STABILITY THEOREMS FOR LIE ALGEBRAS OF DERIVATIONS

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Let $A$ be a finite dimensional algebra over a field $F$ of characteristic zero and let $L$ be a completely reducible Lie algebra of derivations of $A$. If $A$ is associative, then there exists an $L$-invariant Wedderburn factor of $A$. If $A$ is a Lie algebra, there exists an $L$-invariant Levi factor of $A$. If $A$ is a solvable Lie algebra, there exists an $L$-invariant Cartan subalgebra of $A$. This paper deals with the uniqueness of such $L$-invariant subalgebras. For the associative case the assumption of characteristic zero can be dropped if we assume that the radical of $A$ is $L$-invariant.

2. Preliminaries. If $A$ is a finite dimensional associative algebra over a field $F$ with radical $R$ such that $A/R$ is separable (that is, semisimple and remains so under every field extension of $F$), then the Wedderburn principal theorem states that there exists a separable subalgebra $S$ such that $A = S + R$, $S \cap R = \{0\}$. $S$ is called a Wedderburn factor of $A$. Since $R$ is nilpotent, for $r$ in $R$, $(1 - r)^{-1} = 1 + r + \cdots + r^{n-1}$, where $r^n = 0$. Let $C_{1-r}$ be the inner automorphism of $A$ defined by conjugation by the invertible element $1 - r$. The Malcev Theorem states that if $S$ is any separable subalgebra of $A$ and $T$ is a Wedderburn factor of $A$, then there exists $r$ in $R$ such that $C_{1-r}(S) \subseteq T$. Thus, the Wedderburn factors of $A$ are just the maximal separable subalgebras. See [4] for the above information. In §3 it is shown that if $L$ is completely reducible (every $L$-invariant subspace of $A$ has a complementary $L$-invariant subspace), $F$ arbitrary, $R$ $L$-invariant, and $S$, $T$ two $L$-invariant Wedderburn factors of $A$, then there exists an element $r$ in $R$ such that $C_{1-r}(S) = T$ and $D(r) = 0$ for all $D$ in $L$. Such an element $r$ is called an $L$-constant.

If $A$ is a Lie algebra over a field $F$ of characteristic zero and $R$ is the radical (maximal solvable ideal) of $A$, then the Levi theorem states that $A = S + R$, $S \cap R = \{0\}$, where $S$ is a semisimple subalgebra of $A$ isomorphic to $A/R$. $S$ is called a Levi factor of $A$. The Malcev-Hanish-Chandra theorem states that any two Levi factors of $A$ are conjugate by an automorphism $\exp(Adx)$, where $x$ is in $N$, the nil radical (maximal nilpotent ideal) of $A$. In §4 it is shown that for $L$ completely reducible and $S$, $T$ $L$-invariant Levi factors of $A$, then there is an $L$-constant $x$ in $N$ such that $\exp(Adx)(S) = T$.

If $A$ is a solvable Lie algebra over a field $F$ of characteristic zero, then any two Cartan subalgebras are conjugate by an automorphism
of the form \( \exp(Adx) \), for \( x \in A^\omega = \bigcap_{n=1}^{\omega} A^n \), see [2]. In §5, we show that for \( L \) completely reducible and \( S, T \) \( L \)-invariant Cartan subalgebras of \( A \), then there is a \( L \)-constant \( x \) in \( A^\omega \) such that \( \exp(Adx)(S) = T \).

In [8] Mostow considered the situation where \( G \), a completely reducible group of algebra automorphisms, acts on a finite dimensional algebra \( A \) over a field \( F \) of characteristic zero. For each of the three cases for \( A \) mentioned above, Mostow shows that there exists the corresponding kind of \( G \)-invariant subalgebra. One can use an algebraic group argument, see [1], to conclude the corresponding existence of \( L \)-invariant subalgebras. The problem of relating \( G \)-invariant subalgebras has been studied by Taft [9], and uniqueness in that case is given via automorphisms defined by fixed points of \( G \). The uniqueness results for \( L \)-invariant subalgebras (in terms of \( L \)-constants) can be shown directly, and also, for characteristic zero, can be shown to follow from the results of Taft. It should be noted that if \( x \) is an \( L \)-constant (\( G \)-fixed) then \( C^L_x \) centralizes \( L \) (or \( G \)) so that if \( S \) is an \( L \) (or \( G \)) invariant subalgebra, so is \( C^L_x(S) \).

Let \( F \) have characteristic zero. The relationship between the situations of \( L \) acting on \( A \) and that of \( G \) acting on \( A \) is given by the correspondence between a linear algebraic group and its associated Lie algebra, see Chevalley [3]. In particular, if \( G \) is an algebraic group of algebra automorphisms of \( A \), then its associated Lie algebra will consist of derivations of \( A \). Also, complete reducibility is preserved in the algebraic group-Lie algebra correspondence. The following lemma follows easily from the definition of the Lie algebra of an algebraic group. We state it for reference.

**Lemma 2.1.** Let \( V \) be a finite dimensional vector space over a field \( F \). Let \( G \) be an algebraic group of automorphisms of \( V \) and \( g \) its associated Lie algebra. If \( x \) in \( V \) is a fixed point of \( G \), then \( X(x) = 0 \) for all \( X \) in \( g \).

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3. The associative algebra case.

**Theorem 3.1.** Let \( A \) be a finite dimensional associative algebra over a field \( F \) of characteristic zero and let \( L \) be a completely reducible Lie algebra of derivations of \( A \). If \( S \) is an \( L \)-invariant semisimple subalgebra of \( A \) and \( T \) an \( L \)-invariant maximal semisimple subalgebra of \( A \), then there exists an \( L \)-constant \( r \) in \( R \), the ra-
Proof. Given $L$, let $\bar{L}$ be its algebraic hull, i.e., the smallest algebraic Lie algebra containing $L$, and let $G$ be the unique connected algebraic group of algebra automorphisms with Lie algebra $L$. Then $G$ is also completely reducible. We can apply Theorem 2 of Taft [9] to get $r$ in $R$ such that $C_{1-r}(S) \subseteq T$ and $r$ is a fixed point of $G$. By Lemma 2.1 we have that $X(r) = 0$ for all $X$ in $\bar{L}$, and $L \subseteq \bar{L}$ implies that $r$ is an $L$-constant.

**Corollary 1.** Let $A$ and $L$ be as in Theorem 3.1. Then any two $L$-invariant Wedderburn factors of $A$ are conjugate under an inner automorphism of the form $C_{1-r}$, where $r$ is an $L$-constant in $R$. Also, we may write $C_{1-r}$ in the form $\exp(Ady)$, where $y$ is an $L$-constant in $R$.

Proof. The first statement follows immediately from Theorem 3.1. Let $y = \log(1 - r) = -r - r^2/2 - r^3/3 - \cdots$. Then $X(y) = 0$ for all $x \in L$ and $C_{1-r} = C_{\exp(\log(1-r))} = \exp(Ad(\log(1 - r))) = \exp(Ady)$.

**Corollary 2.** Let $A$ and $L$ be as in Theorem 3.1. Then any $L$-invariant semisimple subalgebra $S$ of $A$ is contained in an $L$-invariant Wedderburn factor.

Proof. Let $T$ be any $L$-invariant Wedderburn factor. By Theorem 3.1 there exists an $L$-constant $r$ in $R$ such that $C_{1-r}(S) \subseteq T$. Thus, $S \subseteq (C_{1-r})^{-1}(T) = C_{1-y}(T)$, where $y = -r - r^2 - r^3 - \cdots$. Thus $y$ is an $L$-constant in $R$. If $t \in T$, then $C_{1-y}(t) = (1 + y + \cdots + y^n)t(1 - y)$, where $y^{n+1} = 0$. For $D$ in $L$, $DC_{1-y}(t) = C_{1-y}(D(t))$ since $y$ is an $L$-constant. Thus, $C_{1-y}(T)$ is $L$-invariant.

If we drop the assumption of characteristic zero in Theorem 3.1, then the uniqueness result can be proven directly with the additional hypothesis that $R$ be $L$-invariant. (This is always true for characteristic zero.) The technique used in Theorem 3.1 whereby the situation involving derivations of $A$ is carried over to the situation involving algebra automorphisms of $A$ does not, in general, carry over to the case when $F$ has characteristic $p \neq 0$. It is possible to have an algebraic Lie algebra of derivations of a finite dimensional associative algebra $A$ over a field $F$ of characteristic $p > 0$ which is not the Lie algebra of an algebraic group of algebra automorphisms of $A$. This cannot occur in characteristic zero. For example, let $G$ be a cyclic group of order $p$ and $F$ an algebraically closed field of characteristic $p$. Let $A = F(G)$, the group algebra of $G$ over $F$. Then $\{1, g, \cdots, g^{p-1}\}$ is a basis for $A$ over $F$ and $\{g - 1, \cdots, g^{p-1} - 1\}$ is a basis for the
radical $R$ of $A$. Define a map $D$ of $A$ by $D: g \to 1$ and extend $D$ to a derivation of $A$. The smallest restricted Lie algebra $L$ of linear transformations of $A$ containing $D$ is algebraic, see [5]. Since the Lie algebra of all derivations of $A$ is restricted, $L$ consists of derivations of $A$. If $G$ is any algebraic group of automorphisms of $A$ with Lie algebra $L$, then $G$ cannot consist of algebra automorphisms of $A$. If so, then $R$ would be $G$-invariant, and, hence, $L$-invariant, which is not the case.

**Theorem 3.2.** Let $A$ be a finite dimensional associative algebra over a field $F$ of arbitrary characteristic. Let $R$ be the radical of $A$ and assume $A/R$ is separable. Let $L$ be a completely reducible Lie algebra of derivations of $A$ and assume $R$ is $L$-invariant. If $S$ is an $L$-invariant separable subalgebra of $A$ and $T$ is an $L$-invariant Wedderburn factor of $A$, then there exists an $L$-constant $x$ in $R$ such that $C_{1-x}^\ast S$ carries $S$ into $T$.

**Proof.** We consider two cases:

**Case 1.** $R^2 = \{0\}$. Let $z$ in $R$ be such that $C_{1-z}(S) \subseteq T$. $z$ exists by the Malcev theorem. We claim that $D(z) \in R \cap C$, for all $D \in L$, where $C$ is the centralizer of $S$ in $A$. Given $D \in L$, define $AdD(z)$, a linear map of $A$, by $AdD(z): a \to D(z)a - aD(z)$, for $a \in A$. Using the facts that $R^2 = \{0\}$ and $R$ is $L$-invariant, we have that

$$AdD(z) = DC_{1-z} - C_{1-z}D.$$  

For $s \in S$, $AdD(z)(s) = DC_{1-z}(s) - C_{1-z}D(s) \in T$ since $S$ and $T$ are $L$-invariant and $C_{1-z}(S) \subseteq T$. By assumption, $D(z) \in R$, so $AdD(z)(S) \in R$. Hence, $AdD(z): S \to T \cap R = \{0\}$. Thus, $D(z) \in R \cap C$. $R \cap C$ is an $L$-invariant subspace of $R$, so by complete reducibility we have $R = (R \cap C) \oplus U$, where $U$ is an $L$-invariant subspace of $R$. Write $z = y + x$, where $y \in R \cap C$ and $x \in U$. Thus $x = z - y$ and for $D \in L$, $D(x) = D(z) - D(y) \in (R \cap C) \cap U = \{0\}$. Hence, $x$ is an $L$-constant, and $x = z - y$ where $y \in C$ implies that $C_{1-z}(S) = C_{1-z}(S) \subseteq T$.

If $R^2 \neq \{0\}$, we proceed by induction on the dimension of $A$. Since $R$ is $L$-invariant, we have that $L$ is a completely reducible Lie algebra of derivations of $R, T + R^2,$ and $A/R^2$, all of which have dimension less than that of $A$. Let $a \to \bar{a} = a + R^2$ denote the natural homomorphism of $A$ onto $\bar{A} = A/R^2$. Then $\bar{A}$ has radical $\bar{R}$ and $\bar{S}$ is an $L$-invariant separable subalgebra of $\bar{A}$ while $\bar{T}$ is an $L$-invariant Wedderburn factor of $\bar{A}$. By induction, there exists $\bar{v} \in \bar{R}$ such that $C_{1-\bar{v}}(\bar{S}) \subseteq \bar{T}$ and $D(\bar{v}) \in R^2$ for all $D$ in $L$. $R^2$ is an $L$-invariant subspace of $R$, so by complete reducibility, we have $R = R^2 \oplus U$, where $U$ is $L$-invariant. Let $v = z + u, z \in R^2, u \in U$. Then $u$ is an $L$-constant and $\bar{u} = \bar{v}$. Consider the algebra $T + R^2$. It has dimension less than
that of $A$, has radical $R^2$, $C_{1-u}(S)$ is an $L$-invariant separable subalgebra of it (since $u$ is an $L$-constant and $S$ is $L$-invariant) and $T$ is an $L$-invariant Wedderburn factor of $T + R^2$. By induction, there exists $r$ in $R^2$ such that $D(r) = 0$ for all $D \in L$ and $C_{1-u}C_{1-u}(S) \subseteq T$. Let $x = u + r - ur$. Then for $D \in L$, $D(x) = D(u) + D(r) - D(u)r - uD(r) = 0$. So $x$ is an $L$-constant and $C_x(S) = C_{C_x(S)}S$. 

**Corollary.** Let $A$ and $L$ be as in Theorem 3.2. Then every $L$-invariant separable subalgebra of $A$ is contained in an $L$-invariant Wedderburn factor of $A$.

The assumption that $R$ be $L$-invariant is needed in the above theorem. An example can be given of a semisimple derivation $D$ of an associative algebra $A$ over a field of characteristic 3 such that $D$ leaves invariant more than one Wedderburn factor of $A$ and $D(r) = 0$ for $r \in R$, the radical of $A$, implies that $r = 0$. Let $F$ be any field of characteristic 3 containing roots of the polynomial $x^3 + x + 1$. Let $G$ be a cyclic group of order 3, $G = \langle g \rangle, g^3 = 1$, and form the group algebra $F(G)$ of $G$ over $F$. Let $Q$ be the quaternion algebra over $F$, i.e., $Q$ has basis $\{1, i, j, k\}$ over $F$ and $i^2 = j^2 = k^2 = -1$, and $ij = k = -ji, jk = i = -kj, ki = j = -ik$. Let $A = F(G) \otimes_F Q$. Then $A$ is an associative algebra over $F$ of dimension 12. A can also be thought of as the algebra of $2 \times 2$ - matrices with entries from $F(G)$. If we write for example, $gi$ for the element $g \otimes i$ of $A$, then $A$ has basis $\{1, g_1, g^2_1, i, gi, g^2i, j, gj, g^2j, k, gk, g^2k\}$. $\{1, i, j, k\}$ forms a basis for a Wedderburn factor $W$ of $A$ and $\{g_1 - 1, g^21 - 1, gi - i, g^2i - i, gj - j, g^2j - j, gk - k, g^2k - k\}$ forms a basis for the radical $R$ of $A$. Then $R^2 = \{0\}$. Let $r \in R$ where $r = \alpha(g_1 - 1) + \beta(g^21 - 1) + \gamma(g^2k - k)$ and $\beta\gamma - \alpha\gamma = \gamma - 1, \alpha, \beta, \gamma \in F$. Consider the Wedderburn factors of $A$ obtained by applying $C_{1-r}$ to $W$. We get the following bases for the resulting Wedderburn factors:

$$
\begin{align*}
\{1, (1 + \gamma^2)i + \gamma^2gi + \gamma^2g^2i + j + (1 - \gamma)gj &+ (1 + \gamma)g^2j, -i + (\gamma - 1)gi + (-\gamma - 1)g^2i \\
+ (1 + \gamma^2)j + \gamma^2g^2j, k\} &= \{1, b_i, b_j, k\}.
\end{align*}
$$

The polynomial $X^3 + X + 1$ has three distinct roots in $F$ and for each distinct root $\gamma$ we define a distinct Wedderburn factor of $A$ by the above. Define a map $D$ of $A$ as follows:

$$
\begin{align*}
D(1) &= 0, D(g1) = g1, D(g^21) = -g^21, D(i) = gj, \\
D(gi) &= gi + g^2j, D(g^2i) = -g^2i + j, D(j) = -gi, \\
D(gj) &= -g^2i + gj, D(g^2j) = -i - g^2j, D(k) = 0, \\
D(gk) &= gk, D(g^2k) = -g^2k.
\end{align*}
$$
and extend linearly to all of $A$. Then $D$ defines a derivation of $A$, and it is easy to check that for $r \in R$, $D(r) = 0$ implies that $r = 0$. Also, $R$ is not $D$-invariant since $D(g1 - 1) = g1$ and $(g1)^3 = 1 \in R$. Also $D$ is semisimple. Consider the Wedderburn factors with bases $\{1, b_1, b_2, k\}$ obtained before, where $\gamma^3 + \gamma + 1 = 0$. Then a direct check shows that $D(b_1) = (\gamma + 1)b_2$ and $D(b_2) = -(\gamma + 1)b_1$. So all three Wedderburn factors of $A$ are $D$-invariant, and they cannot be conjugate by a $D$-constant in $R$ since the only such constant is 0.

4. The Lie algebra case.

**Theorem 4.1.** Let $A$ be a finite dimensional Lie algebra over a field of characteristic zero and $N$ its nil radical. Let $L$ be a completely reducible Lie algebra of derivations of $A$. If $S$ is an $L$-invariant semisimple subalgebra of $A$ and $T$ is an $L$-invariant Levi factor of $A$, then there exists an $L$-constant $x$ in $N$ such that $\exp(Adx)$ carries $S$ into $T$.

**Proof.** The proof is similar to that of Theorem 3.2, and the theorem also follows by using Lemma 2.1 and Theorem 4 of [9], where uniqueness is given in this situation in terms of fixed points of a group of automorphisms of $A$.

5. Solvable Lie algebras.

**Theorem 5.1.** Let $A$ be a finite dimensional solvable Lie algebra over a field of characteristic zero. Let $L$ be a completely reducible Lie algebra of derivations of $A$. If $S$ and $T$ are $L$-invariant Cartan subalgebras of $A$, then there exists $x$ in $A^\infty$ such that $x$ is an $L$-constant, and $\exp(Adx)(S) = T$.

**Proof.** An analogous proof to the theorem for groups in [9] can be given. Also the result follows by Lemma 2.1 and Theorem 6 of [9].

If $F$ has characteristic $p \neq 0$, there are examples of solvable Lie algebras with Cartan subalgebras of different dimensions. For arbitrary characteristic Winter [10] has shown that if $G$ is a completely reducible group of automorphisms of a solvable Lie algebra $A$ and $G$ has no nonzero fixed points, then $A$ has at most one $G$-invariant Cartan subalgebra. If $L$ is a completely reducible Lie algebra of derivations of a solvable Lie algebra $A$ over a field of arbitrary characteristic, then one can adapt Winter's proof to show that if $A$ has no nonzero $L$-constants, then $A$ has at most one $L$-invariant Cartan subalgebra.
6. A counter-example. Let $A$ be a finite dimensional semisimple Lie algebra over an algebraically closed field of characteristic zero and let $s$ be a semisimple automorphism of $A$. Jacobson [6] shows that there exists an $s$-invariant Cartan subalgebra in this situation. The question arises as to whether or not a uniqueness result holds in the sense dealt with previously, i.e., given two $s$-invariant Cartan subalgebras of $A$, are they conjugate by an automorphism $t$ of $A$ such that $t$ commutes with $s$? An example will be given to show that uniqueness in this sense need not hold. Let $A$ and $s$ be as above. Recall that $s$ is an invariant automorphism if it is a product

$$\exp(Adx_1) \cdots \exp(Adx_m),$$

where each $Adx_i$ is a nilpotent derivation of $A$. By a result in Borel-Mostow [2] there exists a Cartan subalgebra $H$ of $A$ which is pointwise fixed by $s$ when $s$ is also an invariant automorphism. This follows from the fact that if a regular element is left fixed by $S$, then the Cartan subalgebra it determines is left pointwise fixed. So let $s$ be an invariant automorphism of $A$ such that $H$ is a Cartan subalgebra of $A$ left pointwise fixed by $s$. Given any other $s$-stable Cartan subalgebra $T$ of $A$, if uniqueness held we would have an automorphism $t$ of $A$ such that $t: H \to T$ and $st = ts$. Then it follows that $T$ is also pointwise fixed by $s$. However, the following example shows that a semisimple invariant automorphism $s$ of a semisimple Lie algebra $A$ need not leave every $s$-stable Cartan subalgebra pointwise fixed. Let $A$ be the simple Lie algebra of $n \times n$-matrices of trace 0 over an algebraically closed field of characteristic zero. Then $A$ has dimension $n^2 - 1$ with Cartan subalgebras of dimension $n - 1$. Let $H$ denote the diagonal matrices of trace 0. Then $H$ has dimension $n - 1$ with basis $X_i$, $2 \leq i \leq n$, where $X_i$ has 1 in the $(1, 1)$-position and $-1$ in the $(i, i)$-position with zeros elsewhere. Let $M$ be the invertible $n \times n$-matrix with 1's in the $(i, i + 1)$-position, $1 \leq i \leq n - 1$, 1 in the $(n, 1)$-position, and zero elsewhere. Define an automorphism $s$ of $A$ by $s: N \to M^{-1}NM$ for $n \in A$. Then $s$ is an invariant automorphism of $A$, Jacobson [7, p. 283]. Since $M^* = I$, $s$ has order at most $n$, and so $s$ is semisimple. Thus by the result of Borel-Mostow we know that there exists a Cartan subalgebra of $A$ left pointwise fixed by $s$. One checks directly that $s$ acts on $H$ as follows: $s(X_i) = X_{i+1} - X_2$ for $2 \leq i \leq n - 1$ and $s(X_n) = -X_2$. Thus, $H$ is not pointwise fixed by $s$, and it also follows that $s$ has order exactly $n$. 


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UNIVERSITY OF WISCONSIN
Robert Alexander Adams, *Compact Sobolev imbeddings for unbounded domains* ......................................................... 1
Bernhard Amberg, *Groups with maximum conditions* ......................... 9
Tom M. (Mike) Apostol, *Möbius functions of order k* ......................... 21
Stefan Bergman, *On an initial value problem in the theory of two-dimensional transonic flow patterns* ......................... 29
Geoffrey David Downs Creede, *Concerning semi-stratifiable spaces* .......... 47
Edmond Dale Dixon, *Matric polynomials which are higher commutators* ......................... 55
R. L. Duncan, *Some continuity properties of the Schnirelmann density. II* ......................... 65
Peter Larkin Duren and Allen Lowell Shields, *Coefficient multipliers of $H^p$ and $B^p$ spaces* ......................... 69
Hector O. Fattorini, *On a class of differential equations for vector-valued distributions* ......................... 79
Charles Hallahan, *Stability theorems for Lie algebras of derivations* ........ 105
Heinz Helfenstein, *Local isometries of flat tori* ......................... 113
Gerald J. Janusz, *Some remarks on Clifford’s theorem and the Schur index* ......................... 119
Joe W. Jenkins, *Symmetry and nonsymmetry in the group algebras of discrete groups* ......................... 131
Herbert Frederick Kreimer, Jr., *Outer Galois theory for separable algebras* ......................... 147
D. G. Larman and P. Mani, *On visual hulls* ......................... 157
R. Robert Laxton, *On groups of linear recurrences. II. Elements of finite order* ......................... 173
Dong Hoon Lee, *The adjoint group of Lie groups* ......................... 181
James B. Lucke, *Commutativity in locally compact rings* ......................... 187
Charles Harris Scanlon, *Rings of functions with certain Lipschitz properties* ......................... 197
Binyamin Schwarz, *Totally positive differential systems* ......................... 203
James McLean Sloss, *The bending of space curves into piecewise helical curves* ......................... 231
James D. Stafney, *Analytic interpolation of certain multiplier spaces* ......................... 241
Patrick Noble Stewart, *Semi-simple radical classes* ......................... 249
Hiroyuki Tachikawa, *On left QF − 3 rings* ......................... 255