

# ASSOCIATIVE ALGEBRAS SATISFYING A SEMIGROUP IDENTITY

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**Abstract.** Denote by  $(R, \cdot)$  the multiplicative semigroup of an associative algebra  $R$  over an infinite field, and let  $(R, \circ)$  represent  $R$  when viewed as a semigroup via the circle operation  $x \circ y = x + y + xy$ . In this paper we characterize the existence of an identity in these semigroups in terms of the Lie structure of  $R$ . Namely, we prove that the following conditions on  $R$  are equivalent: the semigroup  $(R, \circ)$  satisfies an identity; the semigroup  $(R, \cdot)$  satisfies a reduced identity; and, the associated Lie algebra of  $R$  satisfies the Engel condition. When  $R$  is finitely generated these conditions are each equivalent to  $R$  being upper Lie nilpotent.

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**1. Introduction and statement of results.** A well-known result due to Levitzki [3] states that every finitely generated bounded nil ring is nilpotent. Not long ago, Zel'manov proved the Lie-theoretic analogue: every finitely generated Lie ring satisfying the bounded Engel condition is nilpotent [19]. The corresponding problem in the category of groups is the famous Burnside problem. The construction by Adian and Novikov of infinite finitely generated groups of finite exponent provided a negative solution to this problem. See [1].

The Burnside problem has some natural generalizations. For example, the problem of whether or not every Engel group is locally nilpotent remains open [17]. Because every nilpotent group is known to satisfy a semigroup identity [5, 8], a weaker version of this problem has also been posed: does every Engel group satisfy a semigroup identity [6, Problem 2.82]? Even the following question remains open: can an Engel group contain a free (noncommutative) subsemigroup? See [10].

Recently, the present authors settled the ring-theoretic analogues of these problems.

Recall that a ring  $R$  satisfies the *Engel identity* of degree  $n$  if and only if

$$e_n := [x, \underbrace{y, y, \dots, y}_n]$$

is identically zero in  $R$ ; whereas,  $R$  is said to be *upper Lie nilpotent* if the descending central series of associative ideals  $\{\gamma^i(R)\}$  in  $R$  defined by  $\gamma^1(R) = R$ ,  $\gamma^{i+1}(R) = \langle [\gamma^i(R), R] \rangle$  reaches zero in finitely many steps. In addition to the usual multiplicative semigroup,  $(R, \cdot)$ ,  $R$  forms a semigroup, denoted by  $(R, \circ)$ , under the circle operation  $x \circ y = x + y + xy$ . We proved in [14] that every finitely generated

associative ring  $R$  satisfying the Engel condition is upper Lie nilpotent. From this result we were able to infer that whenever  $R$  satisfies an Engel identity then both the associated circle and multiplicative semigroups of  $R$  must satisfy a so-called Morse identity.

Define sequences  $f_n$  and  $g_n$  by  $f_1(x, y) = xy$ ,  $g_1(x, y) = yx$ , and

$$f_{n+1}(x, y, x_3, \dots, x_{n+2}) = f_n(x, y, x_3, \dots, x_{n+1})x_{n+2}g_n(x, y, x_3, \dots, x_{n+1}),$$

$$g_{n+1}(x, y, x_3, \dots, x_{n+2}) = g_n(x, y, x_3, \dots, x_{n+1})x_{n+2}f_n(x, y, x_3, \dots, x_{n+1}),$$

for all  $n \geq 1$ . The  $n$ th *Mal'cev identity* [5] is the semigroup identity

$$f_n(x, y, x_3, \dots, x_{n+1}) = g_n(x, y, x_3, \dots, x_{n+1}),$$

while the  $n$ th *Morse identity*  $u_n(x, y) = v_n(x, y)$  [7] is the  $n$ th Mal'cev identity with  $x_3 = \dots = x_{n+1} = 1$ .

Consequently, neither  $(R, \cdot)$  nor  $(R, \circ)$  can contain a free subsemigroup if  $R$  satisfies an Engel identity.

The problem of characterizing finitely generated groups satisfying an arbitrary semigroup identity has been studied by several authors (see, for example, [4], [18] and [16]). Because this class of groups contains the Burnside groups, this problem is highly nontrivial, especially in the light of the recent construction by Ol'shanskii and Storozhev of a 2-generated group satisfying a semigroup identity that is not a periodic extension of a locally soluble group [9].

Algebras over fields of characteristic zero which satisfy a circle semigroup law, and a more general semigroup condition called *collapsibility*, were studied previously by the first author in [12]. In sharp contrast to the combinatorial methods employed in this paper, the techniques used in [12] rely heavily on deep structure theorems from both group and ring theory. In this article we study associative algebras that satisfy an arbitrary semigroup identity. In fact, we obtain a partial converse to our result in [14].

Throughout the remainder of this paper,  $K$  will denote an infinite commutative domain and  $R$  an associative  $K$ -algebra on which the action of  $K$  is torsion-free; (this occurs, for example, when  $K$  is an infinite field). All identical relations in algebraic objects will be assumed to be nontrivial unless otherwise stated. A semigroup  $S$  satisfies an identity if and only if there are distinct words  $u, v$  in the free semigroup on

$$X = \{x = x_1, y = x_2, x_3, x_4, \dots\}$$

so that  $u = v$  in  $S$ . The semigroup identity is *left reduced* if the first letters of  $u$  and  $v$  are different, *right reduced* if the last letters of  $u$  and  $v$  are different and simply *reduced* if it is both left and right reduced. In other words,  $u = v$  is reduced if and only if  $uv^{-1}$  and  $v^{-1}u$  are reduced words in the free group on  $X$ . If  $(R, \cdot)$  (respectively  $(R, \circ)$ ) satisfies an identity we often say that  $R$  satisfies a *semigroup identity* (respectively, a *circle semigroup identity*). Clearly each of these corresponds to a polynomial identity in  $R$ . A generalization of a multiplicative semigroup identity in  $R$  is a *binomial identity*, a polynomial identity of the form  $\alpha_1 u_1 + \alpha_2 u_2 = 0$ , where  $u_1, u_2$  are monomials and  $\alpha_1, \alpha_2 \in K$ . The various types of reduced binomial identities are defined in the obvious way.

Tasić and the first author proved in [13] that  $R$  is Lie nilpotent of class at most  $n$  if and only if  $(R, \circ)$  satisfies the  $n$ th Mal'cev identity. The main result in the present article further demonstrates the close relationship between the Lie structure of  $R$  and semigroup properties of  $R$ .

**THEOREM 1.1.** *Let  $R$  be a  $K$ -algebra. Then the following statements are equivalent.*

- (i)  $R$  satisfies a circle semigroup identity;
- (ii)  $R$  satisfies a reduced semigroup identity;
- (iii)  $R$  satisfies a reduced binomial identity;
- (iv)  $R$  satisfies an identity of the form  $\sum_{i=0}^n \alpha_i y^i x y^{n-i} = 0$ ,  $\alpha_i \in K$ ,  $\alpha_0 \neq 0$ ,  $\alpha_n \neq 0$ ;
- (v)  $R$  satisfies an Engel identity;
- (vi)  $(R, \circ)$  satisfies a Morse identity.

Furthermore, for any two conditions A, B from (i)–(vi), our proof gives (sometimes theoretical) bounds for the degree of the identity in B in terms of the degree of the identity in A. In particular, these bounds do not depend on  $R$ ,  $K$  or the characteristic of  $K$ . Notice, too, that since every finite semigroup (in particular  $(R, \circ)$ , where  $R$  is a finite ring) satisfies an identity, some hypothesis on the coefficient ring  $K$  is required. The following example demonstrates that the distinction between reduced and arbitrary multiplicative semigroup identities is also necessary.

**EXAMPLE 1.2.** Let  $R$  be the subalgebra of the matrix algebra  $M_2(K)$  spanned by the matrix units  $e_{11}$  and  $e_{12}$ . Then  $[R, R] \subseteq Ke_{12}$ , and so  $R$  satisfies the semigroup identity  $[x, y]z = xyz - yxz = 0$ .  $R$  does not satisfy any Engel identity, since  $[e_{11}, e_{12}] = e_{12}$ . Thus, by Theorem 1.1,  $R$  does not satisfy any reduced semigroup identity, nor any circle semigroup identity.

**THEOREM 1.3.** *Let  $R$  be a  $K$ -algebra, where  $K = p > 0$ . Then the following statements are equivalent.*

- (i)  $R$  satisfies a semigroup identity;
- (ii)  $R$  satisfies a binomial identity;
- (iii)  $R$  satisfies an identity of the form  $\sum_{i=0}^n \alpha_i y^i x y^{n-i} = 0$ ,  $\alpha_i \in K$ ;
- (iv)  $R$  satisfies an identity of the form  $y^m e_m y^m = 0$ .

We remark that the characteristic zero analogue of Theorem 1.3. is stated in [2]; however, their result corresponding to our implication (iv)  $\Rightarrow$  (i) is not proved and does not seem obvious to the present authors.

The fact that  $R$  is non-unital is essential to Example 1.2, as indicated by the following proposition.

**PROPOSITION 1.4.** *Let  $R$  be a unital  $K$ -algebra. If  $R$  satisfies a semigroup identity then  $R$  satisfies the corresponding reduced semigroup identity.*

**THEOREM 1.5.** *There exists a function  $f$ , depending only on natural numbers  $d$  and  $n$ , such that if a  $K$ -algebra  $R$  satisfies a circle semigroup identity of degree  $n$  and  $R$  is generated over  $K$  by  $d$  elements then  $R$  is upper Lie nilpotent of index at most  $f(d, n)$ .*

**2. Semigroup identities.** Our hypotheses on  $K$  were chosen to imply, by the usual Vandermonde determinant argument, that every homogeneous component of a polynomial identity for  $R$  is also a polynomial identity for  $R$  (see [11, 6.4.14]). We shall use this key fact freely, without explicit mention.

By a *partial linear identity* we shall mean an identity of the form

$$\sum_{i=0}^n \alpha_i y^i x y^{n-i} = 0,$$

with  $\alpha_i \in K$ . Such an identity will be called *left reduced* if  $\alpha_0 \neq 0$ , *right reduced* if  $\alpha_n \neq 0$  and *reduced* if it is both left and right reduced.

**PROPOSITION 2.1.** *Let  $R$  be a  $K$ -algebra.*

- (i) *If a semigroup  $S$  satisfies an identity in  $x, y, x_3, \dots$  that is left reduced, right reduced or reduced, then  $S$  satisfies an identity, of the same type, in  $x$  and  $y$  only.*
- (ii) *If  $R$  satisfies a binomial identity then  $R$  is bounded nil or  $R$  satisfies a semigroup identity.*
- (iii) *If  $R$  satisfies a binomial identity that is left reduced, right reduced or reduced, then  $R$  satisfies a partial linear identity of the same type.*
- (iv) *If  $R$  satisfies the identity  $y^n = 0$ , then  $R$  satisfies  $e_{2n-1} = 0$ .*

*Proof.* Suppose without loss of generality that our left reduced identity has the form

$$x x_{i_1} \cdots x_{i_m} = y x_{j_1} \cdots x_{j_n}.$$

Recall that we identify  $x = x_1$  and  $y = x_2$ . Substituting  $x_i = x y^i$ , ( $i \geq 3$ ), we obtain a left reduced identity in  $x$  and  $y$  only. If the original identity were right reduced as well, then  $x_{i_m} \neq x_{j_n}$ . Thus, by an appropriate permutation of the variables, we obtain an equivalent identity of the form

$$x_{k_1} \cdots x_{k_m} x = x_{l_1} \cdots x_{l_n} y.$$

Substituting  $x_i = x y^i$ , ( $i \geq 3$ ), into this identity and then concatenating on the right with the 2-variable left reduced identity yields the 2-variable reduced identity:

$$x x_{i_1} \cdots x_{i_m} x_{k_1} \cdots x_{k_m} x = y x_{j_1} \cdots x_{j_n} x_{l_1} \cdots x_{l_n} y.$$

This and symmetry prove (i).

Next, given a binomial identity  $\alpha_1 u_1 + \alpha_2 u_2 = 0$  holding in  $R$ , set all variables equal, to  $y$  say. If the identity is not homogeneous, then separating components shows that  $R$  is bounded nil. On the other hand, if it is homogeneous then  $(\alpha_1 + \alpha_2) y^n = 0$ , for some  $n$ , so that either  $R$  is bounded nil or  $\alpha_1 = -\alpha_2$ , in which case  $u_1 - u_2 = 0$  holds in  $R$ . This proves (ii).

In order to prove (iii), suppose that  $R$  satisfies a given binomial identity. Observe from (ii) that either  $R$  is bounded nil, in which case  $R$  satisfies a partial linear identity by (1) in the proof of (iv) below, or  $R$  satisfies a semigroup identity,

which by (i) can be taken to be of the form  $u(x, y) - v(x, y) = 0$ . Thus we may assume that  $R$  is not bounded nil, and hence that the semigroup identity is homogeneous. We assert that the homogeneous component of degree 1 in  $x$  of the identity  $u(x + y, y) - v(x + y, y) = 0$  is a partial linear identity. To see why it is nontrivial, write  $u = au'$ ,  $v = av'$ , where  $a$  has length  $m$  and  $u' = v'$  is a left reduced equation. If (as we may assume without loss of generality)  $u'$  starts with  $x$  and  $v'$  with  $y$ , then in the expansion of  $u(x + y, y)$  there is precisely one monomial starting with  $y^m x$ , whereas no monomial in the expansion of  $v(x + y, y)$  begins with  $y^m x$ . This, and symmetry, yields (iii).

To prove the well-known fact (iv), let  $l, r$  denote respectively the  $K$ -linear operators of left and right multiplication by  $y$ . Then, since  $l$  and  $r$  commute, we obtain

$$e_m = (r - l)^m(x) = \sum_{i=0}^m (-1)^i \binom{m}{i} l^i r^{m-i}(x) = \sum_{i=0}^m (-1)^i \binom{m}{i} y^i x y^{m-i}. \quad (1)$$

Thus if  $m = 2n - 1$  and  $R$  satisfies  $y^n = 0$ , then every term in the sum on the right is zero.

Proposition 1.4. is a consequence of the following result.

**PROPOSITION 2.2.** *Let  $R$  be a  $K$ -algebra.*

- (i) *If  $(R, \circ)$  satisfies a semigroup identity, then  $(R, \cdot)$  satisfies the same identity.*
- (ii) *If  $(R, \circ)$  satisfies a semigroup identity then  $(R, \circ)$  satisfies the corresponding reduced identity.*
- (iii) *If  $R$  is unital, then  $(R, \circ) \cong (R, \cdot)$ .*

*Proof.* Let  $S$  be the unital hull of  $R$ ; that is,  $S = R$  if  $R$  is unital and  $S = K1 \oplus R$  if  $R$  is nonunital. The map  $\iota: r \mapsto 1 + r$  is an injective semigroup map from  $(R, \circ)$  into  $(S, \cdot)$  that is onto if (and only if)  $R = S$ . This proves (iii). The image under  $\iota$  of an identity in  $(R, \circ)$  is an identity in  $(1 + R, \cdot) \subseteq (S, \cdot)$ . Only the bottom degree homogeneous component of this identity involves 1 and the other homogeneous components yield identities in  $(R, \cdot)$ . The highest degree component is precisely the original identity, yielding (i).

Assume that  $u(x, y) = v(x, y)$  is an identity for  $(R, \circ)$  of degree  $n$ . Write  $u = au'b$ ,  $v = av'b$ , where  $u' = v'$  is a reduced equation. We show that  $u' = v'$  also holds in  $(R, \circ)$ . It suffices, by symmetry and by induction on the maximum length of  $a$  and  $b$ , to prove this in the case when  $a = x$  and  $b$  is empty. The identity  $xu'(x, y) = xv'(x, y)$  in  $(R, \circ)$  is equivalent to the polynomial identity

$$(1 + x)u'(1 + x, 1 + y) - (1 + x)v'(1 + x, 1 + y) = 0$$

in  $R$ . Let  $m$  be an even integer with  $m \geq n + 1$ . Then multiplying the last identity on the left by  $1 - x + x^2 - \dots + x^m$  yields the polynomial identity

$$(1 + x^{m+1})u'(1 + x, 1 + y) - (1 + x^{m+1})v'(1 + x, 1 + y) = 0.$$

Separating homogeneous components and using the fact that  $x^{m+1}$  has higher  $x$ -degree than  $u'$  and  $v'$ , we obtain the polynomial identity

$$u'(1 + x, 1 + y) - v'(1 + x, 1 + y) = 0$$

in  $R$ , which is equivalent to  $u' = v'$  holding in  $(R, \circ)$ . This proves (ii). □

The following lemma is crucial to our main theorems and is best possible in view of Example 1.2. A simpler argument, as in [2], is available in characteristic zero. That argument fails in positive characteristic, where the situation is more delicate.

LEMMA 2.3. *Suppose that  $R$  satisfies  $y^m \alpha y^k = 0$ , where  $\alpha = \sum_{i=0}^n \alpha_i y^i x y^{n-i}$ .*

- (i) *If  $\alpha$  is right reduced, then  $R$  satisfies  $y^{m+n} e_n y^k = 0$ .*
- (ii) *If  $\alpha$  is left reduced, then  $R$  satisfies  $y^m e_n y^{n+k} = 0$ .*
- (iii) *If  $\alpha$  is reduced, then  $R$  satisfies  $y^m e_{3n-1} y^k = 0$ .*

*Proof.* By symmetry, the proof of (ii) is entirely analogous to that of (i). If the conclusions of (i) and (ii) hold, then the conclusion of (iii) follows from equation (1):

$$y^m e_{3n-1} y^k = y^m \sum_{i=0}^{2n-1} (-1)^i \binom{2n-1}{i} y^i e_n y^{2n-1-i} y^k = 0.$$

Thus it suffices to prove the conclusion of (i).

First assume that  $m = k = 0$ . Make the substitution  $y \mapsto y(y + 1)$ . Expanding  $\sum_{i=0}^n \alpha_i y^i (y + 1)^i x y^{n-i} (y + 1)^{n-i} = 0$  by the binomial theorem and separating homogeneous components yields identities  $v_0 = 0, \dots, v_n = 0$  for  $R$ , where  $v_r$  is homogeneous of degree  $n + r$  in  $y$ . We claim that

$$\sum_{r=0}^n (-1)^r v_r y^{n-r} = \alpha_n y^n e_n. \tag{2}$$

To establish equation (2), it suffices to show that the coefficients of  $y^a x y^{2n-a}$  on each side are equal, whenever  $0 \leq a \leq 2n$ .

First note that by equation (1), the coefficient of  $y^a x y^{2n-a}$  in  $y^n e_n$  is  $(-1)^{a-n} \binom{n}{a-n}$  if  $a \geq n$  and 0 otherwise. With the usual convention on binomial coefficients, the expression  $(-1)^{a-n} \binom{n}{a-n}$  is valid for all  $a$ . Using the same convention we may sum over all values of any index occurring.

Now we calculate the coefficient of  $y^a x y^{2n-a}$  in  $v_r y^{n-r}$  or, what is the same, the coefficient of  $y^a x y^{n+r-a}$  in  $v_r$ . The binomial theorem expansion above shows that the coefficient of  $y^s x y^t$  is precisely  $\sum_{i+j=n} \alpha_i \binom{i}{s-i} \binom{j}{t-j}$ . Putting  $s = a$  and  $t = r + n - a$ , we obtain the desired coefficient as  $\sum_i \alpha_i \binom{i}{a-i} \binom{n-i}{r-(a-i)}$ .

It follows that

$$\begin{aligned} & \sum_r (-1)^r \sum_i \alpha_i \binom{i}{a-i} \binom{n-i}{r-(a-i)} \\ &= \sum_i \alpha_i \binom{i}{a-i} \sum_r (-1)^r \binom{n-i}{r-(a-i)} \\ &= \sum_i \alpha_i \binom{i}{a-i} (-1)^{a-i} \sum_s (-1)^s \binom{n-i}{s} \\ &= (-1)^{a-n} \binom{n}{a-n} \alpha_n, \end{aligned}$$

since the inner sum has the value zero, unless  $n - i = 0$ , and 1 otherwise. This proves (i) in the case  $m = k = 0$ .

In the general case, where  $m$  and  $k$  are not necessarily zero, the substitution  $y \mapsto y(y + 1)$  into the original identity yields an identity

$$\sum_{r+s+t \leq m+n+k} c_{rst} y^s (y^m v_r y^k) y^t = 0, \tag{3}$$

for some coefficients  $c_{rst} \in K$ . For  $0 \leq a \leq n$ , consider the homogeneous component of (3) of degree  $m + n + k + a$  in  $y$ . The only  $v_r$  occurring have  $r \leq a$  and the only term involving  $v_a$  is precisely  $y^m v_a y^k$ . By induction on  $a$ ,  $y^m v_r y^k = 0$  is an identity in  $R$  for all  $r < a$ , and hence so is  $y^m v_a y^k = 0$ . We may now proceed exactly as in the special case above and the conclusion follows.  $\square$

**2.1. Unital algebras.** In case  $R$  is unital, more information can be obtained. Note that  $e_n(x, y) = x(\text{ad}y)^n = x(\text{ad}(y + 1))^n = e_n(x, y + 1)$ . Thus by substituting  $y \mapsto y + 1$  into the result of (i) or (ii) in Lemma 2.3. and separating out the component of degree  $n$  in  $y$  we obtain  $e_n = 0$  in  $R$ .

In the rest of this subsection (which is not essential to the main results of the paper) we give a characterization (for unital  $K$ -algebras) of the Engel identities.

For each  $m \geq 0$ , let  $W_m$  be the  $K$ -submodule of  $K\langle x, y \rangle$  with basis all monomials  $y^i x y^j$  such that  $i + j = m$ , and let  $V_n = \sum_{m=0}^n W_m$  and  $V = \sum_{n \geq 0} V_n$ . Note that  $W_0$  is spanned by the monomial  $x$ , and that, for  $n \geq 1$ ,  $e_n$  is a reduced element of  $W_n$ .

Define the difference operator  $\Delta$  on  $V$  by  $\Delta\alpha(x, y) = \alpha(x, y + 1) - \alpha(x, y)$ . Note that  $\Delta: V_n \rightarrow V_{n-1}$ , and that the homogeneous component of degree  $n - 1$  in  $y$  of  $\Delta\alpha$  is simply the Hausdorff derivative  $\partial\alpha/\partial y$  with respect to  $y$  (that is, the unique  $K$ -derivation of  $K\langle x, y \rangle$  sending  $y$  to 1 and  $x$  to 0).

**PROPOSITION 2.4.** *Let  $R$  be a unital  $K$ -algebra, and  $\alpha \in W_n$ .*

- (i)  $\Delta\alpha = 0$  if and only if  $\alpha$  is a scalar multiple of  $e_n$ .
- (ii) If  $\text{char } K = 0$ , then  $\partial\alpha/\partial y = 0$  if and only if  $\alpha$  is a scalar multiple of  $e_n$ .

*Proof.* Given  $\alpha(x, y) = \sum_{i=0}^n \alpha_i y^i x y^{n-i}$ , expand  $\alpha(x, y + 1)$  by the binomial theorem. The coefficient of  $y^s x y^t$  in  $\alpha(x, y + 1)$  is given by

$$[y^sxy^t] = \begin{cases} \sum_i \alpha_i \binom{i}{s} \binom{n-i}{t} & (s+t < n), \\ 0 & (s+t = n). \end{cases} \tag{4}$$

Now  $\Delta\alpha = 0$  if and only if the coefficients of all monomials  $y^i x y^j$ , for  $i + j \leq n - 1$ , are zero. This gives a system of linear equations in the  $n + 1$  unknowns  $\alpha_0, \dots, \alpha_n$ . We claim that the coefficient matrix  $M$  has rank exactly  $n$ . Indeed, by equation (4), the submatrix of rows corresponding to the components of  $xy^m$ ,  $0 \leq m \leq n - 1$ , has the form

$$\begin{bmatrix} * & 1 & 0 & 0 & \cdots & 0 \\ * & * & 1 & 0 & \cdots & 0 \\ \vdots & \vdots & \vdots & \ddots & \vdots & 0 \\ * & * & \cdots & * & 1 & 0 \\ * & * & * & \cdots & * & 1 \end{bmatrix},$$

which shows that the rank is at least  $n$ . However the rank is not  $n + 1$  since, as observed above, the coefficient vector  $\alpha_i = (-1)^i \binom{n}{i}$  of  $e_n$  is in the kernel of  $M$ . This proves (i).

To prove (ii), it suffices to show that in characteristic zero, the submatrix of  $M$  consisting of all rows corresponding to monomials  $y^sxy^t$ , with  $s + t = n - 1$ , has rank  $n$ . By equation (4), this submatrix has the form

$$\begin{bmatrix} n & 1 & 0 & 0 & \cdots & 0 \\ 0 & n-1 & 2 & 0 & \cdots & 0 \\ 0 & 0 & n-2 & 3 & \cdots & 0 \\ \vdots & \vdots & \vdots & \ddots & \ddots & 0 \\ 0 & 0 & 0 & \cdots & 1 & n \end{bmatrix}.$$

Since  $\text{char } K = 0$  the submatrix consisting of the first  $n$  columns is nonsingular and (ii) follows.

**3. Proofs of theorems.** We first prove Theorem 1.1. The implication (ii)  $\Rightarrow$  (iii) is obvious. Also (i)  $\Rightarrow$  (ii) and (iii)  $\Rightarrow$  (iv) follow from Proposition 2.2. and Proposition 2.1, respectively. By Lemma 2.3 with  $m = k = 0$ , (iv) and (v) are equivalent. Suppose then that  $R$  satisfies  $e_n = 0$ . Let  $x, y \in R$ . By [14], the subalgebra  $T$  of  $R$  generated by  $x$  and  $y$  is Lie nilpotent of class  $m$  depending on  $n$  only. An easy induction on  $m$  shows that  $T$ , and hence  $R$ , satisfies the Morse identity, in the circle sense, of degree  $m$ . Indeed,

$$u_m - v_m = [u_1, v_1, v_2, \dots, v_{m-1}].$$

This proves (v)  $\Rightarrow$  (vi). The last implication (vi)  $\Rightarrow$  (i) is obvious.

We now prove Theorem 1.3. The implication (i)  $\Rightarrow$  (ii) is obvious; (ii)  $\Rightarrow$  (iii) follows from Proposition 2.1, and (iii)  $\Rightarrow$  (iv) can be deduced from Lemma 2.3. If  $K = p > 0$  then (iv)  $\Rightarrow$  (i), since by increasing  $m$  if necessary we may assume that  $m = p^t$ , so that



$$y^{p'}xy^{2p'} - y^{2p'}xy^{p'} = y^{p'}e_{p'}y^{p'} = 0.$$

Finally, Theorem 1.5 follows from the quantitative form of Theorem 1.1 and [14, Theorem].

**4. Comments.** In an earlier version of this paper, we asked the following questions about an arbitrary ring  $R$ . These questions arose naturally from the work above, and the converses had been shown to hold in [14].

- If a ring  $R$  satisfies a reduced semigroup identity, does  $R$  necessarily satisfy an Engel identity?
- If a ring  $R$  satisfies a reduced circle semigroup identity, does  $R$  necessarily satisfy an Engel identity?

We are indebted to Olga Paison for showing us that the answer to both is no. We now present her example.

Let  $p$  be a prime, let  $F$  be a field of order  $p^2$  and let  $R$  be the subring of  $M_2(F)$  consisting of all elements of the form  $ae_{11} + a^pe_{22} + be_{12}$ , for  $a, b \in F$ . Then  $R$  does not satisfy any Engel identity. To see this, choose  $a \in F$  with  $a^p \neq a$ . Let  $x = ae_{11} + a^pe_{22}$  and  $y = e_{12}$ . Then, for sufficiently large even integers  $s$ , we have  $[x^{p^s}, y] = (a - a^p)e_{12} \neq 0$ . On the other hand, the only idempotents of  $R$  are 0 and 1, and so  $R$  satisfies a reduced (circle) semigroup identity in view of the following result.

**PROPOSITION 4.1.** *Let  $R$  be a finite ring. Then*

- (i)  $(R, \cdot)$  and  $(R, \circ)$  satisfy an identity of the form  $x^t \equiv x^{2t}$ .
- (ii) If all idempotents of  $R$  are central, then  $R$  satisfies a reduced semigroup identity.

*Proof.* The conclusion of part (i) is true for every finite semigroup  $S$ . First, every element of  $S$  is periodic. Furthermore, every periodic element in a semigroup has some power which is an idempotent. To see this, note that for a fixed  $x \in S$ ,  $x^m = x^{m+a}$ , for some  $m, a > 0$ . This implies that, for all  $n \geq 1$  and all  $s \geq m$ ,  $x^s = x^{s+na}$ . Choose  $t_x$  such that  $t_x \geq m$  and  $a$  divides  $t_x$ . Then  $(x^{t_x})^2 = x^{t_x}$ . The desired global identity follows directly from this equation, since  $S$  satisfies  $x^t \equiv x^{2t}$  with  $t = \prod_{x \in S} t_x$ .

Now by (i), there is some  $t$  for which  $x^t$  is an idempotent, for each  $x \in R$ . Thus if all idempotents of  $R$  are central,  $R$  satisfies the identity  $x^t y \equiv y x^t$ , yielding (ii).

In [2] it was shown (using arguments special to characteristic zero) that the  $K$ -algebra  $R$  satisfies a partial linear identity if and only if the algebra of  $2 \times 2$  upper triangular matrices over  $K$  is not in the variety generated by  $R$ . Perhaps this is true in all characteristics.

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