

On the Strong Purity of the Sublattice-Lattice of a Finite Distributive Lattice

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Introduction

For a lattice L , let $\text{Sub}(L)$ be the set of sublattices of L , inclusive of the empty set. The set $\text{Sub}(L)$ forms a poset under set inclusion. Indeed, it is known (see Grätzer [7], for instance) that the poset $\langle \text{Sub}(L); \subseteq \rangle$ forms an atomistic and algebraic lattice in which A is an atom in $\text{Sub}(L)$ iff $A = \{a\}$ for some a in L , B is a dual atom in $\text{Sub}(L)$ iff B is a proper maximal sublattice of L , and for all A, B in $\text{Sub}(L)$, the meet $A \wedge B$ in $\text{Sub}(L)$ is the set-intersection $A \cap B$ in L and the join $A \vee B$ in $\text{Sub}(L)$ is the sublattice of L generated by $A \cup B$.

Motivated by the study on the lattice of subsemilattices of a semi-lattice by Sevrin [11], Filippov [6] undertook the first and intensive investigation on the structure of the lattice $\text{Sub}(L)$. While easier proofs of some of Filippov's results can be found in Rival [10] and Koh [9], some of his results have been extended recently in Chen, Koh and Teo [5].

Let $L(FD)$ be the class of finite distributive lattices. In this paper we proceed to study the structure of $\text{Sub}(L)$ of $L, L \in L(FD)$, by employing the notion of the Frattini sublattice of L . Following Birkhoff [1], the Frattini sublattice $\Phi(L)$ of a lattice L is the intersection of all proper maximal sublattices of L . Thus, the element $\Phi(L)$ in the lattice $\text{Sub}(L)$ is the meet of all dual atoms in $\text{Sub}(L)$. Denote by $\text{Sub}^*(L)$ the interval $[\Phi(L), L]$ and by $\text{Sub}_*(L)$ the interval $[\emptyset, \Phi(L)]$ in $\text{Sub}(L)$. The lattice $\text{Sub}(L)$ is said to be pure if $\text{Sub}_*(L)$ forms a Boolean sublattice of $\text{Sub}(L)$, and doubly pure if, in addition, $\text{Sub}_*(L)$ also forms a Boolean sublattice of $\text{Sub}(L)$. A pure lattice $\text{Sub}(L)$ is said to be strongly pure if every atom in $\text{Sub}(L) - \text{Sub}_*(L)$ is contained in (less than) a unique

atom in $\text{Sub}^*(L)$. In [3], Chen, Koh and Lee gave a sufficient condition on $L, L \in L(FD)$, whereby $\text{Sub}(L)$ is pure, and they determined completely the structure of $L, L \in L(FD)$, such that $\text{Sub}(L)$ is doubly pure. In this paper, we characterize lattices $L, L \in L(FD)$, such that the lattice $\text{Sub}(L)$ is strongly pure.

§1. Preliminaries.

In this section we introduce some notation and terminology and state some known results which will be needed in the sequel.

Let L be a lattice. An element a in L is said to be *join reducible* if $a = b \vee c$ for some b, c in $L - \{a\}$. *Meet reducible* elements are defined dually. We write

$$\begin{aligned} L(\vee) &= \{a \in L \mid a \text{ is join reducible}\}, \\ L(\wedge) &= \{a \in L \mid a \text{ is meet reducible}\}, \\ J(L) &= L - L(\vee), \\ M(L) &= L - L(\wedge), \text{ and} \\ \text{Irr}(L) &= J(L) \cap M(L) = L - L(\vee) \cup L(\wedge). \end{aligned}$$

Note that $x \vee y \in L(\vee)$ if $x, y \in L(\vee)$ and $x \wedge y \in L(\wedge)$ if $x, y \in L(\wedge)$. Let a, b be in L . We say that b *covers* a or a is *covered by* b , in notation $b \succ a$ or $a \prec b$, if $a < b$ and $a < x < b$ for no x in L . Assume both the least element 0 and the greatest element 1 exist in L . An element a of L is called an *atom* (resp., a *dual atom*) if $a \succ 0$ (resp., $a \prec 1$). For a, b in L with $a < b$, the *closed interval* $\{x \in L \mid a \leq x \leq b\}$ is denoted by $[a, b]$ and the *open interval* $\{x \in L \mid a < x < b\}$ is denoted by (a, b) . For a subset X of L , the sublattice of L generated by X is denoted by $\langle X \rangle$.

A non-empty sublattice N of L is called a *prime* sublattice of L if $L - N$ is either empty or a sublattice of L . A prime sublattice N of L is called a *minimal prime* sublattice of L if N contains no prime sublattice of L other than itself. The set of all minimal prime sublattices of L is denoted by $\text{mp}(L)$.

The following provides a useful characterization of minimal prime sublattices of $L, L \in L(FD)$.

LEMMA 1[4]. *Let $L \in L(FD)$ and $N \subset L$. Then $N \in \text{mp}(L)$ iff one of the following holds:*

- (i) $N = \{a\}$ where $a \in \text{Irr}(L)$,
- (ii) $N = [a, b]$ where $a \in L(\wedge) - L(\vee)$, $b \in L(\vee) - L(\wedge)$, and $(a, b) \subseteq L(\vee) \cap L(\wedge)$.

For L in $L(FD)$, a relation between $\Phi(L)$ and the family $\text{mp}(L)$ exists and is given below.

LEMMA 2[4]. *Let $L \in L(FD)$. Then $L - \Phi(L) = \cup(N | N \in \text{mp}(L))$.*

Apparently, $\Phi(L) = \emptyset$ if L is a chain. The converse is not true in general. It is true provided that L is of *finite length*. This is due to the following more general result. Note that $L(\vee)$ and $L(\wedge)$ form *join-subsemilattice* and *meet-subsemilattice* of L respectively.

LEMMA 3[8]. *Let L be a lattice. If c is the greatest element in $L(\vee)$, then $c \in \Phi(L)$. Dually, if d is the least element in $L(\wedge)$, then $d \in \Phi(L)$.*

For a, b in L , we write $a \parallel b$ if a is *incomparable* with b . The following result provides ways to generate elements in $\Phi(L)$ if $\Phi(L) \neq \emptyset$.

LEMMA 4[2]. *Let $L \in L(FD)$. If $a \in \Phi(L)$, $b \in M(L)$, and $a \parallel b$, then $a \vee b \in \Phi(L)$. Dually, if $a \in \Phi(L)$, $b \in J(L)$, and $a \parallel b$, then $a \wedge b \in \Phi(L)$.*

We now introduce a special class of minimal prime sublattices which play a prominent role in our main result. A minimal prime sublattice N of L , $L \in L(FD)$, is called a *solid* sublattice of L if (i) $\Phi(L) \cup N \in \text{Sub}(L)$ and (ii) $\Phi(L) \cup K \notin \text{Sub}(L)$ for any non-empty proper subset K of N . Clearly, for $x \in L$, the singleton $\{x\}$ is solid iff $x \in \text{Irr}(L)$. The set of all solid sublattices of L is denoted by $\text{sd}(L)$. Of course, $\text{sd}(L) \subseteq \text{mp}(L)$.

Recall that the lattice $\text{Sub}(L)$ is *pure* if $\text{Sub}^*(L) \equiv [\Phi(L), L]$ forms a Boolean sublattice of $\text{Sub}(L)$. In [3], Chen, Koh and Lee gave a sufficient condition on L , $L(FD)$, expressed in terms of solid sublattices of L , whereby $\text{Sub}(L)$ is pure. $\cup(X | X \in C)$ denotes $\cup(X | X \in C)$ where C is a collection of pairwise disjoint sets. Its proof is based on the following two results.

LEMMA 5[3]. *Let $L \in (FD)$. If $L - \Phi(L) = \cup(N | N \in C)$ where $C \subseteq \text{sd}(L)$, then for any $B \subseteq C$, $\Phi(L) \cup \cup(N | N \in B) \in \text{Sub}(L)$.*

LEMMA 6[3]. *Let $L \in L(FD)$ such that $L - \Phi(L) = \cup(N | N \in C)$ where $C \subseteq \text{sd}(L)$. If $A \in \text{Sub}^*(L)$, then $A = \Phi(L) \cup \cup(N | N \in B)$ for some $B \subseteq C$.*

The following result now follows from Lemmas 5 and 6.

LEMMA 7[3]. *Let $L \in L(FD)$. If $L - \Phi(L) = \cup(N | N \in C)$ where $C \subseteq \text{sd}(L)$, then the lattice $\text{Sub}(L)$ is pure.*

REMARK. The converse of Lemma 7 is not true as was noted in [3]. It is still not true even if L is finite, distributive, and *planar*. The

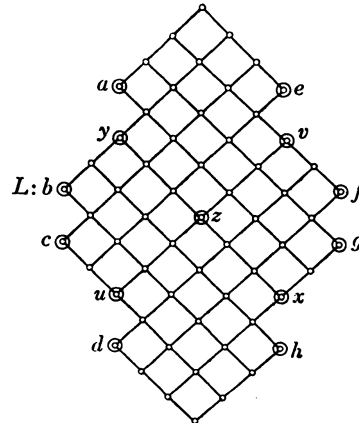


FIGURE 1

lattice of Figure 1, which is the smallest distributive and planar lattice we (with S. C. Lee) can find, provides such a counter example.

For the lattice L of Figure 1, we have $\Phi(L) = L - \text{Irr}(L) \cup [x, y] \cup [u, v]$ and $\text{Sub}^*(L) \cong 2^{10}$ (in general, 2^n denotes the Boolean lattice of n atoms), in which the ten atoms are $\Phi(L) \cup \{a\}$, $\Phi(L) \cup \{b\}$, \dots , $\Phi(L) \cup \{h\}$, $\Phi(L) \cup ([x, y] - \{z\})$ and $\Phi(L) \cup ([u, v] - \{z\})$. Thus $\text{Sub}(L)$ is pure. On the other hand, every solid sublattice of L is a singleton, $z \notin \Phi(L)$, and z is contained in no solid sublattice of L .

§ 2. Some further results.

To ease the proof of our main result in section 3, we first prove some new results in this section.

The results contained in Lemmas 5-7 require that $L - \Phi(L)$ be expressed as the *disjoint union* of some members of $\text{sd}(L)$. The following result says that every two distinct solid sublattices of L are automatically *disjoint*.

LEMMA 8. Let $L \in L(\text{FD})$, $N \in \text{sd}(L)$, and $M \in \text{mp}(L)$ be such that $\Phi(L) \cup M \in \text{Sub}(L)$. If $N \neq M$, then $N \cap M = \emptyset$.

PROOF. If $N \cap M \neq \emptyset$, let $x \in N \cap M$. Then $\Phi(L) \cup \{x\} \subseteq \Phi(L) \cup N \in \text{Sub}(L)$ and so $\Phi(L) < \langle \Phi(L) \cup \{x\} \rangle \leq \Phi(L) \cup N$ in $\text{Sub}(L)$. As $N \in \text{sd}(L)$, $\langle \Phi(L) \cup \{x\} \rangle = \Phi(L) \cup N$. Since $\Phi(L) \cup N = \langle \Phi(L) \cup \{x\} \rangle \subseteq \langle \Phi(L) \cup M \rangle = \Phi(L) \cup M$ by assumption, it follows that $N \subseteq M$. The fact that $M \in \text{mp}(L)$ and N is prime implies that $N = M$. Hence $N \cap M = \emptyset$ if $N \neq M$.

COROLLARY. Let $L \in L(\text{FD})$. If $N_1, N_2 \in \text{sd}(L)$ and $N_1 \neq N_2$, then $N_1 \cap N_2 = \emptyset$.

LEMMA 9. Let $L \in L(FD)$ and $a \notin \Phi(L)$.

(i) If $a \in \text{Irr}(L)$, then $\langle \Phi(L) \cup \{a\} \rangle = \Phi(L) \cup \{a\}$;

(ii) If $a \notin \text{Irr}(L)$, then

$$\{y \wedge (x \vee a) \mid x, y \in \Phi(L)\} = \langle \Phi(L) \cup \{a\} \rangle = \{y \vee (x \wedge a) \mid x, y \in \Phi(L)\}.$$

PROOF. (i) The fact that $\Phi(L) \cup \{a\} \in \text{Sub}(L)$ where $a \in \text{Irr}(L)$ follows from Lemma 4.

(ii) Let $K = \{y \wedge (x \vee a) \mid x, y \in \Phi(L)\}$. Clearly, $K \subseteq \langle \Phi(L) \cup \{a\} \rangle$. We now prove the reverse inclusion. Since $x = x \wedge (x \vee a) \in K$ for each $x \in \Phi(L)$, we have $\Phi(L) \subseteq K$. We claim that $a \in K$. Since $a \notin \text{Irr}(L)$, L is certainly not a chain. Thus $L(\vee) \neq \emptyset$ and $L(\wedge) \neq \emptyset$. Let $u = \min(x \mid x \in L(\wedge))$ and $v = \max(x \mid x \in L(\vee))$. By Lemma 3, $\{u, v\} \subseteq \Phi(L)$. It is clear that $u < a < v$. Thus $a = v \wedge (u \vee a) \in K$ by definition. Hence $\Phi(L) \cup \{a\} \subseteq K$. We next show that K is a sublattice of L . Thus, let $y_1 \wedge (x_1 \vee a)$ and $y_2 \wedge (x_2 \vee a)$ be in K where $\{x_1, x_2, y_1, y_2\} \subseteq \Phi(L)$. Observe that

$$\begin{aligned} & [y_1 \wedge (x_1 \vee a)] \vee [y_2 \wedge (x_2 \vee a)] \\ &= ([y_1 \wedge (x_1 \vee a)] \vee y_2) \wedge ([y_1 \wedge (x_1 \vee a)] \vee (x_2 \vee a)) \\ &= (y_1 \vee y_2) \wedge (x_1 \vee y_2 \vee a) \wedge (y_1 \vee x_2 \vee a) \wedge (x_1 \vee x_2 \vee a) \\ &= (y_1 \vee y_2) \wedge ([x_1 \vee y_2] \wedge (y_1 \vee x_2) \wedge (x_1 \vee x_2)) \vee a \in K, \end{aligned}$$

as $\{y_1 \vee y_2, (x_1 \vee y_2) \wedge (y_1 \vee x_2) \wedge (x_1 \vee x_2)\} \subseteq \Phi(L)$. Also,

$$[y_1 \wedge (x_1 \vee a)] \wedge [y_2 \wedge (x_2 \vee a)] = (y_1 \wedge y_2) \wedge [(x_1 \wedge x_2) \vee a] \in K.$$

Hence K forms a sublattice of L and we have $\langle \Phi(L) \cup \{a\} \rangle = K$. A dual argument shows that $\langle \Phi(L) \cup \{a\} \rangle = \{y \vee (x \wedge a) \mid x, y \in \Phi(L)\}$. The proof of Lemma 9 is thus complete.

LEMMA 10. Let $L \in L(FD)$ and $A \in \text{Sub}(L)$. If $A \succ \Phi(L)$ in $\text{Sub}(L)$, then

(i) $A - \Phi(L) \in \text{Sub}(L)$ and

(ii) $A - \Phi(L) \leq N$ in $\text{Sub}(L)$ for some $N \in \text{mp}(L)$.

PROOF. (i) Let $a, b \in A - \Phi(L)$, $a \neq b$. Clearly, $\{a \vee b, a \wedge b\} \subseteq A$. We shall show that $\{a \vee b, a \wedge b\} \subseteq A - \Phi(L)$. Let $B = \langle \Phi(L) \cup \{a\} \rangle$. Then $\Phi(L) < B \subseteq A$ in $\text{Sub}(L)$. The assumption that $A \succ \Phi(L)$ forces $B = A$. Thus $b \in A = \langle \Phi(L) \cup \{a\} \rangle$ and by Lemma 9, $b = y \wedge (x \vee a)$ for some x, y in $\Phi(L)$. Since $b \notin \Phi(L)$, $b \in N$ for some $N \in \text{mp}(L)$ by Lemma 2. Now $y \wedge (x \vee a) = b \in N$ and $y \notin N$ imply $x \vee a \in N$, which in turn implies $a \in N$ as $x \notin N$. Hence $\{a \vee b, a \wedge b\} \subseteq N$ and so $\{a \vee b, a \wedge b\} \subseteq A - \Phi(L)$.

(ii) Let a be an element in $A - \Phi(L)$. Then $a \in N$ for some $N \in \text{mp}(L)$

by Lemma 2. We shall show that $A - \Phi(L) \subseteq N$. Let $x \in A - \Phi(L)$. Then $\Phi(L) < \langle \Phi(L) \cup \{x \rangle \leq A$ in $\text{Sub}(L)$. The fact that $\Phi(L) \rightarrow A$ implies $A = \langle \Phi(L) \cup \{x \rangle$. By Lemma 9, $u \wedge (v \vee x) = a \in N$ for some u, v in $\Phi(L)$. Hence $x \in N$ as $u, v \notin N$. This shows that $A - \Phi(L) \subseteq N$ in $\text{Sub}(L)$ by (i).

§3. Main result.

For a lattice L , the lattice $\text{Sub}(L)$ is said to be *strongly pure* if (1) $\text{Sub}(L)$ is pure and (2) for each atom $\{a\}$ in $\text{Sub}(L) - \text{Sub}_*(L)$ there is exactly one atom A of $\text{Sub}^*(L)$ such that $a \in A$. Note that the uniqueness of such an atom A is automatically derived, because if $a \in A$ and $a \in B$ for two atoms A and B of $\text{Sub}^*(L)$ then $a \in A \cap B = \Phi(L)$, contrary to $a \notin \Phi(L)$. We are now in a position to give characterizations of L , $L \in L(FD)$, such that $\text{Sub}(L)$ is strongly pure.

THEOREM. *Let $L \in L(FD)$. The following are equivalent:*

- (i) $\text{Sub}(L)$ is strongly pure,
- (ii) $L - \Phi(L) = \cup(N | N \in \text{sd}(L))$,
- (iii) $\text{mp}(L) = \text{sd}(L)$.

PROOF. (i) \Rightarrow (ii). Since $\text{Sub}(L)$ is strongly pure, $\text{Sub}^*(L) \cong 2^n$ for some positive integer n . Let $\{A_i | i=1, 2, \dots, n\}$ be the set of atoms in $\text{Sub}^*(L)$. By condition (2) of the definition of strong purity, for each a in $L - \Phi(L)$, there exists a unique A_i , $i=1, 2, \dots, n$ such that $a \in A_i$. Evidently, $L = \cup(A_i | i=1, 2, \dots, n)$. Let $N_i = A_i - \Phi(L)$ for each $i=1, 2, \dots, n$. By Lemma 10, each N_i is a sublattice of L . Observe that

$$\begin{aligned} L - \Phi(L) &= \cup(A_i | i=1, 2, \dots, n) - \Phi(L) \\ &= \cup(A_i - \Phi(L) | i=1, 2, \dots, n) = \cup(N_i | i=1, 2, \dots, n) . \end{aligned}$$

We now prove the following:

Claim. Each sublattice N_i is prime in L .

Assume that N_r is not prime for some $r=1, 2, \dots, n$. Then there exist x, y in $L - N_r$ such that $x \vee y \in N_r$ or $x \wedge y \in N_r$ (say the former).

Case (i). $x \notin \Phi(L)$ and $y \notin \Phi(L)$.

Since $x, y \in L - \Phi(L) = \cup(N_i | i=1, 2, \dots, n)$ and $x, y \in L - N_r$, there exist $j, k=1, 2, \dots, n$, $j \neq r$ and $k \neq r$ such that $x \in N_j \subseteq A_j$ and $y \in N_k \subseteq A_k$. Clearly, $x \vee y \in \langle A_j \cup A_k \rangle$ in L which means $\{x \vee y\} \leq A_j \vee A_k$ in $\text{Sub}(L)$. As $x \vee y \in N_r$, we also have $\{x \vee y\} \leq N_r \leq A_r$ in $\text{Sub}(L)$. Since $\text{Sub}^*(L)$ is a Boolean lattice, it follows that

$$\{x \vee y\} \leq A_r \wedge (A_j \vee A_k) = (A_r \wedge A_j) \vee (A_r \wedge A_k) = \Phi(L) ,$$

which implies $x \vee y \in \Phi(L) \cap N_r$, a contradiction.

Case (ii). $x \in \Phi(L)$ and $y \notin \Phi(L)$.

Since $y \notin \Phi(L)$, $y \in N_k \subseteq A_k$ for some $k \neq r$. As $x \in \Phi(L) \subseteq A_k$, we have $x \vee y \in A_k$ or $\{x \vee y\} \leq A_k$ in $\text{Sub}(L)$. But then $\{x \vee y\} \leq A_r \wedge A_k = \Phi(L)$, which means that $x \vee y \in \Phi(L) \cap N_r$, a contradiction.

The case that $\{x, y\} \subseteq \Phi(L)$ is clearly impossible. Hence we conclude that each sublattice N_i must be prime in L , as required.

Now by Lemma 10, each $N_i = A_i - \Phi(L)$ is contained in some N , $N \in \text{mp}(L)$. Since N_i is prime and $N \in \text{mp}(L)$, we must have $N_i = N$, which shows that each N_i is itself a minimal prime sublattice.

Finally, we show that each N_i is solid. Apparently, $\Phi(L) \cup N_i = A_i \in \text{Sub}(L)$. If $\Phi(L) \cup K \in \text{Sub}(L)$ for some K with $\emptyset \subset K \subset N_i$, then $\Phi(L) < \Phi(L) \cup K < A_i$ in $\text{Sub}(L)$ which contradicts the fact that $A_i \succ \Phi(L)$ in $\text{Sub}(L)$. Hence $N_i \in \text{sd}(L)$ for each $i = 1, 2, \dots, n$. Now by Lemma 2 and the corollary to Lemma 8, we conclude that $L - \Phi(L) = \cup (N | N \in \text{sd}(L))$.

(ii) \Rightarrow (iii). It suffices to show that $\text{mp}(L) \subseteq \text{sd}(L)$. Thus, let $M \in \text{mp}(L)$.

Claim. $\Phi(L) \cup M \in \text{Sub}(L)$.

Let $x \in \Phi(L)$ and $y \in M$. If $x \vee y \notin \Phi(L)$, then by the assumption, $x \vee y \in L - \Phi(L) = \cup (N | N \in \text{sd}(L))$ and thus $x \vee y \in N$ for some $N \in \text{sd}(L)$. Since $x \notin N$, we must have $y \in N$. Observe that $\Phi(L) < \langle \Phi(L) \cup \{x \vee y\} \rangle \leq \Phi(L) \cup N$ in $\text{Sub}(L)$ and hence $\Phi(L) \cup N = \langle \Phi(L) \cup \{x \vee y\} \rangle$ since $N \in \text{sd}(L)$. As $y \in N \subseteq \Phi(L) \cup N = \langle \Phi(L) \cup \{x \vee y\} \rangle$, we have by Lemma 9, $u \wedge (w \vee (x \vee y)) = y \in M$ for some u, w in $\Phi(L)$. Since $u, w \notin M$ and $M \in \text{mp}(L)$, it follows that $x \vee y \in M$. Dually, we have $x \wedge y \in \Phi(L) \cup M$. Hence $\Phi(L) \cup M \in \text{Sub}(L)$, as claimed.

We now show that $M \in \text{sd}(L)$. By Lemma 2 and the given assumption, $M \subseteq L - \Phi(L) = \cup (N | N \in \text{sd}(L))$. Thus $M \cap N \neq \emptyset$ for some $N \in \text{sd}(L)$. Since $\Phi(L) \cup M \in \text{Sub}(L)$, it follows that $M = N \in \text{sd}(L)$ by Lemma 8. Hence $\text{mp}(L) \subseteq \text{sd}(L)$, as required.

(iii) \Rightarrow (i). By Lemma 2, the corollary to Lemma 8, and the given assumption, we have $L - \Phi(L) = \cup (N | N \in \text{mp}(L)) = \cup (N | N \in \text{sd}(L))$. Thus by Lemma 7, the lattice $\text{Sub}(L)$ must be pure. To show that $\text{Sub}(L)$ is strongly pure, it remains to show that every atom in $\text{Sub}(L) - \text{Sub}_*(L)$ is contained in exactly one atom of $\text{Sub}^*(L)$. Since $L - \Phi(L) = \cup (N | N \in \text{sd}(L))$, by Lemma 6, a sublattice A of L is an atom in $\text{Sub}^*(L)$ iff $A = \Phi(L) \cup N$ for some $N \in \text{sd}(L)$. Now, let $\{a\}$ be an atom in $\text{Sub}(L) - \text{Sub}_*(L)$. Then $a \in L - \Phi(L) = \cup (N | N \in \text{sd}(L))$ and so $a \in N$ for a unique $N \in \text{sd}(L)$. Thus, $\{a\}$ is contained in exactly one atom, namely $\Phi(L) \cup N$, of $\text{Sub}^*(L)$.

The proof of the theorem is thus complete.

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