

# Sums of $d$ th Powers in Non-commutative Rings

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**Abstract.** Sums of  $d$ th powers in central simple algebras and other non-commutative rings are investigated.

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## Introduction

The study of sums of squares in fields or rings is a classical number theoretic problem and goes back to Diophantes, Fermat, Lagrange and Gauss who studied how to express integers as sums of squares. The classical notion of level of a field was generalized to commutative rings (see Pfister [14] and Dai, Lam and Peng [3] for lists of references), and then to non-commutative rings (e.g. to division rings and hence quaternion algebras over fields) for instance by Leep [8] and Lewis [11]. Becker [1] studied sums of  $(2n)$ th powers in fields and rings using higher level orderings. There does not seem to be much literature about sums of  $d$ th powers in a non-commutative ring, or even in a non-associative algebra (whereas for  $d = 2$ , see for instance Leep, Shapiro, Wadsworth [9], or the references in [15]). Quadratic trace forms play a role when investigating sums of squares in fields or certain types of algebras (for instance central simple ones).

There is an intimate relationship between sums of  $d$ th powers and higher trace forms of degree  $d$ . The trace form of degree  $d$  of an algebra  $A$  determines whether or not 0 can be represented as a non-trivial sum of  $d$ th powers in  $A$ . Moreover,

higher trace forms provide examples of absolutely indecomposable forms of arbitrary even degree which are (even strongly) anisotropic and become isotropic under a suitable quadratic field extension. Independently of their connection to sums of  $d$ th powers, higher trace forms associated to algebras constitute an interesting class of forms of degree  $d$ , and were previously studied by O’Ryan and Shapiro [12] (for central simple algebras), by Harrison [4] (for commutative algebras only), and also by Wesolowski [20], and in [16].

One might argue that the appropriate generalization of sums of  $d$ th powers to the non-commutative case is rather sums of products of  $d$ th powers: for  $d = 2$ , a central division algebra  $D$  over a field  $k$  admits an ordering if and only if  $-1$  is not a sum of products of squares in  $D$  [18], which is the analogue of a well-known characterization for a formally real field. Accordingly, one can define a  $d$ th product level, a  $d$ th product Pythagoras number and so forth (cf. Cimpric [2] for results on these “higher product levels” of non-commutative rings in a very general sense). We refrain from following this approach, since several well-known results on sums of squares can be rephrased effortlessly to sums of  $d$ th powers in non-commutative rings (and even to sums of  $d$ th powers in certain non-associative algebras), see for instance Theorem 1 or Proposition 3.

## 1. Preliminaries

### 1.1.

Let  $k$  be a field of characteristic 0 or greater than  $d$ . A  $d$ -linear form over  $k$  is a  $k$ -multilinear map  $\theta : V \times \cdots \times V \rightarrow k$  ( $d$ -copies of  $V$ ) on a finite-dimensional vector space  $V$  over  $k$  which is *symmetric*; i.e.,  $\theta(v_1, \dots, v_d)$  is invariant under all permutations of its variables. A *form of degree  $d$*  over  $k$  is a map  $\varphi : V \rightarrow k$  on a finite-dimensional vector space  $V$  over  $k$  such that  $\varphi(av) = a^d\varphi(v)$  for all  $a \in k$ ,  $v \in V$  and where the map  $\theta : V \times \cdots \times V \rightarrow k$  defined by

$$\theta(v_1, \dots, v_d) = \frac{1}{d!} \sum_{1 \leq i_1 < \cdots < i_d \leq d} (-1)^{d-l} \varphi(v_{i_1} + \cdots + v_{i_d})$$

( $1 \leq l \leq d$ ) is a  $d$ -linear form over  $k$ . If we can write  $\varphi$  in the form  $a_1x_1^d + \cdots + a_mx_m^d$  we use the notation  $\varphi = \langle a_1, \dots, a_n \rangle$  and call  $\varphi$  *diagonal*.

A  $d$ -linear space  $(V, \theta)$  is called *non-degenerate* if  $v = 0$  is the only vector such that  $\theta(v, v_2, \dots, v_d) = 0$  for all  $v_i \in V$ . The *orthogonal sum*  $(V_1, \theta_1) \perp (V_2, \theta_2)$  of two  $d$ -linear spaces  $(V_i, \theta_i)$ ,  $i = 1, 2$ , is the  $k$ -vector space  $V_1 \oplus V_2$  together with the  $d$ -linear form  $(\theta_1 \perp \theta_2)(u_1 + v_1, \dots, u_d + v_d) = \theta_1(u_1, \dots, u_d) + \theta_2(v_1, \dots, v_d)$ .

A  $d$ -linear space  $(V, \theta)$  is called *decomposable* if  $(V, \theta) \cong (V_1, \theta_1) \perp (V_2, \theta_2)$  for two non-zero  $d$ -linear spaces  $(V_i, \theta_i)$ ,  $i = 1, 2$ . A non-zero  $d$ -linear space  $(V, \theta)$  is called *indecomposable* if it is not decomposable. We distinguish between indecomposable ones and *absolutely indecomposable* ones; i.e.,  $d$ -linear spaces which stay indecomposable under each algebraic field extension.

Let  $l/k$  be a finite field extension and  $s : l \rightarrow k$  a non-zero  $k$ -linear map. If  $\Gamma : V \times \cdots \times V \rightarrow l$  is a non-degenerate  $d$ -linear form over  $l$  then  $s\Gamma : V \times \cdots \times V \rightarrow k$

is a non-degenerate  $d$ -linear form over  $k$ , with  $V$  viewed as a  $k$ -vector space. If the map  $s$  is the trace of the field extension  $l/k$ , we write  $tr_{l/k}(\Gamma)$  or  $tr_{l/k}(V, \Gamma)$  instead of  $(V, tr_{l/k}\Gamma)$ .

A form  $\varphi : V \rightarrow k$  of degree  $d$  over  $k$  is called *isotropic* if there is a non-zero element  $x \in V$  such that  $\varphi(x) = 0$ , otherwise it is called *anisotropic*. The form  $\varphi : V \rightarrow k$  is called *weakly isotropic* if, for some integer  $m$ , the orthogonal sum of  $m$  copies  $m \times \varphi$  of  $\varphi$  is isotropic. It is called *strongly anisotropic* if the orthogonal sum of  $m$  copies  $m \times \varphi_d(x)$  is anisotropic for all integers  $m$ .

## 1.2.

Let  $R$  be a unital commutative ring and let the term “algebra” over  $R$  refer to a unital non-associative strictly power-associative  $R$ -algebra. We assume that  $R$  can be viewed as a subring of the algebra  $A$  via the map  $R \rightarrow A, a \rightarrow a1$ .

Let  $A$  denote either a non-commutative unital ring with  $1 \neq 0$ , or an  $R$ -algebra. Write  $A^d$  for the set of  $d$ th powers of elements in  $A$  and  $\Sigma A^d$  for the set of all non-trivial sums of  $d$ th powers of elements in  $A$ ; i.e., for the set of all elements of the form  $\sum_{i=1}^m a_i^d$  where each  $a_i \in A$  and not all  $a_i$  are zero. For an element  $a \in A$  the smallest number  $n$  such that  $a = a_1^d + \dots + a_n^d$  with all  $a_i \in A$  is the *length*  $l_d(a)$  of  $a$ . The smallest positive integer  $m$  such that  $-1$  is a sum of  $d$ th powers in  $A$  is called the  *$d$ th level* (or *power Stufe* in [13]) of  $A$ , denoted  $s_d(A)$ . If there is no such integer, we set  $s_d(A) = \infty$ . In case  $d$  is odd,  $s_d(k) = 1$ . We write  $v_d(A)$  for the smallest number  $m$  (if it exists) such that every element  $a \in A$  which can be written as a sum or difference of  $m$   $d$ th powers of elements in  $A$ ; i.e.,  $a = e_1 a_1^d + \dots + e_m a_m^d$  with all  $a_i \in A$  and with  $e_i \in \{1, -1\}$ , and  $\infty$  otherwise. (For a comprehensive survey on the results in the commutative case until 1970, see [5, p. 38].) If every element in  $A$  can be written as a sum or difference of  $d$ th powers of elements in  $A$  and  $s_d(A) < \infty$ , then  $A = \Sigma A^d$ . The  *$d$ th Pythagoras number*  $p_d(A)$  of  $A$  is the smallest number  $q$  (if it exists) such that every sum of  $d$ th powers of elements in  $A$  can be written as a sum of  $q$   $d$ th powers of elements in  $A$ , and  $\infty$  otherwise. In other words,  $p_d(A) = \sup\{l_d(a) | a \in \Sigma A^d\}$ . Note that  $p_d(A) = v_d(A)$  for odd integers  $d$ , so the invariant  $v_d(A)$  only is interesting for even  $d$ . Obviously,  $l_d(-1) = s_d(A) \leq p_d(A)$  by definition.

The case  $d = 2$  is easily settled in the non-commutative case as well, since [5, (7.9), (7.10)] also hold in this more general setting:

- Lemma 1.** (i) *Let  $A$  be a non-commutative ring where  $2 \in A^\times$ . Then  $v_2(A) \leq 2$ .*
- (ii) *Let  $A$  be a non-associative algebra over a ring  $R$  with  $2 \in R^\times$  where  $R \subset \text{Center}(A) = \{c \in A | [c, A] = [c, A, A] = [A, c, A] = [A, A, c] = 0\}$ . Then  $v_2(A) \leq 2$ . In particular, if  $s_2(R) < \infty$  then  $A = \Sigma A^2$  and  $p_2(A) \leq 1 + s_2(R)$ .*
- (iii) *Let  $A$  be a commutative non-associative algebra over a unital commutative ring  $R$ , where  $R \subset \text{Center}(A)$  (e.g. a Jordan algebra). Then  $v_2(A) \leq 3$ . In particular, if  $s_2(R) < \infty$ , then  $A = \Sigma A^2$  and  $p_2(A) \leq 2 + s_2(R)$ .*

**2. Sums of powers in commutative rings and central simple algebras**

The Pythagoras number is a very delicate invariant, which is already difficult to get a hold on for  $d = 2$ . For  $d = 2$  it is most interesting if  $s_2(R) = \infty$ , because otherwise it is bounded above by  $s_2(R) + 2$  or even by  $s_2(R) + 1$  if 2 is a unit in  $R$ . This situation is also true for  $d \geq 2$  and  $A$  an  $R$ -algebra:

**Proposition 1.** *Let  $R$  be a unital commutative ring where  $d$  is an invertible element. Let  $R$  contain a primitive  $d$ th root of unity  $\omega$ . Let  $A$  be an algebra over  $R$ , where  $R \subset \text{Nuc}(A) \cap \text{Comm}(A) = \text{Center}(A)$ . If  $\omega \in \Sigma R^d$ , then*

$$A = \Sigma A^d.$$

More precisely,

$$s_d(A) \leq p_d(A) \leq d^{d-2}(1 + l_d(\omega) + \dots + l_d(\omega^{d-1}))$$

gives an upper estimate for the  $d$ th Pythagoras number of  $A$ . In particular, if  $p_d(R)$  is finite, then

$$p_d(A) \leq d^{d-2}(1 + (d - 1)p_d(R)).$$

*Proof.* The proof is similar to the one given in [9, 1.1] for  $d = 2$ : let  $l_m = l_d(\omega^m)$ , then  $\omega^m = \sum_{i=1}^{l_m} x_{i,m}^d$  in  $R$ , with  $x_{i,m} \in R$  for each  $m$ ,  $1 \leq m \leq d - 1$ . Let  $d = 3$ . Then

$$\begin{aligned} (a + 1)^3 &= a^3 + 3a^2 + 3a + 1, \\ (a + \omega)^3 &= a^3 + 3\omega a^2 + 3\omega^2 a + 1 \text{ and} \\ (a + \omega^2)^3 &= a^3 + 3\omega^2 a^2 + 3\omega a + 1. \end{aligned}$$

Therefore

$$(a + 1)^3 + \omega(a + \omega)^3 + \omega^2(a + \omega^2)^3 = 9a.$$

This implies

$$a = \frac{1}{9}((a + 1)^3 + \omega(a + \omega)^3 + \omega^2(a + \omega^2)^3).$$

For every  $a \in A$ , we compute more generally

$$a = d^{d-2} \left( \left(\frac{a + 1}{d}\right)^d + \omega \left(\frac{a + \omega}{d}\right)^d + \dots + \omega^{d-1} \left(\frac{a + \omega^{d-1}}{d}\right)^d \right)$$

and thus  $a \in \Sigma A^d$ . Thus  $a$  is a sum of  $S$   $d$ th powers of elements of the algebra  $A$ , where  $S = d^{d-2}(1 + l_d(\omega) + \dots + l_d(\omega^{d-1}))$ . □

Since  $l_d(\omega^m) \geq 1$  for all  $m$ , notice that  $S$  must be at least as large as  $d^{d-1}$ .

If  $\omega$  cannot be written as a sum of  $d$ th powers in  $A$ , this upper bound does not exist and we do not know whether  $p_d(A)$  is finite at all.

**Lemma 2.** *If  $k$  is a field containing a primitive  $d$ th root of unity  $\omega$  for some  $d > 2$  (hence  $\text{char } k$  does not divide  $d$ ), then  $k$  is non-real.*

*Proof.* If 4 divides  $d$ , then  $k$  contains  $\sqrt{-1}$ . If  $p$  divides  $d$ , where  $p$  is an odd prime, then  $k$  contains a primitive  $p$ th root of unity  $\zeta$ . Since  $\zeta = \zeta^{p+1}$ , every  $\zeta^m$  is a square in  $k$ . Then  $k$  is non-real, since  $-1 = \zeta + \zeta^2 + \cdots + \zeta^{p-1}$ .  $\square$

**Remark 1.** (i) Let  $k$  be a field which contains a primitive  $d$ th root of unity  $\omega$  such that  $\omega \in \Sigma k^d$ . The  $d$ th Pythagoras number  $p_d(k)$  of  $k$  was shown to be finite already in [5, p. 104]. However, the bounds obtained there were given using a function  $V(d)$  with  $V(d) \leq 3(d-2)((\mu-1)!)^\mu$  where  $\mu = (d-1)^{d-1}$  for  $d \geq 3$  and not using the  $l_d(\omega^m)$ ,  $1 \leq m \leq d-1$ .

(ii) Let  $p \neq 2$  be a prime and let  $k$  be a field of characteristic 0 or greater than  $p$  which contains a primitive  $p$ th root of unity  $\omega$ . The form  $\langle 1, \omega, \dots, \omega^{p-1} \rangle$  of degree  $p$  over  $k$  is universal [17, 9.3 (iii)]; i.e., each element of  $k$  occurs as a value of the form. If  $\omega \in \Sigma k^p$ , then each element of  $k$  is a sum of  $S$   $p$ -th powers of elements of  $k$ , where now

$$S = (1 + l_p(\omega) + \cdots + l_p(\omega^{p-1}))$$

and  $p_d(k) \leq S$ .

(iii) Let  $R$  be a unital commutative ring where  $d \in R^\times$  containing a primitive  $d$ th root of unity  $\omega$ . Then  $\omega \in \Sigma R^d$  if and only if  $R = \Sigma R^d$  (Proposition 1).

(iv) Let  $k$  be an infinite field containing a primitive  $d$ th root of unity  $\omega$ , such that  $|k^\times/k^{\times d}|$  is finite. Then  $\omega \in \Sigma k^d$  if and only if  $k = \Sigma k^d$  if and only if  $-1 \in \Sigma k^d$ . (The last equivalence was proved in [5, (7.14)].)

**Remark 2.** (i) If  $R$  is a non-real field containing a primitive  $d$ th root of unity  $\omega$  satisfying  $\omega \in \Sigma R^d$ , then  $p_d(R)$  is finite and so is  $p_d(A)$  for any algebra  $A$  over  $R$  as in Proposition 1. If  $R$  is a formally real field and  $d$  even, however,  $p_d(R)$  may be infinite [5, (7.30)]. For a field  $R$  of characteristic zero, Tornheim [19] proved the upper bound

$$p_d(R) \leq (d+1)s_d(R)G(d) \leq (d+1)2^d s_d(R)$$

where  $G(d)$  is the Waring constant.

(ii) If  $A$  is a unital commutative algebra over a field  $k$  of characteristic 0 such that  $s_d(A)$  is finite, then

$$p_d(A) \leq 2^{d-2}(1 + s_d(A))$$

[5, (7.29)]. So again the  $d$ th Pythagoras number of  $A$  seems to be most interesting when  $A$  is an algebra over a formally real field  $k$  (and when  $d$  is even), or when  $s_d(A) = \infty$ .

**Corollary 1.** Let  $k$  be a field of characteristic 0 with  $s_d(k) < \infty$  containing a primitive  $d$ th root of unity  $\omega$  where  $\omega \in \Sigma k^d$ . Then

$$p_d(A) \leq d^{d-2}(1 + (d-1)2^{d-2}(1 + s_d(k))).$$

*Proof.* Since  $r = p_d(k) \leq 2^{d-2}(1 + s_d(k))$ , we get  $p_d(A) \leq d^{d-2}(1 + (d - 1)r) \leq d^{d-2}(1 + (d - 1)2^{d-2}(1 + s_d(k)))$ .  $\square$

In particular, if  $k$  is a non-real field of characteristic 0 such that  $|k^\times/k^{\times d}|$  is finite containing a primitive  $d$ th root of unity, then

$$p_d(A) \leq d^{d-2}(1 + (d - 1)2^{d-2}(1 + s_d(k)))$$

for any algebra  $A$  as above.

**Remark 3.** Let  $D$  be a central simple division algebra over a field  $k$ . Given any integer  $d \geq 2$  it is clear that  $-1 \in \sum D^d$  implies  $0 \in \sum D^d$ . If  $k$  contains a primitive  $d$ th root of unity  $\omega$  and  $\omega \in \sum k^d$ , then  $k$  is non-real and we also know  $D = \sum D^d$  by Proposition 1. For  $d = 2$ ,  $-1 \in \sum D^d$  if and only if  $0 \in \sum D^d$  if and only if  $D = \sum D^d$  [9, Theorem D].

Let  $p$  be a prime number. For sums of  $d$ th powers,  $d = p^r$ , fields of characteristic  $p$  play a special role. Let  $k$  be a field of characteristic  $p$  and let  $A$  be an octonion algebra over  $k$  (indeed, even any algebra with a scalar involution), or a central simple associative algebra over  $k$ . Then

$$\sum A^{p^r} \subset \{x \in A \mid \text{tr}_A(x) \in k^{p^r}\},$$

because

$$\text{tr}_{A/k}(x)^{p^r} = \text{tr}_{A/k}(x^{p^r}).$$

For  $d = 2$  and central simple associative algebras the above inclusion was proved to be an equality in [9, Theorem C]. This generalizes to sums of  $d$ th powers in  $A$  for  $d = p^r$ :

**Theorem 1.** *Let  $k$  be a field of prime characteristic  $p$  and  $A$  a central simple associative algebra over  $k$ . Then*

$$\sum A^{p^r} = \{a \in A \mid \text{tr}_{A/k}(a) \in k^{p^r}\}.$$

*In particular,  $A = \sum A^{p^r}$  if and only if  $k$  is perfect.*

*Proof.* The proof that  $\{a \in A \mid \text{tr}_A(a) \in k^{p^r}\} \subset \sum A^{p^r}$  is analogous to the one given in [9], we sketch it for the convenience of the reader: If  $A = k$  this is trivial, so assume that  $A$  is different from  $k$ .  $\sum A^{p^r}$  is an additive subgroup of  $A$  which is invariant.

Suppose first that  $A$  is not a division algebra. If  $A \cong M_2(\mathbb{F}_2)$  we obtain the desired result by a tedious but straightforward computation. If  $A \cong M_n(D)$  for a division algebra  $D$  over  $k$ ,  $n > 1$ , and  $A \not\cong M_2(\mathbb{F}_2)$  then  $\ker \text{tr}_{A/k} \subset \sum A^{p^r}$  (Kasch’s Theorem [9, (4.1)]).

If  $A$  is a division algebra over  $k$ , view  $A$  as an algebra over the field  $k^{p^r}$ . Then  $A$  is algebraic over  $k^{p^r}$  and  $\sum A^{p^r}$  is an invariant  $k^{p^r}$ -subspace of  $A$ . Therefore  $\ker(\text{tr}_{A/k}) \subset \sum A^{p^r}$  (Asano’s Theorem [9, (4.2)]).

To see that  $M = \{a \in A \mid \text{tr}_{A/k}(a) \in k^{p^r}\} \subset \sum A^{p^r}$  let  $a \in M$ , then  $\text{tr}_{A/k}(a) = s^{p^r} \in k^{p^r}$ . Since  $\text{tr}_{A/k} : A \rightarrow k$  is surjective, there exists an element  $b \in A$  such that  $\text{tr}_{A/k}(b) = 1$ , thus  $\text{tr}_{A/k}(b^{p^r}) = \text{tr}_{A/k}(b)^{p^r} = 1$  and

$$\text{tr}_{A/k}(a + s^{p^r}(p-1)b^{p^r}) = \text{tr}_{A/k}(a) + s^{p^r}(p-1)\text{tr}_{A/k}(b^{p^r}) = s^{p^r} + (p-1)s^{p^r} = 0,$$

hence

$$a - (sb)^{p^r} = a - s^{p^r}(p-1)b^{p^r} \in \ker(\text{tr}_{A/k}) \subset \sum A^{p^r}$$

and therefore also  $a \in \sum A^{p^r}$ . □

### 3. Trace forms of higher degree

We fix the ensuing conventions: Let  $k$  be a field and let  $A$  be a unital, not necessarily associative, strictly power-associative  $k$ -algebra which is finite-dimensional as a  $k$ -vector space. Let

$$P_{A,a}(X) = X^n - s_1(a)X^{n-1} + s_2(a)X^{n-2} + \dots + (-1)^n s_n(a)$$

be the generic minimal polynomial of  $a \in A$ . The coefficient  $s_1(a) = \text{tr}_{A/k}(a)$  is called the *generic trace* of  $a \in A$ ,  $n$  the *degree*. The generic trace induces a bilinear form  $t_A : A \times A \rightarrow F$ ,  $t_A(x, y) = \text{tr}_{A/k}(xy)$ , the *bilinear trace form* of  $A$ . Its associated quadratic form is given by  $x \rightarrow \text{tr}_{A/k}(x^2)$ . If the bilinear trace form on  $A$  is symmetric, non-degenerate and *associative* (i.e.,  $\text{tr}_{A/k}(xy, z) = \text{tr}_{A/k}(x, yz)$ ), then  $A$  is separable. Conversely, if  $A$  is associative, alternative or a Jordan algebra, and if  $A$  is separable, then the bilinear trace form  $\text{tr}_{A/k}$  on  $A$  is symmetric, non-degenerate and associative [6, (32.4) ff.].

Let  $d \geq 2$  and let  $\text{char}(k) = 0$  or  $\text{char}(k) > d$ . For any algebra  $A$  over  $k$ ,

$$\varphi_d : A \rightarrow k, \varphi_d(a) = \text{tr}_{A/k}(a^d)$$

is a form of degree  $d$  over  $k$ , the *higher trace form* of degree  $d$  on  $A$ . If  $A$  has a non-degenerate associative symmetric bilinear trace form,  $\varphi_d$  is non-degenerate [16].

**Lemma 3.** *Let  $k$  be a field of characteristic 0. Let  $l$  be a finite Galois extension of  $k$ . The following are equivalent:*

- (i)  $l$  is not formally real.
- (ii) 0 is a non-trivial sum of  $d$ th powers of elements in  $l$  for all positive integers  $d \geq 2$ .
- (iii) The form  $\varphi_d(x) = \text{tr}_{l/k}(x^d)$  of degree  $d$  is weakly isotropic for all positive integers  $d \geq 2$ .

*Proof.* The equivalence of (i) and (ii) was proved in [5, p. 84].

The fact that (ii) implies (iii) is trivial.

It remains to show that (iii) implies (ii):

Let  $n = [l : k]$ . Let  $\sigma_1, \dots, \sigma_n$  be the distinct embeddings of  $l$  in an algebraic closure of  $k$ . We have

$$\text{tr}_{l/k}(b) = \sum_{i=1}^n \sigma_i(b)$$

for each element  $b \in l$ . If the higher trace form  $\varphi_d(x) = \text{tr}_{l/k}(x^d)$  of degree  $d$  is weakly isotropic then there are elements  $a_i \in l$  which are not all zero such that

$$0 = \sum_{i=1}^m \text{tr}_{l/k}(a_i^d) = \sum_{i=1}^m \left( \sum_{j=1}^n \sigma_j(a_i)^d \right).$$

Hence 0 is a non-trivial sum of  $d$ th powers in  $l$ .  $\square$

**Remark 4.** Let  $l$  be a finite Galois extension of  $k$ . If 0 is a non-trivial sum of  $d$ th powers in  $l$  (e.g. if  $l$  is non-real), then analogously as above, the form  $\varphi(x) = \text{tr}_{l/k}(cx^d)$  of degree  $d$ , also denoted  $\text{tr}_{l/k}(\langle c \rangle)$ , is weakly isotropic for any  $c \in l^\times$ .

Conversely, suppose  $c \in \sum l^d$ . Let  $\sigma_1, \dots, \sigma_n$  be the distinct embeddings of  $l$  in an algebraic closure of  $k$ , then

$$\text{tr}_{l/k}(b) = \sum_{i=1}^n \sigma_i(b)$$

for each element  $b \in l$ . If the form  $\text{tr}_{l/k}(\langle c \rangle)$  of degree  $d$  is weakly isotropic, then there are elements  $a_i \in l$  which are not all zero such that

$$0 = \sum_{i=1}^m \text{tr}_{l/k}(ca_i^d) = \sum_{i=1}^m \left( \sum_{j=1}^n \sigma_j(c) \sigma_j(a_i)^d \right).$$

Hence 0 is a non-trivial sum of  $d$ th powers in  $l$  since  $c \in \sum l^d$  by assumption.

**Lemma 4.** *Let  $d \geq 2$ , and let  $A$  be an algebra over  $k$  in which 0 is a non-trivial sum of  $d$ th powers of elements in  $A$ . Then the higher trace form  $\varphi_d(x) = \text{tr}_{A/k}(x^d)$  of degree  $d$  is weakly isotropic.*

This was proved in [9, Lemma 2.1] for central simple associative algebras over  $k$  and in [15, 2.4] for non-associative algebras over  $k$  with scalar involution, both times for  $d = 2$ . Note that for  $d$  odd, the trace form  $\varphi_d(x) = \text{tr}_{A/k}(x^d)$  of degree  $d$  is always weakly isotropic for any algebra  $A$  over  $k$ . The proof of Lemma 4 is trivial. The more interesting implication is of course the remaining one.

**Proposition 2.** *Let  $A$  be any  $k$ -algebra with a scalar involution  $-$  (e.g. a composition algebra), and let  $d \geq 2$ . Then 0 is a non-trivial sum of  $d$ th powers in  $A$  if and only if the higher trace form  $\varphi_d(x) = \text{tr}_{A/k}(x^d)$  of degree  $d$  is weakly isotropic.*

*Proof.* If  $\varphi_d$  is weakly isotropic then there are  $a_i \in A$  not all zero such that  $0 = \sum_{i=1}^m \text{tr}_{A/k}(a_i^d) = a_1^d + \bar{a}_1^d + \cdots + a_m^d + \bar{a}_m^d$  and thus 0 is a non-trivial sum of  $d$ th powers in  $A$ .  $\square$

For a central simple algebra  $A$  over a field  $k$  of characteristic not 2, 0 is a non-trivial sum of squares if and only if the quadratic trace form  $\varphi_2(x) = \text{tr}_{A/k}(x^2)$  is weakly isotropic (Lewis [10, Theorem]). For  $d \geq 2$  we obtain:

**Proposition 3.** *Let  $A$  be a central simple associative  $k$ -algebra, and let  $d \geq 2$ .*

- (i) *Let  $A$  be a division algebra over  $k$  and let  $k$  be formally real. Then 0 is a non-trivial sum of  $d$ th powers in  $A$  if and only if the higher trace form  $\varphi_d(x) = \text{tr}_{A/k}(x^d)$  of degree  $d$  is weakly isotropic.*
- (ii) *If  $k$  is not formally real, then 0 is a non-trivial sum of  $d$ th powers in  $A$  and the higher trace form  $\varphi_d(x) = \text{tr}_{A/k}(x^d)$  of degree  $d$  is weakly isotropic.*

*Proof.* (i) The proof closely follows the one of [10, Theorem].

(ii) If  $k$  is not formally real, then  $-1$  is a sum of  $d$ th powers in  $k$  [5, p. 84], and thus 0 is a sum of  $d$ th powers already in  $k$  (and by Lemma 3, the higher trace form  $\varphi_d(x) = \text{tr}_{A/k}(x^d)$  of degree  $d$  is weakly isotropic).  $\square$

**Remark 5.** Let  $k$  be a formally real field and  $A$  a central simple algebra over  $k$  containing zero divisors. Then the higher trace form of  $A$  of degree  $d$  is isotropic, but for  $d$  even, we do not know whether 0 is a non-trivial sum of  $d$ th powers in  $A$ . However, Vaserstein [21] showed that for all sufficiently large  $n$ , every matrix in  $\text{Mat}_n(\mathbb{Z})$  is the sum of at most 10  $d$ th powers. Hence 0 is a non-trivial sum of  $d$ th powers in  $A = \text{Mat}_n(D)$  for any division algebra  $D$  over  $k$  for all sufficiently large  $n$ .

For a unital non-commutative ring or an  $R$ -algebra  $A$ , clearly  $\sum A^d \subset \sum A^e$  for each integer  $e$  dividing  $d$ . This implies that for a central simple division algebra  $D$  over  $k$  the fact that  $0 \notin \sum D^2$  yields that  $\sum D^2$  must be properly contained in  $D$  for any even integer  $d$ . With the help of this easy observation we rephrase some examples from [9]:

**Example 1.** (i) Let  $k$  be a formally real field (e.g.  $k = \mathbb{Q}$ ). Put  $K = k(x_1, \dots, x_n, y_1, \dots, y_n)$  and  $D = (x_1, y_1)_K \otimes \cdots \otimes (x_n, y_n)_K$ . Then  $D$  is a central simple algebra over  $K$  without zero divisors and  $0 \notin \sum D^2$  [9, 2.5], thus  $\sum D^d$  is a proper subset of  $D$  for any even integer  $d$ . Hence the absolutely indecomposable higher trace form  $\varphi_d(x) = \text{tr}_{D/k}(x^d)$  of degree  $d$  is strongly anisotropic for even  $d$ . In particular, consider the function field of genus zero  $K_0 = k(x, t)(\sqrt{at^2 + b})$  of the projective curve associated with a quaternion division algebra  $(a, b)_K$  over  $K = k(x)$ . Put  $D = (x, t)_{k(x, t)}$ , then  $D$  is a quaternion division algebra over  $k(x, t)$  which splits under the quadratic field extension  $K_0$  of  $k(x, t)$ . Thus the absolutely indecomposable strongly anisotropic higher trace form  $\varphi_d$  of degree  $d$  on  $D$  becomes isotropic over  $K_0$ . (For a central simple algebra  $A$  over  $k$  containing zero divisors the higher

trace form  $\varphi_d(a) = \text{tr}_{A/k}(a^d)$  on  $A$  of degree  $d$  is isotropic for any  $d \geq 2$ .) It is an example of a strongly anisotropic absolutely indecomposable form of even degree, which becomes isotropic under a suitable quadratic field extension.

(ii) Let  $k$  be a formally real field,  $s$  an integer, and  $E = UD(k, 2^s)$  the universal division algebra of degree  $2^s$  over  $k$ . Then  $0 \notin \sum E^2$  [9, 2.6], hence  $\sum E^d$  is a proper subset of  $E$  for any even integer  $d$  and the absolutely indecomposable higher trace form  $\varphi_d(x) = \text{tr}_{E/k}(x^d)$  of degree  $d$  is strongly anisotropic for every even integer  $d$ . For  $d$  even, the higher  $u$ -invariant  $u(d, k) = \infty$  if  $k$  is formally real. For each integer  $m$  this gives an example of an anisotropic form of degree  $d$  and dimension  $m2^{2s}$ , which decomposes into absolutely indecomposable forms of dimension  $2^{2s}$ .

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