

# Pacific Journal of Mathematics

## **REDUCTION OF SETS OF MATRICES TO A TRIANGULAR FORM**

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## REDUCTION OF SETS OF MATRICES TO A TRIANGULAR FORM

I. SINHA

A set  $\Omega$  of  $n \times n$  matrices is said to have Property  $T$  if the following two conditions are satisfied: (i) If  $\Omega$  is looked upon as a set of linear transformations of a vector space  $V$  of dimension  $n$  then  $V$  has an  $\Omega$ -decomposition into primary components; i. e.  $V = V_1 \oplus \cdots \oplus V_i$ , where the restrictions of the elements of  $\Omega$  to any  $V_i$  are primary linear transformations; and (ii)  $V$  has an  $\Omega$ -composition series with 1-dimensional composition-factors.

Our aim in this paper will be to characterize sets of non-singular linear transformations having Property  $T$ .

The latter condition (ii) has been called Property  $P$  for  $\Omega$ . It is known that Property  $P$  is equivalent to simultaneous triangularisation of the elements of  $\Omega$ , and also to the existence of common characteristic vectors for all of  $\Omega$  and to the fact that the additive commutators  $AB - BA$  of pairs  $A, B$  from  $\Omega$  belong to the radical of the enveloping associative algebra generated by  $\Omega$  ([5], page 592-600).

It is also known that  $\Omega$  has Property  $T$  if it is a commutative set of matrices ([1], page 41). Also for a Lie algebra of linear transformations of a finite dimensional vector space, is known that Property  $T$  is equivalent to the nilpotency (in the Lie-sense) of the Lie algebra ([2], page 878-879).

Throughout we shall identify  $\Omega$  with a set of nonsingular linear transformations of a finite dimensional vectorspace  $V$  over an algebraically closed field  $F$  of characteristic zero.

2. DEFINITION. Let  $A$  be any nonsingular linear transformation. Then it is known that  $A$  can be factorized uniquely as  $A = SU$ , where  $U$  is a unipotent linear transformation and  $S$  is semi-simple, and  $SU = US$ , ([1], page 41).  $U$  is called the unipotent part of  $A$  and  $S$  is called the semi-simple part of  $A$ . This will be referred to as the Jordan-multiplicative decomposition of  $A$ .

$S$  can also be characterized by the fact that the module determined by it is completely reducible; and hence, over an algebraically closed field,  $S$  is representable as an  $n \times n$  diagonal matrix.

We shall let  $\Omega_s$  be the set of the semi-simple parts of the elements

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of  $\Omega$ , and  $\Omega_i$  be the set of their unipotent parts.

We prove,

**THEOREM 1.** *Let  $V$  have an  $\Omega$ -composition-series with 1-dimensional composition-factors. Then a necessary and sufficient condition for  $\Omega$  to have Property  $T$  is that  $\Omega_s$  commutes with  $\Omega$  elementwise.*

*Proof.* For the necessity part of the theorem, we observe that if  $\Omega$  has Property  $T$ , then the matrices in  $\Omega$  can be assumed to be a direct sum of triangular blocks, each of which is in the triangular form having a single characteristic root along the diagonal. Thus any element  $A$  in  $\Omega$  can be supposed to be of the form,

$$A = \begin{bmatrix} \lambda & & * \\ & \cdot & \\ 0 & & \lambda \end{bmatrix},$$

where  $*$  denotes possible nonzero entries. Then  $A = (\lambda \cdot I) \cdot (\lambda^{-1} \cdot A) = A_s \cdot A_u$ , where  $A_s = \lambda \cdot I$  and  $A_u = \lambda^{-1} A$ , so that  $A_s A_u = A_u A_s$ , and  $A_s$  is semi-simple while  $A_u$  is unipotent. Then from the uniqueness of the Jordan multiplicative decomposition, we conclude that  $A_s$  is in  $\Omega_s$  and  $A_u$  is in  $\Omega_u$ . Thus  $\Omega_s$  consists of scalar matrices only and hence commutes with  $\Omega$  elementwise.

For the sufficiency part of the theorem, let  $A$  be any element of  $\Omega$ , and  $A = A_s A_u$  be its Jordan-multiplicative decomposition, so that  $A_s$  is in  $\Omega_s$  and  $A_u$  is in  $\Omega_u$ . Let  $V = V_{\lambda_1, A} \oplus \dots \oplus V_{\lambda_t, A}$ , where  $\lambda_i$  are the distinct characteristic roots of  $A_s$  and hence of  $A$ , be a decomposition of  $V$  into primary components with respect to  $A_s$ . Since  $A_s$  is semi-simple, so for any vector  $\mathcal{U}$  in  $V_{\lambda_k, A}$ , we have,

$$\mathcal{U} \cdot (A_s - \lambda_k I) = 0.$$

If  $B$  is an arbitrary element of  $\Omega$ , then  $(\mathcal{U}B)(A_s - \lambda_k I) = \mathcal{U}(A_s - \lambda_k I)B = 0$ , since  $\Omega_s$  is assumed to commute with  $\Omega$  elementwise. Thus each component  $V_{\lambda_k, A}$  is invariant with respect to the whole of  $\Omega$ . Also the restriction of  $A_u$  to any  $V_{\lambda_k, A}$  is itself unipotent. Therefore the restriction of  $A$  to each  $V_{\lambda_k, A}$  is primary.

If some  $C$  in  $\Omega$  is not primary on any of the  $V_{\lambda_k, A}$ , we repeat the process with  $C$  in place of  $A$ , so that we can conclude that  $V$  has an  $\Omega$ -decomposition  $V = V_1 \oplus \dots \oplus V_i$ , such that the restrictions of the elements of  $\Omega$  to any  $V_i$  are primary.

Combined with the hypothesis on the existence of  $\Omega$ -composition series with 1-dimensional composition factors, the above conclusion gives Property  $T$  for  $\Omega$ .

The following analogue of McCoy's result in ([5], page 593) can be easily verified.

LEMMA 1.  $\Omega$  has Property  $P$  if and only if for each pair  $A, B$  of elements in  $\Omega$ ,  $ABA^{-1}B^{-1} - I$  lies in the radical of the enveloping associative algebra  $\bar{\Omega}$  generated by  $\Omega$ .

Using this we conclude at once,

THEOREM 2. A set of necessary and sufficient conditions for  $\Omega$  to have property  $T$  is that,

- (i)  $\Omega_s$  commute with  $\Omega$  elementwise, and
- (ii) for every pair  $A, B$  of elements in  $\Omega$ ,  $ABA^{-1}B^{-1} - I$  lies in the radical of the enveloping associative algebra  $\bar{\Omega}$  generated by  $\Omega$ .

3. In this section we limit  $\Omega$  to be an algebraic group ([1], page 29). The following results are well-known and the proofs are omitted here.

LEMMA 2 (Lie-Kolchin). A connected algebraic group  $\Omega$  has Property  $P$  if and only if it is solvable: ([3], page 30).

LEMMA 3. If  $\Omega$  is a connected nilpotent algebraic group, then  $\Omega_s$  is contained in the centre ([1], page Theorem 11.1).

LEMMA 4. If  $N$  is an invariant commutative algebraic subgroup of a connected algebraic group  $\Omega$ , and consists of semi-simple elements only, then  $N$  is contained in the centre of  $\Omega$  ([1], page 45, Proposition 7.9).

It may be relevant to recall that connectivity is taken here in the sense of the Zariski-Topology in  $\Omega$  ([3], page 26).

THEOREM 3. A necessary and sufficient condition for a connected algebraic group  $\Omega$  to have Property  $T$  is that  $\Omega$  be nilpotent.

*Proof.* For the sufficiency we observe that by Lemma 3  $\Omega_s$  commutes with  $\Omega$  elementwise. Then by Lemma 2,  $\Omega$  has Property  $P$ . Thus, Theorem 1 implies that  $\Omega$  has Property  $T$ .

For the necessity, let  $\Omega$  have Property  $T$ . Again we can assume that any element  $A$  of  $\Omega$  has the form,

$$A = \begin{bmatrix} \lambda & * \\ \cdot & \cdot \\ 0 & \lambda \end{bmatrix} = (\lambda \cdot I) \cdot (\lambda^{-1}A) = A_s \cdot A_u \cdot$$

If  $F^*$  denotes the multiplicative group of the nonzero elements of the ground field  $F$ , then  $\Omega$  is isomorphic to the external direct product,  $F^* \times U$ , where  $U$  is the group of unipotent matrices ( $\lambda^{-1} \cdot A$ ).

$U$  is a group of unipotent matrices in triangular form, and such groups are known to be nilpotent, so  $\Omega$  being a product of two nilpotent groups, is itself nilpotent.

Another characterization of Property  $T$  can be obtained in,

**THEOREM 4.** *A necessary and sufficient condition for a connected algebraic group  $\Omega$  to have Property  $T$  is that  $\Omega_s$  be an algebraic subgroup contained in the centre of  $\Omega$ .*

*Proof.* If  $\Omega$  has Property  $T$ , then by Theorem 3,  $\Omega$  is nilpotent, so that  $\Omega_s$  is an algebraic subgroup of the centre, ([1], page 53, Theorem 11.1).

Conversely, let  $\Omega_s$  be an algebraic subgroup of the centre of  $\Omega$ . Then it can be shown that  $\Omega$  is equal to the internal direct product  $\Omega_s \times \Omega_u$  ([1], page 53, Theorem 11.1). Therefore, we at once have that  $\Omega/\Omega_u \cong \Omega_s$  is Abelian and hence  $\Omega_u \supseteq$  the commutator-subgroup of  $\Omega$ . From this it follows at once that  $\Omega$  has Property  $P$ . (See for example, the proof of Theorem 4.11 in [3], page 31).

Now  $\Omega_s$  commutes with  $\Omega$  elementwise, and  $\Omega$  has Property  $P$ . Therefore, by virtue of Theorem 1,  $\Omega$  has Property  $T$ .

The converse part of the above theorem has an interesting generalization to arbitrary subgroups of the general linear group  $GL(n, F)$ .

In order to exhibit it, we shall use the notation  $\langle \Omega_s \rangle$  for the group generated by  $\Omega_s$  in  $GL(n, F)$ . This is necessitated by the fact that we now drop the restriction of algebraic connectivity for  $\Omega$ , so that  $\Omega_s$  may no longer be a part of  $\Omega$ . We now state.

**THEOREM 5.** *Let  $\Omega$  be a subgroup of  $GL(n, F)$  such that  $\Omega_s$  commutes with  $\Omega$  elementwise. Then  $\Omega$  has Property  $T$  and is nilpotent of class at most  $(n - 1)$ .<sup>1</sup>*

*Proof.* We divide the proof in four parts.

(i) First observe that if the underlying vector space  $V$  is irreducible under  $\Omega \cup \Omega_s$ , then  $V$  is irreducible under  $\Omega$ . For, suppose to the contrary that  $V_1$  is a proper minimal invariant  $\Omega$ -subspace of  $V$ . Then

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<sup>1</sup> The author is highly indebted to the referee for conveying this theorem and its proof to him.

for each  $u$  in  $\langle \Omega_s \rangle$ ,  $V_1 u$  is a minimal invariant  $\Omega$ -subspace, because  $u$  commutes with every element of  $\Omega$ . Now  $\sum V_1 u$ , where the summation is over all  $u$  in  $\langle \Omega_s \rangle$ , is invariant under  $\Omega \cup \Omega_s$  and is therefore the whole of  $V$  in view of the irreducibility of  $V$  with respect to  $\Omega \cup \Omega_s$ . Therefore,  $V = W_1 \oplus \dots \oplus W_k$ , where  $W_i = V_1 u_i$ , ( $u_i$  in  $\langle \Omega_s \rangle$ ), and the  $W_i$  are  $\Omega$ -invariant.

Corresponding to this decomposition, there is a basis for  $V$  such that the matrix  $X$  in  $\Omega$  has the block-decomposition,

$$X = \begin{bmatrix} X_1 & & & 0 \\ & X_2 & & \\ & & \ddots & \\ 0 & & & X_k \end{bmatrix},$$

where the  $X_i$  are square-blocks of dimension  $n/k$ . The corresponding matrix for  $X_s$  in  $\Omega_s$  is clearly,

$$X_s = \begin{bmatrix} (X_1)_s & & & 0 \\ & (X_2)_s & & \\ & & \ddots & \\ 0 & & & (X_k)_s \end{bmatrix},$$

where, as usual,  $(X_i)_s$  denotes the semisimple part of  $X_i$ .

However, this implies that  $V$  is reducible with respect to  $\Omega \cup \Omega_s$ , contrary to the hypothesis.

(ii) Next, we assert that if  $V$  is irreducible with respect  $\Omega \cup \Omega_s$ , then  $V$  has dimension 1. For, by (i) we can assume that  $V$  is  $\Omega$ -irreducible. Since  $\Omega_s$  commutes with  $\Omega$  elementwise and  $F$  is algebraically closed, it follows by Schur's Lemma, ([6]; Theorem 27.3), that  $\Omega_s$  is a set of scalars; i.e.,  $\Omega_s \subseteq F^*$ .  $I$ , where  $I$  is the identity matrix, and  $F^*$  denotes the multiplicative group of nonzero elements of the base field  $F$ .

Let  $\Omega_1 = \{X \text{ in } \Omega \cdot F^* \mid \det X = 1\}$ . As  $F$  is algebraically closed, so  $\Omega \subseteq \Omega_1 \cdot F^*$ , and therefore  $\Omega_1$  is also an irreducible group. Since  $(\Omega \cdot F^*)_s = \Omega_s \cdot F^* = F^* \cdot I$ , so each  $X$  in  $\Omega_1$  has a unique characteristic root of multiplicity  $n$ . For every  $X$  in  $\Omega_1$ , we have  $\text{trace } X = \text{trace } X_s$ , so that the set  $\{\text{trace } X \mid X \text{ in } \Omega_1\} \subseteq \{\lambda \text{ in } F^* \mid \lambda^n = 1\}$ , and so is finite. But, by an argument of Burnside, an irreducible group with only a finite set of trace-values is finite ([6], Theorem 36.1). Thus  $\Omega_1$  is a finite irreducible group. Since characteristic of  $F$  is zero, so every element of  $\Omega_1$  is semi-simple and  $\Omega_1 = (\Omega_1)_s \subseteq (\Omega \cdot F^*)_s = F^* \cdot I$ . So  $\Omega_1$  is an irreducible group of scalars which is possible only when the dimension  $n = 1$ .

(iii) Now we prove that  $\Omega$  has Property  $P$ . For, let  $V$  have a basis with respect to which  $\Omega \cup \Omega_s$  has the form,

$$X = \begin{bmatrix} X_1 & & & * \\ & X_2 & & \\ & & \ddots & \\ 0 & & & X_n \end{bmatrix},$$

with diagonal-blocks  $X_i$ , and possible nonzero entries only above these diagonal blocks. Suppose  $X_i$ 's cannot be reduced any further. Then the mapping  $X \rightarrow X_i$  defines a homomorphism of  $\langle \Omega \cup \Omega_s \rangle$  for each  $i$ , such that the images of  $\Omega$  and  $\Omega_s$  are, say,  $\Omega^{(i)}$  and  $\Omega_s^{(i)}$  respectively, for a fixed  $i$ . Clearly,  $(X_i)_s = (X_s)_i$ , and so  $\Omega_s^{(i)} = (\Omega^{(i)})_s$ . Since  $\Omega \cup \Omega_s$  cannot be further reduced,  $\Omega^{(i)} \cup \Omega_s^{(i)}$  is irreducible. Also  $\Omega^{(i)}$  is a group and  $\Omega_s^{(i)}$  commutes with  $\Omega^{(i)}$  elementwise. Hence by (ii), each block  $X_i$  must be of dimension 1.

(iv) Finally, by Theorem 1, combined with (iii), we immediately conclude that  $\Omega$  has Property  $T$ . Also from the proof of Theorem 3, it then follows that  $\Omega$  is nilpotent of class at-most  $(n - 1)$ , for  $n \geq 2$ , since the group of all upper triangular unipotent matrices is known to be nilpotent of class  $(n - 1)$ .

We remark that Theorem 5 shows that a nilpotent connected algebraic group has nilpotency class  $\leq (n - 1)$ . On the other hand, matrix groups of degree  $n$  and arbitrary nilpotency-class  $k \geq 1$  are known to exist, ([7], page 57). Thus we observe that such groups cannot have Property  $T$  for  $k \geq n$ . Thus, for a general matrix-group nilpotency does not imply Property  $T$ .

**COROLLARY 1.** *If  $\Omega$  is a connected algebraic group, then a necessary and sufficient condition for  $\Omega$  to have Property  $T$  is that  $\Omega_s$  be an invariant commutative algebraic subgroup of  $\Omega$ .*

This follows at once from Lemma 4 and Theorem 4.

Combining the above results we deduce the following equivalence of propositions.

**COROLLARY 2.** *For a connected algebraic group  $\Omega$ , the followings are equivalent,*

- (i)  $\Omega$  is nilpotent,
- (ii)  $\Omega$  has Property  $T$ ,
- (iii)  $\Omega_s$  is an invariant commutative algebraic subgroup of  $\Omega$ ,

(iv)  $\Omega_s$  is an algebraic subgroup in the centre of  $\Omega$ .

Lastly we note that connectivity is an essential part in our hypothesis as can be seen by taking  $\Omega$  to be a non abelian finite nilpotent group. Then  $\Omega$  can have Property  $P$  or Property  $T$  if and only if it is commutative. This follows at once from the Theorem of Maschke about the complete reducibility of finite groups: ([4]).

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