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# The structure of homotopy Lie algebras

Yves Félix, Steve Halperin and Jean-Claude Thomas

*To J.-M. Lemaire for his 60th birthday*

**Abstract.** In this paper we consider a graded Lie algebra,  $L$ , of finite depth  $m$ , and study the interplay between the depth of  $L$  and the growth of the integers  $\dim L_i$ . A subspace  $W$  in a graded vector space  $V$  is called full if for some integers  $d, N, q$ ,  $\dim V_k \leq d \sum_{i=k}^{k+q} \dim W_i$ ,  $i \geq N$ . We define an equivalence relation on the subspaces of  $V$  by  $U \sim W$  if  $U$  and  $W$  are full in  $U + W$ . Two subspaces  $V, W$  in  $L$  are then called  $L$ -equivalent ( $V \sim_L W$ ) if for all ideals  $K \subset L$ ,  $V \cap K \sim W \cap K$ . Then our main result asserts that the set  $\mathcal{L}$  of  $L$ -equivalence classes of ideals in  $L$  is a distributive lattice with at most  $2^m$  elements. To establish this we show that for each ideal  $I$  there is a Lie subalgebra  $E \subset L$  such that  $E \cap I = 0$ ,  $E \oplus I$  is full in  $L$ , and  $\text{depth } E + \text{depth } I \leq \text{depth } L$ .

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## 1. Introduction

We work over a ground field  $\mathbb{k}$  of characteristic  $\neq 2$ . A graded Lie algebra,  $L$ , is a graded vector space equipped with a Lie bracket  $[\cdot, \cdot]: L \otimes L \rightarrow L$ , satisfying

$$[x, y] + (-1)^{\deg x \cdot \deg y} [y, x] = 0$$

and

$$[x, [y, z]] = [[x, y], z] + (-1)^{\deg x \cdot \deg y} [y, [x, z]],$$

and  $[x, [x, x]] = 0$ ,  $x \in L_{\text{odd}}$  if  $\text{char } \mathbb{k} = 3$ . (This condition is automatic if  $\text{char } \mathbb{k}$  is not 3.)

As in the classical case,  $L$  has a universal enveloping algebra  $UL$ , and we define

$$\text{depth } L = \text{least } m \text{ (or } \infty) \text{ such that } \text{Ext}_{UL}^m(\mathbb{k}, UL) \neq 0.$$

Similarly, if  $M$  is an  $L$ -module, then

$$\text{grade}_L M = \text{least } q \text{ (or } \infty) \text{ such that } \text{Ext}_{UL}^q(M, UL) \neq 0.$$

The graded Lie algebra,  $L$ , is *connected* if  $L = \{L_i\}_{i \geq 0}$  and of *finite type* if each  $\dim L_i < \infty$ ; graded Lie algebras satisfying both condition are called cft graded Lie algebras.

Suppose now  $X$  is a simply connected CW complex of finite type. Then the rational homotopy Lie algebra,  $L_X = \pi_*(\Omega X) \otimes \mathbb{Q}$  (with Lie bracket given by the Samelson product) is a cft graded Lie algebra. The motivation for the study of cft graded Lie algebras of finite depth is the following result.

**Theorem ([1]).** *If  $X$  is a simply connected CW complex of finite type, then*

$$\text{depth } L_X \leq \text{cat}_0 X,$$

where  $\text{cat}_0 X$  denotes the rational Lusternik–Schnirelmann category of  $X$ . In particular, if  $X$  is a finite CW complex, then  $\text{depth } L_X$  is finite.

For more details for all of the above, the reader is referred to [5].

An important question connected with the Lie algebra  $L_X$  is the behavior of the integers  $\dim(L_X)_i$ , since

$$\dim(L_X)_i = \text{rank } \pi_{i+1}(X).$$

In this regard, we have the following growth result.

**Theorem ([9]).** *Let  $X$  be a simply connected CW complex of finite type such that the sequence  $\dim H_k(X; \mathbb{Q})$  grows at most exponentially. If  $\text{cat}_0 X < \infty$ , then either  $\dim L_X < \infty$ , or else there is a positive integer  $d$  and a number  $\alpha > 0$  such that given  $\varepsilon > 0$ ,*

$$e^{(\alpha-\varepsilon)k} \leq \sum_{i=k}^{k+d} (\dim L_X)_i \leq e^{(\alpha+\varepsilon)k}, \quad k \geq K(\varepsilon).$$

Note that  $e^{-\alpha}$  is just the radius of convergence of the power series  $\sum \dim(L_X)_i z^i$ .

In this paper we focus on the structure of cft graded Lie algebras of finite depth, with particular attention to the interplay between depth and growth of the integers  $\dim L_i$ , and to the structure of the ideals in  $L$ . Our aim is a classification theory for the ideals in a cft graded Lie algebra of finite depth, and in particular for the homotopy Lie algebras  $L_X$  of a space of finite Lusternik–Schnirelmann category. A crucial notion is that of full subspace.

**Definition.** A subspace  $W$  of a graded vector space  $V = \{V_i\}_{i \geq 0}$  is *full* in  $V$  if for some fixed  $\lambda, q$  and  $N$  (all positive)

$$\dim V_k \leq \lambda \sum_{i=k}^{k+q} \dim W_i, \quad k \geq N.$$

An easy argument (Proposition 2.5) then shows that an equivalence relation on the subspaces of  $V$  is defined by

$$U \sim W \iff U \text{ and } W \text{ are full in } U + W.$$

Two subspaces  $V, W$  in a graded Lie algebra  $L$  are called  *$L$ -equivalent* ( $V \sim_L W$ ) if for all ideals  $K \subset L$ ,  $V \cap K \sim W \cap K$ . As we show in Section 5, the set  $\mathcal{L}$  of  $L$ -equivalence classes  $[I]$  of ideals  $I \subset L$  is a distributive lattice under the operations  $[I] \leq [J]$  if  $I \cap J \sim_L I$ ,  $[I] \vee [J] = [I + J]$  and  $[I] \wedge [J] = [I \cap J]$ . In such a lattice each maximal chain of strict inequalities  $0 < [I(1)] < \cdots < [I(r)] = [I]$  has the same length  $r$ ; the number  $r$  is the height  $\text{ht}[I]$  of  $[I]$ .

Now our main result (Theorem 5.7) reads as follows:

**Theorem.** *Let  $L$  be a cft graded Lie algebra of finite depth  $m$  and suppose  $\text{ht}[L] = r$ . Then  $r \leq m$ . Moreover, the number  $\nu_L$  of  $L$ -equivalence classes of ideals in  $L$  satisfies  $\nu_L \leq 2^r$  and equality holds if and only if  $L \sim_L I(1) \oplus \cdots \oplus I(r)$  where the  $I(i)$  are ideals of height 1.*

The main step in the proof of this theorem is the following (Theorem 4.3).

**Theorem.** *Let  $I$  be an ideal in a cft graded Lie algebra  $L$  of finite depth. Then there is a Lie subalgebra  $E \subset L$  such that,*

- (i)  $E \cap I = 0$  and  $E \oplus I$  is full in  $L$ , and,
- (ii)  $\text{depth } E + \text{depth } I = \text{depth}(E \oplus I) \leq \text{depth } L$ .

Call an inclusion  $W \subset V$  of graded vector spaces *strongly proper* if  $W$  is not full in  $V$ . Then the theorem above has the following consequence (Corollary to Theorem 4.3).

**Proposition.** *If  $I$  is a strongly proper ideal in a graded Lie algebra  $L$ , then  $\text{depth } I < \text{depth } L$ . Thus the length of a sequence  $I(1) \subset \cdots \subset I(r) \subset L$  of strongly proper inclusions of ideals has length at most  $\text{depth } L$  ( $r \leq \text{depth } L$ ).*

The proof of the theorem requires certain technology for the study of the relative size of graded vector spaces, which we set up in Section 2. Then in Section 3 we carry

out a careful analysis of the relationship between depth  $L$  and  $\text{grade}_L M$ , showing that under certain hypotheses  $\text{depth } L = \text{grade}_L M$  (Theorem 3.6). These hypotheses hold for the modules appearing in the Hochschild–Serre spectral sequence, which then constitute the main ingredient in the proof of the theorem.

The results in Sections 3 and 4 have a number of applications. First we note that upper and lower bounds on the rate of exponential growth of a graded vector space  $V$  are given by

$$\log \text{index } V = \limsup_k \frac{\log \dim V_k}{k}$$

and

$$\text{lower log index } V = \lim_{q \rightarrow \infty} \liminf_k \frac{\log \sum_{i=k}^{k+q} \dim V_i}{k}.$$

In Section 5 we note that if  $W$  is full in  $V$ , then  $W$  and  $V$  have the same log index and the same lower log index. Thus the Lie subalgebra  $E \oplus I$  in the theorem above has the same growth properties as  $L$ .

We then show that the sum,  $R$ , of the ideals  $I \subset L$  with  $\log \text{index } I < \log \text{index } L$  also satisfies  $\log \text{index } R < \log \text{index } L$ ; thus  $R$  (called the *hyperradical* of  $L$ ) has strictly lower depth. Define a sequence  $R_r \subset R_{r-1} \subset \dots \subset R_1 = R \subset L$  by defining  $R_i$  to be the hyperradical of  $R_{i-1}$ . Since each inclusion is strongly proper, it follows that  $r \leq \text{depth } L$ ; moreover, clearly for any ideal  $I \subset L$ ,

$$\log \text{index } I = \log \text{index } R_i \quad \text{for some } i.$$

It follows that at most depth  $L + 1$  numbers appear as the log index of an ideal  $I$  in  $L$ .

In Section 7 we show that in any cft graded Lie algebra of finite depth, either  $\dim L_{\text{odd}}$  is finite or else for some  $d$  the integers  $\sum_{j=k+1}^{k+d} \dim(L_{\text{odd}})_j$  grow faster than any polynomial.

Finally, the authors would like to thank the referee for the many helpful suggestions and comments.

## 2. Large and full subspaces

**2.1. Definitions and characterization.** Suppose  $V = \{V_i\}_{i \geq 0}$  is a graded vector space of finite type, and let  $\sigma = (\sigma_i)$  be a sequence of non-negative numbers.

**Definition 2.1.** A subspace  $W \subset V$  is  $\sigma$ -large in  $V$  if for some fixed  $q, \lambda, K \geq 0$ ,

$$\dim(V/W)_k \leq \lambda \sum_{i=k}^{k+q} \sigma_i, \quad k \geq K. \tag{1}$$

If  $Z$  is a graded vector space and  $W$  is  $(\dim Z_i)$ -large in  $V$ , we shall say simply that  $W$  is  $Z$ -large in  $V$ .

For instance  $W \subset V$  has polynomial codimension if  $W$  is  $\sigma$ -large in  $V$  with  $\sigma_i = i^m$  for some  $m$ .

**Lemma 2.2.** (i) If  $U \subset W$  is  $\sigma$ -large in  $W$  and if  $W \subset V$  is  $\sigma$ -large in  $V$ , then  $U$  is  $\sigma$ -large in  $V$ .

(ii) The finite intersection of  $\sigma$ -large subspaces of  $V$  is also  $\sigma$ -large in  $V$ .

(iii) If  $W \subset V$  is  $\sigma$ -large in  $V$ , then for each  $r \geq 0$ ,

$$\sum_{i=k}^{k+r} \dim(V/W)_i \leq \lambda(q+1) \sum_{i=k}^{k+r+q} \sigma_i, \quad k \geq K,$$

where  $q, \lambda, K$  are as in Definition 2.1.

*Proof.* (i) Choose  $\lambda, q, K$  so that Definition 2.1 is satisfied for both  $U \subset W$  and  $W \subset V$ . Then

$$\dim(V/U)_k = \dim(W/U)_k + \dim(V/W)_k \leq \lambda \sum_{i=k}^{k+q} \sigma_i + \lambda \sum_{i=k}^{k+q} \sigma_i = 2\lambda \sum_{i=k}^{k+q} \sigma_i.$$

(ii) Suppose  $W(1), \dots, W(r)$  are  $\sigma$ -large subspaces of  $V$ , and choose  $q, \lambda, K$  so that Definition 1 holds for each of the  $W(j)$ . The linear map  $V \rightarrow V/W(1) \oplus \dots \oplus V/W(r)$  factors to give an injection

$$V/W(1) \cap \dots \cap W(r) \rightarrow V/W(1) \oplus \dots \oplus V/W(r),$$

and so

$$\dim\left(\frac{V}{W(1) \cap \dots \cap W(r)}\right)_k \leq \sum_{j=1}^r \dim\left(\frac{V}{W(j)}\right)_k \leq r\lambda \sum_{i=k}^{k+q} \sigma_i, \quad k \geq K.$$

(iii)

$$\sum_{i=k}^{k+r} \dim(V/W)_i \leq \sum_{i=k}^{k+r} \lambda \sum_{j=i}^{i+q} \sigma_j \leq \lambda(q+1) \sum_{i=k}^{k+r+q} \sigma_i. \quad \square$$

**Definition 2.3.** A subspace  $W \subset V$  is *full* in  $V$  if for some  $q, \lambda, K \geq 0$ ,

$$\dim V_k \leq \lambda \sum_{i=k}^{k+q} \dim W_i, \quad k \geq K.$$

**Lemma 2.4.** *Suppose  $U \subset W \subset V$ .*

(i) *The following conditions are equivalent :*

- *$W$  is full in  $V$ .*
- *$W$  is  $W$ -large in  $V$ .*
- *The zero subspace is  $W$ -large in  $V$ .*

(ii) *If  $U$  is full in  $W$  and  $W$  is full in  $V$ , then  $U$  is full in  $V$ .*

(iii) *If  $W$  is  $S$ -large in  $V$  for some  $S \subset V$ , then  $W + S$  is full in  $V$ .*

(iv) *If  $W$  is full in  $V$  and  $\lambda, q, K$  satisfy  $\dim V_k \leq \lambda \sum_{i=k}^{k+q} \dim W_i$ ,  $k \geq K$  (cf. (i)), then for any  $r \geq 0$ ,*

$$\sum_{j=k}^{k+r} \dim V_j \leq \lambda(q+1) \sum_{j=k}^{k+r+q} \dim W_j, \quad k \geq K.$$

*Proof.* (i) The third condition simply states the definition of fullness, and trivially implies the second. If the second holds, then (for some  $\lambda, q, K$ )

$$\dim V_k = \dim W_k + \dim(V/W)_k \leq (\lambda+1) \sum_{i=k}^{k+q} \dim W_i.$$

(ii) For suitable  $\alpha, \beta, r, s, K$ ,

$$\begin{aligned} \dim V_k &\leq \alpha \sum_{i=k}^{k+r} \dim W_i \leq \alpha \sum_{i=k}^{k+r} \left( \beta \sum_{j=i}^{i+s} \dim U_j \right) \\ &\leq \alpha\beta(r+1) \sum_{j=k}^{k+r+s} \dim U_j, \quad k \geq K. \end{aligned}$$

(iii) For suitable  $\lambda, q, K$  and for  $k \geq K$ ,

$$\begin{aligned} \dim V_k &= \dim(V/W)_k + \dim W_k \\ &\leq \lambda \sum_{i=k}^{k+q} \dim S_i + \dim W_k \\ &\leq 2\lambda \sum_{i=k}^{k+q} \dim(S_i + W_i), \quad k \geq K, \end{aligned}$$

because  $\dim(S_k + W_k) \geq \frac{1}{2} (\dim S_k + \dim W_k)$ .

(iv)

$$\sum_{i=k}^{k+r} \dim V_i \leq \lambda \sum_{i=k}^{k+r} \sum_{j=i}^{i+q} \dim W_j = (q + 1)\lambda \sum_{j=k}^{k+r+q} \dim W_j, \quad k \geq K. \quad \square$$

**Proposition 2.5.** *An equivalence relation on the subspaces of  $V$  is defined by  $U \sim W$  if and only if  $U$  and  $W$  are full in  $U + W$ .*

*Proof.* We have only to check transitivity. Suppose that  $U, W, Y$  are subspaces of  $V$  and  $U \sim W$  and  $W \sim Y$ . The injection  $W + Y \rightarrow U + W + Y$  induces a surjection

$$(W + Y)/W \rightarrow (U + W + Y)/(U + W).$$

Since  $W$  is full in  $W + Y$  this implies that  $U + W$  is full in  $U + W + Y$ . But  $U$  is full in  $U + W$  and hence (Lemma 2.4 (ii))  $U$  is full in  $U + W + Y$ . Therefore  $U$  is certainly full in  $U + Y$ . Similarly  $Y$  is full in  $U + Y$  and so  $U \sim Y$ .  $\square$

**Definition 2.6.** The equivalence relation above will be called *full equivalence* and will be denoted by  $U \sim W$ .

**Proposition 2.7.** *If  $U_i \sim W_i$  are pairwise fully equivalent subspaces of  $V$ , then  $U_1 + \dots + U_r \sim W_1 + \dots + W_r$ .*

*Proof.* It is clearly sufficient to prove the proposition when  $r = 2$ ; in this case we need show that  $U_1 + U_2 \sim W_1 + U_2 \sim W_1 + W_2$ . Thus we are reduced to show that  $U_1 + W \sim U_2 + W$  if  $U_1 \sim U_2$ . By hypothesis,  $U_1$  is full in  $U_1 + U_2$ . It follows from the obvious surjection  $(U_1 + U_2)/U_1 \rightarrow (U_1 + U_2 + W)/(U_1 + W)$  that  $U_1 + W$  is  $U_1$ -large in  $U_1 + U_2 + W$ . Thus it is certainly  $(U_1 + W)$ -large in  $U_1 + U_2 + W$ , and hence full in this space. Similarly  $U_2 + W$  is full in  $U_1 + U_2 + W$  and so  $U_1 + W \sim U_2 + W$ .  $\square$

**2.2. Log index and lower log index.** Again suppose  $V = \{V_i\}_{i \geq 0}$  is a graded vector space of finite type. The *log index* of  $V$  is the number given by

$$\log \text{index } V = \limsup_k \frac{\log \dim V_k}{k};$$

it is the least number  $\alpha$  such that for all  $\varepsilon > 0$ , there is a  $K$  such that  $\dim V_k \leq e^{(\alpha + \varepsilon)k}$ ,  $k \geq K$ . Thus it provides a sharp upper bound for exponential growth.

Note that if  $\lambda = \log \text{index } V < \infty$ , then  $e^{-\lambda}$  is the radius of convergence of the Hilbert series  $\sum \dim V_k z^k$ . One should also observe that if  $\lambda > 0$ , then the sum  $\sum_{i=1}^k \dim V_i$  grows exponentially with  $k$ .

In the applications we shall use the following, seemingly more refined, measures.



**Definition 2.8.** The *upper* and *lower log indexes* of  $V$  are given, respectively, by

$$\text{upper log index } V = \lim_{q \rightarrow \infty} \limsup_k \frac{\log \left( \sum_{i=k}^{k+q} \dim V_i \right)}{k}$$

and

$$\text{lower log index } V = \lim_{q \rightarrow \infty} \liminf_k \frac{\log \left( \sum_{i=k}^{k+q} \dim V_i \right)}{k}.$$

**Remark.** The limits above exist because the sequences increase with  $q$ .

**Lemma 2.9.** (i) For any  $q$ ,

$$\text{log index } V = \limsup_k \frac{\log \left( \sum_{i=k}^{k+q} \dim V_i \right)}{k} = \text{upper log index } V.$$

(ii) If  $L$  is a cft graded Lie algebra of finite depth then for some  $d$ ,

$$\liminf_k \frac{\log \left( \sum_{i=k}^{k+q} \dim L_i \right)}{k} = \text{lower log index } L, \quad q \geq d.$$

*Proof.* (i) This is straightforward.

(ii) By [9], Lemma 7, there is an integer  $d$  so that  $Z = \{u \mid [u, L_{\leq d}] = 0\}$  is finite dimensional. Choose  $D$  so that  $Z_{\geq D} = 0$ .

Next, for any  $s > d$  and  $k > s + D$ , write

$$\sum_{i=k}^{k+s} \dim L_i = e^{\gamma(k,s)k}.$$

Then for some  $j \in [k - s, k]$ ,  $\dim L_j \geq \frac{1}{s+1} e^{\gamma(k-s,s)(k-s)}$ . Let  $u_1, \dots, u_p$  be a basis for  $L_{\leq d}$  and note that, since  $j \geq D$ , for some  $\lambda$  we have  $\dim[u_\lambda, L_j] \geq \frac{1}{p} \dim L_j$ . Proceeding in this way yields an infinite sequence  $(u_{\lambda_v})$  such that

$$\dim[u_{\lambda_q}, [u_{\lambda_{q-1}}, [\dots [u_{\lambda_1}, L_j] \dots]] \geq \left(\frac{1}{p}\right)^q \dim L_j \quad \text{for all } q.$$

But for some  $q \leq s$ , we have  $\sum_{v=1}^q \deg u_{\lambda_v} + j \in [k, k + d]$ . It follows that

$$\gamma(k, d) \geq (1 - s/k)\gamma(k - s, s) - \frac{Q(s)}{k},$$

for some  $Q(s)$  independent of  $k$ . Letting  $k \rightarrow \infty$ , we see that  $\liminf_k \gamma(k, d) = \liminf_k \gamma(k, s)$ . Thus for  $s \geq d$

$$\liminf_k \frac{\log \left( \sum_{i=k}^{k+d} \dim L_i \right)}{k} = \liminf_k \frac{\log \left( \sum_{i=k}^{k+s} \dim L_i \right)}{k},$$

and this is then obviously the lower log index of  $L$ . □

**Remark.** Lemma 2.9 shows that log index  $L$  and lower log index  $L$  give precise upper and lower bounds on the exponential growth of  $\sum_{i=k}^{k+q} \dim L_i$ .

**Proposition 2.10.** *Suppose  $U$  and  $W$  are fully equivalent subspaces of  $V$ . Then  $U$  and  $W$  have the same log index and the same lower log index.*

*Proof.* We need to show that if  $W$  is full in  $V$  then  $W$  and  $V$  have the same log index and lower log index. But then

$$\begin{aligned} \sup_{j \geq k} \frac{\log \dim V_j}{j} &\geq \sup_{j \geq k} \frac{\log \dim W_j}{j} \\ &\geq \sup_{j \geq k} \frac{\log \left( \frac{1}{q+1} \sum_{i=j}^{j+q} \dim W_i \right)}{j} \\ &\geq \sup_{j \geq k} \frac{\log \left( \frac{1}{q+1} \frac{1}{\lambda} \dim V_j \right)}{j}. \end{aligned}$$

Take limits as  $k \rightarrow \infty$  to see that  $\log \text{index } V = \log \text{index } W$ .

On the other hand,

$$\begin{aligned} \sum_{i=k}^{k+r} \dim V_i &\leq \lambda(q+1) \sum_{i=k}^{k+r+q} \dim W_i \quad (\text{Lemma 2.4(iv)}) \\ &\leq \lambda(q+1) \sum_{i=k}^{k+r+q} \dim V_i. \end{aligned}$$

Thus

$$\begin{aligned} \liminf_k \frac{\log \left( \sum_{i=k}^{k+r} \dim V_i \right)}{k} &\leq \liminf_k \left( \frac{\log \lambda(q+1)}{k} + \frac{\log \left( \sum_{i=k}^{k+r+q} \dim W_i \right)}{k} \right) \\ &\leq \liminf_k \left( \frac{\log \lambda(q+1)}{k} + \frac{\log \left( \sum_{i=k}^{k+r+q} \dim V_i \right)}{k} \right). \end{aligned}$$

Let  $a_j = \frac{\log \left( \sum_{i=j}^{j+q+r} \dim W_i \right)}{j}$ . Then

$$\inf_{j \geq k} a_j \leq \inf_{j \geq k} \left( \frac{\log \lambda(q+1)}{j} + a_j \right) \leq \frac{\log \lambda(q+1)}{k} + \inf_{j \geq k} a_j.$$

Taking limits as  $k \rightarrow \infty$  gives

$$\liminf_k \left( \frac{\log \lambda(q+1)}{k} + \frac{\log \left( \sum_{i=k}^{k+q+r} \dim W_i \right)}{k} \right) = \liminf_k \frac{\log \left( \sum_{i=k}^{k+q+r} \dim W_i \right)}{k}.$$

Hence

$$\begin{aligned} \liminf_k \frac{\log \sum_{i=k}^{k+r} \dim V_j}{k} &\leq \liminf_k \frac{\log \sum_{i=k}^{k+r+q} \dim W_i}{k} \\ &\leq \liminf_k \frac{\log \sum_{i=k}^{k+r+q} \dim V_i}{k}. \end{aligned}$$

Taking limits as  $r \rightarrow \infty$  gives

$$\text{lower log index } V = \text{lower log index } W. \quad \square$$

### 3. Growth and depth in a graded Lie algebra

Let  $L$  be a cft graded Lie algebra, let  $\sigma = (\sigma_i)$  be a sequence of non-negative integers and let  $M = \{M_i\}_{i \in \mathbb{Z}}$  be a  $\mathbb{Z}$ -graded  $L$ -module.

#### 3.1. Thin modules

**Definition 3.1.** Given subspaces  $V, W \subset M$ , the *isotropy Lie subalgebra*  $L_V$  and the *co-isotropy Lie subalgebra*  $L^W$  are defined by

$$L_V = \{x \in L \mid x \cdot V = 0\} \quad \text{and} \quad L^W = \{x \in L \mid x \cdot M \subset W\}.$$

The  $L$ -module  $M$  is  $\sigma$ -thin if  $L_V$  and  $L^W$  are  $\sigma$ -large Lie subalgebras of  $L$  whenever  $\dim V < \infty$  and  $\text{codim } W < \infty$ .

**Remark.** If  $V$  and  $W$  are subspaces of a  $\sigma$ -thin  $L$ -module such that  $\dim V < \infty$  and  $\text{codim } W < \infty$ , then  $E = L_V \cap L^W$  is a  $\sigma$ -large Lie subalgebra satisfying

$$E \cdot V = 0 \quad \text{and} \quad E \cdot M \subset W.$$

**Lemma 3.2.** Let  $L$  be a cft graded Lie algebra and let  $\sigma = (\sigma_i)_{i \geq 0}$  be a sequence of non-negative numbers. Then:

- (i) The direct sum and the finite tensor product of  $\sigma$ -thin  $L$ -modules are  $\sigma$ -thin.
- (ii) Any subquotient of a  $\sigma$ -thin  $L$ -module is  $\sigma$ -thin.
- (iii) If  $M$  is a  $\sigma$ -thin  $L$ -module, then each  $\wedge^q M$  is also  $\sigma$ -thin.
- (iv) If  $M$  is a  $\sigma$ -thin  $L$ -module, then  $M^\# = \text{Hom}(M, \mathbb{k})$  is also  $\sigma$ -thin.

*Proof.* Elementary linear algebra suffices to prove the lemma, since a finite intersection of  $\sigma$ -large Lie subalgebra is  $\sigma$ -large. □

**Lemma 3.3.** *Suppose  $L$  is a cft graded Lie algebra,  $\sigma = (\sigma)_{i \geq 0}$  is a sequence of non-negative numbers, and  $M = \{M_i\}_{i \geq 0}$  is an  $L$ -module concentrated in non-negative degrees. Then*

- (i)  $M$  is  $\sigma$ -thin if and only if  $L_V$  is  $\sigma$ -large in  $L$ , whenever  $V$  is a finite dimensional subspace of  $M$ .
- (ii) The sum,  $N$ , of all the  $\sigma$ -thin submodules  $N(\alpha) \subset M$  is itself  $\sigma$ -thin.
- (iii)  $M$  is  $\sigma$ -thin if for some  $\lambda, q, K$ ,  $\dim M_k \leq \lambda \sum_{i=k}^{k+q} \sigma_i, k \geq K$ .
- (iv)  $M$  is  $\sigma$ -thin if and only if for some set  $\{v_i\}$  of generators for  $M$  (as an  $L$ -module) each  $L_{v_i}$  is  $\sigma$ -large in  $L$ .

*Proof.* (i) is immediate from the fact that  $M = \{M_i\}_{i \geq 0}$ .

(ii) Any finite dimensional subspace  $V \subset N$  satisfies  $V \subset N(\alpha_1) + \dots + N(\alpha_r)$  for some finite subset  $\alpha_1, \dots, \alpha_r$ . Thus there are finite dimensional subspaces  $V(\alpha_i) \subset N(\alpha_i)$  such that  $V \subset V(\alpha_1) + \dots + V(\alpha_r)$ . Hence  $L_V \supset \cap_i L_{V(\alpha_i)}$ . Since the finite intersection of  $\sigma$ -large Lie subalgebras is  $\sigma$ -large, it follows that  $L_V$  is  $\sigma$ -large.

(iii) Let  $V$  be a finite dimensional subspace of  $M$  and  $(x_i)_{1 \leq i \leq N}$  be a basis of  $V$ . Then the action of  $L$  on the  $x_i$  induces a linear injection

$$(L/L_V)_k \rightarrow \bigoplus_{i=1}^N M_{k+\deg x_i}.$$

This implies that  $L_V$  is large in  $L$ .

(iv) We first show that if, for some  $v \in V, L_v$  is  $\sigma$ -large then  $L_{a \cdot v}$  is  $\sigma$ -large for all  $a \in UL$ . In fact, because of (ii), it is sufficient to show this when  $a = x_1 \cdots x_r$  ( $x_i \in L$ ) and we proceed by induction on  $r$ .

Set  $w = x_2 \cdots x_r \cdot v$  and let  $S \subset L$  be the graded subspace of  $L$  defined by  $S = \{y \in L \mid [y, x_1] \in L_w\}$ . Since  $L_w$  is  $\sigma$ -large, by the induction hypothesis, we have for some  $\lambda, q, K$  that

$$\dim(L/L_w)_k \leq \lambda \sum_{i=k}^{k+q} \sigma_i, \quad k \geq K,$$

and also

$$\dim(L/S)_k \leq \dim(L/L_w)_{k+\deg x_1} \leq \lambda \sum_{i=k+\deg x_1}^{k+\deg x_1+q} \sigma_i.$$

On the other hand, for  $z \in L$  we have

$$z \cdot x_1 \cdots x_r \cdot v = z \cdot x_1 \cdot w = [z, x_1] \cdot w \pm x_1 \cdot z \cdot w$$

and so  $L_{x_1 \cdot w} \supset S \cap L_w$ . Now the inequalities above yield

$$\dim(L/L_{x_1 \cdot w})_k \leq 2\lambda \sum_{i=k}^{k+\deg x_1+q} \sigma_i, \quad k \geq K.$$

Thus  $L_{x \cdot w}$  is  $\sigma$ -large and the induction is closed.

Finally we have shown that if  $L_v$  is  $\sigma$ -large then  $UL \cdot v$  is  $\sigma$ -thin, and so we may apply (ii) to complete the proof of (iv).  $\square$

**Lemma 3.4.** *Let  $L$  be a cft graded Lie algebra, and let  $\sigma = \{\sigma_i\}_{i \geq 0}$  be a sequence of non negative numbers.*

- (i) *If  $E$  is a  $\sigma$ -large Lie subalgebra of  $L$ , then the  $L$ -module  $UL \otimes_{UE} \mathbb{k}$  is  $\sigma$ -thin.*
- (ii) *If  $L$  acts by derivations in a Lie algebra  $F$ , and if  $L_{w_\alpha}$  is  $\sigma$ -large for a set  $\{w_\alpha\}$  of generators for the Lie algebra  $F$ , then  $F$  is a  $\sigma$ -thin  $L$ -module.*

*Proof.* (i) The vector space  $UL \otimes_{UE} \mathbb{k}$  is generated as an  $L$ -module by the single element  $v = 1 \otimes 1$ . Since  $L_v = E$ , which is  $\sigma$ -large, (i) follows from Lemma 3.3 (iv).

(ii) Let  $W$  be the linear span of the  $w_\alpha$ . Then  $UL \cdot W$  is a  $\sigma$ -thin  $L$ -module by Lemma 3.3 (iv). The natural linear map  $UL \cdot W \rightarrow F$  extends to an  $L$ -linear algebra surjection  $T(UL \cdot W) \rightarrow UF$ . But  $T(UL \cdot W)$  is  $\sigma$ -thin by Lemma 3.2 (i), and hence  $F$ , as a subquotient of  $T(UL \cdot W)$  is  $\sigma$ -thin by Lemma 3.2 (ii).  $\square$

**3.2. The Hochschild–Serre spectral sequences.** The invariants  $\text{Ext}_{UL}^*(M, N)$  and  $\text{Tor}_*^{UL}(M, N)$  will play an important role in this paper, when  $L$  is a cft graded Lie algebra and  $M$  and  $N$  are  $L$ -modules.

Let  $V = \{V_i\}_{i \geq 0}$  be a graded vector space of finite type. We denote by  $V^\#$  the dual vector space,  $V_k^\# = \text{Hom}(V_{-k}, \mathbb{k})$ , and by  $\wedge V^\#$  the free graded commutative algebra on  $V^\#$ . Then  $\wedge^q V^\#$  is the linear span of the products  $f_1 \cdots f_q$ ,  $f_i \in V^\#$ , and its dual  $\Gamma V = (\wedge V^\#)^\#$  is the free divided powers algebra on  $V$ .

The graded vector spaces  $\text{Tor}_*^{UL}(M, N)$  and  $\text{Ext}_{UL}^*(M, N)$  may be computed as the homology of complexes respectively of the form  $\Gamma^*(sL) \otimes_{\mathbb{k}} M \otimes_{\mathbb{k}} N$  and  $\text{Hom}_{\mathbb{k}}(\Gamma^*(sL) \otimes_{\mathbb{k}} M, N)$  with twisted differentials ([11]). (Here  $sL$  is the suspension of  $L$ ;  $(sL)_k = L_{k-1}$ .) Now suppose  $E \subset L$  is a Lie subalgebra and write  $L = E \oplus S$ . Then there is a first quadrant spectral sequence (the Hochschild–Serre spectral sequence), that converges from

$$E_{p,q}^1 = \text{Tor}_q^{UE}(\Gamma^p s(L/E) \otimes M, N) \quad \text{to} \quad \text{Tor}_{p+q}^{UL}(M, N).$$

When  $E$  is an ideal then

$$E_{p,q}^2 = \text{Tor}_p^{UL/E}(\mathbb{k}, \text{Tor}_q^{UE}(M, N)).$$

There is also a Hochschild–Serre spectral sequence for  $\text{Ext}$ ,

$$\text{Ext}_{UE}^q(\Gamma^p s(L/E) \otimes M, N) \implies \text{Ext}_{UL}^{p+q}(M, N).$$

For more details on the Hochschild–Serre spectral sequences, see [5] and [9].

Now we recall two results obtained in [9] and related to cft graded Lie algebras of finite depth, that we will use several times in the text.

**Lemma 3.5** ([9], Lemma 4). *Suppose  $M$  and  $N$  are  $L$ -modules where  $L$  is a cft graded Lie algebra and each  $N_i$  is finite dimensional. If  $\text{Ext}_{UL}^m(M, N) \neq 0$  then for some finitely generated Lie subalgebra  $E \subset L$  and for some finitely generated  $L$ -submodule  $P \subset M$  the restrictions  $\text{Ext}_{UL}^m(M, N) \rightarrow \text{Ext}_{UE}^m(M, N)$  and  $\text{Ext}_{UL}^m(M, N) \rightarrow \text{Ext}_{UL}^m(P, N)$  are nonzero.*

**Lemma 3.6** ([9], Lemma 6). *Let  $E \subset L$  be a Lie subalgebra of a cft graded Lie algebra  $L$ . Suppose for some  $m$ , that the restriction map  $\text{Ext}_{UL}^m(\mathbb{k}, UL) \rightarrow \text{Ext}_{UE}^m(\mathbb{k}, UL)$  is non-zero. Let  $Z$  be the centralizer of  $E$  in  $L$ . Then  $Z$  is finite dimensional.*

### 3.3. Minimal subalgebras

**Definition 3.7.** Let  $\sigma = (\sigma_i)_{i \geq 0}$  be a sequence of non-negative numbers.

- A cft graded Lie algebra  $L$  is  $\sigma$ -minimal with respect to an ideal  $I$  if every  $\sigma$ -large Lie subalgebra  $E$  with  $I \subset E \subset L$  satisfies  $\text{depth } E \geq \text{depth } L$ .
- A cft graded Lie algebra  $L$  is  $\sigma$ -minimal if  $L$  is  $\sigma$ -minimal with respect to 0, i.e., if  $\text{depth } E \geq \text{depth } L$  for all  $\sigma$ -large subalgebras  $E$  of  $L$ .
- If  $Z$  is any graded vector space and  $L$  is  $(\dim Z_i)$ -minimal (resp.  $(\dim Z_i)$ -minimal with respect to  $I$ ), we shall say that  $L$  is  $Z$ -minimal (resp.  $Z$ -minimal with respect to  $I$ ).

**Theorem 3.8.** *Let  $\sigma = (\sigma_i)_{i \geq 0}$  be a sequence of non-negative numbers and let  $I$  be an ideal in a cft graded Lie algebra  $L$ . If  $M = \{M_i\}_{i \in \mathbb{Z}}$  is a  $\sigma$ -thin  $L$ -module satisfying  $M \neq 0$  and  $I \cdot M = 0$ , and if  $L$  is  $\sigma$ -minimal with respect to  $I$ , then*

$$\text{depth } L = \text{grade}_L M.$$

We begin with two preliminary lemmas.

**Lemma 3.9.** *Let  $I$  be an ideal in a cft graded Lie algebra  $L$ , and let  $\sigma = (\sigma_i)_{i \geq 0}$  be a sequence of non-negative numbers. If  $M = \{M_i\}_{i \in \mathbb{Z}}$  is any  $\sigma$ -thin  $L$ -module for which  $I \cdot M = 0$  and  $M \neq 0$ , then  $I$  extends to a  $\sigma$ -large Lie subalgebra  $E \subset L$  such that*

$$\text{depth } E \leq \text{grade}_L M.$$

*Proof.* Let  $m = \text{grade}_L M$ . Then for some finitely generated submodule  $N \subset M$ , the restriction  $\text{Ext}_{UL}^m(M, UL) \rightarrow \text{Ext}_{UL}^m(N, UL)$  is non-zero. Denote by  $v_1, \dots, v_r$  a set of generators of  $N$ . Then the short exact sequence  $0 \rightarrow UL \cdot v_1 \rightarrow N \rightarrow N/(UL \cdot v_1) \rightarrow 0$  induces an exact sequence  $\text{Ext}_{UL}^m(UL \cdot v_1, UL) \rightarrow \text{Ext}_{UL}^m(N, UL) \rightarrow \text{Ext}_{UL}^m(N/(UL \cdot v_1), UL)$ . It follows that there exists a subquotient module of  $N$ , of the form  $UL \cdot v$ , for which  $\text{Ext}_{UL}^m(UL \cdot v, UL) \neq 0$ . Moreover, as a subquotient of  $M$ ,  $UL \cdot v$  is  $\sigma$ -thin (Lemma 3.2 (ii)).

Consider the short exact sequence of  $L$ -modules

$$0 \rightarrow K \rightarrow UL \otimes_{UL_v} \mathbb{k} \rightarrow UL \cdot v \rightarrow 0.$$

Since  $UL \cdot v$  is  $\sigma$ -thin,  $L_v$  is  $\sigma$ -large in  $L$ . Hence  $UL \otimes_{UL_v} \mathbb{k}$  and  $K$  are also  $\sigma$ -thin (Lemma 3.2 (i) and Lemma 3.2 (ii) respectively). Note also that since  $UL \cdot v$  is a subquotient of  $M$ ,  $I \cdot UL \cdot v = 0$ . In particular,  $I \subset L_v$  and since  $I$  is an ideal, it follows that  $I \cdot (UL \otimes_{UL_v} \mathbb{k}) = 0$  and hence  $I \cdot K = 0$ .

On the other hand from the short exact sequence above, we deduce that either  $\text{Ext}_{UL}^{m-1}(K, UL) \neq 0$  or else  $\text{Ext}_{UL}^m(UL \otimes_{UL_v} \mathbb{k}, UL) \neq 0$ . In the first case the lemma follows by induction on  $m$ . In the second one we use the standard isomorphism

$$\text{Ext}_{UL}^m(UL \otimes_{UL_v} \mathbb{k}, UL) \cong \text{Ext}_{UL_v}^m(\mathbb{k}, UL)$$

to conclude that  $\text{depth } L_v \leq m$ . Set  $E = L_v$  in this case. □

**Lemma 3.10.** *Suppose  $I \subset E$  with  $I$  and  $E$  respectively an ideal and a Lie subalgebra in a cft graded Lie algebra  $L$ . If  $L$  is  $\sigma$ -minimal with respect to  $I$ , and if  $E$  is  $\sigma$ -large in  $L$ , then  $\text{depth } L = \text{depth } E$ . In particular,  $E$  is  $\sigma$ -minimal with respect to  $I$ .*

*Proof.* It follows from the Hochschild–Serre spectral sequence that

$$\text{Tor}_p^{UE}(\Gamma^q sL/E, (UL)^\#) \implies \text{Tor}_{p+q}^{UL}(\mathbb{k}, (UL)^\#)$$

that there exist  $p, q$  with  $p + q = \text{depth } L$ , and such that

$$\text{grade}_E \Gamma^q sL/E \leq p.$$

Since  $L/E$  is a  $\sigma$ -thin  $E$ -module and  $I \cdot L/E = 0$ , Lemma 3.9 gives a Lie subalgebra  $F$ ,  $\sigma$ -large in  $E$ , with  $I \subset F \subset E$ , and satisfying

$$\text{depth } F \leq \text{grade}_E \Gamma^q sL/E.$$

Since  $L$  is  $\sigma$ -minimal with respect to  $I$ ,  $\text{depth } L \leq \text{depth } F$ ; i.e.,  $p + q \leq p$ . Thus  $q = 0$  and  $\text{depth } F \leq \text{depth } E$ . But  $L$  was  $\sigma$ -minimal with respect to  $I$ , so that  $\text{depth } L \leq \text{depth } E$ . This gives  $\text{depth } L = \text{depth } E$ . □

*Proof of Theorem 3.8.* By Lemma 3.9,  $L$  contains a  $\sigma$ -large Lie subalgebra  $F$  containing  $I$ , and such that  $\text{depth } F \leq \text{grade}_L M$ . Now take a Lie subalgebra  $E$  of  $F$  that is  $\sigma$ -minimal with respect to  $I$ . Then,  $\text{depth } E \leq \text{depth } F$ , and so  $\text{depth } E \leq \text{grade}_L M$ . Since  $\text{depth } E = \text{depth } L$  (Lemma 3.8), it follows that  $\text{depth } L \leq \text{grade}_L M$ .

Next, let  $M_+ = \{M_i\}_{i \geq 0}$  and set  $N = M/M_+$ ; both  $M_+$  and  $N$  are  $\sigma$ -thin  $L$ -modules. If  $M_+ \neq 0$ , we can find a short exact sequence of  $L$ -modules of the form

$$0 \rightarrow K \rightarrow M_+ \rightarrow \mathbb{k}x \rightarrow 0.$$

As observed at the start of the proof of the theorem (applied to  $K$  instead of  $M$ ),  $\text{depth } L \leq \text{grade}_L K$ . Thus if  $m = \text{depth } L$  we have the exact sequence

$$0 \rightarrow \text{Ext}_{UL}^m(\mathbb{k}x, UL) \rightarrow \text{Ext}_{UL}^m(M_+, UL),$$

which implies that  $\text{grade}_L M_+ \leq \text{depth } L$ . It follows that  $\text{grade}_L M_+ = \text{depth } L$  and so, if  $N = 0$ , the theorem is proved.

Next, suppose  $N \neq 0$ . Since  $N$  is concentrated in negative degrees, and since  $(UL)^\#$  is also concentrated in negative degrees, it follows that  $(N \otimes (UL)^\#)^\# = N^\# \otimes UL$  as  $L$ -modules with diagonal action.

On the other hand  $\text{Tor}_*^{UL}(N, (UL)^\#) = \text{Tor}_*^{UL}(\mathbb{k}, N \otimes (UL)^\#)$ , and dualizing gives  $\text{Ext}_{UL}^*(N, UL) = \text{Ext}_{UL}^*(\mathbb{k}, N^\# \otimes UL)$ . Since  $N^\# \otimes UL$  is a free  $UL$ -module (diagonal action) this shows that  $\text{grade}_L N = \text{depth } L$ . Thus if  $M_+ = 0$ , the theorem is proved.

Finally, suppose that  $M_+ \neq 0$  and  $N \neq 0$ . Since  $\text{depth } L = \text{grade}_L M_+ = \text{grade}_L N = m$ , the short exact sequence

$$0 \rightarrow M_+ \rightarrow M \rightarrow N \rightarrow 0$$

and the consequent exact sequences

$$\text{Ext}_{UL}^i(M, UL) \leftarrow \text{Ext}_{UL}^i(M, UL) \leftarrow \text{Ext}_{UL}^i(N, UL) \leftarrow 0, \quad i \leq m,$$

imply that  $\text{grade}_L M = m = \text{depth } L$ . □

#### 4. Weak complements

**Theorem 4.1.** *Let  $E$  and  $I$  be respectively a Lie subalgebra and an ideal in a cft graded Lie algebra  $L$ , such that  $E \cap I = 0$ , and let  $\sigma = (\sigma_i)_{i \geq 0}$  be a sequence of non-negative numbers.*

- (i) *If  $E$  is  $\sigma$ -minimal and  $I$  is a  $\sigma$ -thin  $E$ -module (adjoint representation), then  $E \oplus I$  is  $\sigma$ -minimal with respect to  $I$ , and*

$$\text{depth}(E \oplus I) = \text{depth } E + \text{depth } I.$$



(ii) If, moreover,  $L/(E \oplus I)$  is a  $\sigma$ -thin  $E$ -module, then

$$\text{depth}(E \oplus I) \leq \text{depth } L.$$

*Proof.* (i) Use the inclusions  $E, I \rightarrow (E \oplus I)$  and multiplication in  $U(E \oplus I)$  to write  $U(E \oplus I) = UI \otimes UE$ . Then for  $x \in E, a \in UI, b \in UE$ , we have

$$x \cdot (a \otimes b) = (\text{ad } x)a \otimes b + (-1)^{\deg a \deg x} a \otimes x \cdot b.$$

It follows that  $\text{Tor}^{UI}(\mathbb{k}, U(E \oplus I)^\#) = \text{Tor}^{UI}(\mathbb{k}, (UI)^\#) \otimes (UE)^\#$  as  $E$ -modules. Thus the Hochschild–Serre spectral sequence converges from

$$E_{p,q}^2 = \text{Tor}_p^{UE}(\text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#), (UE)^\#) \quad \text{to} \quad \text{Tor}_{p+q}^{U(E \oplus I)}(\mathbb{k}, (U(E \oplus I))^\#).$$

Now since  $I$  is a  $\sigma$ -thin  $E$ -module so is each  $\Gamma^q sI \otimes (UI)^\#$ , and hence so are the subquotients  $\text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#)$ . By Theorem 3.6, either  $\text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#) = 0$ , or else  $\text{depth } E = \text{grade}_E \text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#)$ . Hence  $E_{p,q}^2 = 0$  for  $q < \text{depth } I$  or for  $p < \text{depth } E$ , and  $E_{p,q}^2 \neq 0$  when  $q = \text{depth } I$  and  $p = \text{depth } E$ . A standard corner argument now shows that  $\text{depth}(E \oplus I) = \text{depth } E + \text{depth } I$ .

Finally, we show that  $E \oplus I$  is  $\sigma$ -minimal with respect to  $I$ . In fact let  $F \subset E$  be any  $\sigma$ -large Lie subalgebra. Form the Hochschild–Serre spectral sequence

$$E_{p,q}^2 = \text{Tor}_p^{UF}(\text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#), (UF)^\#) \implies \text{Tor}_{p+q}^{U(F \oplus I)}(\mathbb{k}, (U(F \oplus I))^\#).$$

We deduce that for some  $q \geq \text{depth } I$ ,  $\text{grade}_F \text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#) \leq \text{depth}(F \oplus I) - q$ . But according to Lemma 3.9 there is a  $\sigma$ -large Lie subalgebra  $E' \subset F$  such that  $\text{depth } E' \leq \text{grade}_F \text{Tor}_q^{UI}(\mathbb{k}, (UI)^\#)$ . Thus

$$\begin{aligned} \text{depth } E' &\leq \text{depth}(F \oplus I) - q \leq \text{depth}(F \oplus I) - \text{depth } I \\ &\leq \text{depth}(E \oplus I) - \text{depth } I = \text{depth } E. \end{aligned}$$

Since  $E$  is  $\sigma$ -minimal these inequalities are equalities; in particular  $\text{depth}(F \oplus I) = \text{depth}(E \oplus I)$  and  $E \oplus I$  is  $\sigma$ -minimal with respect to  $I$ .

(ii) Consider the Hochschild–Serre spectral sequence converging from

$$E_1^{p,q} = \text{Ext}_{U(E \oplus I)}^q(\Gamma^p sL/(E \oplus I), UL) \quad \text{to} \quad \text{Ext}_{UL}^{p+q}(\mathbb{k}, UL).$$

Since  $L/(E \oplus I)$  is a  $\sigma$ -thin  $E$ -module annihilated by  $I$ , it is also a  $\sigma$ -thin  $E \oplus I$ -module. Thus each  $\Gamma^p sL/(E \oplus I)$  is a  $\sigma$ -thin  $(E \oplus I)$ -module annihilated by  $I$ . Thus, since  $E \oplus I$  is  $\sigma$ -minimal with respect to  $I$ , Theorem 3.8 asserts that either  $\Gamma^p sL/(E \oplus I) = 0$ , or else

$$\text{depth}(E \oplus I) = \text{grade}_{E \oplus I}(\Gamma^p sL/(E \oplus I)).$$

Since  $\text{Ext}_{U(E \oplus I)}^q(\Gamma^p sL/(E \oplus I), UL) \neq 0$  for some  $p + q = \text{depth } L$ , the theorem follows. □

**Definition 4.2.** Let  $I$  be an ideal in a cft graded Lie algebra of finite depth. A *weak complement* for  $I$  in  $L$  is a Lie subalgebra  $E \subset L$  such that  $E \cap I = 0$ ,  $E \oplus I$  is full in  $L$ , and for some sequence  $\sigma = (\sigma_i)_{i \geq 1}$  satisfying  $0 \leq \sigma_i \leq \dim I_i$ ,  $i \geq 1$ :  $E$  is  $\sigma$ -minimal, and  $I$  and  $L/(E \oplus I)$  are  $\sigma$ -thin  $E$ -modules.

**Theorem 4.3.** Let  $I$  be an ideal in a cft graded Lie algebra of finite depth.

(i) There is an  $I$ -large Lie subalgebra  $F \subset L$  such that  $F \cap I = 0$ . If  $E$  is any  $I$ -minimal,  $I$ -large Lie subalgebra of  $F$  then  $E$  is a weak complement for  $I$  in  $L$ .

(ii) If  $E$  is any weak complement for  $I$  in  $L$ , then

$$\text{depth } E + \text{depth } I = \text{depth}(E \oplus I) \leq \text{depth } L.$$

*Proof.* (i). Since  $\text{depth } I < \infty$ , there are elements  $x_1, \dots, x_r \in I$  such that the Lie subalgebra  $G$ , generated by the  $x_i$  satisfies  $\text{Ext}_{UI}^*(\mathbb{k}, UL) \rightarrow \text{Ext}_{UG}^*(\mathbb{k}, UL)$  is non-zero (Lemma 3.5). This implies that  $A = \{y \in I \mid [y, x_i] = 0, 1 \leq i \leq r\}$  is a finite dimensional Lie subalgebra (Lemma 3.6). Choose  $n$  so that  $A$  is concentrated in degrees  $< n$  and set

$$F = \{y \in L_{\geq n} \mid [y, x_i] = 0, 1 \leq i \leq r\}.$$

Evidently  $F \cap I = 0$ .

On the other hand,  $F$  is the kernel of the linear map  $L_{\geq n} \rightarrow I \oplus \dots \oplus I$  given by  $x \mapsto ([x, x_1], \dots, [x, x_r])$ . Thus

$$\dim L_k/F_k \leq \sum_{i=1}^r \dim I_{k+\deg x_i}.$$

It follows that  $F$  is  $I$ -large in  $L$ , and so  $E$  is also  $I$ -large in  $L$ . Thus for some  $\lambda, q, N$  we have  $\dim(L/E)_k \leq \lambda \sum_{i=k}^{k+q} \dim I_i$ ,  $k \geq N$ . It follows that  $\dim L_k \leq (\lambda + 1) \sum_{i=k}^{k+q} \dim(E_i \oplus I_i)$ ,  $k \geq N$  and so  $E \oplus I$  is full in  $L$ . Finally, since  $E$  is  $I$ -large in  $L$ , Lemma 3.3 (iii) asserts that  $L/(E \oplus I)$  is  $I$ -thin.  $\square$

**Proposition 4.4.** Let  $J$  and  $K$  be ideals in a cft graded Lie algebra  $L$  of finite depth. Then there is a weak complement,  $E$ , for  $J \cap K$  in  $K$  that is also a weak complement for  $J$  in  $J + K$ .

*Proof.* By Theorem 4.3 (i) we may choose  $E$  to be  $J \cap K$ -minimal and such that  $J \cap K$  and  $K/(E \oplus J \cap K)$  are  $(J \cap K)$ -thin  $E$ -modules. Note that  $E \cap J = (E \cap K) \cap J = 0$ .

Set  $\sigma_i = \dim(J \cap K)_i$  and note that because  $[E, J] \subset [K, J] \subset J \cap K$  it follows that  $J$  is a  $\sigma$ -thin  $E$ -module. Moreover,  $K/(E \oplus J \cap K)$  maps onto  $(K + J)/(E \oplus J)$  and so  $(K + J)/(E \oplus J)$  is also a  $\sigma$ -thin  $E$ -module. Finally, this surjection also shows that  $E \oplus J$  is full in  $K + J$  since  $E \oplus J \cap K$  is full in  $K$ .  $\square$

**Proposition 4.5.** *Let  $I \subset L$  be an ideal in a cft graded Lie algebra, and suppose that for some  $p$ , the restriction map*

$$\text{Ext}_{UL}^p(\mathbb{k}, UL) \rightarrow \text{Ext}_{UI}^p(\mathbb{k}, UL)$$

*is non-zero. Then  $I$  is full in  $L$ .*

*Proof.* Suppose  $\alpha \in \text{Ext}_{UL}^p(\mathbb{k}, UL)$  restricts to a non-zero element in  $\text{Ext}_{UI}^p(\mathbb{k}, UL)$ . This in turn would restrict to a non-zero element in  $\text{Ext}_{UE}^p(\mathbb{k}, UL)$ , where  $E$  is a finitely generated Lie subalgebra of  $I$ , see Proposition 3.1 in [3]. Let  $x_1, \dots, x_r$  generate  $E$ . Then by [9], Lemma 6, the centralizer of  $E$  in  $L$  is finite dimensional. Therefore for  $n$  enough large, the map

$$L_n \rightarrow \bigoplus_{j=1}^r I_{n+\deg x_j}, \quad y \rightarrow \sum [y, x_j]$$

is injective. This gives the result. □

### 5. $L$ -equivalence

It is immediate from Proposition 2.5 that an equivalence relation on the ideals of a cft graded Lie algebra,  $L$ , is defined by:

$$I \sim_L J \iff \text{for all ideals } K \subset L, I \cap K \sim J \cap K.$$

**Definition and notation.** The relation above will be called  *$L$ -equivalence* and the set of  $L$ -equivalence classes of ideals in  $L$  will be denoted by  $\mathcal{L}$ . If  $I$  is an ideal in  $L$  its  $L$ -equivalence class will be denoted by  $[I]$ . Finally, the number (possibly  $\infty$ ) of  $L$ -equivalence classes of ideals will be denoted by  $v_L$ , and for any subspace  $V \subset L$  the number of  $L$ -equivalence classes represented by  $L$ -ideals contained in  $V$  will be denoted by  $v_L(V)$ .

Our next aim is to establish the following two results.

**Proposition 5.1.** *Let  $L$  be a cft graded Lie algebra. Then the structure of a distributive lattice in  $\mathcal{L}$  is defined by*

$$[I] \leq [J] \iff J \cap I \sim_L I, \quad [I] \vee [J] = [I + J]$$

and

$$[I] \wedge [J] = [I \cap J].$$

**Proposition 5.2.** *Let  $J \subset I$  be ideals in a cft graded Lie algebra  $L$ . Then any maximal chain of strict inequalities in  $\mathcal{L}$  of the form*

$$[J] < [I(1)] < \dots < [I(r)] = [I]$$

has the same length. Moreover

$$r \leq \text{depth } I - \text{depth } J.$$

**Definition.** The length  $r$  in the chain above in Proposition 5.2 is called the *height* of  $[I]$  over  $[J]$ . When  $[J] = [0]$ ,  $r$  is called the *height* of  $[I]$  and denoted by  $\text{ht}[I]$ .

**Remark.** Clearly the height of  $[I]$  over  $[J]$  is just  $\text{ht}[I] - \text{ht}[J]$ .

Before proving Proposition 5.1 we establish some preliminary lemmas.

**Lemma 5.3.** *Suppose  $I$  and  $J$  are ideals in a cft graded Lie algebra. Then,*

- (i)  $\text{depth } I \leq \text{depth}(J + I)$ ,
- (ii) if  $\text{depth } I = \text{depth}(J + I)$  then  $J \cap I$  is full in  $J$ .

*In particular, if  $I \subset J$  and  $\text{depth } I = \text{depth } J$ , then  $I$  is full in  $J$ .*

*Proof.* By Proposition 4.4 there is a weak complement,  $E$ , for  $J \cap I$  in  $J$  that is also a weak complement for  $I$  in  $I + J$ . Thus

$$\text{depth } E + \text{depth } I = \text{depth}(E \oplus I) \leq \text{depth}(J + I).$$

It follows that  $\text{depth } I \leq \text{depth}(J + I)$  and if equality holds then  $\text{depth } E = 0$ . This implies that  $E$  is finite dimensional ([1]). Since  $E \oplus (J \cap I)$  is full in  $J$  it follows that  $J \cap I$  is full in  $J$ .  $\square$

**Lemma 5.4.** *Let  $L$  be a cft graded Lie algebra of finite depth  $m$ . Then  $[L, L]$  is full in  $L$ . In particular, if  $I$  and  $J$  are ideals in  $L$  then  $[I, J]$  is full in  $I \cap J$ .*

*Proof.* Let  $E$  be a weak complement for  $[L, L]$  in  $L$ . Since  $[E, E] \subset E \cap [L, L]$ ,  $E$  is abelian. Since  $E$  has finite depth it is finite dimensional [1]. Now because  $E \oplus [L, L]$  is full in  $L$ ,  $[L, L]$  is full in  $L$ . Finally, note that

$$[I \cap J, I \cap J] \subset [I, J] \subset I \cap J$$

to derive the last assertion.  $\square$

**Lemma 5.5.** *If  $I, J, K$  are ideals in  $L$ , then*

$$(I + J) \cap K \sim I \cap K + J \cap K.$$

*Proof.*  $(I + J) \cap K \sim [I + J, K] = [I, K] + [J, K] \sim I \cap K + J \cap K$ .  $\square$

**Lemma 5.6.** *Let  $I, J$  be ideals in a cft graded Lie algebra of finite depth. Then:*

- (i)  $I \sim_L J \iff I \sim_L (I + J) \sim_L J$ .
- (ii)  $I \sim_L J \iff I \sim_L (I \cap J) \sim_L J$ .
- (iii) If  $I \subset J$  and  $\text{depth } I = \text{depth } J$ , then  $I \sim_L J$ .
- (iv) If  $I(i) \sim_L J(i)$  are pairs of  $L$ -equivalent ideals in  $L$ , then

$$I(1) + \cdots + I(r) \sim_L J(1) + \cdots + J(r).$$

- (v) For any ideal  $K$ ,  $(I + J) \cap K \sim_L I \cap K + J \cap K$ .
- (vi) If  $I \sim_L J$  and  $K$  is any ideal in  $L$  then  $I \cap K \sim_L J \cap K$ .

*Proof.* (i) We need only show that  $I \sim_L J \implies I \sim_L (I + J)$ . If  $K$  is any ideal in  $L$ , then by Lemma 5.5 and Proposition 2.7,

$$I \cap K \sim I \cap K + I \cap K \sim I \cap K + J \cap K \sim (I + J) \cap K.$$

Thus  $I \sim_L I + J$ .

(ii) We need only prove that  $I \sim_L J \implies I \sim_L I \cap J$ . Again let  $K$  be an ideal in  $L$ . Then

$$(I \cap J) \cap K = I \cap (J \cap K) \sim J \cap (J \cap K) = J \cap K.$$

Thus  $I \cap J \sim_L J$ .

(iii) Let  $K$  be an ideal in  $L$ . Since  $I \subset I + (J \cap K) \subset J$  we have

$$\text{depth } I \leq \text{depth}(I + (J \cap K)) \leq \text{depth } J,$$

and so  $\text{depth } I = \text{depth}(I + (J \cap K))$ . It follows from Lemma 5.3 that  $I \cap (J \cap K)$  is full in  $J \cap K$ . But  $I \cap J = I$  and so  $I \cap K$  is full in  $J \cap K$ . Thus  $I \cap K \sim J \cap K$  for all  $K$ ; i.e.,  $I \sim_L J$ .

(iv) We need only show that if  $I \sim_L J$  and  $H$  is an ideal in  $L$ , then  $I + H \sim_L J + H$ . But for any ideal  $K$  we have by Lemma 5.5 and Proposition 2.7

$$K \cap (I + H) \sim (K \cap I) + (K \cap H) \sim (K \cap J) + (K \cap H) \sim K \cap (J + H).$$

Thus  $I + H \sim_L J + H$ .

(v) For any ideal  $H \subset L$  we have by Lemma 5.5

$$(I + J) \cap K \cap H \sim (I \cap K \cap H) + (J \cap K \cap H) \sim ((I \cap K) + (J \cap K)) \cap H.$$

Thus  $(I + J) \cap K \sim_L I \cap K + J \cap K$ .

(vi) For any  $L$ -ideal  $H$ ,  $(I \cap K) \cap H = I \cap (K \cap H) \sim J \cap K \cap H = (J \cap K) \cap H$ . □

*Proof of Proposition 5.1.* It follows from Lemma 5.6 (vi) that the condition  $I \cap J \sim_L I$  depends only on  $[I]$  and  $[J]$ ; thus the partial order is well defined. Clearly  $[0]$  and  $[L]$  are initial and terminal elements. It follows from Lemma 5.6 (iv) and Lemma 5.6 (vi) that  $[I] \vee [J]$  and  $[I] \wedge [J]$  only depend on  $[I]$  and  $[J]$  and Lemma 5.6 (v) shows that the lattice is distributive.  $\square$

*Proof of Proposition 5.2.* The first assertion is a standard fact about distributive lattices. The second follows from Lemma 5.6 (iii), which asserts that if  $[J] < [I]$  then  $\text{depth } J < \text{depth } I$ .  $\square$

**Theorem 5.7.** *Let  $L$  be a cft graded Lie algebra of finite depth  $m$  and height  $r$ . Then*

- (i)  $r \leq m$ .
- (ii)  $v_L \leq 2^r$ .
- (iii)  $v_L = 2^r$  if and only if  $L \sim_L I(1) \oplus \cdots \oplus I(r)$  where the  $I(i)$  are infinite dimensional ideals. In this case  $I(i)$  has height 1.
- (iv) If  $v_L = 2^m$  then  $\text{ht}[L] = \text{depth } L$  and the  $I(i)$  are infinite dimensional ideals of depth 1.

For the proof of Theorem 5.7 we require one more lemma.

**Lemma 5.8.** *Let  $L$  be a cft graded Lie algebra.*

- (i) If  $I \subset J$  are  $L$ -ideals then  $v_L(I) \leq v_L(J)$ .
- (ii) If  $I$  and  $J$  are  $L$ -ideals and  $I \sim_L J$  then  $v_L(I) = v_L(J)$ . In particular,  $v_L[I]$  is well defined.
- (iii) if  $I$  is the direct sum of  $L$ -ideals  $J$  and  $K$  ( $I = J \oplus K$ ), then  $v_L(I) = v_L(J)v_L(K)$ .

*Proof.* (i) The set of  $L$ -equivalence classes of  $L$ -ideals in  $I$  is clearly a subset of the  $L$ -equivalence classes of  $L$ -ideals in  $J$ . Thus  $v_L(I) \leq v_L(J)$ .

(ii) Since  $I \sim_L (I \cap J)$  (Lemma 5.6) any  $L$ -ideal  $H$  contained in  $I$  satisfies  $H = (H \cap I) \sim_L (H \cap I \cap J)$  (Lemma 5.6 (vi)). Thus the set of  $L$ -equivalence classes of  $L$ -ideals in  $I$  coincides with the set of  $L$ -equivalence classes of  $L$ -ideals in  $I \cap J$ , and so  $v_L(I) = v_L(I \cap J) = v_L(J)$ .

(iii) Any  $L$ -ideal  $H$  in  $I$  satisfies  $H \sim_L (H \cap J) \oplus (H \cap K)$ , and if  $G$  is another  $L$ -ideal in  $I$  such that  $G \cap J \sim_L H \cap J$  and  $G \cap K \sim_L H \cap K$  then  $G \sim_L (G \cap J) \oplus (G \cap K) \sim_L (H \cap J) \oplus (H \cap K) \sim_L H$ . It follows that  $v_L(I) = v_L(J)v_L(K)$ .  $\square$

*Proof of Theorem 5.7.* Proposition 5.2 asserts that  $\text{ht}[L] \leq \text{depth } L = m < \infty$ . This is statement (i).

Next let  $0 < [J(1)] < \dots < [J(r)] = [L]$  be a maximal chain of strict inclusions in  $\mathcal{L}$ , and let  $\mathcal{L}(k)$  denote the subset of  $\mathcal{L}$  of elements  $[J] \leq [J(k)]$ . Then, for any  $k$ ,  $1 \leq k \leq r$ , let  $[K] \in \mathcal{L}$  be an element of minimum height satisfying the two conditions:

$$[K] \leq [J(k)] \quad \text{and} \quad [K] \not\leq [J(k-1)].$$

We shall show that the map  $\varphi(k): \mathcal{L}(k-1) \times \mathbb{Z}_2 \rightarrow \mathcal{L}(k)$  given by

$$([J], 0) \mapsto [J] \quad \text{and} \quad ([J], 1) \mapsto [J] \vee [K]$$

is a surjection.

In fact, our conditions above imply that  $[J(k-1)] \vee [K] = [J(k)]$ . Thus for any  $[J] \in \mathcal{L}(k)$  we have  $[J] = ([J] \wedge [J(k-1)]) \vee ([J] \wedge [K])$ . If  $[J] \wedge [K] \not\leq [J(k-1)]$  then it too satisfies the conditions above and has height  $\leq \text{ht}[K]$ . But  $\text{ht}[K]$  was a minimum; thus  $[J] \wedge [K] = [K]$  in this case and it follows that  $\varphi(k)$  is indeed a surjection. In particular,  $v_L[J(k)] \leq 2v_L[J(k-1)]$  and so  $v_L(L) \leq 2^r v_L(0) = 2^r$ . This proves (ii).

For (iii), suppose first that  $v_L = 2^r$ . Reversing the argument above we see that  $v_L[J(k)] = 2v_L[J(k-1)]$ , each  $k$ , and so each  $\varphi(k)$  is a bijection. But clearly

$$\varphi(k)([0], 1) = [K] = ([J(k-1)] \wedge [K]) \vee [K] = \varphi(k)([J(k-1)] \wedge [K], 1).$$

Thus  $J(k-1) \cap K \sim 0$ ; i.e., it is finite dimensional and concentrated in degrees  $< n$ , some  $n$ . Now set  $I(k) = J(k) \cap K_{\geq n}$ . Then  $I(k) \sim_L K_{\geq n} \sim_L K$  and so  $[J(k)] = [J(k-1)] \oplus [I(k)]$ . This also implies that  $I(k)$  is not  $L$ -equivalent to zero; i.e.,  $\dim I(k)$  is infinite. Finally, by construction  $[L] = [I(1)] \oplus \dots \oplus [I(r)]$ .

Conversely, suppose  $L \sim_L [I(1)] \oplus \dots \oplus [I(r)]$ , where each  $I(i)$  is an infinite dimensional ideal. Then  $[0] < [I(i)]$ , each  $i$ , and so  $v_L[I(i)] \geq 2$ . By Lemma 5.8 (iii), and part (ii),  $2^r \geq v_L = \prod_{i=1}^r v_L[I(i)] \geq 2^r$ . Thus these inequalities are equalities and  $2^r = v_L$  and  $2 = v_L[I(i)]$ ,  $1 \leq i \leq r$ . This implies that each  $I(i)$  has height 1.

(iv) If  $v_L = 2^m$  we must have  $m = r$ . Since the  $I(i)$  are infinite dimensional,  $\text{depth } I(i) \geq 1$  and because  $m = \text{depth } L = \sum_{i=1}^m \text{depth } I(i)$  (by Lemma 5.8) we have  $\text{depth } I(i) = 1$ , each  $i$ . □

**Corollary.** *Let  $L$  be a cft graded Lie algebra and assume  $L \sim_L [I(1)] \oplus \dots \oplus [I(r)]$ , where the  $I(i)$  are infinite dimensional ideals of height 1. Then  $\text{ht}[L] = r$  and every element  $[I] \in \mathcal{L}$  of height  $s \geq 1$  is uniquely of the form  $[I] = [I_{i_1}] \vee \dots \vee [I_{i_s}]$ .*

*Proof.* It is a trivial consequence of the distributive law that

$$[I_{i_1}] \vee \dots \vee [I_{i_s}] = [I_{j_1}] \vee \dots \vee [I_{j_q}]$$

if and only if  $s = q$  and  $\{i_1, \dots, i_s\} = \{j_1, \dots, j_q\}$ . Thus the elements of the form  $[I_{i_1}] \vee \dots \vee [I_{i_s}]$ ,  $1 \leq s \leq r$  are  $2^r - 1$  distinct elements of  $\mathcal{L}$ , and so  $\nu_L \geq 2^r$ .

On the other hand, because each  $I(i)$  has height 1, it is also an immediate consequence of the distributive law that  $0 < [I(1)] < \dots < [I(1)] \vee \dots \vee [I(k)] < \dots < [L]$  is a chain of maximum length, so that  $\text{ht}[L] = r$  and  $\nu_L \leq 2^r$ . Thus  $\nu_L = 2^r$  and  $\mathcal{L} = \{[0], [I_{i_1}] \vee \dots \vee [I_{i_s}]\}$ . □

**Remark.** Theorem 5.7 and its corollary show that the cft graded Lie algebras  $L$  satisfying  $\text{ht}[L] = r$  and  $\nu_L = 2^r$  are the analogues in this setting of the classical semi-simple Lie algebras. Note that this includes as a special case the cft graded Lie algebras  $L$  with  $\text{depth } L = m$  and  $\nu_L = 2^m$ .

**Proposition 5.9.** *Let  $L$  be a cft graded Lie algebra. If*

$$2\text{ht}[L] \leq \text{depth } L - 1$$

*then  $L$  contains a free Lie algebra on two generators.*

**Lemma 5.10.** *Suppose  $J \subset I$  are ideals in a cft graded Lie algebra satisfying  $[J] < [I]$  and  $\text{depth } J + 1 = \text{depth } I$ . Then  $I$  contains an infinite dimensional Lie subalgebra of depth 1.*

*Proof.* Since  $[J] < [I]$  there is an ideal  $H \subset L$  such that  $J \cap H$  is not full in  $I \cap H$ . Set  $K = I \cap H$ ; then  $J \cap K$  is not full in  $K$ . Thus a weak complement,  $E$ , for  $J \cap K$  in  $K$  is infinite dimensional.

Next note that since  $J \subset J + K \subset I$ , either  $\text{depth } J = \text{depth}(J + K)$  or  $\text{depth}(J + K) = \text{depth } I$ . The first equality would imply  $J \sim_L (J + K)$  (Lemma 5.7) and thus (intersection with  $K$ )  $J \cap K \sim_L K$ , which is impossible because  $J \cap K$  is not full in  $K$ . Thus

$$\text{depth}(J + K) = \text{depth } J + 1.$$

But since  $E$  may be chosen to also be a weak complement for  $J$  in  $J + K$  (Proposition 4.4), Theorem 4.3 yields

$$\text{depth } E + \text{depth } J \leq \text{depth}(J + K) = \text{depth } J + 1.$$

This gives  $\text{depth } E \leq 1$ . But  $E$  is infinite dimensional and thus  $\text{depth } E = 1$ . □

*Proof of Proposition 5.9.* Let  $0 < [I(1)] < \dots < [I(r)] = [L]$  be a chain of strict inclusions in  $\mathcal{L}$ , with  $r = \text{ht}[L]$ . We may assume  $I(1) \subset \dots \subset I(r)$ , and then it follows from Lemma 5.7 that  $0 < \text{depth } I(1) < \dots < \text{depth } I(r)$ . In view of our hypothesis either  $\text{depth } I(1) = 1$  or for some  $i$ ,  $\text{depth } I(i + 1) = \text{depth } I(i) + 1$ . Lemma 5.8 then implies that  $I(i + 1)$  contains an infinite dimensional Lie subalgebra of depth 1. Finally according to [7] each infinite dimensional Lie subalgebra of depth 1 contains a free Lie algebra on two generators. □



### 6. The hyperradical

Recall that the *radical* of a cft graded Lie algebra  $L$  is the sum of its solvable ideals. In [1], Theorem C, it is shown that if  $\text{depth } L < \infty$ , then the radical of  $L$  is finite dimensional.

**Definition 6.1.** The *hyperradical*  $R$  of cft graded Lie algebra,  $L$ , is the sum of the ideals  $I \subset L$  satisfying

$$\log \text{index } I < \log \text{index } L.$$

By convention,  $R = \{0\}$  if there is no infinite dimensional ideal  $I$  of  $L$  with  $\log \text{index } I < \log \text{index } L$ . Clearly  $R$  is an ideal.

**Theorem 6.2.** *Let  $R$  be the hyperradical of an infinite dimensional cft graded Lie algebra  $L$  of finite depth, and let  $(x)$  denote the ideal in  $L$  generated by  $x \in L$ . Then*

- (i)  $x \in R$  if and only if  $\log \text{index}(x) < \log \text{index } L$ ,
- (ii)  $\log \text{index } R < \log \text{index } L$ , and  $\text{depth } R < \text{depth } L$ .

*Proof.* (i) Suppose  $x$  is a finite sum  $x = \sum_{i=1}^p x_i$  where  $x_i$  belongs to an ideal  $I_i$  with  $\log \text{index } I_i < \log \text{index } L$ . There is then an integer  $N$  and a non negative real number  $\varepsilon$  such that for  $n \geq N$  and  $i \leq p$ , we have

$$\frac{\log \dim(I_i)_n}{n} \leq \log \text{index } L - \varepsilon.$$

If  $I = I_1 + \dots + I_p$ , this implies that  $\log \text{index } I < \log \text{index } L$ . In particular,  $\log \text{index}(x) < \log \text{index } L$ .

(ii) By [9], Lemma 4,  $R$  contains a finitely generated Lie subalgebra  $E$  for which  $\text{Ext}_{UR}^*(\mathbb{k}, UR) \rightarrow \text{Ext}_{UE}^*(\mathbb{k}, UR)$  is non-zero. Let  $x_1, \dots, x_r \in R$  generate  $E$ . If  $I = (x_1) + \dots + (x_r)$ , it follows a fortiori that  $\text{Ext}_{UR}^*(\mathbb{k}, UR) \rightarrow \text{Ext}_{UI}^*(\mathbb{k}, UR)$  is non-zero. Thus by Proposition 4.4,  $I$  is full in  $R$ . Now Proposition 2.10 and the argument in (i) above give  $\log \text{index } R = \log \text{index } I < \log \text{index } L$ . Thus  $R$  is not full in  $L$ , and so Lemma 4.6 shows that  $\text{depth } R < \text{depth } L$ . □

**Corollary 6.3.** *Let  $L$  be an infinite dimensional cft graded Lie algebra of finite depth. For any  $\lambda \geq 0$ , let  $J \subset L$  be the sum of all the ideals  $I$  satisfying  $\log \text{index } I \leq \lambda$ . Then  $\log \text{index } J \leq \lambda$ .*

*Proof.* If  $\log \text{index } J > \lambda$ , then  $J$  is its own hyperradical, which is impossible by Theorem 6.2 (ii). □

**Proposition 6.4.** *Let  $L$  be a cft graded Lie algebra of finite depth. Then  $L$  contains a full Lie subalgebra whose hyperradical is zero.*

*Proof.* Let  $E \subset L$  be a full Lie subalgebra of minimal depth, let  $R$  be the hyperradical of  $E$ , and let  $F$  be a weak complement for  $R$  in  $E$ . Since  $R \oplus F$  is full in  $E$  and since  $\log \text{index } R < \log \text{index } E$ , it follows that  $F$  is full in  $E$ . Moreover, Theorem 4.2 asserts that  $\text{depth } F + \text{depth } R \leq \text{depth } E$ .

But our hypothesis on  $E$  yields that  $\text{depth } F \geq \text{depth } E$ , and it follows that  $\text{depth } R = 0$ ; i.e.,  $R$  is finite dimensional and concentrated in odd degrees. Choose  $n$  so that  $R_{\geq n} = 0$ . Then  $E_{\geq n}$  is a full Lie subalgebra of  $E$  and, since it is an ideal,  $\text{depth } E_{\geq n} \leq \text{depth } E$ ; thus  $E_{\geq n}$  also has minimal depth among its full Lie subalgebra s. Thus if  $S \subset E_{\geq n}$  is its hyperradical,  $S$  is also finite dimensional and concentrated in odd degrees.

The ideal  $I$  in  $E$  generated by  $S$  is the image of the linear map  $UE \otimes_{UE_{\geq n}} S \rightarrow UE$ , and hence has polynomial growth. Since  $\text{depth } I < \infty$  this implies ([6]) that  $\dim I < \infty$ ; i.e.,  $I \subset R$ . Thus  $S \subset R_{\geq n} = 0$  and so the hyperradical of  $E_{\geq n}$  is zero. □

**Proposition 6.5.** *Let  $L$  be an infinite dimensional cft graded Lie algebra of finite depth  $m$ . Then at most  $m$  pairs  $(\alpha, \beta)$  can satisfy*

$$\alpha = \log \text{index } I \quad \text{and} \quad \beta = \log \text{index } I$$

for some ideal  $I$ .

*Proof.* Suppose  $I_1, \dots, I_r$  are ideals with respective log indices and lower log indices ordered by lexicographic order  $(\alpha_1, \beta_1) < \dots < (\alpha_r, \beta_r)$ . Then we can replace the sequence of ideals by the following sequence with the same sequence of log indices  $I_1 \subset I_1 + I_2 \subset \dots \subset I_1 + \dots + I_r$ . Since the  $(\alpha_i, \beta_i)$  are distinct, no  $I_1 + \dots + I_j$  is full in  $I_1 + \dots + I_{j+1}$ . Therefore, by Lemma 4.6,  $r \leq m$ . □

**Example 6.6.** Let  $X$  be the space

$$S_a^3 \vee S_b^3 \vee S_z^5 \cup_{[a,z]} e^8 \cup_{[a,[a,z]]} e^{10} \cup_{[b,[a,z]]} e^{10}.$$

Then  $L_X$  has depth 2 and the lattice  $\mathcal{L}$  has exactly three elements.

The Sullivan minimal model of  $X$  is quasi-isomorphic to the differential graded algebra  $(A, d) = (\wedge(x, y, z, t)/(xy, tz), d)$  where  $\deg x = \deg y = 3, \deg z = 5, \deg t = 7, dx = dy = dz = 0, d(t) = yz$ . The algebra  $(A, d)$  is a semifree  $(\wedge(x, y)/(xy), 0)$ -module ([5]). This gives a rational fibration

$$F = S^5 \vee S^7 \rightarrow X \rightarrow B = S^3 \vee S^3.$$

The ideal  $L_F$  has not the same log index as  $L_X$ , and so is neither  $L$ -equivalent to  $L_X$  or to 0. The exact sequence  $0 \rightarrow L_F \rightarrow L_X \rightarrow L_B \rightarrow 0$  implies at once that

$$[0] < [L_F] < [L_X]$$

are the only elements of  $\mathcal{L}$ . In particular  $L_F$  is the hyperradical of  $L_X$ .

## 7. The odd and even part of a graded Lie algebra

**Theorem 7.1.** *Let  $L$  be a cft graded Lie algebra of finite depth.*

- (i) *Either  $L_{\text{odd}}$  is contained in a finite dimensional ideal of  $L$ , or else for some  $d$  the integers  $\sum_{j=k+1}^{k+d} \dim(L_{\text{odd}})_j$  grow faster than any polynomial in  $k$ .*
- (ii) *The Lie subalgebra  $L_{\text{even}}$  is full in  $L$ .*

*Proof.* Let  $I$  be the Lie subalgebra generated by  $L_{\text{odd}}$ ;  $I$  is clearly an ideal in  $L$  and hence has finite depth. Choose  $x_1, \dots, x_n$  of odd degrees  $e_1 \leq \dots \leq e_n$  that generate a Lie subalgebra  $F$  for which  $\text{Ext}_*^{UI}(\mathbb{k}, UI) \rightarrow \text{Ext}_*^{UF}(\mathbb{k}, UI)$  is non-zero. The centralizer of the  $x_i$  in  $I$  is therefore finite dimensional, which implies that for some  $N$  the linear map  $x \mapsto ([x, x_1], \dots, [x, x_n])$  is an injection  $I_k \rightarrow I_{k+e_1} \oplus \dots \oplus I_{k+e_n}$ ,  $k \geq N$ . Since the  $e_i$  are odd, it follows that, for  $k \geq N$ ,

$$\dim(I_{\text{odd}})_k \leq \sum_{j=k+e_1}^{k+e_n} \dim(I_{\text{even}})_j \quad \text{and} \quad \dim(I_{\text{even}})_k \leq \sum_{j=k+e_1}^{k+e_n} \dim(I_{\text{odd}})_j,$$

which implies that both  $I_{\text{odd}}$  and  $I_{\text{even}}$  are full in  $I$ .

Now suppose  $I$  is infinite dimensional. Then according to [6] for some  $d$  the integers  $\sum_{j=k}^{k+d} \dim I_j$  grow faster than any polynomial in  $k$ . Since  $\dim I_{2j} \leq \sum_{i=2j+e_1}^{2j+e_n} \dim(I_{\text{odd}})_i$ , it follows that  $(d+2) \sum_{j=k}^{k+d+e_n} \dim(I_{\text{odd}})_j$  grow faster than any polynomial in  $k$ . And, of course,  $I_{\text{odd}} = L_{\text{odd}}$ .

Finally, let  $E$  be a weak complement for  $I$  in  $L$ . Then  $E \subset L_{\text{even}}$  and  $E \oplus I$  is full in  $L$ . Since  $I_{\text{even}}$  is full in  $I$  it follows that  $E \oplus I_{\text{even}}$  is full in  $L$  and so  $L_{\text{even}}$  is full in  $L$ .  $\square$

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