

Sums of Finitely Many Ordinals of Various Kinds

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Abstract The ordinals $\alpha_1, \alpha_2, \dots, \alpha_n$ are said to be *pairwise-noncommutative* if for all $i, j = 1, 2, \dots, n$, if $i \neq j$, then $\alpha_i + \alpha_j \neq \alpha_j + \alpha_i$. For positive integers n and k , let Σ_n be the symmetric group on n letters and let E_n (respectively L_n, S_n, T_n , or P_n) be the set of all k for which there exist n (not necessarily distinct) nonzero ordinals (respectively, limit ordinals, successor ordinals, infinite successor ordinals, or pairwise-noncommutative ordinals) such that $\sum_{i=1}^n \alpha_{\phi(i)}$ takes on exactly k values as ϕ ranges over Σ_n . Then for all $n \geq 1$, $E_n = L_n = S_n = T_n$; $\min P_n = n$, and $\max P_n = \max E_n$. Furthermore, $P_1 = E_1$, $P_2 = E_2$, $P_3 = E_3 - \{1, 2\}$, and $P_4 = E_4 - \{1, 2, 3, 11\}$.

1 Introduction Addition of ordinal numbers depends upon the order of the summands. For each positive integer n , the maximum number, m_n , of distinct values that can be assumed by a sum of n nonzero ordinal numbers in all $n!$ permutations of the summands has been calculated by Erdős [1] and Wakulicz [3] and [4]. The first few values of m_n are as follows: $m_1 = 1$, $m_2 = 2$, $m_3 = 5$, $m_4 = 13$, $m_5 = 33$, $m_6 = 81$, $m_7 = 193$, $m_8 = 449$; moreover, it is known that $\lim_{n \rightarrow \infty} \frac{m_n}{n!} = 0$.

Let n and k be positive integers. Let Σ_n be the symmetric group on n letters. Let $\alpha_1, \alpha_2, \dots, \alpha_n$ be any n (not necessarily distinct) nonzero ordinals. We will say that $\alpha_1, \alpha_2, \dots, \alpha_n$ *yield k sums* if $\left\{ \sum_{i=1}^n \alpha_{\phi(i)} : \phi \in \Sigma_n \right\}$ is a k -element set. Let E_n be the set of all integers k for which there exist n (not necessarily distinct) nonzero ordinals that yield k sums. It is known that $E_n = \{1, 2, 3, \dots, m_n\}$ for $n = 1, 2, 3, 4, 6, 7$, and 8 ([2], [5], and [6]), that $E_5 = \{1, 2, 3, \dots, 29\} \cup \{31, 32, 33\}$ ([3]), and that E_n is properly included in $\{1, 2, 3, \dots, m_n\}$ for all $n \geq 9$ ([7]).

For every ordinal number $\alpha > 0$, let

$$(1) \quad \alpha = \omega^{\lambda_1} a_1 + \omega^{\lambda_2} a_2 + \dots + \omega^{\lambda_r} a_r$$

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be the (Cantor) normal form of α ; here r, a_1, a_2, \dots, a_r are positive integers and $\lambda_1 > \lambda_2 > \dots > \lambda_r \geq 0$ are ordinals. λ_1 is called the *degree of α* (written, “*deg α* ”) and a_1 , the *leading coefficient of α* . By the *remainder of α* , we mean $\omega^{\lambda_2}a_2 + \dots + \omega^{\lambda_r}a_r$ (or zero, if $r = 1$). By the *remainder form of α* , we mean $\omega^{\lambda_1}a_1 + \rho_1$, where λ_1 is the degree of α , a_1 is the leading coefficient of α , and ρ_1 is the remainder of α .

The ordinal numbers $\alpha_1, \alpha_2, \dots, \alpha_n$ are said to be *nonoverlapping* if for each i, j ($\neq i$) = $1, 2, \dots, n$, whenever $\lambda_i = \text{deg } \alpha_i > \text{deg } \alpha_j = \lambda_j$, then (1), the normal form of α_i , consists of terms all of which are of degree $> \lambda_j$. Addition of nonoverlapping ordinals is considerably simpler than in the general case, and is considered in [6]. Here and in [8] we consider the addition of various other types of ordinals.

2 Limit ordinals; successor ordinals Let L_n be the set of all integers k for which there exist n (not necessarily distinct) limit ordinals that yield k sums; let S_n be the set of all integers k for which there exist n (not necessarily distinct) successor ordinals that yield k sums, and let T_n be the set of all integers k for which there exist k (not necessarily distinct) infinite successor ordinals that yield k sums.

Theorem 1 For all $n = 1, 2, 3, \dots, E_n = L_n = S_n = T_n$.

Proof: Clearly, $L_n \subseteq E_n$ and $T_n \subseteq S_n \subseteq E_n$.

For any nonzero ordinal α whose normal form is given by (1), let

$$\alpha' = \omega^{\lambda_1+1}a_1 + \omega^{\lambda_2+1}a_2 + \dots + \omega^{\lambda_r+1}a_r$$

$$\alpha'' = \begin{cases} \alpha + 1, & \text{if } \alpha \text{ is infinite} \\ \alpha & , \text{if } \alpha \text{ is finite} \end{cases}$$

and

$$\alpha''' = \omega^{\lambda_1+1}a_1 + \omega^{\lambda_2+1}a_2 + \dots + \omega^{\lambda_r+1}a_r + 1.$$

Let $k \in E_n$ and let $\alpha_1, \alpha_2, \dots, \alpha_n$ yield k sums. Suppose that for some $\phi \in \Sigma_n$,

$$\sum_{i=1}^n \alpha_{\phi(i)} = \omega^{\delta_1}b_1 + \omega^{\delta_2}b_2 + \dots + \omega^{\delta_s}b_s.$$

Then

$$\sum_{i=1}^n (\alpha_{\phi(i)}') = \omega^{\delta_1+1}b_1 + \omega^{\delta_2+1}b_2 + \dots + \omega^{\delta_s+1}b_s$$

so that $\alpha_1', \alpha_2', \dots, \alpha_n'$ yield k sums, and consequently, $E_n \subseteq L_n$. Clearly $1 \in S_n$ for all n . To see that $E_n \subseteq S_n$ for all n , we can assume that at least one of the ordinals $\alpha_1, \alpha_2, \dots, \alpha_n$ is infinite. Then

$$\sum_{i=1}^n (\alpha_{\phi(i)}'') = \left(\sum_{i=1}^n \alpha_{\phi(i)} \right) + 1$$

so that $\alpha_1'', \alpha_2'', \dots, \alpha_n''$ yields k sums, and $E_n \subseteq S_n$. Finally,

$$\sum_{i=1}^n (\alpha_{\phi(i)}''') = \omega^{\delta_1+1}b_1 + \omega^{\delta_2+1}b_2 + \dots + \omega^{\delta_s+1}b_s + 1$$

so that $\alpha_1''', \alpha_2''', \dots, \alpha_n'''$ yield k sums, and $E_n \subseteq T_n$. Thus for all n , $E_n = L_n = S_n = T_n$, as was to be proved.

3 Pairwise-noncommutative ordinals Let $\alpha = \omega^{\lambda_1}a_1 + \rho$ and $\beta = \omega^{\mu_1}b_1 + \sigma$ be the remainder forms of the nonzero ordinals α and β , respectively. Then it is well-known that $\alpha + \beta = \beta + \alpha$ if and only if $\lambda_1 = \mu_1$ and $\rho = \sigma$. In other words, two nonzero ordinals commute if and only if they agree in their degrees and in their remainders.

Let $\alpha_1, \alpha_2, \dots, \alpha_n$ be any n nonzero ordinals. Then $\alpha_1, \alpha_2, \dots, \alpha_n$ are said to be *pairwise-noncommutative* if for all $i, j = 1, 2, \dots, n$, if $i \neq j$, then $\alpha_i + \alpha_j \neq \alpha_j + \alpha_i$. In many of the examples in [2], [3], [5], and [6], ordinals repeat, or more than one ordinal is finite, or several ordinals are integral multiples of ω . These examples thus make use of n ordinals, at least two of which commute. Addition of pairwise-noncommutative ordinals is considerably more restrictive.

For each n , let P_n be the set of all integers k for which there exist n pairwise-noncommutative ordinals that yield k sums.

Lemma 1 Suppose that for ordinals α and β , $\alpha + \beta \neq \beta + \alpha$.
 If $\text{deg } \beta < \text{deg } \alpha$, then

$$\alpha = \beta + \alpha < \alpha + \beta.$$

If $\text{deg } \beta = \text{deg } \alpha$ and $\text{rem } \beta < \text{rem } \alpha$, then

$$\alpha + \beta < \beta + \alpha.$$

Theorem 2 For all $n \geq 1$, $\min P_n = n$ and $\max P_n = m_n$.

Proof: We first show that for all $n \geq 1$, every set of n pairwise-noncommutative ordinals yields at least n distinct sums. For $n = 1$, this is obvious.

Let $n > 1$ and suppose that for $1 \leq k < n$, every set of k pairwise-noncommutative ordinals yields at least k distinct sums. Suppose that $\alpha_1, \alpha_2, \dots, \alpha_n$ are pairwise-noncommutative ordinals and $\alpha_1 < \alpha_2 < \dots < \alpha_n$. If $\text{deg } \alpha_{n-1} < \text{deg } \alpha_n$, let A_1, A_2, \dots, A_{n-1} be sums for $\alpha_1, \alpha_2, \dots, \alpha_{n-1}$ such that $A_1 < A_2 < \dots < A_{n-1}$. Then $\text{deg } A_1 < \text{deg } \alpha_n$ so that, by Lemma 1,

$$A_1 + \alpha_n = \alpha_n < \alpha_n + A_1 < \alpha_n + A_2 < \dots < \alpha_n + A_{n-1}$$

and consequently,

$$A_1 + \alpha_n, \alpha_n + A_1, \alpha_n + A_2, \dots, \alpha_n + A_{n-1}$$

are n distinct sums for $\alpha_1, \alpha_2, \dots, \alpha_n$.

If $\text{deg } \alpha_{n-1} = \text{deg } \alpha_n$, let m be the smallest index for which $\text{deg } \alpha_m = \text{deg } \alpha_n$. If $m = 1$ and if A_1, A_2, \dots, A_{n-1} are distinct sums for $\alpha_1, \alpha_2, \dots, \alpha_{n-1}$ such that $A_1 < A_2 < \dots < A_{n-1}$, then because $\alpha_1, \alpha_2, \dots, \alpha_n, A_1, A_2, \dots$, and A_{n-1} are all of the same degree and because

$$\begin{aligned} \text{rem } A_1 = \text{rem } \alpha_1 < \text{rem } \alpha_2 = \text{rem } A_2 < \dots < \\ \text{rem } \alpha_{n-1} = \text{rem } A_{n-1} < \text{rem } \alpha_n \end{aligned}$$

it follows that

$$\alpha_n + A_1 < \alpha_n + A_2 < \dots < \alpha_n + A_{n-1} < A_{n-1} + \alpha_n$$

so that $\alpha_n + A_i, i = 1, 2, \dots, n - 1$, together with $A_{n-1} + \alpha_n$ are n distinct sums for $\alpha_1, \alpha_2, \dots, \alpha_n$.

If $m > 1$, then let

$$\begin{aligned} B_m &= \sum_{i=1}^{m-1} \alpha_i + \sum_{i=m+1}^{n-1} \alpha_i + \alpha_m = \sum_{i=m+1}^{n-1} \alpha_i + \alpha_m \\ B_{m+1} &= \sum_{i=1}^m \alpha_i + \sum_{i=m+2}^{n-1} \alpha_i + \alpha_{m+1} = \alpha_m + \sum_{i=m+2}^{n-1} \alpha_i + \alpha_{m+1} \\ &\vdots \\ B_{n-1} &= \sum_{i=1}^{n-1} \alpha_i = \sum_{i=m}^{n-1} \alpha_i. \end{aligned}$$

Then $B_m < B_{m+1} < \dots < B_{n-1}$, so that $B_m, B_{m+1}, \dots, B_{n-1}$ are $n - m$ distinct sums for $\alpha_m, \alpha_{m+1}, \dots, \alpha_{n-1}$ as well as for $\alpha_1, \alpha_2, \dots, \alpha_{n-1}$. Moreover,

(2) $\alpha_n + B_m < \alpha_n + B_{m+1} < \dots < \alpha_n + B_{n-1}$

so that $\alpha_n + B_i, i = m, m + 1, \dots, n - 1$, are $n - m$ distinct sums for $\alpha_1, \alpha_2, \dots, \alpha_n$. Furthermore, by the inductive hypothesis, there are (at least) m distinct sums, $C_1, C_2, \dots, C_{m-1}, C_n$ for $\alpha_1, \alpha_2, \dots, \alpha_{m-1}, \alpha_n$. We can assume that $C_1 < C_2 < \dots < C_{m-1} < C_n$, and consequently,

$$B_{n-1} + C_1 < B_{n-1} + C_2 < \dots < B_{n-1} + C_{m-1} < B_{n-1} + C_n.$$

Each of the ordinals $B_{n-1} + C_i, i = 1, 2, \dots, m - 1, n$, is a sum for $\alpha_1, \alpha_2, \dots, \alpha_n$. Finally, using the lemma, we see that

(3) $\alpha_n + B_{n-1} < B_{n-1} + \alpha_n \leq B_{n-1} + C_1 < B_{n-1} + C_2 < \dots < B_{n-1} + C_{m-1} < B_{n-1} + C_n$

so that by (2) and (3),

$$\begin{aligned} \alpha_n + B_m &< \alpha_n + B_{m+1} < \dots < \alpha_n + B_{n-1} < B_{n-1} + C_1 \\ &< B_{n-1} + C_2 < \dots < B_{n-1} + C_{m-1} < B_{n-1} + C_n. \end{aligned}$$

This proves that $\alpha_n + B_i, i = m, m + 1, \dots, n - 1$, together with $B_{n-1} + C_j, j = 1, 2, \dots, m - 1, n$, are n distinct sums for $\alpha_1, \alpha_2, \dots, \alpha_n$.

For all $n \geq 1, \omega + 1, \omega + 2, \dots, \omega + n$ are n pairwise-noncommutative ordinals with sums $\omega n + 1, \omega n + 2, \dots, \omega n + n$. Thus, $\min P_n = n$. Finally, Wakulicz [3] has shown, in effect, that the maximal sum, m_n , for E_n can always be obtained by using n pairwise-noncommutative ordinals of the form

$$\begin{aligned} \omega^{2r}; \omega^{2r-1} + \omega^{2r-2}, \omega^{2r-1} \cdot 2 + \omega^{2r-2} \cdot 2, \omega^{2r-1} \cdot 4 + \omega^{2r-2} \cdot 3, \\ \dots, \omega^{2r-1} \cdot 2^{x_{r-1}} + \omega^{2r-2} \cdot x_r; \\ \omega^{2r-3} + \omega^{2r-4}, \omega^{2r-3} \cdot 2 + \omega^{2r-4} \cdot 2, \omega^{2r-3} \cdot 4 + \omega^{2r-4} \cdot 3, \\ \dots, \omega^{2r-3} \cdot 2^{x_{r-1}-1} + \omega^{2r-4} \cdot x_{r-1}; \\ \vdots \\ \omega + 1, \omega 2 + 2, \omega 4 + 3, \dots, \omega 2^{x_1-1} + x_1, \end{aligned}$$

where $x_1 + x_2 + \dots + x_r = n - 1$.

Corollary $P_1 = \{1\} = E_1$ and $P_2 = \{2\} = E_2 - \{1\}$.

Theorem 3 Let $n \geq 2$. Then the following integers are in P_n :

- (a) $n, n + 1, \dots, 2n - 2$
- (b) For $n \geq 3$ and for $1 \leq \ell \leq n - 2$, all integers of the form $(n - 2)^2 + \ell(n - 2) + 2$
- (c) For $n \geq 4$, $n(n - 1)$
- (d) For $n \geq 5$, $n^2 - 2$
- (e) 2^{n-1}
- (f) $n^2 - 3n + 3$
- (g) $n^2 - 3n + 4$.

Proof: Unless otherwise indicated, assume $n \geq 2$.

(a) For $1 \leq \ell \leq n - 1$, the n pairwise-noncommutative ordinals $\omega + 1, \omega + 2, \dots, \omega + (n - 1)$, and ℓ have sums

$$\omega(n - 1) + 1, \omega(n - 1) + 2, \dots, \omega(n - 1) + n - 1 + \ell.$$

Thus $\{n, n + 1, \dots, 2n - 2\} \subseteq P_n$.

(b) Let $n \geq 3$ and let $1 \leq \ell \leq n - 2$. Then $\omega^2, \omega + 1, \omega + 2, \dots, \omega + (n - 2)$, and ℓ have sums $\omega^2, \omega^2 + \ell; \omega^2 \cdot i + j$, where $1 \leq i \leq n - 2$ and $1 \leq j \leq n - 2 + \ell$. Consequently, for each such ℓ there are $(n - 2)^2 + \ell(n - 2) + 2$ distinct sums.

(c) For $n \geq 4$, the ordinals $\omega^2; \omega^2 + 1, \omega + 2, \omega + 3, \omega + (n - 1)$ yield the $n(n - 1)$ distinct sums $\omega^2; \omega^2 + \omega + j$, for $2 \leq j \leq n - 1; \omega^2 + \omega i + j$, for $2 \leq i \leq n$ and $1 \leq j \leq n - 1$.

(d) For $n \geq 5$, the ordinals $\omega^2, \omega^3 + 1, \omega + 2, \omega + 3, \dots, \omega + (n - 1)$ have as sums $\omega^2; \omega^2 + \omega i + j$, for $i = 1, 2$ and $2 \leq j \leq n - 1; \omega^2 + \omega i + j$, for $3 \leq i \leq n + 1$ and $1 \leq j \leq n - 1$. Thus there are $(n - 1)^2 + 2(n - 2) + 1$, or $n^2 - 2$ distinct sums.

(e) The ordinals $\omega^{n-1}, \omega^{n-2}, \dots, \omega^2, \omega, 1$ yield 2^{n-1} distinct sums.

(f) The ordinals $\omega^2, \omega^2 + \omega, \omega, \omega + 1, \omega + 2, \dots, \omega + (n - 3)$ have as sums $\omega^2 \cdot 2; \omega^2 \cdot 2 + \omega i + j$, for $1 \leq i \leq n - 1$ and $0 \leq j \leq n - 3$. There are $n^2 - 3n + 3$ distinct sums.

(g) The ordinals $\omega^2, \omega + 2, \omega + 4, \dots, \omega + 2(n - 2), 2$ have as sums $\omega^2, \omega^2 + 2; \omega^2 + \omega i + 2j$, for $1 \leq i \leq n - 2$ and $1 \leq j \leq n - 1$. There are $n^2 - 3n + 4$ distinct sums.

Theorem 4 $P_3 = \{3, 4, 5\} = E_3 - \{1, 2\}$.

Proof: $P_3 \subseteq E_3 = \{3, 4, 5\}$. Moreover $\{3, 5\} \subseteq P_3$ by Theorem 2 and $4 \in P_3$ by part (a) of Theorem 3.

Lemma 2 In order for 4 ordinals to yield 11 or more different sums, one of these must have highest degree and the other three must have the same degree.

Proof: Given any 4 ordinals, let δ be the highest degree of any of these. Then it is easily seen that if all 4 ordinals are of degree δ , there are at most 4 different sums; if 3 of the ordinals are of degree δ , there are at most 6 different sums; if 2 of the ordinals are of degree δ there are at most 10 different sums.

Now suppose that exactly one of the ordinals, α_δ , is of degree δ . Let γ be the highest degree among the other 3 ordinals. If exactly one ordinal, α_γ , is of degree γ and if β_1 and β_2 are the remaining ordinals, there are at most 10 possible sums: $\alpha_\delta, \alpha_\delta + \beta_1, \alpha_\delta + \beta_2, \alpha_\delta + \beta_1 + \beta_2, \alpha_\delta + \beta_2 + \beta_1, \alpha_\delta + \alpha_\gamma, \alpha_\delta + \alpha_\gamma + \beta_1, \alpha_\delta + \alpha_\gamma + \beta_2, \alpha_\delta + \alpha_\gamma + \beta_1 + \beta_2$, and $\alpha_\delta + \alpha_\gamma + \beta_2 + \beta_1$. If exactly two ordinals, α_1 and α_2 are of degree γ and if β is the remaining ordinal, there are at most 10 possible sums: $\alpha_\delta, \alpha_\delta + \beta, \alpha_\delta + \alpha_1, \alpha_\delta + \alpha_2, \alpha_\delta + \alpha_1 + \alpha_2, \alpha_\delta + \alpha_2 + \alpha_1, \alpha_\delta + \alpha_1 + \beta, \alpha_\delta + \alpha_2 + \beta, \alpha_\delta + \alpha_1 + \alpha_2 + \beta$, and $\alpha_\delta + \alpha_2 + \alpha_1 + \beta$. The lemma is thereby established.

Lemma 3 4 pairwise noncommutative ordinals cannot yield 11 sums.

Proof: By Lemma 2, it suffices to consider ordinals with remainder form $\omega^\gamma \ell_i + \rho_i$ for $i = 1, 2$, and 3 together with α , where $\text{deg}(\alpha) > \gamma$. Clearly, because the ordinals are pairwise-noncommutative, ρ_1, ρ_2 , and ρ_3 are distinct. We can assume $\ell_1 \leq \ell_2 \leq \ell_3$. The possible sums for these ordinals are then

- $\beta_1 = \alpha$
- $\beta_2 = \alpha + \omega^\gamma \ell_1 + \rho_1$
- $\beta_3 = \alpha + \omega^\gamma \ell_2 + \rho_2$
- $\beta_4 = \alpha + \omega^\gamma \ell_3 + \rho_3$
- $\beta_5 = \alpha + \omega^\gamma (\ell_1 + \ell_2) + \rho_1$
- $\beta_6 = \alpha + \omega^\gamma (\ell_1 + \ell_2) + \rho_2$
- $\beta_7 = \alpha + \omega^\gamma (\ell_1 + \ell_3) + \rho_1$
- $\beta_8 = \alpha + \omega^\gamma (\ell_1 + \ell_3) + \rho_3$
- $\beta_9 = \alpha + \omega^\gamma (\ell_2 + \ell_3) + \rho_2$
- $\beta_{10} = \alpha + \omega^\gamma (\ell_2 + \ell_3) + \rho_3$
- $\beta_{11} = \alpha + \omega^\gamma (\ell_1 + \ell_2 + \ell_3) + \rho_1$
- $\beta_{12} = \alpha + \omega^\gamma (\ell_1 + \ell_2 + \ell_3) + \rho_2$
- $\beta_{13} = \alpha + \omega^\gamma (\ell_1 + \ell_2 + \ell_3) + \rho_3$

Some of these 13 sums may be the same.

If $\ell_1 = \ell_2 = \ell_3$, then $\beta_5 = \beta_7, \beta_6 = \beta_9$, and $\beta_8 = \beta_{10}$, so that there are 10 distinct sums.

If $\ell_1 = \ell_2 < \ell_3$, then $\beta_8 = \beta_{10}$, and there are 12 distinct sums.

If $\ell_1 < \ell_2 = \ell_3$, then $\beta_5 = \beta_7$, and there are 12 distinct sums.

If $\ell_1 < \ell_2 < \ell_3$, then there are 13 distinct sums.

Theorem 5 $P_4 = \{4, 5, 6, 7, 8, 9, 10, 12, 13\}$
 $= E_4 - \{1, 2, 3, 11\}$.

Proof: By [5] together with Theorem 2 and Lemma 3 of this paper, $P_4 \subseteq \{4, 5, 6, 7, 8, 9, 10, 12, 13\}$. Moreover, $\{4, 13\} \subseteq P_4$ by Theorem 2, $\{5, 6\} \subseteq P_4$ by Theorem 3 (a), $\{8, 10\} \subseteq P_4$ by Theorem 3 (b), $12 \in P_4$ by Theorem 3 (c), and $7 \in P_4$ by Theorem 3 (f). Finally, the ordinals $\omega^2, \omega, \omega^2 + 1$, and 1 have 9 distinct sums: $\omega^2, \omega^2 + 1, \omega^2 + \omega, \omega^2 + \omega + 1, \omega^2 + \omega^2 + 1, \omega^2 + \omega^2 + 2, \omega^2 + \omega^3, \omega^2 + \omega^3 + 1$, and $\omega^2 + \omega^3 + 2$.

The cases of 5 and 6 pairwise-noncommutative ordinals will be considered in [8].

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