

SOBER SPACES AND SOBER SETS

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Abstract. We introduce and study the notion of sober partially ordered sets. Some questions about sober spaces are also stated.

Introduction. The notion of sober spaces was first introduced by the Grothendieck school. Several authors have been interested in sober spaces (see [1, 7, 9, 14–18, 21, 23–25, 27–29]).

In [11], H. Herrlich showed that sober spaces constitute the reflective hull of the Sierpinski space in the category TOP of topological spaces and continuous maps.

In [28], L. Skula introduced sober spaces as b -closed subspaces of powers of the Sierpinski space.

Other investigations described sober spaces in terms of certain open filters (see H. Herrlich [11] and S. S. Hong [19]).

R. Hoffman [14] gave a definition of “sober spaces” in terms of irreducible filters; this definition is “more natural” than any other topological approach to sober spaces.

Let L be a complete lattice. An element $x \in L$ is said to be coprime if for all finite subsets F of L , if $x \leq \vee F$, then $F \cap (x \uparrow) \neq \emptyset$. We let $Spec_{\vee}(L)$ denote the family of all coprimes of L .

The hull-kernel topology on $Spec(L)$ is the topology whose closed sets are the $C = (\downarrow x) \cap Spec_{\vee}(L)$, where $x \in L$. A closed subset of a topological space X is irreducible if C is coprime in $\Gamma(X)$ (the lattice of closed sets of X). The space X is said to be *sober* if every irreducible closed subset C of X has a unique generic point (i.e., $C = \overline{\{x\}}$ for a unique $x \in X$).

We let SOB denote the full subcategory of TOP whose objects are sober spaces.

Recall that a continuous map $q: Y \rightarrow Z$ is said to be a *quasihomomorphism* if $U \mapsto q^{-1}(U)$ defines a bijection $\mathcal{O}(Z) \rightarrow \mathcal{O}(Y)$ [10], where $\mathcal{O}(Y)$ is the set of all open subsets of the space Y . A subset S of a topological space X is said to be *strongly dense* in X if S meets every nonempty locally closed subset of X [10]. Thus, a subset S of X is strongly dense if and only if the canonical injection $S \hookrightarrow X$ is a quasihomomorphism. It is well-known that a continuous map $q: X \rightarrow Y$ is a quasihomomorphism if and only if the topology of X is the inverse image by q of that of Y and

the subset $q(X)$ is strongly dense in Y [10]. The notion of quasihomomorphism is used in algebraic geometry and it has recently been shown that this notion arises naturally in the theory of some foliations associated with closed connected manifolds (see [4, 5]).

The following properties are routine.

- (a) $Spec_{\vee}(\Gamma(X))$ is a sober space.
- (b) $\mu_X: X \rightarrow Spec_{\vee}(\Gamma(X))$ is a quasihomomorphism.
- (c) The functor $Spec_{\vee} \circ \Gamma: TOP \rightarrow SOB$ is left adjoint to the inclusion functor $I: SOB \hookrightarrow TOP$.

It is clear, that if X is a T_0 -space, then X can be universally embedded into its soberification $Spec_{\vee}(\Gamma(X))$.

Given a poset (X, \leq) and $x \in X$, the *generization* of x in X is $(\downarrow x) = \{y \in X \mid y \leq x\}$, the *specialization* of x in X is $(x \uparrow) = \{y \in X \mid y \geq x\}$. Let X have a topology \mathcal{T} and a partial ordering \leq . We say that \mathcal{T} is *compatible* with \leq if $\overline{\{x\}} = (x \uparrow)$ for all $x \in X$.

We will say that a poset (X, \leq) is a *sober set* if there is a topology \mathcal{T} on X which is compatible with the ordering \leq .

The main purpose of this paper is the investigation of sober sets.

Let (X, \mathcal{T}) be a space which has a basis of compact open sets. We let X^* denote its dual (equipped with the cocompact topology). In Theorem 2.7 we prove that if X and X^* are sober, then (X, \leq) satisfies Kaplansky's two conditions K_1 and K_2 , where \leq is the ordering induced by the topology \mathcal{T} .

In Theorem 2.9 we prove that, when (X, \leq) is a totally ordered set, (X, \leq) is a sober set if and only if each nonempty subset of X has an infimum.

It is also proved that a space X is sober if and only if its one-point compactification is sober. Some questions concerning T_0 -compactifications and Wallman compactification are also stated.

1. Sober Spaces and Sober Sets.

Let X be a topological space.

- (1) The open sets of the hull-kernel topology on $Spec_{\vee}(\Gamma(X))$ are of the form $U^s = \{C \in Spec_{\vee}(\Gamma(X)) \mid C \cap U \neq \emptyset\}$, where U is open in X .
- (2) If $C \in Spec_{\vee}(\Gamma(X))$, then the closure $\overline{\{C\}}$ of $\{C\}$ for the hull-kernel topology is $(\downarrow C)$. Thus, the hull-kernel topology on $Spec_{\vee}(\Gamma(X))$ is compatible with the order \supseteq .

Let \leq be a quasi-order on a set X . A subset Y of X is said to be *left-directed* in (X, \leq) if for each $x, y \in Y$, there is some $z \in Y$ such that $z \leq x$ and $z \leq y$.

Let (X, \mathcal{T}) be a topological space. By the *quasi-order induced by the topology \mathcal{T}* , we mean the binary relation \leq defined on X by $x \leq y$ if and only if $y \in \overline{\{x\}}$.

Remarks 1.1.

- (1) Let (X, \mathcal{T}) be a topological space and \leq be the quasi-order induced by the topology \mathcal{T} . If Y is a subset of X and Y is left-directed, then Y is irreducible in (X, \mathcal{T}) .
- (2) Suppose that (X, \mathcal{T}) is an Alexandroff space (any intersection of open sets of (X, \mathcal{T}) is open). Then a subset $Y \subseteq X$ is irreducible if and only if Y is left-directed [17].

The following definitions are natural.

Definition 1.2.

- (1) Let (X, \leq) be a quasi-ordered set and Y a nonempty subset of X . By a *quasi-infimum* (resp. *quasi-supremum*) of Y , we mean an element $x \in X$ such that $x \leq y$ (resp. $y \leq x$) for each $y \in Y$; and if $z \in X$ is such that $z \leq y$ (resp. $y \leq z$) for each $y \in Y$, we have $z \leq x$ (resp. $x \leq z$).
- (2) A sequence $(x_n)_{n \in \mathbb{N}}$ in a quasi-ordered set is said to be *quasi-stationary* if there is $p \in \mathbb{N}$ such that $x_n \leq x_p$ and $x_p \leq x_n$ for each $n \geq p$.

A space X is called *quasi-sober* [19] if and only if every nonempty irreducible closed subset has at least a generic point. Clearly, a space is sober if and only if it is a quasi-sober T_0 -space.

Proposition 1.3. Let (X, \mathcal{T}) be a quasi-sober space and \leq the quasi-order induced by the topology \mathcal{T} . Then each left-directed subset of (X, \leq) has a quasi-infimum in its closure.

Proof. Let Y be a left-directed subset of X . Then Y is an irreducible subset of X by Remark 1.1, so \overline{Y} has a generic point a ; $\overline{\{a\}} = \overline{Y}$. Thus, $a \leq y$ for each $y \in Y$. On the other hand, if $z \in X$ is such that $z \leq y$ for each $y \in Y$, then $Y \subseteq \overline{\{z\}}$. Therefore, $\overline{Y} \subseteq \overline{\{z\}}$; and consequently, $z \leq a$, proving that a is an infimum of Y .

Recall that an Alexandroff space is a topological space in which any intersection of open sets is open. A T_0 -Alexandroff space is sometimes

called discrete Alexandroff. It is worth noting that Alexandroff spaces have several applications, especially in digital topology and theoretical computer science. Also, Alexandroff T_0 -spaces have been studied by Ivashchenko as discrete topological models of continuous spaces in theoretical physics [20].

The following result gives a complete characterization of Alexandroff quasi-sober spaces.

Theorem 1.4. Let X be an Alexandroff space. Then the following statements are equivalent:

- (i) X is quasi-sober;
- (ii) Each decreasing sequence of (X, \leq) is quasi-stationary, where \leq is the quasi-order induced by the topology.

Proof. (i) \implies (ii) Let $(x_n)_{n \in \mathbb{N}}$ be a decreasing sequence of (X, \leq) . Since $Y = \{x_n \mid n \in \mathbb{N}\}$ is left-directed, then Y has a quasi-infimum a in \overline{Y} , by Proposition 1.3; so that $\overline{\{a\}} = \overline{Y}$.

But $(\downarrow a)$ is an open subset of X containing a ; this yields $(\downarrow a) \cap Y \neq \emptyset$. Hence, there is $p \in \mathbb{N}$ such that $x_p \in (\downarrow a)$. Therefore, $x_n \leq x_p \leq a \leq x_n \leq x_p$ for each $n \geq p$, proving that the sequence $(x_n)_{n \in \mathbb{N}}$ is quasi-stationary.

(ii) \implies (i) Let C be an irreducible closed subset of X . Suppose that C has no generic point. Pick $x_0 \in C$. Then $\overline{\{x_0\}} \subseteq C$; so that there is $y_0 \in C$ such that $y_0 \notin \overline{\{x_0\}}$; consequently, $\overline{\{x_0\}} \cup \overline{\{y_0\}} \subseteq C$. Since C is left-directed (see Remarks 1.1), there is an $x_1 \in C$ such that $x_1 \leq x_0$ and $x_1 \leq y_0$.

Necessarily, $x_0 \not\leq x_1$; if not $\overline{\{x_0\}} = \overline{\{x_1\}}$ and thus, $y \in \overline{\{x_1\}} = \overline{\{x_0\}}$, a contradiction. One may do the same thing for $x_1 \in C$ in order to get $x_2 \in C$ such that $x_2 \leq x_1$ and $x_1 \not\leq x_2$, etc. This procedure provides a decreasing sequence $(x_n)_{n \in \mathbb{N}}$ of elements of C which is not quasi-stationary, a contradiction. It follows that C has a generic point.

Links between sober and quasi-sober spaces are given by S. S. Hong in [19] by proving that a space is quasi-sober if and only if its T_0 -reflection is sober.

The following provides a more general result concerning sober and quasi-sober spaces.

Theorem 1.5. Let $q: X \longrightarrow Y$ be a quasihomomorphism. Then the following properties hold:

- (1) If q is onto, then the following statements are equivalent:
 - (i) X is quasi-sober;

- (ii) Y is quasi-sober.
- (2) Suppose that Y is sober; then the following statements are equivalent:
 - (i) q is onto;
 - (ii) X is quasi-sober.

Proof. (1) (i) \implies (ii) Note that we need not assume that q is onto for this implication.

Suppose that X is quasi-sober. Let C be an irreducible closed subset of Y . Then $q^{-1}(C)$ is an irreducible closed subset of X [2]. Hence, there exists an $x \in q^{-1}(C)$ such that $q^{-1}(C) = \overline{\{x\}}$. Thus, $q^{-1}(C) = \overline{\{x\}} \subseteq q^{-1}(\overline{\{q(x)\}}) \subseteq q^{-1}(C) = \overline{\{x\}}$.

It follows that $q^{-1}(C) = q^{-1}(\overline{\{q(x)\}})$. Therefore, $C = \overline{\{q(x)\}}$ so that C has a generic point.

We conclude that Y is quasi-sober.

(ii) \implies (i) We begin by remarking that if q is an onto quasihomomorphism, then q is a closed map and $q^{-1}(q(C)) = C$ for each closed subset C of X [8].

Let C be an irreducible closed subset of X .

According to [2] and the fact that q is a quasihomomorphism, there exists an irreducible closed subset D of Y such that $C = q^{-1}(D)$. Hence, D has a generic point y . Let $x \in X$ such that $y = q(x)$. Thus, $C = q^{-1}(\overline{\{q(x)\}})$. But q is a closed map; this yields

$$C = q^{-1}(\overline{\{q(x)\}}) = q^{-1}(q(\overline{\{x\}})) = \overline{\{x\}}.$$

Therefore, X is quasi-sober.

(2) It remains to prove that if X is quasi-sober, then q is onto.

Assume that X is quasi-sober. For each $y \in Y$, $q^{-1}(\overline{\{y\}})$ is an irreducible closed subset of X by [2]. Hence, $q^{-1}(\overline{\{y\}})$ has a generic point x . Clearly, we have

$$\overline{\{x\}} \subseteq q^{-1}(\overline{\{q(x)\}}) \subseteq q^{-1}(\overline{\{y\}}) = \overline{\{x\}}.$$

Thus, $q^{-1}(\overline{\{q(x)\}}) = q^{-1}(\overline{\{y\}})$; so that $\overline{\{q(x)\}} = \overline{\{y\}}$; but since Y is a T_0 -space, we get $q(x) = y$.

This proves that q is an onto map.

Let us recall the T_0 -reflection of a topological space. It is well-known that to each topological space X there is a universal T_0 -space. Let \sim be the equivalence relation defined on X by $x \sim y$ if and only if $\overline{\{x\}} = \overline{\{y\}}$. We

let $\mathbf{T}_0(X)$ denote the quotient space X/\sim ; this is called the T_0 -reflection of X .

Corollary 1.6. [19] Let X be a topological space. Then X is quasi-sober if and only if its T_0 -reflection is sober.

Proof. Let $\mathbf{T}_0(X)$ be the T_0 -reflection of X . Then the canonical map $\mu_X: X \rightarrow \mathbf{T}_0(X)$ is an onto quasihomeomorphism, so that Theorem 1.5 completes the proof.

2. Quasi-sober Sets.

Definition 2.1. A quasi-ordered set (X, \leq) is said to be *quasi-sober* if there exists a quasi-sober topology \mathcal{T} which is compatible with \leq (i.e., $\overline{\{x\}} = (x \uparrow)$ for each $x \in X$). When \leq is an ordering and (X, \leq) is quasi-sober, we say that (X, \leq) is a *sober set*.

Remark 2.2. (1) Let (X, \leq) be a quasi-ordered set. The order-reflection of (X, \leq) is the poset (Y, \preceq) , where Y is the quotient set of X by the equivalence relation \equiv defined by $x \equiv y$ if and only if $x \leq y$ and $y \leq x$, the order \preceq on Y is defined by $\bar{x} \preceq \bar{y}$ if and only if $x \leq y$ (where \bar{x} is the equivalence class of x).

(2) If \mathcal{T} is a topology which is compatible with the quasi-order \leq , then the quotient space X/\mathcal{T} is homeomorphic to the T_0 -reflection of X and the order induced by the quotient topology is isomorphic to the order \preceq defined on Y .

Combining Remark 2.2 and Corollary 1.6, we easily obtain the following:

Proposition 2.3. A quasi-ordered set (X, \leq) is quasi-sober if and only if its order-reflection is a sober set.

Sober sets may be interpreted in terms of the coprime spectrum of a lattice $\Gamma(Y)$.

Proposition 2.4. Let (X, \leq) be a poset. Then the following statements are equivalent:

- (i) (X, \leq) is a sober set;
- (ii) There exists a topological space Y such that (X, \leq) is isomorphic to $(Spec_\vee(\Gamma(Y)), \supseteq)$.

Proof. (i) Suppose that (X, \leq) is sober. Let \mathcal{T} be an order compatible sober topology on X . Then X is homeomorphic to its soberification $Spec_{\vee}(\Gamma(Y))$ (equipped with the hull-kernel topology). The map $\mu_X: X \rightarrow Spec_{\vee}(\Gamma(Y))$ defined by $\mu_X(x) = \overline{\{x\}}$ is a homeomorphism. Thus, μ_X induces an isomorphism from (X, \leq) onto $(Spec_{\vee}(\Gamma(Y)), \supseteq)$.

(ii) \implies (i) Let $\varphi: (X, \leq) \rightarrow (Spec_{\vee}(\Gamma(Y)), \supseteq)$ be an isomorphism of posets. Let \mathcal{T}_Y be the hull-kernel topology on $(Spec_{\vee}(\Gamma(Y)), \supseteq)$. The inverse image of \mathcal{T}_Y by φ defined by $\mathcal{T} = \{\varphi^{-1}(U) : U \in O(Spec_{\vee}(\Gamma(Y)))\}$ is a topology on X and $\varphi(X, \mathcal{T}) \rightarrow (Spec_{\vee}(\Gamma(Y)), \mathcal{T}_Y)$ is a homeomorphism. Therefore, \mathcal{T} is a sober topology on X which is compatible with \leq .

Problem 2.5. Characterize sober posets in purely order-theoretical conditions.

Proposition 2.6. There is, at most, one Noetherian quasi-sober topology inducing a given quasi-order on a space X .

Proof. Note first that the proof is similar to that of [13].

It is easy to see that a quasi-sober Noetherian topology on a space X is determined by the quasi-order (induced by the topology).

Indeed, if C is a closed subset of X , then there exist finitely many irreducible closed subsets C_1, \dots, C_n of X such that $C = C_1 \cup \dots \cup C_n$ (since X is Noetherian). On the other hand, X is quasi-sober; so that there is $x_i \in X$ such that $C_i = \overline{\{x_i\}}$, for each $i \in \{1, \dots, n\}$.

But $\overline{\{x_i\}} = (x_i \uparrow)$. This proves that closed sets are completely determined by the quasi-order.

Recall that a poset (X, \leq) is said to be *spectral* if there is a commutative ring R with unit such that (X, \leq) is isomorphic with $(Spec(R), \subseteq)$ [26].

In order that an order set (X, \leq) be spectral it is necessary (but not sufficient [26]) that it satisfies two conditions:

K_1 : Each nonempty totally ordered subset of X has a supremum and an infimum (that is, X is up-complete and down-complete).

K_2 : For each $a < b$ in X there exist two adjacent elements $a_1 < b_1$ such that $a \leq a_1 < b_1 \leq b$ (that is, X is weakly atomic).

These properties were noted for a ring spectrum by I. Kaplansky [22], and then are called respectively, the *first condition* and the *second condition* of Kaplansky.

Let X be a space which has a basis of compact open sets. We let X^* denote its dual (equipped with the cocompact topology). Note that if \leq

is the quasi-order induced by the topology of X , then the topology of X^* induces the reverse order \geq of \leq [13].

Theorem 2.7. Let (X, \mathcal{T}) be a space which has a basis of compact open sets and \leq the order induced by the topology \mathcal{T} . If X and X^* are sober, then (X, \leq) satisfies K_1 and K_2 .

Proof. (K_1) Let C be a nonempty totally ordered subset of (X, \leq) . By Proposition 1.3 (C, \leq) has an infimum in $\overline{C}^{\mathcal{T}}$ and (C, \geq) has an infimum in \overline{C}^* . It follows that, in (X, \leq) , C has an infimum and a supremum.

(K_2) Let $x < y$ in X . Consider a maximal chain C between x and y . Since $x \notin \overline{\{y\}}$, there is a compact open subset U of X such that $x \in U$ and $y \notin U$.

Let us denote by $x_1 = \text{Sup}(C_1)$, where $C_1 = \{t \in C \mid t \in U\}$ and $y_1 = \text{Inf}(C_2)$, where $C_2 = \{t \in C \mid t \notin U\}$.

Since $C_1 \subseteq U$ and U is closed in X^* , we get $x_1 \in U$.

On the other hand, $C_2 \subseteq (X - U)$ and $(X - U)$ is closed in (X, \mathcal{T}) ; so that $y_1 \notin U$.

For each $t \in C_1$ and $s \in C_2$ we have $t < s$ [if not $t \in \overline{\{s\}}$, contradicting the fact that $t \in U$ and $s \notin U$].

We conclude that $x_1 \leq y_1$ and that $x_1 \in U$ and $y_1 \notin U$. This forces $x_1 < y_1$.

If we suppose that $x_1 < y_1$ are not adjacent, then there is $z \in X$ such that $x_1 < z < y_1$ and necessarily $z \notin C$. Therefore, $C \cup \{z\}$ is a chain between x and y , against the maximality of C .

The following question was suggested by the anonymous referee.

Question 2.8. Under what conditions is the converse of Theorem 2.7 true?

The following gives a complete characterization of totally ordered sober sets.

Theorem 2.9. Let (X, \leq) be a totally ordered set. Then the following statements are equivalent:

- (i) (X, \leq) is a sober set;
- (ii) Each nonempty subset of X has an infimum.

Proof. (i) \implies (ii) This follows immediately from Proposition 1.3.

(ii) \implies (i) Recall that the cop-topology on an order set (closure of points) (X, \leq) is the topology on X which has $\{(x \uparrow) : x \in X\}$ as a sub-basis of closed sets.

Clearly, the closed sets of the cop-topology on a totally ordered set (X, \leq) in which every nonempty subset has an infimum are \emptyset , X and $(x \uparrow)$ (for each $x \in X$).

Thus, the cop-topology on (X, \leq) is an order-compatible sober topology on X . Therefore, (X, \leq) is a sober set.

Example 2.10. A sober set (X, \leq) that does not satisfy Kaplansky's two conditions (K_1) and (K_2) .

Let $X = [0, 1)$ be equipped with the natural order induced by that of \mathbb{R} . According to Theorem 2.9, (X, \leq) is a sober set. However, it is clear that (X, \leq) does not satisfy Kaplansky's two conditions (K_1) and (K_2) .

3. Compactifications. Let X be a topological space, set $\tilde{X} = X \cup \{\infty\}$ with the topology whose members are the open subsets of X and all subsets U of \tilde{X} such that $\tilde{X} \setminus U$ is a closed compact subset of X . The space \tilde{X} is called the *Alexandroff extension* of X (or the *one-point compactification* of X). It is well-known that the following properties hold:

- (i) \tilde{X} is compact and X is open in \tilde{X} .
- (ii) X is dense in \tilde{X} .
- (iii) \tilde{X} is Hausdorff if and only if X is locally compact and Hausdorff.

Remark 3.1. Let X be a topological space and \tilde{X} the Alexandroff extension of X . Then the following properties hold:

- (1) \tilde{X} is a T_0 -space if and only if X is a T_0 -space.
- (2) Let C be a closed subset of \tilde{X} .
 - If $\infty \notin C$, then C is closed in X .
 - If $\infty \in C$, then $C \setminus \{\infty\}$ is closed in X .
- (3) If C is an irreducible closed subset of \tilde{X} such that $\infty \notin C$, then C is an irreducible closed subset of X .
- (4) Let C be a closed subset of \tilde{X} such that $\infty \notin C$. If $C = \overline{\{a\}}^X$, then

$$C = \overline{\{a\}}^{\tilde{X}}.$$

Theorem 3.2. Let X be a topological space. Then the following statements are equivalent:

- (i) X is a sober space;
- (ii) The one-point compactification \tilde{X} is a sober space.

Proof. (ii) \implies (i) Let C be a nonempty irreducible closed subset of X .

Then $\overline{C}^{\tilde{X}}$ is an irreducible closed subset of \tilde{X} . Since \tilde{X} is sober, there exists $x \in C$ such that

$$\overline{C}^{\tilde{X}} = \overline{\{x\}}^{\tilde{X}}.$$

Hence by Remark 3.1 (4),

$$C = \overline{C}^{\tilde{X}} \cap X = \overline{\{x\}}^{\tilde{X}} \cap X = \overline{\{x\}}^X.$$

Thus, C has a generic point in X , proving that X is sober.

(i) \implies (ii) Let C be a nonempty irreducible closed subset of \tilde{X} . Then three cases arise.

Case 1. $\infty \notin C$. In this case C is an irreducible closed subset of X .

Thus, $C = \overline{\{x\}}^X$, since X is sober. Therefore, $C = \overline{\{x\}}^{\tilde{X}}$.

Case 2. $C = \{\infty\}$. In this case we have $C = \overline{\{\infty\}}^{\tilde{X}}$.

Case 3. $C = D \cup \{\infty\}$, where D is a nonempty closed subset of X . In this case D is irreducible in X , so that D has a generic point in X : there exists $x \in D$ such that $D = \overline{\{x\}}^X$. Hence, $C = \overline{\{x\}}^X \cup \{\infty\}$. This leads to

the fact that $\overline{\{x\}}^X$ is not closed in \tilde{X} , by irreducibility of C . Consequently,

$$\overline{\{x\}}^{\tilde{X}} = \overline{\{x\}}^X \cup \{\infty\} = C,$$

proving that \tilde{X} is sober.

The previous result incites us to ask the following question.

Question 3.3.

(1) Let X be a space (resp. a T_1 -space). We denote by $\beta_\omega X$ (resp. WX) the T_0 -compactification of X introduced by Herrlich in [12] (resp. The Wallman compactification of X introduced in [30]). Are the following equivalences true?

$$[X \text{ is sober}] \iff [\beta_\omega X \text{ is sober}].$$

$$[X \text{ is sober}] \iff [WX \text{ is sober}].$$

(2) More precisely, we ask when is $\beta_\omega X$ (resp. WX) sober?

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