

## Some cardinal functions on algebras II

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In [2], knowledge of which is assumed here, the relationships between the cardinals  $|A|$ ,  $|\text{Aut } \mathfrak{U}|$ ,  $|\text{Sub } \mathfrak{U}|$ , and  $|\text{Con } \mathfrak{U}|$  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  $|A|$ ,  $|\text{Aut } \mathfrak{U}|$ ,  $|\text{End } \mathfrak{U}|$ , and  $|\text{Sub } \mathfrak{U}|$ . 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  $\mathfrak{U}$  with  $|\text{Aut } \mathfrak{U}| = 1$ ,  $|\text{End } \mathfrak{U}| = 2^{\aleph_0}$ , and  $|\text{Sub } \mathfrak{U}| = \aleph_0$ ; another denumerable algebra with these properties was constructed by James S. Johnson.

First we consider the case of ‘large’  $\mathfrak{U}$ , i.e., algebras  $\mathfrak{U}$  with  $|\text{End } \mathfrak{U}| \leq |A|$ . 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  $\mathfrak{U}$  such that  $|A| = m$ ,  $\text{End } \mathfrak{U}$  contains  $\mathfrak{M}$  as a submonoid,  $|\text{Sub } \mathfrak{U}| = 2$ , 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  $\mathfrak{U} = \langle A, a, f_2^y \rangle_{a \in S_0 \cup m; y, z \in S_1}$ . The desired properties of  $\mathfrak{U}$  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  $\mathfrak{L}$  be an algebraic lattice with at least two elements, with  $|\text{Cmp } L| \leq m$ . Then there is an algebra  $\mathfrak{U}$  such that  $|A| = m$ ,  $\text{End } \mathfrak{U} \cong \mathfrak{M}$ , and  $\text{Sub } \mathfrak{U} \cong \mathfrak{L}$ .*

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

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

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

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

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

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

As in [2] one sees that

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

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

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

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,

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

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  $\alpha$ , 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  $\mathfrak{U}$  such that  $|A| = m$ ,  $|\text{Sub } \mathfrak{U}| = p$ , and  $|\text{Aut } \mathfrak{U}| = |\text{End } \mathfrak{U}| = m^n$ .

*Proof.* Let  $\mathfrak{C}$  be formed as in Lemma 4 of [2], except without the operation  $h$ . It is clear that  $|\mathfrak{C}| = m$ ,  $|\text{Sub } \mathfrak{C}| = p$ , and  $|\text{Aut } \mathfrak{C}| = m^n$ . It remains only to check that  $|\text{End } \mathfrak{C}| = m^n$ . If  $\psi \in \text{End } \mathfrak{U}$  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

$$(1) \quad \psi b_0 = b_0.$$

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

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

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

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,

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

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

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

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  $\varphi|B$  is the identity then  $\varphi$  is  $\psi^+$  for some  $\psi \in \text{End } \mathfrak{U}$ . 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  $\varphi$  has the form  $\chi_{\psi\beta}$ .

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

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

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

- (1) for any  $X \subseteq m$ ,  $X$  is a subalgebra of  $\mathfrak{U}$ ;
- (2)  $f \in \text{End } \mathfrak{U}$  iff  $\forall \alpha, \beta \in m (\alpha \leq \beta \Rightarrow f\alpha \leq f\beta)$

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

Now we exhibit  $2^m$  endomorphisms of  $\mathfrak{U}$ . 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  $\mathfrak{U}$ . 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),  $g_f \in \text{End } \mathfrak{U}$ . 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  $\mathfrak{U}$  with  $|A| = m$ ,  $\text{Aut } \mathfrak{U} \cong \mathfrak{G}$ , and  $|\text{Sub } \mathfrak{U}| = |\text{End } \mathfrak{U}| = 2^m$ .*

*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  $A \cap B = \emptyset$  and  $(A \cup B) \cap 2 = \emptyset$ . 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

$$l=kb=kla=ka=0=0,$$

a contradiction. Thus  $l^*A \subseteq A$ . Similarly  $l^*B \subseteq B$ , so  $l^*A = A$  and  $l^*B = B$ . Now  $l|A \in \text{Aut } \mathfrak{A}$ , so  $l|A = \text{identity on } A$ . 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  $m \geq n_0$ , 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  $f_\alpha$  on  $A$ . Let  $X = \{x_\alpha : \alpha < n\}$  with  $x$  one-one. For all  $\alpha, \beta < n$  let  $f_\alpha x_\beta = x_{\alpha \wedge \beta}$ . 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  $\mathfrak{U} = \langle A, f_\alpha, g_y \rangle_{\alpha < n, y \in Y}$ . The subalgebras of  $\mathfrak{U}$  are the empty set and all subsets of  $A$  of the form  $\{x_\beta : \beta < \alpha\} \cup Y$ , where  $\alpha \leq n$ . Thus  $|\text{Sub } \mathfrak{U}| = n$ . It is easily seen that  $\mathfrak{U}$  has only the identity automorphism. Also, it is easily checked that the following are the only non-identity endomorphisms of  $\mathfrak{U}$ . For  $z \in m$ , the following operation  $h_z$  on  $A : h_z x_\alpha = z \upharpoonright \alpha$ ,  $h_z$  the identity on  $Y$ . For  $z \in m$ ,  $\alpha < n$ , an operation  $h'_{za}$  on  $A : h'_{za} x_\beta = z \upharpoonright \alpha \cap \beta$ ,  $h'_{za}$  the identity on  $Y$ . Finally, for any  $\alpha < n$  an operation  $h''_\alpha$  on  $A : h''_\alpha x_\beta = x_{\alpha \cap \beta}$ ,  $h''_\alpha$  the identity on  $Y$ .

**LEMMA 8.** *Let  $m \geq N_0$ , and let  $n$  be minimal such that  $m^n > m$ . Let  $n \leq p \leq m$ ; then there is an algebra  $\mathfrak{U}$  such that  $|A| = m$ ,  $|\text{Sub } \mathfrak{U}| = p$ ,  $|\text{Aut } \mathfrak{U}| = 1$ , and  $|\text{End } \mathfrak{U}| = m^n$ .*

*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  $m \geq N_0$ , let  $n$  be minimal such that  $m^n > m$ , and let  $n \leq p \leq m$ . Suppose  $G$  is a group such that  $|G| \leq m$ . Then there is an algebra  $\mathfrak{U}$  such that  $|A| = m$ ,  $\text{Aut } \mathfrak{U} \cong G$ ,  $|\text{End } \mathfrak{U}| = m^n$ , and  $|\text{Sub } \mathfrak{U}| = p$ .*

*Proof.* Let  $\mathfrak{U}$  be as in Lemma 8, and let  $\mathfrak{B}$  be an algebra such that  $|B| = m$ ,  $\text{Aut } \mathfrak{B} \cong G$ , and  $\text{Sub } \mathfrak{B} = \{0, B\}$ . Form  $\mathfrak{C}$  by the process of the proof of Theorem 6. Obviously then  $\text{Aut } \mathfrak{C} \cong G$  and  $|\text{Sub } \mathfrak{C}| = p$ . The endomorphisms of  $\mathfrak{C}$  are as follows. For  $h$  an endomorphism of  $\mathfrak{U}$ , 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  $h \in \text{End } \mathfrak{U}$ ,  $l \in \text{End } \mathfrak{B}$  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  $\mathfrak{U}$ . In fact, let  $R = \{(x, y) \in {}^2 A : x = y \text{ or for some operation } t \text{ of } \mathfrak{U}, tx = y \text{ or } ty = x\}$ . 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  $c \nmid m \leq q \leq m^+$ .

#### REFERENCES

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