

Some cardinal functions on algebras II

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In [2], knowledge of which is assumed here, the relationships between the cardinals $|A|$, $|\text{Aut } \mathfrak{A}|$, $|\text{Sub } \mathfrak{A}|$, and $|\text{Con } \mathfrak{A}|$ were completely described, assuming that $|A| \geq \aleph_0$ and that the GCH holds. The purpose here is to do the same thing for the cardinals $|A|$, $|\text{Aut } \mathfrak{A}|$, $|\text{End } \mathfrak{A}|$, and $|\text{Sub } \mathfrak{A}|$. The results here are easy adaptations from [2] and Gould, and Platt [1] except for Lemma 7. The construction in Lemma 7 is a generalization of an example by Ralph McKenzie of a denumerable algebra \mathfrak{A} with $|\text{Aut } \mathfrak{A}| = 1$, $|\text{End } \mathfrak{A}| = 2^{\aleph_0}$, and $|\text{Sub } \mathfrak{A}| = \aleph_0$; another denumerable algebra with these properties was constructed by James S. Johnson.

First we consider the case of ‘large’ \mathfrak{A} , i.e., algebras \mathfrak{A} with $|\text{End } \mathfrak{A}| \leq |A|$. In this case we shall just generalize slightly a construction of Gould and Platt [1].

LEMMA 1. *Let \mathfrak{M} be a monoid in which every element is either right cancellative or a right zero. Let $m \geq |M| + \aleph_0$. Then there is an algebra \mathfrak{A} such that $|A| = m$, $\text{End } \mathfrak{A}$ contains \mathfrak{M} as a submonoid, $|\text{Sub } \mathfrak{A}| = 2$, and the subalgebra generated by the empty set has power m .*

Proof. We modify slightly the proof of sufficiency in Theorem 3 of [1]. We may assume that $(S_0 \cup S_1) \cap m = 0$. Note that $|M| \leq |S_0 \cup S_1| \leq |M| + \aleph_0$. Let $A = S_0 \cup S_1 \cup m$. Thus $|A| = m$. We extend f_2^y to A by setting $f_2^y \alpha = \alpha$ for all $\alpha < m$. Let $\mathfrak{A} = \langle A, a, f_2^y \rangle_{a \in S_0 \cup m; y, z \in S_1}$. The desired properties of \mathfrak{A} are easily checked.

Now we can apply the proofs of Theorems 1 and 2 of [1] to obtain the following result:

THEOREM 2. *Let \mathfrak{M} be a monoid in which every element is either right cancellative or a right zero. Assume that $m \geq |M| + \aleph_0$. Let \mathfrak{Q} be an algebraic lattice with at least two elements, with $|\text{Cmp } L| \leq m$. Then there is an algebra \mathfrak{A} such that $|A| = m$, $\text{End } \mathfrak{A} \cong \mathfrak{M}$, and $\text{Sub } \mathfrak{A} \cong \mathfrak{Q}$.*

Next, we treat the case in which both $\text{End } \mathfrak{A}$ and $\text{Aut } \mathfrak{A}$ are big, while $\text{Sub } \mathfrak{A}$ is small. Note by Lemma 2 of [2], valid also for $\text{End } \mathfrak{A}$ in place of $\text{Aut } \mathfrak{A}$, that if $|\text{End } \mathfrak{A}| > |A|$ then in $\text{Sub } \mathfrak{A}$ the unit element is not a sum of $< m$ compact elements, where m is the least cardinal such that $|A|^m > |A|$.

LEMMA 3. Let $m \geq \aleph_0$, and let n be the least cardinal such that $m^n > m$. Then there is an algebra \mathfrak{A} such that $|A| = m$, $|\text{Sub } \mathfrak{A}| = n$, and $|\text{Aut } \mathfrak{A}| = |\text{End } \mathfrak{A}| = m^n$.

Proof. We use exactly the algebra of Lemma 3 of [2]. We must determine the endomorphisms of this algebra. Obviously each map r_α , $\alpha < n$, is an endomorphism of \mathfrak{A} . We claim that any endomorphism ψ of \mathfrak{A} which is not an automorphism has the form $\varphi_x \circ r_\alpha$, and hence $|\text{End } \mathfrak{A}| = m^n$. To prove this, first note

(1) $x = r_\alpha x$ iff $\text{Dmn } x \leq \alpha$.

Now for any x , say with $\text{Dmn } x = \alpha$, we have $\psi x = \psi r_\alpha x = r_\alpha \psi x$, so by (1), $\text{Dmn } \psi x \leq \alpha$. Thus

(2) $\text{Dmn } \psi x \leq \text{Dmn } x$ for all $x \in A$.

As in [2] one sees that

(3) if $\text{Dmn } \psi x = \text{Dmn } x$ for all $x \in A$, then ψ is an automorphism.

By (2) and (3), fix $x \in A$ such that $\text{Dmn } \psi x < \text{Dmn } x$. Let $\alpha = \text{Dmn } \psi x$. Now

(4) if $\text{Dmn } x \leq \text{Dmn } y$ then $\text{Dmn } \psi y = \alpha$.

For, write $\text{Dmn } x = \beta$. Then for some z , $x = t_z r_\beta y$, so $\psi x = t_z r_\beta \psi y$, so $\text{Dmn } \psi y = \alpha$. Also,

(5) if $\alpha \leq \text{Dmn } y < \text{Dmn } x$, then $\text{Dmn } \psi y = \alpha$.

For, write $y = t_z r_\beta x$, where $\beta = \text{Dmn } y$. Then $\psi y = t_z r_\beta \psi x$, so $\text{Dmn } \psi y = \alpha$.

Now let u have domain α , with $u_\beta = \text{identity}$ for all $\beta < \alpha$. Thus by (5), $\text{Dmn } \psi u = \alpha$. Let $y = \psi u \cup \langle \text{identity} : \alpha \leq \beta < n \rangle$. We claim that $\psi = \varphi_y \circ r_\alpha$. Let $z \in A$ be arbitrary. We distinguish two cases.

Case 1. $\alpha \leq \text{Dmn } z$. Then $\text{Dmn } \psi z = \alpha$ by (4), (5), so, with $r_\alpha z \subseteq w \in B$,

$$\psi z = r_\alpha \psi z = \psi r_\alpha z = \psi t_w u = t_w \psi u = \varphi_y r_\alpha z.$$

Case 2. $\text{Dmn } z < \alpha$. Say $\text{Dmn } z = \beta$. Then with $z \subseteq w \in B$,

$$\psi z = \psi t_w r_\beta u = t_w r_\beta \psi u = \varphi_y r_\alpha z.$$

This completes the proof.

THEOREM 4. Assume that $m \geq \aleph_0$, and let n be the least cardinal such that $m^n > m$. Assume that $n \leq p \leq m$. Then there is an algebra \mathfrak{A} such that $|A| = m$, $|\text{Sub } \mathfrak{A}| = p$, and $|\text{Aut } \mathfrak{A}| = |\text{End } \mathfrak{A}| = m^n$.

Proof. Let \mathfrak{C} be formed as in Lemma 4 of [2], except without the operation h . It is clear that $|C| = m$, $|\text{Sub } \mathfrak{C}| = p$, and $|\text{Aut } \mathfrak{C}| = m^n$. It remains only to check that $|\text{End } \mathfrak{C}| = m^n$. If $\psi \in \text{End } \mathfrak{A}$ and $\alpha < p$, define $\chi_{\psi\alpha} x = \psi x$ if $x \in A$, and $\chi_{\psi\alpha} b_\beta = b_{\alpha \cap \beta}$. Then $\chi_{\psi\alpha} \in \text{End } \mathfrak{C}$. To prove this, first note

(1) $\psi b_0 = b_0$.

For, $\psi b_0 = \psi r_0 b_0 = r_0 \psi b_0 = 0 = b_0$.

Obviously $\chi_{\psi\alpha}$ preserves the operations f_i^+ . Also we have

$$\chi_{\psi\alpha} S_\beta b_\gamma = b_{\alpha \cap \beta \cap \gamma} = S_\beta \chi_{\psi\alpha} b_\gamma,$$

so $\chi_{\psi\alpha} \in \text{End } \mathfrak{C}$. If $\psi \in \text{End } \mathfrak{A}$, then $\psi^+x = \psi x$, $\psi^+b_\alpha = b_\alpha$ for $b_\alpha \in B$ defines an endomorphism ψ^+ of \mathfrak{C} .

Now let $\varphi \in \text{End } \mathfrak{C}$; we claim that φ has the form ψ^+ or $\chi_{\psi\alpha}$. To prove this, first note

$$(2) \quad \forall x \in A \quad (\varphi x \in A).$$

For, suppose $x \in A$ and $\varphi x = b_\alpha$. Then $b_0 = S_0 b_\alpha = S_0 \varphi x = \varphi S_0 x = \varphi x = b_\alpha$, so $\varphi x = b_\alpha = b_0 \in A$. Also,

$$(3) \quad \varphi b_0 = b_0.$$

For, $\varphi b_0 = \varphi r_0 b_0 = r_0 \varphi b_0 = 0 = b_0$ by (2). Next,

$$(4) \quad \forall x \in B \quad (\varphi x \in B \cup \{b_0\}).$$

For, suppose $\varphi b_\alpha = x \in A$ with $\alpha > 0$. Then $x = S_0 x = S_0 \varphi b_\alpha = \varphi S_0 b_\alpha = \varphi b_0 = b_0$.

By (2), (3), (4) it is clear that if $\varphi \upharpoonright B$ is the identity then φ is ψ^+ for some $\psi \in \text{End } \mathfrak{A}$. So, assume $\varphi b_\alpha = b_\beta$ where $b_\alpha, b_\beta \in B \cup \{b_0\}$ and $\alpha \neq \beta$. If $\alpha < \beta$, then $b_\beta = \varphi b_\alpha = \varphi S_\alpha b_\alpha = S_\alpha \varphi b_\alpha = S_\alpha b_\beta = b_\alpha$, contradiction. Thus $\beta < \alpha$. If $\alpha \leq \gamma$, then

$$b_\beta = \varphi b_\alpha = \varphi S_\alpha b_\gamma = S_\alpha \varphi b_\gamma,$$

so $\varphi b_\gamma = b_\beta$. If $\beta \leq \gamma < \alpha$, then

$$\varphi b_\gamma = \varphi S_\gamma b_\alpha = S_\gamma \varphi b_\alpha = S_\gamma b_\beta = b_\beta.$$

Finally, if $\gamma < \beta$, then

$$\varphi b_\gamma = \varphi S_\gamma b_\beta = S_\gamma \varphi b_\beta = S_\gamma b_\beta = b_\gamma.$$

Thus φ has the form $\chi_{\psi\beta}$.

Now we take up the construction of an algebra \mathfrak{A} with $\text{Aut } \mathfrak{A}$ small and $\text{End } \mathfrak{A}$, $\text{Sub } \mathfrak{A}$ big. The construction depends on the following lemma.

LEMMA 5. For any $m \geq \aleph_0$ there is an algebra \mathfrak{A} such that $|A| = m$, $|\text{End } \mathfrak{A}| = 2^m$, $|\text{Aut } \mathfrak{A}| = 1$, and $|\text{Sub } \mathfrak{A}| = 2^m$.

Proof. Let $\mathfrak{A} = \langle m, \cap \rangle$. Then, as is easily seen,

(1) for any $X \subseteq m$, X is a subalgebra of \mathfrak{A} ;

(2) $f \in \text{End } \mathfrak{A}$ iff $\forall \alpha, \beta \in m \quad (\alpha \leq \beta \Rightarrow f\alpha \leq f\beta)$

From (2) it follows that any automorphism of \mathfrak{A} is an order-preserving map of m onto m ; hence only the identity is an automorphism of \mathfrak{A} .

Now we exhibit 2^m endomorphisms of \mathfrak{A} . For any $f \in 2^m$ let $g_f: m \rightarrow m$ be defined as follows. Given $\gamma < m$, write $\gamma = \omega \cdot \alpha + m$ with $\alpha < m$, $m < \omega$. Set $g_f \gamma = \omega \cdot \alpha + f\alpha$. Then g_f is an endomorphism of \mathfrak{A} . For, suppose that $\gamma \leq \delta < m$. Write $\gamma = \omega \cdot \alpha + m$, $\delta = \omega \cdot \beta + n$. If $\alpha < \beta$, then $g_f \gamma < g_f \delta$. If $\alpha = \beta$, then $g_f \gamma = g_f \delta$. Hence by (2), $g_f \in \text{End } \mathfrak{A}$. Obviously $g_f \neq g_{f'}$ if $f \neq f'$. This completes the proof.

THEOREM 6. If \mathfrak{G} is a group with $|G| \leq m$, then there is an algebra \mathfrak{A} with $|A| = m$, $\text{Aut } \mathfrak{A} \cong \mathfrak{G}$, and $|\text{Sub } \mathfrak{A}| = |\text{End } \mathfrak{A}| = 2^m$.

Proof. Let \mathfrak{A} be as in Lemma 5, and let \mathfrak{B} be an algebra with $|B| = m$ and $\text{Aut } \mathfrak{B} \cong \mathfrak{G}$. We may assume that $A \cap B = 0$ and $(A \cup B) \cap 2 = 0$. Let $C = A \cup B \cup 2$. For f_i a fundamental operation of \mathfrak{A} we define f_i^+ on C :

$$f_i^+(x_0, \dots, x_{m-1}) = \begin{cases} f_i(x_0, \dots, x_{m-1}) & \text{if all } x_i \in A, \\ x_0 & \text{otherwise.} \end{cases}$$

Similarly the operations g_j of \mathfrak{B} are extended to operations g_j^+ on C . The algebra \mathfrak{C} is to consist of all operations f_i^+ , g_j^+ , the distinguished elements 0, 1, and the following unary operation k :

$$kx = \begin{cases} 0 & x \in A \cup \{0\}, \\ 1 & x \in B \cup \{1\}. \end{cases}$$

Clearly

(1) if $X \in \text{Sub } \mathfrak{A}$, then $X \cup \{0, 1\} \in \text{Sub } \mathfrak{C}$.

Thus $|\text{Sub } \mathfrak{C}| = 2^m$.

Next, if h is an endomorphism of \mathfrak{A} , define for any $x \in C$

$$h^+x = \begin{cases} hx & \text{if } x \in A, \\ x & \text{if } x \in B \cup \{0, 1\}. \end{cases}$$

It is easily checked that h^+ is an endomorphism of \mathfrak{C} . Thus $|\text{End } \mathfrak{C}| = 2^m$.

Now if h is an automorphism of \mathfrak{B} , define for any $x \in C$

$$h'x = \begin{cases} hx & \text{if } x \in B, \\ x & \text{if } x \in A \cup \{0, 1\}. \end{cases}$$

Then h' is an automorphism of \mathfrak{C} . Finally we must show that any automorphism l of \mathfrak{C} has the form h' . Clearly $l0 = 0$ and $l1 = 1$. Suppose $la = b$ with $a \in A$, $b \in B$. Then

$$1 = kb = kla = ka = 0 = 0,$$

a contradiction. Thus $l^*A \subseteq A$. Similarly $l^*B \subseteq B$, so $l^*A = A$ and $l^*B = B$. Now $l \upharpoonright A \in \text{Aut } \mathfrak{A}$, so $l \upharpoonright A = \text{identity on } A$. Thus l has the form h' .

Our final aim is to produce an algebra \mathfrak{A} in which $\text{Aut } \mathfrak{A}$ and $\text{Sub } \mathfrak{A}$ are small while $\text{End } \mathfrak{A}$ is big.

LEMMA 7. Let $m \geq \aleph_0$, and let n be minimal such that $m^n > m$. Then there is an algebra \mathfrak{A} such that $|A| = m$, $|\text{Aut } \mathfrak{A}| = 1$, $|\text{End } \mathfrak{A}| = m^n$, and $|\text{Sub } \mathfrak{A}| = n$.

Proof. Let $Y = \bigcup_{\alpha < n} {}^\alpha m$, let X be a set disjoint from Y with $|X| = n$, and let $A = X \cup Y$. For each $\alpha < n$ we introduce an operation f_α on A . Let $X = \{x_\alpha : \alpha < n\}$ with x one-one. For all $\alpha, \beta < n$ let $f_\alpha x_\beta = x_{\alpha \cap \beta}$. For any $y \in Y$ let $f_\alpha y = y \upharpoonright \alpha$. In addition,

for any $y \in Y$ introduce the constant operation g_y on A with value y . Let $\mathfrak{A} = \langle A, f_\alpha, g_y \rangle_{\alpha < \kappa, y \in Y}$. The subalgebras of \mathfrak{A} are the empty set and all subsets of A of the form $\{x_\beta : \beta < \alpha\} \cup Y$, where $\alpha \leq \kappa$. Thus $|\text{Sub } \mathfrak{A}| = \kappa$. It is easily seen that \mathfrak{A} has only the identity automorphism. Also, it is easily checked that the following are the only non-identity endomorphisms of \mathfrak{A} . For $z \in \kappa$, the following operation h_z on A : $h_z x_\alpha = z \upharpoonright \alpha$, h_z the identity on Y . For $z \in \kappa$, $\alpha < \kappa$, an operation $h'_{z\alpha}$ on A : $h'_{z\alpha} x_\beta = z \upharpoonright \alpha \cap \beta$, $h'_{z\alpha}$ the identity on Y . Finally, for any $\alpha < \kappa$ an operation h''_α on A : $h''_\alpha x_\beta = x_{\alpha \cap \beta}$, h''_α the identity on Y .

LEMMA 8. Let $\kappa \geq \aleph_0$, and let κ be minimal such that $\kappa^n > \kappa$. Let $\kappa \leq p \leq \kappa^n$; then there is an algebra \mathfrak{A} such that $|A| = \kappa$, $|\text{Sub } \mathfrak{A}| = p$, $|\text{Aut } \mathfrak{A}| = 1$, and $|\text{End } \mathfrak{A}| = \kappa^n$.

Proof. The proof of Lemma 4 of [2], without the operation h , easily gives the desired result (see the proof of Theorem 4 above).

THEOREM 9. Let $\kappa \geq \aleph_0$, let κ be minimal such that $\kappa^n > \kappa$, and let $\kappa \leq p \leq \kappa^n$. Suppose \mathfrak{G} is a group such that $|G| \leq \kappa$. Then there is an algebra \mathfrak{A} such that $|A| = \kappa$, $\text{Aut } \mathfrak{A} \cong \mathfrak{G}$, $|\text{End } \mathfrak{A}| = \kappa^n$, and $|\text{Sub } \mathfrak{A}| = p$.

Proof. Let \mathfrak{A} be as in Lemma 8, and let \mathfrak{B} be an algebra such that $|B| = \kappa$, $\text{Aut } \mathfrak{B} \cong \mathfrak{G}$, and $\text{Sub } \mathfrak{B} = \{0, B\}$. Form \mathfrak{C} by the process of the proof of Theorem 6. Obviously then $\text{Aut } \mathfrak{C} \cong \mathfrak{G}$ and $|\text{Sub } \mathfrak{C}| = p$. The endomorphisms of \mathfrak{C} are as follows. For h an endomorphism of \mathfrak{A} , let

$$h^+ x = \begin{cases} hx & \text{if } x \in A, \\ 0 & \text{if } x = 0, \\ 1 & \text{if } x \in B \cup \{1\}. \end{cases}$$

Then h^+ is an endomorphism of \mathfrak{C} . Similarly define l' for $l \in \text{End } \mathfrak{B}$. Finally, for $h \in \text{End } \mathfrak{A}$, $l \in \text{End } \mathfrak{B}$ define

$$(h, l)^* x = \begin{cases} hx & \text{if } x \in A, \\ x & \text{if } x \in \{0, 1\}, \\ lx & \text{if } x \in B. \end{cases}$$

The maps l' and $(h, l)^*$ are also endomorphisms of \mathfrak{C} . To see that any endomorphism of \mathfrak{C} is of one of these forms, the only hard step is to check the following statement:

- (1) if $s \in \text{End } \mathfrak{C}$ and $sa = 0$ for some $a \in A$, then $sx = x$ for all $x \in A$.

The proof of this statement relies on the particular construction of \mathfrak{A} . In fact, let $R = \{(x, y) \in {}^2 A : x = y \text{ or for some operation } t \text{ of } \mathfrak{A}, tx = y \text{ or } ty = x\}$. Then (1) follows from the following two easily checked statements:

- (2) ${}^2 A$ is the transitive closure of R ;
 (3) if xRy , $s \in \text{End } \mathfrak{C}$, and $sx = 0$, then $sy = 0$.

The main theorem of this note now follows:

THEOREM 10. Assume GCH. Let m, n, p, q be cardinals such that $m \geq \aleph_0$ and $q > 1$. Then the following conditions are equivalent:

- (i) there is an algebra \mathfrak{A} such that $|A| = m$, $|\text{Aut } \mathfrak{A}| = n$, $|\text{End } \mathfrak{A}| = p$, and $|\text{Sub } \mathfrak{A}| = q$;
- (ii) one of these conditions holds:
 - (1) $1 \leq n \leq p \leq m$ and $q \leq m^+$,
 - (2) $1 \leq n \leq p = m^+$ and $\text{cf } m \leq q \leq m^+$.

REFERENCES

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