8. Distributive Lattices

Every dog must have his day.

In this chapter and the next we will look at the two most important lattice varieties: distributive and modular lattices. Let us set the context for our study of distributive lattices by considering varieties generated by a single finite lattice. A variety V is said to be *locally finite* if every finitely generated lattice in V is finite. Equivalently, V is locally finite if the relatively free lattice $\mathcal{F}_{\mathbf{V}}(n)$ is finite for every integer $n > 0$.

Theorem 8.1. If \mathcal{L} is a finite lattice and $V = HSP(\mathcal{L})$, then

$$
|\mathcal{F}_{\mathbf{V}}(n)| \leq |L|^{|L|^n}.
$$

Hence $HSP(\mathcal{L})$ is locally finite.

Proof. If **K** is any collection of lattices and $V = HSP(K)$, then $\mathcal{F}_V(X) \cong FL(X)/\theta$ where θ is the intersection of all homomorphism kernels ker f such that $f : FL(X) \rightarrow$ $\mathcal L$ for some $\mathcal L \in \mathbf K$. (This is the technical way of saying that $FL(X)/\theta$ satisfies exactly the equations that hold in every member of K .) When K consists of a single finite lattice $\{\mathcal{L}\}\$ and $|X| = n$, then there are $|L|^n$ distinct mappings of X into L, and hence $|L|^n$ distinct homomorphisms $f_i : FL(X) \to L$ $(1 \leq i \leq |L|^n)^{1}$ The range of each f_i is a sublattice of L. Hence $\mathcal{F}_{\mathbf{V}}(X) \cong \mathrm{FL}(X)/\theta$ with $\theta = \bigcap \ker f_i$ means that $\mathcal{F}_{\mathbf{V}}(X)$ is a subdirect product of $|L|^n$ sublattices of \mathcal{L} , and so a sublattice of the direct product $\prod_{1 \leq i \leq |L|^n} L = L^{|L|^n}$, making its cardinality at most $|L|^{|L|^n}$.

It is sometimes useful to view this argument constructively: $\mathcal{F}_{\mathbf{V}}(X)$ is the sublattice of $\mathcal{L}^{|L|^n}$ generated by the vectors \overline{x} $(x \in X)$ with $\overline{x}_i = f_i(x)$ for $1 \leq i \leq |L|^n$.

We should note that not every locally finite lattice variety is generated by a finite lattice.

Now it is clear that there is a unique minimum nontrivial lattice variety, viz., the one generated by the two element lattice 2, which is isomorphic to a sublattice of any nontrivial lattice. We want to show that $HSP(2)$ is the variety of all distributive lattices.

¹The kernels of distinct homomorphisms need not be distinct, of course, but that is okay.

Lemma 8.2. The following lattice equations are equivalent.

(1) $x \wedge (y \vee z) \approx (x \wedge y) \vee (x \wedge z)$ (2) $x \vee (y \wedge z) \approx (x \vee y) \wedge (x \vee z)$ (3) $(x \vee y) \wedge (x \vee z) \wedge (y \vee z) \approx (x \wedge y) \vee (x \wedge z) \vee (y \wedge z)$

Thus each of these equations determines the variety $\mathbf D$ of all distributive lattices.

Proof. If (1) holds in a lattice \mathcal{L} , then for any $x, y, z \in L$ we have

$$
(x \lor y) \land (x \lor z) = [(x \lor y) \land x] \lor [(x \lor y) \land z]
$$

$$
= x \lor (x \land z) \lor (y \land z)
$$

$$
= x \lor (y \land z)
$$

whence (2) holds. Thus (1) implies (2) , and dually (2) implies (1) .

Similarly, applying (1) to the left hand side of (3) yields the right hand side, so (1) implies (3). Conversely, assume that (3) holds in a lattice \mathcal{L} . Making the substitution $y \mapsto x \wedge y$, we see that (3) implies that

$$
x \wedge ((x \wedge y) \vee z) \approx (x \wedge y) \vee (x \wedge z)
$$

which is the modular law, so $\mathcal L$ must be modular. Now for arbitrary x, y, z in $\mathcal L$, meet x with both sides of (3) and then use modularity to obtain

$$
x \wedge (y \vee z) = x \wedge [(x \wedge y) \vee (x \wedge z) \vee (y \wedge z)]
$$

= $(x \wedge y) \vee (x \wedge z) \vee (x \wedge y \wedge z)$
= $(x \wedge y) \vee (x \wedge z)$

since $x \geq (x \wedge y) \vee (x \wedge z)$. Thus (3) implies (1).

(Note that we have shown that (3) is equivalent to (1). Since (3) is self-dual, it follows that (3) is equivalent to (2) . The first argument, that (1) is equivalent to (2) , is redundant!) \square

In the first Corollary of the next chapter, we will see that a lattice is distributive if and only if it contains neither \mathcal{N}_5 nor \mathcal{M}_3 as a sublattice. But before that, let us look at the wonderful representation theory of distributive lattices. A few moments reflection on the kernel of a homomorphism $h : \mathcal{L} \rightarrow 2$ should yield the following conclusions. By a proper ideal or filter, we mean one that is neither empty nor the whole lattice.

Lemma 8.3. Let \mathcal{L} be a lattice and $h : \mathcal{L} \rightarrow 2 = \{0, 1\}$ a surjective homomorphism. Then $h^{-1}(0)$ is a proper ideal of \mathcal{L} , and $h^{-1}(1)$ is a proper filter, and L is the disjoint union of $h^{-1}(0)$ and $h^{-1}(1)$.

Conversely, if I is a proper ideal of $\mathcal L$ and F a proper filter such that $L = I \dot{\cup} F$ (disjoint union), then the map $h : \mathcal{L} \to \mathbf{2}$ given by

$$
h(x) = \begin{cases} 0 & \text{if } x \in I, \\ 1 & \text{if } x \in F. \end{cases}
$$

is a surjective homomorphism.

This raises the question: When is the complement $L - I$ of an ideal a filter? The answer is easy. A proper ideal I of a lattice L is said to be *prime* if $x \wedge y \in I$ implies $x \in I$ or $y \in I$. Dually, a proper filter F is prime if $x \vee y \in F$ implies $x \in F$ or $y \in F$. It is straightforward that the complement of an ideal I is a filter iff I is a prime ideal iff $L - I$ is a prime filter.

This simple observation allows us to work with prime ideals or prime filters (interchangeably), rather than ideal/filter pairs, and we shall do so.

Theorem 8.4. Let D be a distributive lattice, and let $a \nleq b$ in D. Then there exists a prime filter F with $a \in F$ and $b \notin F$.

Proof. Now $\uparrow a$ is a filter of D containing a and not b, so by Zorn's Lemma there is a maximal such filter (with respect to set containment), say M. For any $x \notin M$, the filter generated by x and M must contain b, whence $b \geq x \wedge m$ for some $m \in M$. Suppose x, $y \notin M$, with say $b \geq x \wedge m$ and $b \geq y \wedge n$ where $m, n \in M$. Then by distributivity

$$
b \ge (x \wedge m) \vee (y \wedge n) = (x \vee y) \wedge (x \vee n) \wedge (m \vee y) \wedge (m \vee n).
$$

The last three terms are in M, so we must have $x \vee y \notin M$. Thus M is a prime filter. \square

Now let D be any distributive lattice, and let $T_{\mathcal{D}} = {\varphi \in \mathbf{Con} \; \mathcal{D} : \mathcal{D}/\varphi \cong 2}.$ Theorem 8.4 says that if $a \neq b$ in \mathcal{D} , then there exists $\varphi \in T_{\mathcal{D}}$ with $(a, b) \notin \varphi$, whence $\bigcap T_{\mathcal{D}}=0$ in Con \mathcal{D} , i.e., \mathcal{D} is a subdirect product of two element lattices.

Corollary. The two element lattice 2 is the only subdirectly irreducible distributive *lattice.* Hence $D = HSP(2)$.

Corollary. D is locally finite.

Another consequence of Theorem 8.4 is that every distributive lattice can be embedded into a lattice of subsets, with set union and intersection as the lattice operations.

Theorem 8.5. Let D be a distributive lattice, and let S be the set of all prime filters of D. Then the map $\phi : \mathcal{D} \to \mathfrak{P}(S)$ by

$$
\phi(x) = \{ F \in S : x \in F \}
$$

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is a lattice embedding.

For finite distributive lattices, this representation takes on a particularly nice form. Recall that an element $p \in L$ is said to be *join prime* if it is nonzero and $p \leq x \vee y$ implies $p \leq x$ or $p \leq y$. In a finite lattice, prime filters are necessarily of the form $\uparrow p$ where p is a join prime element.

Theorem 8.6. Let \mathcal{D} be a finite distributive lattice, and let $J(\mathcal{D})$ denote the ordered set of all nonzero join irreducible elements of D . Then the following are true.

- (1) Every element of $J(\mathcal{D})$ is join prime.
- (2) $\mathcal D$ is isomorphic to the lattice of order ideals $\mathcal O(J(\mathcal D)).$
- (3) Every element $a \in D$ has a unique irredundant join decomposition $a = \bigvee A$ with $A \subseteq J(\mathcal{D})$.

Proof. In a distributive lattice, every join irreducible element is join prime, because $p \leq x \vee y$ is the same as $p = p \wedge (x \vee y) = (p \wedge x) \vee (p \wedge y)$.

For any finite lattice, the map $\phi : \mathcal{L} \to \mathcal{O}(J(\mathcal{L}))$ given by $\phi(x) = \downarrow x \cap J(\mathcal{L})$ is order preserving (in fact, meet preserving) and one-to-one. To establish the isomorphism of (2), we need to know that for a distributive lattice it is onto. If $\mathcal D$ is distributive and I is an order ideal of $J(\mathcal{D})$, then for $p \in J(\mathcal{D})$ we have by (1) that $p \leq \bigvee I$ iff $p \in I$, and hence $I = \phi(\bigvee I)$.

The join decomposition of (3) is then obtained by taking A to be the set of maximal elements of $\downarrow a \cap J(\mathcal{D})$. \Box

It is clear that the same proof works if $\mathcal D$ is an algebraic distributive lattice whose compact elements satisfy the DCC, so that there are enough join irreducibles to separate elements. In Lemma 10.6 we will characterize those distributive lattices isomorphic to $\mathcal{O}(\mathcal{P})$ for some ordered set \mathcal{P} .

As an application, we can give a neat description of the free distributive lattice $\mathcal{F}_{\mathbf{D}}(n)$ for any finite n, which we already know to be a finite distributive lattice. Let $X = \{x_1, \ldots, x_n\}$. Now it is not hard to see that any element in a free distributive lattice can be written as a join of meets of generators, $w = \bigvee w_i$ with $w_i = x_{i_1} \wedge$ $\ldots \wedge x_{i_k}$. Another easy argument shows that the meet of a nonempty proper subset of the generators is join prime in $\mathcal{F}_{\mathbf{D}}(X)$; note that $\bigwedge \emptyset = 1$ and $\bigwedge X = 0$ do not count. (See Exercise 3). Thus the set of join irreducible elements of $\mathcal{F}_{\mathbf{D}}(X)$ is isomorphic to the ordered set of nonempty, proper subsets of X , ordered by reverse set inclusion, and the free distributive lattice is isomorphic to the lattice of order ideals of that. As an example, $\mathcal{F}_{\mathbf{D}}(3)$ and its ordered set of join irreducibles are shown in Figure 8.1.

Dedekind [7] showed that $|\mathcal{F}_{D}(3)| = 18$ and $|\mathcal{F}_{D}(4)| = 166$. Several other small values are known exactly, and the rest can be obtained in principle, but they grow quickly (see Quackenbush [12]). While there exist more accurate expressions, the

simplest estimate is an asymptotic formula due to D. J. Kleitman:

$$
\log_2 |\mathcal{F}_{\mathbf{D}}(n)| \sim \binom{n}{\lfloor n/2 \rfloor}.
$$

The representation by sets of Theorem 8.5 does not preserve infinite joins and meets. The corresponding characterization of complete distributive lattices that have a complete representation as a lattice of subsets is derived from work of Alfred Tarski and S. Papert [11], and was surely known to both of them. An element p of a complete lattice $\mathcal L$ is said to be *completely join prime* if $p \leq \bigvee X$ implies $p \leq x$ for some $x \in X$. It is not necessary to assume that D is distributive in the next theorem, though of course it will turn out to be so.

Theorem 8.7. Let D be a complete lattice. There exists a complete lattice embedding $\phi : \mathcal{D} \to \mathcal{P}(X)$ for some set X if and only if $x \not\leq y$ in \mathcal{D} implies there exists a completely join prime element p with $p \leq x$ and $p \nleq y$.

Thus, for example, the interval $[0, 1]$ in the real numbers is a complete distributive lattice that cannot be represented as a complete lattice of subsets of some set.

In a lattice with 0 and 1, the pair of elements a and b are said to be *complements* if $a \wedge b = 0$ and $a \vee b = 1$. A lattice is *complemented* if every element has at least one complement. For example, the lattice of subspaces of a vector space is a complemented modular lattice. In general, an element can have many complements, but it is not hard to see that each element in a distributive lattice can have at most one complement.

A Boolean algebra is a complemented distributive lattice. Of course, the lattice $\mathfrak{P}(X)$ of subsets of a set is a Boolean algebra. On the other hand, it is easy to see that $\mathcal{O}(\mathcal{P})$ is complemented if and only if $\mathcal P$ is an antichain, in which case $\mathcal{O}(\mathcal{P}) = \mathfrak{P}(\mathcal{P})$. Thus every finite Boolean algebra is isomorphic to the lattice $\mathfrak{P}(A)$ of subsets of its atoms.

For a very different example, the finite and cofinite subsets of an infinite set form a Boolean algebra.

If we regard Boolean algebras as algebras $\mathcal{B} = \langle B, \wedge, \vee, 0, 1, {}^c \rangle$, then they form a variety, and hence there is a *free Boolean algebra* $FBA(X)$ generated by a set X. If X is finite, say $X = \{x_1, \ldots, x_n\}$, then FBA(X) has 2^n atoms, viz., all meets $z_1 \wedge \ldots \wedge z_n$ where each z_i is either x_i or x_i^c . Thus in this case $FBA(X) \cong \mathfrak{P}(A)$ where $|A| = 2^n$. On the other hand, if X is infinite then $FBA(X)$ has no atoms; if $|X| = \aleph_0$, then FBA(X) is the unique (up to isomorphism) countable atomless Boolean algebra!

Another natural example is the Boolean algebra of all clopen (closed and open) subsets of a topological space. In fact, by adding a topology to the representation of Theorem 8.5, we obtain the celebrated Stone representation theorem for Boolean algebras [15]. Recall that a topological space is totally disconnected if for every pair of distinct points x, y there is a clopen set V with $x \in V$ and $y \notin V$.

Theorem 8.8. Every Boolean algebra is isomorphic to the Boolean algebra of clopen subsets of a compact totally disconnected (Hausdorff) space.

Proof. Let B be a distributive lattice. (We will add the other properties to make B a Boolean algebra as we go along.) Let \mathfrak{F}_p be the set of all prime filters of \mathcal{B} , and for $x \in B$ let

$$
V_x = \{ F \in \mathfrak{F}_p : x \in F \}.
$$

The sets V_x will form a basis for the Stone topology on \mathfrak{F}_p .

With only trivial changes, the argument for Theorem 8.4 yields the following stronger version.

Sublemma A. Let B be a distributive lattice, G a filter on B and $x \notin G$. Then there exists a prime filter $F \in \mathfrak{F}_p$ such that $G \subseteq F$ and $x \notin F$.

Next we establish the basic properties of the sets V_x , all of which are easy to prove.

(1) $V_x \subseteq V_y$ iff $x \leq y$.

$$
(2) V_x \cap V_y = V_{x \wedge y}.
$$

(3) $V_x \cup V_y = V_{x \vee y}$.

- (4) If B has a least element 0, then $V_0 = \emptyset$. Thus $V_x \cap V_y = \emptyset$ iff $x \wedge y = 0$.
- (5) If B has a greatest element 1, then $V_1 = \mathfrak{F}_p$. Thus $V_x \cup V_y = \mathfrak{F}_p$ iff $x \vee y = 1$.

Property (3) is where we use the primality of the filters in the sets V_x . In particular, the family of sets V_x is closed under finite intersections, and of course $\bigcup_{x \in B} V_x = \mathfrak{F}_p$, so we can legitimately take $\{V_x : x \in B\}$ as a basis for a topology on \mathfrak{F}_p .

Now we would like to show that if \mathcal{B} has a largest element 1, then \mathfrak{F}_p is a compact space. It suffices to consider covers by basic open sets, so this follows from the next Sublemma.

Sublemma B. If B has a greatest element 1 and $\bigcup_{x \in S} V_x = \mathfrak{F}_p$, then there exists a finite subset $T \subseteq S$ such that $\bigvee T = 1$, and hence $\bigcup_{x \in T} V_x = \mathfrak{F}_p$.

Proof. Set $I_0 = \{ \nabla T : T \subseteq S, T \text{ finite} \}.$ If $1 \notin I_0$, then I_0 generates an ideal I of B with $1 \notin I$. By the dual of Sublemma A, there exists a prime ideal H containing I and not 1. Its complement $B - H$ is a prime filter K. Then $K \notin \bigcup_{x \in S} V_x$, else $z \in K$ for some $z \in S$, whilst $z \in I_0 \subseteq B - K$. This contradicts our hypothesis, so we must have $1 \in I_0$, as claimed. \Box

The argument thus far has only required that β be a distributive lattice with 1. For the last two steps, we need $\mathcal B$ to be Boolean. Let x^c denote the complement of x in \mathcal{B} .

First, note that by properties (4) and (5) above, $V_x \cap V_{x^c} = \emptyset$ and $V_x \cup V_{x^c} = \mathfrak{F}_p$. Thus each set V_x ($x \in B$) is clopen. On the other hand, let W be a clopen set. As it is open, $W = \bigcup_{x \in S} V_x$ for some set $S \subseteq B$. But W is also a closed subset of the compact space \mathfrak{F}_p , and hence compact. Thus $W = \bigcup_{x \in T} V_x = V_{\bigvee T}$ for some finite $T \subseteq S$. Therefore W is a clopen subset of \mathfrak{F}_p if and only if $W = V_x$ for some $x \in B$.

It remains to show that \mathfrak{F}_p is totally disconnected (which makes it Hausdorff). Let F and G be distinct prime filters on B, with say $F \nsubseteq G$. Let $x \in F - G$. Then $F \in V_x$ and $G \notin V_x$, so that V_x is a clopen set containing F and not G. \Box

There are similar topological representation theorems for arbitrary distributive lattices, the most useful being that due to Hilary Priestley in terms of ordered topological spaces. A good introduction is in Davey and Priestley [6].

In 1880, C. S. Peirce proved that every lattice with the property that each element b has a unique complement b^* , with the additional property that $a \wedge b = 0$ implies $a \leq b^*$, must be distributive, and hence a Boolean algebra. After a good deal of confusion over the axioms of Boolean algebra, the proof was given in a 1904 paper of E. V. Huntington [10]. Huntington then asked whether every uniquely complemented lattice must be distributive. It turns out that if we assume almost any additional finiteness condition on a uniquely complemented lattice, then it must indeed be distributive. As an example, there is the following theorem of Garrett Birkhoff and Morgan Ward [5].

Theorem 8.9. Every complete, atomic, uniquely complemented lattice is isomorphic to the Boolean algebra of all subsets of its atoms.

Other finiteness restrictions which insure that a uniquely complemented lattice will be distributive include weak atomicity, due to Bandelt and Padmanabhan [4], and upper continuity, due independently to Bandelt $[3]$ and Sali $[13]$, $[14]$. A monograph written by Sali $\left[16\right]$ gives an excellent survey of results of this type.

Nonetheless, Huntington's conjecture is very far from true. In 1945, R. P. Dilworth [8] proved that *every lattice can be embedded in a uniquely complemented* lattice. This result has likewise been strengthened in various ways. See the surveys of Mick Adams $[1]$ and George Grätzer $[9]$.

The standard book for distributive lattices is by R. Balbes and Ph. Dwinger [2]. Though somewhat dated, it contains much of interest.

Exercises for Chapter 8

1. Show that a lattice $\mathcal L$ is distributive if and only if $x \wedge (y \vee z) \leq y \vee (x \wedge z)$ for all x, $y, z \in L$. (J. Bowden)

2. (a) Prove that every maximal ideal of a distributive lattice is prime.

(b) Show that a distributive lattice $\mathcal D$ with 0 and 1 is complemented if and only if every prime ideal of D is maximal.

3. These are the details of the construction of the free distributive lattice given in the text. Let X be a finite set.

- (a) Let δ denote the kernel of the natural homomorphism from $FL(X) \rightarrow F_{\mathbf{D}}(X)$ with $x \mapsto x$. Thus u δv iff $u(x_1, \ldots, x_n) = v(x_1, \ldots, x_n)$ in all distributive lattices. Prove that for every $w \in FL(X)$ there exists w' which is a join of meets of generators such that $w \delta w'$. (Show that the set of all such elements w is a sublattice of $FL(X)$ containing the generators.)
- (b) Let $\mathcal L$ be any lattice generated by a set X, and let $\emptyset \subset Y \subset X$. Show that for all $w \in L$, either $w \geq \bigwedge Y$ or $w \leq \bigvee (X - Y)$.
- (c) Show that $\bigwedge Y \nleq \bigvee (X Y)$ in $\mathcal{F}_{\mathbf{D}}(X)$ by exhibiting a homomorphism $h: \mathcal{F}_{\mathbf{D}}(X) \to \mathbf{2}$ with $h(\bigwedge Y) \nleq h(\bigvee (X - Y)).$
- (d) Generalize these results to the case when X is a finite ordered set (as in the next exercise).

4. Find the free distributive lattice generated by

- (a) $\{x_0, x_1, y_0, y_1\}$ with $x_0 < x_1$ and $y_0 < y_1$,
- (b) $\{x_0, x_1, x_2, y\}$ with $x_0 < x_1 < x_2$.

5. Let $\mathcal{P} = \mathcal{Q} \cup \mathcal{R}$ be the disjoint union of two ordered sets, so that q and r are incomparable whenever $q \in Q$, $r \in R$. Show that $\mathcal{O}(\mathcal{P}) \cong \mathcal{O}(\mathcal{Q}) \times \mathcal{O}(\mathcal{R})$.

6. Let $\mathcal D$ be a distributive lattice with 0 and 1, and let x and y be complements in D. Prove that $\mathcal{D} \cong \uparrow x \times \uparrow y$. (Dually, $\mathcal{D} \cong \downarrow x \times \downarrow y$; in fact, $\uparrow x \cong \downarrow y$ and $\uparrow y \cong \downarrow x$. This explains why Con $\mathcal{L}_1 \times \mathcal{L}_2 \cong$ Con $\mathcal{L}_1 \times$ Con \mathcal{L}_2 (Exercise 5.6).)

7. Show that the following are true in a finite distributive lattice D.

- (a) For each join irreducible element x of D , let $\kappa(x) = \bigvee \{y \in D : y \not\geq x\}$. Then $\kappa(x)$ is meet irreducible and $\kappa(x) \ngeq x$.
- (b) For each $x \in J(\mathcal{D}), D = \uparrow x \cup \downarrow \kappa(x)$.
- (c) The map $\kappa : J(\mathcal{D}) \to M(\mathcal{D})$ is an order isomorphism.

8. A join semilattice with 0 is *distributive* if $x \leq y \vee z$ implies there exist $y' \leq y$ and $z' \leq z$ such that $x = y' \vee z'$. Prove that an algebraic lattice is distributive if and only if its compact elements form a distributive semilattice.

9. Find an infinite distributive law that holds in every algebraic distributive lattice. Show that this may fail in a complete distributive lattice.

10. Prove Theorem 8.7.

11. Prove Peirce's theorem: If a lattice $\mathcal L$ with 0 and 1 has a complementation operation ∗ such that

- (1) $b \wedge b^* = 0$ and $b \vee b^* = 1$,
- (2) $a \wedge b = 0$ implies $a \leq b^*$,
- (3) $b^{**} = b$,

then $\mathcal L$ is a Boolean algebra.

12. Prove Papert's characterization of lattices of closed sets of a topological space [11]: Let $\mathcal D$ be a complete distributive lattice. There is a topological space $\mathcal T$ and an isomorphism ϕ mapping D onto the lattice of closed subsets of T, preserving finite joins and infinite meets, if and only if $x \not\leq y$ in D implies there exists a (finitely) join prime element p with $p \leq x$ and $p \nleq y$.

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