

A Problem of Westwick on k -Spaces

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Sets of $n \times n$ matrices whose linear span contains only matrices of rank $n - 1$ and 0 are investigated. To within a natural equivalence they are characterised for $n \leq 6$. Partial results are obtained for general n .

A k -space as defined by Westwick [7] is a vector space whose elements are linear transformations from a space V into a space W all of which, except for the zero transformation, have the same rank k . k -spaces have since been investigated by Beasley [3, 4] who used them to obtain results on homomorphisms which preserve rank, and by Atkinson and Westwick [2] who produced infinitely many examples for certain fixed k , V and W . k -spaces have also found applications in algebraic computational complexity [6].

We shall adopt the language of matrices rather than linear transformations. Consequently two k -spaces \mathcal{X}, \mathcal{Y} of $m \times n$ matrices are regarded as *equivalent* if there exist non-singular matrices P, Q (which correspond to changes of basis in V and W) such that

$$\mathcal{Y} = \{PXQ \mid X \in \mathcal{X}\}$$

Throughout the paper we shall take the ground field to be algebraically closed. It is rather obvious that an n -space of $n \times n$ matrices cannot have dimension greater than 1. In view of this Westwick drew

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special attention to the problem of characterising $(n - 1)$ -spaces of $n \times n$ matrices. We shall call these spaces *exactly singular* spaces; their elements are of rank precisely $n - 1$ or zero. Using the dimension theorem of algebraic geometry Westwick showed that exactly singular spaces must have dimension at most 4. He also proved that for $n = 2, 3, 4$ their dimensions are at most 2, 3, 2 respectively; the last of these results required quite a tricky argument. Finally, for each odd n , he gave an example of a 3-dimensional exactly singular space.

In this paper we shall introduce a new technique for studying exactly singular spaces. We use it to prove a general result on partitioned matrices and to settle the cases $n = 5, 6$. Before this however we shall summarise some of the more elementary facts about exactly singular spaces.

It is evident that a 1-dimensional exactly singular space is equivalent to the space generated by the $n \times n$ matrix $I_{n-1} \oplus 0_1$ and so it is essentially unique. A 2-dimensional exactly singular space determines, via a fixed basis A, B , a homogeneous matrix pencil $\lambda A + \mu B$. The Kronecker theory of pencils shows that there is an equivalent pencil of the form $L_p^T \oplus L_q$ with $p + q = n - 1$ (see [5] for the notation and theory). Note that this pencil has $(\mu^p, \mu^{p-1}\lambda, \dots, \lambda^p, 0, 0, \dots, 0)$ as a left null vector and $(0, 0, \dots, 0, \mu^q, \mu^{q-1}\lambda, \dots, \lambda^q)^T$ as a right null vector. For each n there are exactly n inequivalent 2-dimensional exactly singular spaces, one for each p in $0 \leq p \leq n - 1$.

Westwick defined a k -space \mathcal{Z} to be *essentially decomposable* if for some i, j with $i + j = k$ every matrix of an equivalent space \mathcal{Y} had the form

$$\left[\begin{array}{c|c} i \times j & \\ \hline & 0 \end{array} \right]$$

He showed (Corollary 2.2 of [7])

LEMMA 1 *Every decomposable exactly singular space has dimension at most 2.*

We now define some notation which will be used throughout this paper.

Suppose \mathcal{Z} is an exactly singular space of $n \times n$ matrices. Let A_1, A_2, \dots be a basis of \mathcal{Z} , let x_1, x_2, \dots be independent transcendentals over the ground field and define

$$X = \sum x_i A_i$$

a generic point of the linear variety \mathcal{Z} . Since $\text{rank } X = n - 1$ X has both a left null row-vector \mathbf{u} and a right null column-vector \mathbf{v} . The components of these vectors may be taken to be homogeneous polynomials in x_1, x_2, \dots . We shall choose \mathbf{u} and \mathbf{v} so that the total degrees p and q of their components are minimal. It is easy to see that any other left null row-vector with polynomial components must be a polynomial multiple of \mathbf{u} (similarly for right null column-vectors).

Since $\mathbf{u}P^{-1}PX = 0$ for any non-singular matrix P , $\mathbf{u}P^{-1}$ is the minimal left null vector for PX . Thus the null vectors of spaces equivalent to \mathcal{Z} are related to \mathbf{u} and \mathbf{v} by applying a non-singular matrix with entries in the ground field. Moreover the generic matrix X depends on the basis chosen for \mathcal{Z} . Any other basis will give a generic matrix whose transcendentals x'_1, x'_2, \dots are related to x_1, x_2, \dots by a non-singular linear substitution $\mathbf{x}' = \mathbf{x}T$. Equivalences and changes of basis may often be used to simplify the components of \mathbf{u} and \mathbf{v} .

LEMMA 2 *If $\dim \mathcal{Z}' \geq 2$ then*

(i) $p + q = n - 1$,

(ii) *every specialisation $\mathbf{x} \rightarrow \xi$, with $\xi \neq 0$, specialises \mathbf{u} and \mathbf{v} to non-zero vectors,*

(iii) *all 2-dimensional subspaces of \mathcal{Z}' are equivalent,*

(iv) *every specialisation $\mathbf{x} \rightarrow \xi$, where ξ is a generic point of a 2-dimensional linear variety, specialises \mathbf{u} (or \mathbf{v}) to a vector whose polynomial components span a linear space of dimension $p + 1$ (or $q + 1$) over the ground field.*

Proof The adjoint of X has polynomial components of degree $n - 1$ (or 0). The adjoint has rank 1, since $\text{rank } X = n - 1$, and so may be written

$$\text{adj } X = \mathbf{r} \cdot \mathbf{s}$$

where \mathbf{r} is a column vector and \mathbf{s} is a row vector. Clearly \mathbf{r} and \mathbf{s} may be taken to have polynomial components. From the equation $X \cdot \text{adj } X = 0$ it follows that \mathbf{r} is a right null column-vector for X and so is a polynomial multiple of \mathbf{v} . Similarly \mathbf{s} is a polynomial multiple of \mathbf{u} . Consequently

$$p + q \leq n - 1.$$

Each 2-dimensional subspace of \mathcal{X} has a generic point $\sum \xi_i A_i$ where ξ_1, ξ_2, \dots are linear expressions in two transcendentals ζ, η . Conversely if ξ_1, ξ_2, \dots are linear expressions in ζ, η which are not all multiples of a single expression, then $\sum \xi_i A_i$ is a generic point of a 2-dimensional subspace of \mathcal{X} .

Now consider a 2-dimensional subspace \mathcal{Y} of \mathcal{X} for which $\mathbf{u}(\xi_1, \xi_2, \dots)$ (and $\mathbf{v}(\xi_1, \xi_2, \dots)$) are non-zero (so their components are of degree p (and q) in ζ and η). \mathcal{Y} is also an exactly singular space and, according to the Kronecker theory, its generic point is equivalent to a matrix

$$L_a^T \oplus L_b$$

where a, b are the degrees of its minimal degree left and right null vectors. Since $\mathbf{u}(\xi_1, \xi_2, \dots)$ and $\mathbf{v}(\xi_1, \xi_2, \dots)$ are left and right null vectors of this matrix we have $a \leq p, b \leq q$, and so

$$n - 1 = a + b \leq p + q \leq n - 1.$$

This proves statement (i) and also proves that $p = a, q = b$ and, neglecting scalar factors, $\text{adj } X = \mathbf{v} \cdot \mathbf{u}$. Statement (ii) follows from this equation; for if a specialisation $\mathbf{x} \rightarrow \xi$ specialises \mathbf{u} to 0 it specialises $\text{adj } X$ to 0 and therefore $\text{rank}(\sum \xi_i A_i) < n - 1$; hence $\sum \xi_i A_i = 0$ and hence $\xi = 0$. Statement (iii) also follows for the above argument shows that the Kronecker form of every 2-dimensional subspace \mathcal{Y} is defined by $L_p^T \oplus L_q$.

Finally to prove statement (iv) note that the specialisation in question specialises \mathbf{u} to a vector \mathbf{u}^* whose components are polynomials in two variables ζ and η of total degree p . When the 2-dimensional linear variety is transformed to Kronecker canonical form the vector \mathbf{u}^* is transformed by an $n \times n$ non-singular matrix in the ground field to a vector

$$(\zeta^p, \zeta^{p-1}\eta, \dots, \zeta\eta^{p-1}, \eta^p, 0, 0, \dots)$$

Since the components of this vector span a linear space of dimension $p + 1$ the same is true of the components of \mathbf{u}^* .

PROPOSITION *Let \mathcal{X} be an exactly singular space for which*

$$X = \begin{bmatrix} A & 0 \\ C & B \end{bmatrix}$$

is a non-trivial partitioning with A and B both square. Then

- (i) *at least one of A and B is singular,*

- (ii) if *A* and *B* are both singular then $\dim \mathcal{Z} \leq 1$,
- (iii) in any case, $\dim \mathcal{Z} \leq 2$.

Proof (i) $0 = \det X = \det A \cdot \det B$ and so one of $\det A$ and $\det B$ is zero.

(ii) Suppose that both *A* and *B* are singular and that $\dim \mathcal{Z} \geq 2$. Clearly both are generic matrices of exactly singular spaces of, say, $a \times a$ and $b \times b$ matrices and these spaces have dimension $\dim \mathcal{Z}$. Let *s* be a minimal left null vector of *A*. Then $(s, 0, \dots, 0)$ is a left null vector of *X* and by Lemma 2 its components are of degree at most $a - 1$. Hence $p \leq a - 1$. Similarly $q \leq b - 1$. Then $n - 1 = p + q \leq a - 1 + b - 1 = n - 2$, a contradiction.

(iii) Suppose, without loss in generality, that *A* is singular; again *A* is a generic matrix for an exactly singular space. Let *t* be a right null vector of *A* and consider the product

$$\begin{bmatrix} A & 0 \\ C & B \end{bmatrix} \begin{bmatrix} t & 0 \\ 0 & I \end{bmatrix} = \begin{bmatrix} 0 & 0 \\ ct & B \end{bmatrix}$$

(here the second and third matrices are of size $n \times (b + 1)$). By Sylvester's inequality

$$\text{rank} \begin{bmatrix} A & 0 \\ C & B \end{bmatrix} + \text{rank} \begin{bmatrix} t & 0 \\ 0 & I \end{bmatrix} \leq n + \text{rank}[Ct B].$$

Consider an arbitrary specialisation $x \rightarrow \xi \neq 0$. In such a specialisation *t* remains non-zero (Lemma 2) and so

$$\text{rank}[Ct B] \geq n - 1 + b + 1 - n = b.$$

Hence $\text{rank}[Ct B] = b$ under this specialisation.

The variety \mathcal{Y} whose generic point is $[Ct B]$ (in affine $b(b + 1) -$ space) is irreducible and of dimension at most $\dim \mathcal{Z}$. However since *B* is a generic point of a variety of the same dimension as \mathcal{Z} we have $\dim \mathcal{Y} = \dim \mathcal{Z}$. But \mathcal{Y} has no non-zero intersection with the variety of $b \times (b + 1)$ matrices of rank less than *b* and this latter variety has dimension $b(b + 1) - 2$ ([7] Theorem 2.1). Hence $\dim \mathcal{Z} = \dim \mathcal{Y} \leq 2$.

LEMMA 3 *If one of p and q is zero then $\dim \leq 2$.*

Proof If $p = 0$ then every matrix of \mathcal{Z} has a common left null vector. Therefore \mathcal{Z} is decomposable (with $i = n - 1, j = 0$) and Lemma 1 applies.

LEMMA 4 *If one of p and q is 1 then $\dim \mathcal{Z}' \leq 3$ with equality only if $n = 3$ when, to within equivalence, \mathcal{Z}' is unique.*

Proof It is known that, when $n = 3$, there is precisely one exactly singular space of dimension 3 or more ([1], p. 313). Therefore to prove the lemma it suffices to consider a 3-dimensional exactly singular space \mathcal{Z}' , assume that $p = 1$, and deduce that $n = 3$.

The components of the left null vector u of X are linear expressions in variables x_1, x_2, x_3 , and so the components span a space of dimension at most 3. Replacing \mathcal{Z}' by an equivalent space we may take $u = (u_1, u_2, u_3, 0, 0, \dots, 0)$. From $uX = 0$ we find that

$$x = \begin{bmatrix} Y \\ Z \end{bmatrix}$$

where Y is a $3 \times n$ matrix satisfying $uY = 0$. The linear space \mathcal{Y} of $3 \times n$ matrices determined by Y is a 2-space. It cannot be decomposable or \mathcal{Z}' itself would be decomposable contradicting Lemma 1. By p. 314 of [1] \mathcal{Y} is equivalent to a space whose matrices have entries in the first 3 columns only. Thus \mathcal{Z}' is equivalent to a space of partitioned matrices of the form

$$\left[\begin{array}{c|c} 3 \times 3 & 0 \end{array} \right]$$

By the proposition this partition is degenerate and so $n = 3$.

This result allows Westwick's theorem on $n = 4$ to be deduced immediately; since $p + q = 3$ one of p and q is 0 or 1. We turn now to other small values of n .

Let $n = 5$ or 6. Then $p + q = 4$ or 5 and so one of p and q , p say, is at most 2. However the cases $p = 0, 1$ are dealt with by the results above and if the exactly singular space has dimension 3 or more they do not arise. So in our discussion of $n = 5, 6$ we may take $p = 2$.

Let (u_1, u_2, \dots) be the left null vector of X . Each u_i is a quadratic form in the variables x_1, x_2, \dots . We shall consider the space generated by these quadratic forms.

LEMMA 5 *If $\dim \mathcal{Z}' \geq 3$, then $\dim \langle u_1, u_2, \dots \rangle > 4$.*

Proof We replace \mathcal{Z}' by an equivalent space chosen so that the left null vector of the new \mathcal{Z}' is $(u_1, u_2, \dots, u_d, 0, \dots, 0)$ with all u_1, u_2, \dots, u_d independent. Then we have

$$X = \begin{bmatrix} Y \\ Z \end{bmatrix}$$

where Y is a $d \times n$ matrix satisfying

$$(u_1, u_2, \dots, u_d)Y = 0.$$

Thus Y determines a space \mathcal{Y} of matrices all of which have rank $d - 1$ (or 0). Notice that \mathcal{Y} cannot be decomposable or else \mathcal{Z} would also be decomposable and, as $\dim \mathcal{Z} \geq 3$, this is impossible. Now suppose for a contradiction that $d \leq 4$. Thus \mathcal{Y} is an indecomposable space of $d \times n$ matrices all of the same rank $d - 1 \leq 3$. Such spaces were determined as consequences of Theorem C of [1] and all of them had linear left null vectors; this is the required contradiction.

THEOREM A *All exactly singular spaces of 5×5 matrices have dimension at most 3. To within equivalence there is precisely one 3-dimensional exactly singular space of 5×5 matrices.*

Proof We continue to use the notation introduced above. Suppose first that \mathcal{Z} is a 4-dimensional exactly singular space of 5×5 matrices. The quadratic forms u_i may be represented by symmetric 4×4 matrices U_i since

$$u_i = (x_1, x_2, x_3, x_4)U_i \begin{bmatrix} x_1 \\ x_2 \\ x_3 \\ x_4 \end{bmatrix}$$

By the previous lemma $\langle U_1, \dots, U_5 \rangle$ is 5-dimensional and, by [7] Theorem 2.1, must contain a non-zero matrix of rank 1 or 2. By a non-singular change of variables we may take the corresponding form to be either x_4^2 or x_3x_4 . If we now form the 3-dimensional subspace of \mathcal{Z} obtained by specialising x_4 to 0 we obtain an exactly singular space with a left null vector with at most 4 non-zero components and this contradicts the previous lemma.

To prove the second part of the theorem we suppose that \mathcal{Z} is a 3-dimensional exactly singular space of 5×5 matrices. The matrices U_i introduced above are now symmetric 3×3 matrices and generate a 5-dimensional space \mathcal{U} . We shall characterise \mathcal{Z} by first characterising \mathcal{U} .

The entries of every matrix $[u_{ij}] = U \in \mathcal{U}$ satisfy 3 linear relations $u_{ij} = u_{ji}$. However \mathcal{U} is of codimension 4 in the space of all 3×3 matrices and so its matrix entries satisfy one more linear relation which may be written

$$\text{trace}(BU) = 0.$$

But then

$$\text{trace}(B^T U) = \text{trace}(U^T B) = \text{trace}(UB) = \text{trace}(BU) = 0$$

and so $\text{trace}((B + B^T)U) = 0$, i.e. we may take B to be symmetric.

Choose a non-singular matrix P such that PBP^T is diagonal with 1's and 0's on the diagonal, replace U_1, \dots, U_5 by $P^{T^{-1}}U_iP$, $i = 1, \dots, 5$ and change variables so that the matrices $P^{T^{-1}}U_iP$ again represent the components of the null vector. Thus we may take the null vector components to be represented by symmetric matrices U which have $\text{trace}(BU) = 0$ with B diagonal.

We can now deduce that $B = I$. For if $\text{rank } B = 1$ or 2 then the matrices of \mathcal{Q} have the forms

$$\begin{bmatrix} 0 & \cdot & \cdot \\ \cdot & \cdot & \cdot \\ \cdot & \cdot & \cdot \end{bmatrix} \quad \text{or} \quad \begin{bmatrix} y & \cdot & \cdot \\ \cdot & -y & \cdot \\ \cdot & \cdot & \cdot \end{bmatrix}$$

respectively. In either case if we consider the subspace of \mathcal{E} obtained by specialising x_3 to 0 we find that its null vector has components which span a space of dimension at most 2, contradicting lemma 2.

As a basis for \mathcal{Q} we can take

$$\begin{bmatrix} 0 & 1 & 0 \\ 1 & 0 & 0 \\ 0 & 0 & 0 \end{bmatrix}, \begin{bmatrix} 0 & 0 & 0 \\ 0 & 0 & 1 \\ 0 & 1 & 0 \end{bmatrix}, \begin{bmatrix} 0 & 0 & 1 \\ 0 & 0 & 0 \\ 1 & 0 & 0 \end{bmatrix}, \begin{bmatrix} 1 & 0 & 0 \\ 0 & -1 & 0 \\ 0 & 0 & 0 \end{bmatrix}, \begin{bmatrix} 0 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & -1 \end{bmatrix}$$

and then the null vector is

$$\mathbf{u} = (x_1x_2, x_2x_3, x_1x_3, x_1^2 - x_2^2, x_2^2 - x_3^2).$$

The columns of X are linear functions of x_1, x_2, x_3 and are orthogonal to \mathbf{u} . A typical column

$$\left(\sum a_i x_i, \sum b_i x_i, \sum c_i x_i, \sum d_i x_i, \sum e_i x_i \right)^T$$

of X therefore satisfies

$$\begin{aligned} x_1x_2 \sum a_i x_i + x_2x_3 \sum b_i x_i + x_1x_3 \sum c_i x_i \\ + (x_1^2 - x_2^2) \sum d_i x_i + (x_2^2 - x_3^2) \sum e_i x_i = 0. \end{aligned}$$

This identity gives rise to 10 linear equations (one for each cubic monomial) in the 15 unknowns a_1, \dots, e_3 . The equations are independent and so the solution space is 5-dimensional.

On the other hand the columns of X are linearly independent (over the ground field) since \mathcal{E} is indecomposable. Thus the columns of X

are a basis for the solution space. Different bases correspond to equivalent matrices XP (P nonsingular with entries in the ground field) and so correspond to equivalent spaces. Thus \mathcal{E} is unique.

THEOREM B *Every exactly singular space of 6×6 matrices has dimension at most 2.*

Proof We shall maintain the previous notation and shall suppose for a contradiction that \mathcal{E} is a 3-dimensional exactly singular space of 6×6 matrices.

Note first that the space generated by the components of the left null vector \mathbf{u} cannot be 5-dimensional. If it were, then the arguments used in the proof of the previous theorem would show that some space equivalent to \mathcal{E} has generic matrix of the form

$$\left[\begin{array}{c|c} & \begin{matrix} 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{matrix} \\ \hline \dots & \cdot \end{array} \right]$$

and, by the proposition, this is impossible. The components of \mathbf{u} therefore generate the space of all quadratic forms in the variables x_1, x_2, x_3 and \mathbf{u} may be taken to be

$$(x_1^2, x_2^2, x_3^2, x_1x_2, x_2x_3, x_3x_1).$$

Every column of the generic matrix X is orthogonal to \mathbf{u} . The condition that a typical column

$$\left(\sum a_i x_i, \sum b_i x_i, \sum c_i x_i, \sum d_i x_i, \sum e_i x_i, \sum f_i x_i \right)^T$$

be orthogonal to \mathbf{u} gives rise, as in the previous proof, to 10 independent linear equations this time in 18 unknowns. The solution space of this system is 8-dimensional and the following 8 columns are a basis for it:

$$\begin{matrix} 0 & 0 & x_3 & x_2 & 0 & 0 & 0 & 0 \\ x_1 & 0 & 0 & 0 & x_3 & 0 & 0 & 0 \\ 0 & x_2 & 0 & 0 & 0 & x_1 & 0 & 0 \\ -x_2 & 0 & 0 & -x_1 & 0 & 0 & x_3 & 0 \\ 0 & -x_3 & 0 & 0 & -x_2 & 0 & 0 & x_1 \\ 0 & 0 & -x_1 & 0 & 0 & -x_3 & -x_2 & -x_2 \end{matrix}$$

The 6 columns of X (which are independent since \mathcal{X} is indecomposable) span a subspace of the 8-dimensional space generated by these 8 columns. Thus we have

$$SP = X$$

where S is the 6×8 matrix displayed above and P is an 8×6 matrix with entries in the ground field. By virtue of this equation we may, for each specialisation of x_1, x_2, x_3 , regard P as a linear mapping from the row space of the specialised S to the row space of the specialised X (a member of \mathcal{X}).

Considered as a mapping on row vectors P has a 2-dimensional kernel generated say by vectors e, f of length 8. We shall show that, for some non-zero specialisation, $\langle e, f \rangle$ non-trivially intersects the row space of the specialised S . This will give us a contradiction for the specialised S will have rank at most 5 (the specialised u is a left null vector) and P will not transform its row space faithfully; thus the corresponding specialised X will have rank at most 4.

A vector g belongs to the row space of S if and only if it is orthogonal to all the right null vectors of S . These null vectors are spanned by the column vectors

$$\begin{array}{ccc} 0 & x_3 & 0 \\ 0 & 0 & x_1 \\ x_2 & 0 & 0 \\ -x_3 & 0 & 0 \\ 0 & -x_1 & 0 \\ 0 & 0 & -x_2 \\ -x_1 & x_2 & 0 \\ 0 & -x_2 & x_3 \end{array}$$

(and these vectors remain independent in all non-zero specialisations). Hence the condition that g belongs to the row space of S when specialised according to the specialisation $x \rightarrow \xi$ is

$$\begin{array}{l} -\xi_1 g_7 + \xi_2 g_3 - \xi_3 g_4 = 0 \\ -\xi_1 g_5 + \xi_2(g_7 - g_8) + \xi_3 g_1 = 0 \\ \xi_1 g_2 - \xi_2 g_6 + \xi_3 g_8 = 0 \end{array}$$

Hence the sought for non-zero specialisation can be found provided that the matrix of coefficients G is singular for some non-zero

$\mathbf{g} \in \langle \mathbf{e}, \mathbf{f} \rangle$. Such a matrix G can be found for if $\mathbf{g} = \alpha\mathbf{e} + \beta\mathbf{f}$ then

$$G = \begin{bmatrix} -\alpha e_7 - \beta f_7 & \alpha e_3 + \beta f_3 & -\alpha e_4 - \beta f_4 \\ -\alpha e_5 - \beta f_5 & \alpha e_7 + \beta f_7 - \alpha e_8 - \beta f_8 & \alpha e_1 + \beta f_1 \\ \alpha e_2 + \beta f_2 & -\alpha e_6 - \beta f_6 & \alpha e_8 + \beta f_8 \end{bmatrix}$$

$$= \alpha E + \beta F$$

and because E, F are independent they have a non-zero singular linear combination. This completes the proof.

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