

and, by Theorem 3, we have $v_{17} \leq 49.75$ ($\delta = 0.93$), $v_{18} \leq 52.41$ ($\delta = 0.925$) and $v_{19} \leq 55.06$ ($\delta = 0.92$). Using these results we easily check that any natural number h with (h_2) satisfies (h_1) , if $g \leq 19$. (Note that $\frac{g}{k} \log\left(\frac{k}{g} v_g\right)$ is, for fixed g , a decreasing function of k .)

When $g \geq 20$,

$$g(\log(2g) + \gamma) \geq (g+1)\log(2.63g+5.15)$$

holds, which, in virtue of (3.17) and

$$\sum_{j=1}^g \frac{1}{j} \geq \log g + \gamma,$$

completes the proof of Theorem 2.

Remark. If we make use of the corollary and substitute (3.17) in (h_1) , we get the following lower bound for h , which is simpler than (h_1)

$$(4.4) \quad h > k - 1 + \left(g + \frac{g}{k}\right) \log\left(2.63k + 5.15 \frac{k}{g}\right) - \frac{g}{k} \frac{k-g}{2.63g+5.15}.$$

If $g \geq 17$, (4.4) represents the best known approximation to H . For small g Halberstam and Richert, using Porter's tables on v_g , carried out some computations (see [3] and [4]) that lead to better results.

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Kaplansky's radical and quadratic forms over non-real fields

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In [4], Kaplansky introduced the concept of a *radical* for a field F as the set R of all $a \in F$ satisfying $[a, b] = 1$ for all $b \in F$ where $[a, b]$ is the Hilbert symbol for a, b . That is, $[a, b] = 1$ if there are $x, y \in F$ such that $ax^2 + by^2 = 1$, and $[a, b] = -1$ otherwise. It is easy to see that two other descriptions of R are 1) $a \in R$ if and only if the quadratic form $x^2 - ay^2$ is universal over F and 2) $R = \bigcap_{a \in K} G(1, a)$

where $(1, a)$ is the quadratic form $x^2 + ay^2$ and $G(1, a)$ is the non-zero elements of F represented by $(1, a)$. Thus R is a subgroup of F containing F^2 . Kaplansky showed that a field whose radical had index 2 on F was an ordered field in which every positive element was the sum of two squares and R coincided with the positive elements. He then found the relationship between the radical and the quadratic form structure over generalized Hilbert fields (see [4]).

In this paper the radical for non-real fields (characteristic not 2 is always assumed) is investigated. It turns out that in many cases, results which held in terms of F^2 can be strengthened by replacing F^2 with R . For example, Kneser's lemma states that if $\varphi \oplus (a)$ is anisotropic, then $G(\varphi) \not\subseteq G[\varphi \oplus (a)]$. It is immediate from this that if φ is an anisotropic n -ary quadratic form, then φ represents at least n square classes. We will show φ represents at least n cosets of R . We also look at when the radical's index is 4 and what happens to R under quadratic extensions. Finally, an example is given illustrating a field with a radical which is neither F or F^2 .

In the remainder of the paper F is always a non-real field of characteristic not 2. Any quadratic form over F represents whole cosets of F^2 . The following proposition shows any φ with $\dim \varphi > 1$ represents cosets of R .

PROPOSITION 1. *Let φ be a quadratic form with diagonalization (a_1, \dots, a_n) , $n \geq 2$ and let $r_1, \dots, r_n \in R$. Then*

$$G(\varphi) = G(r_1 a_1, \dots, r_n a_n).$$

Proof. Clearly $G(1, -a) = \{b \mid [a, b] = 1\}$. So since $[r, b] = 1$ for all $b \in K$ and since $[r, b] = [a, b] = 1$ implies $[ra, b] = 1$,

$$G(1, -a) = G(1, -ra) \quad \text{for } a \in K, r \in R.$$

The case for $n = 2$ now follows and those for $n > 2$ are immediate by induction.

COROLLARY. $(a_1, \dots, a_n), n \geq 3$, is isotropic if and only if $(r_1 a_1, \dots, r_n a_n)$ is isotropic.

LEMMA. If $R \neq \dot{F}$, then $G(1, -b) \neq R$ for any $b \in \dot{F}$.

Proof. Suppose, in fact, that $G(1, -b) = R$. Clearly $b \notin R$ and so $b \notin G(1, -b)$. Hence $(1, -b, -b, 1)$ is anisotropic ([5], Hilfsatz 5). By Proposition 1, $G(1, -b) = G(r, r') = R$ for $r, r' \in R$. Thus

$$G(1, -b, -b, 1) = \bigcup_{\alpha, \beta \in G(1, -b)} G(\alpha, \beta) = R.$$

But this contradicts Kneser's lemma.

We are now in a position to strengthen Kneser's result. First some notation. If E is a subset of \dot{F} consisting of cosets of \dot{F}^2 , then denote the number of those cosets by $V(E)$. That is, $V(E) = |E/\dot{F}^2|$. Every quadratic form φ over F represents cosets of R and if $R \neq \dot{F}$ every binary form represents at least two cosets of R . The theorem below now follows by Kneser's lemma and by induction on $\dim \varphi$.

THEOREM 1. Let φ be an n -ary anisotropic form over a non-real field with $R \neq \dot{F}^2$. Then for $n \geq 2$,

$$V[G(\varphi)] \geq nV(R).$$

If we denote the order of \dot{F}/\dot{F}^2 by q and the maximum dimension of all anisotropic forms over F by u , we have the immediate corollary.

COROLLARY. If $q < \infty$, then $u \leq q/V(R)$ providing $R \neq \dot{F}^2$.

In [1] fields with $u = q$ were characterized. As might be expected, fields satisfying $u = q/V(R)$ behave similarly in general as the case $V(R) = 1$. Before proceeding, however, a little more information is needed.

Pfister [7] showed that s , the level of a field (smallest number of squares in a field of which -1 is the sum), when finite, is always a power of two. Scharlau ([9], p. 72) pointed out that if $-a \in R$ and if s_a is the smallest number of squares of which a is the sum, then s_a is also a power of two.

LEMMA. If $s \geq 2$ and $a \notin \dot{F}^2$, then $s_a = s$ for all $-a \in R$.

Proof. Clearly $s_a \leq s+1$ and since $s \geq 2$ and s_a is a 2-power, we have $s_a \leq s$. Let (b) denote the form $\sum_{i=1}^k b x_i^2$. Then $a \in G(1) = G(-a)$ by

Proposition 1. But $G(-a) = -aG(1)$. So $a, -a \in G(1)$ and $G(1)$ being a subgroup of \dot{F} imply $-1 \in G(1)$. Hence, $s \leq s_a$, and the proof is complete.

From Pfister's proof of Satz 18(d) [8], it is seen that $V[G(1, 1)] \geq s$. With a similar argument, we can make the lower bound $sV(R)$.

THEOREM 2. If F is a non-real field, with $R \neq \dot{F}^2$, then $V[G(1, 1)] \geq sV(R)$.

Proof. If $s = 1$, the result is obvious; and if $s = 2$, it follows from Theorem 1. So assume $s \geq 4$ and let $-1 = \sum_{i=1}^s x_i^2, x_i \in \dot{F}$. Furthermore, let $y_j = x_{2j-1}^2 + x_{2j}^2, 1 \leq j \leq s/2$. Suppose $y_1 y_2 \in R$. Then from $-1 = \sum x_i^2$, we get

$$-y_1 y_2 = y_1^2 + y_2^2 + \sum_{i=3}^{s/2} y_i y_i.$$

But $y_i \in G(1, 1)$ implies $y_1 y_i \in G(1, 1)$ and so $-y_1 y_2$ is the sum of less than s squares. This contradicts the lemma. So we see that no two distinct y_j lie in the same coset of R . In the same way, no y_i is actually in R . Therefore,

$$|G(1, 1)/R| \geq 1 + \frac{1}{2}s.$$

Now $G(1, 1)/R$ is a 2-power so the right side is at least s and the theorem is proved.

Using Satz 18(d) again, we obtain this immediate consequence

COROLLARY. If $s = 2^{s_0}, q \geq 2^{\frac{s_0(s_0+1)}{2}} V(R)$ providing $R \neq \dot{F}^2$.

THEOREM 3. Let F be a non-real field with $q < \infty$ and denote the number of anisotropic forms of dimension k by N_k and let $t = q/V(R)$. Then

$$(i) N_2 \leq q/t - 1 + q/t \binom{t}{2}, N_k \leq q/t \binom{t}{k} \text{ for } k \neq 2.$$

$$(ii) N_k = q/t \binom{t}{k} \text{ for } k \geq 3 \text{ if and only if}$$

$$V[G(\varphi)] = (\dim \varphi) V(R) \quad \text{for all anisotropic } \varphi, \dim \varphi \geq 3.$$

$$(iii) N_k = q/t \binom{t}{k} \text{ for any particular } k \geq 3 \text{ if and only if}$$

$$N_2 = q/t - 1 + q/t \binom{t}{2}.$$

Proof. This theorem is the R -analog of Theorem 3.3 in [1]. The proof is virtually the same. In (i), the case $k = 1$ is obvious. For $k = 2$, consider first the universal forms. They all look like $(1, -a), a \in R$. Discounting $a \in \dot{F}^2$ since it is not anisotropic, we see there are $q/t - 1$ universal,

anisotropic binary forms. By Theorem 1, each binary form represents at least 2 cosets of R . So for each of the possible $q - q/t$ determinant values not in $-R$, there are at most $t/2$ non-equivalent binary forms. Hence, there are at most $\frac{t}{2}(q - q/t) = q/t \binom{t}{2}$ non-universal binary forms; and $N_2 \leq q/t - 1 + \frac{q}{t} \binom{t}{2}$. The remainder of the proof is identical to Theorem 3.3 of [1] except cosets of R are considered instead of \dot{F}^2 .

We now are in a position to start characterizing fields with $u = q/V(R)$. The situation is easier if $V(R) = 1$ since (iii) of the last theorem can be applied immediately. Here a proposition is needed first.

PROPOSITION 2. *Let F be a field with $q < \infty$ and $u = q/V(R)$. Then every anisotropic n -ary form, $n \geq 3$, represents exactly n cosets of R . Moreover, every non-universal binary form represents exactly two cosets of R and $s \leq 2$.*

Proof. Suppose $-a \in R$ and let φ be u -dimensional and anisotropic. Then $1 \in G(\varphi)$ and so $\varphi = (1) \oplus \psi$. By Theorem 1, $V[G(\psi)] \geq (u-1)V(R)$ and equality follows immediately. Thus ψ represents all cosets of R except $-R$, and we may write $\psi = (a) \oplus \psi'$, $\varphi = (1, a) \oplus \psi'$. φ anisotropic means $G(1, a) \cap -G(\psi') = \emptyset$. Using this and Theorem 1 again, we obtain

$$V[G(\psi')] = (u-2)V(R), \quad V[G(1, a)] = 2.$$

The binary case now follows. Combining the fact that

$$G(a_1, \dots, a_n) = \bigcup_{a \in G(a_1, \dots, a_{n-1})} G(a, a_n)$$

with Theorem 1 and an induction argument yields the result for $n \geq 3$. $s \leq 2$ is an immediate consequence of the above and Theorem 2.

By Proposition 2 it is possible to determine modulo R all possible forms which represent a given set of cosets of R . For example, if $s = 1$ or $s = 2$ and $-1 \in R$ and $\{a_1R, \dots, a_nR\}$ is such a set, then the forms representing it are (a_1r_1, \dots, a_nr_n) , $r_i \in R$. If $s = 2$ and $-1 \notin R$ and $\{\pm a_1R, \dots, \pm a_nR, b_1R, \dots, b_mR\}$ is such a set (where $b_i \notin -b_jR$, $i \neq j$), then all the forms representing it are $(a_1r_1, a_1\bar{r}_1, \dots, a_nr_n, a_n\bar{r}_n, r'_1b_1, \dots, r'_mb_m)$ with $r_i, \bar{r}_i, r'_j \in R$.

If $u = q/V(R)$, Proposition 2 shows that (ii) and (iii) of Theorem 3 apply; and the following theorem is an immediate consequence.

THEOREM 4. *Let F be a field with $q < \infty$ and denote $q/V(R)$ by t . Then the following statements are equivalent:*

- (i) $u = t$.
- (ii) The Witt group for F has order $(q/t)2^t$.
- (iii) $V[G(\varphi)] = 2V(R)$ for all non-universal binary forms φ .

As has been noted already, Kaplansky showed there are no non-real fields F whose radical has index two in \dot{F} . Consider the case when the index is four. By the corollary to Theorem 1, $u \leq 4$. Since u is never 3 and since $R = \dot{F}$ when $u = 2$, we must have $u = 4$, and F satisfies the statements in the last theorem. Since $N_3 = \frac{q}{\pm} \binom{4}{3} = q$, the number of non-split quaternion algebras over F is 1 by Theorem 3.8 of [1]. The Witt group structure can be calculated as in Theorem 4.5 of [1]. Furthermore, F must be a non-real generalized Hilbert field (see [4]). From this (or directly from Proposition 2), it is clear that every anisotropic ternary form is determined by its determinant and represents all but one coset of R . In fact, for non-real fields, this property is equivalent to there being only two quaternion algebras. Before showing this, we need a lemma.

LEMMA. *Let V be a vector space of dimension r over $GF(q)$ and let $\{H_i\}_{i=1}^n$ be a set of k -dimensional proper subspaces of V satisfying $H_i + H_j = V$ for all $i \neq j$. Then*

$$n \leq \frac{q^r - 1}{q^{r-k} - 1}.$$

Proof. Denote the dual space of V by V' and let $K_i \subseteq V$ be the annihilator of H_i , $1 \leq i \leq n$. Then $H_i + H_j = V$ implies $K_i \cap K_j = \{0\}$. Since each K_i has dimension $r - k$, $\bigcup_{i=1}^n K_i$ must contain $n(q^{r-k} - 1)$ distinct non-zero elements. From $\dim V' = r$, we get $n(q^{r-k} - 1) \leq q^r - 1$.

From Kaplansky's work in [4], it can be seen that if the index of $G(1, a)$ in \dot{F} is at most two for all $a \in F$ (and is two for at least one a), then there are exactly two quaternion algebras over F . Another characterization of this property is given in the next theorem.

THEOREM 5. *Let F be a non-real field with $u > 2$, $q < \infty$. Suppose every anisotropic ternary form over F represents all but one coset of R . Then there are exactly two quaternion algebras over F and hence F is a generalized Hilbert field.*

Proof. Clearly $u = 4$. If φ is a quaternion form ($\dim \varphi = 4$, $\det \varphi = 1$), then $\varphi = (1) \oplus \psi$ where ψ is an anisotropic ternary form. By hypothesis $G(\psi)$ must represent everything not in $-R$. So for $a \notin -R$, $\varphi = (1, a, b, ab)$. Since $u = 4$, the number of anisotropic quaternary forms of determinant d is the number of quaternion algebras minus the order of $\dot{F}/G(1, -d)$. Since isotropic quaternion forms are unique, the above shows the number of quaternion algebras is the index of $G(1, a)$ in \dot{F} . This is true for every $a \notin -R$ and so $V[G(1, a)]$ is constant. Moreover, the above formula shows

$(1, a, -x, -bx)$ is isotropic if $ab \notin R$. Consequently, every coset of $G(1, a)$ has a non-empty intersection with every coset of $G(1, b)$ providing $ab \notin R$. Pick a set of representatives $\{a_i R\}_{i=1}^{2^t}$ with $a_1 \in -R$ for F/R and consider the Z_2 -vector space \bar{F}/R . If $H_i = G(1, a_i)/R$, then the set $\{H_i\}_{i=2}^{2^t}$ satisfies $(a + H_i) \cap (b + H_j) \neq \emptyset$ for all $a, b \in \bar{F}/R$ if $i \neq j$. But this is equivalent to $H_i + H_j = \bar{F}/R$ for all $i \neq j$ (since $\text{char } \bar{F}/R = 2$). So $\{H_i\}_{i=2}^{2^t}$ satisfy the conditions of the lemma and we may conclude $2^t - 1 \leq \frac{2^t - 1}{2^{t-k} - 1}$ where $k = \dim H_i, i \geq 2$. Thus $k = t - 1$ and this means $V[G(1, a_i)] = q/2$ for $i \geq 2$. The index of every non-universal binary form is two, but this index is the number of quaternion algebras.

Lam and Elman [3] demonstrated that $u \leq q/2$ if $s \geq 4$ and that u could not lie strictly between $q/2$ and q if $s = 1, 2$. Upon substituting R for \bar{F}^2 in their proofs of these results and using Proposition 1 and Theorem 1, we can get an R -analog.

THEOREM 6. *Let F be a non-real field with $q < \infty$. If $u \neq q/V(R)$, then $u \leq q/2V(R)$.*

By Proposition 2, we note that $u = q/V(R)$ only if $s = 1$ or 2 . Also by the corollary to Theorem 1, $u \leq q/V(R)$ always.

We now have completed our work on "strengthening" previous results by viewing them in terms of R instead of \bar{F}^2 . Next we wish to look at what happens to R and some quadratic forms in quadratic extensions of F . The results here are incomplete as the problem of determining quadratic form structure after a quadratic extension appears to be a difficult one. From now on, let $K = F(\sqrt{a})$ where $a \in F$.

PROPOSITION 3. *If φ is a multiplicative and universal form over F , then φ is universal over $K = F(\sqrt{a})$.*

Proof. We use Scharlau's [9] method of transfer. Let $s: K \rightarrow F$ be any non-zero linear functional. For any $x \in K, s^*(x\varphi) = \varphi \oplus s^*(x)$ is isotropic over F since φ is universal. If s is defined by $s(1) = 0, s(\sqrt{a}) = 1, s^*(x\varphi)$ being isotropic implies there is a vector whose value under the quadratic form $x\varphi$ is $e \in F$. Since φ is multiplicative, $x\varphi \cong e\varphi$. So $\varphi \oplus x\varphi$ is isotropic over K since $\varphi \oplus e\varphi$ is isotropic over F . But this means $-x \in G(\varphi)$ over K for all $x \in K$. Thus, φ is universal over K .

Applying the proposition to the form $(1, -b)$ when $b \in R(F)$ gives the next result.

COROLLARY. $R(F) \subseteq R(K)$.

Suppose $b \in F$ and $-b \in R(K)$. By Scharlau's norm principle ([9], Theorem 2.2.6), $N_{K/F}(x) \in G(1, b)$ over F for all $x \in K$. But $N_{K/F}(K)$

$= G(1, -a)$. So $(1, b), b \in F$, is universal over K only if $G(1, -a) \subseteq G(1, b)$ over F . We can use this remark to show that if $u(F) > 2$, then $\bar{F} \not\subseteq R(K)$ and so $u(K) > 2$. If $\bar{F} \subseteq R(K)$,

$$G(1, -a) \subseteq \bigcap_{b \in \bar{F}} G(1, b) = R(F).$$

But this contradicts the lemma preceding Theorem 1. Consequently, if F is a field with non-trivial radical ($ie - R \neq \bar{F}^2, \bar{F}$), then so is $K = F(\sqrt{a})$ providing $R(F) \not\subseteq \{1, a\}\bar{F}^2$. Furthermore, by Gross and Fischer [2], $q(K) = \frac{1}{2}q_F V[G(1, -a)]$; and since $V[G(1, -a)] \geq 2V(R) \geq 4, q(K) > q(F)$ providing $q(F) < \infty$. Adjoining square roots then is a method for generating these fields where R is non-trivial.

Using the norm principle again, we can obtain quickly a partial converse to Proposition 3.

PROPOSITION 4. *If φ is a multiplicative form over F and is universal over $K = F(\sqrt{a})$ where $a \in R(F)$, then φ is universal over F .*

This proposition does not necessarily hold if $a \notin R(F)$. For example, let $\varphi = (1, -a)$. Even for binary φ , it is a hard question to discover when φ is universal over K . It is possible for $(1, b)$ to represent \bar{F} over K but $-b \notin R(K)$ — this happens in certain extensions of the 2-adic numbers. We do, however, have the following result which also is a consequence of the norm principle.

PROPOSITION 5. $-x \in R(K) \Rightarrow -N_{K/F}(x) \in R(F)$.

The converse is false though. Let F be the 2-adic numbers and $K = F(\sqrt{-1})$. Then $-(-1) \in R(F)$ but $-\sqrt{-1} \notin R(K)$.

Finally we want to present an example of a non-real field F with $R \neq \bar{F}$ or \bar{F}^2 . Such fields seem to be unknown in the literature. And even for our example it is not known whether q is finite. Non-real fields with $q \leq 8$ were classified in [1], but for $q = 8$ there are still three cases whose existence has not been resolved. These all have non-trivial radicals. In fact, they all satisfy $u = q/V(R)$. This forthcoming example is due to an idea of A. Pfister.

Let Q_3 be the 3-adic numbers and $K_0 = K$. Assume the chain $K_0 \subset K_1 \subset \dots \subset K_n \subset Q_3$ is constructed through n with the properties that $(1, 2)$ is anisotropic over each K_i and $K_i = K_{i-1}(\sqrt{c_i}), c_i \in K_{i-1}, 1 \leq i \leq n$. Enumerate the algebraic integers in Q_3 and let a be the first one which is in K_n but not in $G(1, 2)$ over K_n . There is such an a since otherwise $(1, 2)$ would be universal over K_n and this can happen for binary forms over algebraic number fields only if they are isotropic. We will now find a $d \in K_n$ such that $a - 2d^2 \in Q_3^2 - (-2K_n^2)$. This will ensure $(1, 2)$ remains

anisotropic over $K_{n+1} = K_n(\sqrt{a-2d^2}) \subset Q_3$ and also represents a . Suppose $a = \sum_{i=0}^{\infty} a_i 3^i$ where $a_i \in \{0, 1, 2\}$. If $b = \sum_{i=0}^{\infty} b_i 3^i$, we can make $a - 2b^2 \in Q_3^2$ by doing the following: let $b_0 = 1$ if $a_0 = 0$, let $b_0 = 0$ if $a_0 = 1$, and let $b_0 = 1, b_1 = a_1, b_2 = a_2 - a_1 + a_1^2 - 1$ if $a_0 = 2$. Fix b to be such a rational integer. We note that if $c \equiv 1 \pmod{27}$, then $a - 2(bc)^2 \in Q_3^2$ also.

Let \mathcal{L} be any finite prime of K_n for which $2, 3, a, b$ are units. Denote the residue class field of K_n with respect to \mathcal{L} by \bar{K}_n and the image of a unit $a \in K_n$ by \bar{a} . Since \bar{K}_n is finite $(-2\bar{a}, 1)$ is universal over \bar{K}_n . Hence, there exists a unit $x \in K_n$ such that $-2\bar{a} + \bar{x}^2 \notin \bar{K}_n^2$. Choose a unit c such that $\bar{x} = 2bc$. Then $-2[a - 2(bc)^2]$ is a non-square mod \mathcal{L} .

Now since $3, \mathcal{L}$ are distinct prime spots over K_n , by the Strong Approximation Theorem (see [6]), there is an integer $c_1 \in K_n$ such that

$$|c_1 - 1| < (\frac{1}{3})^4, \quad |c_1 - c|_{\mathcal{L}} < 1.$$

So $c_1 \equiv 1 \pmod{27}$ and $c_1 \equiv c \pmod{\mathcal{L}}$. The d we were originally looking for is $d = bc_1$.

Continue the construction of the field chain by induction and let $K = \bigcup_{i=0}^{\infty} K_i$. Clearly $(1, 2)$ is anisotropic over K . Any element in K comes from some K_i and any such element is the quotient of two algebraic integers. By the construction each of these integers, and hence their quotient, is in $G(1, 2)$ over K_i . Therefore, $(1, 2)$ is universal over K . In particular, $-1 \in G(1, 2)$ implies $s \leq 2$ and K is non-real. Since $(1, 1, 3, 3)$ is anisotropic over Q_3 , $u(K) \geq 4$. But by the Hasse-Minkowski theorem then, we see $u = 4$. K is thus a non-real field with non-trivial radical.

Unfortunately $q(K)$ is probably not finite so examples of Kneser fields ($s \leq q < \infty$) with non-trivial radicals (if they exist) are still missing. By using the remarks made just prior to Proposition 4, it is possible to build a chain of fields so that the union has a radical containing more than just the squares. One might then attempt to construct a field with finite q as in Gross and Fischer [2]. However, we were unable to show that when this was done that $R \neq F$.

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