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On Residually Finite Rings

Yasuyuki Hirano*

*Okayama University

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ON RESIDUALLY FINITE RINGS

Dedicated to Professor Kazuo Kishimoto on his 60th birthday

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Following K. L. Chew and S. Lawn [3], a ring R is said to be *residually* finite if every nonzero ideal of R is of finite index in R. Obviously all finite rings and all simple rings are residually finite. Other residually finite rings are said to be proper. Examples of commutative proper residually finite rings are the ring of algebraic integers of an algebraic number field. the polynomial ring F[x] and the formal power series ring F[[x]] over a finite field F. If R is a residually finite ring and if $n \ge 2$, then the ring $M_n(R)$ of all $n \times n$ matrices over R is a noncommutative residually finite ring. In [3], commutative residually finite rings were investigated very well. In this paper, we study residually finite rings which are not necessarily commutative. A ring R is called a right residually finite ring if every nonzero right ideal of R is of finite index in R. Clearly commutative residually finite rings are right residually finite. In §1, we show that a right residually finite ring is a right fully bounded right Noetherian ring, and give some characterizations of such a ring. In §2, we show that certain extensions of a residually finite ring are residually finite. As a result, we obtain many examples of noncommutative residually finite rings. In §3, we study the number of ideals in a residually finite ring. Let R be a residually finite ring, and I a nonzero ideal of R. We define N(I), the norm of I, to be the number of elements in R/I. We show that given a positive integer n, the number of ideals I with $N(I) \leq n$ is finite. As a consequence, we know that the set of ideals of R is either finite or denumerable.

Throughout this paper, all rings have an identity element 1, and subrings of a ring R are assumed to have the same identity element as R.

1. Right residually finite rings. In this section, we consider a special class of residually finite rings which contains commutative residually finite rings. A ring R is said to be *right* (resp. *left*) residually finite if every nonzero right (resp. left) ideal of R is of finite index in R.

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Example 1. Let $A = Q \oplus Qi \oplus Qj \oplus Qk$ be the skewfield of quaternions over the field Q of rational numbers, and consider the subring $B = Z \oplus Zi \oplus Zj \oplus Zk$ of A. We claim that B is a right and left residually finite ring. Let x = a + bi + cj + dk be a nonzero element of B with $a, b, c, d \in Z$ and let $\bar{x} = a - bi - cj - dk$. Then it is easily checked that the norm $N(x) = x\bar{x} = \bar{x}x$ ($= a^2 + b^2 + c^2 + d^2$) of x is a positive integer. Let I be a nonzero right ideal of B and let x be a nonzero element of I. Then I contains the nonzero positive integer N(x). Hence B/I is a finitely generated right module over the finite ring Z/N(x)Z, and so B/I is finite. This proves that B is a right residually finite ring.

Example 2. Let P be a prime, n a positive integer greater than 1, and $K = GF(p^n)$. Then the map $\theta : K \to K$ defined by $\theta(a) = a^p$ for all a in K is a non-trivial automorphism of K. Now consider the skew polynomial ring $K[X; \theta]$ defined by the relation $Xa = \theta(a)X$ for all $a \in K$. Then we can easily see that $K[X; \theta]$ is a noncommutative right and left residually finite ring.

The proof of the following lemma is similar to that of [3, Lemma 2.1]. However, for the sake of completeness, we shall give the proof.

Lemma 1. Let R be a ring and let A, B be right ideals of finite index in R. If $A \cap B$ is finitely generated, then AB is of finite index in R.

Proof. Let $A \cap B = a_1R + \cdots + a_nR$. Then the map $f: (R/B)^n \to (A \cap B + AB)/AB$ defined by $f(r_1 + B, \cdots, r_n + B) = a_1r_1 + \cdots + a_nr_n + AB$ is an epimorphism. Hence $(A \cap B + AB)/AB$ is a finite set. On the other hand, since $R/A \cap B$ can be embedded in $R/A \oplus R/B$, $R/A \cap B$ is also a finite set. Consequently R/AB is a finite set.

A ring R is called *right fully bounded* if, for each prime ideal P of R, every essential right ideal of R/P contains a nonzero ideal of R/P (cf. [12, Definition in p. 165]).

Theorem 1., If R is an infinite right residually finite ring, then R is a right fully bounded right Noetherian domain. Consequently an infinite ring R is a right residually finite ring if and only if R is a residually finite ring and every nonzero right ideal of R contains a nonzero ideal.

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Proof. Suppose that R is an infinite right residually finite ring. Clearly R is right Noetherian. By virtue of [6, Theorem 1], every nonzero right ideal of R contains a nonzero ideal. Now let P be a nonzero prime ideal of R. Then R/P is a finite simple ring, whence there is no essential right ideal of R/P except R/P itself. Hence R is right fully bounded. We shall prove that R is a domain. Assume, to the contrary, that there exist two nonzero elements a, b in R such that ab = 0. Then the right annihilator r(a) of a in R is nonzero, and hence it contains a nonzero ideal, say I. Then we have aRI = 0. Since aR and I are of finite index in R, aRI = 0 is of finite index in R by Lemma 1. This is contradictory to the assumption that R is finite. Thus R is a domain. Now the latter assertion is clear.

Trivially, all finite rings and all division rings are right residually finite. The other right residually finite rings are said to be *proper*. Let R be a proper right residually finite ring. By Theorem 1, R is a right Ore domain. Let Q(R) denote the skewfield of fractions of R. It is easy to see that Q(R) is the injective hull of the right R-module R.

Corollary 1. Let R be a proper right residually finite ring. Let Σ be a set of representatives of all the isomorphic classes of simple right R-modules and let E(S) denote the injective hull of S for each $S \in \Sigma$. Then every injective right R-module is isomorphic to a direct sum of some copies of modules in $\{Q(R)\} \cup \{E(S) | S \in \Sigma\}$.

Proof. Since R is right Noetherian, every injective right R-module is a direct sum of indecomposable injective right R-modules by [1, Theorem 25.6]. Now let M be an indecomposable injective right R-module. By Theorem 1, R is a right fully bounded right Noetherian ring. Hence, by [12, Theorem 7.2.1] and its proof, M is isomorphic to a direct summand of the injective hull E(R/P) of R/P for some prime ideal P of R. If P = 0, M is isomorphic to Q(R). If P is nonzero, then R/P is a finite simple ring. In this case, M is isomorphic to E(S) for some $S \in \Sigma$. This proves our assertion.

A polynomial f in the free algebra $Z\langle X_1, X_2, \cdots \rangle$ is said to be *monic* if at least one of the monimials of highest total degree in the support of f has coefficient 1. A polynomial identity ring, abbreviated to P.I.ring, is defined to be a ring which satisfies some monic polynomial in

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 $Z(X_1, X_2, \dots)$. It is well known that if an algebra A over a commutative ring R is finitely generated as an R-module, then A is a P. I. ring.

Corollary 2. Let R be an infinite P.I. ring. Then the following statements are equivalent:

- 1) R is a right residually finite ring.
- 2) R is a left residually finite ring.

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3) R is a residually finite domain.

Proof. If R is a right or left residually finite ring, then R is a domain by Theorem 1. Hence it suffices to prove that 3) implies 1). So assume that R is a residually finite domain and let I be a nonzero right ideal of R. By Amitsur's result [9, Corollary 13.2.9], I contains a nonzero ideal of R. Since R is residually finite, this implies that I is of finite index in R.

Of course, there is a proper residually finite domain which is neither right nor left residually finite.

Example 3. Let F(z) be the field of rational functions over a finite field F, and let B(z, F(z)) be the F(z)-algebra generated by x, x^{-1}, y and y^{-1} subject to the relation xy = zyx. By [7, Theorem 2.1], B(z, F(z)) is a simple domain, but it is not a division ring. Now let $a \neq 0$ be a non-invertible element of B(z, F(z)) and let R = F + aB(z, F(z)). Then aB(z, F(z)) is a unique non-trivial ideal of R and is obviously of finite index in R. Hence R is a proper residually finite domain. However $R/a^2B(z, F(z))$ contains the nonzero F(z)-subspace $aB(z, F(z))/a^2B(z, F(z))$, and hence it is not finite. Hence R is not right residually finite. Similarly we can show that R is not left residually finite.

Following Michler [10], a right ideal I of a ring R is said to be *prime* if, for each elements s, t of $R, sRt \subset I$ implies that either $s \in I$ or $t \in I$. Now we shall prove a theorem which corresponds to [3, Theorem 2.3 and Corollary 2.4].

Theorem 2. The following statements are eqivalent:

1) R is a right residually finite ring.

2) R is a right Noetherian ring and every nonzero prime right ideal of R is of finite index in R.

3) Every nonzero prime right ideal of R is finitely geberated and of finite index in R.

Proof. Obviously 1) implies 2) and the equvalence of 2) and 3) follows from [10, Theorem 6].

Suppose that 2) holds and let E be the set of nonzero right ideals of R of finite index. We claim that E is empty. Suppose, to the contrary, that E is non-empty. Then, since R is right Noetherian, E has a maximal element, say M. By hypothesis, M is not prime. Hence there are s, t in $R \setminus M$ such that $sRt \subset M$. Put A = sR + M and B = tR + M. Then M is strictly contained in both A and B. By the maximality of M, A and B are of finite index in R. Then AB is of finite index in R by Lemma 1. Since $AB \subset M$, this is a contradiction. Thus E is empty as we claimed.

2. Extensions of residually finite rings. In this section, we consider some ring extensions $S \supset R$ and examine when "residual finiteness" go up from R to S or go down from S to R. We first show that "residual finiteness" is a Morita invariant property.

Proposition 1. Let R be a residually finite ring. If a ring S is Morita equalent to R, then S is also residually finite.

Proof. By [1, Proposition 21.11], there is an isomorphism F between the lattices of ideals of R and S, and R/I and S/F(I) are Morita equivalent for each ideal I of R. Now let I be a nonzero ideal of R. Then R/I is a finite ring. Since S/F(I) is Morita equivalent to R/I, there is a finitely generated projective R/I-generator P such that S/F(I) is isomorphic to $End_{R/I}(P)$. Therefore S/F(I) is also finite. This proves that S is a residually finite ring.

A ring extension A/B is called an *H*-separable extension if $A \otimes_B A$ is *A*-*A*-isomorphic to an *A*-*A*-direct summand of a finite direct sum A^n of copies of *A*. Let *R* be a commutative ring. By virtue of [4, Theorem 2.3.4], an *R*-algebra *A* is Azumaya if and only if A/R is *H*-separable and *A* is *R*-central.

Proposition 2. Let A/B be an H-separable extension such that $_BA$ is projective. If B is residually finite, then A is residually finite.

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Proof. Suppose that B is residually finite, and let I be a nonzero ideal of A. By Sugano [13, Theorem 3.1], it holds that $I = A(I \cap B)A$. Hence, in particular, we obtain $I \cap B \neq 0$. Hence $B/I \cap B$ is a finite ring. Now by Tominaga [14, Proposition], $_BA$ is finitely generated. Therefore, A/I is a finitely generated left $B/I \cap B$ -module, whence A/I is a finite ring. This proves our assertion.

For a ring R, Z(R) denotes the center of R. The following theorem yields many examples of noncommutative residually finite rings.

Theorem 3. Let $S \supset R$ be prime rings with $Z(S) \supset Z(R)$, let K denote the field of fractions of Z(R), and suppose that $S \otimes_{Z(R)} K$ is finite dimensional over K. If R is residually finite, then so is S.

Proof. Put Z = Z(R). By hypothesis there exist s_1, \dots, s_m in S such that $S \otimes_Z K = s_1(R \otimes_Z K) + \dots + s_m(R \otimes_Z K)$. Let us put $M = s_1R + \dots + s_m R$. Then M is a Z-R-subbimodule of S. Let a be a nonzero element of Z. Then M/aM is a finitely generated R/aR-module. Since R/aR is a finite ring, the number of elements of M/aM is finite, say n. First we claim that S/aS has at most n^n elements. This can be proved similarly as in the proof of [3, Theorem 4.1], but for the sake of completeness we prove this. Since M/aM has n elements, we have

(1)
$$(a^n S \cap M) + aM = (a^{n+1} S \cap M) + aM = \cdots.$$

Let b be an arbitrary element of S. Since $S \otimes_Z K = M \otimes_Z K$, we can write b = c/d with $c \in M$ and $0 \neq d \in Z$. Since R/dR is finite, there exists a positive integer k such that

(2)
$$a^k R + dR = a^{k+1} R + dR = \cdots$$

Hence we have $a^k = a^{k+1}x + dr$ for some $x, r \in R$, whence $1 = ax + dr/a^k$ in $S \otimes_Z K$. Thus we have

(3)
$$b = a(c/d)x + cr/a^k \equiv cr/a^k \pmod{aS}.$$

We show that $b \equiv u/a^{n-1} \pmod{aS}$ for some u in M. In view of (3), we may assume that $n \leq k$. Since $cr = a^k(cr/a^k) \in a^kS \cap M$, by (1) we have $cr = a^{k+1}s + at$ for some $s \in S$ and $t \in M$. It follows that $c/d \equiv cr/a^k = as + t/a^{k-1} \equiv t/a^{k-1} \pmod{aS}$. Continuing this process, we obtain

$$c/d \equiv t/a^{k-1} \equiv \cdots \equiv u/a^{n-1} \pmod{aS},$$

where t, \dots, u are elements of M.

Let x_1, x_2, \dots, x_n be the complete representatives of the distinct cosets of aM in M. Then $u = x_{1'} + ax_{2'} + \dots + a^{n-1}x_{n'} + a^n y$, where $1', 2', \dots, n'$ belong to $\{1, 2, \dots, n\}$ and $y \in M$. Thus we obtain

$$b \equiv u/a^{n-1} \equiv x_{1'}/a^{n-1} + x_{2'}/a^{n-2} + \dots + x_{n'} \pmod{aS}.$$

Therefore S/aS has at most n^n elements.

Now let I be a nonzero ideal of S. Since $S \otimes_Z K$ is a simple Artinian ring, $I \otimes_Z K = S \otimes_Z K$. Clearly this implies that $I \cap Z \neq 0$. Hence, by the result proved above, we conclude that S/I is a finite ring. This completes the proof.

In Example 1, we showed that $Z \otimes Zi \otimes Zj \otimes Zk$ is a right and left residually finite domain. By virtue of Corollary 2 and Theorem 3, we know that any subring of a finite dimensional division Q-algebra is a right and left residually finite ring. More generally we have

Corollary 3. Let R be a commutative residually finite domain, and K the field of fractions of R. Let D be a finite dimensional division K-algebra. Then all subrings of D containing R are right and left residually finite rings.

Using Theorem 3, we can construct many noncommutative residually finite rings.

Example 4. Let R be a commutative residually finite domain and let I, J be two nonzero ideals of R. By virtue of Theorem 3, we can easily see that

$$\begin{pmatrix} R & I \\ J & R \end{pmatrix}$$

is a residually finite ring.

Let R be a subring of a ring S. We say that S is a finite normalizing extension of R if there exist a_1, \dots, a_n in S such that $S = Ra_1 + \dots + Ra_n$ and $Ra_i = a_iR$ for each i.

Theorem 4. Let R be a right Noetherian prime ring and let S be a prime finite normalizing extension of R. Then S is residually finite if and only if R is residually finite.

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Proof. Clearly S is also right Noetherian. Suppose that S is residually finite and let P be a nonzero prime ideal of R. By [9, Theorem 10.2.9], there is a prime ideal I of S such that P is a minimal prime over $I \cap R$. Since 0 is a prime ideal of R, $I \cap R$ must be nonzero and hence $I \neq 0$. Therefore $R/I \cap R$ can be considered as a subring of the finite ring S/I. Thus $R/I \cap R$ and hence R/P is finite. Therefore R is residually finite by [3, Theorem 2.3].

Next suppose that R is residually finite. Let P be a nonzero prime ideal of S. Since S is right Noetherian and since 0 is a prime ideal of S, we get $P \cap R \neq 0$ by [9, Propositions 10.2.12 and 10.2.13]. Hence $R/P \cap R$ is finite. Since S/P is finitely generated as an $R/P \cap R$ -module, S/P is also finite. This completes the proof.

Corollary 4. Let R be a prime P.I. ring and let S be a prime finite normalizing extension of R. Then S is residually finite if and only if R is residually finite.

Proof. By virtue of Theorem 4, it suffices to prove that R is right Noetherian. If R is residually finite, then R satisfies the ascending chain condition on two-sided ideals by [3, Theorem 2.3]. Then R is right Noetherian by [9, Theorem 13.6.15]. On the other hand, if S is residually finite, then S satisfies the ascending chain condition on two-sided ideals by [3, Theorem 2.3]. By the way S is also a P.I ring by [9, Corollary 13.4.9], whence S is right Noetherian by [9, Theorem 13.6.15]. By Formanek and Jategaonkar [5, Theorem 4], we conclude that R is right Noetherian.

In the rest of this section, we consider when "residual finiteness" go down from a ring S to a subring R.

Proposition 3. Let S be a residually finite ring and let R be a subring of S. If R contains a nonzero ideal I of S, then R is residually finite.

Proof. Ovbiously we may assume that S is a proper residually finite ring. Let J be a nonzero ideal of R. Since S is a prime ring by [3, Corollary 2.2], IJI is a nonzero ideal of S contained in J. Since IJI is of finite index in S, J is of finite index in R. Therefore R is residually finite.

Example 5. Let F be a finite field and consider the formal power

series ring F[[x]]. We can easily see that F[[x]] is residually finite. By the routine argument on cardinality, we obtain an element y of F[[x]] such that x and y are algebraically independent over F. Then the subring F[x, y] of F[[x]] is not residually finite. However the subring F[y] + xF[[x]] is residually finite by Proposition 3.

Let A be an integral domain and let K be the field of fractions of A. Then A is said to be *completely integrally closed* if, for $k \in K$ and $a \in A$ with $a \neq 0$, $ak^n \in A$ for all n > 0 implies $k \in A$. It is well known that if A is completely integrally closed then A is integrally closed, and the converse of this is true if A is Noetherian.

Theorem 5. Let R be a residually finite prime P.I. ring and let F be the field of fractions of the center Z(R) of R. If C is a completely integrally closed subring of F containing Z(R), then C is a residually finite Dedekind domain and is the center of a residually finite Dedekind prime ring which contains R.

Proof. By Posner-Formanek-Rowen theorem [11, Theorem 1.7.9], the ring Q(R) of central quotients of R is Artinian simple. By the same way as in the proof of [2, Lemma 2.1.1], we can show that RC is integral over C. Since C is integrally closed, the center of RC is C. By [8, Corollary VII.3.4], there exists a maximal C-order A of Q(R) containing RC with Z(A) = C. By [2, Proposition 2.1.2 a)], A is a maximal order of Q(R). Since $Q(R) \supset A \supset R$, A is residually finite by Theorem 3. In particular, A is a Noetherian ring (see the proof of Corollary 4), and the classical Krull dimension of A is equal to or less than 1. Then, by [9, Theorem 13.9.14], C is a Dedekind domain and A is a maximal classical C-order and a Dedekind prime ring. Since A is integral over C, the pair (A, C)satisfies "Lying over" by [9, Theorem 13.8.14]. That is, if \mathfrak{p} is a prime ideal of C, then there is a prime ideal P of A such that $P \cap C = \mathfrak{p}$. If $\mathfrak{p} \neq 0$, then $P \neq 0$, and hence C/\mathfrak{p} is a subring of the finite ring A/P. Hence C/\mathfrak{p} is a finite ring. By [3, Theorem 2.3], this implies that C is residually finite.

Corollary 5. Let R be a residually finite prime P.I. ring and let F be the field of fractions of the center Z(R) of R. If C is a Noetherian subring of F containing Z(R), then C is residually finite. In particular, Z(R) is residually finite if and only if Z(R) is Noetherian.

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Proof. Let \tilde{C} denote the integral closure of C in F. Since C is Noetherian, \tilde{C} is completely integrally closed. Then \tilde{C} is residually finite by Theorem 5, and hence C is residually finite by [3, Theorem 4.2].

Remark 1. This corollary also follows from [11, Corollary 5.1.4], Theorem 3 and Corollary 4.

3. The number of ideals in a residually finite rings. Let R be a residually finite ring and let I be a nonzero ideal of R. The number of elements in R/I we shall call the *norm* of I and denote it by N(I). The following is well known for rings of algebraic integers.

Proposition 4. Let R be a residually finite Asano order. Then, for any nonzero ideals I, J of R, we have N(IJ)=N(I)N(J).

Proof. Let I be a nonzero ideal of R. By [9, Theorem 5.2.9], we can write $I = M_1^{n_1} M_2^{n_2} \cdots M_t^{n_t}$ for some distinct maximal ideals M_1, M_2, \cdots, M_t and some positive integers n_1, n_2, \cdots, n_t . Using Chinese remainder theorem, we have $N(I) = N(M_1^{n_1}) \cdots N(M_t^{n_t})$. Now let M be a maximal ideal of R and let k be any positive integer. Then M^k is a progenerator as a left or right R-module. Hence the functor $N_R \mapsto N \otimes_R M^k$ provides a category equivalence from Mod-R to Mod-R. Since $R/M \otimes_R M^k$ is isomorphic to $M^k/M^{k+1}, M^k/M^{k+1}$ has the same lemgth as R/M. However both of them are modules over the finite simple ring R/M. Hence they have the same number of elements. From this, we can easily show $N(M^k) = N(M)^k$. Therefore we obtain $N(I) = N(M_1)^{n_1} \cdots N(M_t)^{n_t}$. Now the assertion in this proposition is obvious.

We shall show that given positive integer n, the number of ideals I of a residually finite ring R satisfying $N(I) \leq n$ is finite. To do this, we need the following.

Lemma 2. Let R be a residually finite ring and let I be a nonzero ideal of R satisfying $N(I) \leq n$. Then we have $x^n \equiv x^{n+n!} \pmod{I}$ for all $x \in R$.

Proof. By hypothesis, R/I is a finite ring and the number of elements in R/I is equal to or less than n. Let a be an arbitrary element of R/I. Then we have $a^i = a^j$ for some i, j with $1 \leq i < j \leq n + 1$. Hence ON RESIDUALLY FINITE RINGS

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 $a^n(1-a^{j-i}) = 0$, and so $a^n(1-a^{n!}) = 0$. Therefore R/I satisfies the identity $x^n - x^{n+n!} = 0$. This proves our lemma.

Theorem 6. Let R be a residually finite ring and let n be a positive integer. Then the number of ideals of R satisfying $N(I) \leq n$ is finite.

Proof. If R is a finite ring, then there is nothing to prove. Hence, in view of [3, Corollary 2.2], we may assume that R is an infinite prime ring. Let J denote the intersection of all ideals I satisfying $N(I) \leq n$. If $J \neq 0$, then R/J is a finite ring, whence the assertion is trivial. Suppose that J = 0. Then R satisfies the identity $X^n - X^{n+n!} = 0$. This implies that R is a prime P. I. ring and a periodic ring. In particular, the center of R is a periodic field. Then R is simple by [11, Corollary 1.6.28]. This proves the theorem.

As an immediate consequence of this theorem, we have

Corollary 6. The set of ideals of a residually finite ring is either finite or enumerable.

In view of Theorem 1, right residually finite rings are right fully bounded right Noetherian rings. Moreover, as shown in the proof of Corollary 4, residually finite *P. I.* rings are right fully bounded right Noetherian.

Proposition 5. Let R be a right fully bounded right Noetherian and proper residually finite ring. Then the set of ideals of R is enumerable.

Proof. By [3, Corollary 2.2], R is prime. Suppose, on the contrary, that R has only finitely many ideals. Let J denote the intersection of all nonzero ideals of R. Since R is prime, J is nonzero. Since R is right fully bounded, J coincides with the intersection of all essential right ideals of R. By [1, Proposition 9.7], we have $Soc(R_R) = J \neq 0$. Since R is a right Noetherian prime ring, $Soc(R_R)$ is generated by a central idempotent of R, whence we conclude that $Soc(R_R) = R$.

We conclude this paper with the following

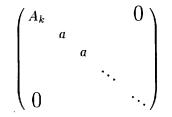
Example 6. Any simple ring is trivially a residually finite ring with exactly two ideals. Given a positive integer $n \ge 3$, we shall construct a

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proper residually finite ring R with exactly n ideals. For let F be a finite field and let S be F if n = 3 and for $n \ge 4$ let S be the F-subalgebra of $M_{n-2}(F)$ generated by

$$\begin{pmatrix} 0 & 1 & 0 & \dots & 0 \\ 0 & 1 & \ddots & \vdots \\ & \ddots & \ddots & 0 \\ & & \ddots & 1 \\ 0 & & & 0 \end{pmatrix}$$

Then S is a finite ring having exactly n-1 ideals. Let R be the set of countable matrices over F of the form



where $a \in S$ and A_k is an arbitrary $k \times k$ matrix over the ring $M_{n-2}(F)$ and k is allowed to be any integer. Then we can easily see that R is a proper residually finite ring with exactly n ideals.

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DEPARTMENT OF MATHEMATICS Okayama University Okayama 700, Japan

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