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A CHARACTERIZATION OF COMPACT CONNECTED PLANAR LATTICES

CHARLES E. CLARK AND CARL EBERHART

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In this paper it is proved that every topological lattice on the two-cell is topologically isomorphic (iseomorphic) to a sublattice of the product lattice $I \times I$. An explicit description of the compact connected sublattices of $I \times I$ containing (0, 0)and (1, 1) is given. These results, together with a theorem of A. D. Wallace, yield a characterization of all compact connected lattices in the plane: each is iseomorphic to a sublattice of $I \times I$.

A topological lattice is a partially ordered space X with the property that every pair of elements a, b of X has a least upper bound, $a \vee b$, and a greatest lower bound, $a \wedge b$, so that the operations \lor and \land are continuous. A simple example of a topological lattice is the unit interval I with the usual ordering. The partial order on the *n*-cell I^n given by $(x_i) \leq (y_i)$ if and only if $x_i \leq y_i$ for $i = 1, \dots, n$ is a lattice ordering, in fact, it is the lattice ordering obtained by regarding I^n as a product lattice. L. W. Anderson and A. D. Wallace have found conditions under which a lattice ordering on the *n*-cell is the product order. One can also consider the following problem: determine all lattice orderings of the n-cell. It is well known that the usual order is the only lattice order on the interval. In this paper the problem is considered for the two-cell. It is shown that every topological lattice on the two-cell is iseomorphic to a sublattice of the product lattice $I \times I$. This result together with a theorem of A. D. Wallace is used to prove that every compact connected lattice in the plane is isomorphic to a sublattice of $I \times I$. Finally, an explicit description of the compact connected sublattices of $I \times I$ containing (0, 0) and (1, 1) is given.

1. Lattice orderings of the two-cell. Let L be a topological lattice whose underlying space is homeomorphic to a two-cell. Since L is compact, L has a unique minimum element 0 and a unique maximum element 1. It is known [1] that 0 and 1 lie on the boundary of L and that the boundary arcs T and E determined by 0 and 1 are maximal chains in L and that T and E generate L in the sense that $L = T \lor E = T \land E$. In this section we prove that L is iseomorphic to a sublattice of $I \times I$. The proof requires several lemmas.

LEMMA 1. Let $p, q \in L$. If $(p \wedge T) \cap T = (q \wedge T) \cap T$, then either

 $p \wedge T \subset q \wedge T$ or $q \wedge T \subset p \wedge T$.

Proof. We first assume that $p, q \in E$ and that $p \leq q$. If p = 0, then $p \in q \land T$. Suppose p > 0 and that $p \notin q \land T$. It is well known that $p \lor T$ and $q \land T$ are arcs from p to 1 and from q to 0 respectively. Since L is a 2-cell, it must follow that $(p \lor T) \cap (q \land T) \neq \Box$. Let $z \in (p \lor T) \cap (q \land T)$ and let

$$x=\sup\left\{ (q\,\wedge\,T)\,\cap\,T
ight\} =\sup\left\{ (p\,\wedge\,T)\,\cap\,T
ight\}$$
 .

Then $z = p \lor t$ for some $t \in T$. If $t \leq x$, then by the definition of x, we would have $p \lor t = p$. Hence t > x. But now the inequality $t \leq z \leq q$ implies that $q \land t = t \in q \land T$ which contradicts the choice of x.

Now let p and q be arbitrary elements of L and choose $e, f \in E$ such that $p \in e \land T$ and $q \in f \land T$. This is possible since $E \land T = L$. If either of p or q is an element of T, then the lemma is trivial. For suppose $p \in T$. Then

$$p \wedge T = (p \wedge T) \cap T = (q \wedge T) \cap T \subset q \wedge T$$
.

We may now assume that $p, q \in T$. We contend that $(e \wedge T) \cap T = (p \wedge T) \cap T = (f \wedge T) \cap T = (q \wedge T) \cap T$. To establish the first equality, let $t \in (e \wedge T) \cap T$. Then since $e \wedge T$ is a chain and $p, t \in e \wedge T$, either $p \leq t$ or $t \leq p$. Suppose $p \leq t$. Then for some $t_1 \in T$, $p = e \wedge t_1 = (e \wedge t_1) \wedge t = (e \wedge t) \wedge t_1 = t \wedge t_1 \in T$, which is a contradiction. Therefore $t \leq p$ and $t \in (p \wedge T) \cap T$. Now suppose $t \in (p \wedge T) \cap T$. Then $t \leq p \leq e$ implies that $t \in (e \wedge T) \cap T$. This proves the first equality; the last equality is proved similarly. From the first part of the proof, we conclude that either $e \wedge T \subset f \wedge T$ or $f \wedge T \subset e \wedge T$. Suppose $f \wedge T \subset e \wedge T$. Then $p \wedge T$ and $q \wedge T$ are subchains of $e \wedge T$, so either $p \wedge T \subset q \wedge T$ or $q \wedge T \subset p \wedge T$.

For $x \in T$, we define $C_x \subset E$ by $C_x = \{h \in E \mid x = \sup \{(h \land T) \cap T\}\}$.

LEMMA 2. The set C_x is closed for all $x \in T$.

Proof. We consider the nontrivial case where $C_x \neq \Box$. From the continuity of \land it follows that the set $\{h \in E \mid x \in h \land T\}$ is closed. Let $e' = \inf \{h \in E \mid x \in h \land T\}$; then $x \in e' \land T$ and $e' \leq e$ for all $e \in C_x$. If $t \in (e' \land T) \cap T$ and t > x, then for $e \in C_x$, we would have $t \leq e' \leq e$ and hence $t \in (e \land T) \cap T$ contradicting the fact that $e \in C_x$. Hence $x = \sup \{(e' \land T) \cap T\}$ and $e' \in C_x$.

Let $h_n \in C_x$, $n = 1, 2, \dots$, and let $h_n \to h$. Then $e' \leq h_n$ for each n and by Lemma 1, we have that $e' \wedge T \subset h_n \wedge T$ for all values of n and therefore $e' \wedge T \subset h \wedge T$. Let $x' = \sup \{(h \wedge T) \cap T\}$. Then

 $x' \ge x$ since $x \in (h \wedge T) \cap T$. We have that $e', x' \in h \wedge T$ and so one of the inequalities $x' \le e', e' \le x'$ must hold. If $x' \le e'$, then $x' \in (e \wedge T) \cap T$ which implies that $x' \le x$ and hence x' = x and $h \in C_x$. If $e' \le x'$, let $e' = h \wedge t$ for $t \in T$. Then

$$e'=e'\wedge x'=(h\wedge t)\wedge x'=(h\wedge x')\wedge t=x'\wedge t\in T$$
 .

This involves a contradiction unless e' = 0. However, if e' = 0, then x = 0 and $h_n \wedge T = 0$ for all values of n; hence $n \wedge T = 0$ and $h \in C_x$. This completes the proof of the lemma.

We now define relations \mathcal{H} and \mathcal{V} on T as follows: for $a, b \in T$,

$$a \mathscr{H} b \equiv a \in e \lor T$$
 if and only if $b \in e \lor T$ for all $e \in E$.
 $a \mathscr{H} b \equiv a \in e \land T$ if and only if $b \in e \land T$ for all $e \in E$.

LEMMA 3. The relations \mathcal{H} and \mathcal{V} are closed congruences on T.

Proof. It is easy to see that \mathcal{H} and \mathcal{V} are congruences on T. We will show that the relation \mathcal{V} is closed. A dual argument will show that \mathcal{H} is closed.

Let $a_n \to a, b_n \to b$ with $a_n, b_n \in T$ and $a_n \mathscr{V} b_n$ for each n. Assume that $a \leq b$. If $h \in e \wedge T$ for $e \in E$, it follows trivially that $a \in e \wedge T$. Suppose $a \in e \wedge T$ for $e \in E$. Let $x = \sup\{(e \wedge T) \cap T\}$; then $a \leq x$. If a < x, then for n sufficiently large, $a_n < x$ and hence $a_n \in e \wedge T$. Since $a_n \mathscr{V} b_n$ we must have $b_n \in e \wedge T$ for n sufficiently large and therefore $b \in e \wedge T$. This gives $a \mathscr{V} b$.

We now assume that a = x and let $f = \sup C_x$. This sup exists since C_x is closed by Lemma 2. If f = 1, then a = b = 1. Suppose f < 1 and let $f_m \to f$ where $f_m \in E, f_m > f$ for $m = 1, 2, \cdots$. Let $y_m = \sup \{(f_m \land T) \cap T\}$. Then since $f_m \in C_x, y_m > a$. Thus for fixed m, there exists a positive integer N_m such that if $n \ge N_m$, then $a_n < y_m$, or $a_n \in f_m \land T$. Therefore $b_n \in f_m \land T$ for $n \le N_m$. We conclude that $b \in f_m \land T$ for each positive integer m and hence $b \in f \land T$. But $a = \sup \{(f \land T) \cap T\}$ and hence $b \le a$. Therefore a = b.

LEMMA 4. Let $e \in E$ and let $x = \sup \{(e \land T) \cap T\}, e' = \sup C_x$, $x' = \inf V_x$ where V_x denotes the congruence class modulo \mathscr{V} which contains x. Then $\{z \mid x' \leq z \leq e'\} \subset e' \land T$.

Proof. If $z \in T$, then $z \leq x \leq e'$ implies $z = e' \land z \in e' \land T$. Suppose $z \notin T$ and let $f \in E$ such that $z \in f \land T$. If f = 0, then $z = 0 \in e' \land T$. Suppose f > 0. We have $x' \leq z \leq f$ and therefore $x' \in f \land T$ and since $x' \gg x, x \in f \land T$. If $t \in (f \land T) \cap T$, then $t \in (z \land T) \cap T$ since $z \wedge T \subset f \wedge T$ and $z \notin T$. From the inequality $t \leq z \leq e'$ we conclude that $t \in (e' \wedge T) \cap T$ and hence $t \leq x$. Hence $x = \sup \{(f \wedge T) \cap T\}$ and by Lemma 1 we have $f \wedge T \subset e' \wedge T$ and therefore $z \in e' \wedge T$.

LEMMA 5. If $e, f \in E$ and $p \in [(f \lor T) \cap (e \land T)] \setminus T$, then $\{p\} = (f \lor T) \cap (e \land T)$.

Proof. Suppose $p' \in (f \lor T) \cap (e \land T)$. Then either $p' \leq p$ or $p' \geq p$ and in either case it is easily seen that $p' \notin T$ since $p \notin T$. Assume that $p' \leq p$ and let $x = \sup\{(e \land T) \cap T\}$. Then since $p, p' \notin T, x = \sup\{(p \land T) \cap T\} = \sup\{(p' \land T) \cap T\}$. Since $p' \leq p$ on $f \lor T$, we have that $p \in p' \lor T$ so that $p = p' \lor t$ for some $t \in T$ and since $x = \sup\{(p' \land T) \cap T\}$, it follows that $t \geq x$. But $t \leq p \leq e$ implies that $t \in (e \land T) \cap T$ and so $t \leq x$. Hence t = x and $p = p' \lor x = p'$.

LEMMA 6. Let $x \in T$ and let $x' = \sup Vx$. Then $C_{x'} \neq \Box$.

Proof. The set $\{h \in E \mid x \in h \land T\}$ is closed by the continuity of \land and is nonempty since $x \in 1 \land T$. Let $e = \inf \{h \in E \mid x \in h \land T\}$. Then $x \in e \land T$ and since $x \mathscr{V} x'$ it follows that $x' \in e \land T$. Let $x'' = \sup \{(e \land T) \cap T\}$. Then $x'' \leq x'$. Suppose $h \in E$ and $x \in h \land T$. Then $h \geq e$ by the definition of e and since $x'' \in e \land T$ it follows that $x'' \in h \land T$. On the other hand, if $x'' \in h \land T$ for some $h \in E$, then $x \in h \land T$ since $x \leq x''$. Therefore $x \mathscr{V} x''$ but since $x'' \geq x'$ and $x' = \sup \mathscr{V} x$, we must have x'' = x'. Hence $e \in C_{x'}$.

We are now prepared to define the isoemorphism from L into $I \times I$. For $p \in L$, define

$$\alpha_{i}(p) = \sup \{(p \land T) \cap T\}$$

and

$$\alpha_2(p) = \inf \{ (p \lor T) \cap T \}.$$

Let η_1, η_2 , denote the natural maps from T onto $T/\mathscr{V} = T_1$ and $T/\mathscr{H} = T_2$ respectively. Let $\phi_1 = \eta_1 \circ \alpha_1, \phi_2 = \eta_2 \circ \alpha_2$ and define

$$\phi:L o T_{_1} imes T_{_2}$$
 $\phi=\phi_{_1} imes\phi_{_2}$.

THEOREM 1. If L is a topological lattice which is homeomorphic to a 2-cell, then L is isomorphic to a sublattice of $I \times I$.

Proof. We will show that the map defined above is a one-to-one continuous homomorphism from L into $T_1 \times T_2$. The theorem then

follows since $T_1 \times T_2$ is iseomorphic to $I \times I$.

(i) The map ϕ is continuous. We show ϕ_1 is continuous. A dual argument shows that ϕ_2 is continuous.

Let $x \in T_1$ and let $a = \sup \eta_1^{-1}(x)$. Then $C_a \neq \Box$ by Lemma 6. Let $e = \sup C_a$. We claim that $\phi_1^{-1}[0, x] = e \wedge L$. A similar argument shows that $\phi_1^{-1}[x, 1] = a' \vee L$ where $a' = \inf \eta_1^{-1}(x)$. Thus the inverse under ϕ_1 of a subbasic closed set is closed in L and hence α_1 is continuous.

Let $z \in e \wedge L$. Then $b = \sup \{(z \wedge T) \cap T\} \leq z \leq e$ and so $b \leq a$. Then $\phi_1(z) = \eta_1(\alpha_1(z)) = \eta_1(b) \leq \eta_1(a) = x$. Hence $z \in \phi_1^{-1}[0, x]$. Now let $z \in \phi_1^{-1}[0, x]$, $b = \sup \eta_1^{-1}(\phi_1(z))$, and $f = \sup C_b$. Since $\phi_1(z) \leq x$, then $b \leq a$. If $z \in T$ then $z \leq b \leq a \leq e$; thus $z \in e \wedge L$.

Now suppose that $z \notin T$. From the definition of b we have $\eta_1(b) = \eta_1(\alpha_1(z))$ and hence $b \not \gg \alpha_1(z)$. Therefore $\alpha_1(z) \leq b$. Let $h \in E$ such that $z \in h \wedge T$. Then since $z \notin T$, it was shown in the proof of Lemma 1 that $\sup \{(z \wedge T) \cap T\} = \sup \{(h \wedge T) \cap T\}$. Therefore $\alpha_1(z) \in h \wedge T$ and since $b \not \gg \alpha_1(z)$, we have $b \in (h \wedge T) \cap T$ and hence $b \in (z \wedge T) \cap T$. Then by the definition of $\alpha_1(z)$, we have $b \leq \alpha_1(z)$. Thus $\alpha_1(z) = b$, and $(z \wedge T) \cap T = (f \wedge T) \cap T$. By Lemma 1, $z \wedge T \subset f \wedge T$. Since $b \leq a$, then $f \leq e$. Hence $z \leq f \leq e$ implies that $z \in e \wedge L$.

(ii) ϕ is one-to-one. Suppose $p, p' \in L$ such that $\phi_i(p) = \phi_i(p')$, i = 1, 2. We will show that p = p'. We consider three cases.

Case 1. $p, p' \in L \setminus T$. Then since $\phi_1(p) = \eta_1(\alpha_1(p)) = \eta_1(\alpha_1(p')) = \phi_1(p')$, we have that $\alpha_1(p) \mathscr{V} \alpha_1(p')$. Choose $e, f \in E$ such that $p \in e \wedge T$ and $p' \in f \wedge T$. Then from the proof of Lemma 1, it follows that

$$\sup \{(e \land T) \cap T\} = \sup \{(p \land T) \cap T\} = \alpha_1(p),$$

and

$$\sup\left\{ (f\,\wedge\,T)\,\cap\,T
ight\} = \sup\left\{ (p'\,\wedge\,T)\,\cap\,T
ight\} = lpha_{\scriptscriptstyle \mathrm{I}}(p')$$
 .

But since $\alpha_1(p) \not> \alpha_1(p')$, we must have $\alpha_1(p') \in (e \land T) \cap T$ and $\alpha_1(p) \in (f \land T) \cap T$. It now follows that $\alpha_1(p') \leq \alpha_1(p) \leq \alpha_1(p')$ and hence $\alpha_1(p) = \alpha_1(p') = \alpha_1(e) = \alpha_1(f)$. Hence by Lemma 1, either $f \land T \subseteq e \land T$ or $e \land T \subseteq f \land T$. Suppose $f \land T \subseteq e \land T$. Then $p, p' \in e \land T$. Using a similar argument and the dual of Lemma 1 we obtain $g \in E$ such that $p, p' \in g \lor T$. Since $p, p' \notin T$, we conclude from Lemma 5 that p = p'.

Case 2. $p, p' \in T$. Assume $p \leq p'$. If p' = 1, then $p' \in 1 \lor T$ and $p' \mathscr{H} p$ implies that $p \in 1 \lor T$ and so p = 1. Suppose p' < 1 and let $f = \sup \{h \in E \mid p \in h \lor T\}$. Then f < 1. Let $f_n \to f$, where $f_n \in E$ and $f_n > f$ for all n. Then $p \notin f_n \lor T$ and hence $p' \notin f_n \lor T$ for all n. Therefore if $f_n \lor p \in T$, then $f_n \lor p > p'$, and if $f_n \lor p \notin T$ then $p = (f_n \lor p) \land p \in (f_n \lor p) \land T$ and hence $p' \in (f_n \lor p) \land T$ since $p \mathscr{V} p'$ and $f_n \lor p \notin T$. So $f_n \lor p \ge p'$ for all n. Therefore, by the continuity of \lor , $p = f \lor p \leq p'$. Then p = p'.

Case 3. $p \notin T, p' \in T$. Choose $e, f \in E$ such that

 $p \in (e \wedge T) \cap (f \vee T)$.

Then since $p \notin T$, $\{p\} = (e \land T) \cap (f \lor T)$ by Lemma 5. Since $\phi_1(p) = \phi_1(p')$, we have $\sup \{(p \land T) \cap T\} \mathscr{V} p'$ from which follows $p' \in p \land T \cap e \land T$. Similarly, $p' \in f \lor T$, contradicting Lemma 5.

(iii) ϕ is a homomorphism. We will show that ϕ_1 is a homomorphism with respect to \lor , Similar arguments will show that ϕ_1 is a homomorphism with respect to \wedge and that ϕ_2 is a homomorphism with respect to \lor and \land .

Let $p, p' \in L; x = \alpha_1(p) = \sup \{(p \land T) \cap T\},\$

$$x'=lpha_{\scriptscriptstyle 1}(p')=\sup\left\{(p'\,ee\,\,T)\,\cap\,T
ight\}$$
 ,

and

$$z=lpha_{\scriptscriptstyle 1}(pee p')=\sup\left\{ \left((pee p')\,\wedge\,T
ight)\,\cap\,T
ight\}$$
 .

Assume that $x \leq x'$. Then $x \vee x' = x'$ and $\eta_1(x \vee x') = \eta_1(x) \vee \eta_1(x') =$ $\eta_1(x')$. Then $\phi_1(p) \lor \phi_1(p') = \eta_1(x) \lor \eta_1(x') = \eta_1(x')$. We will show that $\phi_1(p \vee p') = \eta_1(z) = \eta_1(x')$, i.e., $z \mathscr{V} x'$.

We have that $x' \leq p' \leq p \lor p'$, so $x' \in ((p \lor p') \land T) \cap T$ and hence $x' \leq z$. If $z \in e \land T$ for $e \in E$, then clearly $x' \in e \land T$. Now suppose $x' \in e \land T, e \in E$. We consider two cases.

Case 1. $p' \in E$. We may assume that $e = \inf \{h \in E \mid x' \in h \land T\}$. If $p' \in T$, then $p' = x' \in e \land T$. If $p' \in T$, then choose $g \in E$ such that $p' \in g \land T$. Then $x' \leq p' \leq g$ implies that $x' \in g \land T$ and hence $e \leq g$. From Lemma 6, $e = \sup C_{x'}$. But the proof of Lemma 1 gives

$$x' = \sup \left\{ (p' \wedge T) \cap T
ight\} = \sup \left\{ (g \wedge T) \cap T
ight\},$$

and therefore $g \leq e$. Hence g = e and $p' \leq e$.

We will show that $p \leq e$ also. If $p \in T$, then $p = x \leq x' \leq e$. Suppose $p \in T$ and let $f = \inf \{h \in E \mid p \in h < T\}$. Then since $p \notin T$, $\sup \{(f \land T) \cap T\} = \sup \{(p \land T) \cap T\} = x \leq x' \text{ and hence } f \leq e.$ Then the inequality $p \leq f \leq e$ gives the desired conclusion.

We now have $p' \leq e, p \leq e$; hence $p \lor p' \leq e$. Since $p' \in e \land T$, the inequality $p' \leq p \lor p' \leq e$ and Lemma 4 gives $p \lor p' \in e \land T$. Hence $z \in e \land T$. This concludes the proof for Case 1.

Case 2.
$$p' \in E$$
. If $p' \leq p$, then $p \vee p' = p$ implies $x = z$. But

then $x \leq x' \leq z$ implies x' = z and so $z \in e \land T$. If $p' \notin p \land L$ then since

$$x = \sup \left\{ (p \land T) \cap T
ight\} \leq x' = \sup \left\{ (p' \land T) \cap T
ight\}$$
 ,

the proof of the continuity of ϕ_1 shows that $p \in p' \wedge L$. Hence $p \vee p' = p'$ and again we conclude that z = x'. This concludes the proof that ϕ_1 is a homomorphism with respect to \vee , and the proof of Theorem 1.

2. Compact connected lattices in the plane. In [4] Wallace proved that a compact connected lattice L which is imbeddable in the plane is a cyclic chain (in the sense of Whyburn [5]) and that each true cyclic element is a convex sublattice and is homeomorphic to a 2-cell. Thus by Theorem 1, each true cyclic element is iseomorphic to a sublattice of $I \times I$. Let \varDelta denote the diagonal thread in $I \times I$. Label the true cyclic elements of L, $\{C_i\}_{i=1}^{\infty}$. Denote the 0 and 1 of C_i by a_i and b_i respectively. Let T be any maximal chain from 0 to 1 in L, and let h be an iseomorphism from T onto \varDelta , the diagonal in $I \times I$. Then the "square" in $I \times I$ with upper right hand vertex $h(b_i)$ and lower left hand vertex $h(a_i)$ is a sublattice of $I \times I$ which is iseomorphic to $I \times I$. Hence C_i may be imbedded in this sublattice as in Theorem 1. In this manner an iseomorphism of L into $I \times I$ is determined. Thus we have proven:

Theorem 2. Every compact connected lattice in the plane is iseomorphic to a sublattice of $I \times I$.

Finally we state an explicit description of the compact connected sublattices of $I \times I$ containing (0, 0) and (1, 1).

THEOREM 3. Let f and g be functions from I into I satisfying

(i) f, g are nondecreasing, f(0) = 0, g(1) = 1,

(ii) $f(x) \leq g(x)$ for all $x \in I$,

(iii) f is continuous from the left and g is continuous from the right.

Then the set $L = \{(x, y) : f(x) \leq y \leq g(x)\}$ is a compact connected sublattice of $I \times I$ containing (0, 0) and (1, 1). Conversely, if L is a compact connected sublattice of $I \times I$ containing (0, 0) and (1, 1) then there exist functions f and g satisfying i-iii such that

$$L = \{(x, y) : f(x) \leq y \leq g(x)\}.$$

Proof. The proof is straightforward and will be omitted. The functions f and g alluded to in the second part are defined as follows:

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$$g(x) = \sup \{L \cap (\{x\} \times I)\}$$
 for $x \in I$
 $f(x) = \inf \{L \cap (\{x\} \times I)\}$ for $x \in I$.

3. Comments. Edmondson has given an example of a topological lattice on a 3-cell which is nonmodular; hence this lattice is not a sublattice of $I \times I \times I$ [2]. This shows that the higher dimensional analogous of Theorem 1 are false.

This the result of this paper does not hold if the term "lattice" be replaced by "semilattice" is a consequence of the results of D. R. Brown, [1], regarding semilattice structures on the two-cell.

Wallace has conjectured that every 2-dimensional compact connected lattice with no cutpoints is a two-cell. A related conjecture is that every 2-dimensional compact connected lattice can be imbedded in the plane. If this were true, the words "in the plane" in the statement of Theorem 2 could be replaced by "2-dimensional."

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