## FINITARY QUADRATIC JORDAN ALGEBRAS

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ABSTRACT. Let  $\mathbb{F}$  be a field of arbitrary characteristic. A quadratic Jordan  $\mathbb{F}$ -algebra J will be called finitary if  $U_aJ$  is finite dimensional for any element  $a \in J$ . We determine the structure of nondegenerate finitary quadratic Jordan  $\mathbb{F}$ -algebras.

#### Introduction

In this paper we deal with quadratic Jordan algebras (definition below) over a field  $\mathbb{F}$  of arbitrary characteristic. Any associative  $\mathbb{F}$ -algebra A gives rise to a Lie algebra  $A^{(-)}$  with Lie product [a,b]=ab-ba, and a quadratic Jordan algebra  $A^{(+)}$  with quadratic mappings  $a \mapsto a^2$  and  $a \mapsto U_a$ ,  $U_ab=aba$  for all  $a,b \in A$ .

Let X be a vector space over  $\mathbb{F}$ . Denote by  $\mathcal{F}(X)$  the associative algebra of finite-rank linear mappings of the vector space X. A Lie  $\mathbb{F}$ -algebra L is said to be *finitary* if it is isomorphic to a subalgebra of the Lie algebra  $\mathfrak{f}gl(X) := \mathcal{F}(X)^{(-)}$  for some vector space X over  $\mathbb{F}$ . Infinite-dimensional simple finitary Lie algebras over a field of characteristic 0 were classified by Baranov [2]. Later, Baranov and Strade [3] classified infinite-dimensional simple finitary Lie algebras over an algebraically closed field of characteristic not 2 or 3

By analogy with the Lie case, by a *finitary associative*  $\mathbb{F}$ -algebra we mean any subalgebra A of  $\mathcal{F}(X)$  for some vector space X over  $\mathbb{F}$ .

Following the same analogy, we could define a finitary quadratic Jordan  $\mathbb{F}$ -algebra as a subalgebra J of  $\mathcal{F}(X)^{(+)}$  for some vector space X over  $\mathbb{F}$ . But such a definition would rule out all exceptional quadratic Jordan algebras. Yet being unsuitable, the above definition still helps us to find the correct one. A quadratic Jordan  $\mathbb{F}$ -algebra J will be called *finitary* if the inner ideal  $U_aJ$  is finite-dimensional for every element  $a \in J$ . As will be seen, any subalgebra of a quadratic Jordan algebra  $\mathcal{F}(X)^{(+)}$  is finitary according to this definition.

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Recall that a quadratic Jordan algebra J is said to be nondegenerate if  $U_aJ=0$  implies a=0. If  $J=A^{(+)}$  for some associative algebra A, then J is nondegenerate if and only if A is semiprime.

The main result of this paper is a structure theorem for nondegenerate finitary quadratic Jordan algebras over a field  $\mathbb{F}$  of arbitrary characteristic. Among other results, we will prove that any infinite dimensional central simple finitary quadratic Jordan algebra comes from a central simple finitary associative algebra (with or without involution), so we begin by studying finitary associative algebras.

#### 1. Finitary associative algebras

Throughout this section  $\mathbb{F}$  will be denote a field and A an associative  $\mathbb{F}$ -algebra. It is convenient to introduce some notation.

1.1. Following [7], let  $(X, Y, \langle \cdot, \cdot \rangle)$  be a pair of dual vector spaces over a division  $\mathbb{F}$ -algebra  $\Delta$ , where X is a left vector space, Y is a right vector space and  $\langle \cdot, \cdot \rangle : X \times Y \to \Delta$  is a nondegenerate bilinear form. A linear mapping  $a: X \to X$  is adjointable if there exists  $a^{\#}: Y \to Y$  such that  $\langle xa, y \rangle = \langle x, a^{\#}y \rangle$  for all  $x \in X$ ,  $y \in Y$ . Notice that we write the mappings of a left vector space on the right (thus composing them from left to right), and the mappings on a right vector space on the left (thus composing them from right to left). We denote by  $\mathcal{L}_Y(X)$  the associative  $\mathbb{F}$ -algebra of all adjointable linear mappings of X, and by  $\mathcal{F}_Y(X)$  the ideal of those linear mappings having finite rank. The algebras  $\mathcal{F}_Y(X)$  are precisely those simple algebras containing minimal one-sided ideals [7].

Any left vector space X over  $\Delta$  gives rise to the canonical pair  $(X, X^*, \langle \cdot, \cdot \rangle)$ , where  $X^*$  stands for the dual of X. Thus, according to the notation above,  $\mathcal{F}(X) = \mathcal{F}_{X^*}(X)$ .

Let  $(X, Y, \langle \cdot, \cdot \rangle)$  be a pair of dual vector spaces over  $\Delta$ . For  $x \in X$ ,  $y \in Y$ , write  $y \otimes x$  to denote the adjointable linear mapping defined by

$$x'(y \otimes x) = \langle x', y \rangle x \text{ for } x' \in X$$

with adjoint  $(y \otimes x)^{\#}y' = y\langle x, y' \rangle$ .

The following two results can be easily verified. .

- **1.2.**  $(y \otimes x)a = y \otimes xa$  for all mapping  $a: X \to X$  and  $a(y \otimes x) = a^{\#}y \otimes x$  for all adjointable a.
- **1.3.** Every  $a \in \mathcal{F}_Y(X)$  can be expressed as  $a = \sum y_i \otimes x_i$  where both sets  $\{y_i\} \subset Y$  and  $\{x_i\} \subset X$  are linearly independent, which just means that  $\mathcal{F}_Y(X)$  is isomorphic as

an  $\mathbb{F}$ -vector space to the tensor product  $Y \otimes_{\Delta} X$ . Actually,  $\mathcal{F}_Y(X)$  is isomorphic as an  $\mathbb{F}$ -algebra to  $Y \otimes_{\Delta} X$  under the product

$$(y \otimes x)(z \otimes w) = y\langle x, z \rangle \otimes w = y \otimes \langle x, z \rangle w.$$

**Definition 1.4.** By a *finitary associative*  $\mathbb{F}$ -algebra we mean any subalgebra A of  $\mathcal{F}(X)$  for some vector space X over  $\mathbb{F}$ .

**Lemma 1.5.** If A is finitary, then aAa is finite dimensional for any  $a \in A$ .

*Proof.* Let  $A \leq \mathcal{F}(X)$ , with X being a vector space over  $\mathbb{F}$ . It follows from (1.2) and (1.3) that for any  $a \in A$ ,  $aAa \subset a\mathcal{F}(X)a \cong a(X^* \otimes_{\mathbb{F}} X)a = a^{\#}X^* \otimes_{\mathbb{F}} Xa$  is finite dimensional, with  $\dim_{\mathbb{F}} aAa \leq \operatorname{rank}(a)^2$ .

**Theorem 1.6.** Let A be an associative  $\mathbb{F}$ -algebra.

- (1) If A is semiprime, then A is finitary if and only if for any element  $a \in A$  the subspace aAa is finite dimensional.
- (2) A is semiprime and finitary if and only if it is isomorphic to a direct sum of simple finitary F-algebras.
- (e) A is simple and finitary if and only it is isomorphic to some  $\mathcal{F}_Y(X)$ , where  $(X,Y,\langle\cdot,\cdot\rangle)$  is a pair of dual vector spaces over a finite-dimensional division  $\mathbb{F}$ -algebra  $\Delta$ , equivalently, A is simple and contains an idempotent e such that eAe is a finite-dimensional division  $\mathbb{F}$ -algebra.

*Proof.* By Lemma 1.5, if A is finitary then for any  $a \in A$ ,  $\dim_{\mathbb{F}} aAa < \infty$ .

Suppose now that A is semiprime and  $\dim_{\mathbb{F}} aAa < \infty$  for any  $a \in A$ . By [5, Teorem 2.3], the element a belongs to the socle of A, so, by socle theory for semiprime rings (see [7] or [4]),  $A = \bigoplus M_i$  is a direct sum of ideals each of which is a simple algebra with minimal one-sided ideals. Moreover, for any division idempotent  $e \in M_i$  the division algebra  $eM_ie = eAe$  is finite dimensional. Now it follows from the structure theorem for simple associative rings with minimal one sided ideals (see [4, Theorems 4.3.7 and 4.3.8]) that  $M_i$  is isomorphic to some  $\mathcal{F}_Y(X)$ , where  $(X,Y,\langle\cdot,\cdot\rangle)$  is a pair of dual vector spaces over a finite-dimensional division  $\mathbb{F}$ -algebra  $\Delta$ . For any  $a \in \mathcal{F}_Y(X)$ ,  $\dim_{\mathbb{F}} Xa = (\dim_{\Delta} Xa)(\dim_{\mathbb{F}} \Delta) < \infty$ , so  $\mathcal{F}_Y(X) \leq \mathcal{F}(X_{\mathbb{F}})$  is a simple finitary associative  $\mathbb{F}$ -algebra, equivalently, A is simple and contains an idempotent e such that eAe is a finite-dimensional division  $\mathbb{F}$ -algebra. Finally, it is easy to see that any direct sum of simple finitary associative  $\mathbb{F}$ -algebras is a semiprime finitary associative  $\mathbb{F}$ -algebra. This completes the proof of the theorem.

Corollary 1.7. Let R be a simple associative ring. Then R is finitary, as an algebra over its centroid, if and only if R satisfies a generalized polynomial identity.

*Proof.* Let  $\mathbb{F}$  denote the centroid of R, which is a field. By the theorem above, R is finitary as an algebra over  $\mathbb{F}$  if and only if it contains an idempotent e such that eRe is a finite dimensional division  $\mathbb{F}$ -algebra, equivalently, by [4, Theorem 6.1.6], the simple ring R satisfies a generalized polynomial identity.

## 2. General facts on quadratic Jordan algebras

In what follows  $\Phi$  will denote a ring of scalars, that is, a commutative associative ring with 1. Following the exposition given in [12], we begin by reminding the reader of the definition of quadratic Jordan algebra.

**2.1. Definitions.** A unital quadratic Jordan algebra J = (J, U, 1) over an arbitrary ring of scalars  $\Phi$  consists of a  $\Phi$ -module J, a distinguished element  $1 \in J$ , and a quadratic map  $U: J \to \operatorname{End}_{\Phi}(J)$  such that if we denote the linearization of U by

$$V_{x,y}(z) = \{x, y, z\} = U_{x,z}(y) \quad (U_{x,z} = U_{x+z} - U_x - U_z)$$

then

- (QJ1)  $U_1 = \operatorname{Id}$
- (QJ2)  $U_x V_{y,x} = V_{x,y} U_x = U_{U(x)y,x}$
- (QJ3)  $U_{U(x)y} = U_x U_y U_x$

hold in all (free) scalar extensions; equivalently, all linearizations of these identities hold in J itself.

A quadratic Jordan algebra is just a  $\Phi$ -submodule J = (J, U; 2) of some unital Jordan algebra closed under the products  $U_x y$  and the square

$$x^2 = U_x 1,$$

in which case J imbeds in the unital hull.

$$\hat{J} = \Phi 1 \oplus J$$
:

$$U_{\alpha 1 \oplus x}(\beta 1 \oplus y) = \alpha^2 \beta \oplus (\alpha^2 y + 2\alpha \beta x + \alpha x \circ y + \beta x^2 + U_x y),$$

where we denote the linearization of the square by

$$V_x(y) = x \circ y = U_{x,y}1 \quad (= (x+y)^2 - x^2 - y^2).$$

If  $\frac{1}{2} \in \Phi$  we can characterize these algebras axiomatically as the *linear Jordan algebras* with product  $x \cdot y$  satisfying

$$x \cdot y = y \cdot x$$
,  $(x^2 \cdot y) \cdot x = x^2 \cdot (x \cdot y)$ 

Every quadratic Jordan algebra J gives rise to a *Jordan pair* V = (J, J) where  $Q_x^{\sigma} y = U_x y$  for  $\sigma = \pm$  (see [8]). Hence every notion defined by Jordan pairs makes sense for quadratic Jordan algebras.

In what follows, by a Jordan algebra we will mean a quadratic Jordan algebra.

**2.2. Examples.** Most Jordan algebras come from associative algebras. Any associative  $\Phi$ -algebra A, with product denoted by juxtaposition, yields a Jordan algebra  $A^{(+)}$  via

$$U_x y = xyx$$
,  $x^2 = xx$ ,  $\{x, y, z\} = xyz + zyx$ ,  $x \circ y = xy + yx$ 

(which is unital if A is). A Jordan algebra J is special if it is isomorphic to a subalgebra of some  $A^{(+)}$ ; otherwise, J is called exceptional. An importan example of special Jordan algebras is a hermitian algebra

$$H(A,*) = \{x \in A : x^* = x\} \le A^{(+)}$$

of self-adjoint elements in an associative algebra A with involution \*. More generally, we must consider  $ample\ hermitian\ algebras$ 

$$H_0 = H_0(A, *) \le H(A, *)$$

such that  $aH_0a^* \subset H_0$  for all  $a \in A$  and all traces  $a + a^*$  and norms  $aa^*$  lie in  $H_0$ . If  $\frac{1}{2} \in \Phi$  then the only ample subspace is the whole H(A, \*).

Another important example is a (unital Jordan) Clifford algebra, which lives in the associative clifford algebra C(Q, X, 1) of a quadratic form Q with base point 1 on a vector space X over a field  $\mathbb{F}$ :

$$J = J(Q, X, 1) \le C(Q, X, 1)^{(+)}: \quad U_x y = Q(x, \bar{y})x - Q(x)\bar{y},$$

$$(\bar{y} = Q(y, 1)1 - y, \text{ for } x, y \in X).$$

More generally, we can consider an *outer ideal* I of J(Q, X, 1) containing 1,  $U(J)I + \{J, J, I\} \subset I$ . If the characteristic of  $\mathbb{F}$  is not 2, then an outer ideal is an ideal.

A Jordan algebra is *i-special* if it satisfies all the identities of special Jordan algebras (equivalently, is a homomorphic image of a special Jordan algebra). A Jordan algebra is *i-exceptional* if it is not i-special. The basic i-exceptional Jordan algebras are the 27-dimensional *Albert algebras* (see [10]).

**2.3. Alternating algebras.** Let  $(X, Y, \langle \cdot, \cdot \rangle)$  be a pair of dual vector spaces over a division  $\Phi$ -algebra  $\Delta$ . If the  $\Phi$ -algebra  $\mathcal{F}_Y(X)$  has an involution \*, then  $\Delta$  has an involution -, X has either a nondegenerate hermitian (and nonalternating) inner product or a nondegenerate alternating inner product, denoted in both cases by  $\langle \cdot, \cdot \rangle$ , with the involution \* being the adjoint # with respect to the inner product. Notice that  $(X, \langle \cdot, \cdot \rangle)$  yields a pair of dual vector spaces  $(X, X, \langle \cdot, \cdot \rangle)$  where the second X is regarded as right vector space over  $\Delta$  by defining  $x \cdot \alpha = \bar{\alpha}x$   $(x \in X, \alpha \in \Delta)$ .

Suppose that  $(X, \langle \cdot, \cdot \rangle)$  is alternating over a field  $\mathbb{F}$ . Following [11, p. 460], a linear mapping  $a \in \mathcal{F}_X(X)$  is called an *alternating mapping* if  $\langle x, xa \rangle = 0$  for each  $x \in X$ . We write  $\mathcal{A}lt(X, \langle \cdot, \cdot \rangle)$  to denote the set of all alternating mappings. As observed in [6], if the characteristic of  $\mathbb{F}$  is not 2, then  $\mathcal{A}lt(X, \langle \cdot, \cdot \rangle) = H(\mathcal{F}_X(X), *)$ .

**2.4.** Homotopes, isotopes and local algebras. Definitions and notation of this paragraph are taking from [6, 8].

For any element b in a Jordan algebra J we obtain a new Jordan algebra structure  $J^{(b)}$  in the  $\Phi$ -submodule J called the b-homotope of J by taking the operations

$$U_x^{(b)} = U_x U_b, \quad x^{(2,b)} = U_x b.$$

If J is unital and b is invertible, then  $J^{(b)}$  is a unital Jordan algebra called the b-isotope of J, with  $b^{-1}$  as its unit element.

Isotopes of nonunital Jordan algebras J are defined via a unital Jordan algebra K containing J as a subalgebra and an invertible element  $b \in K$  satisfying

$$U_bJ=J, \quad U_Jb\subset J.$$

For instance, the above conditions are satisfied if J is an ideal of K; in particular, if K is the unital hull of J.

Let b be an arbitrary element of J. Then the  $\Phi$ -submodule  $\operatorname{Ker}_J(b)$  of J defined by

$$Ker_J(b) = \{z \in J : U_b z = U_b U_z b = 0\}$$

is an ideal of the Jordan algebra  $J^{(b)}$  and the quotient algebra  $J/Ker_J(b)$  is called the local algebra of J at b and denoted by  $J_b$ . If  $\frac{1}{2} \in \Phi$ , then condition  $U_bU_zb=0$  is superfluous.

**2.5.** Inner ideals and socle. An inner ideal of a Jordan algebra J is a  $\Phi$ -submodule B of J such that  $U_bJ \subset B$  for any  $b \in J$ . Any element  $x \in J$  yields the principal inner ideal determined by x,  $U_xJ$ , and the inner ideal generated by x,  $\Phi x + U_xJ$ . These inner

ideals coincide if and only if x is a von Neumann regular element of J. The socle Soc(J) of a Jordan algebra J is defined as the sum of its minimal inner ideals.

A Jordan algebra J is nondegenerate if  $U_xJ=0$  implies x=0. Simple Jordan algebras are nondegenerate (see [1]). If J is nondegenerate, then Soc(J) is a direct sum of ideals each of which is a simple Jordan algebra coinciding with its socle (see [9] or [15]) Moreover, an element  $x \in J$  lies in the socle if and only if  $\Phi x + U_xJ$  has descending chain condition on principal inner ideals [9, Theorem 1].

Simple Jordan algebras with minimal inner ideals were classified in [6] as a refinement of the more general structure theorem of K. McCrimmon and E. Zelmanov for simple Jordan algebras (see [12]).

**Theorem 2.6.** [6, Theorem 2] Every simple Jordan algebra containing minimal inner ideals is up to isotopy one of the following:

- (i) A Jordan algebra of Clifford or Albert type,
- (ii) a Jordan algebra  $\mathfrak{F}_Y(X)^{(+)}$ , where  $(X,Y,\langle\cdot,\cdot\rangle)$  is a pair of dual vector spaces over a division  $\Phi$ -algebra  $\Delta$ ,
- (iii) an ample hermitian algebra  $H_0(\mathfrak{F}_X(X),*)$  relative to a nondegenerate hermitian (and nonalternating) inner product space  $(X,\langle\cdot,\cdot\rangle)$  over a division  $\Phi$ -algebra  $\Delta$ with involution, and where \* is the adjoint involution, or
- (iv)  $Alt(X, \langle \cdot, \cdot \rangle)$  for a nondegenerate alternating inner product space  $(X, \langle \cdot, \cdot \rangle)$  over a field  $\mathbb{F}$  which is a  $\Phi$ -algebra.

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By analogy with the associative and Lie cases, we could define a finitary (quadratic) Jordan  $\mathbb{F}$ -algebra J as a subalgebra of the Jordan algebra  $\mathcal{F}(X)^{(+)}$  for some vector space X over  $\mathbb{F}$ . But such a definition would exclude the exceptional Jordan algebras.

**Definition 3.1.** A Jordan  $\mathbb{F}$ -algebra J is finitely if the principal inner ideal  $U_aJ$  is finite dimensional for each element  $a \in J$ .

**Lemma 3.2.** If  $J \leq \mathfrak{F}(X)^{(+)}$  for some  $\mathbb{F}$ -vector space X, then J is finitary.

*Proof.* The same proof of Lemma 1.5 works. For any  $a \in J$ ,  $U_a J \subset U_a \mathfrak{F}(X) = a \mathfrak{F}(X) a$ .

Remarks 3.3. Notice that the converse of Lemma 3.2 does not hold. Consider a 27-dimensional Albert algebra. Notice also that, according to our definition, a unital

Jordan algebra is finitary if and only if it is finite dimensional; in particular, a Clifford algebra is finitary if and only if it is finite dimensional.

Our aim is to classify nondegenerate finitary (quadratic) Jordan algebras J over an arbitrary field  $\mathbb{F}$ . The theorem below reduces the study to the case that J is simple.

**Theorem 3.4.** Let J be a Jordan  $\mathbb{F}$ -algebra. Then J is finitary and nondegenerate if and only if it is a direct sum of simple finitary Jordan algebras.

Proof. Let  $J = \bigoplus J_i$  be a direct sum of ideals each of which is a simple finitary Jordan  $\mathbb{F}$ -algebras. But simple Jordan algebras are nondegenerate [1] and it is easy to check that direct sums preserve nondegeneracy, so J is nondegenerate. Now let  $a \in J$ . Then  $a = a_{i_1} + \cdots + a_{i_r}$  where each summand  $a_{i_k}$  belongs to some  $J_{i_k}$ . Since the ideals  $J_i$  are mutually orthogonal, we have that  $U_a J = U(a_{i_1})J_{i_1} \oplus \cdots \oplus U(a_{i_r})J_{i_r}$  is finite dimensional, which proves that J is finitary.

Suppose conversely that J is nondegenerate with  $U_aJ$  being finite dimensional for any element  $a \in J$ . It follows from Loos' elemental characterization of the socle [9, Theorem 1] that J coincides with its socle and therefore, by [9, Theorem 2], J is a direct sum of ideals each of which is a simple Jordan algebra, clearly finitary. This completes the proof of the theorem.

**Theorem 3.5.** Every simple finitary Jordan  $\mathbb{F}$ -algebra is up to isotopy one of the following:

- (i) a 27-dimensional Albert algebra over a finite field extension  $\mathbb{K}$  of  $\mathbb{F}$ ,
- (ii) a finite-dimensional Clifford Jordan algebra J, defined by a nondegenerate quadratic form on a vector space over a finite field extension  $\mathbb{K}$  of  $\mathbb{F}$ , or an outer ideal I of J containing 1.
- (iii) an ample hermitian algebra  $H_0(\mathfrak{F}_X(X),*)$  relative to a nondegenerate hermitian (and nonalternating) inner product space  $(X,\langle\cdot,\cdot\rangle)$  over a finite-dimensional division  $\mathbb{F}$ -algebra  $\Delta$  with involution, and where \* is the adjoint involution, or
- (iv)  $Alt(X, \langle \cdot, \cdot \rangle)$  for a nondegenerate alternating inner product space  $(X, \langle \cdot, \cdot \rangle)$  over a finite field extension  $\mathbb K$  of  $\mathbb F$ .

*Proof.* Each of the Jordan algebras listed above is simple and finitary. Suppose then that J is a simple finitary Jordan  $\mathbb{F}$ -algebra. As proved in Theorem 3.4, J coincides with its socle. Thus we only need to look and the list of simple Jordan algebras given in Theorem 2.6 and identify the finitary ones.

Remark 3.6. Finitary Jordan algebras are closely related to Jordan algebras with PIelements, as defined and studied by F. Montaner in [13, 14]. In terms of local algebras (see 2.4), our definition of a finitary Jordan algebra J can rephrased by saying that the local algebra  $J_a$  is finite dimensional for any element  $a \in J$ , while, according to [13], an element  $a \in J$  is PI if the local algebra  $J_a$  satisfies a polynomial identity. Notice that by [13, Proposition 2.6], simple unital Jordan algebras with a nonzero PI-element have finite capacity, and in the particular case of a Jordan algebra  $J = A^{(+)}$ , where Ais a central simple associative algebra, J is finitary if and only it contains a nonzero PI-element.

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