

DYNAMICAL SYSTEMS WITH AN INVARIANT SPACE OF VECTOR FIELDS

BY

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I. In the theory of differentiable dynamical systems, the natural actions on coset spaces are of particular interest, not least because the general situation is so intractable. Let G be a Lie group and H a closed subgroup such that G/H is compact. A natural action on G/H is a group of transformations of G/H of the form $xH \mapsto a\alpha(x)H$, where a is an element of G and α is an automorphism of G such that $\alpha(H)=H$. The space of right-invariant vector fields on G is carried by the natural projection π , $x \mapsto xH$, onto a space of vector fields on G/H , and this space is invariant under each natural action. Suppose now that H is discrete. Then G is unimodular. A Haar measure on G determines a finite Borel measure on G/H invariant under each action. Analogously, a translation invariant n -form ω on G , where n is the dimension of G , determines an n -form η on G/H , and $T^*\eta$ equals $\pm \eta$ for each natural transformation T .

It is such a phenomenon that we examine in this paper: A dynamical system in which a certain finite-dimensional linear space of vector fields and a certain differential form are (essentially) invariant under the action.

In the next few paragraphs we define several expressions, and then state our main result. The following section is devoted to a proof of this theorem. Additional results are presented in the third section.

Let M be a differentiable manifold and let \mathcal{X} be a finite-dimensional linear space of vector fields on M . We say that \mathcal{X} is *spanning* if, for each p in M , the evaluation at p , $X \mapsto X_p$, maps \mathcal{X} onto the tangent space of M at p . If the dimension of \mathcal{X} equals the dimension of M , in which case these mappings are each one-to-one, then \mathcal{X} is said to be *simply spanning*. If \mathcal{X} is simply spanning, an affine connection ∇ on M is determined by the condition:

$$\nabla_Y X = 0$$

for X in \mathcal{X} and Y any vector field on M . We call ∇ the *connection associated with \mathcal{X}* .

Let \mathcal{T} be a group of diffeomorphisms of M . For each T in \mathcal{T} , let T_* be the associated mapping of vector fields, and let T^* be the associated mapping of differential forms. A linear space \mathcal{X} of vector fields on M is said to be *invariant under \mathcal{T}* , if $T_*(\mathcal{X})=\mathcal{X}$ for each T in \mathcal{T} . In this case, the restriction of $\{T_* : T \in \mathcal{T}\}$ to \mathcal{X} is a group of linear transformations of \mathcal{X} .

Let \mathcal{T} be a group of homeomorphisms of a space S . An *eigenfunction* for \mathcal{T} on S is a function f on S , with values in the unit circle, such that, for each T in \mathcal{T} , there exists a complex number λ_T satisfying $fT = \lambda_T f$.

THEOREM 1. *Let M be a compact differentiable manifold of dimension n , ω an n -form on M , \mathcal{X} a finite-dimensional linear space of vector fields on M , and \mathcal{T} a group of diffeomorphisms of M . Suppose the following statements are true.*

- (I) ω is not identically zero, and $T^*\omega = \pm \omega$ for each T in \mathcal{T} .
- (II) \mathcal{X} is spanning and invariant under \mathcal{T} .
- (III) \mathcal{T} is abelian and each differentiable eigenfunction for \mathcal{T} on M is constant. Then the following statements are also true.
 - (I) Except for multiplication by a scalar, ω is the only n -form on M satisfying assumption (I) above.
 - (II) \mathcal{X} is simply spanning.
 - (III) If \mathcal{Y} is a finite-dimensional linear space of vector fields on M invariant under \mathcal{T} , then $\mathcal{Y} \subseteq \mathcal{X}$.
 - (IV) \mathcal{X} is a Lie algebra.
 - (V) The system $(M, \omega, \mathcal{X}, \mathcal{T})$ is isomorphic to $(G/\Gamma, \eta, \mathcal{Y}, \mathcal{S})$ where: G is a simply connected Lie group whose Lie algebra is isomorphic to \mathcal{X} ; Γ is a discrete subgroup of G ; η corresponds to a translation-invariant n -form on G ; \mathcal{Y} corresponds to the space of right-invariant vector fields on G ; and, each transformation, $x\Gamma \mapsto S(x\Gamma)$, in \mathcal{S} is of the form

$$x\Gamma \mapsto a\alpha(x)\Gamma,$$

a being in G and α being an automorphism of G such that $\alpha(\Gamma) = \Gamma$.

COROLLARY 1. *Let M be a compact differentiable manifold, ∇ an affine connection on M associated with a simply spanning space of vector fields, and \mathcal{T} an abelian group of diffeomorphisms of M which preserve the affine structure. If each differentiable eigenfunction for \mathcal{T} on M is constant, then \mathcal{T} preserves no other such affine structure, and (M, \mathcal{T}) is isomorphic to a natural action on a coset space G/Γ with Γ discrete.*

II.

LEMMA 1. *Let \mathcal{E} be a finite-dimensional real vector space, \mathcal{L} an abelian group of linear transformations of \mathcal{E} , and C a compact subset of \mathcal{E} invariant under \mathcal{L} . If C has more than one point, then there exists a differentiable function $f: \mathcal{E} \rightarrow C$ such that f is an eigenfunction for \mathcal{L} on C .*

Proof. Let \mathcal{F} be the space of all complex-valued real-linear functionals on \mathcal{E} ; \mathcal{F} is a complex vector space. For each L in \mathcal{L} define $L^*: \mathcal{F} \rightarrow \mathcal{F}$ by $L^*f = fL$. Thus, $\mathcal{L}^* = \{L^* : L \in \mathcal{L}\}$ is an abelian group of linear transformations of \mathcal{F} . These transformations can be put simultaneously in triangular form. That is, there exists a basis $\{f_1, f_2, \dots, f_n\}$ of \mathcal{F} such that for each k , the linear span of $\{f_1, \dots, f_k\}$

is invariant under \mathcal{L}^* . Let m be the smallest integer k such that f_k is not constant on C . Set $g = f_m$. Hence, for each L in \mathcal{L} , there exists α_L in C such that $L^*g - \alpha_L g$ is constant on C ; let the constant be β_L ; on C then, $gL = \alpha_L g + \beta_L$.

Let $B = g(C)$. Define $A_L: C \rightarrow C$ by $A_L z = \alpha_L z + \beta_L$. Since $A_L(B) = B$, $|\alpha_L| = 1$. Let K be the convex hull of C ; then $A_L(K) = K$. Thus there exists a point γ in K left fixed by each A_L :

$$\gamma = \alpha_L \gamma + \beta_L$$

for L in \mathcal{L} . Define $h: \mathcal{E} \rightarrow \mathcal{E}$ by $h(x) = g(x) - \gamma$. For x in C ,

$$h(Lx) = \alpha_L g(x) + \beta_L - \gamma = \alpha_L h(x).$$

Thus $hL = \alpha_L h$ on C for each L .

If $|h|$ is constant on C , let the constant be c (which cannot equal 0) and define f by $f = h/c$.

If $|h|$ is not constant on C , there exists an $\varepsilon > 0$ such that

$$f = e^{i\varepsilon|h|}$$

is not constant on C , and this f is an eigenfunction for \mathcal{L} on C , each eigenvalue being 1 in this case.

LEMMA 2. *Given the assumptions of Theorem 1, conditions (I) and (II) are valid.*

Proof. Let \mathcal{E} be the space of all multilinear alternating mappings $\eta: \mathcal{X}^n \rightarrow \mathbf{R}$; here \mathcal{X} is regarded as a real vector space. Thus \mathcal{E} is a finite-dimensional real vector space. For each T in \mathcal{T} , define $T': \mathcal{E} \rightarrow \mathcal{E}$ by

$$(T'\eta)(X_1, \dots, X_n) = \eta(T_*X_1, \dots, T_*X_n).$$

Each T' is linear. For each T , let ε_T in $\{1, -1\}$ be such that $T^*\omega = \varepsilon_T \omega$. Thus

$$\omega(T_*X_1, \dots, T_*X_n) = \varepsilon_T \omega(X_1, \dots, X_n)T.$$

For each p in M , define $\omega_p: \mathcal{X}^n \rightarrow \mathbf{R}$ by

$$\omega_p(X_1, \dots, X_n) = (\omega(X_1, \dots, X_n))(p).$$

Clearly ω_p is in \mathcal{E} and

$$T'\omega_p = \varepsilon_T \omega_{Tp}.$$

Define $L_T = \varepsilon_T T'$. Thus $\mathcal{L} = \{L_T: T \in \mathcal{T}\}$ is an abelian group of linear transformations of \mathcal{E} leaving the set

$$C = \{\omega_p: p \in M\}$$

invariant. The mapping $p \mapsto \omega_p$ of M into \mathcal{E} is differentiable. By Lemma 1 and assumption (III), C has but one point and it is not 0.

Conclusion (I) is valid because we have proved that ω is everywhere nonzero.

To verify (II), suppose that X is in \mathcal{X} , p is in M , and $X_p=0$. Then

$$\omega_p(X, X_2, \dots, X_n) = 0$$

for X_2, \dots, X_n in \mathcal{X} . Thus, for each q in M ,

$$\omega_q(X, X_2, \dots, X_n) = 0$$

for X_2, \dots, X_n in \mathcal{X} ; $X_q=0$ for each q ; $X=0$.

LEMMA 3. *Let \mathcal{X} be simply spanning on the compact differentiable manifold M of dimension n , and invariant under the group \mathcal{T} . Then M is orientable and there exists an everywhere nonzero n -form ω on M with the following property: For each T in \mathcal{T} , $T^*\omega = \pm \omega$ and the determinant of T_* on \mathcal{X} equals ± 1 , according as (for both) T preserves or reverses the orientation of M .*

Proof. Let $\{X_1, X_2, \dots, X_n\}$ be a basis for \mathcal{X} . Let $\{\omega_1, \omega_2, \dots, \omega_n\}$ be a dual system of 1-forms on M . That is, $\omega_i(X_j) = \delta_{ij}$. Set $\omega = \omega_1 \wedge \omega_2 \wedge \dots \wedge \omega_n$. For each T in \mathcal{T} , $T^*\omega = d_T\omega$ where d_T is the determinant of T_* on \mathcal{X} . The finite nonnegative Borel measure on M corresponding to ω is invariant under \mathcal{T} . Hence $|d_T| = 1$.

LEMMA 4. *Let \mathcal{X} be simply spanning on the differentiable manifold M . Then there exists a unique affine connection ∇ on M such that $\nabla_Y X = 0$ for X in \mathcal{X} and Y any vector field on M . Moreover, a diffeomorphism T of M is affine with respect to ∇ if and only if $T_*(\mathcal{X}) = \mathcal{X}$.*

Proof. The connection ∇ is given by

$$\nabla_Y \left(\sum_{k=1}^n f_k X_k \right) = \sum_{k=1}^n (Yf_k) X_k,$$

where $\{X_1, X_2, \dots, X_n\}$ is a basis for \mathcal{X} . Uniqueness is clear.

Let T be an affine transformation of M . Thus T carries geodesics to geodesics, and the geodesics are just the integral curves for members of \mathcal{X} . Hence $T_*(\mathcal{X}) = \mathcal{X}$.

Let T be a diffeomorphism such that $T_*(\mathcal{X}) = \mathcal{X}$. Let ∇' be the connection on M induced by T . That is,

$$\nabla'_{T_*Y} T_*X = T_*(\nabla_Y X).$$

Clearly, $\nabla'_Y X = 0$ for X in \mathcal{X} . Hence $\nabla' = \nabla$.

LEMMA 5. *Let \mathcal{X} be a finite-dimensional linear space of vector fields on the compact differentiable manifold M . Let V be a fixed vector field on M and let $\mathcal{T} = \{T_t : t \in \mathbf{R}\}$ be the flow on M corresponding to V . For each vector field X on M , let $LX = [V, X]$. Then \mathcal{X} is invariant under \mathcal{T} if and only if $L(\mathcal{X}) \subseteq \mathcal{X}$. If \mathcal{X} is so invariant, then*

$$T_{t*} = e^{-tL}$$

on \mathcal{X} .

Proof. It is known [3, p. 15] that

$$-L = \lim_{t \rightarrow 0} \frac{1}{t} (T_t - I)$$

pointwise, on the space of vector fields, and that L commutes with each T_t .

If \mathcal{X} is invariant under \mathcal{T} , the conclusion is clear.

Suppose now that $L(\mathcal{X}) \subseteq \mathcal{X}$. Each space $T_t(\mathcal{X})$ is invariant under L . Let \mathcal{Y} be the linear span of the union of these spaces. Each point in \mathcal{Y} is contained in a finite-dimensional subspace of \mathcal{Y} invariant under L . Define operators K_t on \mathcal{Y} by $K_t = T_t \circ e^{tL}$. It is readily shown that the derivative of the mapping $t \mapsto K_t$ is 0 on \mathcal{R} . Thus K_t is constant in t and equals the identity transformation on \mathcal{Y} .

Proof of Theorem 1. Conclusions (I) and (II) have been verified.

(III) Let \mathcal{Y} be as given. Let \mathcal{E} be the space of linear mappings $f: \mathcal{Y} \rightarrow \mathcal{X}$. For each T in \mathcal{T} , define $L_T: \mathcal{E} \rightarrow \mathcal{E}$ by

$$(L_T f) = T_* f (T_*)^{-1} = T_* f T_{-*}.$$

Clearly, each L_T is linear, and $\mathcal{L} = \{L_T : T \in \mathcal{T}\}$ is an abelian group of linear transformations of \mathcal{E} . For each p in M , define $f_p: \mathcal{Y} \rightarrow \mathcal{X}$ by requiring that $f_p(Y)$ be that element of \mathcal{X} which agrees with Y at p . That is, $(f_p Y)_p = Y_p$. The mapping $p \mapsto f_p$ is differentiable. Since $T_*(X_p) = (T_* X)_{T_p}$, we have

$$\begin{aligned} [(L_T f_p) Y]_{T_p} &= T_* [(f_p T_{-*} Y)_p] = T_* [(T_{-*} Y)_p] \\ &= Y_{T_p} = (f_{T_p} Y)_{T_p}. \end{aligned}$$

Thus, $L_T f_p = f_{T_p}$. The set $\{f_p : p \in M\}$ is invariant under \mathcal{L} and, by Lemma 1, it must consist of but one point. Therefore, $\mathcal{Y} \subseteq \mathcal{X}$.

(IV) The set $\{[X, Y] : X, Y \in \mathcal{X}\}$ is invariant under \mathcal{T} . Its linear span is finite-dimensional and invariant under \mathcal{T} . By (III), the set is contained in \mathcal{X} .

(V) Let G be a simply connected Lie group with Lie algebra isomorphic to \mathcal{X} . It is well known that there exists a transitive action, $(x, p) \mapsto x \cdot p$, of G on M which leaves \mathcal{X} invariant. Since G has dimension n , there exists a discrete uniform subgroup Γ of G and a diffeomorphism $U: G/\Gamma \rightarrow M$ such that

$$U(xy\Gamma) = x \cdot U(y\Gamma).$$

Let \mathcal{Y} be the image under π_* of the space of right-invariant vector fields on G . Since \mathcal{Y} generates the action of G on G/Γ and \mathcal{X} generates the action of G on M , $U_*(\mathcal{Y}) = \mathcal{X}$. By Lemma 3, ω is invariant under the action of G on M . Hence, $\eta = (U^{-1})^* \omega$ is invariant under the action of G on G/Γ , and η must correspond to a translation-invariant n -form on G .

That the diffeomorphisms $U^{-1}TU$ on G/Γ are of the stated form follows from Theorem 2 of the next section.

Proof of Corollary 1. By Lemma 3, there exists an appropriate n -form on M and Theorem 1 applies. The transformations are affine by Lemma 4, and the structure is unique by (III) of Theorem 1.

III.

COROLLARY 2. *Let M be a compact differentiable manifold of dimension n , ω an n -form on M , \mathcal{X} a finite-dimensional linear space of vector fields on M . Let there be given a differentiable action of \mathbf{R}^m on M . Suppose that:*

- (I) ω is not identically zero, and is invariant under \mathbf{R}^m ;
 - (II) \mathcal{X} is spanning and invariant under \mathbf{R}^m ;
 - (III) Either (i) M is simply connected, or (ii) the action has a fixed point in M .
- Then there exists a nonconstant differentiable function on M which is invariant.*

Proof. Let \mathcal{T} be the group of diffeomorphisms. Let f be a differentiable eigenfunction for \mathcal{T} on M . Choose α_T in \mathbf{R} such that

$$fT = e^{i\alpha_T}f.$$

If there exists a fixed point, $fT=f$ for all T , and f is invariant. If M is simply connected, there exists a differentiable function $g: M \rightarrow \mathbf{R}$ such that $f=e^{ig}$; then

$$e^{igT} = e^{i(g+\alpha_T)}$$

and $gT-g$ is constant, hence zero; f is invariant.

Suppose now that there does not exist a nonconstant differentiable invariant function on M . Then Theorem 1 applies. Let \mathcal{Y} be the space of vector fields on M corresponding to the action of \mathbf{R}^m . Since \mathcal{Y} is invariant under \mathcal{T} , $\mathcal{Y} \subseteq \mathcal{X}$. Thus the system (M, \mathcal{T}) is isomorphic to $(G/\Gamma, \mathcal{S})$ where \mathcal{S} consists of translations, $x\Gamma \mapsto ax\Gamma$. If \mathcal{T} has a fixed point, this is surely a contradiction. If M is simply connected, then $\Gamma=\{e\}$, since Γ is the fundamental group of G/Γ . In this case (M, \mathcal{T}) is isomorphic to (G, A) where G is a compact simply connected group and A is a connected abelian subgroup of G . Let \bar{A} be the closure of A . This is a torus (or just $\{e\}$) and hence not equal to G . But any differentiable function on G/\bar{A} would determine an invariant function on G . This is a contradiction.

THEOREM 2. *For $k=1, 2$: Let G_k be a simply connected Lie group, Γ_k a discrete subgroup of G_k , and \mathcal{X}_k the space of vector fields on G_k/Γ_k corresponding to the right-invariant vector fields on G_k . Let $T: G_1/\Gamma_1 \rightarrow G_2/\Gamma_2$ be a diffeomorphism and suppose that $T_*(\mathcal{X}_1)=\mathcal{X}_2$. Then there exists a point a in G_2 and an isomorphism $\alpha: G_1 \rightarrow G_2$ such that $\alpha(G_1)=G_2$, $\alpha(\Gamma_1)=\Gamma_2$, and*

$$T(x\Gamma_1) = a\alpha(x)\Gamma_2$$

for x in G_1 . Moreover, if a' and α' also have this property, then there exists γ in Γ_2 such that $a' = a\gamma$ and $\alpha'(x) = \gamma^{-1}\alpha(x)\gamma$.

Proof. Let \mathcal{Y}_k be the space of right invariant vector fields on G_k . Let $\pi_k: G_k \rightarrow G_k/\Gamma_k$ be the natural projection. Then $\mathcal{X}_k = \pi_{k*}(\mathcal{Y}_k)$. Thus \mathcal{Y}_1 and \mathcal{Y}_2 are isomorphic as Lie algebras, and T_* lifts to an isomorphism $L: \mathcal{Y}_1 \rightarrow \mathcal{Y}_2$ such that $\pi_{2*}L = T_*\pi_{1*}$. Since G_1 and G_2 are simply connected, there exists an isomorphism α of G_1 onto

G_2 such that $L = \alpha_*$. Let e_k be the identity element of G_k . Choose a in G_2 such that $T(e_1\Gamma_1) = a\Gamma_2$. The two mappings of G_1 onto G_2/Γ_2 given by

$$x \mapsto T(x\Gamma_1), \quad x \mapsto a\alpha(x)\Gamma_2,$$

are equal at e_1 and have equal differentials. Hence, these two mappings are equal. It is clear that $\alpha(\Gamma_1) = \Gamma_2$.

Now suppose that a' and α' are such that

$$a'\alpha'(x)\Gamma_2 = a\alpha(x)\Gamma_2$$

for all x in G_1 . Letting $x = e_1$ shows that $a'\Gamma_2 = a\Gamma_2$. There exists γ in Γ_2 such that $a' = a\gamma$. Thus

$$\alpha'(x)\Gamma_2 = \gamma^{-1}\alpha(x)\Gamma_2 = \gamma^{-1}\alpha(x)\gamma\Gamma_2.$$

The two isomorphisms, $x \mapsto \alpha'(x)$ and $x \mapsto \gamma^{-1}\alpha(x)\gamma$, are equal on a neighborhood of e_1 in G_1 . Thus they are equal on G_1 .

EXAMPLE 1. Let C denote the unit circle. There exists a two-dimensional spanning space of vector fields on C and a flow $\mathcal{T} = \{T_t : t \in \mathbf{R}\}$ on C such that:

- (I) The only invariant Borel measures on C are concentrated on the set $\{1, -1\}$;
- (II) \mathcal{X} is invariant under \mathcal{T} ;
- (III) There exist no nonconstant continuous eigenfunctions for \mathcal{T} on C .

To see this, let V denote the vector field $d/d\theta$ on C , with respect to the parametrization $\theta \mapsto e^{i\theta}$. Define the functions x, y, z on C by

$$x(p) = \frac{1}{2}(p + \bar{p}), \quad y(p) = (1/2i)(p - \bar{p}), \quad z(p) = p.$$

Set $Y = yV$ and let $\mathcal{T} = \{T_t : t \in \mathbf{R}\}$ be the flow corresponding to the vector field Y . By considering at which points Y is positive, negative, or zero, one sees that:

$$T_t 1 = 1, \quad T_t(-1) = -1$$

for all t ; and

$$\lim_{t \rightarrow \infty} T_t p = -1, \quad \lim_{t \rightarrow -\infty} T_t p = 1$$

for p not in $\{1, -1\}$. Conditions (I) and (III) are thus satisfied.

Define vector fields X_1 and X_2 on C by

$$X_1 = (1+x)V, \quad X_2 = (1-x)V.$$

It is readily seen that

$$\begin{aligned} Vx &= -y, & Vy &= x \\ [Y, V] &= -xV, & [Y, xV] &= -V \\ [Y, X_1] &= -X_1, & [Y, X_2] &= X_2. \end{aligned}$$

Let \mathcal{X} be the linear span of $\{X_1, X_2\}$. Certainly \mathcal{X} is spanning and (by Lemma 5) invariant under the flow. Thus (II) is satisfied.

Note that Y is real-analytic on C . Thus each T_t is a fractional linear transformation leaving 1 and -1 fixed. Such transformations are of the form

$$p \mapsto (p-a)/(1-ap)$$

for a real and not equal to ± 1 . In our case, $-1 < a < 1$. The system (C, \mathcal{T}) is thus isomorphic to a natural action on G/H , where G is the group of all fractional linear transformations, and H is not discrete.

EXAMPLE 2. Let C denote the unit circle. There exists a simply spanning space of vector fields \mathcal{X} on the two-dimensional torus $C \times C$ which is invariant under all translations, but is not a Lie algebra.

To see this, define functions u and v on $C \times C$ by

$$u(p, q) = \frac{1}{2}(p + \bar{p}), \quad v(p, q) = (1/2i)(p - \bar{p}).$$

Define the vector fields U and V on $C \times C$ by $U = \partial/\partial\alpha$ and $V = \partial/\partial\beta$, with respect to the parametrization

$$(\alpha, \beta) \mapsto (e^{i\alpha}, e^{i\beta}).$$

Now define X_1 and X_2 on $C \times C$ by

$$X_1 = uU + vV, \quad X_2 = vU - uV.$$

One can readily see that

$$\begin{aligned} [U, X_1] &= -X_2, & [U, X_2] &= X_1 \\ [V, X_1] &= 0, & [V, X_2] &= 0 \\ [X_1, X_2] &= U. \end{aligned}$$

Let \mathcal{X} be the linear span of $\{X_1, X_2\}$. This is simply spanning. It is not a Lie algebra. Moreover, by Lemma 5, \mathcal{X} is invariant under flows corresponding to vector fields of the form $\alpha U + \beta V$. But these are just the flows of translations.

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