CLASSIFICATION OF GENERALIZED WITT ALGEBRAS OVER ALGEBRAICALLY CLOSED FIELDS⁽¹⁾

BY
ROBERT LEE WILSON

Abstract. Let Φ be a field of characteristic $p > 0$ and $m, n_1, \dots, n_m$ be integers ≥ 1 . A Lie algebra $W(m : n_1, \dots, n_m)$ over Φ is defined. It is shown that if Φ is algebraically closed then $W(m : n_1, \dots, n_m)$ is isomorphic to a generalized Witt algebra, that every finite-dimensional generalized Witt algebra over Φ is isomorphic to some $W(m : n_1, \dots, n_m)$, and that $W(m : n_1, \dots, n_m)$ is isomorphic to $W(s : r_1, \dots, r_s)$ if and only if $m = s$ and $r_i = n_{\sigma(i)}$ for $1 \leq i \leq m$ where σ is a permutation of $\{1, \dots, m\}$. This gives a complete classification of the finite-dimensional generalized Witt algebras over algebraically closed fields. The automorphism group of $W(m : n_1, \dots, n_m)$ is determined for $p > 3$.

Introduction. Let Φ be a field of characteristic $p > 0$. Kaplansky [5] (generalizing earlier definitions by Witt [1], Zassenhaus [11] and Jacobson [2]) has defined a family of Lie algebras over Φ in the following manner: Let $I = \{i, j, \dots\}$ be a set of indices, $\mathcal{G}$ be a total additive group of functionals on I with values in Φ , and $\mathcal{L}$ be a vector space with basis $I \times \mathcal{G}$. Define a bilinear multiplication in $\mathcal{L}$ by

$$[(i, \sigma), (j, \tau)] = \tau(i)(j, \sigma + \tau) - \sigma(j)(i, \sigma + \tau).$$

It is easily seen that $\mathcal{L}$ is a Lie algebra. Following Ree [7] we will call such algebras *generalized Witt algebras*.

The problem we consider in this paper is the classification of the finite-dimensional generalized Witt algebras over algebraically closed fields. The study of this problem was begun by Ree [7] who showed that generalized Witt algebras over algebraically closed fields are isomorphic to certain algebras of derivations. (We state this result in detail in §2.) We give a complete solution to this problem by constructing for any field Φ of characteristic $p > 0$ and any integers $m, n_1, \dots, n_m \geq 1$ a Lie algebra $W(m : n_1, \dots, n_m)$ over Φ and proving the following theorem (which was announced in [10]):

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THEOREM 1. *Let Φ be an algebraically closed field of characteristic $p > 0$. Then*

(a) *$W(m : n_1, \dots, n_m)$ is isomorphic to a generalized Witt algebra.*

(b) *Every finite-dimensional generalized Witt algebra over Φ is isomorphic to some $W(m : n_1, \dots, n_m)$.*

(c) *The algebras $W(m : n_1, \dots, n_m)$ and $W(s : r_1, \dots, r_s)$ are isomorphic if and only if $m = s$ and $r_i = n_{\sigma(i)}$ for $1 \leq i \leq m$ where σ is a permutation of $\{1, \dots, m\}$.*

The algebras $W(m : n_1, \dots, n_m)$ have been studied by Kostrikin and Šafarevič [6] who have proved a statement equivalent to (a). The conclusion in (c) that $m = s$ is due to Ree [7, Theorem 12.14].

The definition of $W(m : n_1, \dots, n_m)$ is given in §1. The proof of Theorem 1 is contained in §§2 and 3. In §4 the automorphism group of $W(m : n_1, \dots, n_m)$ is determined for $p > 3$.

Since several families of nonclassical simple Lie algebras may be defined as subalgebras of generalized Witt algebras (e.g., [4]), the results of this paper are of considerable use in the study of nonclassical simple Lie algebras. In particular, they can be used to prove that all the finite-dimensional nonclassical simple Lie algebras listed in [9, pp. 105–110] are of Cartan type (in the sense of [6] or [10]) thus effecting a considerable simplification in the description of the known finite-dimensional nonclassical simple Lie algebras. This topic will be treated in a later paper.

1. Definitions. We begin by defining a family of associative algebras over an arbitrary field Φ . Let C denote the complex numbers, Z the integers and N the nonnegative integers. Let $A(m)$ be the set of N valued functions on $\{1, \dots, m\}$. Define $\varepsilon_i \in A(m)$ by $\varepsilon_i(j) = \delta_{ij}$. For $\alpha, \beta \in A(m)$ define $\alpha! = \prod \alpha(i)!$, $|\alpha| = \sum \alpha(i)$ and $C(\alpha, \beta) = \prod C(\alpha(i), \beta(i))$ (where $C(r, s)$ is the binomial coefficient $r!/s!(r-s)!$). Let $\mathcal{A}(m) = C[[x_1, \dots, x_m]]$. For $\alpha \in A(m)$ define $x^\alpha = (\prod x_i^{\alpha(i)})/\alpha! \in \mathcal{A}(m)$. Then

$$(1.1) \quad x^\alpha x^\beta = C(\alpha + \beta, \beta) x^{\alpha + \beta}.$$

Set $\overline{\mathcal{A}}(m) = \{\sum a_\alpha x^\alpha \mid a_\alpha \in Z\} \subseteq \mathcal{A}(m)$ where the summation extends over all $\alpha \in A(m)$ and infinite sums are allowed. Then $\overline{\mathcal{A}}(m)$ is a Z -subalgebra of $\mathcal{A}(m)$. For any field Φ define $\mathfrak{U}(m) = \overline{\mathcal{A}}(m) \otimes_Z \Phi$. Then $\mathfrak{U}(m)$ is an associative algebra over Φ . Denoting $x^\alpha \otimes 1$ by x^α we see that multiplication in $\mathfrak{U}(m)$ satisfies (1.1). For $1 \leq i \leq m$ denote x^{ε_i} by x_i .

For $0 \neq \sum a_\alpha x^\alpha \in \mathfrak{U}(m)$ define $|\sum a_\alpha x^\alpha| = \min \{|\alpha| \mid a_\alpha \neq 0\}$. Define $|0| = \infty$ and set $\mathfrak{U}(m)_i = \{x \in \mathfrak{U}(m) \mid |x| \geq i+1\}$. Then $\mathfrak{U}(m)$ is a topological algebra with $\{\mathfrak{U}(m)_i \mid i \geq -1\}$ as a base of neighborhoods of 0. Define $\overline{\mathfrak{U}}(m)$ to be the subalgebra of $\mathfrak{U}(m)$ consisting of all finite linear combinations of $\{x^\alpha \mid \alpha \in A(m)\}$. Then $\overline{\mathfrak{U}}(m)$ is dense in $\mathfrak{U}(m)$. For any subalgebra $\mathfrak{V}$ of $\mathfrak{U}(m)$ define $\mathfrak{V}_i = \mathfrak{V} \cap \mathfrak{U}(m)_i$ for all $i \in N$.

We now define a sequence of divided power operators on $\mathfrak{U}(m)$. These are the analogues of the mappings $x \rightarrow x^r/r!$ in $\mathcal{A}(m)$.

LEMMA 1. *There is a unique sequence of continuous mappings $y \rightarrow y^{(r)}$ ($r \in \mathbb{N}$) of $\mathfrak{A}(m)_0$ into $\mathfrak{A}(m)$ satisfying:*

$$(1.2) \quad x^{(0)} = 1 \text{ for all } x \in \mathfrak{A}(m)_0.$$

$$(1.3) \quad (x^\alpha)^{(r)} = ((r\alpha)!/(\alpha!)^r r!) x^{r\alpha} \text{ for all } \alpha \in A(m) \text{ such that } \alpha \neq 0 \text{ and all } r \in \mathbb{N}.$$

$$(1.4) \quad (ax)^{(r)} = a^r x^{(r)} \text{ for all } a \in \Phi, x \in \mathfrak{A}(m)_0 \text{ and } r \in \mathbb{N}.$$

$$(1.5) \quad (x+y)^{(r)} = \sum_{i=0}^r x^{(i)} y^{(r-i)} \text{ for all } x, y \in \mathfrak{A}(m)_0 \text{ and all } r \in \mathbb{N}.$$

Proof. For the coefficient in (1.3) to be interpreted as an element of Φ it must be an integer. Hence we first show that if $0 \neq \alpha \in A(m)$ and $r \in \mathbb{N}$ then $(r\alpha)!/(\alpha!)^r r! \in \mathbb{Z}$. Since $0 \neq \alpha$ we may suppose without loss of generality that $\alpha(1) \neq 0$. Then $(r\alpha)!/(\alpha!)^r r!$ is the product of $(r\alpha(1))!/(\alpha(1))^r r!$ and $\prod_{i=2}^m \{(r\alpha(i))!/(\alpha(i))^r\}$. Now it suffices to show that each factor is an integer, i.e., if $r, b \in \mathbb{N}$ then $(rb)!/(b!)^r \in \mathbb{Z}$ and if $b \geq 1$ then $(rb)!/(b!)^r r! \in \mathbb{Z}$. But this is immediate from the fact that $(rb)!/(b!)^r = \prod_{j=1}^r C(jb, b)$ together with the observation that if $b \neq 0$ then $C(jb, b) = jC(jb-1, b-1)$.

Now (1.2)–(1.5) define a unique sequence of maps $y \rightarrow y^{(r)}$ of $\mathfrak{A}(m)_0$ into $\mathfrak{A}(m)$. Since $\mathfrak{A}(m)$ is dense in $\mathfrak{A}(m)$ these can be uniquely extended to continuous maps of $\mathfrak{A}(m)_0$ into $\mathfrak{A}(m)$.

Following Kostrikin and Šafarevič [6, p. 256] we call a derivation D of $\mathfrak{A}(m)$ *special* if

$$(1.6) \quad y^{(r)} D = (yD)y^{(r-1)} \quad \text{for all } y \in \mathfrak{A}(m)_0 \text{ and all } r \in \mathbb{Z}, r \geq 1.$$

It is easily seen that the special derivations of $\mathfrak{A}(m)$ span a Lie subalgebra of the derivation algebra. We denote this subalgebra by $W(m)$.

Now let Φ be a field of characteristic $p > 0$. Let $\mathbf{n} = (n_1, \dots, n_m)$ be an m -tuple of integers ≥ 1 . Define $A(m; \mathbf{n}) = \{\alpha \in A(m) \mid \alpha(i) < p^{n_i} \text{ for } 1 \leq i \leq m\}$. Now if $\alpha, \beta \in A(m; \mathbf{n})$ and $\alpha + \beta \notin A(m; \mathbf{n})$ then $p \mid C(\alpha + \beta, \alpha)$. Thus $\mathfrak{A}(m; \mathbf{n}) = \langle x^\alpha \mid \alpha \in A(m; \mathbf{n}) \rangle$ is a subalgebra of $\mathfrak{A}(m)$. Define $W(m; \mathbf{n})$ to be the stabilizer of $\mathfrak{A}(m; \mathbf{n})$ in $W(m)$.

From (1.1) and (1.3) we see that $\{x_i \mid 1 \leq i \leq m\}$ generates $\mathfrak{A}(m)_0$ under algebra operations and divided power operations. Thus (1.6) shows that if D is a special derivation satisfying $x_i D = 0$ for $1 \leq i \leq m$ then $D = 0$. Define derivations $D_1, \dots, D_m$ of $\mathfrak{A}(m)$ by

$$(1.7) \quad x^\alpha D_i = x^{\alpha - \epsilon_i}$$

(where we set $x^\beta = 0$ for $\beta \notin A(m)$). It is easily seen that if $a_1, \dots, a_m \in \mathfrak{A}(m)$ (respectively $\mathfrak{A}(m; \mathbf{n})$) then $\sum D_j a_j \in W(m)$ (respectively $W(m; \mathbf{n})$). For any $D \in W(m)$ we have $x_i(D - \sum_{j=1}^m D_j(x_j D)) = 0$ for $1 \leq i \leq m$. Hence $D = \sum D_j(x_j D)$. This proves the following lemma (due to Kostrikin and Šafarevič [6]).

LEMMA 2. *$W(m)$ is a free $\mathfrak{A}(m)$ module with basis $\{D_1, \dots, D_m\}$ and $W(m; \mathbf{n})$ is a free $\mathfrak{A}(m; \mathbf{n})$ module with basis $\{D_1, \dots, D_m\}$.*

It is easily seen that the restriction map $D \rightarrow D|_{\mathfrak{A}(m; \mathbf{n})}$ is an isomorphism of $W(m; \mathbf{n})$ into $\text{Der}(\mathfrak{A}(m; \mathbf{n}))$. Thus we may, when necessary, regard $W(m; \mathbf{n})$ as a subalgebra of $\text{Der}(\mathfrak{A}(m; \mathbf{n}))$.

We see from (1.3)–(1.5) that $y^{(r)} = y^r/r!$ for $r < p$. Hence every derivation of $A(m:1)$ is special so that $W(1:1)$ is the Witt algebra [1] and the algebras $W(m:1)$ are the Jacobson-Witt algebras [2]. If E is an m -dimensional vector space and $\mathcal{F}$ is the flag $E = E_0 \supseteq E_1 \supseteq \dots$ then the algebra $W(\mathcal{F})$ of Kostrikin and Šafarevič [6, p. 261] is isomorphic to $W(m:n)$ where $\dim E_{j-1}$ is equal to the number of i for which $n_i \geq j$.

Using (1.1) and (1.7) we see that multiplication in $W(m:n)$ is defined by bilinearity and

$$(1.8) \quad [D_i x^\alpha, D_j x^\beta] = D_i x^{\alpha+\beta-\varepsilon_j} C(\alpha+\beta-\varepsilon_j, \beta) - D_j x^{\alpha+\beta-\varepsilon_i} C(\alpha+\beta-\varepsilon_i, \alpha).$$

The binomial coefficients may be evaluated using the following remark:

$$(1.9) \quad \begin{aligned} &\text{If } u = \sum_{i=0}^n u_i p^i \text{ and } v = \sum_{i=0}^n v_i p^i \text{ then} \\ &C(u+v, u) \equiv \prod_{i=0}^n C(u_i+v_i, u_i) \pmod{p}. \end{aligned}$$

(For if we set $\tilde{u} = \sum_{j=0}^n u_j ((p^j-1)/(p-1))$ it is easily seen that $u!/p^{\tilde{u}} \equiv (-1)^{\tilde{u}} u_0! \dots u_n! \pmod{p}$. Defining $\tilde{v}$ similarly in terms of the v_i and $(u+v)^\sim$ similarly in terms of the u_i+v_i we see that $\tilde{u}+\tilde{v} = (u+v)^\sim$ from which (1.9) follows.)

We will have occasion to use the following special cases of (1.8) and (1.9):

$$(1.10) \quad [D_i x^\alpha, D_j] = D_i x^{\alpha-\varepsilon_j}.$$

$$(1.11) \quad [D_i x^\alpha, D_j x_j] = D_i x^\alpha (\alpha(j) - \delta_{ij}).$$

We will also use the following properties of binomial coefficients:

$$(1.12) \quad \begin{aligned} &\text{If } C(r+s-1, r) \equiv 0 \pmod{p} \text{ for all } r, 0 < r < s, \\ &\text{then } s = p^w \text{ for some } w \in \mathbb{Z}. \end{aligned}$$

$$(1.13) \quad \begin{aligned} &\text{If } C(s+r-1, r) - C(s+r-1, r-1) \equiv -1 \pmod{p} \\ &\text{for all } r, 0 < r < s, \text{ then } s = p^w \text{ for some } w \in \mathbb{Z}. \end{aligned}$$

To prove (1.12) write $s = \sum s_i p^i$ where $0 \leq s_i < p$ for all i . If $s=1$ the result holds. If $s > 1$ then $C(s, 1) \equiv 0 \pmod{p}$ so by (1.9) $s_0=0$. Similarly we see that if $s_0=s_1=\dots=s_{i-1}=0$ then either $s=p^i$ or $s_i=0$. This proves (1.12). The proof of (1.13) is similar.

2. Proof of Theorem 1. Throughout this section we assume that Φ is an algebraically closed field of characteristic $p > 0$.

Let $\mathfrak{A}$ be a commutative associative algebra with unit over Φ . A set $\mathbf{D} = \{D_1, \dots, D_m\}$ of derivations of $\mathfrak{A}$ is called a system if it is linearly independent over $\mathfrak{A}$ and if its $\mathfrak{A}$ -span, denoted by $\mathcal{L}(\mathfrak{A}:\mathbf{D})$, is a Lie subalgebra of the derivation algebra of $\mathfrak{A}$. A system $\{D_1, \dots, D_m\}$ is said to be orthogonal if $[D_i, D_j] = 0$ for all $1 \leq i, j \leq m$. Two systems $\mathbf{D} = \{D_1, \dots, D_m\}$ and $\mathbf{E} = \{E_1, \dots, E_n\}$ are said to be equivalent if $\mathcal{L}(\mathfrak{A}:\mathbf{D}) = \mathcal{L}(\mathfrak{A}:\mathbf{E})$. Clearly this occurs if and only if $m=n$ and $D_i = \sum E_j c_{ij}$ for $1 \leq i \leq m$ where $c_{ij} \in \mathfrak{A}$ for $1 \leq i, j \leq m$ and $\det(c_{ij})$ is a unit in $\mathfrak{A}$.

If $\mathfrak{B}$ is a subalgebra of $\mathfrak{A}$ containing c_{ij} for $1 \leq i, j \leq m$ and $\det(c_{ij})^{-1}$ we say that the systems are equivalent over $\mathfrak{B}$. A derivation D of $\mathfrak{A}$ is said to be normal if $a \in \mathfrak{A}$ and $aD=0$ imply that $a \in \Phi$.

Denote by $\mathbf{1}$ the n -tuple $(1, \dots, 1)$. Let $y = (y_1, \dots, y_n)$ be an n -tuple of elements of $\mathfrak{A}(m:\mathbf{1})$. For $\alpha \in A(n:\mathbf{1})$ define $y^\alpha = \prod_{i=1}^n (y_i^{\alpha(i)} / \alpha(i)!)!$. We will call y a system of standard generators for $\mathfrak{A}(n:\mathbf{1})$ if $y_i^p = 0$ for $1 \leq i \leq m$ and $\{y^\alpha \mid \alpha \in A(n:\mathbf{1})\}$ is a basis for $\mathfrak{A}(n:\mathbf{1})$. If y is a system of standard generators for $\mathfrak{A}(n:\mathbf{1})$ define derivations $C_i(y)$ for $1 \leq i \leq n$ by

$$\begin{aligned} y_j C_i(y) &= 0 && \text{if } j < i, \\ (2.1) \quad &= 1 && \text{if } j = i, \\ &= (y_1 \cdots y_{j-i})^{p-1} && \text{if } j > i. \end{aligned}$$

We now state some of Ree's results on generalized Witt algebras.

PROPOSITION 1. (a) [7, §2] Any finite-dimensional generalized Witt algebra over Φ is isomorphic to some $\mathcal{L}(\mathfrak{A}:\mathbf{D})$.

(b) [7, Theorem 6.10] $\mathcal{L}(\mathfrak{A}:\mathbf{D})$ is isomorphic to a finite-dimensional generalized Witt algebra if and only if $\mathfrak{A}$ is finite dimensional and there exists an orthogonal system $\{E_1, \dots, E_m\}$ equivalent to $\mathbf{D}$ and satisfying the following conditions:

(2.2) If $a \in \mathfrak{A}$ and $aE_i = \lambda_i a$ where $\lambda_i \in \Phi$ for all i , $1 \leq i \leq m$, then either $a=0$ or a is a unit in $\mathfrak{A}$.

(2.3) If $a \in \mathfrak{A}$ and $aE_i = 0$ for all i , $1 \leq i \leq m$, then $a \in \Phi$.

(c) [7, Theorems 8.3, 9.2] If $\mathbf{D}$ is an orthogonal system of derivations of $\mathfrak{A}$ satisfying (2.2) and (2.3) and if $\mathfrak{A}$ is finite dimensional then $\mathfrak{A} \cong \mathfrak{A}(n:\mathbf{1})$ for some n . Furthermore there exists an orthogonal system $\mathbf{E}$ equivalent to $\mathbf{D}$ such that E_1 is normal and nilpotent.

(d) [7, Theorems 8.3, 9.3] If D is a normal and nilpotent derivation of $\mathfrak{A}(n:\mathbf{1})$ then there exists a system of standard generators y of $\mathfrak{A}(n:\mathbf{1})$ such that $D = C_1(y)$. If E is any derivation of $\mathfrak{A}(n:\mathbf{1})$ such that $[D, E] = 0$ then $E = \sum_{i=1}^n C_i(y) \gamma_i$ where the $\gamma_i \in \Phi$.

(e) [7, Theorem 12.14] If $\mathcal{L}(\mathfrak{A}:\mathbf{D})$ and $\mathcal{L}(\mathfrak{A}':\mathbf{E})$ are isomorphic and finite dimensional where $\mathbf{D} = \{D_1, \dots, D_m\}$ and $\mathbf{E} = \{E_1, \dots, E_s\}$ are systems satisfying (2.2) and (2.3) then $m=s$.

(f) [8, Corollary 1.2] If $\mathbf{D} = \{D_1, \dots, D_m\}$ is a system of derivations of $\mathfrak{A}(n:\mathbf{1})$ satisfying (2.2) and (2.3) and if $p > 2$ then $\dim \text{Der } \mathcal{L}(\mathfrak{A}(n:\mathbf{1}):\mathbf{D}) = mp^n + n - m$.

We will now apply these results to the proof of Theorem 1. By Lemma 2 we have $W(m:n) \cong \mathcal{L}(\mathfrak{A}(m:n):\mathbf{D})$ where $\mathbf{D} = \{D_1|_{\mathfrak{A}(m:n)}, \dots, D_m|_{\mathfrak{A}(m:n)}\}$ and the D_i are defined by (1.7). Since $\mathbf{D}$ is clearly an orthogonal system satisfying (2.2) and (2.3), Proposition 1(b) shows that $W(m:n)$ is isomorphic to a generalized Witt algebra. This proves Theorem 1(a).

For the proof of Theorem 1(b) we wish to find a system $\mathbf{E}$ of derivations of $\mathfrak{A}(n:\mathbf{1})$ such that $W(m:n) \cong \mathcal{L}(\mathfrak{A}(n:\mathbf{1}):\mathbf{E})$. To do this set $l_1=0$, $l_i = \sum_{j=1}^{i-1} n_j$ for

$2 \leq i \leq m$, and $n = \sum_{j=1}^m n_j$. Then if y is a system of standard generators for $\mathfrak{A}(n:1)$ we see (using (1.1) and the fact that $\{x^\alpha \mid \alpha \in \mathfrak{A}(m:n)\}$ is a basis for $\mathfrak{A}(m:n)$) that the map $\tau: x^{p^k \varepsilon_i} \rightarrow (-1)^k y_{l_i+k+1}$ for $1 \leq i \leq m$ and $0 \leq k < n_i$ extends to an isomorphism of $\mathfrak{A}(m:n)$ onto $\mathfrak{A}(n:1)$. It is easily seen that the derivation $\tau^{-1} D_i \tau$ of $\mathfrak{A}(n:1)$ is equal to $C_{l_i+1}(y) - C_{l_i+1+1}(y)(y_{l_i+1} \cdots y_{l_i+1})$ for $1 \leq i < m$ and that $\tau^{-1} D_m \tau = C_{l_m+1}(y)$. Thus $\{\tau^{-1} D_1 \tau, \dots, \tau^{-1} D_m \tau\}$ is equivalent to $\{C_{l_i+1}(y) \mid 1 \leq i \leq m\}$ and hence $W(m:n)$ is isomorphic to $\mathcal{L}(\mathfrak{A}(n:1) : C_{l_i+1}(y), \dots, C_{l_m+1}(y))$.

Now by Proposition 1(a-c) any generalized Witt algebra is isomorphic to some $\mathcal{L}(\mathfrak{A}(n:1):D)$ where D is an orthogonal system of derivations satisfying (2.2) and (2.3). Thus Theorem 1(b) follows from

LEMMA 3. *If D is an orthogonal system of derivations of $\mathfrak{A}(n:1)$ satisfying (2.2) and (2.3) then there exists a sequence of integers $0 = l_1 < l_2 < \cdots < l_m < n$ and a system of standard generators y of $\mathfrak{A}(n:1)$ such that D is equivalent to $\{C_{l_i+1}(y) \mid 1 \leq i \leq m\}$.*

We will prove Lemma 3 in the next section.

We now determine the derivation algebra of $W(m:n)$. This result will be used in the proof of Theorem 1(c).

LEMMA 4. *Der $W(m:n)$ has basis $B_1(m:n) \cup B_2(m:n)$ where $B_1(m:n) = \{\text{ad } D_i x^\alpha \mid 1 \leq i \leq m, \alpha \in A(m:n)\}$, and $B_2(m:n) = \{(\text{ad } D_i)^{p^k} \mid 1 \leq i \leq m, 1 \leq k < n_i\}$.*

Proof. It is easily seen that $B_1(m:n) \cup B_2(m:n)$ consists of $mp^n + n - m$ linearly independent derivations of $W(m:n)$. If $p > 2$ Proposition 1(f) shows that $B_1(m:n) \cup B_2(m:n)$ must be a basis for $\text{Der } W(m:n)$. Thus it is necessary only to show that $B_1(m:n) \cup B_2(m:n)$ spans $\text{Der } W(m:n)$ when $p = 2$. (The proof we give for this does not, in fact, depend on p .) The proof has several steps.

(1) For $1 \leq i \leq m$ define U_i to be the subspace of $W(m:n)$ spanned by $\{D_j x^\alpha \mid 1 \leq j \leq m, \alpha(i) = p^{n_i} - 1\}$. Then if $\mathcal{D}$ is a derivation of $W(m:n)$ such that $D_j \mathcal{D} = 0$ for all $j < i$ there exists $D \in W(m:n)$ such that $D_j(\mathcal{D} + \text{ad } D) = 0$ for all $j < i$ and $D_i(\mathcal{D} + \text{ad } D) \in U_i$.

Proof. Let $D_i \mathcal{D} = \sum D_k x^\alpha a(k, \alpha)$ where the summation extends over all $\alpha \in A(m:n)$ and all $k \in \mathbb{Z}$, $1 \leq k \leq m$. If $j < i$ then $0 = [D_i, D_j] \mathcal{D} = [D_i \mathcal{D}, D_j] = \sum D_k x^{\alpha - \varepsilon_j} a(k, \alpha)$ (by (1.10)). Hence if $j < i$ and $\alpha(j) \neq 0$ then $a(k, \alpha) = 0$ for all k . Hence setting $D = \sum D_k x^{\alpha + \varepsilon_i} a(k, \alpha)$ where the summation extends over all k , $1 \leq k \leq m$, and over all $\alpha \in A(m:n)$ such that $\alpha(i) \neq p^{n_i} - 1$ gives the result.

(2) If $\mathcal{D}$ is a derivation of $W(m:n)$ such that $D_i \mathcal{D} \in U_i$ then $D_i \mathcal{D} = 0$.

Proof. Let $D_i \mathcal{D} = \sum D_k x^\alpha a(k, \alpha)$ as in (1). Note that $U_i \cap (W(m:n) \text{ ad } D_i) = (0)$. Now by (1.11) we see that $[(D_i x_i) \mathcal{D}, D_i] = D_i \mathcal{D} - [D_i x_i, D_i \mathcal{D}] \in U_i \cap (W(m:n) \text{ ad } D_i)$ so $D_i \mathcal{D} = [D_i x_i, D_i \mathcal{D}]$. Thus by (1.11) we see that

$$\sum D_k x^\alpha a(k, \alpha) = \sum D_k x^\alpha (\delta_{ik} - \alpha(i)) a(k, \alpha).$$

Thus $\alpha(i) a(i, \alpha) = 0$ for all α . Since $a(i, \alpha) \neq 0$ implies that $\alpha(i) \equiv -1 \pmod{p}$ this shows that $a(i, \alpha) = 0$ for all α . If $m = 1$ this shows that $D_i \mathcal{D} = 0$ as required. If $m > 1$ and $j \neq i$

then $[D_i, D_j\mathcal{D}] = -[D_i\mathcal{D}, D_j] \in U_i \cap (W(m:n) \text{ ad } D_i)$ so $[D_i\mathcal{D}, D_j] = 0$. Similarly $[D_i\mathcal{D}, D_jx_j] = 0$. Then (1.10) and (1.11) show that $D_i\mathcal{D} = 0$.

(3) Define a partial order on $\mathbf{Z}^m$ by $\mathbf{r} \leq \mathbf{n}$ if and only if $r_i \leq n_i$ for $1 \leq i \leq m$. Then if $\mathcal{D}$ is a derivation of $W(m:n)$ there exists $\mathcal{E}$ in the linear span of $B_1(m:n)$ such that $W(m:r)(\mathcal{D} - \mathcal{E}) \subseteq W(m:r)$ for all $\mathbf{r} \leq \mathbf{n}$ and $W(m:1)(\mathcal{D} - \mathcal{E}) = (0)$.

Proof. It is easily seen that if $\mathbf{r} \leq \mathbf{n}$ then

$$W(m:r) = \{D \in W(m:n) \mid D(\text{ad } D_i)^{p^{n_i}} = 0 \text{ for all } i, 1 \leq i \leq m\}.$$

Now by (1) and (2) we can find an inner derivation $\mathcal{E}_1$ such that $D_i(\mathcal{D} - \mathcal{E}_1) = 0$ for $1 \leq i \leq m$. Then by the above characterization of $W(m:r)$, $W(m:r)(\mathcal{D} - \mathcal{E}_1) \subseteq W(m:r)$. Since every derivation of $W(m:1)$ is inner (by [2, Theorem 12]) we can find an inner derivation $\mathcal{E}_2$ of $W(m:n)$ such that $W(m:1)(\mathcal{D} - \mathcal{E}_1 - \mathcal{E}_2) = (0)$. Since the linear span of $B_1(m:n)$ is equal to the ideal of inner derivations of $W(m:n)$, this proves (3).

(4) If $\mathcal{D}$ is a derivation of $W(m:n)$ such that $W(m:1)\mathcal{D} = (0)$ and if $\beta \in A(m:n)$ is such that $D_jx^\alpha\mathcal{D} = 0$ for all j , $1 \leq j \leq m$, and all $\alpha < \beta$ but $D_ix^\beta\mathcal{D} \neq 0$ for some i , then $\beta = p^w\epsilon_k$ for some $w, k \in \mathbf{Z}$, $1 \leq k \leq m$ and $D_ix^\beta\mathcal{D} = D_ia$ where $a \in \Phi$.

Proof. If there exist l, k , $1 \leq l \neq k \leq m$, such that $\beta(k) \neq 0$ and $\beta(l) \neq 0$ then (taking $k \neq i$)

$$(D_ix^\beta)\mathcal{D} = [D_ix^\beta - (\beta(k) - 1)\epsilon_k, D_kx^{\beta(k)\epsilon_k}]\mathcal{D} = 0,$$

a contradiction. Hence $\beta = s\epsilon_k$ for some $s, k \in \mathbf{Z}$. Now as $[D_ix^\beta, D_j]\mathcal{D} = 0$ for $1 \leq j \leq m$ we have $(D_ix^\beta)\mathcal{D} = \sum D_ia_i$ where the $a_i \in \Phi$. Then by (1.11) for $1 \leq j \leq m$ we have $-D_ja_j = [\sum D_ia_i, D_jx_j] = [D_ix^\beta, D_jx_j]\mathcal{D} = \sum D_ia_i(\beta(j) - \delta_{ij})$. Setting $j = i$ we see that $a_i = 0$ for all $i \neq k$ whenever $\beta(i) = 0$. But if $\beta(i) \neq 0$ then $\beta(i) = 0$ and setting $j = i$ we again see that $a_i = 0$. Hence $(D_ix^\beta)\mathcal{D} = D_ia$ where $a \in \Phi$.

Now for $0 < r < s$ we have

$$\begin{aligned} [D_ix^\beta, D_kx^{r\epsilon_k}]\mathcal{D}(\text{ad } D_k)^{r-1} &= [D_ix^\beta, D_kx^{r\epsilon_k}](\text{ad } D_k)^{r-1}\mathcal{D} \\ &= D_ia(C(s+r-1, r) - \delta_{ik}C(s+r-1, r-1)). \end{aligned}$$

Also

$$[D_ix^\beta, D_kx^{r\epsilon_k}]\mathcal{D}(\text{ad } D_k)^{r-1} = [(D_ix^\beta)\mathcal{D}, D_kx^{r\epsilon_k}](\text{ad } D_k)^{r-1} = -D_ia\delta_{ik}.$$

Thus $C(s+r-1, r) - \delta_{ik}C(s+r-1, r-1) = -\delta_{ik}$ for $0 < r < s$. Hence by (1.12) and (1.13) we see that $s = p^w$ as required.

(5) If $\mathcal{D}$ is a derivation of $W(m:n)$ and if $W(m:r)\mathcal{D} = (0)$ where $1 \leq r < n$ and $r_i < n_i$ for some i , $1 \leq i \leq m$, then there exists $\mathcal{E}$ in the linear span of $B_2(m:n)$ such that $W(m:r_1, \dots, r_i+1, \dots, r_m)(\mathcal{D} - \mathcal{E}) = (0)$.

Proof. If $W(m:r_1, \dots, r_i+1, \dots, r_m)\mathcal{D} = (0)$ we take $\mathcal{E} = 0$. If not there exists some $\beta \in A(m:r_1, \dots, r_i+1, \dots, r_m)$ satisfying the hypotheses of (4). Then by (4) (and the fact that $W(m:r)\mathcal{D} = (0)$) we see that $\beta = p^{r_i}\epsilon_i$. Setting $\mathcal{E} = (\text{ad } D_i)^{p^{r_i}}a$ where a is as in (4) we have $(D_ix^{p^{r_i}\epsilon_i})(\mathcal{D} - \mathcal{E}) = 0$. Now if $j \neq i$ then $(D_jx^{p^{r_i}\epsilon_i})(\mathcal{D} - \mathcal{E}) = [D_jx_i, D_ix^{p^{r_i}\epsilon_i}](\mathcal{D} - \mathcal{E}) = 0$. Hence $W(m:r_1, \dots, r_i+1, \dots, r_m)(\mathcal{D} - \mathcal{E}) = (0)$ as required.

Lemma 4 now follows from (3) and (5) by induction on n .

We now prove Theorem 1(c). If $r_i = n_{\sigma(i)}$ for $1 \leq i \leq m$ where σ is a permutation of $\{1, \dots, m\}$ then it is clear from the definitions that $W(m:n)$ and $W(m:r)$ are isomorphic. Conversely suppose that $W(m:n)$ and $W(s:r)$ are isomorphic. Then by Proposition 1(e) $m=s$. Since (by the preceding remark) we may rearrange the n_i and the r_i , we may assume that $n_1 \geq n_2 \geq \dots \geq n_m$ and $r_1 \geq r_2 \geq \dots \geq r_m$. Now define

$$W(m:n)_{(0)} = \{D \in W(m:n) \mid (\text{ad } D)^p \text{ is an inner derivation}\}$$

and for $i \in N$, $i > 0$, define

$$W(m:n)_{(i)} = \{D \in W(m:n)_{(i-1)} \mid W(m:n)(\text{ad } D) \subseteq W(m:n)_{(i-1)}\}.$$

Then clearly $W(m:n)_{(i)} \cong W(m:r)_{(i)}$ for all $i \in N$. We will show that this implies that $r_i = n_i$ for $1 \leq i \leq m$ thus proving Theorem 1(c). The proof has several steps.

(1) If $\sum D_i a_i \in W(m:n)$ define $|\sum D_i a_i| = \min |a_i|$. Then a derivation $\mathcal{E}$ of $W(m:n)$ is inner if and only if $|D\mathcal{E}| \geq |D| - 1$ for every $D \in W(m:n)$.

Proof. From (1.8) we see that if $\mathcal{E}$ is inner then $|D\mathcal{E}| \geq |D| - 1$ for all $D \in W(m:n)$. If $\mathcal{E}$ is an outer derivation then by Lemma 4 $\mathcal{E} = \sum_{i=1}^m \sum_{j=1}^{n_i-1} (\text{ad } D_i)^{p^j} \alpha_{ij} + \text{ad } E'$ where the $\alpha_{ij} \in \Phi$, $E' \in W(m:n)$ and some $\alpha_{ki} \neq 0$. Then setting $D = D_1 x^{p^{l_k}}$ we have $|D\mathcal{E}| = 0 < p^l - 1 = |D| - 1$.

(2) $W(m:n)_{(0)} = \langle D_i x^\alpha \mid 1 \leq i \leq m, |\alpha| \geq 1 - \delta_{1, n_i} \rangle$.

Proof. By formula (ii), p. 188 of [3], if $\mathcal{L}$ is a Lie algebra over Φ and $a, b \in \mathcal{L}$ then $(\text{ad}(a+b))^p = (\text{ad } a)^p + (\text{ad } b)^p + \text{ad } c$ for some $c \in \mathcal{L}$. Hence $W(m:n)_{(0)}$ is a subspace of $W(m:n)$. Now if $|\alpha| > 0$ and $D \in W(m:n)$ then (1.8) shows that $|D(\text{ad } D_i x^\alpha)| \geq |D|$ for all i , $1 \leq i \leq m$. Hence $|D(\text{ad } D_i x^\alpha)^p| \geq |D|$ for all $D \in W(m:n)$ so that by (1) $(\text{ad } D_i x^\alpha)^p$ is an inner derivation for all i , $1 \leq i \leq m$. If $n_i = 1$ then $(\text{ad } D_i)^p = 0$ and hence is an inner derivation. Hence $W(m:n)_{(0)} \supseteq \langle D_i x^\alpha \mid 1 \leq i \leq m, |\alpha| \geq 1 - \delta_{1, n_i} \rangle$. If the inclusion is proper then, since $W(m:n)_{(0)}$ is a subspace, there is some $0 \neq D = \sum_{n_i \neq 1} D_i a_i \in W(m:n)_{(0)}$ where the $a_i \in \Phi$. Then $(\text{ad } D)^p = \sum_{n_i \neq 1} (\text{ad } D_i)^p a_i^p$ is an inner derivation, contradicting the linear independence of $B_1(m:n) \cup B_2(m:n)$.

(3) For $k \in N$ define a subset $T_k \subseteq W(m:n)$ by $T_k = \langle D_i x^\alpha \mid 1 \leq i \leq m, |\alpha| \geq k + 1 - \delta_{1, n_i} \rangle$. If $n_1 > 1$ then $T_{k+1} = \{D \in T_k \mid W(m:n)(\text{ad } D) \subseteq T_k\}$ for all $k \in N$.

Proof. It is immediate from (1.8) that

$$T_{k+1} \subseteq \{D \in T_k \mid W(m:n)(\text{ad } D) \subseteq T_k\} \quad \text{for all } k \in N.$$

Conversely assume that $D = \sum D_i x^\alpha a_{i,\alpha} \in T_k$ and that $W(m:n)(\text{ad } D) \subseteq T_k$. Then in particular $D_j(\text{ad } D) \in T_k$ for all j , $1 \leq j \leq m$. Thus if $\alpha(j) \neq 0$ and $a_{i,\alpha} \neq 0$ we have $|\alpha - \varepsilon_j| \geq k + 1 - \delta_{1, n_i}$ so that $|\alpha| \geq k + 2 - \delta_{1, n_i}$ and hence $D_i x^\alpha \in T_{k+1}$. Thus $D \in T_{k+1}$ unless $a_{i,0} \neq 0$ for some i , $1 \leq i \leq m$. But then $(D_1 x_i)(\text{ad } D) = \sum D_i x^\alpha b_{i,\alpha} \in T_k$ where $b_{1,0} \neq 0$. But this implies that $0 \geq k + 1 - \delta_{1, n_1} \geq 1$, a contradiction. Thus $D \in T_{k+1}$ proving (3).

(4) For $k \in N$ define $A(k:m:n) = \{\alpha \in A(m:n) \mid |\alpha| = k\}$. Define $P(k:m:n)$ to be the cardinality of $A(k:m:n)$. Let $m = m' + m''$ where m' is the number of i such that $n_i > 1$. Then if $m' > 0$,

$$(2.4) \dim W(m:n)/W(m:n)_{(0)} = m'.$$

$$(2.5) \dim W(m:n)_{(i)}/W(m:n)_{(i+1)} = m'P(i+1:m:n) + m''P(i:m:n) \text{ for all } i \in N.$$

Proof. Since $m' > 0$ it follows from (2) and (3) that $W(m:n)_{(i)} = T_i$ for all $i \in N$. Since T_i/T_{i+1} has basis

$$\begin{aligned} \{D_j x^\alpha + T_{i+1} \mid 1 \leq j \leq m, |\alpha| = i+1 - \delta_{1,n_j}\} \\ = \{D_j x^\alpha + T_{i+1} \mid 1 \leq j \leq m', \alpha \in A(i+1:m:n)\} \\ \cup \{D_j x^\alpha + T_{i+1} \mid m' < j \leq m, \alpha \in A(i:m:n)\}, \end{aligned}$$

the result is immediate.

(5) If $n_i > r_i$ and $n_j = r_j$ for $i < j \leq m$ then $P(p^{r_i} - 1:m:n) = P(p^{r_i} - 1:m:r)$ and $P(p^{r_i}:m:n) > P(p^{r_i}:m:r)$.

Proof. Clearly $A(p^{r_i} - 1:m:n) \supseteq A(p^{r_i} - 1:m:r)$. Let $\alpha \in A(p^{r_i} - 1:m:n)$. Then if $j \geq i+1$ we have $\alpha(j) < p^{n_j} = p^{r_j}$ and if $j \leq i$ we have $\alpha(j) \leq |\alpha| = p^{r_i} - 1 < p^{r_i} \leq p^{r_j}$. Hence $\alpha \in A(p^{r_i} - 1:m:r)$. Thus $P(p^{r_i} - 1:m:n) = P(p^{r_i} - 1:m:r)$. Also $A(p^{r_i}:m:n) \supseteq A(p^{r_i}:m:r)$ but $p^{r_i} \varepsilon_i \in A(p^{r_i}:m:n)$ and $p^{r_i} \varepsilon_i \notin A(p^{r_i}:m:r)$ so $P(p^{r_i}:m:n) > P(p^{r_i}:m:r)$.

(6) $n_i = r_i$ for $1 \leq i \leq m$.

Proof. If not we may assume (interchanging the n 's and the r 's if necessary) that for some i we have $n_i > r_i$ and $n_j = r_j$ for $i < j \leq m$. Then $n_1 > 1$ so by (2) $W(m:n)$ is not restricted. Then $W(m:r)$ is not restricted since it is isomorphic to $W(m:n)$. Hence, again by (2), $r_1 > 1$. Now we must have $\dim W(m:n)_{(i)} = \dim W(m:r)_{(i)}$ for all $i \in N$. Thus by (2.4) $m' = (\text{number of } i \text{ such that } n_i > 1) = (\text{number of } i \text{ such that } r_i > 1)$. Then by (2.5)

$$m'P(p^{r_i}:m:n) + m''P(p^{r_i} - 1:m:n) = m'P(p^{r_i}:m:r) + m''P(p^{r_i} - 1:m:r).$$

But this contradicts (5).

This completes the proof of Theorem 1(c).

3. Proof of Lemma 3. In this section we prove Lemma 3 and thus complete the proof of Theorem 1. We continue to assume that Φ is an algebraically closed field of characteristic $p > 0$. We begin by showing that Lemma 3 is a consequence of the following weaker result:

LEMMA 3'. If $D = \{D_1, \dots, D_m\}$ is an orthogonal system of deviations of $\mathfrak{A}(n:1)$ satisfying (2.2) and (2.3) and if $m \geq 2$ then there exists an integer l_2 , $0 < l_2 < n$, a system of derivations E equivalent to D , and a system of standard generators y of $\mathfrak{A}(n:1)$ such that

$$\begin{aligned} E_1 &= C_1(y), \\ E_2 &= C_{l_2+1}(y), \\ E_i &= \sum_{j=l_2+2}^n C_j(y) \alpha_{ij} \quad \text{for } i > 2 \text{ where the } \alpha_{ij} \in \Phi. \end{aligned} \tag{3.1}$$

Note that for $m=1$ Lemma 3 is a restatement of Proposition 1(c), (d) and for $m=2$ Lemmas 3 and 3' are identical. Assume that $m>2$, that Lemma 3' holds and that Lemma 3 holds for $m-1$. Let l_2, E , and y be as in the conclusion of Lemma 3'. Let $\mathfrak{B}$ be the subalgebra of $\mathfrak{A}(n:1)$ generated by $\{y_i \mid i>l_2\}$. Then for $i\geq 2$ E_i stabilizes $\mathfrak{B}$ and $\{E_2|_{\mathfrak{B}}, \dots, E_m|_{\mathfrak{B}}\}$ is a system of derivations of $\mathfrak{B}$ satisfying (2.2) and (2.3). Hence by the induction assumption there exists a system of standard generators $\{z_i \mid l_2 < i \leq n\}$ of $\mathfrak{B}$, a system of derivations $\{F_2, \dots, F_m\}$ of $\mathfrak{B}$ equivalent over $\mathfrak{B}$ to $\{E_2|_{\mathfrak{B}}, \dots, E_m|_{\mathfrak{B}}\}$, and a sequence of integers $l_2 < l_3 < \dots < l_m$ such that $F_i = C_{l_i+1}(z)$ for $2 \leq i \leq m$. Thus $F_i = \sum (E_j|_{\mathfrak{B}})c_{ij}$ for $2 \leq i \leq m$ where the $c_{ij} \in \mathfrak{B}$. Setting $G_i = \sum E_j c_{ij}$ for $2 \leq i \leq m$, $z_i = y_i$ for $1 \leq i \leq l_2$, and

$$G_1 = E_1 + (G_2 - E_2)(z_1 \cdots z_{l_2})^{p-1}$$

we see that G and z satisfy the conclusions of Lemma 3. Thus Lemma 3 is a consequence of Lemma 3'.

Now let D be as in Lemma 3'. Let S be the set of all pairs (y, E) where y is a system of standard generators for $\mathfrak{A}(n:1)$ and E is a system of derivations of $\mathfrak{A}(n:1)$ equivalent to D and such that there is a sequence of integers $0 < l_2 < \dots < l_m < n$ such that

$$(3.2) \quad \begin{aligned} E_1 &= C_1(y), \\ E_i &= C_{l_i+1}(y) + \sum_{j=l_i+2}^n C_j(y)\alpha_{ij} \quad \text{for } i \geq 2 \text{ where the } \alpha_{ij} \in \Phi. \end{aligned}$$

By applying Proposition 1(c), (d) and the usual procedure for reducing a matrix to triangular form it is easily seen that S is nonempty.

For $(y, E) \in S$ define $t(y, E)$ to be the m -tuple $(l_m, \dots, l_2, l)$ where the l_i are as in (3.2) and $l = \max \{i \mid l_2 + 1 \leq i \leq n, \alpha_{2,j} = 0 \text{ whenever } l_2 + 2 \leq j \leq i\}$. Since $l=n$ is equivalent to $E_2 = C_{l_2+1}(y)$ we see that Lemma 3' is equivalent to the statement that there exists some $(y, E) \in S$ such that $t(y, E) = (l_m, \dots, l_2, n)$. The proof of this statement has several steps.

(1) (Ree [7, p. 535]) Let $(y, E) \in S$ and $t(y, E) = (l_m, \dots, l_2, l)$. Then if $l \neq n$ there exists $(y', E') \in S$ with $t(y, E) = t(y', E')$ and $\alpha'_{2,l+1} = 1$.

Proof. Set $y'_i = \lambda^{p^{l-1}} y_i$ and $E'_i = E_i \lambda^{-p^{l_i}}$ where λ is a $(p^l - p^{l_2})$ root of $\alpha_{2,l+1}^{-1}$.

(2) For $\alpha \in A(n:1)$ define $\|\alpha\| = \sum_{i=1}^n \alpha(i)p^{i-1}$. If $0 \neq a = \sum a_\alpha y^\alpha$ where y is a system of standard generators for $\mathfrak{A}(n:1)$ and the $a_\alpha \in \Phi$ define $\|a\| = \max \{\|\alpha\| \mid a_\alpha \neq 0\}$. Define $\|0\| = -1$. Let E be a derivation of $\mathfrak{A}(n:1)$ such that $\|y_i E\| = p^{i-1} - 1$ for all i , $1 \leq i \leq n$. Then $\|fE\| = \|f\| - 1$ for all $f \in \mathfrak{A}(n:1)$, $f \neq 0$. Consequently E is a normal nilpotent derivation.

Proof. Clearly $\|\cdot\|$ satisfies:

$$(3.3) \quad \|fg\| \leq \|f\| + \|g\|.$$

$$(3.4) \quad \text{If } \|f\| > \|g\| \text{ then } \|f+g\| = \|f\|.$$

Now $y^\alpha E = \sum_{i=1}^n (y_i E) y^{\alpha - \varepsilon_i}$. By (3.3)

$$\|(y_i E) y^{\alpha - \varepsilon_i}\| \leq \|\alpha\| - p^{i-1} + (p^{i-1} - 1) = \|\alpha\| - 1.$$

Furthermore equality holds if and only if $(y_1 \cdots y_{i-1})^{p-1} y^{\alpha - \varepsilon_i} \neq 0$, i.e., if and only if $\alpha(i) \neq 0$ and $\alpha(j) = 0$ for $j < i$. Hence equality holds for exactly one i and so by (3.4) $\|y^\alpha E\| = \|y^\alpha\| - 1$. From this it is easily seen that $\|fE\| = \|f\| - 1$ for all $f \in \mathfrak{A}(n;1)$, $f \neq 0$.

(3) If E is a normal derivation of $\mathfrak{A}(n;1)$ and $x_1, \dots, x_r; y_1, \dots, y_r$ are two sequences of elements of $\mathfrak{A}(n;1)$ such that $x_1 E = y_1 E$, $x_i E = (x_1 \cdots x_{i-1})^{p-1}$ and $y_i E = (y_1 \cdots y_{i-1})^{p-1}$ for $2 \leq i \leq r$, and $x_i^p = y_i^p$ for $1 \leq i \leq r$ then $x_i = y_i$ for $1 \leq i \leq r$.

Proof. Since $(x_1 - y_1)E = 0$ we have $x_1 - y_1 \in \Phi$. Then $0 = (x_1^p - y_1^p) = (x_1 - y_1)^p$ so $x_1 = y_1$. If $x_1 = y_1, \dots, x_{i-1} = y_{i-1}$ then $(x_i - y_i)E = 0$ so as above $x_i = y_i$.

(4) Let y and E be as in (2). Denote by $\mathfrak{A}_{(i)}$ the subalgebra of $\mathfrak{A}(n;1)$ generated by $y_1, \dots, y_i$. Then there exists a system of standard generators z of $\mathfrak{A}(n;1)$ such that $E = C_1(z)$ and $z_i \in \mathfrak{A}_{(i)}$ for all i , $1 \leq i \leq n$.

Proof. By (2) E is a normal derivation of $\mathfrak{A}(n;1)$. Moreover since $\|y_i E\| = p^{i-1} - 1$ we have $y_i E \in \mathfrak{A}_{(i)}$ for all i , $1 \leq i \leq n$. Thus E restricts to a normal derivation of $\mathfrak{A}_{(i)}$. Now by Proposition 1(d) there exists a system of standard generators z of $\mathfrak{A}(n;1)$ such that $E = C_1(z)$. Also there exists a system of standard generators $\{t_1, \dots, t_i\}$ of $\mathfrak{A}_{(i)}$ such that $E|_{\mathfrak{A}_{(i)}} = C_1(t)$. Then by (3) $z_i = t_i \in \mathfrak{A}_{(i)}$.

(5) (Jennings and Ree [4, p. 193]) Let $\{D_1, \dots, D_m\}$ be an orthogonal system of derivations of $\mathfrak{A}$. Let $E_i = \sum_{j=1}^m D_j c_{ij}$ for $1 \leq i \leq m$ where the $c_{ij} \in \mathfrak{A}$. Then $[E_i, E_j] = 0$ if and only if $c_{jl} E_i = c_{il} E_j$ for all l , $1 \leq l \leq m$.

Proof.

$$\begin{aligned} [E_i, E_j] &= \sum_{k=1}^m \sum_{l=1}^m [D_k c_{ik}, D_l c_{jl}] \\ &= \sum_{k=1}^m \sum_{l=1}^m D_k (c_{ik} D_l) c_{jl} - D_l (c_{jl} D_k) c_{ik} \\ &= \sum_{k=1}^m D_k (c_{ik} E_j - c_{jk} E_i). \end{aligned}$$

(6) Let $(y, E) \in S$, $t(y, E) = (l_m, \dots, l_2, l)$, $l \neq n$, $\alpha_{2,l+1} = 1$, and $l_m < l - l_2$. Then there exists a system of derivations F equivalent to E over $\mathfrak{A}_{(l)}$ and a system of standard generators z of $\mathfrak{A}(n;1)$ such that $(z, F) \in S$ and $t(z, F) > t(y, E)$ in the lexicographic ordering.

Proof. For $1 \leq i \leq m$ define $G_i = \sum_{j=1}^m E_j c_{ij}$ where $c_{11} = (y_{l_2+1} \cdots y_l)^{p-1}$, $c_{12} = (1 - (y_1 \cdots y_l)^{p-1})$, $c_{21} = 1$, $c_{22} = -(y_1 \cdots y_{l_2})^{p-1}$, $c_{i1} = y_{l+1} E_i$ for $2 < i \leq m$, $c_{i2} = -(y_1 \cdots y_{l_2})^{p-1} c_{i1}$ for $2 < i \leq m$, and $c_{ij} = \delta_{ij}$ for $1 \leq i \leq m$ and $2 < j \leq m$.

$\det(c_{ij})$ is a unit so G is a system of derivations equivalent to E over $\mathfrak{A}_{(l)}$ (for all the $c_{ij} \in \mathfrak{A}_{(l)}$). Moreover it is easily checked that $c_{ij} G_1 = c_{1j} G_i$ for all i, j , $1 \leq i, j \leq m$. Hence by (5) $[G_1, G_i] = 0$ for $1 \leq i \leq m$.

We now show that G_1 is normal and nilpotent. Set $w_i = y_{l_2+i}$ for $1 \leq i \leq l - l_2$, $w_i = y_{i-l+l_2}$ for $l - l_2 + 1 \leq i \leq l$, and $w_i = y_i$ for $i > l$. Now it is easily checked that $w_1 G_1 = 1$, $w_i G_1 = (w_1 \cdots w_{i-1})^{p-1}$ for $2 \leq i \leq l$, and $w_i G_1 = -(w_1 \cdots w_{i-1})^{p-1} + \text{terms}$

in $w_1, \dots, w_{i-1}$ of degree less than $(p-1)(i-1)$ for $i > l$. Thus $\|w_i G_1\| = p^{i-1} - 1$ for all i , $1 \leq i \leq n$ (where $\| \cdot \|$ is defined with respect to the system of standard generators w). Hence by (2) G_1 is a normal nilpotent derivation. Now by Proposition 1(d) there exists a system of standard generators z of $\mathfrak{A}(n:1)$ such that $C_1(z) = G_1$. Also since $[G_1, G_i] = 0$ we have $G_i = \sum_{j=1}^n C_j(z) \beta_{ij}$ for $2 \leq i \leq m$ where the $\beta_{ij} \in \Phi$. Moreover by (3) for $1 \leq i \leq l - l_2$ we have $z_i = w_i = y_{l_2+i}$. Hence $z_i G_2 = y_{l_2+i} G_2 = 0$ for $1 \leq i \leq l - l_2$. Thus $\beta_{2j} = 0$ for $1 \leq j \leq l - l_2$. Now by applying the usual procedure for reduction to triangular form we obtain a system of derivations F such that $(z, F) \in S$. If $t(z, F) = (k_m, \dots, k_2, k)$ then $k_m \geq l - l_2 > l_m$. Hence $t(z, F) > t(y, E)$ as required.

(7) Let y be a system of standard generators for $\mathfrak{A}(n:1)$. If $k > n$ set $C_k(y) = 0$. Then for $1 \leq i \leq n$ and $j \in N$, we have $(C_i(y))^{p^j} = (-1)^j C_{i+j}(y)$.

Proof. It is easily seen that $(C_i(y))^p$ and $-C_{i+1}(y)$ agree on y and hence are equal. The general result follows by induction on j .

(8) The conclusion of (6) still holds if $l_m = l - l_2$.

Proof. Set $F_1 = E_1 + E_m$ and $F_i = E_i$ for $2 \leq i \leq m$. Then E_1 satisfies the hypotheses of (2) and hence is normal and nilpotent. Hence there exists a system of standard generators z of $\mathfrak{A}(n:1)$ such that $C_1(z) = F_1$. Now since

$$\begin{aligned} E_1 &= C_1(y), \\ E_2 &= C_{l_2+1}(y) + C_{l+1}(y) + \sum_{j=l+2}^n C_j(y) \alpha_{2j}, \end{aligned}$$

and

$$E_i = C_{l_i+1}(y) + \sum_{j=l_i+2}^n C_j(y) \alpha_{ij} \quad \text{where the } \alpha_{ij} \in \Phi,$$

we have (by (7))

$$(3.5) \quad F_1^{p^k} = \left\{ C_{k+1}(y) + C_{l_m+k+1}(y) + \sum_{j=l_m+2}^n C_{j+k}(y) (\alpha_{mj})^{p^k} \right\} (-1)^k.$$

Hence

$$E_2 = F_1^{p^{l_2}} (-1)^{l_2} + \sum_{j=l+2}^n C_j(y) (\alpha_{2j} - (\alpha_{m,j-l_2})^{p^{l_2}}).$$

Now by (3.5) $C_j(y)$ is equal to a Φ linear combination of the $F_1^{p^k}$ for $k \geq j-1$. Thus there are $\beta_{2j} \in \Phi$ such that

$$F_2 = E_2 = F_1^{p^{l_2}} (-1)^{l_2} + \sum_{j=l+1}^{n-1} F_1^{p^j} \beta_{2,j+1} (-1)^j.$$

Thus by (7)

$$F_2 = C_{l_2+1}(z) + \sum_{j=l+2}^n C_j(z) \beta_{2j}.$$

Similarly we see that

$$F_i = C_{l_i+1}(z) + \sum_{j=l_i+2}^n C_j(z) \beta_{ij} \quad \text{where the } \beta_{ij} \in \Phi$$

for $2 < i \leq m$. Thus $(z, F) \in S$ and $t(z, F) = (l_m, \dots, l_2, k)$ where $k > l$ so $t(z, F) > t(y, E)$.

(9) If $1 \leq u \leq v < l_i + 1$ and the $\alpha_{ij} \in \Phi$ then

$$\begin{aligned} \left(C_u(y) + \sum_{j=l_i+1}^n C_j(y) \alpha_{ij} (y_u \cdots y_v)^{p-1} \right)^p \\ = - \left(C_{u+1}(y) + \sum_{j=l_i+1}^n C_j(y) \alpha_{ij} (y_{u+1} \cdots y_v)^{p-1} \right). \end{aligned}$$

Proof. This follows immediately from (7) and formula (ii), p. 188 of [3].

(10) If $1 \leq u < l_i + 1$ and $u \leq v$ then

$$\begin{aligned} \left(C_1(y) + \sum_{j=l_i+1}^n C_j(y) \alpha_{ij} (y_1 \cdots y_u)^{p-1} \right)^{p^v} \\ = \left(C_{v+1}(y) + \sum_{j=l_i+1}^n C_{j+v-u}(y) (\alpha_{ij})^{p^{v-u}} \right) (-1)^v. \end{aligned}$$

Proof. This follows from (7) and (9).

(11) The conclusion of (6) still holds if $l_m > l - l_2$ and $l \geq l_m$.

Proof. Set $F_1 = E_1 + E_m (y_1 \cdots y_{l_2+l_m-l})^{p-1}$ and $F_i = E_i$ for $i > 1$. Then the result follows from (10) exactly as (8) follows from (7).

(12) Let $(y, E) \in S$ and $t(y, E) = (l_m, \dots, l_2, l)$ where $l \neq n$. Then there exists $(z, F) \in S$ such that F is equivalent to E over $\mathfrak{A}_{(l)}$ and $t(z, F) > t(y, E)$.

Proof. Suppose that (y, E) is a counterexample. Then by (1), (6), (8), and (11) we have $l_m > l - l_2$ and $l < l_m$. Thus since $l > l_2$ we cannot have $m = 2$. Thus (12) is proved if $m = 2$.

We now proceed by induction on m . Assuming that (12) holds for systems of $m-1$ derivations we see that there is a system of derivations $\{F_1, \dots, F_{m-1}\}$ equivalent to $\{E_1, \dots, E_{m-1}\}$ over $\mathfrak{A}_{(l)}$ and a system of standard generators z of $\mathfrak{A}(n; 1)$ such that $(z, \{F_1, \dots, F_{m-1}\})$ satisfies (3.2) for appropriate choices of the constants and that $t(y, \{E_1, \dots, E_{m-1}\}) < t(z, \{F_1, \dots, F_{m-1}\})$. Now E_m vanishes on $\mathfrak{A}_{(l)}$ (since $l < l_m$) so $[E_m, F_1] = 0$. Also $\mathfrak{A}_{(l_m)} F_1 \subseteq \mathfrak{A}_{(l_m)}$ since each of the E_i stabilizes all the $\mathfrak{A}_{(j)}$, F_1 is an $\mathfrak{A}_{(l)}$ linear combination of the E_i , and $\mathfrak{A}_{(l)} \subseteq \mathfrak{A}_{(l_m)}$. Thus as in (4) we see that $z_i \in \mathfrak{A}_{(l_m)}$ for $1 \leq i \leq l_m$. Hence $z_i E_m = 0$ for $1 \leq i \leq l_m$. If we set $F_m = E_m$ and apply to F the usual process for reduction to triangular form we obtain a system G equivalent to E over $\mathfrak{A}_{(l)}$ and such that $(z, G) \in S$ and $t(z, G) > t(y, E)$.

(13) There exists some $(y, E) \in S$ with $t(y, E) = (l_m, \dots, l_2, n)$.

Proof. If $t(y, E)$ is maximal in the lexicographic ordering of $t(S)$ then by (12) $t(y, E) = (l_m, \dots, l_2, n)$.

As was noted above (13) is equivalent to the conclusion of Lemma 3'. Hence this completes the proof of Lemma 3 and of Theorem 1.

4. Automorphisms. In this section we will determine the automorphism group of $W(m; n)$. Throughout this section we assume that Φ is an algebraically closed

field of characteristic $p \geq 5$. We begin by stating some results of Ree which relate automorphisms of $W(m:n)$ to automorphisms of $\mathfrak{A}(m:n)$.

If $\mathfrak{A}$ is any algebra, $\sigma \in \text{Aut } \mathfrak{A}$, and $D \in \text{Der } \mathfrak{A}$ then $\sigma^{-1}D\sigma$ is again a derivation of $\mathfrak{A}$ which we will denote by D^σ . The map $\tilde{\sigma}: D \rightarrow D^\sigma$ is clearly an endomorphism of $\text{Der } \mathfrak{A}$. If W is a subalgebra of $\text{Der } \mathfrak{A}$ an automorphism σ of $\mathfrak{A}$ is said to be *admissible to W* if $W\tilde{\sigma} \subseteq W$. The automorphisms of $\mathfrak{A}$ which are admissible to W form a subsemigroup of $\text{Aut } \mathfrak{A}$ which we denote by $\text{Aut } (\mathfrak{A}: W)$. Clearly the map $\sigma \rightarrow \tilde{\sigma}$ is a homomorphism of $\text{Aut } (\mathfrak{A}: W)$ into $\text{End } W$. For the pairs $(\mathfrak{A}(m): W(m))$ and $(\mathfrak{A}(m:n): W(m:n))$ more can be said. Ree [7, p. 544] has proved

PROPOSITION 2. *The map $\sigma \rightarrow \tilde{\sigma}$ is an isomorphism of $\text{Aut } (\mathfrak{A}(m:n): W(m:n))$ onto $\text{Aut } (W(m:n))$.*

We will prove (corollary to Lemma 5) a corresponding (though weaker) result for $\mathfrak{A}(m)$.

Proposition 2 shows that to determine $\text{Aut } (W(m:n))$ it is sufficient to determine $\text{Aut } (\mathfrak{A}(m:n): W(m:n))$. We will do this by determining

$$\text{Aut}_c (\mathfrak{A}(m): W(m)) = \{\sigma \in \text{Aut } (\mathfrak{A}(m): W(m)) \mid \sigma \text{ is continuous}\}$$

and showing that $\text{Aut } (\mathfrak{A}(m:n): W(m:n))$ is isomorphic to the stabilizer of $\mathfrak{A}(m:n)$ in $\text{Aut}_c (\mathfrak{A}(m): W(m))$.

We now obtain (for certain subalgebras of $\mathfrak{A}(m)$) a relation between the divided power operations and the admissible automorphisms. Note that if $\mathfrak{A}$ is any subalgebra of $\mathfrak{A}(m)$ containing 1 then $\mathfrak{A} = \Phi \oplus \mathfrak{A}_0$. Since (by (1.1)) $x^p = 0$ for all $x \in \mathfrak{A}_0$ we see that if $\sigma \in \text{Aut } \mathfrak{A}$ then $1\sigma = 1$ and $\mathfrak{A}_0\sigma = \mathfrak{A}_0$.

LEMMA 5. *Let $\mathfrak{A}$ be a subalgebra of $\mathfrak{A}(m)$ containing 1. Assume that*

(4.1) *If $y \in \mathfrak{A}_0$, $r \in N$, $y^{(r)} \in \mathfrak{A}$, and $1 \leq s \leq r$ then $y^{(s)} \in \mathfrak{A}$.*

(4.2) *If $D \in \text{Der } \mathfrak{A}$ and if $y^{(r)}D = y^{(r-1)}(yD)$ for all $y \in \mathfrak{A}_0$ and $r \in N$ such that $y^{(r)} \in \mathfrak{A}$ then D has a unique extension to an element of $W(m)$.*

Let W be the stabilizer of $\mathfrak{A}$ in $W(m)$. (By (4.2) we may identify W with a subalgebra of $\text{Der } \mathfrak{A}$.) Assume that

(4.3) *If $a \in \mathfrak{A}$ and $aD = 0$ for all $D \in W$ then $a \in \Phi$.*

Then for any $\sigma \in \text{Aut } \mathfrak{A}$ the following conditions are equivalent:

(4.4) *If $y \in \mathfrak{A}_0$, $r \in N$, and either $y^{(r)} \in \mathfrak{A}$ or $(y\sigma)^{(r)} \in \mathfrak{A}$ then $y^{(r)}\sigma = (y\sigma)^{(r)}$.*

(4.5) *If $y \in \mathfrak{A}_0$, $r \in N$, and either $y^{(r)} \in \mathfrak{A}$ or $(y\sigma^{-1})^{(r)} \in \mathfrak{A}$ then $y^{(r)}\sigma^{-1} = (y\sigma^{-1})^{(r)}$.*

(4.6) $\sigma \in \text{Aut } (\mathfrak{A}: W)$.

(4.7) $\sigma^{-1} \in \text{Aut } (\mathfrak{A}: W)$.

Proof. Assume that (4.4) holds, $y \in \mathfrak{A}_0$, $r \in N$, and either $y^{(r)} \in \mathfrak{A}$ or $(y\sigma^{-1})^{(r)} \in \mathfrak{A}$. Then $y^{(r)}\sigma^{-1} = (y\sigma^{-1}\sigma)^{(r)}\sigma^{-1} = (y\sigma^{-1})^{(r)}$. Hence (4.5) holds. Replacing σ by σ^{-1} we see that (4.4) and (4.5) are equivalent.

Now assume that (4.5) holds and that $D \in W$. Then if $y \in \mathfrak{A}_0$, $r \in N$, and $y^{(r)} \in \mathfrak{A}$ by (4.1) we have $y^{(r-1)} \in \mathfrak{A}$ and so

$$y^{(r)}D^\sigma = y^{(r)}\sigma^{-1}D\sigma = (y\sigma^{-1})^{(r)}D\sigma = ((y\sigma^{-1})^{(r-1)}(y\sigma^{-1}D))\sigma = y^{(r-1)}(yD^\sigma).$$

Hence by (4.2) D^σ has a unique extension to $W(m)$ and so $D^\sigma \in W$. Hence $\sigma \in \text{Aut } (\mathfrak{A}; W)$.

Conversely assume that (4.6) holds. We will verify (4.5) by induction on r . Clearly $y^{(0)}\sigma^{-1} = 1 = (y\sigma^{-1})^{(0)}$ so it holds for $r=0$. Suppose that (4.5) holds for all $r \in N$ such that $r < s$. Let $y \in \mathfrak{A}_0$, and either $y^{(s)} \in \mathfrak{A}$ or $(y\sigma^{-1})^{(s)} \in \mathfrak{A}$. Then (by (4.1)) either $y^{(s-1)} \in \mathfrak{A}$ or $(y\sigma^{-1})^{(s-1)} \in \mathfrak{A}$ so by the induction assumption $(y\sigma^{-1})^{(s-1)} = y^{(s-1)}\sigma^{-1}$. Then for any $D \in W$,

$$\begin{aligned} y^{(s)}\sigma^{-1}D &= y^{(s)}D^\sigma\sigma^{-1} = (y^{(s-1)}yD^\sigma)\sigma^{-1} = (y^{(s-1)}\sigma^{-1})(yD^\sigma\sigma^{-1}) \\ &= (y\sigma^{-1})^{(s-1)}(y\sigma^{-1}D) = (y\sigma^{-1})^{(s)}D. \end{aligned}$$

Hence $(y^{(s)}\sigma^{-1} - (y\sigma^{-1})^{(s)})D = 0$ for all $D \in W$ so by (4.3) $y^{(s)}\sigma^{-1} - (y\sigma^{-1})^{(s)} \in \Phi$. But σ and the divided power operations stabilize $\mathfrak{A}_0$ so $y^{(s)}\sigma^{-1} - (y\sigma^{-1})^{(s)} \in \Phi \cap \mathfrak{A}_0 = (0)$. Hence (4.5) holds for all $r \in N$. Thus (4.5) and (4.6) are equivalent. Replacing σ by σ^{-1} we see that (4.4) and (4.7) are equivalent, proving the lemma.

Note that the algebras $\mathfrak{A}(m)$ and $\mathfrak{A}(m; n)$ satisfy the hypotheses of the lemma. If $\mathfrak{A} = \mathfrak{A}(m)$ then $W = W(m)$ and if $\mathfrak{A} = \mathfrak{A}(m; n)$ then $W = W(m; n)$.

COROLLARY. $\text{Aut } (\mathfrak{A}(m); W(m))$ is a group. The map $\sigma \rightarrow \bar{\sigma}$ is an isomorphism of $\text{Aut } (\mathfrak{A}(m); W(m))$ into $\text{Aut } W(m)$.

Proof. By the lemma $\text{Aut } (\mathfrak{A}(m); W(m))$ is inverse closed and hence is a group. If $\sigma \in \text{Aut } (\mathfrak{A}(m); W(m))$ then $\bar{\sigma}^{-1} = (\sigma^{-1})^\sim$ and hence $\bar{\sigma} \in \text{Aut } W(m)$. If $\bar{\sigma}$ is the identity then for $1 \leq i, j \leq m$ we have $x_i D_j = \delta_{ij} = \delta_{ij}\sigma^{-1} = (x_i D_j)\sigma^{-1} = (x_i D_j^\sigma)\sigma^{-1} = (x_i \sigma^{-1})D_j$. Thus $x_i \sigma = x_i$ for $1 \leq i \leq m$ and hence $x^{p^j \varepsilon_i} = (x_i)^{(p^j)} = (x_i \sigma)^{(p^j)} = (x_i)^{(p^j)} \sigma = x^{p^j \varepsilon_i} \sigma$ for all $j \in N$. Since the $x^{p^j \varepsilon_i}$ generate $\mathfrak{A}(m)$, σ is the identity. Hence $\sigma \rightarrow \bar{\sigma}$ is an isomorphism.

Before we can determine $\text{Aut}_c(\mathfrak{A}(m); W(m))$ we need more information about the topology of $\mathfrak{A}(m)$ and the divided power operations. This is contained in the next two lemmas.

LEMMA 6. (a) $\mathfrak{A}(m)_i \mathfrak{A}(m)_j \subseteq \mathfrak{A}(m)_{i+j+1}$,
(b) $(\mathfrak{A}(m)_i)^{(j)} \subseteq \mathfrak{A}(m)_{j(i+1)-1}$.

Proof. Recalling that $\mathfrak{A}(m)_i$ consists of linear combinations of $\{x^\alpha \mid |\alpha| \geq i+1\}$ we see that (a) follows from (1.1). Now if $|\alpha| \geq i+1$ then by (1.3) $(x^\alpha)^{(j)} \in \mathfrak{A}(m)_{j(i+1)-1}$. Assuming that (b) holds for all j such that $1 \leq j < k$ and that $x, y \in \mathfrak{A}(m)_i$ are such that $x^{(k)}, y^{(k)} \in \mathfrak{A}(m)_{k(i+1)-1}$, we see by (1.4), (1.5) and (a) that $(x+by)^{(j)} \in \mathfrak{A}(m)_{k(i+1)-1}$ for all $b \in \Phi$. Thus $(\bar{\mathfrak{A}}(m)_i)^{(k)} \subseteq \mathfrak{A}(m)_{k(i+1)-1}$. Since $\bar{\mathfrak{A}}(m)_i$ is dense in $\mathfrak{A}(m)_i$ and the divided power operations are continuous, (b) is proved.

LEMMA 7. Let $x, y \in \mathfrak{A}(m)_0$, $r, s \in N$, $r \geq 1$. Then

$$(4.8) \quad x^{(r)}x^{(s)} = C(r+s, r)x^{(r+s)}.$$

$$(4.9) \quad (xy)^{(r)} = r! x^{(r)}y^{(r)}.$$

$$(4.10) \quad (x^{(r)})^{(s)} = ((rs)!/(r!)^s s!)x^{(rs)}.$$

Proof. For $r, s \in N$ define

$$\mathfrak{B}_{r,s} = \{x \in \mathfrak{U}(m)_0 \mid x^{(r)}x^{(s)} - C(r+s, r)x^{(r+s)} = 0\}.$$

Set $\mathfrak{B} = \bigcap \mathfrak{B}_{r,s}$. Then (4.8) is equivalent to the statement that $\mathfrak{B} = \mathfrak{U}(m)_0$. Since each $\mathfrak{B}_{r,s}$ is the kernel of a continuous map, $\mathfrak{B}$ is closed, and hence to prove that $\mathfrak{B} = \mathfrak{U}(m)_0$, it is sufficient to prove that $\mathfrak{B} \supseteq \overline{\mathfrak{U}(m)}_0$, i.e., that $x^\alpha \in \mathfrak{B}$ for all $0 \neq \alpha \in A(m)$ and that $\mathfrak{B}$ is closed under addition and scalar multiplication. Now it is easily seen from (1.3) that $x^\alpha \in \mathfrak{B}$ for all $0 \neq \alpha \in A(m)$ and from (1.4) that $\mathfrak{B}$ is closed under scalar multiplication. If $x, y \in \mathfrak{B}$ then by (1.5)

$$\begin{aligned} (x+y)^{(r)}(x+y)^{(s)} &= \left(\sum_{i=0}^r x^{(i)}y^{(r-i)} \right) \left(\sum_{j=0}^s x^{(j)}y^{(s-j)} \right) \\ &= \sum_{i=0}^r \sum_{j=0}^s C(i+j, i)C(r+s-i-j, r-i)x^{(i+j)}y^{(r+s-i-j)} \\ &= \sum_{k=0}^{r+s} A_k x^{(k)}y^{(r+s-k)} \end{aligned}$$

where

$$A_k = \sum_{l=\max(0, k-s)}^{l=\min(r, k)} C(k, l)C(r+s-k, r-l).$$

Now by comparing coefficients of $(u^k/k!)(v^{r+s-k}/(r+s-k)!)$ in the identity $((u+v)^r/r!)((u+v)^s/s!) = C(r+s, r)(u+v)^{r+s}/(r+s)!$ in $\mathbb{Z}[u, v]$ we see that $A_k = C(r+s, r)$ for $0 \leq k \leq r+s$. Hence $(x+y)^{(r)}(x+y)^{(s)} = C(r+s, r) \sum_{k=0}^{r+s} x^{(k)}y^{(r+s-k)} = C(r+s, r)(x+y)^{(r+s)}$ so that $x+y \in \mathfrak{B}$. This proves (4.8).

To prove (4.9) define (for $x \in \mathfrak{U}(m)_0$)

$$\mathfrak{B}(x) = \{y \in \mathfrak{U}(m)_0 \mid (xy)^{(r)} - r! x^{(r)}y^{(r)} = 0 \text{ for all } r \in N\}$$

and define $\mathfrak{B} = \{x \in \mathfrak{U}(m)_0 \mid \mathfrak{B}(x) = \mathfrak{U}(m)_0\}$. Then $\mathfrak{B} = \bigcap \mathfrak{B}(x)$ where the intersection is taken over all $x \in \mathfrak{U}(m)_0$. Then proving (4.9) is equivalent to showing that $\mathfrak{B} = \mathfrak{U}(m)_0$. As above $\mathfrak{B}(x)$ is closed. Furthermore it is obviously closed under scalar multiplication. It is easily seen from (1.3) that for any $0 \neq \alpha, \beta \in A(m)$, $x^\alpha \in \mathfrak{B}(x^\beta)$. If $y, z \in \mathfrak{B}(x)$ then (1.5) and (4.8) show that $y+z \in \mathfrak{B}(x)$. Hence $\mathfrak{B}(x^\alpha) \supseteq \overline{\mathfrak{U}(m)}_0$ and so $\mathfrak{B}(x^\alpha) = \mathfrak{U}(m)_0$ for all $0 \neq \alpha \in A(m)$. Hence $\mathfrak{B} \supseteq \overline{\mathfrak{U}(m)}_0$ and so $\mathfrak{B} = \mathfrak{U}(m)_0$ as required.

Finally to prove (4.10) we set

$$\mathfrak{B} = \{x \in \mathfrak{U}(m)_0 \mid (x^{(r)})^{(s)} - ((rs)!/(r!s!))x^{(rs)} = 0 \text{ for all } r, s \in N, r \geq 1\}.$$

As above it is sufficient to prove that $\mathfrak{B} = \mathfrak{U}(m)_0$ and since $\mathfrak{B}$ is closed it is sufficient to show that $x^\alpha \in \mathfrak{B}$ for all $0 \neq \alpha \in A(m)$ and that $\mathfrak{B}$ is closed under addition and scalar multiplication. It follows immediately from (1.3) and (1.4) that $x^\alpha \in \mathfrak{B}$ for all $0 \neq \alpha \in A(m)$ and that $\mathfrak{B}$ is closed under scalar multiplication. If $x, y \in \mathfrak{B}$ then

$$((x+y)^{(r)})^{(s)} = \left(\sum_{i=0}^r x^{(i)}y^{(r-i)} \right)^{(s)} = \sum_{i=0}^r \prod_{t=0}^s (x^{(i)}y^{(r-i)})^{(t)}$$

(where the summation extends over all sequences $j_0, \dots, j_r$ of elements of N such that $\sum_{i=0}^r j_i = s$). Then by (4.9) and the assumption that $x, y \in \mathfrak{B}$ we have

$$(x^{(i)} y^{(r-i)})^{(j_i)} = ((ij_i)! ((r-i)j_i)! / ((i!) (r-i)!)^{j_i} j_i!) x^{(ij_i)} y^{((r-i)j_i)}.$$

Then by (4.8)

$$\prod_{i=0}^r (x^{(i)} y^{(r-i)})^{(j_i)} = \left(t! (rs-t)! / \prod_{i=0}^r (((i!)(r-i)!)^{j_i} j_i!) \right) x^{(t)} y^{(rs-t)}$$

where $t = \sum_{i=0}^r ij_i$. Thus $((x+y)^{(r)})^{(s)} = \sum_{t=0}^{rs} A_t x^{(t)} y^{(rs-t)}$ where

$$A_t = t! (rs-t)! \sum \prod_{i=0}^r (1 / (((i!)(r-i)!)^{j_i} j_i!))$$

where the summation is over all sequences $j_0, \dots, j_r$ of elements of N such that $\sum_{i=0}^r j_i = s$ and $\sum_{i=0}^r ij_i = t$. Now by comparing the coefficients of $(u^t/t!)(v^{rs-t}/(rs-t)!)$ in the identity $((u+v)^r/r!)^s/s! = ((rs)!/r!^s s!) ((u+v)^{rs}/(rs)!)$ in $Z[u, v]$ we see that $A_t = (rs)!/r!^s s!$ for $0 \leq t \leq rs$. Hence by (1.5) $((x+y)^{(r)})^{(s)} = ((rs)!/r!^s s!)(x+y)^{(rs)}$ so $x+y \in \mathfrak{B}$. Hence $\mathfrak{B} = \mathfrak{A}(m)_0$.

LEMMA 8. *Let $\sigma \in \text{Aut } \mathfrak{A}(m)$ be continuous. Then the following conditions are equivalent:*

$$(4.11) \quad y^{(r)}\sigma = (y\sigma)^{(r)} \text{ for all } y \in \mathfrak{A}(m)_0 \text{ and all } r \in N.$$

$$(4.12) \quad x_i^{(p^j)}\sigma = (x_i\sigma)^{(p^j)} \text{ for } 1 \leq i \leq m \text{ and all } j \in N.$$

Proof. Clearly (4.12) is a special case of (4.11). Assume that (4.12) holds and set $\mathfrak{B} = \{y \in \mathfrak{A}(m)_0 \mid y^{(r)}\sigma - (y\sigma)^{(r)} = 0 \text{ for all } r \in N\}$. Now $\mathfrak{B}$ is closed under addition (by (1.5)), scalar multiplication (by (1.4)), multiplication (by (4.9)), and the divided power operations (by (4.10)). By (4.12) $x_i \in \mathfrak{B}$ for $1 \leq i \leq m$. Hence $\mathfrak{B} \supseteq \mathfrak{A}(m)_0$. But $\mathfrak{B}$ is closed since σ and the divided power operations are continuous. Hence $\mathfrak{B} = \mathfrak{A}(m)_0$ proving the lemma.

LEMMA 9. *Let σ be a continuous endomorphism of $\mathfrak{A}(m)$. Then $\sigma \in \text{Aut } (\mathfrak{A}(m); W(m))$ if and only if σ satisfies (4.12) and*

$$(4.13) \quad \det(x_i\sigma D_j) \text{ is a unit in } \mathfrak{A}(m).$$

Proof. Suppose that σ is an endomorphism of $\mathfrak{A}(m)$ satisfying (4.11). Then for any $\alpha \in A(m)$ by (1.1), (1.3) and Lemma 6 we have $x^\alpha\sigma = \prod x_i^{\alpha(i)}\sigma = \prod (x_i\sigma)^{\alpha(i)} \in A(m)_{|\alpha|-1}$. Hence $\mathfrak{A}(m)_i\sigma \subseteq \mathfrak{A}(m)_i$ for all $i \in N$ and so σ induces linear maps $\sigma_i: \mathfrak{A}(m)_{i-1}/\mathfrak{A}(m)_i \rightarrow \mathfrak{A}(m)_{i-1}/\mathfrak{A}(m)_i$ for all $i \in N$.

Now suppose that $\sigma \in \text{Aut } (\mathfrak{A}(m); W(m))$. Then by Lemmas 5 and 8 σ satisfies (4.11) and (4.12). Now since σ is an automorphism σ_1 is surjective. Since $\mathfrak{A}(m)_0/\mathfrak{A}(m)_1$ is finite dimensional σ_1 is bijective. Relative to the basis $\{x_i + \mathfrak{A}(m)_1 \mid 1 \leq i \leq m\}$ of $\mathfrak{A}(m)_0/\mathfrak{A}(m)_1$, σ_1 has matrix $(x_i\sigma D_j\psi)$ where ψ is the projection of $\mathfrak{A}(m) = \mathfrak{A}(m)_0 \oplus \Phi$ onto Φ . Since σ_1 is a bijection $0 \neq \det(x_i\sigma D_j\psi) = (\det(x_i\sigma D_j))\psi$ so (4.13) holds.

Conversely if (4.12) and (4.13) hold and σ is an automorphism then by Lemmas 5 and 8 $\sigma \in \text{Aut}(\mathfrak{A}(m):W(m))$. Hence it is sufficient to show that σ is an automorphism, i.e., that σ is bijective. We begin by showing that σ_i is bijective for all $i \in N$.

Since $\det(x_i \sigma D_j \psi) \neq 0$, σ_1 is bijective. Assume that σ_i is bijective for all $i < j$. Now $\mathfrak{A}(m)_{j-1}/\mathfrak{A}(m)_j$ is finite dimensional so to show that σ_j is bijective it is sufficient to show that it is surjective. Thus it is sufficient to show that if $\alpha \in A(m)$ and $|\alpha| = j$ then there exists $y \in \mathfrak{A}(m)_{j-1}$ and $z \in \mathfrak{A}(m)_j$ such that

$$(4.14) \quad y\sigma = x^\alpha + z.$$

Now if $\alpha = j\epsilon_k$ for some k then by (1.3) $x^\alpha = x_k^{(j)}$. By the result for σ_1 there exist $y_1 \in \mathfrak{A}(m)_0$ and $z_1 \in \mathfrak{A}(m)_1$ such that $y_1\sigma = x_k + z_1$. Since (4.12) and hence (by Lemma 8) (4.11) hold we have $y_1^{(j)}\sigma = (y_1\sigma)^{(j)} = (x_k + z_1)^{(j)}$. Now by (1.5) and Lemma 6 we have $(x_k + z_1)^{(j)} = x_k^{(j)} + z$ where $z = \sum_{l=0}^{j-1} x_k^{(l)} z_1^{(j-l)} \in \mathfrak{A}(m)_j$. Thus setting $y = y_1^{(j)}$ we see that (4.14) is satisfied. If α is not of the form $j\epsilon_k$ then we may write $\alpha = \beta + \gamma$ where $\beta \neq 0$, $\gamma \neq 0$ and $C(\alpha, \beta) = 1$. (For if $\alpha(k) \neq 0$ set $\beta = \alpha(k)\epsilon_k$, and $\gamma = \alpha - \beta$.) If $|\beta| = i$ then $|\gamma| = j - i$. Since $i, j - i < j$ by the induction assumption we may find $y_1 \in \mathfrak{A}(m)_{i-1}$, $z_1 \in \mathfrak{A}(m)_i$, $y_2 \in \mathfrak{A}(m)_{j-i-1}$, and $z_2 \in \mathfrak{A}(m)_{j-i}$ such that $y_1\sigma = x^\beta + z_1$ and $y_2\sigma = x^\gamma + z_2$. Then setting $y = y_1 y_2$ we see that $y\sigma = x^\alpha + z$ where $z = x^\beta z_2 + x^\gamma z_1 + z_1 z_2$. By Lemma 4 $y \in \mathfrak{A}(m)_{j-1}$ and $z \in \mathfrak{A}(m)_j$. Hence σ_j is bijective and so by induction σ_i is bijective for all i .

Now suppose $x \in \ker \sigma$. Then if $x \in \mathfrak{A}(m)_{i-1}$, $x + \mathfrak{A}(m)_i \in \ker \sigma_i$ so that $x \in \mathfrak{A}(m)_i$. Hence $\ker \sigma \subseteq \bigcap \mathfrak{A}(m)_i = (0)$ so σ is injective. Finally if $x \in \mathfrak{A}(m)$ then $x = a + x_0$ where $a \in \Phi$ and $x_0 \in \mathfrak{A}(m)_0$. Since σ_1 is bijective there exists $y_1 \in \mathfrak{A}(m)_0$ such that $x_0 - y_1\sigma = x_1 \in \mathfrak{A}(m)_1$. Suppose that $x_i \in \mathfrak{A}(m)_i$ and $y_i \in \mathfrak{A}(m)_{i-1}$ have been defined for $r > i \geq 1$ so that $x_{i-1} - y_i\sigma = x_i$. Then since σ_r is bijective there exists $y_r \in \mathfrak{A}(m)_{r-1}$ such that $x_{r-1} - y_r\sigma = x_r \in \mathfrak{A}(m)_r$. Thus we may inductively define x_i and y_i for all $i \in N$. Then

$$x = a + x_0 = a + \sum_{i=1}^{\infty} (x_{i-1} - x_i) = a + \sum_{i=1}^{\infty} y_i\sigma.$$

Then, by the continuity of σ , $x = y\sigma$ where $y = a + \sum_{i=1}^{\infty} y_i$. Hence σ is bijective. This completes the proof of Lemma 9.

COROLLARY 1. *If $y_1, \dots, y_m \in \mathfrak{A}(m)_0$ and $\det(y_i D_j)$ is a unit then there is a unique $\sigma \in \text{Aut}_c(\mathfrak{A}(m):W(m))$ satisfying $y_i = x_i\sigma$ for $1 \leq i \leq m$.*

Proof. Obviously there is a unique continuous endomorphism σ of $\mathfrak{A}(m)$ with $y_i = x_i\sigma$ for $1 \leq i \leq m$ and satisfying (4.12). By the lemma $\sigma \in \text{Aut}_c(\mathfrak{A}(m):W(m))$.

COROLLARY 2. *Each $\sigma \in \text{Aut}(\mathfrak{A}(m:n):W(m:n))$ can be uniquely extended to $\bar{\sigma} \in \text{Aut}_c(\mathfrak{A}(m):W(m))$.*

Proof. Let $\sigma \in \text{Aut}(\mathfrak{A}(m:n):W(m:n))$. In the same manner as in the lemma we see that $\det(x_i\sigma D_j)$ is a unit in $\mathfrak{A}(m:n)$ and hence in $\mathfrak{A}(m)$. Then by Corollary 1

there is a unique $\bar{\sigma} \in \text{Aut}_c(\mathfrak{A}(m):W(m))$ such that $x_i\bar{\sigma} = x_i\sigma$ for $1 \leq i \leq m$. By Lemma 5 this implies that σ and $\bar{\sigma}$ agree on $\mathfrak{A}(m:\mathbf{n})$ proving the lemma.

Thus $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$ may be identified with the stabilizer of $\mathfrak{A}(m:\mathbf{n})$ in $\text{Aut}_c(\mathfrak{A}(m):W(m))$. Clearly $\sigma \in \text{Aut}(\mathfrak{A}(m):W(m))$ stabilizes $\mathfrak{A}(m:\mathbf{n})$ if and only if $(x^{p^l\epsilon_i})\sigma \in \mathfrak{A}(m:\mathbf{n})$ for all $1 \leq i \leq m$ and all $0 \leq j < n_i$. Setting $x_i\sigma = y_i$ and using (4.11) we see that this is equivalent to $y_i^{(p^j)} \in \mathfrak{A}(m:\mathbf{n})$ for all $1 \leq i \leq m$ and all $0 \leq j < n_i$.

LEMMA 10. *If $x = \sum a(\alpha)x^\alpha$ where the summation is over all $\alpha \in A(m:\mathbf{n})$ and the $a(\alpha) \in \Phi$ then $x^{(p^j)} \in \mathfrak{A}(m:\mathbf{n})$ for all j , $1 \leq j \leq k$ if and only if $a(p^l\epsilon_i) = 0$ whenever $l \geq n_i - k$.*

Proof. By (1.5) we see that $x^{(p^j)} \in \mathfrak{A}(m:\mathbf{n})$ for all j , $1 \leq j \leq k$ if and only if $(x^\alpha)^{(p^j)} \in \mathfrak{A}(m:\mathbf{n})$ for all j , $1 \leq j \leq k$ and all $\alpha \in A(m:\mathbf{n})$ such that $a(\alpha) \neq 0$. By (1.3) we see that if $j \geq 1$, $(x^\alpha)^{(p^j)} = 0$ unless $\alpha = p^l\epsilon_i$ for some $1 \leq i \leq m$ and $l \in \mathbb{N}$, and that $(x^{p^l\epsilon_i})^{(p^j)} = x^{p^{l+j}\epsilon_i}$. Thus $(x^\alpha)^{(p^j)} \in \mathfrak{A}(m:\mathbf{n})$ unless $\alpha = p^l\epsilon_i$ where $l+j \geq n_i$.

Define $S(m:\mathbf{n})$ to be the set of all m -tuples $(y_1, \dots, y_m)$ such that, for $1 \leq i \leq m$, $y_i = \sum a(i, \alpha)x^\alpha$ where the summation extends over all $0 \neq \alpha \in A(m:\mathbf{n})$, the $a(i, \alpha) \in \Phi$, $a(i, p^l\epsilon_j) = 0$ whenever $n_i + l - 1 \geq n_j$, and $\det(y_i D_j)$ is a unit.

Let $V(m)$ be an m -dimensional vector space over Φ with basis $\{v_1, \dots, v_m\}$ for $1 \leq i \leq m$. Define subspaces $V(m:\mathbf{n})_i$ of $V(m)$ for $1 \leq i \leq m$ by

$$V(m:\mathbf{n})_1 = \langle v_j \mid n_j = \max \{n_k \mid 1 \leq k \leq m\} \rangle,$$

and

$$V(m:\mathbf{n})_i = \langle v_j \mid n_j \geq \max \{n_k \mid 1 \leq k \leq m, v_k \notin V(m:\mathbf{n})_{i-1}\} \rangle \quad \text{for } i \geq 2.$$

Let $\mathcal{V}(m:\mathbf{n})$ be the flag

$$V(m) = V(m:\mathbf{n})_m \supseteq V(m:\mathbf{n})_{m-1} \supseteq \dots \supseteq V(m:\mathbf{n})_1 \supseteq (0).$$

Then we have the following description of $\text{Aut}(W(m:\mathbf{n}))$ (which has been proven in the special cases $\mathbf{n}=\mathbf{1}$ by Jacobson [2, §8] (where we must note that since Φ is algebraically closed $r=0$) and $m=1$ by Ree [7, Theorem 12.13]):

THEOREM 2. *Let Φ be an algebraically closed field of characteristic $p \geq 5$. Then $\text{Aut}(W(m:\mathbf{n}))$ is isomorphic to $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$. The map $\sigma \rightarrow (x_1\sigma, \dots, x_m\sigma)$ is a bijection of $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$ onto $S(m:\mathbf{n})$ and $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$ has a solvable normal subgroup $\mathcal{B}_1$ such that $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))/\mathcal{B}_1$ is isomorphic to the stabilizer of $\mathcal{V}(m:\mathbf{n})$ in $\text{GL}(V(m))$.*

Proof. As mentioned above Ree has proved the isomorphism of $\text{Aut}(W(m:\mathbf{n}))$ and $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$. Lemma 10 and the corollaries to Lemma 9 show that the map $\sigma \rightarrow (x_1\sigma, \dots, x_m\sigma)$ is a bijection of $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$ onto $S(m:\mathbf{n})$. To prove the last statement we let $\mathcal{B}_i$ be the subgroup of $\text{Aut}(\mathfrak{A}(m:\mathbf{n}):W(m:\mathbf{n}))$ consisting of all automorphisms which induce the identity on $\mathfrak{A}(m:\mathbf{n})_0/\mathfrak{A}(m:\mathbf{n})_i$. Now the map $\sigma \rightarrow (a(i, \epsilon_j))_{1 \leq i, j \leq m}$ is easily seen to be a homomorphism of

$\text{Aut}(\mathfrak{U}(m:n):W(m:n))$ onto the subgroup of $\text{GL}(m:\Phi)$ consisting of all matrices (a_{ij}) such that $a_{ij}=0$ whenever $n_i-n_j \geq 1$, i.e., onto the stabilizer of $\mathcal{V}(m:n)$ in $\text{GL}(V(m))$. Clearly the kernel of this homomorphism is $\mathcal{B}_1$. Thus we need only show that $\mathcal{B}_1$ is solvable.

Let $\sigma_i \in \mathcal{B}_1$. Then if $x \in \mathfrak{U}(m:n)_0$ we have $x \equiv x\sigma_i \pmod{\mathfrak{U}(m:n)_i}$. We claim that if $x \in \mathfrak{U}(m:n)_k$ then $x \equiv x\sigma_i \pmod{\mathfrak{U}(m:n)_{i+k}}$. To see this note that $\mathfrak{U}(m:n)_k$ is spanned by the x^α where $|\alpha| \geq k+1$. Since $x^\alpha = \prod x_j^{\alpha(j)}$ Lemma 6 shows that $x^\alpha \equiv x^\alpha \sigma_i \pmod{\mathfrak{U}(m:n)_{i+|\alpha|-1}}$ giving the result. Now (following [2, p. 117]) we let $x \in \mathfrak{U}(m:n)_0$, $\sigma_i \in \mathcal{B}_i$ and $\tau_j \in \mathcal{B}_j$. Then $x\sigma_i^{-1} = x + x'$ where $x' \in \mathfrak{U}(m:n)_i$, $x\tau_j^{-1} = x + x''$ where $x'' \in \mathfrak{U}(m:n)_j$, $x'\tau_j^{-1} = x' + x'''$ where $x''' \in \mathfrak{U}(m:n)_{i+j}$, and $x''\sigma_i = x'' + x''''$ where $x'''' \in \mathfrak{U}(m:n)_{i+j}$. Then we have the following chain of equalities and congruences mod $\mathfrak{U}(m:n)_{i+j}$:

$$\begin{aligned} x\sigma_i^{-1}\tau_j^{-1}\sigma_i\tau_j &= (x+x')\tau_j^{-1}\sigma_i\tau_j = (x+x'+x''+x''')\sigma_i\tau_j \\ &\equiv (x+x'+x'')\sigma_i\tau_j = (x+x''+x''')\tau_j \\ &\equiv (x+x'')\tau_j = x. \end{aligned}$$

Thus $(\sigma_i, \tau_j) \in \mathcal{B}_{i+j}$. Now for $i > \sum_{j=1}^n p^{n_j}$, $\mathfrak{U}(m:n)_i = (0)$ so $\mathcal{B}_i = \{1\}$. Hence $\mathcal{B}_1$ is solvable.

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COURANT INSTITUTE OF MATHEMATICAL SCIENCES, NEW YORK UNIVERSITY,
NEW YORK, NEW YORK 10012