

where

$$A = \begin{bmatrix} 1 & 2 & 0 & 1 \\ 1 & 1 & 1 & 2 \\ 2 & -1 & 5 & 7 \\ 0 & 2 & -2 & -2 \end{bmatrix}$$

## BASIS AND DIMENSION

In this section we continue our study of the structure of a vector space  $V$  by determining a smallest set of vectors in  $V$  that completely describes  $V$ .

### DEFINITION

The vectors  $v_1, v_2, \dots, v_k$  in a vector space  $V$  are said to form a **basis** for  $V$  if (a)  $v_1, v_2, \dots, v_k$  span  $V$  and (b)  $v_1, v_2, \dots, v_k$  are linearly independent.

### Remark

If  $v_1, v_2, \dots, v_k$  form a basis for a vector space  $V$ , then they must be distinct and nonzero, so we write them as a set  $\{v_1, v_2, \dots, v_k\}$ .

### EXAMPLE 1

The vectors  $e_1 = (1, 0)$  and  $e_2 = (0, 1)$  form a basis for  $R^2$ , the vectors  $e_1, e_2$ , and  $e_3$  form a basis for  $R^3$  and, in general, the vectors  $e_1, e_2, \dots, e_n$  form a basis for  $R^n$ . Each of these sets of vectors is called the **natural basis** or **standard basis** for  $R^2, R^3$ , and  $R^n$ , respectively. ■

### EXAMPLE 2

Show that the set  $S = \{v_1, v_2, v_3, v_4\}$ , where  $v_1 = (1, 0, 1, 0)$ ,  $v_2 = (0, 1, -1, 2)$ ,  $v_3 = (0, 2, 2, 1)$ , and  $v_4 = (1, 0, 0, 1)$  is a basis for  $R^4$ .

### Solution

To show that  $S$  is linearly independent, we form the equation

$$c_1 v_1 + c_2 v_2 + c_3 v_3 + c_4 v_4 = 0$$

and solve for  $c_1, c_2, c_3$ , and  $c_4$ . Substituting for  $v_1, v_2, v_3$ , and  $v_4$ , we obtain the linear system (verify)

$$\begin{aligned} c_1 & & & + c_4 & = 0 \\ & c_2 + 2c_3 & & & = 0 \\ c_1 - c_2 + 2c_3 & & & & = 0 \\ & 2c_2 + c_3 + c_4 & & & = 0, \end{aligned}$$

which has as its only solution  $c_1 = c_2 = c_3 = c_4 = 0$  (verify), showing that  $S$  is linearly independent.

To show that  $S$  spans  $R^4$ , we let  $v = (a, b, c, d)$  be any vector in  $R^4$ . We now seek constants  $k_1, k_2, k_3$ , and  $k_4$  such that

$$k_1 v_1 + k_2 v_2 + k_3 v_3 + k_4 v_4 = v.$$

Substituting for  $v_1, v_2, v_3, v_4$ , and  $v$ , we find a solution (verify) for  $k_1, k_2, k_3$ , and  $k_4$  to the resulting linear system for any  $a, b, c$ , and  $d$ . Hence  $S$  spans  $R^4$  and is a basis for  $R^4$ . ■

**EXAMPLE 3****Solution**

Show that the set  $S = \{t^2 + 1, t - 1, 2t + 2\}$  is a basis for the vector space  $V$ . To do this, we must show that  $S$  spans  $V$  and is linearly independent. To show that it spans  $V$ , we take any vector in  $V$ , that is, a polynomial  $at^2 + bt + c$ , and must find constants  $a_1, a_2$ , and  $a_3$  such that

$$\begin{aligned} at^2 + bt + c &= a_1(t^2 + 1) + a_2(t - 1) + a_3(2t + 2) \\ &= a_1t^2 + (a_2 + 2a_3)t + (a_1 - a_2 + 2a_3). \end{aligned}$$

Since two polynomials agree for all values of  $t$  only if the coefficients of the respective powers of  $t$  agree, we get the linear system

$$\begin{aligned} a_1 &= a \\ a_2 + 2a_3 &= b \\ a_1 - a_2 + 2a_3 &= c. \end{aligned}$$

Solving, we have

$$a_1 = a, \quad a_2 = \frac{a + b - c}{2}, \quad a_3 = \frac{c + b - a}{4}.$$

Hence  $S$  spans  $V$ .

To illustrate this result, suppose that we are given the vector  $2t^2 + 6t + 13$ . Here  $a = 2$ ,  $b = 6$ , and  $c = 13$ . Substituting in the foregoing expressions for  $a_1, a_2$ , and  $a_3$ , we find that

$$a_1 = 2, \quad a_2 = -\frac{5}{2}, \quad a_3 = \frac{17}{4}.$$

Hence

$$2t^2 + 6t + 13 = 2(t^2 + 1) - \frac{5}{2}(t - 1) + \frac{17}{4}(2t + 2).$$

To show that  $S$  is linearly independent, we form

$$a_1(t^2 + 1) + a_2(t - 1) + a_3(2t + 2) = 0.$$

Then

$$a_1t^2 + (a_2 + 2a_3)t + (a_1 - a_2 + 2a_3) = 0.$$

Again, this can hold for all values of  $t$  only if

$$\begin{aligned} a_1 &= 0 \\ a_2 + 2a_3 &= 0 \\ a_1 - a_2 + 2a_3 &= 0. \end{aligned}$$

The only solution to this homogeneous system is  $a_1 = a_2 = a_3 = 0$ , which implies that  $S$  is linearly independent. Thus  $S$  is a basis for  $P_2$ .

The set of vectors  $\{t^n, t^{n-1}, \dots, t, 1\}$  forms a basis for the vector space  $P_n$  called the **natural**, or **standard basis**, for  $P_n$ . It has already been shown in Example 5 of Section 6.3 that this set of vectors spans  $P_n$ . Linear independence is left as an exercise (Exercise T.15).

**EXAMPLE 4**

Find a basis for the subspace  $V$  of  $P_2$ , consisting of all vectors of the form  $at^2 + bt + c$ , where  $c = a - b$ .

**Solution** Every vector in  $V$  is of the form

$$at^2 + bt + a - b$$

which can be written as

$$a(t^2 + 1) + b(t - 1).$$

so the vectors  $t^2 + 1$  and  $t - 1$  span  $V$ . Moreover, these vectors are linearly independent because neither one is a multiple of the other. This conclusion could also be reached (with more work) by writing the equation

$$a_1(t^2 + 1) + a_2(t - 1) = 0$$

or

$$t^2 a_1 + t a_2 + (a_1 - a_2) = 0.$$

Since this equation is to hold for all values of  $t$ , we must have  $a_1 = 0$  and  $a_2 = 0$ . ■

A vector space  $V$  is called **finite-dimensional** if there is a finite subset of  $V$  that is a basis for  $V$ . If there is no such finite subset of  $V$ , then  $V$  is called **infinite-dimensional**.

Almost all the vector spaces considered in this book are finite-dimensional. However, we point out that there are many infinite-dimensional vector spaces that are extremely important in mathematics and physics; their study lies beyond the scope of this book. The vector space  $P$ , consisting of all polynomials, and the vector space  $C(-\infty, \infty)$  defined in Example 7 of Section 6.2 are not finite-dimensional.

We now establish some results about finite-dimensional vector spaces that will tell about the number of vectors in a basis, compare two different bases, and give properties of bases. First, we observe that if  $\{v_1, v_2, \dots, v_k\}$  is a basis for a vector space  $V$ , then  $\{c v_1, v_2, \dots, v_k\}$  is also a basis when  $c \neq 0$  (Exercise T.9). Thus a basis for a nonzero vector space is never unique.

### THEOREM 6.5

If  $S = \{v_1, v_2, \dots, v_n\}$  is a basis for a vector space  $V$ , then every vector in  $V$  can be written in one and only one way as a linear combination of the vectors in  $S$ .

**Proof** First, every vector  $v$  in  $V$  can be written as a linear combination of the vectors in  $S$  because  $S$  spans  $V$ . Now let

$$v = c_1 v_1 + c_2 v_2 + \cdots + c_n v_n \quad (1)$$

and

$$v = d_1 v_1 + d_2 v_2 + \cdots + d_n v_n. \quad (2)$$

Subtracting (2) from (1), we obtain

$$0 = (c_1 - d_1)v_1 + (c_2 - d_2)v_2 + \cdots + (c_n - d_n)v_n.$$

Since  $S$  is linearly independent, it follows that  $c_i - d_i = 0$ ,  $1 \leq i \leq n$ , so  $c_i = d_i$ ,  $1 \leq i \leq n$ . Hence there is only one way to express  $v$  as a linear combination of the vectors in  $S$ . ■

We can also show (Exercise T.11) that if  $S = \{v_1, v_2, \dots, v_n\}$  is a set of nonzero vectors in a vector space  $V$  such that every vector in  $V$  can be written in one and only one way as a linear combination of the vectors in  $S$ , then  $S$  is a basis for  $V$ .

**THEOREM 6.6**

Let  $S = \{v_1, v_2, \dots, v_n\}$  be a set of nonzero vectors in a vector space  $V$  and let  $W = \text{span } S$ . Then some subset of  $S$  is a basis for  $W$ .

**Proof** **Case I.** If  $S$  is linearly independent, then since  $S$  already spans  $W$ , we conclude that  $S$  is a basis for  $W$ .

**Case II.** If  $S$  is linearly dependent, then

$$c_1 v_1 + c_2 v_2 + \dots + c_n v_n = 0,$$

where  $c_1, c_2, \dots, c_n$  are not all zero. Thus, some  $v_j$  is a linear combination of the preceding vectors in  $S$  (Theorem 6.4). We now delete  $v_j$  from  $S$ , getting a subset  $S_1$  of  $S$ . Then, by the observation made just before Example 1 in Section 6.3, we conclude that  $S_1 = \{v_1, v_2, \dots, v_{j-1}, v_{j+1}, \dots, v_n\}$  also spans  $W$ .

If  $S_1$  is linearly independent, then  $S_1$  is a basis. If  $S_1$  is linearly dependent, delete a vector of  $S_1$  that is a linear combination of the preceding vectors in  $S_1$  and get a new set  $S_2$  which spans  $W$ . Continuing, since  $S$  is a finite set, we will eventually find a subset  $T$  of  $S$  that is linearly independent and spans  $W$ . The set  $T$  is a basis for  $W$ .

**Alternative Constructive Proof When  $V$  Is  $R^m$ ,  $n \geq m$ .** We take the vectors in  $S$  as  $m \times 1$  matrices and form Equation (3) above. This equation leads to a homogeneous system in the  $n$  unknowns  $c_1, c_2, \dots, c_n$ ; the columns of the  $m \times n$  coefficient matrix  $A$  are  $v_1, v_2, \dots, v_n$ . We now transform  $A$  to a matrix  $B$  in reduced row echelon form, having  $r$  nonzero rows,  $1 \leq r \leq m$ . Without loss of generality, we may assume that the  $r$  leading 1's in the  $r$  nonzero rows of  $B$  occur in the first  $r$  columns. Thus we have

$$B = \begin{bmatrix} 1 & 0 & 0 & \dots & 0 & b_{1r+1} & \dots & b_{1n} \\ 0 & 1 & 0 & \dots & 0 & b_{2r+1} & \dots & b_{2n} \\ 0 & 0 & 1 & \dots & 0 & b_{3r+1} & \dots & b_{3n} \\ \vdots & \vdots & \vdots & \ddots & \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & 0 & \dots & 1 & b_{rr+1} & \dots & b_{rn} \\ 0 & 0 & 0 & \dots & 0 & 0 & \dots & 0 \\ \vdots & \vdots & \vdots & \dots & \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & 0 & \dots & 0 & 0 & \dots & 0 \end{bmatrix}$$

Solving for the unknowns corresponding to the leading 1's, we find that  $c_1, c_2, \dots, c_r$  can be solved for in terms of the other unknowns  $c_{r+1}, c_{r+2}, \dots, c_n$ . Thus

$$\begin{aligned} c_1 &= -b_{1r+1}c_{r+1} - b_{1r+2}c_{r+2} - \dots - b_{1n}c_n, \\ c_2 &= -b_{2r+1}c_{r+1} - b_{2r+2}c_{r+2} - \dots - b_{2n}c_n, \\ &\vdots \\ c_r &= -b_{rr+1}c_{r+1} - b_{rr+2}c_{r+2} - \dots - b_{rn}c_n. \end{aligned}$$

where  $c_{r+1}, c_{r+2}, \dots, c_n$  can be assigned arbitrary real values. Letting

$$c_{r+1} = 1, \quad c_{r+2} = 0, \dots, \quad c_n = 0$$

in Equation (4) and using these values in Equation (3), we have

$$-b_{1r+1}v_1 - b_{2r+1}v_2 - \dots - b_{rr+1}v_r + v_{r+1} = 0,$$

which implies that  $v_{r+1}$  is a linear combination of  $v_1, v_2, \dots, v_r$ . By the observation made just before Example 14 in Section 6.3, the set of vectors obtained from  $S$  by deleting  $v_{r+1}$  spans  $W$ . Similarly, letting

$$c_{r+1} = 0, \quad c_{r+2} = 1, \quad c_{r+3} = 0, \dots, \quad c_n = 0,$$

we find that  $v_{r+2}$  is a linear combination of  $v_1, v_2, \dots, v_r$  and the set of vectors obtained from  $S$  by deleting  $v_{r+1}$  and  $v_{r+2}$  spans  $W$ . Continuing in this manner,  $v_{r+3}, v_{r+4}, \dots, v_n$  are linear combinations of  $v_1, v_2, \dots, v_r$ , so it follows that  $\{v_1, v_2, \dots, v_r\}$  spans  $W$ .

We next show that  $\{v_1, v_2, \dots, v_r\}$  is linearly independent. Consider the matrix  $B_D$  obtained by deleting from  $B$  all columns not containing a leading 1. In this case,  $B_D$  consists of the first  $r$  columns of  $B$ . Thus,

$$B_D = \begin{bmatrix} 1 & 0 & 0 & \dots & 0 \\ 0 & 1 & 0 & \dots & 0 \\ 0 & 0 & 1 & & \\ & & & \ddots & \vdots \\ 0 & 0 & & & 1 \\ 0 & 0 & & & 0 \\ \vdots & \vdots & & & \vdots \\ 0 & 0 & & & 0 \end{bmatrix}$$

Let  $A_D$  be the matrix obtained from  $A$  by deleting the columns corresponding to the columns that were deleted in  $B$  to obtain  $B_D$ . In this case, the columns of  $A_D$  are  $v_1, v_2, \dots, v_r$ , the first  $r$  columns of  $A$ . Since  $A$  and  $B$  are row equivalent, so are  $A_D$  and  $B_D$ . Then the homogeneous systems

$$A_D \mathbf{x} = \mathbf{0} \quad \text{and} \quad B_D \mathbf{x} = \mathbf{0}$$

are equivalent. Recall now that the homogeneous system  $B_D \mathbf{x} = \mathbf{0}$  can be written equivalently as

$$x_1 \mathbf{w}_1 + x_2 \mathbf{w}_2 + \dots + x_r \mathbf{w}_r = \mathbf{0}, \quad (5)$$

where

$$\mathbf{x} = \begin{bmatrix} x_1 \\ x_2 \\ \vdots \\ x_r \end{bmatrix}$$

and  $\mathbf{w}_1, \mathbf{w}_2, \dots, \mathbf{w}_r$  are the columns of  $B_D$ . Since the columns of  $B_D$  form a linearly independent set of vectors in  $R^m$ , Equation (5) has only the trivial solution. Hence,  $A_D \mathbf{x} = \mathbf{0}$  also has only the trivial solution. Thus the columns of  $A_D$  are linearly independent. That is,  $\{v_1, v_2, \dots, v_r\}$  is linearly independent. ■

The first proof of Theorem 6.6 leads to a simple procedure for finding a subset  $T$  of a set  $S$  so that  $T$  is a basis for  $\text{span } S$ .

Let  $S = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  be a set of nonzero vectors in a vector space  $V$ . The procedure for finding a subset of  $S$  that is a basis for  $W = \text{span } S$  follows.

**Step 1.** Form Equation (3),

$$c_1\mathbf{v}_1 + c_2\mathbf{v}_2 + \cdots + c_n\mathbf{v}_n = \mathbf{0},$$

which we solve for  $c_1, c_2, \dots, c_n$ . If these are all zero, then  $S$  is linearly independent and is then a basis for  $W$ .

**Step 2.** If  $c_1, c_2, \dots, c_n$  are not all zero, then  $S$  is linearly dependent. One of the vectors in  $S$  — say,  $\mathbf{v}_j$  — is a linear combination of the preceding vectors in  $S$ . Delete  $\mathbf{v}_j$  from  $S$ , getting the subset  $S_1$ , which also spans  $W$ .

**Step 3.** Repeat Step 1, using  $S_1$  instead of  $S$ . By repeatedly deleting vectors of  $S$  we obtain a subset  $T$  of  $S$  that spans  $W$  and is linearly independent. Thus  $T$  is a basis for  $W$ .

This procedure can be rather tedious, since *every time* we delete a vector from  $S$ , we must solve a linear system. In Section 6.6 we shall present a much more efficient procedure for finding a basis for  $W = \text{span } S$ , but this basis is *not* guaranteed to be a subset of  $S$ . In many cases this is not a cause for concern, since one basis for  $W = \text{span } S$  is as good as any other basis. However, there are cases when the vectors in  $S$  have some special properties and we want the basis for  $W = \text{span } S$  to have the same properties, so we want the basis to be a subset of  $S$ . If  $V = R^m$ , the alternative proof of Theorem 6.6 yields a very efficient procedure (see Example 5 below) for finding a basis for  $W = \text{span } S$  consisting of vectors from  $S$ .

Let  $V = R^m$  and let  $S = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  be a set of nonzero vectors in  $V$ . The procedure for finding a subset of  $S$  that is a basis for  $W = \text{span } S$  follows.

**Step 1.** Form Equation (3),

$$c_1\mathbf{v}_1 + c_2\mathbf{v}_2 + \cdots + c_n\mathbf{v}_n = \mathbf{0}.$$

**Step 2.** Construct the augmented matrix associated with the homogeneous system of Equation (3), and transform it to reduced row echelon form.

**Step 3.** The vectors corresponding to the columns containing the leading 1's form a basis for  $W = \text{span } S$ .

Recall that in the alternative proof of Theorem 6.6 we assumed without loss of generality that the  $r$  leading 1's in the  $r$  nonzero rows of  $B$  occur in the first  $r$  columns. Thus, if  $S = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_6\}$  and the leading 1's occur in columns 1, 3, and 4, then  $\{\mathbf{v}_1, \mathbf{v}_3, \mathbf{v}_4\}$  is a basis for  $\text{span } S$ .

**Remark** In Step 2 of the procedure above, it is sufficient to transform the augmented matrix to row echelon form (see Section 1.5).

### EXAMPLE 5

Let  $S = \{v_1, v_2, v_3, v_4, v_5\}$  be a set of vectors in  $R^4$ , where

$$v_1 = (1, 2, -2, 1), \quad v_2 = (-3, 0, -4, 3),$$

$$v_3 = (2, 1, 1, -1), \quad v_4 = (-3, 3, -9, 6), \quad \text{and} \quad v_5 = (9, 3, 7, -6).$$

Find a subset of  $S$  that is a basis for  $W = \text{span } S$ .

**Solution**

**Step 1.** Form Equation (3),

$$c_1(1, 2, -2, 1) + c_2(-3, 0, -4, 3) + c_3(2, 1, 1, -1) + c_4(-3, 3, -9, 6) + c_5(9, 3, 7, -6) = (0, 0, 0, 0).$$

**Step 2.** Equating corresponding components, we obtain the homogeneous system

$$\begin{aligned} c_1 - 3c_2 + 2c_3 - 3c_4 + 9c_5 &= 0 \\ 2c_1 + c_3 + 3c_4 + 3c_5 &= 0 \\ -2c_1 - 4c_2 + c_3 - 9c_4 + 7c_5 &= 0 \\ c_1 + 3c_2 - c_3 + 6c_4 - 6c_5 &= 0. \end{aligned}$$

The reduced row echelon form of the associated augmented matrix is (verify)

$$\left[ \begin{array}{cccc|ccc} 1 & 0 & \frac{1}{2} & \frac{1}{2} & -\frac{3}{2} & \frac{3}{2} & 0 \\ 0 & 1 & -\frac{1}{2} & \frac{1}{2} & -\frac{3}{2} & \frac{3}{2} & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 \end{array} \right]$$

**Step 3.** The leading 1's appear in columns 1 and 2, so  $\{v_1, v_2\}$  is a basis for  $W = \text{span } S$ . ■

### Remark

In the alternative proof of Theorem 6.6 when  $V = R^n$ , the order of the vectors in the original spanning set  $S$  determines which basis for  $W$  is obtained. If, for example, we consider Example 5, where  $S = \{w_1, w_2, w_3, w_4, w_5\}$  with  $w_1 = v_4, w_2 = v_3, w_3 = v_2, w_4 = v_1$ , and  $w_5 = v_5$ , then the reduced row echelon form of the augmented matrix is (verify)

$$\left[ \begin{array}{cccc|ccc} 1 & 0 & \frac{1}{3} & \frac{1}{3} & -\frac{1}{3} & \frac{1}{3} & 0 \\ 0 & 1 & -1 & 1 & 4 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 \end{array} \right]$$

It now follows that  $\{w_1, w_2\} = \{v_4, v_3\}$  is a basis for  $W = \text{span } S$ .

We shall soon establish a main result (Corollary 6.1) of this section, which will tell us about the number of vectors in two different bases. First, observe that if  $\{v_1, v_2, \dots, v_n\}$  is a basis for a vector space  $V$ , then  $\{cv_1, v_2, \dots, v_n\}$  is also a basis if  $c \neq 0$ . Thus a vector space always has infinitely many bases.

### THEOREM 6.7

If  $S = \{v_1, v_2, \dots, v_n\}$  is a basis for a vector space  $V$  and  $T = \{w_1, w_2, \dots, w_r\}$  is a linearly independent set of vectors in  $V$ , then  $r \leq n$ .

**Proof**

Let  $T_1 = \{w_1, v_1, \dots, v_n\}$ . Since  $S$  spans  $V$ , so does  $T_1$ . Since  $w_1$  is a linear combination of the vectors in  $S$ , we find that  $T_1$  is linearly dependent by Theorem 6.4, some  $v_j$  is a linear combination of the preceding vectors in  $T_1$ . Delete that particular vector  $v_j$ .

Let  $S_1 = \{w_1, v_1, \dots, v_{j-1}, v_{j+1}, \dots, v_n\}$ . Note that  $S_1$  spans  $V$  and some vector in  $T_2$  is a linear combination of the preceding vectors. Since  $T$  is linearly independent, this vector cannot be  $w_1$ , so it is  $v_k$ . Repeat this process over and over. If the  $v$  vectors are all eliminated, we can run out of  $w$  vectors, then the resulting set of  $w$  vectors, a subset of  $T$ , is linearly dependent, which implies that  $T$  is also linearly dependent. We have reached a contradiction, we conclude that the number  $r$  of  $w$  vectors must be no greater than the number  $n$  of  $v$  vectors. That is,  $r \leq n$ .

**COROLLARY 6.1**

If  $S = \{v_1, v_2, \dots, v_n\}$  and  $T = \{w_1, w_2, \dots, w_m\}$  are bases for  $V$ , then  $n = m$ .

**Proof**

Since  $T$  is a linearly independent set of vectors, Theorem 6.7 implies  $m \leq n$ . Similarly,  $n \leq m$  because  $S$  is linearly independent. Hence  $n = m$ .

Thus, although a vector space has many bases, we have just shown that for a particular vector space  $V$ , all bases have the same number of vectors. We can then make the following definition.

**Dimension**