

HIGHER DERIVATIONS OF WILDLY RAMIFIED v -RINGS

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1. Introduction and results. In a number of recent papers Heerema [2], [4], Neggers [6], and the author [5], have used techniques involving the lifting of derivations and (infinite) higher derivations from the residue field k , of a local ring R , to derivations and higher derivations of R . These papers are concerned with the automorphism structure of complete regular local rings. In this paper we will identify the group of higher derivations of k which lift to R when R is a wildly ramified v -ring with ramification p over an unramified v -subring. In particular let R_e be a ramified v -ring with ramification e . That is, R_e is a complete, discrete, rank one, valuation ring having characteristic zero with residue field k of characteristic p (p prime $\neq 2$) and pR_e is the e th power of the maximal ideal M of R_e . If $e=1$ or $(e, p)=1$ then all higher derivations of k lift to higher derivations of R_e [1, Theorem 1, p. 575], [7, Theorem 3.4, p. 24]. We determine which higher derivations of k lift in the simplest wildly ramified case, when $e=p$, and generalize a theorem first proved by Wishart [7, Theorem 3.18, p. 44] characterizing those rings R_p with the property that all higher derivations of k lift.

The symbol π will always denote a prime element of R_p and \bar{a} the residue of $a \in R_p$. We have, $\pi^p + pu = 0$, $\bar{u} \neq 0$, and if $\bar{u} \notin k^p$, π can be chosen so that $\pi^p + p(1 + \pi^t \bar{w}) = 0$, $t > 0$ and $\bar{w} \neq 0$, or so that $\pi^p + p = 0$. It is not difficult [5, Lemma 2.3] to see that π can be chosen to satisfy precisely one of the following:

$$(1.1) \quad \pi^p + pu = 0, \quad \bar{u} \notin k^p.$$

$$(1.2, t) \quad \pi^p + p(1 + \pi^t \bar{w}) = 0, \quad 1 \leq t \leq p, \quad \bar{w} \neq 0, \quad \text{and} \quad \bar{w} \notin k^p \\ \text{when } t = p.$$

$$(1.3) \quad \pi^p + p(1 + \pi^{p+1} \bar{w}) = 0.$$

We may identify now two parameters, expo R_p and res R_p [5], which will have a decisive role in this study.

$$\begin{aligned} \text{expo } R_p &= 0 && \text{if } \pi \text{ satisfies 1.1.} \\ (1.4) \quad &= t && \text{if } \pi \text{ satisfies 1.2, } t. \\ &= p + 1 && \text{if } \pi \text{ satisfies 1.3.} \end{aligned}$$

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$$\begin{aligned}
 \text{res } R_p &= \bar{u} \quad \text{if } \pi \text{ satisfies 1.1.} \\
 (1.5) \quad &= \bar{r} \quad \text{if } \pi \text{ satisfies 1.2, t or 1.3 and } \bar{r}^n = \bar{w} \text{ with } \bar{r} \notin k^p. \\
 &= 0 \quad \text{otherwise.}
 \end{aligned}$$

Equation 1.5 does not uniquely determine $\text{res } R_p$. However, $\text{res } R_p$ is uniquely determined, mod k^p , either with respect to addition or multiplication, and this will be sufficient for our purposes. The quantity $\text{expo } R_p$ is uniquely determined by 1.4.

We let G_D be the group of derivation automorphisms of R_p , and G_S the group of strongly convergent derivation automorphisms of R_p [5]. The symbols u and w will always be used as above.

We now state the results of this study.

THEOREM. *The higher derivation $\{\delta_i\}$ of k lifts to a higher derivation of R_p if and only if $\delta_i(\text{res } R_p) = 0$ for each i with the following exceptions. If $\text{expo } R_p = 0$ then $\{\delta_i\}$ lifts if and only if $(\text{res } R_p)^{-1}\delta_{ip}(\text{res } R_p) \in k^p$ for each i and $\delta_i(\text{res } R_p) = 0$ when $p \nmid i$. If $\text{expo } R_p = p$ then $\{\delta_i\}$ lifts if only if $\delta_{ip}(\text{res } R_p) \in k^p$ for each i and $\delta_i(\text{res } R_p) = 0$ when $p \nmid i$.*

COROLLARY A. *All higher derivations of k lift to higher derivations of R_p if and only if $\text{res } R_p = 0$.*

COROLLARY B. *All higher derivations of k lift to higher derivations of R_p if and only if $G_D = G_S$ and $p \nmid \text{expo } R_p$.*

II. Proofs and an application. Throughout this paper R will denote an unramified v -subring of R_p with $[R_p:R] = p$, π a prime element of R_p assumed to satisfy one of the equations 1.1, (1.2, t), 1.3, $H(R, R_p)$ the set of higher derivations of R into R_p , $H(k)$ the group of higher derivations of k , k^0 the maximal perfect subfield of k , and v the exponential valuation on R_p .

Let $\{D_i\} \in H(R, R_p)$ and denote the unique extension of $\{D_i\}$ to the quotient field of R_p by $\{D_i\}$. Note that $\{D_i\} \in H(R_p)$, the set of higher derivations of R_p , if and only if $D_i(\pi) \in (\pi)$ for each i . Let

$$(2.1) \quad f(x) = x^p + pa_{p-1}x^{p-1} + \dots + pa_1x + pa_0$$

be the Eisenstein polynomial of π over R . Let (r, s) denote an ordered set of r nonnegative integers whose sum is s and let $| (r, s) |$ represent the largest integer in (r, s) . We let $\sum_{(q, s)} D(a_1, \dots, a_q)$ denote the sum of all products $D_{i_1}(a_1)D_{i_2}(a_2) \dots D_{i_q}(a_q)$ such that $i_1 + \dots + i_q = s$ and $i_j \geq 0$. We also let $f'(x)$ and $f^{D_i}(x)$ represent respectively the ordinary derivative of f and the polynomial obtained by replacing each coefficient in f with its image under D_i . With these conventions

we may write the expression for $D_i(\pi)$ derived from $D_i(f(\pi)) = 0$ as follows:

$$(2.2, i) \quad \begin{aligned} (-f'(\pi))D_i(\pi) &= f_i^p(\pi) + \sum_{(p,i); |(p,i)| < i} D(\pi, \dots, \pi) \\ &+ \sum_{j=1}^{p-1} p \sum_{(j+1,i); |(j+1,i)| < i} D(a_j, \pi, \dots, \pi). \end{aligned}$$

We list some observations.

- I. $p \leq v(f'(\pi)) \leq 2p - 1$.
- II. If $a \in R$ then $D_i(a^{p^n}) = (D_{i/p^n}(a))^{p^n} \pmod{(\pi)^p}$ where $D_{i/p^n}(a) = 0$ if $p^n \nmid i$.
- III. If $\pi^p + pu = 0$ then $\bar{u} = \bar{a}_0$.
- IV. If $\pi^p + p(1 + \pi^t w) = 0$, $1 \leq t < p$, and $\bar{w} \neq 0$ then $\bar{w} = \bar{a}_t$ where t is the least positive integer i such that $p \nmid a_i$, and $a_0 = 1 + pb_0$ for some b_0 .
- V. If $\pi^p + p(1 + \pi^p w) = 0$, $\bar{w} \neq 0$ then $a_0 = 1 + pb_0$ for some b_0 , $\bar{w} = -\bar{b}_0$, and $p \mid a_i$ for all $i \geq 1$.
- VI. If $\pi^p + p(1 + \pi^{p+1} w) = 0$ then $a_0 = 1 + pb_0$ for some b_0 , $\bar{w} = [(-a_1/p)]^-$, and $p \mid b_0$.
- VII. If $1 \leq \text{expo } R_p \leq p$ and $\{D_i\} \in H(R_p)$ then $D_i(\pi) \in (\pi)^2$ for each i .

If $\text{expo } R_p = p + 1$ then $D_1(\pi) \in (\pi)^3$.

Let $\{D_i\} \in H(R_p)$, $-f'(\pi) = p\pi^{j-1}z$, z a unit, $\pi A_i = D_i(\pi)$ when $\text{expo } R_p = 0$, $\pi^2 A_i = D_i(\pi)$ when $1 \leq \text{expo } R_p \leq p$, and $\pi^3 A_i = D_i(\pi)$ when $\text{expo } R_p = p + 1$. We also write $a_0 = 1 + pb_0$ when $\text{expo } R_p \neq 0$ and $pd_1 = a_1$ when $\text{expo } R_p = p + 1$.

2.3 LEMMA. *If $\text{expo } R_p = 0$ and $\{D_i\} \in H(R_p)$ induces $\{\delta_i\} \in H(k)$ then $\text{res } R_p^{-1} \delta_{i,p}(\text{res } R_p) \in k^p$ for each i and $\delta_i(\text{res } R_p) = 0$ when $p \nmid i$.*

PROOF. By 2.2,i we have $(p\pi^{j-1}z)D_i(\pi) = pD_i(a_0) + D_{i/p}(\pi)^p \pmod{(\pi)^{p+j}}$ or $(\pi^{j-1}z)D_i(\pi) = D_i(a_0) - uA_{i/p}^p \pmod{(\pi)^j}$ where $D_{i/p}(\pi) = 0 = A_{i/p}$ if $p \nmid i$. Since $\bar{a}_0 = \bar{u} = \text{res } R_p$ and $D_i(\pi) \in (\pi)$ the result follows.

2.4 LEMMA. *If $1 \leq \text{expo } R_p < p$ and $\{D_i\} \in H(R_p)$ induces $\{\delta_i\} \in H(k)$ then $\delta_i(\text{res } R_p) = 0$ for each i .*

PROOF. If $\text{res } R_p \neq 0$ then $\text{res } R_p = \bar{r}$ where $\bar{r}^p = \bar{a}_j$, $r \in R$, $\bar{r} \notin k^p$, $\text{expo } R_p = j$, and $v(f'(\pi)) = p + (j - 1)$. Using (2.2, i) and II we get

$$\begin{aligned} (p\pi^{j-1}z)D_i(\pi) &= pD_i(a_j)\pi^j, & \pmod{(\pi)^{p+j+1}} \\ &= p(D_{i/p^n}(r))^p \pi^j, & \pmod{(\pi)^{p+j+1}}. \end{aligned}$$

Again, since $D_i(\pi) \in (\pi)^2$ the result follows.

2.5 LEMMA. *If $\text{expo } R_p = p$ and $\{D_i\} \in H(R_p)$ induces $\{\delta_i\} \in H(k)$ then $\delta_{i_p} \pmod{\text{res } R_p} \in k^p$ for each i and $\delta_i \pmod{\text{res } R_p} = 0$ when $p \nmid i$.*

PROOF. We have $\text{res } R_p = -b_0$ and $(p\pi^{p-1}z)D_i(\pi) = p^2D_i(b_0) + D_{i/p}(\pi)^p \pmod{\pi^{2p+1}}$. Thus $zD_i(\pi) = -u_1^{-1}\pi D_i(b_0) - u_1\pi A_{i/p}^p \pmod{(\pi)^2}$ where $\pi^p + pu_1 = 0$. But $D_i(\pi) \in (\pi)^2$, $\bar{u}_1 = 1$ and the proof is complete.

2.6 LEMMA. *If $\text{expo } R_p = p+1$ and $\{D_i\} \in H(R_p)$ induces $\{\delta_i\} \in H(k)$ then $\delta_i \pmod{\text{res } R_p} = 0$ for each i .*

PROOF. Omitted.

We now show that if $\{\delta_i\} \in H(k)$ satisfies the conditions of the theorem then $\{D_i\}$ is induced. We assume $\{D_i\}_{i=1}^n$ is a finite higher derivation of R into R_p , $A_0 = 1$, $f'(\pi)$ and A_i , $i \geq 1$ are as before. We list some observations which follow from (2.2, i), $1 \leq i \leq n$.

VIII. Let $\text{expo } R_p = 0$, $v(f'(\pi)) < 2p-1$ and $D_i(\pi) \in (\pi)$ for $i = 1, \dots, n-1$. If $D_n(a_0) - uA_{n/p}^p = \pi^j c_n$ then

$$(p\pi^{j-1}z)D_n(\pi) = pD_n(a_j)\pi^j + pD_n(a_0) + (D_{n/p}(\pi))^p + p \sum_{(j+1, n); |(j+1, n)| < n} D(a_j\pi \cdots \pi), \pmod{(\pi)^{p+j+1}}$$

where $v(f'(\pi)) = p + (j-1)$. Thus if we write $\sum_{i_m < n} D_{i_0}(a_j)A_{i_1} \cdots A_{i_j}$ for the sum of all products $D_{i_0}(a_j)A_{i_1} \cdots A_{i_j}$ where $i_0 + i_1 + \cdots + i_j = n$, $0 \leq i_m < n$, $m = 0, \dots, j$ then

$$A_n = z^{-1}(D_n(a_j) + c_n + \sum_{i_m < n} D_{i_0}(a_j)A_{i_1} \cdots A_{i_j}), \pmod{(\pi)}.$$

IX. Let $\text{expo } R_p = 0$, $v(f'(\pi)) = 2p-1$ and $D_i(\pi) \in (\pi)$ for $i = 1, 2, \dots, n-1$. If $D_n(a_0) - uA_{n/p}^p = \pi^p c_n$ then

$$(p\pi^{p-1}z)D_n(\pi) = pD_n(a_0) + \sum_{(p, n); |(p, n)| < n} D(\pi, \dots, \pi), \pmod{(\pi)^{2p+1}}.$$

Thus if in $\sum_{i_m < n} A_{i_1} \cdots A_{i_p}$ we also require that for some m $i_m \neq n/p$ we have

$$A_n = z^{-1} \left[c_n + \frac{1}{p} \sum_{i_m < n} A_{i_1} \cdots A_{i_p} \right], \pmod{(\pi)}.$$

X. Let $\text{expo } R_p = p$, $\pi^p + pu_1 = 0$, and $D_i(\pi) \in (\pi)^2$ for $i = 1, 2, \dots, n-1$. If $D_n(b_0) + u_1^2 A_{n/p}^2 = c_n \pi$ then

$$(p\pi^{p-1}z)D_n(\pi) = p^2D_n(d_1)\pi + p^2D_n(b_0) + (D_{n/p}(\pi))^p, \pmod{(\pi)^{2p+2}}.$$

Thus $A_n = z^{-1}[-u_1^{-1}D_n(d_1) - u_1^{-1}c_n], \pmod{(\pi)}$.

We may now proceed with the lifting of higher derivations of k to R_p . The following theorem will be used repeatedly:

2.7 THEOREM [3, THEOREM 4, p. 38]. *Let \bar{S} be a p -basis for k and let $S \subset R$ be a set of representatives of the elements of \bar{S} . If I is the set of positive integers and f is a mapping from $S \times I$ into R_p then there is one and only one $\{D_i\} \in H(R, R_p)$ (finite higher derivation $\{D_i\}_{i=1}^n$ of length n) such that $D_i(s) = f(s, i)$ for all $s \in S$ and all $i \in I$ (all $s \in S$ and all $i = 1, 2, \dots, n$).*

2.8 LEMMA. *Let $\text{expo } R_p = 0$ and $v(f'(\pi)) = p + (j-1) < 2p-1$. If $\{\delta_i\} \in H(k)$, $\delta_i(\text{res } R_p) = 0$ when $p \nmid i$ and $\text{res } R_p^{-1} \delta_{ip}(\text{res } R_p) \in k^p$ for each i , then $\{\delta_i\}$ lifts to a higher derivation of R_p .*

PROOF. Note that $\bar{a}_0 = \bar{u} = \text{res } R_p$. Let $B_0 = 1$, $B_i \in R_p$ so that $\bar{B}_i^p = \bar{u}^{-1} \delta_{ip}(\bar{a}_0)$, and $C_i \in R_p$ so that

$$\bar{C}_i = \bar{z} \bar{B}_i - \delta_i(\bar{a}_j) - \sum_{i_m < i} \delta_{i_0}(\bar{a}_j) \bar{B}_{i_1} \cdots \bar{B}_{i_j}.$$

Choose a p -basis \bar{S} , $\bar{a}_0 \in \bar{S}$, for k and let $S \subset R$, $a_0 \in S$ be a set of representatives for \bar{S} . For $s \in S - \{a_0\}$ define D_1 so that D_1 will induce δ_1 . Let $D_1(a_0) = \pi^j C_1$. Then $D_1(\pi) \in (\pi)$ so D_1 extends to R_p . Also $\pi^{-1} D_1(\pi) = z^{-1} [D_1(a_j) + C_1] \pmod{(\pi)}$ or

$$\bar{A}_1 = \bar{z}^{-1} [\delta_1(\bar{a}_j) + \bar{z} \bar{B}_1 - \delta_1(\bar{a}_j)] = \bar{B}_1.$$

Suppose we have defined $\{D_j\}_{j=1}^{t-1}$ a finite higher derivation of R into R_p with the properties $D_j(\pi) \in (\pi)$, D_j induces δ_j , and $\bar{A}_j = \bar{B}_j$. Define D_i on $S - \{a_0\}$ so that D_i induces δ_i and let $D_i(a_0) = \pi^j C_i + u A_{i/p}^p$. Then $[D_i(a_0)]^- = \bar{u} \bar{A}_{i/p}^p = \bar{u} \bar{B}_{i/p}^p = \bar{u} (\bar{u}^{-1} \delta_i(\bar{a}_0)) = \delta_i(\bar{a}_0)$. Thus D_i induces δ_i . Also

$$\begin{aligned} (p\pi^{j-1}z)D_i(\pi) &= pD_i(a_j)\pi^j + p\pi^j C_i + u p A_{i/p}^p + (D_{i/p}(\pi))^p \\ &+ p \sum_{\substack{(j+1, i_1) | (j+1, i) | < i}} D(a_j, \pi \cdots \pi) \pmod{(\pi)^{p+j+1}} \end{aligned}$$

so $D_i(\pi) \in (\pi)$. Using this equation we have

$$\begin{aligned} \bar{A}_i &= \bar{z}^{-1} [\delta_i(\bar{a}_j) + \bar{z} \bar{B}_i - \delta_i(\bar{a}_j) - \sum_{i_m < i} \delta_{i_0}(\bar{a}_j) \bar{B}_{i_1} \cdots \bar{B}_{i_j} \\ &+ \sum_{i_m < i} \delta_{i_0}(\bar{a}_j) \bar{A}_{i_1} \cdots \bar{A}_{i_j}] = \bar{B}_i. \end{aligned}$$

The lemma follows from 2.7 and mathematical induction.

2.9 LEMMA. Let $\text{expo } R_p = 0$ and $v(f'(\pi)) = 2p - 1$. If $\{\delta_i\} \in H(k)$, $\delta_i(\text{res } R_p) = 0$ when $p \nmid i$, and $\text{res } R_p^{-1} \delta_{i_p}(\text{res } R_p) \in k^p$ for each i then $\{\delta_i\}$ lifts to a higher derivation of R_p .

PROOF. Let $B_i \in R_p$ be such that $\bar{B}_i^p = \bar{u}^{-1} \delta_{i_p}(\bar{a}_0)$ and $C_i = zB_i - p^{-1} \sum_{i_m < i} B_{i_1} \cdots B_{i_p}$, where in the summation, $\sum_{i_m < i} B_{i_1} \cdots B_{i_p}$, we also require that for some $m = 1, \dots, p$ $i_m \neq i/p$ (as in IX). Choose a p -basis \bar{S} , $\bar{a}_0 \in \bar{S}$, for k and let $S \subset R$, $a_0 \in S$ be a set of representatives for S . Define D_1 on $S - \{a_0\}$ so that D_1 will induce δ_1 . Let $D_1(a_0) = \pi^p C_1$. Then D_1 induces δ_1 , $D_1(\pi) \in (\pi)$, and $A_1 = B_1, \text{ mod } (\pi)$. Suppose $\{D_j\}_{j=1}^{i-1}$ is a finite higher derivation of R into R_p with D_j inducing δ_j , $D_j(\pi) \in (\pi)$, and $A_j = B_j, \text{ mod } (\pi)$. Define D_i on $S - \{a_0\}$ so that D_i induces δ_i and let $D_i(a_0) - uA_{i/p}^p = \pi^p C_i$. Then D_i induces δ_i , $D_i(\pi) \in (\pi)$, and by IX

$$A_i = z^{-1} \left(C_i + \frac{1}{p} \sum_{i_m < i} A_{i_1} \cdots A_{i_p} \right), \quad \text{mod } (\pi)$$

$$= z^{-1} \left(zB_i - \frac{1}{p} \sum_{i_m < i} B_{i_1} \cdots B_{i_p} + \frac{1}{p} \sum_{i_m < i} A_{i_1} \cdots A_{i_p} \right), \quad \text{mod } (\pi).$$

Thus, again $\bar{A}_i = \bar{B}_i$ and the proof is complete.

2.10 LEMMA. Let $1 \leq \text{expo } R_p = j < p$. If $\{\delta_i\} \in H(k)$ and $\delta_i(\text{res } R_p) = 0$ for each i then $\{\delta_i\}$ lifts to a higher derivation of R_p .

PROOF. If $\text{res } R_p \neq 0$ then $\text{res } R_p = \bar{r}$ where $\bar{r}^p = \bar{a}_j$, $r \in R$, and $\bar{r} \notin k^p$. Let \bar{S} , $\bar{r} \in \bar{S}$, be a p -basis for k and $S \subset R$, $r \in S$, a set of representatives for \bar{S} . For each i define D_i on $S - \{r\}$ so that D_i induces δ_i . Let $D_i(r) = 0$ for all i . Then $\{D_i\}$ induces $\{\delta_i\}$ and by checking (2.2, i) $\{D_i\}$ extends to R_p . If $\text{res } R_p = 0$ choose any p -basis \bar{S} for k and $S \subset R$ a set of representatives for \bar{S} . Define $\{D_i\}$ on S so that D_i induces δ_i for each i . Then 2.2, i and II imply $\{D_i\}$ extends to R_p .

2.11 LEMMA. Let $\text{expo } R_p = p$ and $\pi^p = pu_1 = 0$. If $\{\delta_i\} \in H(k)$, $\delta_{i_p}(\text{res } R_p) \in k^p$ for each i , and $\delta_i(\text{res } R_p) = 0$ when $p \nmid i$, then $\{\delta_i\}$ lifts to a higher derivation of R_p .

PROOF. By $V a_0 = 1 + pb_0$ and $\text{res } R_p = -\bar{b}_0$. Let $\bar{B}_i^p = -\delta_{i_p}(\bar{b}_0)$ and $\bar{C}_i = -\delta_i(\bar{d}_1) - z\bar{B}_i$, where again $a_1 = pd_1$. Choose a p -basis \bar{S} , $\bar{b}_0 \in \bar{S}$, for k and let $S \subset R$, $b_0 \in S$, be a set of representatives for \bar{S} . Define D_1 on $S - \{b_0\}$ so that D_1 induces δ_1 and let $D_1(b_0) = \pi C_1$. Then D_1 induces δ_1 , $D_1(\pi) \in (\pi)^2$, and $\bar{A}_1 = \bar{B}_1$. Suppose we have defined $\{D_j\}_{j=1}^{i-1}$, a finite higher derivation of R into R_p , with D_j inducing δ_j , $D_j(\pi) \in (\pi)^2$ and $\bar{A}_j = \bar{B}_j$. Define D_i on $S - \{b_0\}$ so that D_i induces

δ_i ; and let $D_i(b_0) + u_i^2 A_i^p = \pi C_i$. Then D_i induces δ_i , $D_i(\pi) \in (\pi)^2$, and by X $\bar{A}_i = \bar{B}_i$.

2.12 LEMMA. *Let $\text{expo } R_p = p + 1$. If $\{\delta_i\} \in H(k)$ and $\delta_i(\text{res } R_p) = 0$ for each i then $\{\delta_i\}$ lifts to a higher derivation of R_p .*

PROOF. Omitted.

In view of the fact that higher derivations of k are completely determined by their action on a p -basis for k corollary A is clear. Corollary B follows from [5].

Let S be a ring and τ the natural map of $S[[x]]$ onto S . The inertial embedding group of S is the group of all automorphisms η of $S[[x]]$ such that $\tau\eta(a) = a$, for each $a \in S$, and $\eta(x) = x$. The higher derivation $\{D_i\}$ of S determines an (inertial) embedding η of S where $\eta(a) = a + \sum_{i=1}^{\infty} D_i(a)x^i$ for $a \in S$ and $\eta(x) = x$. Conversely an embedding of S determines a higher derivation of S . The correspondence is an isomorphism of the higher derivation group of S onto the inertial embedding group of S . An application of our theorem will identify the subgroup of the embedding group of k consisting of those embeddings which are induced by embeddings of R_p .

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