras* (over k) we shall mean a class (in the usual sense) whose elements are Lie algebras and such that $(0) \in X$, and if $H \cong K$ with $K \in X$, then $H \in X$. (0) is the 0-dimensional Lie algebra. A *closure operation A* assigns to each class X another class AX in such a way that $A(0) = (0)$, $X \subseteq AX$, $A(AX) = AX$, and if $X \subseteq Y$ then $AX \subseteq AY$ (here (0) is the class consisting only of the 0-dimensional Lie algebra; \subseteq denotes inclusion of classes). If X, Y are classes then XY is the class of all L with an X -ideal H such that $L/H \in Y$. We define the product of n classes by $X_1 \cdots X_n = (X_1 \cdots X_{n-1})X_n$; and if each $X_i = X$ we write X^n . If X is a class and A a closure operation we say X is *A-closed* if $X = AX$.

We shall need the following classes.

$$F, F_m, G, G_r, A, N, N_c$$

will denote the classes of finite dimensional, finite dimensional of dimension $\leq m$, finitely generated, finitely generated by $\leq r$ elements, abelian, nilpotent, nilpotent of class $\leq c$, Lie algebras respectively. We also let

$$\begin{aligned} D &= \{L \mid \text{every subalgebra of } L \text{ is a subideal}\}, \\ D_n &= \{L \mid H \leq L \implies H \triangleleft^n L\}, \\ D_{n,r} &= \{L \mid H \leq L \text{ and } H \in G_r \implies H \triangleleft^n L\}, \\ X_n^* &= \{L \mid H \leq L \text{ and } H \in G_n \implies \langle H^L \rangle^n \leq H\}, \\ B &= \{L \mid x \in L \implies \langle x \rangle \text{ si } L\}. \end{aligned}$$

Evidently

$$(1) \quad \begin{aligned} D_n &\leq D_{n,r} \leq D_{n,1} \leq B, \\ D_n &\leq D \leq B, \\ X_n^* &\leq B. \end{aligned}$$

The closure operations we need are S, I, Q, E, L defined as follows; $L \in SX \iff L$ is isomorphic to a subalgebra of an X -algebra; $L \in IX \iff L$ is isomorphic to an ideal of an X -algebra; $L \in QX \iff L$ is isomorphic to a quotient of an X -algebra; $L \in EX \iff L \in X^n$ for some n ; $L \in LX \iff$ every finite subset of L is contained in an X -subalgebra of L . We call LX is the class of locally X -algebras.

Thus EA is the class of soluble Lie algebras, A^d is the class of Lie algebras soluble of derived length $\leq d$, and LN is the class of locally nilpotent Lie algebras.

$$(2) \quad \text{Clearly every class in (1) is } Q\text{-closed and } S\text{-closed.}$$

We call B the class of *Baer algebras* (this extends the definition of Hartley [3]); we will show that

$$B \leq LN.$$

2. The class B . The main result of this section is

THEOREM 2.1. $B \leq LN$.

COROLLARY 2.11. *The classes D , D_n , $D_{n,r}$ and X_n^* are all contained in the class LN of locally nilpotent Lie algebras.*

The inequality in 2.1 is strict as is well known. The special case of the result in characteristic zero follows from the fact that B is the class of Baer algebras in the sense of Hartley [3]. We remark also that in characteristic $p > 0$, a Lie algebra generated by 1-dimensional subideals need not be locally nilpotent (see Amayo [2]); but by Hartley [3], in characteristic zero, it is locally nilpotent.

What makes 2.1 possible is the following result.

THEOREM 2.2. (The Derived Join Theorem) *In any Lie algebra, the join of finitely many soluble subideals is soluble.*

PROOF. See Amayo [1].

We need two more results.

LEMMA 2.3. *Suppose that $L \in A^2$, $x \in L$ and $[L^2, {}_n x] = 0$. Then $\langle x^L \rangle \in N_n$.*

PROOF. Let $B = L^2$, so that $B^2 = 0$ and $B \triangleleft L$. Evidently $\langle x^L \rangle \leq \langle x \rangle + B$. A simple induction on r yields

$$(\langle x \rangle + B)^{r+1} = [B, {}_r x].$$

In particular

$$(\langle x \rangle + B)^{n+1} = [B, {}_n x] = 0.$$

If in 2.3, $[L, {}_n x] = 0$, then it is easy to show that $\langle x^L \rangle \in N_m$, where $m = \max\{1, n-1\}$. Clearly if $X = \langle x \rangle \triangleleft^n L$, then $[L, {}_n x] = 0$ or else $x \in L^2$. Thus we have

COROLLARY 2.31. *If $L \in A^2$, $x \in L$ and $\langle x \rangle \triangleleft^n L$, then*

$$\langle x^L \rangle \in N_n.$$

THEOREM 2.4. (Stewart [5]) *Let L be a Lie algebra and $H \triangleleft L$ such that $H \in N_c$ and $L/H^2 \in N_d$. Then*

$$L \in N_{\mu_1(c,d)},$$

where $\mu_1(c, d) = cd + (c - 1)(d - 1)$.

PROOF OF THEOREM 2.1. Let $L \in \mathbf{B}$ and $X = \langle x_1, \dots, x_n \rangle \leq L$. Then by (2), $X \in \mathbf{B}$. Each $\langle x_i \rangle$ si L and so X is the join of n abelian subideals. By the Derived Join Theorem (2.2) $X \in A^d$ for some d . So

$$X \in G \cap A^d \cap B.$$

We use induction on d to show that $X \in N$. If $d \leq 2$, then by 2.31 $\langle x_i^X \rangle \in N$ for each i . Thus $X = \langle x_1^X \rangle + \dots + \langle x_n^X \rangle$, a sum of finitely many nilpotent ideals and so (by Hartley [3] p. 261) X is nilpotent.

Let $d > 2$ and assume inductively that

$$G \cap A^{d-1} \cap B \leq N.$$

Since by (2) B is Q -closed, we have $X/X^{(d-1)} \in G \cap A^{d-1} \cap B \leq G \cap N$, by induction. Now by Lemma 3.3.5 of Stewart [5], we know that $G \cap N \leq F \cap N$. Thus if $B = X^{(d-2)}$ and $A = X^{(d-1)}$ then $B^2 = A$, $A^2 = 0$ and $X/A \in G \cap N \leq F \cap N$. Hence $B/A \in F$. So we can find $y_1, \dots, y_r \in B$ such that

$$B = \langle y_1, \dots, y_r \rangle + A.$$

But each $\langle y_i \rangle$ si B (for $X \in B$ implies that $B \in B$) and $B \in A^2$ and so by 2.31, $\langle y_i^B \rangle \in N$. Thus

$$B = \langle y_1^B \rangle + \dots + \langle y_r^B \rangle + A,$$

a sum of finitely many nilpotent ideals, so B is nilpotent. But X/A is nilpotent and $B^2 = A$ and $B \triangleleft X$ and so by 2.4, X is nilpotent.

This completes our induction on d and with it the proof of Theorem 2.1.

From Stewart [5] we have

$$\text{LEMMA 2.5.} \quad G_r \cap N_c \leq F_{\mu_2(c, r)},$$

where for $r > 1$, $\mu_2(c, r) = (r^{c+1} - 1)/(r - 1)$.

And from Hartley [3] and Stewart [5],

LEMMA 2.6. *If $L \in LN$ and M is a minimal ideal of L then $M \leq Z_1(L)$, the centre of L . In particular if $L \in LN$ and Y is an F_k -ideal of L then $Y \leq Z_k(L)$.*

3. The main theorem. We will prove

THEOREM 3.1. *To every positive integer n there correspond positive integers $\lambda_1(n)$ and $\lambda_2(n)$, depending only on n , such that*

$$D_{n, \lambda_2(n)} \leq N_{\lambda_1(n)}.$$

It is not very hard to show that if $A, B \leq L$, then

$$A \circ B = \bigcup \{H \circ K \mid H, K \in G \text{ and } H \leq A, K \leq B\}.$$

Inductively it follows that

$$A \circ_n B = \bigcup \{H \circ_n K \mid H, K \in G \text{ and } H \leq A, K \leq B\}.$$

From this and (1) we deduce that

$$D_n = \bigcap_{r=1}^{\infty} D_{n,r}.$$

So we have

COROLLARY 3.11. $D_n \leq N_{\lambda_1(n)}$.

This corollary has been obtained by Stewart [5].

THEOREM 3.2. For every positive integer $n > 0$,

- i) If $L \in X_n^*$ and $x \in L$, then $\langle x^L \rangle \in N_n$ and,
- ii) $X_n^* \leq N_{\mu_3(n)}$, where $\mu_3(n) = \mu_2(n^2, n) + n - 1$.

PROOF. i) By the definition of X_n^* , $\langle x^L \rangle^n \leq \langle x \rangle$. Since $\langle x^L \rangle^n \triangleleft L$, we must have $\langle x \rangle \triangleleft L$ or else $\langle x^L \rangle^n = 0$. Hence $\langle x^L \rangle \in N_m$, $m = \max\{1, n - 1\}$.

(ii). Let $L \in X_n^*$. Then by (i) or 2.11, $L \in LN$. Clearly

$$L^n = \langle \langle [x_1, \dots, x_n]^L \rangle \mid \text{for all } x_1, \dots, x_n \in L \rangle.$$

Let x_1, \dots, x_n be fixed but arbitrary elements of L and put $X = \langle x_1, \dots, x_n \rangle$ and $T = \langle X^L \rangle$. By (i) each $\langle x_i^L \rangle \in N_n$ and since $T = \sum_{i=1}^n \langle x_i^L \rangle$, we have $T \in N_{n^2}$. By the definition of X_n^* , $T^n \leq X \in N_{n^2} \cap G_n$. Thus if $Y = \langle [x_1, \dots, x_n]^L \rangle$, then $Y \leq T^n$ and so by 2.5, $Y \in F_h$, where $h = \mu_2(n^2, n)$. But $Y \triangleleft L$ and $L \in LN$ and so by 2.6, $Y \leq Z_h(L)$. Since the x_i 's were arbitrarily chosen and $L^n = \langle \langle [x_1, \dots, x_n]^L \rangle \mid \text{all } x_i \text{'s in } L \rangle$ we have $L^n \leq Z_h(L)$ and so $L = Z_{h+n-1}(L)$.

LEMMA 3.3. For any positive integer $n > 0$,

- i) $X_n^* \leq D_{n,n}$ and
- ii) $D_{n,n} \cap A^2 \leq X_n^*$.

PROOF. (i). Trivial.

(ii) Let $L \in D_{n,n} \cap A^2$ and H be a G_n -subalgebra of L . Let $H_1 = \langle H^L \rangle$ and $A = H_1 \cap L^2$. Then $A^2 = 0$, $A \triangleleft L$ and $H_1 = H + A$. A simple induction on r gives

$$(H + A)^r = H^r + [A, {}_{r-1}H]$$

and in particular $H_1^n = (H + A)^n = H^n + [A, {}_{n-1}H] \leq H$, since $H \triangleleft^n L$, implies that $[H, {}_{n-1}H] \leq H$ and so $[A, {}_{n-1}H] \leq H$.

THEOREM 3.4. To every pair n, m of positive integers there corresponds an integer $\mu_4(n, m)$ such that

$$D_{n,n} \cap A^m \leq N_{\mu_4}(n, m)$$

where for $m > 1$, $\mu_4(n, m) = \mu_1(\mu_4(n, m-1), \mu_3(n))$.

PROOF OF 3.4. If $m \leq 2$, this follows by 3.3(ii) and 3.2(ii). Let $m > 1$, and assume that the result is true for $m-1$ in place of m . Let $L \in D_{n,n} \cap A^m$. Then as $D_{n,n}$ is Q -closed and S -closed,

$$L^2 \in D_{n,n} \cap A^{m-1} \leq N_{\mu_4}(n, m-1)$$

and

$$L/(L^2)^2 \in D_{n,n} \cap A^2 \leq N_{\mu_3}(n)$$

by 3.2(ii) and 3.3(ii). Therefore by 2.4 the result follows.

We need one more purely technical result before proving Theorem 3.1.

LEMMA 3.5. Let s, t be positive integers with $1 \leq t < s$. Suppose that $L \in D_{n,s}$ and H is a G_t -subalgebra of L . If H_j , $0 \leq j \leq n$, denotes the j -th term of the ideal closure series of H in L , then for each j , $0 < j < n$,

$$H_j/H_{j+1} \in D_{(n-j), (s-t)}.$$

PROOF. Suppose that $0 < j < n$, and Y/H_{j+1} is a $G_{(s-t)}$ -subalgebra of H_j/H_{j+1} . Then it is sufficient to show that $Y \triangleleft^{(n-j)} H_j$.

Evidently there exists a $G_{(s-t)}$ subalgebra X of H_j such that $Y = X + H_{j+1}$. Let $K = \langle X, H \rangle$ so that $K \in G_s$ and so $K \triangleleft^n L$. If K_i is the i -th term of the ideal closure series of K in L , then by simple induction we have

$$H_i = H + L \circ_i H \leq K + L \circ_i K = K_i \leq H_j + L \circ_i H_j.$$

Thus we have $K_j = H_j$, since $H_j \triangleleft^j L$. But

$$K \triangleleft^{n-j} K_j = H_j$$

and $Y = K + H_{j+1}$, and so the result follows.

PROOF OF THEOREM 3.1. We want to prove that: to every positive integer n there correspond positive integers $\lambda_1(n)$ and $\lambda_2(n)$ depending only on n , such that

$$D_{n, \lambda_2(n)} \leq N_{\lambda_1(n)}.$$

We use induction on n . For $n = 1$, take $\lambda_1 = \lambda_2 = 1$; for $D_{1,1} = A = N_1$. Let $n > 1$ and assume that for each r , $1 \leq r \leq n-1$, we have determined $\lambda_1(r)$ and $\lambda_2(r)$ such that

$$(3) \quad D_{r, \lambda_2(r)} \leq N_{\lambda_1(r)}.$$

Define

$$(4) \quad \mu_5(n) = 1 + \mu_4(n, (n-1) \cdot \lambda_1(n-1)),$$

and

$$(5) \quad \lambda_2(n) = \lambda_2(n-1) + \mu_5(n).$$

We will show that

$$D_{n, \lambda_2(n)} \leq X_{\mu_5(n)}^*,$$

so by 3.2(ii) we may take

$$(6) \quad \lambda_1(n) = \mu_3(\mu_5(n)).$$

Let $L \in D_{n, \lambda_2(n)}$ and H be a $G_{\mu_5(n)}$ -subalgebra of L . From (4) and (5), $1 \leq \mu_5(n) < \lambda_2(n)$ and so $H \triangleleft^n L$. If H_j is the j -th term of the ideal closure series of H in L , then by 3.5 for each j , $0 < j < n$,

$$H_j/H_{j+1} \in D_{(n-j), \lambda_2(n-1)} \leq D_{n-1, \lambda_2(n-1)}$$

(for any positive r , $D_{r,k} \leq D_{r+1,k}$ for all k). Thus by the inductive hypothesis (3),

$$H_j/H_{j+1} \in N_{\lambda_1(n-1)}.$$

Hence

$$H_j^{(\lambda_1(n-1))} \leq H_j^{\lambda_1(n-1)} \leq H_{j+1}.$$

Let $k = (n-1)\lambda_1(n-1)$. Then we have from above,

$$(7) \quad H_1^{(k)} \leq H_n = H.$$

Now by definition, $n \leq \lambda_2(n)$ and so $D_{n, \lambda_2(n)} \leq D_{n,n}$. Since also $D_{n,n}$ is Q -closed and S -closed we have

$$H_1/H_1^{(k)} \in D_{n,n} \cap A^k \leq N_{\mu_4(n,k)},$$

by 3.4. From this and (7) we have

$$H_1^{\mu_4(n,k)} \leq H_1^{(k)} \leq H.$$

But $\mu_5(n) = 1 + \mu_4(n, k)$, $H_1 = \langle H^L \rangle$, and H was an arbitrary $G_{\mu_5(n)}$ -subalgebra of L . Thus

$$L \in X_{\mu_5(n)}^*,$$

and the proof is complete.

4. A counterexample. We remarked earlier on that the question of whether $D_{n,n} \leq N_{\lambda(n)}$ for a suitable $\lambda(n)$ is still unsettled. The next result seems to point to an answer in the negative.

THEOREM 4.1. $(\bigcap_{n=1}^{\infty} D_{n+2,n}) \cap A^2 \not\leq N$.

PROOF. Let k be a field of characteristic 2, and B an abelian Lie algebra over k with basis $\{b_1, b_2, \dots\}$. Define $U = U(B)$ to be the universal algebra of B ; then U has $\{b_{i_1} \cdots b_{i_m} \mid 0 \leq m, i_1 \leq \dots \leq i_m\}$ and is a polynomial ring in the b_i 's. Now let V be the subspace of U with basis $\{b_{i_1} \cdots b_{i_m} \mid m > 1, \text{ and for some } j, b_{i_j} = b_{i_{j+1}}\}$.

Now U is a B -module under the usual action and evidently so is V . Let $A = U/V$, so that A is a B -module. Consider A as an abelian Lie algebra and form the split extension,

$$L = A + B, A^2 = 0, A \triangleleft L \quad \text{and} \quad A \cap B = 0.$$

Clearly $L^{(2)} = 0$ and $L \notin N$.

For any $x, y \in B$ and $a \in A$ we have

$$(8) \quad axy = ayx.$$

Suppose that $x = \sum l_i b_i$ ($l_i \in k$). Then considering x as an element of U and since U is commutative and k has characteristic 2, we have

$$x^2 = \sum l_i^2 b_i^2 \in V,$$

and so

$$(9) \quad ax^2 = axx = 0.$$

Thus if $x_1, \dots, x_n \in B$ and $X = A + \langle x_1, \dots, x_n \rangle$, then $X \triangleleft L$ and it follows easily by induction that

$$X^{r+1} = \sum_{m_1 + \dots + m_n = r} Ax_1^{m_1} \cdots x_n^{m_n}.$$

If $r = n + 1$, then in any particular term $Ax_1^{m_1} \cdots x_n^{m_n}$ some $m_i > 1$, and so by (8) and (9), each such term is zero. Hence $X \in N_{n+1}$. Now pick any $a_1, \dots, a_n \in A$ and let $H = \langle a_1 + x_1, \dots, a_n + x_n \rangle$. Then $H \leq X$ and so $H \triangleleft^{n+1} X \triangleleft L$. Clearly any G_n -subalgebra of L is of the same form as H and hence is a $(n + 2)$ -step subideal of L . So $L \in D_{n+2, n}$ for each $n > 0$, and the proof is complete.

The example above can be extended to give: in any field of characteristic $p > 0$, $(\bigcap_{n=1}^{\infty} D_{n(p-1)+2, n}) \cap A^2 \not\leq N$. However it can be proved that in any field of characteristic zero, $D_{n,1} \cap A^d \leq N_{\mu(n,d)}$ for some $\mu(n, d)$ depending only on n and d ; the result will hold for fields of characteristic p provided $n \leq p$.

Let $B_c^* = \{L \mid x \in L \Rightarrow \langle x^L \rangle \in N_c\}$ then by 4.1 $B_2^* \not\leq N$. But it can be proved that $D_{n,n} \leq N$, provided $D_{n,n} \cap B_c^* \leq N$ for all c .

REMARK: It will be shown in a forthcoming paper that there exists $\lambda(n)$ for which $D_{n+1, n} \leq N_{\lambda(n)}$ (over any field)

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