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RINGS OF CONTINUOUS FUNCTIONS WITH VALUES
IN A NON-ARCHIMEDEAN ORDERED FIELD

G. DE MARCO *) and M. RICHTER **)

I. Introduction.

In a recent paper, [DMW], investigations have been made over the ring $C(X, F)$ of continuous functions from a topological space X into a proper subfield F of the field of real numbers. Here we show that the techniques used in [DMW] lead, with suitable modifications, to analogous results if F is a non-archimedean ordered field.

Our main concern here are the residue class fields of $C(X, F)$ and $C^*(X, F)$ (the ring of bounded functions). It does not seem easy to give a full description of these fields by known concepts. The analogue of [DMW, 2.1] reads: If a residue class field of $C^*(X, F)$ contains one new element of a completion of F , it actually contains the whole completion (Theorem 3.3). But here the analogy ends: F is never dense in a residue class field K of $C^*(X, F)$ unless $K=F$ or measurable cardinals are considered (Proposition 3.2, Corollary 3.4).

In II we describe those properties of ordered fields which will be used later. In III and IV residue class fields of $C^*(X, F)$ and $C(X, F)$ are studied and in V we take the special case that F is real closed.

No inquiry is made about the structure spaces of $C(X, F)$ and $C^*(X, F)$ since it is clear that such an analysis can be carried out as in [DMW, 1] without essential modifications.

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II. General remarks on order fields.

The term « ordered » always means « totally ordered ». Throughout the whole paragraph, the letter K denotes an ordered field. With the order topology, K is a topological field. On its subsets, K induces an order and a topology, which is not, in general, the topology of the induced order.

PROPOSITION 2.1. Let F be a subfield of K . Then F (with the topology of the induced order) is a topological subfield of K if and only if F is cofinal in K . Otherwise, F is a discrete subspace of K .

PROOF. F is cofinal in K if and only if $F^+ = \{x \in F : x > 0\}$ is coinital in $K^+ = \{y \in K : y > 0\}$. And this is clearly equivalent to the fact that the neighborhoods of 0 in F are the sets $V \cap F$, V neighborhood of 0 in K . The last assertion is then also clear.

If $S \subseteq K$, $cl_K(S)$ denotes the closure of S in the order topology of K .

PROPOSITION 2.2. The subset S of K is topologically dense in K if and only if it is order dense in K . If F is a subfield of K , then $cl_K(F)$ is a subfield of K , which is cofinal in K if and only if F is. If F is not cofinal in K , then $cl_K(F) = F$.

PROOF. The last statement follows from 2.1. The remaining are obvious.

Given a non-empty $S \subseteq K$, we denote by $\omega(S)$ its cofinality type (which is an initial ordinal). A cut γ of K is an ordered pair of sets (A, B) such that $K = A \cup B$ and $A < B$ (i.e., $a \in A, b \in B$ imply $a < b$). The cut γ is said to be trivial if either one of the following is true: (i) $A = \emptyset$; (ii) $B = \emptyset$; (iii) A has a maximum; (iv) B has a minimum. A cut $\gamma = (A, B)$ is called a Cauchy cut if A and B are non empty and $B - A = \{b - a : a \in A, b \in B\}$ is coinital in K^+ . If F is a subfield of K and $\gamma = (A, B)$ is a cut of F , an element $a \in K$ such that $A \leq a \leq B$ is said to fill γ . Given $a \in K$, put $A_a = \{x \in F : x < a\}$, $B_a = \{y \in F : y > a\}$. The cofinality type of A_a is denoted by $\omega_F^-(a)$, the coinitality type of B_a by $\omega_F^+(a)$. If $a \notin F$, (A_a, B_a) is a non-trivial cut of F which we denote by $\gamma_F(a)$.

PROPOSITION 2.3. Let F be a cofinal subfield of X , and let a belong to $K \setminus F$. Then the following are equivalent

- (i) $a \in cl_K(F)$
- (ii) $\gamma_F(a)$ is a Cauchy cut of F .

Consequently, $cl_K(F) = \{a \in K : a \text{ fills a Cauchy cut of } F\}$.

PROOF. (i) \Rightarrow (ii). Since F is cofinal in K , A_a and B_a are non empty. Assume that $B_a - A_a$ is not cointial in F^+ , that is $B_a - A_a > \varepsilon > 0$ for some $\varepsilon \in F$. Put $V_\varepsilon = \{x \in K : |x| < \varepsilon\}$. By (i), $a \in F + V_\varepsilon$, that is $a = c + u$ for some $c \in F$ and $u \in V_\varepsilon$. If $u > 0$, then $c \in A_a$; and $c + \varepsilon > c + u = a$, hence $c + \varepsilon \in B_a$. But this implies $\varepsilon \in B_a - A_a$, a contradiction. Analogously $u < 0$, $c \in B_a$ and $c - \varepsilon \in A_a$ imply $\varepsilon \in B_a - A_a$.

(ii) \Rightarrow (i). If $a \notin cl_K(F)$, there is $\varepsilon \in K^+$ such that $(a - \varepsilon, a + \varepsilon) \cap F = \emptyset$. Hence $A_a < a - \varepsilon < a + \varepsilon < B_a$ imply $B_a - A_a > 2\varepsilon$ that is, $B_a - A_a$ is not cointial in K^+ ; hence $B_a - A_a$ cannot be cointial in F^+ .

Concerning the topology of K , we prove:

PROPOSITION 2.4. K is connected if and only if K is a copy of \mathbf{R} (the real numbers field). Otherwise, K admits a base $\mathcal{O}\mathcal{L}(K)$ of open-and-closed neighborhoods of 0 , $\mathcal{O}\mathcal{L}(K) = \{V_\alpha : \alpha \in \omega(K)\}$ such that $\alpha < \beta$ implies $V_\beta \subsetneq V_\alpha$. If K is non archimedean, the V_α may be chosen as subrings of K .

PROOF. Assume $K \neq \mathbf{R}$. If K is archimedean, K is a copy of a proper subfield of \mathbf{R} , and $\omega(F) = \omega_0$, the first infinite ordinal. Take $a \in \mathbf{R} \setminus K$ and put $V_n = \{x \in K : |x| < |a|/n\}$ for each $n \in \omega_0$.

If K is non archimedean, let $\{a_\alpha : \alpha \in \omega(K)\}$ be a subset of K^+ , cointial in K^+ , such that $a_\alpha < 1$ for all $\alpha \in \omega(K)$. Put $U_\alpha = \{x \in K : |a| < a_{\alpha/n}$ for all positive integers $n\}$. Since K is non archimedean, the U_α are neighborhoods of 0 , and they clearly are a base. If $x, y \in U_\alpha$, then

$$|x + y| \leq |x| + |y| \leq a_{\alpha/2n} + a_{\alpha/2n} = a_{\alpha/n}$$

and

$$|x \cdot y| = |x| |y| \leq a_{\alpha/n} \cdot 1$$

for all positive integers n . Thus the U_α are subrings of K ; hence they are open-and-closed, and the family of all intersection $W_\alpha = \bigcap_{\beta \leq \alpha} U_\beta$ clearly

contains a subfamily V_α satisfying the required conditions.

From now on, $\mathfrak{N}(K)$ will always denote such a neighborhood base.

As every topological field, K is said to be complete if it is complete with respect to the uniform structure \mathfrak{U} generated by the entourages $W_\alpha = \{(x, y) \in K \times K : x - y \in V_\alpha, V_\alpha \in \mathfrak{N}(K)\}$. The completion \bar{K} of the uniform space (K, \mathfrak{U}) may be given a structure of an ordered field, whose topology is that of the completion. The field \bar{K} is obviously topologically dense in \bar{K} (and hence order dense), and \bar{K} is unique up to an order-preserving field isomorphism which is the identity on K . By 2.3 only the Cauchy cuts of K are filled in \bar{K} . Clearly, \bar{K} fills all the Cauchy cuts of K . For each $a \in \bar{K}$, $\omega_F^-(a) = \omega_F^+(a) = \omega(\bar{K}) = \omega(K)$.

PROPOSITION 2.5. Let F be a cofinal subfield of K , and let \bar{F} be a completion of F . Then $cl_K(F)$ is isomorphic to a subfield of \bar{F} containing F .

PROOF. Extension theorem for uniformly continuous mappings.

We refer the reader to [G], chapter 13] for terminology and basic facts on real closed fields. By [S], if F is real closed, then \bar{F} is real closed.

PROPOSITION 2.6. Let K be a real closed extension of the real closed field F . If every Cauchy cut of F is filled in K , then there exists a copy E of \bar{F} in K , such that $F \subseteq E \subseteq K$.

PROOF. Let Φ be the set of all isomorphisms $\varphi : L \rightarrow K$, where L is a real-closed extension of F in \bar{F} , which are the identity on F . If $\varphi, \psi \in \Phi$, we write $\varphi \leq \psi$ if ψ is an extension of φ . Let $\varphi \in \Phi$, $\varphi : L \rightarrow K$, and $a \in \bar{F} \setminus L$; assume that b fills in K the Cauchy cut $\gamma_F(a)$. Then $b \notin \varphi[L]$, since φ is order-preserving; hence b is transcendental over the real closed field $\varphi[L]$. Thus φ has an extension $\varphi' : L(a) \rightarrow \varphi[L](b)$, such that $\varphi'(x) = \varphi(x)$ for $x \in L$, and $\varphi'(a) = b$. By [G], 13.12], φ' is order preserving. Hence φ' has an extension ψ from the real closed field L' (which is the algebraic closure of $L(a)$ in \bar{F}) to the algebraic closure of $\varphi[L](b)$ in K .

By Zorn's lemma, Φ has a maximal element $\bar{\varphi}$ and we have shown that the domain of $\bar{\varphi}$ is all of \bar{F} .

III. Residue class fields.

Let X be a topological space, F a non-archimedean ordered field. We denote by $C=C(X, F)$ the lattice ordered ring of all continuous functions from X to F ; $C^*=C^*(X, F)$ will be the subring of C consisting of all $f \in C$ such that $f[X]$ has a lower and an upper bound in F .

If P (resp. P^*) is a prime ideal of C (resp. C^*) the ring C/P (resp. C^*/P^*) is totally ordered under the quotient ordering. (The proofs are analogous to those given in [G], chapter 5.) The canonical mapping of C onto C/P (resp. of C^* onto C^*/P^*) maps the constants onto a copy of F , which, again, will be denoted by F .

A set E of idempotents of C such that $\sum_{e \in E} e(x) = 1$ for all $x \in X$ is called a partition of unity into idempotents, or simply a partition ($|E|$ -partition if we want to emphasize its cardinality). A partition E is said to be strongly contained in the ideal I of C (resp. C^*) if $\sum_{e \in S} e \in I$ for all $S \subseteq E$ such that $|S| < |E|$.

In what follows, M^* is a maximal ideal of C^* and K is the ordered field C^*/M^* . Observe that F is cofinal in K . The next lemma, analogous to [DMW, Lemma 2.1] is the key step in the study of the residue class fields of C^* and C .

LEMMA 3.1. Let $f \in C^*$. If $a = M^*(f)$ (the residue class of f modulo M^*) does not belong to $f[X]$, then M^* strongly contains either an $\omega_F^-(a)$ -partition or an $\omega_F^+(a)$ -partition.

PROOF. Assume first $f[X] < a$. We show that, in this case, M^* strongly contains an $\omega_F^-(a)$ -partition. Put $A_a = \{x \in F : x < a\}$, and choose a well-ordered cofinal subset of A_a , say $\{a_\alpha : \alpha \in \omega_F^-(a)\}$ (where $a_\alpha < a_\beta$ if $\alpha < \beta$, and for each limit ordinal $\gamma < \omega_F^-(a)$, $\sup \{a_\alpha : \alpha < \gamma\}$ does not exist in F) and for each α choose $V_\alpha \in \mathcal{O}\mathcal{C}(F)$ (see 2.4) in such a way that $a_{\alpha+1} > a_\alpha + V_\alpha$. Put $L_\alpha = \{x \in F : x < a_\alpha + v \text{ for some } v \in V_\alpha\}$. Clearly the L_α are open-and-closed, $L_{\alpha+1} \supsetneq L_\alpha$, and $\bigcup_{\alpha \in \omega_F^-(a)} L_\alpha = A_a$. Thus, $Z_\alpha = f^{-1}[L_\alpha \setminus \bigcup_{\alpha < \beta} L_\beta]$ is open and closed in X , the Z_α are pairwise disjoint, and $\bigcup_{\alpha \in \omega_F^-(a)} Z_\alpha = X$. Furthermore, given $\alpha_0 \in \omega_F^-(a)$, there exists $\alpha \geq \alpha_0$ such that $Z_\alpha \neq \emptyset$, since, otherwise, we would have $f[X] < a_{\alpha_0+1} < a$, which is

impossible. This shows that $\{e_\alpha : \alpha \in \omega_F^-(a)\}$, where e_α is the characteristic function of Z_α , is an $\omega_F^-(a)$ -partition. For each $\alpha \in \omega_F^-(a)$, put $g_\alpha = f \vee a_{\alpha+2} - f$. Since $M^*(g_\alpha) = M^*(f \vee a_{\alpha+2}) - M^*(f) = a \vee a_{\alpha+2} - a = 0$, $g_\alpha \in M^*$. Define h_α on X to be $1/g_\alpha$ on $\cup_{\beta \leq \alpha} Z_\beta = f^-[L_\alpha]$, to be zero otherwise. Observe that $|h_\alpha| < (a_{\alpha+2} - a_{\alpha+1})^{-1}$. Hence $h_\alpha \in C^*$, and $\sum_{\beta \leq \alpha} e_\beta = h_\alpha g_\alpha \in M^*$. This proves that $\{e_\alpha : \alpha \in \omega_F^-(a)\}$ is strongly contained in M^* .

In an analogous way it can be shown that if $f[X] > a$, then M^* strongly contains an $\omega_F^+(a)$ -partition. It only remains to prove that we may always assume either $f[X] < a$ or $f[X] > a$.

If $a \in F$, simply use $f \wedge a$ (or $f \vee a$) instead of f .

If $a \notin F$, put $B_a = \{y \in F : y > a\}$; A_a, B_a are open-and-closed in F , since F is cofinal in K . Let e be the characteristic function of $f^-[A_a]$. Then $f = fe + f(1-e)$, and since M^* is prime, exactly one of the two idempotents $e, 1-e$ belongs to M^* . The conclusion is now obvious.

PROPOSITION 3.2.

- (i) If M^* contains no partitions, then $C^*/M^* = F$
- (ii) If M^* contains a countable partition, then some non-Cauchy cut of F is filled in K
- (iii) If M^* contains an α -partition, with α non-measurable, then M^* contains a countable partition.

PROOF.

(i) By Lemma 3.1, $M^*(f) \in F$ for all $f \in C^*$.

(ii) Let $\{e_n : n \in \mathbf{N}\}$ (\mathbf{N} is the set of natural numbers) be a partition contained in M^* . Put $f = \sum_{n \in \mathbf{N}} ne_n$. Since F is non archimedean, $f \in C^*$ and $M^*(f)$ fills the non-Cauchy-cut $\gamma = (A, B)$, where $B = \{y \in F : y > \mathbf{N}\}$ and $A = F \setminus B$.

(iii) Repeat the proof given in [DMW], theorem 2.2.

THEOREM 3.3. The following statements (i), (ii), (iii) are equivalent and imply (iv). If F is not complete, then all four are equivalent.

- (i) For some $f \in C^*$, $M^*(f) \in cl_K(F) \setminus f[X]$.
- (ii) M^* strongly contains an $\omega(F)$ -partition.
- (iii) M^* contains a unit of $C = C(X, F)$.
- (iv) $cl_K(F)$ is a completion of F .

PROOF. (i) implies (ii). Put $a = M^*(f)$. By 2.5, $\omega_F^-(a) = \omega_F^+(a) = \omega(F)$. By 3.1, M^* strongly contains an $\omega(F)$ -partition.

(ii) implies (iii). Let $\{e_\alpha : \alpha \in \omega(F)\}$ be an $\omega(F)$ -partition strongly contained in M^* and let $\{a_\alpha : \alpha \in \omega(F)\}$ be a cofinal subset of F , such that $\alpha < \beta$ implies $a_\beta < a_\alpha$. Put $u = \sum_{\alpha \in \omega(F)} a_\alpha e_\alpha$. Then u is a unit of C , and since the partition is strongly contained in M^* , we have $0 \leq M^*(u) = M^*(\sum_{\beta \leq \alpha} a_\beta e_\beta) \leq a_\alpha$ for all $\alpha \in \omega(F)$. Since F is cofinal in K , $M^*(u) = 0$.

(iii) implies (i). Apply Lemma 3.1.

(i) implies (iv). By 2.3 and 2.5, we have to show that every Cauchy cut of F is filled in K . Let $\gamma = (A, B)$ be a non-trivial Cauchy cut of F , and let $\{a_\alpha : \alpha \in \omega(F)\}$ be a cofinal subset of A , such that $a_\alpha < a_\beta$ whenever $\alpha < \beta$. Take an $\omega(F)$ -partition strongly contained in M^* . It can be verified, arguing as above, that $M^*(\sum_{\alpha \in \omega(F)} a_\alpha e_\alpha)$ fills γ .

That (iv) implies (i) if F is not complete is obvious by 2.3.

COROLLARY 3.4. If $cl_K(F) \setminus F \neq \emptyset$, then $cl_K(F)$ is a completion of F . If $\omega(F)$ is non-measurable, K is a completion of F if and only if $F = K$ and F is complete.

PROOF. The first part is proved in the same way as (iv) was derived from (i) in 3.3. For the second statement, apply 3.3 and 3.2.

IV. $K = C(X, F)/M$.

In this section, M will denote a maximal ideal of $C = C(X, F)$ and K the field C/M .

THEOREM 4.1. The following are equivalent:

- (i) M does not contain strongly an $\omega(F)$ partition.
- (ii) F is cofinal in K .
- (iii) $M \cap C^*$ is maximal in C^* .

Furthermore, if (iii) holds then C/M is isomorphic to $C^*/M \cap C^*$.

PROOF. Assume (i) holds. If F is not cofinal in K , there exists $f \in C$ such that $M(f) > F$. Arguing as in Lemma 3.1, we see that M contains an $\omega(F)$ -partition and (ii) is proved.

Now assume (ii) and put $P^* = M \cap C^*$. The natural mapping j of C^*/P^* into C/M is one-to-one, and C/M is the field of fractions of $j[C^*/P^*]$. Let M^* be the maximal ideal of C^* containing the prime ideal P^* . By an argument analogous to [DMW, lemma 2], it can be shown that if $u \geq 0$, $u \in M^* \setminus P^*$, then $0 < u < F^+$. But, then, F is not cofinal in K . Hence $M \cap C^*$ is maximal in K .

If $M \cap C^*$ is a maximal ideal of C^* which contains no unit of C , then by Theorem 3.1, $M \cap C^*$ does not strongly contain any $\omega(F)$ -partition, whence M cannot contain strongly an $\omega(F)$ -partition and (i) holds.

V. Real closed fields.

This section is devoted to a brief investigation of the residue class fields of $C(X, F)$ and $C^*(X, F)$ with F real-closed. The first natural question is: are these residue class fields also real closed? The answer to this question is affirmative and a proof may be given following [G], 13.4, once we have proved that in a real-closed field K the roots of a polynomial depend continuously on the coefficients. This fact is well-known in the case $K = \mathbf{R}$, but its proof makes use of Rouché's theorem. Hence we give an elementary proof of this fact. Let K be a real-closed field, and let L be its algebraic closure. The topology and the absolute value on L are defined in the usual way.

Let n be a positive integer. For each $a = (a_0, \dots, a_{n-1}) \in L^n$ we denote by $\rho_1 a, \dots, \rho_n a$ the « real parts » of the roots (in L) of the polynomial $p_a(t) = \sum_{v=0}^{n-1} a_v t^v + t^n$, (listing each according to its multiplicity) indexed so that $\rho_1 a \leq \dots \leq \rho_n a$ (see [G], 13.3). Put also

$$\|a\| = \text{Max} \{ |a_0| \dots |a_{n-1}| \}.$$

THEOREM 5.1. The functions ρ_1, \dots, ρ_n are continuous functions from L^n to K .

PROOF. The theorem is an immediate consequence of the following:

PROPOSITION 5.2. Let $a \in L^n$ be given, and let $\varepsilon_a > 0$ be such that $|x_a - y_a| > \varepsilon_a$ whenever x_a, y_a are distinct roots of $p_a(t)$. Let x_a be a

root of $p_a(t)$ of multiplicity r_a . Then, for each ε , $0 < \varepsilon \leq \varepsilon_a$, there exists $\delta > 0$ such that, if $\|a - b\| < \delta$, then $p_b(t)$ has (counting multiplicities) exactly r_a roots x_b such that $|x_b - x_a| < \varepsilon$.

PROOF. It is enough to show that under the above assumptions, $p_b(t)$ has at least r_a roots in $x_a + U_\varepsilon$. We first show that $p_b(t)$ has at least one root in $x_a + U_\varepsilon$. In fact, for every $b \in L^n$

$$|p_b(x_a)| = |p_b(x_a) - p_a(x_a)| \leq \sum_{v=0}^{n-1} |a_v - b_v| |x_a|^v \leq \|a - b\| \left(\sum_{v=0}^{n-1} |x_a|^v \right)$$

and

$$|p_b(x_a)| = \prod_{j=1}^n |x_a - x_j|$$

where the x_j are the roots of $p_b(t)$. Thus, for

$$\delta = \varepsilon^n \cdot \left(\sum_{v=0}^{n-1} |x_a|^v \right)^{-1}, \text{ we have } |x_a - x_j| < \varepsilon$$

for at least one j .

Dividing the polynomial $p_a(t)$ by $t - \xi$ ($\xi \in L$) we obtain

$$p_a(t) = (t - \xi)p_{\varphi(a, \xi)}(t) + p_a(\xi)$$

where $\varphi : L^n \times L \rightarrow L^{n-1}$ is a continuous function (its components are polynomials in ξ , having $a_0, \dots, a_{n-1}, 1$ as coefficients).

We have already seen that the proposition is true for $r_a = 1$. Also, the proposition is trivial for $n = 1$. Assume that it is true for $n - 1$ ($n > 1$), and that $r_a > 1$. Then x_a is a root of $p_{\varphi(a, x_a)}(t)$, of multiplicity $r_a - 1$. Given $\varepsilon > 0$, we can find $\eta > 0$ such that for every $c \in L^{n-1}$ satisfying $\|c - \varphi(a, x_a)\| < \eta$, $p_c(t)$ has exactly $r_a - 1$ roots in $x_a + U_\varepsilon$, by the induction hypothesis. Since φ is continuous, there exists $\delta_1 > 0$ such that whenever $\|a - b\|, |\xi - x_a| < \delta_1$, then

$$\|\varphi(b, \xi) - \varphi(a, x_a)\| < \eta.$$

By what we have above shown, we can find $\delta < \delta_1$ such that $\|a - b\| < \delta$ implies $|x_b - x_a| < \min\{\delta_1, \varepsilon\}$ for at least one root x_b of $p_b(t)$. Thus, if

$\|a-b\| < \delta$, $p_{\varphi(b, x_\delta)}(t)$ has $r_a - 1$ roots in $x_a + U_\varepsilon$. Hence $p_b(t)$ has at least r_a roots in $x_a + U_\varepsilon$.

Following now the proof of [G J, 13.4] (and observing, in the bounded case, that the roots of $p_a(t)$ are bounded by $n(1 + \|a\|)$), we have

THEOREM 5.3. Let F be a real closed field, M (resp. M^*) a maximal ideal of $C = C(X, F)$ (resp. of $C^* = C^*(X, F)$). Then C/M (resp. C^*/M^*) is real-closed.

Also we have

THEOREM 5.4. Let F be a real closed field, M a maximal ideal of $C = C(X, F)$, $K = C/M$. If F is not cofinal in K , then there is a copy E of \bar{F} such that

$$F \subseteq E \subseteq K.$$

PROOF. Since M contains an $\omega(F)$ -partition, every Cauchy cut F is filled in K , as is easy to see. Thus Theorem 2.6. applies.

REMARK. This copy of F in K is not unique, unless F is already complete. It could be shown that there are at least $\text{trdeg}_F(\bar{F})$ such copies, where $I = \{x \in K : |x| < F^+\}$.

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