

STACKED SUBMODULES OF TORSION MODULES OVER DISCRETE VALUATION DOMAINS

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A submodule W of a torsion module M over a discrete valuation domain is called stacked in M if there exists a basis \mathcal{B} of M such that multiples of elements of \mathcal{B} form a basis of W . We characterise those submodules which are stacked in a pure submodule of M .

1. INTRODUCTION

Let R be a discrete valuation domain and let p be a prime element of R such that R_p is the maximal ideal of R . Let M be a torsion module over R and let W be a submodule of M . In accordance with [7] and [6] we call a set $\{u_\kappa \mid \kappa \in K\}$ a *basis* of M if $M = \bigoplus_{\kappa \in K} Ru_\kappa$. We say that W is *stacked* in M if there exists a basis $\mathcal{X} = \{x_\lambda \mid \lambda \in \Lambda\}$ of W and a basis $\mathcal{U} = \{u_\kappa \mid \kappa \in K\}$ of M such that $\Lambda \subseteq K$ and $x_\lambda = p^{t_\lambda} u_\lambda$ for suitable nonnegative integers t_λ . In that case we call \mathcal{X} a *stacked basis* of W ([4]). If M is of bounded order, that is, if there exists a positive integer m such that $p^m x = 0$ for all $x \in M$, then it is known [7, p. 65] that W is stacked in M if and only if

$$(1.1) \quad p^n W \cap p^{n+r} M = p^n (W \cap p^r M)$$

holds for all $n \geq 0, r \geq 0$. In general however, if M is not of bounded order then condition (1.1) alone need not imply that W is stacked in M (see Exercise 78(b) in [7, p. 65]). In this paper we shall characterise those submodules which are stacked in a pure submodule of M .

Throughout this paper the letters $\mathcal{U}, \mathcal{V}, \mathcal{X}, \dots$, will denote subsets of M . We shall use the letters u, v, x, \dots , for elements of the module M , and $\alpha, \beta, \mu, \dots$, will be elements of the ring R . Using the terminology for Abelian p -groups in [6, p. 4] we say that $x \in M$ has *exponent* k , and we write $e(x) = k$, if k is the smallest nonnegative integer such that $p^k x = 0$. Clearly, $e(0) = 0$. An element $x \in M$ is said to have (finite) *height* s if $x \in p^s M$

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and $x \notin p^{s+1}M$. In this case we write $h(x) = s$. We set $h(x) = \infty$ if $x \in p^sM$ for all $s \geq 0$. Thus $h(0) = \infty$. Note that the height of all nonzero elements of M is bounded if and only if M is of bounded order.

Let $\langle \mathcal{X} \rangle$ be the submodule spanned by \mathcal{X} . When we write

$$\alpha_1x_1 + \dots + \alpha_mx_m \in \langle \mathcal{X} \rangle$$

we tacitely assume $x_i \in \mathcal{X}$ and $\alpha_ix_i \neq 0, i = 1, \dots, m$, and $x_i \neq x_j$ if $i \neq j$.

Let R^* be the group of units of R . We set $\alpha \sim \beta$ if $\alpha = \beta\varepsilon$ for some $\varepsilon \in R^*$. It will be convenient to write $h(\alpha) = s$ if $\alpha \sim p^s$. Let us recall the following properties of the height function on M (see for example, [6, p. 154]). For all $x, y \in M$ we have $h(px) \geq h(x) + 1$, and

$$(1.2) \quad h(x + y) \geq \min\{h(x), h(y)\}.$$

Hence

$$(1.3) \quad h(\alpha x) \geq h(\alpha) + h(x) \text{ for all } \alpha \in R.$$

We say that an element x is *h-regular* if $h(x) = \infty$ or if $h(x)$ is finite and

$$(1.4) \quad h(\alpha x) = h(\alpha) + h(x) \text{ for all } \alpha \text{ with } h(\alpha) < e(x).$$

Property (1.4) can be traced back to Baer [2]. In [2, p. 484] an element x of an Abelian p -group is called *regular* if $h(x) = \infty$ or if $h(x) = k < \infty$ and

$$(1.5) \quad e(x) + h(x) = \dots = e(p^{k-1}x) + h(p^{k-1}x).$$

As usual, a set \mathcal{X} is called *independent* if $0 \notin \mathcal{X}$ and if for any finite subset $\{x_1, \dots, x_m\}$ of \mathcal{X} a relation $\alpha_1x_1 + \dots + \alpha_mx_m = 0$ implies $\alpha_ix_i = 0, i = 1, \dots, m$. We shall employ two stronger concepts of independence. The first one is adapted from Fuchs [5]. We call a set \mathcal{X} *p-independent* (or *pure independent*) if it is independent and contains no elements of infinite height, and if

$$(1.6) \quad \alpha_1x_1 + \dots + \alpha_mx_m \in \langle \mathcal{X} \rangle$$

implies

$$h(\alpha_1x_1 + \dots + \alpha_mx_m) = \min\{h(\alpha_i) \mid i = 1, \dots, m\}.$$

The other definition is motivated by the inequality

$$h(\alpha_1x_1 + \dots + \alpha_mx_m) \geq \min\{h(\alpha_i) + h(x_i) \mid i = 1, \dots, m\},$$

which follows from (1.3) and (1.2). We say that \mathcal{X} is *h-independent* if \mathcal{X} is independent and (1.6) implies

$$(1.7) \quad h(\alpha_1x_1 + \dots + \alpha_mx_m) = \min\{h(\alpha_i) + h(x_i) \mid i = 1, \dots, m\}.$$

Our concept of h -independence combines properties used in [3] to describe extendible Jordan bases of marked subspaces. It is obvious that a set \mathcal{X} is p -independent if and only if it is h -independent and all of its elements have height zero.

For the elements x of a submodule S of M we may define $h_S(x)$ as the height of x in S . We always have $h_S(x) \leq h(x)$. A submodule S of M is called *pure* in M if $h_S(x) = h(x)$ for all $x \in S$, or equivalently if $S \cap p^i M = p^i S$ for all $i \geq 0$. The following lemma is due to Fuchs [5].

LEMMA 1.1. *For a set \mathcal{X} the following conditions are equivalent.*

- (i) \mathcal{X} is p -independent.
- (ii) \mathcal{X} is independent and the submodule $\langle \mathcal{X} \rangle$ is pure in M .

Since M is pure in itself it follows from the preceding lemma that a basis of M is p -independent. It is also obvious that all nonzero elements of M have finite height if M has a basis.

Our main result is the following theorem. It will be proved in Section 3 together with a corollary.

THEOREM 1.2. *Let M be a torsion module over a discrete valuation domain and let W be a submodule of M . The following statements are equivalent.*

- (i) There exists a pure submodule S of M such that W is stacked in S .
- (ii) W has an h -independent basis.

It will be shown in Proposition 3.3 that condition (1.1) is necessary for the existence of an h -independent basis of W . In the case where M is of bounded order we note the following result.

COROLLARY 1.3. *Let M of bounded order. For a submodule W of M the following statements are equivalent.*

- (i) W is stacked in M .
- (ii) W has an h -independent basis.
- (iii) Condition (1.1) holds.

It is well-known [1] that the Jordan normal form can be studied in the framework of the theory of finitely generated modules over a principal ideal domain. Hence [7, Exercise 79, p. 65], and Theorem 1.2 and its proof provide an alternative access to results in [3] on extensions of Jordan bases for invariant subspaces of a matrix.

2. h -INDEPENDENCE

This section contains the results on h -independence which we shall need in the course of the proof of Theorem 1.2. We shall make constant use of the following observations

on the height function. Suppose $p^m x \neq 0$ and $h(p^m x) = m + r$. Then we have $h(x) \leq r$. If $x \neq 0$ is an element with $h(x) = s$ and $e(x) = k$ then x is h -regular if and only if

$$h(p^j x) = j + h(x), \quad j = 1, \dots, k - 1,$$

or equivalently, if and only if

$$h(p^{k-1} x) = (k - 1) + h(x),$$

or equivalently, $p^j x$ is h -regular for all $j \geq 0$.

It is not difficult to see that an independent set \mathcal{X} is h -independent if and only if its elements are h -regular, and if $x = \alpha_1 x_1 + \dots + \alpha_m x_m \in \langle \mathcal{X} \rangle$, $x \neq 0$, then $h(x) = \min\{h(\alpha_i x_i); i = 1, \dots, m\}$ for all $\alpha_i \in R$.

It is obvious that $h(x) \neq h(y)$ implies $h(x + y) = \min\{h(x), h(y)\}$. Hence if a strict inequality $h(x + y) > \min\{h(x), h(y)\}$ holds, then $h(x) = h(y)$. Therefore, whenever we want to show that an independent set $\{x_1, \dots, x_m\}$ of h -regular elements is h -independent we have to make sure that $h(\alpha_i x_i) = r, i = 1, \dots, m$, implies $h(\alpha_1 x_1 + \dots + \alpha_m x_m) \leq r$.

We shall also make frequent use of the following fact.

LEMMA 2.1. *Let $\mathcal{X} = \mathcal{X}_1 \cup \dots \cup \mathcal{X}_k$ be a disjoint union of h -independent sets. Then \mathcal{X} is h -independent if and only if $x_{i_r} \in \langle \mathcal{X}_{i_r} \rangle$, $x_{i_r} \neq 0$, and $1 \leq i_1 < \dots < i_t \leq m$ imply that $\{x_{i_1}, \dots, x_{i_t}\}$ is h -independent.*

In the following observation we are concerned with a submodule where all elements are h -regular.

LEMMA 2.2. *Let \mathcal{X} be h -independent and assume that*

$$h(x) + e(x) = t \text{ for all } x \in \mathcal{X}.$$

Then each nonzero element $y \in \langle \mathcal{X} \rangle$ is h -regular and

$$(2.8) \quad h(y) + e(y) = t.$$

PROOF: If $x \in \mathcal{X}$ then x is h -regular, and we have

$$(2.9) \quad h(\alpha x) + e(\alpha x) = h(x) + e(x) = t$$

if $h(\alpha) < e(x)$. Let $y = \alpha_1 x_1 + \dots + \alpha_m x_m \in \langle \mathcal{X} \rangle$ be nonzero with $h(y) = r$ and $e(y) = k$. Assume $h(\alpha_1 x_1) = \min\{h(\alpha_i x_i) \mid i = 1, \dots, m\}$. Since \mathcal{X} is h -independent we have $h(\alpha_1 x_1) = r$. Then (2.9) implies $e(\alpha_1 x_1) = t - r$. From $r \leq h(\alpha_i x_i)$ we obtain $e(\alpha_i x_i) \leq t - r$. Hence $e(y) \leq t - r$. Since \mathcal{X} is independent it follows from $p^k y = 0$ that $p^k \alpha_i x_i = 0$ for all i . For $i = 1$ we obtain $k \geq e(\alpha_1 x_1) = t - r$, and we deduce $k = e(y) = t - h(y)$. Since y was an arbitrary element of $\langle \mathcal{X} \rangle$ it follows that $h(\alpha y) + e(\alpha y) = t$ for all $\alpha \neq 0$. Therefore y is h -regular. □

The subsequent criterion for h -independence may be of interest in its own right.

LEMMA 2.3. *If $\mathcal{Y} = \{y_0, y_1, \dots, y_m\} \subseteq M$ is a set of h -regular elements such that*

$$(2.10) \quad h(y_0) + e(y_0) > \dots > h(y_m) + e(y_m),$$

then \mathcal{Y} is h -independent.

PROOF: We proceed by induction on $|\mathcal{Y}|$. Set $h(y_i) = s_i$ and $e(y_i) = k_i$, $i = 0, 1, \dots, m$. Assume that $\tilde{\mathcal{Y}} = \{y_1, \dots, y_m\}$ is h -independent. Let y_0 be h -regular satisfying

$$(2.11) \quad s_0 + k_0 > s_j + k_j, \quad j = 1, \dots, m.$$

Let us show first that $\mathcal{Y} = \{y_0\} \cup \tilde{\mathcal{Y}}$ is an independent set. Suppose the contrary such that there exists a nonzero element of the form

$$(2.12) \quad \alpha_0 y_0 = \alpha_1 y_1 \cdots + \alpha_m y_m.$$

Since $\tilde{\mathcal{Y}}$ is independent we have $\alpha_j y_j \neq 0, j \geq 1$, and

$$(2.13) \quad e(\alpha_0 y_0) = \max_{j \geq 1} \{e(\alpha_j y_j)\}.$$

Set $h(\alpha_0 y_0) = r$. Then $h(\alpha_0 y_0) + e(\alpha_0 y_0) = s_0 + k_0$ yields $e(\alpha_0 y_0) = s_0 + k_0 - r$, and (2.10) implies

$$e(\alpha_0 y_0) > e(\alpha_j y_j) + h(\alpha_j y_j) - r \geq e(\alpha_j y_j) + \left[\min_{j \geq 1} \{h(\alpha_j y_j)\} - r \right], \quad j \geq 1.$$

Since $\tilde{\mathcal{Y}}$ is h -independent it follows from (2.12) that

$$r = h(\alpha_0 y_0) = \min_{j \geq 1} \{h(\alpha_j y_j)\}.$$

Hence we obtain $e(\alpha_0 y_0) > \max\{e(\alpha_j y_j) \mid j \geq 1\}$, in contradiction to (2.13). Now let us turn to h -independence of \mathcal{Y} . Let $y = \alpha_0 y_0 + \alpha_1 y_1 \cdots + \alpha_m y_m$ be nonzero, and $h(\alpha_i y_i) = r, i \geq 0$. Then $e(\alpha_i y_i) = k_i + s_i - r, i \geq 0$, and by (2.10) we obtain $e(\alpha_j y_j) < k_0 + s_0 - r, j \geq 1$. Hence

$$p^{k_0+s_0-r-1} y = p^{k_0+s_0-r-1} \alpha_0 y_0 \neq 0.$$

Since y_0 is h -regular and $h(\alpha_0 y_0) = r$ it is clear that

$$h(p^{k_0+s_0-r-1} \alpha_0 y_0) = k_0 + s_0 - 1,$$

and therefore $h(y) \leq r$. □

3. PARTITIONS OF BASES

For the proof of Theorem 1.2 it will be crucial that h -independence of a set \mathcal{X} can be checked by examining suitably chosen classes of subsets.

LEMMA 3.1.

(i) A set \mathcal{X} is h -independent if the sets

$$\mathcal{X}^{[t]} = \{x \in \mathcal{X}; e(x) + h(x) = t\},$$

$t \geq 1$, are h -independent.

(ii) Let \mathcal{U} be a set of elements of height zero. Then \mathcal{U} is p -independent if the sets

(3.14)
$$\mathcal{U}_k = \{u \in \mathcal{U}; e(u) = k\},$$

$k \geq 1$, are p -independent.

(iii) Let \mathcal{Z} be a set of elements of exponent 1. Then \mathcal{Z} is h -independent if the sets

$$\mathcal{Z}^{s-1} = \{z \in \mathcal{Z}; h(z) = s - 1\},$$

$s \geq 1$, are h -independent.

PROOF: (i) It suffices to show that for a given k the set $\cup\{\mathcal{X}^{[i]}; 1 \leq i \leq k\}$ is h -independent. Let $\tilde{\mathcal{X}} = \{x_{i_1}, \dots, x_{i_t}\}$ be such that $x_{i_r} \in \langle \mathcal{X}^{[i_r]} \rangle$, $x_{i_r} \neq 0$, and $1 \leq i_1 < \dots < i_t \leq m$. We know from Lemma 2.2 that x_{i_r} is h -regular and $h(x_{i_r}) + e(x_{i_r}) = i_r$. Hence Lemma 2.3 implies that $\tilde{\mathcal{X}}$ is h -independent and Lemma 2.1 extends h -independence from $\tilde{\mathcal{X}}$ to \mathcal{X} .

For (ii) and (iii) we note that $\mathcal{U}^{[k]} = \mathcal{U}_k$ and $\mathcal{Z}^{[s]} = \mathcal{Z}^{s-1}$. □

Using the preceding lemma we can relate a set \mathcal{X} and its h -independence to a corresponding set \mathcal{U} of height zero elements and to a subset \mathcal{Z} of the socle of M .

PROPOSITION 3.2. Let $\mathcal{X} = \{x_\lambda \mid \lambda \in \Lambda\}$ be an independent subset of M such that $h(x_\lambda) = s_\lambda$, $e(x_\lambda) = k_\lambda$, $\lambda \in \Lambda$. Let $\mathcal{U} = \{u_\lambda \mid \lambda \in \Lambda\}$ be a corresponding set of height zero elements of M such that $x_\lambda = p^{s_\lambda}u_\lambda$, $\lambda \in \Lambda$. Then the following statements are equivalent.

- (i) \mathcal{X} is h -independent.
- (ii) \mathcal{U} is p -independent.
- (iii) The set $\mathcal{Z} = \{z_\lambda = p^{k_\lambda-1}x_\lambda \mid \lambda \in \Lambda\}$ is h -independent.

PROOF: Since \mathcal{X} is independent we have $x_\lambda \neq x_\mu$ and $u_\lambda \neq u_\mu$, if $\lambda \neq \mu$. For $\lambda \in \Lambda$ define $\pi x_\lambda = u_\lambda$. Then $\pi : \mathcal{X} \rightarrow \mathcal{U}$ is a bijection. Note that x_λ is h -regular if and only if $u_\lambda = \pi x_\lambda$ is h -regular.

(i) \Rightarrow (ii) Because of Lemma 3.1 it suffices to prove that the sets \mathcal{U}_k in (3.14) are p -independent. Consider an element

$$v = \alpha_1 u_1 + \cdots + \alpha_m u_m \in \langle \mathcal{U}_k \rangle$$

with

$$(3.15) \quad r = h(\alpha_1) = \cdots = h(\alpha_t) < h(\alpha_{t+1}) \leq \cdots \leq h(\alpha_m) < k.$$

Then

$$(3.16) \quad \alpha_j = p^r \gamma_j, \quad \gamma_j \sim 1, \quad \text{for } j = 1, \dots, t.$$

Let $x_j \in \mathcal{X}$ be such that $\pi x_j = u_j$ and $x_j = p^{\mu_j} u_j$, $j = 1, \dots, t$. Then $\mu_j < k = e(u_j)$. Hence $k - \mu_j - 1 \geq 0$ and

$$(3.17) \quad p^{k-1} \gamma_j u_j = p^{k-1-\mu_j} \gamma_j p^{\mu_j} u_j = p^{k-1-\mu_j} \gamma_j x_j \neq 0, \quad j = 1, \dots, t.$$

Because of (3.15) and (3.16) we have

$$\begin{aligned} p^{k-r-1} v &= p^{k-r-1} (\alpha_1 u_1 + \cdots + \alpha_t u_t) = p^{k-1} (\gamma_1 u_1 + \cdots + \gamma_t u_t) \\ &= p^{k-1-\mu_1} \gamma_1 x_1 + \cdots + p^{k-1-\mu_t} \gamma_t x_t. \end{aligned}$$

Recall that $\tilde{\mathcal{X}} = \{x_1, \dots, x_t\} \subseteq \mathcal{X}$ is h -independent. Hence it follows from (3.17) that $p^{k-1-r} v \neq 0$. In particular we have $v \neq 0$. Thus \mathcal{U}_k is independent. We also obtain

$$\begin{aligned} h(p^{k-1-r} v) &= \min \{ h(p^{k-1-\mu_j} \gamma_j x_j) \mid 1 \leq j \leq t \} \\ &= \min \{ h(p^{k-1} \gamma_j u_j) \mid 1 \leq j \leq t \} = k - 1. \end{aligned}$$

Hence $h(v) \leq r$, which implies

$$h(v) = r = \min \{ h(\alpha_i) \mid 1 \leq i \leq m \}.$$

Thus \mathcal{U}_k is h -independent.

(ii) \Rightarrow (i) Assume that \mathcal{U} is p -independent. Let us focus on an element $x = \alpha_1 x_1 + \cdots + \alpha_m x_m \in \langle \mathcal{X} \rangle$ with $h(x_i) = s_i$ and $u_i = \pi x_i$, $1 \leq i \leq m$. From $x_i = p^{s_i} u_i$ and $h(\alpha_i x_i) = h(\alpha_i p^{s_i})$ we obtain

$$h(x) = h\left(\sum \alpha_i p^{s_i} u_i\right) = \min \{ h(\alpha_i p^{s_i}) \} = \min \{ h(\alpha_i) + h(x_i) \},$$

which shows that \mathcal{X} is h -independent.

(ii) \Leftrightarrow (iii) For $z_\lambda = p^{k_\lambda-1} x_\lambda$ set $\tilde{\pi} z_\lambda = u_\lambda$. Then $\tilde{\pi} : \mathcal{Z} \rightarrow \mathcal{U}$ is a bijection and we can apply the first part of the proposition to the case where $\mathcal{X} = \mathcal{Z}$. \square

We are now ready to derive our main result as an immediate consequence of Proposition 3.2.

PROOF OF THEOREM 1.2:

(i) \Rightarrow (ii) Let S be a pure submodule of M with a basis $\mathcal{U} = \{u_\lambda \mid \lambda \in \Lambda\}$ such that W has a basis $\mathcal{X} = \{p^{s_\lambda}u_\lambda \mid \lambda \in \Lambda\}$. We know from Lemma 1.1 that the set \mathcal{U} is p -independent. Hence it follows from Proposition 3.2 that \mathcal{X} is an h -independent basis of W .

(ii) \Rightarrow (i) Let $\mathcal{X} = \{x_\lambda \mid \lambda \in \Lambda\}$ be an h -independent basis of W and let $\mathcal{U} = \{u_\lambda \mid \lambda \in \Lambda\}$ be a set of h -regular elements of height zero such that $x_\lambda = p^{s_\lambda}u_\lambda$. Then it follows from Proposition 3.2 that \mathcal{U} is p -independent. Hence, by Lemma 1.1 the submodule $S = \langle \mathcal{U} \rangle$ is pure and W is stacked in S . □

Before turning to the proof of Corollary 1.3 we want to show that Kaplanski’s condition (1.1) is necessary for the existence of an h -independent basis of M .

PROPOSITION 3.3. *If W has an h -independent basis then W satisfies (1.1).*

PROOF: It is obvious that (1.1) is equivalent to

$$(3.18) \quad p^nW \cap p^{n+r}M \subseteq p^n(W \cap p^rM), \quad n \geq 0, r \geq 0.$$

Take an element $x \in p^nW \cap p^{n+r}M$. We can assume that r is maximal. Then $x = p^nw$ for some $w \in W$, and $h(x) = n + r$. Now let \mathcal{X} be an h -independent basis of W . Then $w = \alpha_1x_1 + \dots + \alpha_mx_m \in \langle \mathcal{X} \rangle$. Assume $e(\alpha_ix_i) > n, i = 1, \dots, t$, and $e(\alpha_ix_i) \leq n, i > t$. Set $\tilde{w} = \alpha_1x_1 + \dots + \alpha_tx_t$. Then $\tilde{w} \in W$ and $x = p^n\tilde{w}$, and we obtain

$$\begin{aligned} n + r = h(p^nw) &= \min\{h(p^n\alpha_ix_i); i = 1, \dots, t\} \\ &= n + \min\{h(\alpha_ix_i); i = 1, \dots, t\} = n + h(\tilde{w}). \end{aligned}$$

Hence $h(\tilde{w}) = r$. We have $\tilde{w} \in p^rM$, and we conclude that $x \in p^n(W \cap p^rM)$. □

PROOF OF COROLLARY 1.3: If M is of bounded order then M is a direct sum of cyclic submodules (see for example, [7, p. 88]) and each pure submodule is a direct summand of M . Hence the equivalence of (i) and (ii) follows immediately from Theorem 1.2. We refer to [7, p. 65]) for the fact that (i) and (iii) are equivalent provided that M is of bounded order. □

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