LIE ALGEBRAS OF TYPE BC_1

BY

B. N. ALLISON

ABSTRACT. Let L be a central simple Lie algebra of type BC_1 with highest root space of dimension greater than one over a field of characteristic zero. It is shown that either L is isomorphic to the simple Lie algebra associated with a skew hermitian form of index one or L can be constructed from the tensor product of two composition algebras. This result is obtained by completing the description (begun in [3]) of the corresponding class of ternary algebras.

1. Introduction and statement of results. Let k be a field of characteristic zero. In [13], Seligman has developed methods for "coordinatizing" central simple nonanisotropic Lie algebras over k . These methods give rise to a complete description of all such algebras except those of type BC_1 and BC_2 . In [2] and [3], it is shown that every algebra of type BC_1 can be constructed from a ternary algebra V which has no zero divisors, which is a module over a central Jordan division algebra J , and which possesses a skew map $V \times V \xrightarrow{\langle \cdot, \cdot \rangle} J$. If the highest root space of the Lie algebra has dimension 1, the corresponding ternary algebras have been studied in [4], [5] and [6]. If this dimension is greater than 1 and the module is not irreducible, the ternary algebras (and hence the Lie algebras) have been completely described in [3]. This paper deals then with the irreducible case. We use the notation and terminology of [2] except for the action of J on V which is denoted by $(a, x) \rightarrow a \circ x$.

One construction of a J -ternary algebra goes as follows: Let A be an algebra with involution J and identity u . Let $S = \{x \in A: x^J = -x\}$ and fix $t \neq 0 \in S$. Put $V = A$ and $J = S$. Define $(1/2)\langle x, y, z \rangle = (1/2)(xy^J)(tz) + (1/2)(y(z^J t))x + (1/2)(x(z^J t))y$ and $\langle x, y \rangle = (1/2)xy^J - (1/2)yx^J$ for $x, y, z \in V$. Define a product on J by $a \cdot b = (1/2)a(tb) + (1/2)b(ta)$ and an action of J on V by $(a, x) \rightarrow a \circ x = a(tx)$. Whenever this system forms a J -ternary algebra, we call it the *J -ternary algebra associated with (A, J)* . A somewhat lengthy calculation shows that this is the case at least in the following situations:

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- (a) (A, J) is a central associative division algebra with involution.
- (b) $(A, J) = (O \otimes_k C, J_1 \otimes_k J_2)$, where O is a Cayley division algebra, C is a composition division algebra, and J_1 and J_2 are the canonical involutions.
- (c) $(A, J) \otimes_k L = (O_1 \otimes_L O_2, J_1 \otimes_L J_2)$ for some quadratic field extension L/k , where (O_i, J_i) is a Cayley division algebra over L with canonical involution, $i = 1, 2$, and the corresponding Galois action interchanges O_1 and O_2 .

We are now in a position to state our main results:

THEOREM A. *Let V be a finite dimensional J -irreducible J -ternary algebra without zero divisors, where J is a central division algebra. Then, V is the ternary algebra associated with an algebra (A, J) with involution described by (a), (b), or (c).*

THEOREM B. *Let L be a central simple Lie algebra of type BC_1 over k with highest root space of dimension greater than 1. Then, L is isomorphic to one of the following:*

- (i) *The derived algebra of the algebra of skew transformations of a skew hermitian form h of index 1 defined on a vector space W over a central associative division algebra (A, J) with involution.*
- (ii) *$L(J, V)$, where V is the J -ternary algebra constructed from an algebra with involution (A, J) included in (b) or (c).*

REMARKS. (1) The Lie algebras described in (i) are all of type BC_1 . However, those described in (ii) may have rank > 1 . In fact the rank depends on the interplay between maximal subfields of the composition algebras (see §6).

(2) The basic tool used in the proof of Theorem A is the classification of central simple alternative algebras [12].

(3) The Lie algebras arising from case (b) can be obtained from Tits' second construction using O and a reduced Jordan algebra of degree 3 coordinatized by C [14].

(4) In [9], Kantor gives a classification over an algebraically closed field of a related class of ternary algebras. This classification involves a careful analysis of the root structure of the corresponding Lie algebra. Some of the ternary algebras that arise there do not occur in Theorem A as the Lie algebras have no forms of type BC_1 .

In §2, we describe how the algebra (A, J) is constructed from the given ternary algebra and show how the ternary operations can be recovered from (A, J) . In §3, we develop the properties of (A, J) that enable us in §§4 and 5 to give proofs of Theorems A and B. In §6, we note some further restrictions imposed on the algebras of (b) and (c) by the rank 1 assumption and we describe the algebras that can occur over some special fields.

Throughout the paper J will denote a finite dimensional central Jordan division algebra over k with identity e and V will denote a nonzero finite dimensional J -ternary algebra with product $\langle , , \rangle$ and skew mapping $V \times V \xrightarrow{(\cdot, \cdot)} J$. We also assume throughout that V has no nonzero zero divisors and that V is J -irreducible. We put $L = L(J, V) = \overline{J} \oplus \overline{V} \oplus L_0 \oplus J \oplus V$, where $L_0 = \text{St}(J, V) = \text{Inst}(J, V) = R_J \oplus \text{Der}(J, V)$ (see Proposition 1 of [3]).

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2. Identification of the operations. We fix an element $u \neq 0 \in V$. As in [3], choose $v \in V$ such that $[u, \overline{v}] = 4R_e$ and define $U = \text{ad}(u)$, $V = \text{ad}(\overline{v})$, and $\phi = \exp(V)\exp(U)\exp(V)$. We recall that L is the direct sum of $ku \oplus kR_e \oplus k\overline{v}$ irreducibles of dimension 1, 3, or 5. These irreducibles have bases of the form $x, xV, \dots, xV^{i-1}$ and the corresponding matrices of U and ϕ are given by

$$(1) \quad \begin{array}{c|cc} i & U & \phi \\ \hline 1 & [0] & [1] \\ \hline 3 & \begin{bmatrix} 0 & 0 & 0 \\ -2 & 0 & 0 \\ 0 & -2 & 0 \end{bmatrix} & \begin{bmatrix} 0 & 0 & 1/2 \\ 0 & -1 & 0 \\ 2 & 0 & 0 \end{bmatrix} \\ \hline 5 & \begin{bmatrix} 0 & 0 & 0 & 0 & 0 \\ -4 & 0 & 0 & 0 & 0 \\ 0 & -6 & 0 & 0 & 0 \\ 0 & 0 & -6 & 0 & 0 \\ 0 & 0 & 0 & -4 & 0 \end{bmatrix} & \begin{bmatrix} 0 & 0 & 0 & 0 & 1/24 \\ 0 & 0 & 0 & -1/6 & 0 \\ 0 & 0 & 1 & 0 & 0 \\ 0 & -6 & 0 & 0 & 0 \\ 24 & 0 & 0 & 0 & 0 \end{bmatrix} \end{array}$$

Define $V \xrightarrow{J} V$ by $x^J = x + (1/2)\langle x, u \rangle \circ v$. Then, by (1),

$$x^J = \begin{cases} x & \text{if } \langle x, u \rangle = 0, \\ -x & \text{if } x \in J \circ v. \end{cases}$$

Therefore, $J^2 = \text{id}$.

Define a product on V by $xy = -(1/4)\langle u, x, y^{J\phi e} \rangle - (1/4)\langle u, y^J, x^{\phi e} \rangle - (1/4)\langle x, y^J \rangle \circ v$. Then, for $x, y \in V$,

$$(2) \quad (1/2)(xy^J - yx^J) = -(1/4)\langle x, y \rangle \circ v \quad \text{and} \quad (1/2)(xy^J + yx^J) = [A_{x,y}, u]$$

where $A_{x,y} = -(1/4)[y, x^{\phi}] - (1/4)[x, y^{\phi}]$. Now, $A_{x,y}^{\phi} = -A_{x,y}$ and hence $[[A_{x,y}, u], u] = 0$. This implies $[A_{x,y}, u]$ is fixed by J . But the first expression in (2) is J -skew. It follows that $(xy^J)^J = yx^J$ and J is an involution.

LEMMA 1. Let $x, y \in V$. Then, $xy = (1/2)\langle y, x, u \rangle$ if $x^J = x$ and $xy = (1/4)\langle x, u \rangle \circ y^{\phi\epsilon}$ if $x^J = -x$.

PROOF. $-4xy = [x, y^J\phi]U + [y^J, x^\phi]U + [x, y^J]V$. But using (1), it follows that $x^\phi U = (xV)^\phi = -x^J V$ and hence

$$(3) \quad -4xy = [xU, y^J\phi] - [x, yV] + [y^J U, x^\phi] - [y^J, x^J V] + [x, y^J]V.$$

If $y^J = y$, the result follows from (3). Suppose $y^J = -y$. Then,

$$0 = [yU, x]V^2 = -4[yV, x] - 8[y, xV] + [yU, xV^2]$$

using Leibniz' rule and (1). Therefore,

$$(4) \quad [yU, xV^2] = 4[yV, x] + 8[y, xV].$$

If $x^J = x$, we have $[yU, x^\phi] = (1/2)[yU, xV^2] = 2[yV, x] + 4[y, xV]$ and substituting this into (3) gives the result. Finally, if $x^J = -x$, $[yU, x^\phi] = -(1/6)[yU, xV^2] = -(2/3)[yV, x] - (4/3)[y, xV]$. Substituting this into (3) and simplifying gives $-4xy = -[xU, y^\phi] - (8/3)[x, yV] - (4/3)[xV, y] = -[xU, y^\phi] - (1/3)[xU, yV^2]$ (applying (4) with x and y interchanged). Thus, $-4xy = [xU, y^\phi]$. $\square$

For $x \in V$, $ux = (1/2)\langle x, u, u \rangle = x$ and hence u is a left identity. Since J is an involution, u is an identity element.

Put $t = (2/3)\langle u, u, u \rangle$. Then, $\langle t, u \rangle \circ v = -(2/3)\bar{e}U^4V = (8/3)\bar{e}U^3 = -4t$. Thus, $t^J = -t$ and for $x \in V$, $tx = (1/4)\langle t, u \rangle \circ x^{\phi\epsilon} = (1/6)[\bar{e}U^4, x^\phi] = (1/6)[(\bar{e}U^4)^\phi, x]^\phi = 4[\bar{e}, x]^\phi = -4x^{\epsilon\phi}$. Also, for $x \in V$, $ux = (1/4)\langle u, u \rangle \circ x^{\phi\epsilon} = -x^{\phi\epsilon}$. Hence,

$$(5) \quad x^{\epsilon\phi} = -(1/4)tx \quad \text{and} \quad x^{\phi\epsilon} = -ux$$

for $x \in V$.

Now, for $x, y, z \in V$, we have $(xy^J)z = (1/2)(xy^J - yx^J)z + (1/2)(xy^J + yx^J)z = -(1/16)\langle x, y \rangle VU \circ z^{\phi\epsilon} + (1/2)[z, A_{x,y}UV] = (1/4)\langle x, y \rangle \circ z^{\phi\epsilon} - (1/4)\langle z, x, y^{\phi\epsilon} \rangle - (1/4)\langle z, y, x^{\phi\epsilon} \rangle$.

Using this equation it is straightforward to check that

$$(6) \quad \langle x, y, z^{\phi\epsilon} \rangle = +2(xy^J)z - 2(yz^J)x - 2(xz^J)y$$

and thus by (5)

$$(7) \quad \langle x, y, z \rangle = (1/2)(xy^J)(tz) + (1/2)(y(z^Jt))x + (1/2)(x(z^Jt))y$$

for $x, y, z \in V$.

Let $S = \{s \in V : s^J = -s\}$. Then, the map $a \mapsto \tilde{a} = -(1/4)a \circ u$ is a linear bijection of J onto S . (We would identify $\tilde{a}$ with a and hence J with S

except for the resulting ambiguities involving the multiplication in L .) Define $K = \{x \in V : x^J = x\}$ and $A = V$.

Now, $a = \langle \tilde{a}, u \rangle$ and $a \circ x = -\langle \tilde{a}, u \rangle \circ x^{\epsilon\phi\phi\epsilon} = -4\tilde{a}x^{\epsilon\phi} = \tilde{a}(tx)$ for $a \in J, x \in V$. Thus, $\widetilde{a \cdot b} = (a \cdot b) \circ v = (1/2)a \circ (b \circ v) + (1/2)b \circ (a \circ v) = (1/2)\tilde{a}(t(\tilde{b}(tv))) + (1/2)\tilde{b}(t(\tilde{a}(tv))) = -2\tilde{a}(t\tilde{b}) - 2\tilde{b}(t\tilde{a})$ for $a, b \in J$, since $tv = -4v^{\epsilon\phi} = -4u$. Combining these equations with the first equation of (2) gives

$$(8) \quad \begin{aligned} a \circ x &= \tilde{a}(tx), \quad \widetilde{a \cdot b} = (1/2)\tilde{a}(t\tilde{b}) + (1/2)\tilde{b}(t\tilde{a}), \\ \widetilde{\langle x, y \rangle} &= (1/2)(xy^J - yx^J) \end{aligned}$$

for $a, b \in J, x, y \in V$.

3. Properties of (V, J) . Having identified the operations in terms of the multiplication on V , we now proceed to develop the properties of this algebra that will enable us to describe the possibilities.

Let $[x, y, z] = (xy)z - x(yz)$, $x, y, z \in V$. We then have the following alternative property:

LEMMA 2. $[s, x, y] = -[x, s, y] = [x, y, s]$ for $x, y \in V, s \in S$.

PROOF. Since $[x, y, z]^J = -[z^J, y^J, x^J]$, it suffices to prove the first equation. Therefore, it suffices to show $[s, s, x] = 0$ and $[s, y, x] = -[y, s, x]$ for $s \in S, x \in V, y \in K$.

Now, $[s, s^\phi] = -(1/2)[s, s^\phi]UV = 2[s, s^\phi] - (1/2)[sU, s^\phi V] - (1/2)[sV, s^\phi U] + 3[s, s^\phi]$ using (1). Then, since sV is a multiple of $s^\phi U$, we have

$$(9) \quad [s, s^\phi] = (1/8)[sU, s^\phi V].$$

Thus,

$$\begin{aligned} [s, s, x] &= -(1/4)[x, [s, s^\phi]UV] + (1/16)[sU, [sU, x^\phi]^\phi] \\ &= (1/2)[x, [s, s^\phi]] + (1/16)[sU, [s^\phi V, x]] \\ &= (1/2)[x, [s, s^\phi]] - (1/16)[x, [sU, s^\phi V]] = 0. \end{aligned}$$

On the other hand,

$$\begin{aligned} s(yx) + y(sx) &= -(1/8)[sU, [x, yV]^\phi] - (1/8)[[sU, x^\phi], yV] \\ &= (1/8)[sU, [x^\phi, yV]] - (1/8)[[sU, x^\phi], yV] \\ &= -(1/8)[[sU, yV], x^\phi] = -(1/8)[[y, sUV], x^\phi] \\ &= (1/2)[[y, s], x^\phi] = -(1/2)(yx^{\phi\epsilon} + (1/2)yx^{\phi\epsilon}) \\ &= (sy)x + (yz)x \end{aligned}$$

by (6). $\square$

COROLLARY 3. Let $r, s \in S$ and $x \in V$. Then, $r(s(rx)) = (rsr)x$, $r[s, r, x] = -[r, sr, x]$, $((xr)s)r = x(rs r)$, and $[x, r, s]r = -[x, rs, r]$.

PROOF. The standard proofs go through (see for example [12]). $\square$

COROLLARY 4. For every $s \neq 0 \in S$, there exists $s^{-1} \in S$ such that $s^{-1}s = ss^{-1} = u$ and $[s, s^{-1}, x] = 0$ for $x \in V$.

PROOF. $s = \tilde{a}$ for some $a \neq 0 \in J$. Putting $s^{-1} = \widetilde{ta^{-1}t}$, we have $ss^{-1} = \tilde{a}(\widetilde{ta^{-1}t}) = \tilde{a}(t(\widetilde{a^{-1}t})) = a \circ (a^{-1} \circ u) = u$. Applying J to this equation gives $s^{-1}s = u$. Moreover, $[s^{-1}, s, x] = x - \tilde{a}((\widetilde{ta^{-1}t})x) = x - \tilde{a}(t(\widetilde{a^{-1}(tx)})) = x - a \circ (a^{-1} \circ x) = x$. $\square$

We define $*$ and $\#$ on V by $x * y = xy - yx$ and $x \# y = (1/2)xy + (1/2)yx$. We then have the following well-known identities:

$$(10) \quad \begin{aligned} (x * y) * z &= (x * z) * y + x * (y * z) + [x, y, z] - [y, x, z] \\ &\quad + [z, x, y] - [z, y, x] - [x, z, y] + [y, z, x], \end{aligned}$$

$$(11) \quad \begin{aligned} (x \# y) * z &= (x * z) \# y + x \# (y * z) + [x, y, z] + [y, x, z] \\ &\quad + [z, x, y] + [z, y, x] - [x, z, y] - [y, x, z]. \end{aligned}$$

for $x, y, z \in V$.

Define $G(x, y, z) = (x * y) * z + (y * z) * x + (z * x) * y$ for $x, y, z \in V$. Then by Lemma 2 and (10)

$$(12) \quad G(r, s, x) = 6[r, s, x]$$

for $r, s \in S, x \in V$. By Corollary 3, $G(p, q, r) * p = G(p, q, p * r)$ for $p, q, r \in S$. Thus, S is a Malcev algebra with respect to $*$ [11, Lemma 2.3].

Define $(r, s)_S = (r, s^\phi)$ for $r, s \in S$, where $(,)$ is the Killing form on L . Then

$$(13) \quad (\tilde{a}, \tilde{b})_S = (1/16)(aV, b^\phi U) = -(1/16)(aVU, b^\phi) = (1/4)(a, b^\phi)$$

for $a, b \in J$.

LEMMA 5. Let $q, r, s \in S$ and $x \in K$. Then,

$$(r * q, s)_S = (r, q * s)_S \quad \text{and} \quad (r \# x, s)_S = (q, s \# x)_S.$$

PROOF. Suppose $r = \tilde{a}$ and $s = \tilde{b}$. Then, for $y \in V$, we have $(\tilde{r}, y)_S = -(1/16)([aV, y], b^\phi)$ (by (13)) $= (1/16)(a, [yV, b^\phi]) = -(1/16)([a, b^\phi], yV)$. Similarly, $(\tilde{s}, y^J)_S = -(1/16)([b, a^\phi], y^J V)$. Hence, since ϕ preserves the Killing form and $(yV)^\phi = -y^J V$, we have $(\tilde{r}, y)_S = (r, \langle s, y^J \rangle)_S$. Applying (8) then gives the lemma. $\square$

If W is a subspace of V , it follows from (8) and the fact that V is an

irreducible J -module that

$$(14) \quad SW \subseteq W \Rightarrow W = (0) \quad \text{or} \quad V.$$

In particular, V is a simple algebra and, if V is associative, V must be a division algebra. Moreover, by (10) and (11), $S * (S \# S \oplus S)$ and $S \# (S \# S \oplus S)$ are contained in $S \# S \oplus S$. Thus, (14) implies

$$(15) \quad V = (S \# S) \oplus S \quad \text{and} \quad K = S \# S.$$

Let $C(V)$ denote the center of V , i.e. the set of elements of V that associate and commute with all other elements of V . Now, by (8) the product $r \cdot s = (1/2)r(ts) + (1/2)s(tr)$ gives S the structure of a central Jordan division algebra with identity t^{-1} . But then if $x \in C(V) \cap K$, the element xt^{-1} lies in the center of S (as a Jordan algebra) and hence $xt^{-1} \in kt^{-1}$. Thus,

$$(16) \quad C(V) \cap K = ku,$$

Now, $C(V)$ is a field since V is simple. Moreover, $C(V) = C(V) \cap K \oplus C(V) \cap S = ku \oplus C(V) \cap S$. But if $r, s \in C(V) \cap S$, we have $r^2, rs \in ku$ by (16) and hence r is a multiple of s . Thus, either $C(V) = ku$ or $C(V)/ku$ is a quadratic extension generated by an element $s \in S$ such that $s^2 \in ku$.

Now, if $q, r, s \in S$ and $x, y \in V$, we have

$$(17) \quad [q^2, x, y] = [q, qx, y] + q[q, x, y]$$

and

$$(18) \quad [q^2, r, s] = [q, r, s]q + q[q, r, s].$$

We use these to prove:

LEMMA 6. $C(V) = \{x \in V: x * S = (0)\}$.

PROOF. Suppose $x \in V$ and $x * S = (0)$. By (12), $[S, S, x] = (0)$ and hence by (11), $(J \# J) * x = (0)$. Thus, $V * x = (0)$. Therefore, putting $z = s$ in (10), we have $[x, y, s] - [y, x, s] + [s, x, y] - [s, y, x] - [x, s, y] + [y, s, x] = 0$ and hence $[s, x, y] = [s, y, x]$ for $y \in V, s \in S$. But then for $q, r \in S$, $[q^2, r, x] = [q, qr, x] + q[q, r, x] = [q, qr, x] = [q, x, qr] = [x, qr, q] = -[x, q, r]q = 0$. Hence, $[S \# S, S, x] = (0)$ and therefore $[V, S, x] = (0)$. Thus, $[S, V, x] = (0)$ and hence by (17), $[S \# S, V, x] = (0)$. Therefore, $[V, V, x] = (0)$. Similarly, $[x, V, V] = (0)$. Then, for $y, z \in V$, $[y, x, z] = (yx)z - y(xz) = (xy)z - y(zx) = x(yz) - (yz)x = 0$. Thus, $[V, x, V] = (0)$ and $x \in C(V)$. $\square$

COROLLARY 7. If $C(V) = ku$, then S is a semisimple Malcev algebra.

PROOF. By Dieudonné's theorem [12, Theorem 2.6] and Lemma 5, it

suffices to prove that if R is an ideal of S such that $R * R = (0)$, then $R = (0)$.

But

$$(19) \quad \widetilde{a} * \widetilde{b} = (1/8) \widetilde{aA(v, b \circ v)}$$

for $a, b \in J$. Hence, $A(v, b \circ v)^2 | J = 0$ for $\widetilde{b} \in R$. But $A(v, b \circ v)$ is semi-simple and hence $A(v, b \circ v) | J = 0$ for $\widetilde{b} \in R$. (19) and Lemma 6 give $R = (0)$. $\square$

4. Proof of Theorem A. If $[S, S, S] = (0)$, then $[V, S, S] = (0)$ (by (18)) and hence $[S, V, S] = (0)$. This implies $[V, V, S] = (0)$ (by (17)) and hence $[S, V, V] = (0)$. Thus $[V, V, V] = (0)$ (again by (17)) and we have conclusion (a). Thus, we may assume $[S, S, S] \neq (0)$. We now separate the proof into two cases:

Case 1. $C(V) = ku \oplus ks$, $s \neq 0 \in S$, $s^2 \in ku$. Now, $V = sS \oplus S$. But $[sq, x, y] = s[q, x, y] = -s[x, q, y] = -[x, sq, y]$ for $x, y \in V$ and $q \in S$. Thus, $[z, x, y] = -[x, z, y]$ for $x, y, z \in V$ and therefore V is alternative. But V is central simple over $C = C(V)$ and hence V/C is an 8-dimensional Cayley algebra over C [12, Theorem 3.17]. Then, $V = C \oplus V_0$ and $V_0 = \mathcal{O}_0 \oplus s\mathcal{O}_0$, where V_0 is the set of trace zero elements of V and $\mathcal{O}_0 = V_0 \cap S$. If $a \in \mathcal{O}_0$, $a^2 \in C$ (since V/C is a Cayley algebra) and $a^2 \in K$. Thus, $a^2 \in ku$ for $a \in \mathcal{O}_0$ and hence $\mathcal{O} = ku \oplus \mathcal{O}_0$ is an 8-dimensional composition algebra over k . Thus, $\mathcal{O}$ is a Cayley algebra over k , $V = \mathcal{O} \otimes_k C$ and $J = J_1 \otimes J_2$, where J_1 is the canonical involution on $\mathcal{O}$ and $J_2 = J|_C$. $\mathcal{O}$ is a division algebra since its skew elements are invertible (see for example, Corollary 3.24 of [12]).

Case 2. $C(V) = ku$. Let F be the algebraic closure of k . Then, S_F is the direct sum of simple Malcev ideals by Corollary 7.

Assume first of all that S_F is simple. Then S is 7-dimensional [10, Theorem B] and therefore J is a 7-dimensional central Jordan division algebra. Thus, J is isomorphic to the Jordan algebra of a 6-dimensional quadratic form [8, Example 1, p. 210]. For $L \in \text{End}_k(J)$, define $\widetilde{L} \in \text{End}_k(S)$ by $\widetilde{a}\widetilde{L} = \widetilde{aL}$. For $b \in J$, $\text{tr}(u, b \circ v) = 0$ [3, Lemma 4] and hence $A(v, b \circ v) | J \in \text{Str}(J)'$, where $\text{Str}(J)'$ denotes the derived algebra of the structure Lie algebra of J . Thus, by (19), $M(S) \subseteq \widetilde{\text{Str}(J)'}$, where $M(S)$ is the Lie transformation algebra of S . But both of these Lie algebras are 21 dimensional [11, §8] and hence $M(S) = \widetilde{\text{Str}(J)'}$. Therefore, if $a, b \in J$ and b has trace zero, we have $([a, a^\phi], R_b) = -(a \circ b, a^\phi) = -4(\widetilde{a \circ b}, \widetilde{a})_S$ (by (13)) $= -4(\widetilde{aM}, \widetilde{a})_S$ for some $M \in M(S)$ and hence $([a, a^\phi], R_b) = 0$ (by Lemma 5). Thus, if $s = \widetilde{a} \in S$, we have $[s, s^\phi] = (1/8)[a, a^\phi] \in kR_e$ (by (9)) and therefore $s^2 = -(1/2)[u, [s, s^\phi]] \in ku$ (by (6)). Hence $V = ku \oplus S$ is a composition algebra and, since it is not associative and has invertible skew elements, it is a Cayley division algebra.

Suppose next that S_F is not simple. Thus, $S_F = S_1 \oplus S_2$, where S_1 ,

S_2 are nonzero ideals of S_F such that $S_i * S_1 = S_1$ and $S_2 * S_2 = S_2$. Define $C_i = S_i \# S_i \oplus S_p$, $i = 1, 2$. It follows from (18) that $[S_i \# S_i, S_i, S_i] \subseteq S_i \# S_i$ and hence from (11) that $C_i * C_i \subseteq C_p$, $i = 1, 2$. Now, $[S_F, S_1, S_2] = (0)$ and therefore (by (18)) $[V_F, S_1, S_2] = (0)$. Then, $[S_1, V_F, S_2] = (0)$ and (by (17)) $[C_1, V_F, S_2] = (0)$. Applying J to this equation gives $[S_2, V_F, C_1] = (0)$ and therefore any associator involving 3 elements from S_2 , V_F and C_1 respectively is zero. A similar remark applies to elements from S_1 , V_F and C_2 . In particular, (11) then implies that $C_1 * C_2 = (0)$.

Now, if we put $[x, y, z]_{\#} = (x \# y) \# z - x \# (y \# z)$, we have the following well known identity for $x, y, z \in V_F$:

$$(20) \quad \begin{aligned} 4[x, y, z]_{\#} &= [x, y, z] - [z, y, x] + [y, x, z] \\ &\quad - [z, x, y] + [x, z, y] - [y, z, x] + y * (x * z). \end{aligned}$$

Therefore, $[S_i, S_j, S_k]_{\#} = (0)$ unless $i = j = k$. In all cases therefore, the notation $S_i \# S_j \# S_k$ is unambiguous. But $S_1 \# S_2 \# S_2 = (S_1 * S_1) \# (S_2 \# S_2) = S_1 * (S_1 \# S_2 \# S_2)$ (by (11)) $\subseteq S_1 * S_F \subseteq S_1$. But then $(S_2 \# S_2 \# S_2, S_1)_S = (S_2, S_1 \# S_2 \# S_2)_S = (0)$ (by Lemma 5) and hence $S_2 \# S_2 \# S_2 \subseteq S_2$. Similarly, $S_2 \# S_1 \# S_1 \subseteq S_2$ and $S_1 \# S_1 \# S_1 \subseteq S_1$. But $u \in S_1 \# S_1 + S_1 \# S_2 + S_2 \# S_2$ and therefore

$$(21) \quad \begin{aligned} S_1 &= S_1 \# S_1 \# S_1 + S_1 \# S_2 \# S_2 \quad \text{and} \\ S_2 &= S_2 \# S_2 \# S_2 + S_2 \# S_1 \# S_1. \end{aligned}$$

Moreover, $(S_1 \# S_1) \# (S_1 \# S_1) \subseteq [S_1 \# S_1, S_1, S_1] + S_1 \# (S_1 \# (S_1 \# S_1)) + S_1 * (S_1 * (S_1 \# S_1))$ (by (20)) $\subseteq S_1 \# S_1$ and hence $C_1 \# C_1 \subseteq C_1$. But $C_1 * C_1 \subseteq C_1$ and therefore C_1 and C_2 are subalgebras of V_F .

Suppose for contradiction that $S_1 \# S_2 \# S_2 = (0)$. Then by (21), $S_1 = S_1 \# S_1 \# S_1$. But $(S_2 \# S_1 \# S_1, S_2)_S = (S_2, S_2 \# S_2 \# S_1)_S = (0)$ and hence $S_2 \# S_1 \# S_1 = (0)$ and $S_2 = S_2 \# S_2 \# S_2$. But then $S_1 \# S_2 = (S_1 \# S_1 \# S_1) \# S_2 = S_1 \# (S_1 \# S_1 \# S_2)$ (by (20)) and hence $S_1 \# S_2 = (0)$. Therefore, $V_F = C_1 + C_2$ and $C_2 C_1 = C_2 \# C_1 = (S_1 \# S_1) \# (S_2 \# S_2) \subseteq S_1 \# (S_1 \# S_2 \# S_2) = (0)$. Thus, C_1 and C_2 are ideals of V_F . But V is central simple and hence V_F is simple. Therefore, $C_1 = C_2 = V_F$ and we have a contradiction. Hence, $S_1 \# S_2 \# S_2 \neq (0)$ and similarly $S_2 \# S_1 \# S_1 \neq (0)$.

Suppose now that we have chosen S_1 simple. Then, $S_1 = S_1 \# S_2 \# S_2$ and $(S_1 \# S_1) * S_1 = (S_1 \# S_1) * (S_1 \# S_2 \# S_2) \subseteq ((S_1 \# S_1) * S_1) \# (S_2 \# S_2)$ (by (11)) $\subseteq (((S_1 \# S_1) * S_1) \# S_2) \# S_2$ (by (19)) $\subseteq ((S_1 \# S_1 \# S_2) * S_1) \# S_2$ (by (11)) $= (0)$. But certainly $(S_1 \# S_1) * S_2 = (0)$. Therefore, $S_1 \# S_1$ centralizes S_F and by Lemma 6, $S_1 \# S_1 \subseteq Fu$. But S_1

$\# S_1 \neq (0)$ and hence $S_1 \# S_1 = Fu$. Therefore, $C_1 = Fu \oplus S_1$ is a composition algebra.

Now, $S_2 = S_2 \# S_1 \# S_1$ and the argument of the previous paragraph gives the result that $C_2 = Fu \oplus S_2$ is a composition algebra. The map $C_1 \otimes_F C_2 \rightarrow V_F$ is an algebra epimorphism. The kernel is an ideal stabilized by $J_1 \otimes J_2$, where J_1 and J_2 are the canonical involutions. It then follows easily that the map is an isomorphism and hence $(V_F, J) = (C_1 \otimes_F C_2, J_1 \otimes J_2)$.

Now, V is not associative and hence one of the C_i 's is a Cayley algebra. The Galois action on V_F corresponding to the form V must either stabilize C_1 and C_2 or interchange them. In the first case, we have conclusion (b). Assume then that the Galois action interchanges C_1 and C_2 . Then, the subgroup of $G = \text{Gal}(F/k)$ that stabilizes C_1 and C_2 has index 2 in G and hence C_1 and C_2 are defined over a quadratic extension L/k . Thus, $V_L = \mathcal{O}_1 \otimes_L \mathcal{O}_2$, where $\mathcal{O}_i$ is a Cayley algebra over L such that $C_i = \mathcal{O}_{iF}$, $i = 1, 2$. Let $\mathcal{O}_{i,0}$ be the set of elements of $\mathcal{O}_i$ of trace zero, $i = 1, 2$, and suppose for contradiction that $\mathcal{O}_1$ is split. Then, there exists $s_1 \neq 0 \in \mathcal{O}_{1,0}$ such that $s_1^2 = 0$. Then $s_1^\sigma \in \mathcal{O}_{2,0}$ and $s = s_1 + s_1^\sigma \in S$, where σ is the generator of $\text{Gal}(L/k)$. Thus, $s^{-1} = r_1 + r_1^\sigma$ for some $r_1 \in \mathcal{O}_{1,0}$. Now, $0 = s * s^{-1} = s_1 * r_1 + s_1^\sigma * r_1^\sigma$ and hence $s_1 * r_1 = 0$. Thus, $(s_1 r_1)^2 = s_1^2 r_1^2 = 0$ and therefore, since $s_1 r_1 \in Lu$, $s_1 r_1 = 0$. Therefore, $u = ss^{-1} = s_1 r_1 + s_1^\sigma r_1^\sigma + s_1 r_1^\sigma + s_1^\sigma r_1 = s_1 r_1^\sigma + s_1^\sigma r_1 \in \mathcal{O}_{1,0} \otimes_L \mathcal{O}_{2,0}$ and we have our contradiction. Thus, $\mathcal{O}_1$ and $\mathcal{O}_2$ are division algebras.

5. Proof of Theorem B. $L = L(J, V)$ for some J -ternary algebra V without zero divisors [3, Theorem 2]. By Theorem 17 of [3] and its following remark, we may assume we are in case (a) of §1. Let M be the derived algebra of the Lie algebra of skew transformations of the hermitian form over (A, J) with matrix

$$\begin{bmatrix} 0 & 0 & u \\ 0 & u & 0 \\ u & 0 & 0 \end{bmatrix}$$

If we choose $k \text{ diag}[u, 0, -u]$ as our maximal split toral subalgebra and

$$\begin{bmatrix} 0 & 0 & 0 \\ 0 & 0 & 0 \\ -2t^{-1} & 0 & 0 \end{bmatrix}$$

as the identity of our highest root space, an easy calculation shows that we obtain V as the associated ternary algebra. Thus, we have conclusion (i) with skew hermitian replaced by hermitian. The usual argument shows that this replacement is immaterial (see §10.6 of [7] for example).

6. Further restrictions on (A, J) . Suppose (A, J) is an algebra described in (b) or (c) of §1. The assumption that the ternary algebra V has no zero divisors

(i.e. $L(J, V)$ has rank 1) imposes further restrictions on (A, J) . We consider the cases separately.

Suppose (A, J) is as in (b). Then O and C cannot contain k -isomorphic subfields of degree 2 over k . For otherwise there exist skew elements $s_1 \neq 0 \in O$ and $s_2 \neq 0 \in C$ such that $s_1^2 = s_2^2$. Then, $(s_1 + s_2)(s_1 - s_2) = 0$ contradicting Corollary 4.

Suppose (A, J) is as in (c). Let $\langle \sigma \rangle = \text{Gal}(L/k)$. If $s_1 \neq 0$ is skew in O_1 , then $s = s_1 + s_1^\sigma$ is skew in A and $(s_1 + s_1^\sigma)(s_1 - s_1^\sigma) = s_1^2 - (s_1^2)^\sigma$. Thus, by Corollary 4, we cannot have $(s_1^2)^\sigma = s_1^2$. Therefore, $s_i^2 \notin ku$ for $s_i \neq 0$ skew in O_i , $i = 1, 2$.

If k is the real field, it follows from the above remarks that the only algebra of type BC_1 covered by Theorem B (ii) occurs when A is the Cayley division algebra. If k is the p -adic field, every Cayley algebra is split and hence no algebras of type BC_1 are covered by Theorem B (ii).

Suppose k is an algebraic number field. Now every Cayley algebra over an algebraic number field contains a skew element of norm 1 [1, §10]. The above remarks imply then that we may restrict our attention to algebras $(A, J) = (O \otimes_k C, J_1 \otimes J_2)$, where C has dimension 1, 2 or 4 over k . Suppose C is a quaternion algebra. Then, there exist $\alpha, \beta, \gamma \in k$ such that O and C can be constructed by the Cayley-Dickson process using constants $-1, -1, \alpha$ and β, γ respectively [1, §10]. By the Hasse-Minkowski principle [1, Lemma 8], the form $X_1^2 + X_2^2 + X_3^2 + \beta X_4^2 + \gamma X_5^2 - \beta\gamma X_6^2$ must be isotropic (since given an isomorphism ρ of k into the reals, one of $\beta^\rho, \gamma^\rho, -(\beta\gamma)^\rho$ must be negative). Thus, we may choose $\alpha_1, \alpha_2, \dots, \alpha_6$ not all zero in k such that $-\alpha_1^2 - \alpha_2^2 - \alpha_3^2 = \beta\alpha_4^2 + \gamma\alpha_5^2 - \beta\gamma\alpha_6^2$. Hence, O and C contain nonzero skew elements with equal squares, contradicting the above. Therefore, over an algebraic number field the only algebras of type BC_1 covered by Theorem B (ii) occur when $(A, J) = (O \otimes_k C, J_1 \otimes J_2)$, where O is a Cayley division algebra and $C = k$ or C is a field extension of degree 2 over k not k -isomorphic to a subfield of O . It is not difficult to verify that all such algebras (A, J) in fact give rise to ternary algebras without zero divisors and hence to Lie algebras of type BC_1 .

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DEPARTMENT OF MATHEMATICS, UNIVERSITY OF ALBERTA, EDMONTON,
ALBERTA, CANADA T6G 2G1