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A NOTE ON ALGEBRAIC CATEGORIES

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This note is a sequel to [4] but it can be read independently. Both main results (Corollary 2 and the Example) were motivated by Reiterman [3].

For the precise set-theoretic foundation we will need two universes \mathcal{U}_1 and \mathcal{U}_2 such that $\mathcal{U}_1 \subseteq \mathcal{U}_2$ and $\mathcal{U}_1 \in \mathcal{U}_2$. \mathcal{U}_1 -sets will be called sets, \mathcal{U}_1 -classes classes, \mathcal{U}_2 -sets metaclasses and \mathcal{U}_2 -classes superclasses. There are four corresponding levels of categories: small categories, categories, metacategories and supercategories. We will notationally not distinguish the corresponding levels of functors. Let us emphasize that one can neglect these set-theoretic difficulties because all what we assert about categories may be proved in the Gödel–Bernays set theory.

A *concrete (meta)category* over a category \mathcal{X} is a couple (\mathcal{A}, U) where \mathcal{A} is a (meta)category and $U: \mathcal{A} \rightarrow \mathcal{X}$ a faithful functor. A *concrete functor* $H: (\mathcal{A}, U) \rightarrow (\mathcal{B}, V)$ between concrete metacategories is a functor $H: \mathcal{A} \rightarrow \mathcal{B}$ such that $V \circ H = U$. Denote by $\mathcal{C}_{\mathcal{X}}$ a supercategory of concrete metacategories and concrete functors over \mathcal{X} .

Linton [1] has shown how a concrete metacategory (\mathcal{A}, U) over \mathcal{X} gives rise to a concrete metacategory $U\text{-Alg}$ of U -algebras over \mathcal{X} . A U -algebra \mathfrak{A} consists of an object $X \in \mathcal{X}$ and of mappings $\varphi^{\mathfrak{A}}: X^n \rightarrow X^k$, where φ carries over natural transformations $U^n \rightarrow U^k$ with $n, k \in \mathcal{X}$, and these data satisfy

$$(1) \quad (U^f)^{\mathfrak{A}} = X^f$$

for any morphism $f: k \rightarrow n$ of \mathcal{X} and

$$(2) \quad (\varphi \cdot \psi)^{\mathfrak{A}} = \varphi^{\mathfrak{A}} \cdot \psi^{\mathfrak{A}}$$

for any natural transformations $\psi: U^m \rightarrow U^n$ and $\varphi: U^n \rightarrow U^k$. Concerning the notation, if $n \in \mathcal{X}$ then $U^n: \mathcal{A} \rightarrow \text{Set}$ is the composition $\mathcal{X}(n, -) \circ U$, $U^f: U^k \rightarrow U^n$ has components $(U^f)_A = (UA)^f$ for $A \in \mathcal{A}$, X^n is the set $\mathcal{X}(n, X)$ and X^f is the mapping $\mathcal{X}(f, X): X^n \rightarrow X^k$. Similarly h^n is the mapping $\mathcal{X}(n, h): X^n \rightarrow Y^n$ for any morphism $h: X \rightarrow Y$ of \mathcal{X} .

Homomorphisms $h: \mathfrak{A} \rightarrow \mathfrak{B}$ of U -algebras are defined obviously, i.e. as morphisms $h: |\mathfrak{A}| \rightarrow |\mathfrak{B}|$ between underlying \mathcal{X} -objects of \mathfrak{A} and \mathfrak{B} such that $h^k \cdot \varphi^{\mathfrak{A}} = \varphi^{\mathfrak{B}} \cdot h^n$ for any $\varphi: U^n \rightarrow U^k$.

The metaclass of all natural transformations $U^n \rightarrow U^k$ will be denoted by $\tau_{\mathcal{A}}$. Emphasize that φ_A , for $A \in \mathcal{A}$, will always denote the A -th component of a natural transformation $\varphi \in \tau_{\mathcal{A}}$.

Put $T(\mathcal{A}) = U\text{-Alg}$ and let $T(H) : T(\mathcal{A}) \rightarrow T(\mathcal{B})$, for a concrete functor $H : \mathcal{A} \rightarrow \mathcal{B}$, is given as follows

$$\varphi^{T(H)(\mathfrak{A})} = (\varphi H)^{\mathfrak{A}}$$

for any $\mathfrak{A} \in T(\mathcal{A})$ and any $\varphi \in \tau_{\mathcal{A}}$. It is evident that $T : \mathcal{C}_{\mathcal{X}} \rightarrow \mathcal{C}_{\mathcal{X}}$ is a functor.

The setting

$$\varphi^{\eta_{\mathcal{A}}(A)} = \varphi_A,$$

where $A \in \mathcal{A}$ and $\varphi \in \tau_{\mathcal{A}}$, gives rise to a concrete functor $\eta_{\mathcal{A}} : \mathcal{A} \rightarrow T(\mathcal{A})$. The verification that $\eta_{\mathcal{A}}(A)$ is a U -algebra is easy. The functor $\eta_{\mathcal{A}}$ is called the comparison functor of \mathcal{A} .

Since $\varphi^{T(H) \cdot \eta_{\mathcal{A}}(A)} = (\varphi H)^{\eta_{\mathcal{A}}(A)} = (\varphi H)_A = \varphi_{H(A)} = \varphi^{\eta_{\mathcal{B}}(HA)}$ for any $A \in \mathcal{A}$ and $\varphi \in \tau_{\mathcal{A}}$, $\eta_{\mathcal{A}} : 1 \rightarrow T$ is a natural transformation (1 denotes the identity functor on $\mathcal{C}_{\mathcal{X}}$).

It is easy to see that the assignment

$$\bar{\varphi}_{\mathfrak{A}} = \varphi^{\mathfrak{A}}$$

where $\mathfrak{A} \in T(\mathcal{A})$ gives a natural transformation $\bar{\varphi} \in \tau_{T(\mathcal{A})}$ for any $\varphi \in \tau_{\mathcal{A}}$. Assign to any algebra $\mathfrak{A} \in T^2(\mathcal{A})$ an algebra $\mu_{\mathcal{A}}(\mathfrak{A}) \in T(\mathcal{A})$ by means of

$$\varphi^{\mu_{\mathcal{A}}(\mathfrak{A})} = \bar{\varphi}^{\mathfrak{A}}$$

for any $\varphi \in \tau_{\mathcal{A}}$. Since $h^k \cdot \varphi^{\mu_{\mathcal{A}}(\mathfrak{B})} = h^k \cdot \bar{\varphi}^{\mathfrak{B}} = \bar{\varphi}^{\mathfrak{B}} \cdot h^n = \varphi^{\mu_{\mathcal{A}}(\mathfrak{B})} \cdot h^n$ for any homomorphism $h : \mathfrak{A} \rightarrow \mathfrak{B}$ of algebras $\mathfrak{A}, \mathfrak{B} \in T^2(\mathcal{A})$, $\mu_{\mathcal{A}} : T^2(\mathcal{A}) \rightarrow T(\mathcal{A})$ is a functor. Since $(\bar{\varphi} \cdot T(H))_{\mathfrak{A}} = \bar{\varphi}_{T(H)(\mathfrak{A})} = \varphi^{T(H)(\mathfrak{A})} = (\varphi H)^{\mathfrak{A}} = (\overline{\varphi H})_{\mathfrak{A}}$ for any $H : \mathcal{A} \rightarrow \mathcal{B}$, $\varphi \in \tau_{\mathcal{B}}$ and $\mathfrak{A} \in T(\mathcal{A})$, we get $\varphi^{T(H)(\mu_{\mathcal{A}}(\mathfrak{A}))} = (\varphi H)^{\mu_{\mathcal{A}}(\mathfrak{A})} = \overline{\varphi H}^{\mathfrak{A}} = (\overline{\varphi T(H)})_{\mathfrak{A}} = \bar{\varphi}^{T(H)(\mathfrak{A})} = \varphi^{\mu_{\mathcal{A}} \cdot (T^2(H)(\mathfrak{A}))}$ for any $H : \mathcal{A} \rightarrow \mathcal{B}$, $\varphi \in \tau_{\mathcal{B}}$ and $\mathfrak{A} \in T^2(\mathcal{A})$. Hence $\mu_{\mathcal{A}} : T^2 \rightarrow T$ is a natural transformation.

Theorem. (T, η, μ) is a monad in $\mathcal{C}_{\mathcal{X}}$.

Proof: Since $\varphi^{(\mu \cdot \eta T)(\mathfrak{A})} = \bar{\varphi}^{\eta T(\mathfrak{A})(\mathfrak{A})} = \bar{\varphi}_{\mathfrak{A}} = \varphi_{\mathfrak{A}}$ for any $\mathfrak{A} \in T(\mathcal{A})$ and $\varphi \in \tau_{\mathcal{A}}$, we get that $\mu \cdot \eta T = 1$. Since $(\bar{\varphi} \cdot \eta_{\mathcal{A}})_{\mathfrak{A}} = \bar{\varphi}_{\eta_{\mathcal{A}}(\mathfrak{A})} = \varphi^{\eta_{\mathcal{A}}(\mathfrak{A})} = \varphi_{\mathfrak{A}}$ for any $\mathfrak{A} \in \mathcal{A}$ and $\varphi \in \tau_{\mathcal{A}}$, it holds $\varphi^{\mathfrak{A}} = (\bar{\varphi} \eta_{\mathcal{A}})_{\mathfrak{A}} = \bar{\varphi}^{T(\eta_{\mathcal{A}})(\mathfrak{A})} = \varphi^{(\mu \cdot T(\eta))_{\mathcal{A}}(\mathfrak{A})}$ for any $\mathfrak{A} \in T(\mathcal{A})$ and $\varphi \in \tau_{\mathcal{A}}$. Hence $\mu \cdot T(\eta) = 1$. Finally, since $(\bar{\varphi} \mu_{\mathcal{A}})_{\mathfrak{A}} = \bar{\varphi}_{\mu_{\mathcal{A}}(\mathfrak{A})} = \varphi^{\mu_{\mathcal{A}}(\mathfrak{A})} = \bar{\varphi}^{\mathfrak{A}} = \bar{\varphi}_{\mathfrak{A}}$ for any $\mathfrak{A} \in T^2(\mathcal{A})$ and $\varphi \in \tau_{\mathcal{A}}$, it holds $(\varphi^{(\mu \cdot T(\mu))_{\mathcal{A}}(\mathfrak{A})}) = \bar{\varphi}^{T(\mu_{\mathcal{A}})(\mathfrak{A})} = (\bar{\varphi} \mu_{\mathcal{A}})_{\mathfrak{A}} = \bar{\varphi}^{\mathfrak{A}} = \bar{\varphi}_{T(\mu_{\mathcal{A}})(\mathfrak{A})} = \varphi^{(\mu \cdot \mu T)_{\mathcal{A}}(\mathfrak{A})}$ for any $\mathfrak{A} \in T^3(\mathcal{A})$ and $\varphi \in \tau_{\mathcal{A}}$. Therefore $\mu \cdot T(\mu) = \mu \cdot \mu T$ holds.

A concrete (meta)category (\mathcal{A}, U) over \mathcal{X} will be called *canonically algebraic* if the comparison functor $\eta_{\mathcal{A}}$ is an isomorphism.

Corollary 1: Let \mathcal{A} be a concrete category over \mathcal{X} such that $T(\mathcal{A})$ is canonically algebraic and $\eta_{\mathcal{A}}$ is a coretraction. Then \mathcal{A} is canonically algebraic, too.

Proof: Since $T(\mathcal{A})$ is canonically algebraic, $\eta_{T(\mathcal{A})}$ is an isomorphism. Hence $\eta_{T(\mathcal{A})} = T(\eta_{\mathcal{A}})$ because $\mu_{\mathcal{A}} \cdot \eta_{T(\mathcal{A})} = \mu_{\mathcal{A}} \cdot T(\eta_{\mathcal{A}}) = 1$ implies that $\eta_{T(\mathcal{A})} = \mu_{\mathcal{A}}^{-1} = T(\eta_{\mathcal{A}})$.

$\eta_{\mathcal{A}}$ being a coretraction means that there is a functor $H: T(\mathcal{A}) \rightarrow \mathcal{A}$ such that $H \cdot \eta_{\mathcal{A}} = 1$. Since $\eta_{\mathcal{A}} \cdot H(\mathfrak{A}) = T(H) \cdot \eta_{T(\mathcal{A})}(\mathfrak{A}) = T(H) \cdot T(\eta_{\mathcal{A}})(\mathfrak{A}) = \mathfrak{A}$, it holds that $\eta_{\mathcal{A}} \cdot H = 1$. Hence $\eta_{\mathcal{A}}$ is an isomorphism and \mathcal{A} is canonically algebraic.

Corollary 2: Let \mathcal{A} be a concrete category over \mathcal{X} . Then either \mathcal{A} is canonically algebraic, or $T(\mathcal{A})$ is canonically algebraic or no of $T^n(\mathcal{A})$ is canonically algebraic.

Proof: Since $\mu \cdot \eta T = 1$, $\eta_{T^n(\mathcal{A})}$ is a coretraction for $n \geq 1$. Hence by the previous corollary whenever $T^n(\mathcal{A})$ is not canonically algebraic then neither $T^{n+1}(\mathcal{A})$ is.

Let us specify what means that a category is canonically algebraic over *Set*. Under a type t we will mean a class of (infinitary) operation symbols. Having a class E of equations of type t we may form the metacategory $(t, E)\text{-Alg}$ of all t -algebras satisfying all equations from E . Under an algebraic category over *Set* we will mean a concrete category isomorphic (as a concrete category) to some $(t, E)\text{-Alg}$. Any canonically algebraic category over *Set* is, of course, algebraic over *Set*. The converse is not true (see [4]). The reason is that, for a given algebraic category $(t, E)\text{-Alg}$, there may exist a natural transformation $\varphi \in \tau_{(t, E)\text{-Alg}}$ which is not induced by any term of type t and such that the interpretation of φ is not uniquely determined by the interpretations of terms of type t .

We can similarly introduce the concept of an algebraic category over an arbitrary category \mathcal{X} (see [4]). Here, a t -algebra \mathfrak{A} consists of an object $X \in \mathcal{X}$ and of operations $f: X^n \rightarrow X^k$ where f carries over operation symbols of type t and $n, k \in \mathcal{X}$. Hence we have again an algebraic category $(t, E)\text{-Alg}$ over \mathcal{X} . Of course, any canonically algebraic category is again algebraic.

Returning once more to a monad $T: \mathcal{C}_{\mathcal{X}} \rightarrow \mathcal{C}_{\mathcal{X}}$, one can ask how T -algebras look like. We are going to show that any algebraic category over \mathcal{X} is a T -algebra.

Consider an algebraic category $\mathcal{A} = (t, E)\text{-Alg}$ and denote by U the forgetful functor into \mathcal{X} . Any operation symbol $f \in t$ provides a natural transformation φ_f by means of $(\varphi_f)_{\mathfrak{A}} = f^{\mathfrak{A}}$ for any (t, E) -algebra \mathfrak{A} . Then the prescription $f^{H(\mathfrak{A})} = (\varphi_f)^{\mathfrak{A}}$, $\mathfrak{A} \in T(\mathcal{A})$, $f \in t$ gives the functor $H: T(\mathcal{A}) \rightarrow \mathcal{A}$ of t -reducts. We show that (\mathcal{A}, H) is a T -algebra.

Clearly $H \cdot \eta_{\mathcal{A}} = 1$. Further for any $\mathfrak{A} \in T(\mathcal{A})$ and $f \in t$ it holds that $(\varphi_f)_{\mathfrak{A}} = (\varphi_f)^{\mathfrak{A}} = f^{H(\mathfrak{A})} = (\varphi_f)_{H(\mathfrak{A})} = (\varphi_f H)_{\mathfrak{A}}$. Since $f^{H \cdot \mu_{\mathcal{A}}(\mathfrak{A})} = (\varphi_f)^{\mu_{\mathcal{A}}(\mathfrak{A})} = (\varphi_f)^{\mathfrak{A}} = (\varphi_f H)^{\mathfrak{A}} = (\varphi_f)^{T(H)(\mathfrak{A})} = f^{H \cdot T(H)(\mathfrak{A})}$ holds for any $\mathfrak{A} \in T^2(\mathcal{A})$ and any $f \in t$, we get that $H \cdot \mu_{\mathcal{A}}(\mathfrak{A}) = H \cdot T(H)(\mathfrak{A})$ for any $\mathfrak{A} \in T^2(\mathcal{A})$. Hence $H \cdot \mu_{\mathcal{A}} = H \cdot T(H)$.

But there are more T -algebras than algebraic categories and it is an open question to characterize them.

Linton has shown (see [1]) that any monadic category over \mathcal{X} is canonically algebraic. We are going to show that the converse is not true even in the case $\mathcal{X} = \text{Set}$. We will need two auxiliary assertions.

Proposition: Let $(t, E)\text{-Alg}$ be an algebraic category over Set , $\mathfrak{A}_i, i \in I$ be a set of its objects and $\varphi \in \tau_{(t, E)\text{-Alg}}$. Then there is a term p of type t such that $\varphi_{\mathfrak{A}_i}$ equals to its interpretation $p^{\mathfrak{A}_i}$ on \mathfrak{A}_i for each $i \in I$.

Proof: Following theorem 6.5. of [4] there is a chain $E_0 \supseteq E_1 \supseteq \dots \supseteq E_\alpha \supseteq \dots \supseteq E$ of classes of equations of type t indexed by all ordinals such that any category $(t, E_\alpha)\text{-Alg}$ is monadic over Set and $(t, E)\text{-Alg} = \bigcup_{\alpha \in \text{Ord}} (t, E_\alpha)\text{-Alg}$. Hence

there is an ordinal α such that $\mathfrak{A}_i \in (t, E_\alpha)\text{-Alg}$ for any $i \in I$. The natural transformation φ induces an element $\varphi \in \tau_{(t, E_\alpha)\text{-Alg}}$. It is well-known (see e.g. [2], 1.5.5.) that $(t, E_\alpha)\text{-Alg}$ being monadic implies that φ is induced on $(t, E_\alpha)\text{-Alg}$ by a term of type t . Hence the result follows.

It is clear that the condition of the Proposition is also sufficient for φ being a natural transformation.

Lemma: Let $(t, E)\text{-Alg}$ be an algebraic category over Set such that any operation symbol from t is unary. Denote by U the forgetful functor. Then any natural transformation $\varphi : U^n \rightarrow U$ is a composition $U^n \xrightarrow{\pi_i} U \xrightarrow{\alpha} U$ where α is natural and π_i is the projection given by some $i \in n$.

Proof: At first, assume that $\varphi_{\mathfrak{A}} : |\mathfrak{A}|^n \rightarrow |\mathfrak{A}|$ is constant for any $\mathfrak{A} \in (t, E)\text{-Alg}$. Let $\alpha_{\mathfrak{A}} : |\mathfrak{A}| \rightarrow |\mathfrak{A}|$ be constant with the same value as $\varphi_{\mathfrak{A}}$. Then $\alpha : U \rightarrow U$ is clearly natural and $\varphi = \alpha \cdot \pi_i$ for any $i \in n$.

Let there be an algebra \mathfrak{A} such that $\varphi_{\mathfrak{A}}$ is not constant. Assume that $\varphi_{\mathfrak{A}} = f \cdot (\pi_i)_{\mathfrak{A}} = g \cdot (\pi_j)_{\mathfrak{A}}$ for $i, j \in n$ and $f, g : |\mathfrak{A}| \rightarrow |\mathfrak{A}|$. Consider $a, b \in |\mathfrak{A}|$. There is $c = (c_k)_{k \in n} \in |\mathfrak{A}|^n$ such that $c_i = a$ and $c_j = b$. Since $f(a) = f \cdot (\pi_i)_{\mathfrak{A}}(c) = g \cdot (\pi_j)_{\mathfrak{A}}(c) = g(b)$ and $\varphi_{\mathfrak{A}}$ is not constant, we get that $i = j$. Hence $\varphi_{\mathfrak{A}}$ factorizes over at most one π_i . Denote this i , if it exists, by i_0 .

Consider a (t, E) -algebra \mathfrak{B} . Following the Proposition, there is an n -ary term p of type t such that $\varphi_{\mathfrak{B}} = p^{\mathfrak{B}}$ and $\varphi_{\mathfrak{B}} = p^{\mathfrak{B}}$. But the term p equals to $\pi_{i_0} \cdot q$ where q is the unary term and π_{i_0} the projection term. Hence $i = i_0$. Put $\alpha_{\mathfrak{B}} = (q_{\mathfrak{B}})^{\mathfrak{B}}$. For any (t, E) -algebras $\mathfrak{B}, \mathfrak{C}$ and any homomorphism $h : \mathfrak{B} \rightarrow \mathfrak{C}$ it holds that $h \cdot \alpha_{\mathfrak{B}} \cdot (\pi_{i_0})_{\mathfrak{B}}^{\mathfrak{B}} = h \cdot (q_{\mathfrak{B}})^{\mathfrak{B}} \cdot (\pi_{i_0})_{\mathfrak{B}}^{\mathfrak{B}} = h \cdot p^{\mathfrak{B}} = h \cdot \varphi_{\mathfrak{B}} = \alpha_{\mathfrak{C}} \cdot h^n = \alpha_{\mathfrak{C}} \cdot (\pi_{i_0})_{\mathfrak{C}}^{\mathfrak{C}} \cdot h^n = \alpha_{\mathfrak{C}} \cdot h^n \cdot (\pi_{i_0})_{\mathfrak{B}}^{\mathfrak{B}}$. Since $(\pi_{i_0})_{\mathfrak{B}}^{\mathfrak{B}}$ is onto, $\alpha : U \rightarrow U$ is a natural transformation. Thus $\varphi = \alpha \cdot \pi_{i_0}$.

Example: Let $\mathcal{X} = \text{Set}$ and consider the type t having a class of unary operation symbols f_0, f_1, f_2, \dots indexed by all ordinals. Let E consist of equations

$$f_i^2 = f_i$$

for any ordinal i and

$$f_i \cdot f_j = f_0$$

for any two distinct ordinals i, j .

Let \mathfrak{A} be a (t, E) -algebra. If $(f_i)^{\mathfrak{A}} = (f_j)^{\mathfrak{A}}$ for $i \neq j$ then $(f_i)^{\mathfrak{A}} = (f_i)^{\mathfrak{A}} \cdot (f_i)^{\mathfrak{A}} = (f_i)^{\mathfrak{A}} \cdot (f_j)^{\mathfrak{A}} = (f_0)^{\mathfrak{A}}$. Since \mathfrak{A} can have only a set of different $(f_i)^{\mathfrak{A}}$, there is an ordinal j such that $(f_i)^{\mathfrak{A}} = (f_0)^{\mathfrak{A}}$ for any $i \geq j$. Hence $\mathcal{A} = (t, E)\text{-Alg}$ has only a class of objects and thus it is a category.

Denote by $U : \mathcal{A} \rightarrow \text{Set}$ the forgetful functor. Let $\varphi : U \rightarrow U$ be a natural transformation and assume that φ differs from the natural transformation $\varphi_{f_0} : U \rightarrow U$ induced by f_0 . Thus there is an algebra $\mathfrak{A} \in \mathcal{A}$ such that $\varphi_{\mathfrak{A}} \neq (f_0)^{\mathfrak{A}}$. Following the Proposition there is an ordinal i such that $\varphi_{\mathfrak{A}} = (f_i)^{\mathfrak{A}}$. Consider an arbitrary $\mathfrak{B} \in \mathcal{A}$. By the Proposition again, there is j such that $\varphi_{\mathfrak{B}} = (f_j)^{\mathfrak{B}}$ and $\varphi_{\mathfrak{A}} = (f_j)^{\mathfrak{A}}$. Since $(f_i)^{\mathfrak{A}} = (f_j)^{\mathfrak{A}}$ and $(f_i)^{\mathfrak{A}} \neq (f_0)^{\mathfrak{A}}$, we get that $i = j$. Hence $\varphi = \varphi_{f_i}$. We have proved that φ_{f_i} 's exhaust all natural transformations $U \rightarrow U$.

Following the Lemma any natural transformation $U^n \rightarrow U$ is induced by a term of type t . Hence \mathcal{A} is canonically algebraic.

It remains to verify that \mathcal{A} is not monadic. We will prove it by exhibiting one-generated (t, E) -algebras of arbitrary cardinalities. It suffices to consider, for any ordinal i , a (t, E) -algebra \mathfrak{A}_i on the set i such that $(f_k)^{\mathfrak{A}_i}(k) = k$ if $k < i$ and $(f_k)^{\mathfrak{A}_i}(j) = 0$ otherwise.

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