Solutions Manual to Walter Rudin's *Principles of Mathematical Analysis* 

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MATH

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300 R8 1976 Supp.

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## Chapter 1

## The Real and Complex Number Systems

**Exercise 1.1** If r is rational  $(r \neq 0)$  and x is irrational, prove that r + x and rx are irrational.

Solution. If r and r + x were both rational, then x = r + x - r would also be rational. Similarly if rx were rational, then  $x = \frac{rx}{r}$  would also be rational.

Exercise 1.2 Prove that there is no rational number whose square is 12.

First Solution. Since  $\sqrt{12} = 2\sqrt{3}$ , we can invoke the previous problem and prove that  $\sqrt{3}$  is irrational. If m and n are integers having no common factor and such that  $m^2 = 3n^2$ , then m is divisible by 3 (since if  $m^2$  is divisible by 3, so is m). Let m = 3k. Then  $m^2 = 9k^2$ , and we have  $3k^2 = n^2$ . It then follows that n is also divisible by 3 contradicting the assumption that m and n have no common factor.

Second Solution. Suppose  $m^2 = 12n^2$ , where m and n have no common factor. It follows that m must be even, and therefore n must be odd. Let m = 2r. Then we have  $r^2 = 3n^2$ , so that r is also odd. Let r = 2s + 1 and n = 2t + 1. Then

$$4s^{2} + 4s + 1 = 3(4t^{2} + 4t + 1) = 12t^{2} + 12t + 3,$$

so that

$$4(s^2 + s - 3t^2 - 3t) = 2.$$

But this is absurd, since 2 cannot be a multiple of 4.

Exercise 1.3 Prove Proposition 1.15, i.e., prove the following statements:

(a) If  $x \neq 0$  and xy = xz, then y = z.

(b) If  $x \neq 0$  and xy = x, then y = 1.

(c) If  $x \neq 0$  and xy = 1, then y = 1/x.

(d) If  $x \neq 0$ , then 1/(1/x) = x.

Solution. (a) Suppose  $x \neq 0$  and xy = xz. By Axiom (M5) there exists an element 1/x such that 1/x = 1. By (M3) and (M4) we have (1/x)(xy) = ((1/x)x)y = 1y = y, and similarly (1/x)(xz) = z. Hence y = z.

(b) Apply (a) with z = 1.

(c) Apply (a) with z = 1/x.

(d) Apply (a) with x replaced by 1/x, y = 1/(1/x), and z = x.

**Exercise 1.4** Let *E* be a nonempty subset of an ordered set; suppose  $\alpha$  is a lower bound of *E*, and  $\beta$  is an upper bound of *E*. Prove that  $\alpha \leq \beta$ .

Solution. Since E is nonempty, there exists  $x \in E$ . Then by definition of lower and upper bounds we have  $\alpha \leq x \leq \beta$ , and hence by property *ii* in the definition of an ordering, we have  $\alpha < \beta$  unless  $\alpha = x = \beta$ .

**Exercise 1.5** Let A be a nonempty set of real numbers which is bounded below. Let -A be the set of all numbers -x, where  $x \in A$ . Prove that

$$\inf A = -\sup(-A).$$

Solution: We need to prove that  $-\sup(-A)$  is the greatest lower bound of A. For brevity, let  $\alpha = -\sup(-A)$ . We need to show that  $\alpha \leq x$  for all  $x \in A$  and  $\alpha \geq \beta$  if  $\beta$  is any lower bound of A.

Suppose  $x \in A$ . Then,  $-x \in -A$ , and, hence  $-x \leq \sup(-A)$ . It follows that  $x \geq -\sup(-A)$ , i.e.,  $\alpha \leq x$ . Thus  $\alpha$  is a lower bound of A.

Now let  $\beta$  be any lower bound of A. This means  $\beta \leq x$  for all x in A. Hence  $-x \leq -\beta$  for all  $x \in A$ , which says  $y \leq -\beta$  for all  $y \in -A$ . This means  $-\beta$  is an upper bound of -A. Hence  $-\beta \geq \sup(-A)$  by definition of sup, i.e.,  $\beta \leq -\sup(-A)$ , and so  $-\sup(-A)$  is the greatest lower bound of A.

**Exercise 1.6** Fix b > 1.

(a) If m, n, p, q are integers, n > 0, q > 0, and r = m/n = p/q, prove that

$$(b^m)^{1/n} = (b^p)^{1/q}.$$

Hence it makes sense to define  $b^r = (b^m)^{1/n}$ .

(b) Prove that  $b^{r+s} = b^r b^s$  if r and s are rational.

$$b^r = \sup B(r)$$

when r is rational. Hence it makes sense to define

$$b^x = \sup B(x)$$

for every real x.

(d) Prove that  $b^{x+y} = b^x b^y$  for all real x and y.

Solution. (a) Let k = mq = np. Since there is only one positive real number c such that  $c^{nq} = b^k$  (Theorem 1.21), if we prove that both  $(b^m)^{1/n}$  and  $(b^p)^{1/q}$  have this property, it will follow that they are equal. The proof is then a routine computation:  $((b^m)^{1/n})^{nq} = (b^m)^q = b^{mq} = b^k$ , and similarly for  $(b^p)^{1/q}$ .

(b) Let  $r = \frac{m}{n}$  and  $s = \frac{v}{w}$ . Then  $r + s = \frac{mw + vn}{nw}$ , and

$$b^{r+s} = (b^{mw+vn})^{1/nw} = ((b^{mw}b^{vn}))^{1/nw},$$

by the laws of exponents for integer exponents. By the corollary to Theorem 1.21 we then have

$$b^{r+s} = (b^{mw})^{1/nw} (b^{nv})^{1/nw} = b^r b^s,$$

where the last equality follows from part (a).

(c) It will simplify things later on if we amend the definition of B(x) slightly, by defining it as  $\{b^t : t \text{ rational}, t < x\}$ . It is then slightly more difficult to prove that  $b^r = \sup B(r)$  if r is rational, but the technique of Problem 7 comes to our rescue. Here is how: It is obvious that  $b^r$  is an upper bound of B(r). We need to show that it is the least upper bound. The inequality  $b^{1/n} < t$  if n > (b-1)/(t-1) is proved just as in Problem 7 below. It follows that if  $0 < x < b^r$ , there exists an integer n with  $b^{1/n} < b^r/x$ , i.e.,  $x < b^{r-1/n} \in B(r)$ . Hence x is not an upper bound of B(r), and so  $b^r$  is the least upper bound.

(d) By definition  $b^{x+y} = \sup B(x+y)$ , where B(x+y) is the set of all numbers  $b^t$  with t rational and t < x+y. Now any rational number t that is less than x + y can be written as r + s, where r and s are rational, r < x, and s < y. To do this, let r be any rational number satisfying t - y < r < x, and let s = t - r. Conversely any pair of rational numbers r, s with r < x, s < ygives a rational sum t = r + s < x + y. Hence B(x+y) can be described as the set of all numbers  $b^r b^s$  with r < x, s < y, and r and s rational, i.e., B(x+y) is the set of all products uv, where  $u \in B(x)$  and  $v \in B(y)$ .

Since any such product is less than  $\sup B(x) \sup B(y)$ , we see that the number  $M = \sup B(x) \sup B(y)$  is an upper bound for B(x + y). On the other hand, suppose  $0 < c < \sup B(x) \sup B(y)$ . Then  $c/(\sup B(x)) < \sup B(y)$ . Let  $m = (1/2)(c/(\sup B(x)) + \sup B(y))$ . Then  $c/\sup B(x) < m < \sup B(y)$ , and there exist  $u \in B(x)$ ,  $v \in B(y)$  such that c/m < u and m < v. Hence we have

 $c = (c/m)m < uv \in B(x+y)$ , and so c is not an upper bound for B(x+y). It follows that  $\sup B(x) \sup B(y)$  is the least upper bound of B(x+y), i.e.,

$$b^{x+y} = b^x b^y,$$

as required.

**Exercise 1.7** Fix b > 1, y > 0, and prove that there is a unique real x such that  $b^x = y$ , by completing the following outline. (This x is called the *logarithm* of y to the base b.)

(a) For any positive integer  $n, b^n - 1 \ge n(b-1)$ .

(b) Hence  $b - 1 \ge n(b^{1/n} - 1)$ .

(c) If t > 1 and n > (b-1)/(t-1), then  $b^{1/n} < t$ .

(d) If w is such that  $b^w < y$ , then  $b^{w+(1/n)} < y$  for sufficiently large n; to see this apply part (c) with  $t = y \cdot b^{-w}$ .

(e) If  $b^w > y$ , then  $b^{w-(1/n)} > y$  for sufficiently large n.

(f) Let A be the set of all w such that  $b^w < y$ , and show that  $x = \sup A$  satisfies  $b^w = y$ .

(g) Prove that this x is unique.

Solution. (a) The inequality  $b^n - 1 \ge n(b-1)$  is equality if n = 1. Then, by induction  $b^{n+1} - 1 = b^{n+1} - b + (b-1) = b(b^n - 1) + (b-1) \ge bn(b-1) + (b-1) = (bn+1)(b-1) \ge (n+1)(b-1)$ .

(b) Replace b by  $b^{1/n}$  in part (a).

(c) The inequality n > (b-1)/(t-1) can be rewritten as n(t-1) > (b-1), and since  $b-1 \ge n(b^{1/n}-1)$ , we have  $n(t-1) > n(b^{1/n}-1)$ , which implies  $t > b^{1/n}$ .

(d) The application of part (c) with  $t = y \cdot b^{-w} > 1$  is immediate.

(e) The application of part (c) with  $t = b^{w} \cdot (1/y)$  yields the result, as in part (d) above.

(f) There are only three possibilities for the number  $x = \sup A$ : 1)  $b^x < y$ ; 2)  $b^x > y$ ; 3)  $b^x = y$ . The first assumption, by part (d), implies that  $x + (1/n) \in A$  for large n, contradicting the assumption that x is an upper bound for A. The second, by part (e), implies that x - (1/n) is an upper bound for A if n is large, contradicting the assumption that x is the smallest upper bound. Hence the only remaining possibility is that  $b^x = y$ .

(g) Suppose  $z \neq x$ , say z > x. Then  $b^z = b^{x+(z-x)} = b^x b^{z-x} > b^x = y$ . Hence x is unique. (It is easy to see that  $b^w > 1$  if w > 0, since there is a positive rational number  $r = \frac{m}{n}$  with 0 < r < w, and  $b^r = (b^m)^{1/n}$ . Then  $b^m > 1$  since b > 1, and  $(b^m)^{1/n} > 1$  since  $1^n = 1 < b^m$ .)

Solution. By Part (a) of Proposition 1.18, either i or -i must be positive. Hence  $-1 = i^2 = (-i)^2$  must be positive. But then  $1 = (-1)^2$ , must also be positive, and this contradicts Part (a) of Proposition 1.18, since 1 and -1 cannot both be positive.

**Exercise 1.9** Suppose z = a + bi, w = c + di. Define z < w if a < c, and also if a = c but b < d. Prove that this turns the set of all complex numbers into an ordered set. (This type of order relation is called a *dictionary order*, or *lexicographic order*, for obvious reasons.) Does this ordered set have the least upper bound property?

Solution. We need to show that either z < w or z = w, or w < z. Now since the real numbers are ordered, we have a < c or a = c, or c < a. In the first case z < w; in the third case w < z. Now consider the second case. We must have b < d or b = d or d < b. In the first of these cases z < w, in the third case w < z, and in the second case z = w.

We also need to show that if z < w and w < u, then z < u. Let u = e + fi. Since z < w, we have either a < c or a = c and b < d. Since w < u we have either c < f or c = f and d < g. Hence there are four possible cases:

Case 1: a < c and c < f. Then a < f and so z < u, as required.

Case 2: a < c and c = f and d < g. Again a < f, and z < u.

Case 3: a = c and b < d and c < f. Once again a < f and so z < u.

Case 4: a = c and b < d and c = f, and d < g. Then a = f and b < g, and so z < u.

**Exercise 1.10** Suppose z = a + bi, w = u + iv, and

$$a = \left(\frac{|w|+u}{2}\right)^{1/2}, \quad b = \left(\frac{|w|-u}{2}\right)^{1/2}.$$

Prove that  $z^2 = w$  if  $v \ge 0$  and that  $(\bar{z})^2 = w$  if  $v \le 0$ . Conclude that every complex number (with one exception) has two complex square roots.

Solution.

$$z^2 = (a + bi)^2 = (a^2 - b^2) + 2abi.$$

Now

$$a^{2} - b^{2} = \frac{|w| + u}{2} - \frac{|w| - u}{2} = u,$$

and, since  $(xy)^{1/2} = x^{1/2}y^{1/2}$ ,

$$2ab = 2\left(\frac{|w|+u}{2}\frac{|w|-u}{2}\right)^{1/2} = 2\left(\frac{|w|^2-u^2}{4}\right)^{1/2}.$$

Hence

$$2ab = 2\left(\left(\frac{v}{2}\right)^2\right)^{1/2}$$

Now  $(x^2)^{1/2} = x$  if  $x \ge 0$  and  $(x^2)^{1/2} = -x$  if  $x \le 0$ . We conclude that 2ab = v if  $v \ge 0$  and 2ab = -v if  $v \le 0$ . Hence  $z^2 = w$  if  $v \ge 0$ . Replacing b by -b, we find that  $(\bar{z})^2 = w$  if  $v \le 0$ .

Hence every non-zero complex number has (at least) two complex square roots.

**Exercise 1.11** If z is a complex number, prove that there exists an  $r \ge 0$  and a complex number w with |w| = 1 such that z = rw. Are w and r always uniquely determined by z?

Solution. If z = 0, we take r = 0, w = 1. (In this case w is not unique.) Otherwise we take r = |z| and w = z/|z|, and these choices are unique, since if z = rw, we must have r = r|w| = |rw| = |z|, z/r.

**Exercise 1.12** If  $z_1, \ldots, z_n$  are complex, prove that

$$|z_1 + z_2 + \dots + z_n| \le |z_1| + |z_2| + \dots + |z_n|.$$

Solution. The case n = 2 is Part (e) of Theorem 1.33. We can then apply this result and induction on n to get

$$\begin{aligned} |z_1 + z_2 + \cdots + z_n| &= |(z_1 + z_2 + \cdots + z_{n-1}) + z_n| \\ &\leq |z_1 + z_2 + \cdots + z_{n-1}| + |z_n| \\ &\leq |z_1| + |z_2| + \cdots + |z_{n-1}| + |z_n|. \end{aligned}$$

**Exercise 1.13** If x, y are complex, prove that

$$||x| - |y|| \le |x - y|.$$

Solution. Since x = x - y + y, the triangle inequality gives

$$|x| \le |x-y| + |y|,$$

so that  $|x| - |y| \le |x - y|$ . Similarly  $|y| - |x| \le |x - y|$ . Since |x| - |y| is a real number we have either ||x| - |y|| = |x| - |y| or ||x| - |y|| = |y| - |x|. In either case, we have shown that  $||x| - |y|| \le |x - y|$ .

**Exercise 1.14** If z is a complex number such that |z| = 1, that is, such that  $z\overline{z} = 1$ , compute

$$|1+z|^2 + |1-z|^2$$
.

Solution.  $|1+z|^2 = (1+z)(1+\bar{z}) = 1 + \bar{z} + z + z\bar{z} = 2 + z + \bar{z}$ . Similarly  $|1-z|^2 = (1-z)(1-\bar{z}) = 1 - z - \bar{z} + z\bar{z} = 2 - z - \bar{z}$ . Hence

$$|1 + z|^2 + |1 - z|^2 = 4.$$

**Exercise 1.15** Under what conditions does equality hold in the Schwarz inequality?

Solution. The proof of Theorem 1.35 shows that equality can hold if B = 0 or if  $Ba_j - Cb_j = 0$  for all j, i.e., the numbers  $a_j$  are proportional to the numbers  $b_j$ . (In terms of linear algebra this means the vectors  $\mathbf{a} = (a_1, a_2, \ldots, a_n)$  and  $\mathbf{b} = (b_1, b_2, \ldots, b_n)$  in complex *n*-dimensional space are linearly dependent. Conversely, if these vectors are linearly independent, then strict inequality holds.)

**Exercise 1.16** Suppose  $k \ge 3$ ,  $\mathbf{x}, \mathbf{y} \in \mathbb{R}^k$ ,  $|\mathbf{x} - \mathbf{y}| = d > 0$ , and r > 0. Prove: (a) If 2r > d, there are infinitely many  $\mathbf{z} \in \mathbb{R}^k$  such that

$$|\mathbf{z} - \mathbf{x}| = |\mathbf{z} - \mathbf{y}| = r.$$

(b) If 2r = d, there is exactly one such z.

(c) If 2r < d, there is no such z.

How must these statements be modified if k is 2 or 1?

Solution. (a) Let  $\mathbf{w}$  be any vector satisfying the following two equations:

$$\mathbf{w} \cdot (\mathbf{x} - \mathbf{y}) = 0,$$
$$|\mathbf{w}|^2 = r^2 - \frac{d^2}{4}.$$

From linear algebra it is known that all but one of the components of a solution **w** of the first equation can be arbitrary. The remaining component is then uniquely determined. Also, if **w** is any non-zero solution of the first equation, there is a unique positive number t such that t**w** satisfies both equations. (For example, if  $x_1 \neq y_1$ , the first equation is satisfied whenever

$$z_1 = \frac{z_2(x_2 - y_2) + \dots + z_k(x_k - y_k)}{y_1 - x_1}.$$

If  $(z_1, z_2, \ldots, z_k)$  satisfies this equation, so does  $(tz_1, tz_2, \ldots, tz_k)$  for any real number t.) Since at least two of these components can vary independently, we can find a solution with these components having any prescribed ratio. This

ratio does not change when we multiply by the positive number t to obtain a solution of both equations. Since there are infinitely many ratios, there are infinitely many distinct solutions. For each such solution  $\mathbf{w}$  the vector  $\mathbf{z} = \frac{1}{2}\mathbf{x} + \frac{1}{2}\mathbf{y} + \mathbf{w}$  is a solution of the required equation. For

$$|\mathbf{z} - \mathbf{x}|^2 = \left| \frac{\mathbf{y} - \mathbf{x}}{2} + \mathbf{w} \right|^2$$
  
=  $\left| \frac{\mathbf{y} - \mathbf{x}}{2} \right|^2 + 2\mathbf{w} \cdot \frac{\mathbf{x} - \mathbf{y}}{2} + |\mathbf{w}|^2$   
=  $\frac{d^2}{4} + 0 + r^2 - \frac{d^2}{4}$   
=  $r^2$ ,

and a similar relation holds for  $|\mathbf{z} - \mathbf{y}|^2$ .

(b) The proof of the triangle inequality shows that equality can hold in this inequality only if it holds in the Schwarz inequality, i.e., one of the two vectors is a scalar multiple of the other. Further examination of the proof shows that the scalar must be nonnegative. Now the conditions of this part of the problem show that

$$|\mathbf{x} - \mathbf{y}| = d = |\mathbf{x} - \mathbf{z}| + |\mathbf{z} - \mathbf{y}|.$$

Hence it follows that there is a nonnegative scalar t such that

$$\mathbf{x} - \mathbf{z} = t(\mathbf{z} - \mathbf{y}).$$

However, the hypothesis also shows immediately that t = 1, and so z is uniquely determined as

$$\mathbf{z} = \frac{\mathbf{x} + \mathbf{y}}{2}.$$

(c) If z were to satisfy this condition, the triangle inequality would be violated, i.e., we would have

$$|\mathbf{x} - \mathbf{y}| = d > 2r = |\mathbf{x} - \mathbf{z}| + |\mathbf{z} - \mathbf{y}|.$$

When k = 2, there are precisely 2 solutions in case (a). When k = 1, there are no solutions in case (a). The conclusions in cases (b) and (c) do not require modification.

Exercise 1.17 Prove that

$$|\mathbf{x} + \mathbf{y}|^2 + |\mathbf{x} - \mathbf{y}|^2 = 2|\mathbf{x}|^2 + 2|\mathbf{y}|^2$$

if  $\mathbf{x} \in \mathbb{R}^k$  and  $\mathbf{y} \in \mathbb{R}^k$ . Interpret this geometrically as a statement about parallelograms.

Solution. The proof is a routine computation, using the relation

$$|\mathbf{x} \pm \mathbf{y}|^2 = (\mathbf{x} \pm \mathbf{y}) \cdot (\mathbf{x} \pm \mathbf{y}) = |\mathbf{x}|^2 \pm 2\mathbf{x} \cdot \mathbf{y} + |\mathbf{y}|^2.$$

**Exercise 1.18** If  $k \ge 2$  and  $\mathbf{x} \in \mathbb{R}^k$ , prove that there exists  $\mathbf{y} \in \mathbb{R}^k$  such that  $\mathbf{y} \neq \mathbf{0}$  but  $\mathbf{x} \cdot \mathbf{y} = 0$ . Is this also true if k = 1?

Solution. If x has any components equal to 0, then y can be taken to have the corresponding components equal to 1 and all others equal to 0. If all the components of x are nonzero, y can be taken as  $(-x_2, x_1, 0, \ldots, 0)$ . This is, of course, not true when k = 1, since the product of two nonzero real numbers is nonzero.

**Exercise 1.19** Suppose  $\mathbf{a} \in \mathbb{R}^k$ ,  $\mathbf{b} \in \mathbb{R}^k$ . Find  $\mathbf{c} \in \mathbb{R}^k$  and r > 0 such that

$$|\mathbf{x} - \mathbf{a}| = 2|\mathbf{x} - \mathbf{b}|$$

if and only if  $|\mathbf{x} - \mathbf{c}| = r$ . (Solution:  $3\mathbf{c} = 4\mathbf{b} - \mathbf{a}$ ,  $3r = 2|\mathbf{b} - \mathbf{a}|$ .)

Solution. Since the solution is given to us, all we have to do is verify it, i.e., we need to show that the equation

$$|\mathbf{x} - \mathbf{a}| = 2|\mathbf{x} - \mathbf{b}|$$

is equivalent to  $|\mathbf{x} - \mathbf{c}| = r$ , which says

$$\left|\mathbf{x} - \frac{4}{3}\mathbf{b} + \frac{1}{3}\mathbf{a}\right| = \frac{2}{3}|\mathbf{b} - \mathbf{a}|.$$

If we square both sides of both equations, we an equivalent pair of equations, the first of which reduces to

$$3|\mathbf{x}|^2 + 2\mathbf{a} \cdot \mathbf{x} - 8\mathbf{b} \cdot \mathbf{x} - |\mathbf{a}|^2 + 4|\mathbf{b}|^2 = 0,$$

and the second of which reduces to this equation divided by 3. Hence these equations are indeed equivalent.

**Exercise 1.20** With reference to the Appendix, suppose that property (III) were omitted from the definition of a cut. Keep the same definitions of order and addition. Show that the resulting ordered set has the least-upper-bound property, that addition satisfies axioms (A1) to (A4) (with a slightly different zero element!) but that (A5) fails.

Solution. We are now defining a cut to be a proper subset of the rational numbers that contains, along with each of its elements, all smaller rational

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numbers. Order is defined by containment. Now given a set A of cuts having an upper bound  $\beta$ , let  $\alpha$  be the union of all the cuts in A. Obviously  $\alpha$  is properly contained in  $\beta$ , and so is a proper subset of the rationals. It also obviously satisfies the property that if  $p \in \alpha$  and q < p, then  $q \in \alpha$ ; hence  $\alpha$  is a cut. It is further obvious that  $\alpha$  contains each elements of A, and so is an upper bound for A. It remains to prove that there is no smaller upper bound.

To that end, suppose,  $\gamma < \alpha$ , then  $\alpha$  contains an element x not in  $\gamma$ . By definition of  $\alpha$ , x must belong to some cut  $\delta$  in A. But then  $\gamma < \delta$ , and so  $\gamma$  is not an upper bound for A. Thus  $\alpha$  is the least upper bound.

The proof given in the text goes over without any change to show that (A1), (A2), and (A3) hold. As for (A4) let  $O = \{r : r \leq 0\}$ . We claim  $O + \alpha = \alpha$ . The proof is easy. First, we obviously have  $O + \alpha \subseteq \alpha$ . For  $r + s \leq s$  if  $r \leq 0$ . Hence  $r + s \in \alpha$  if  $s \in \alpha$ . Conversely  $\alpha \subseteq O + \alpha$ , since each s in  $\alpha$  can be written as 0 + s.

Unfortunately, if  $O' = \{r : r < 0\}$ , there is no element  $\alpha$  such that  $\alpha + O' = O$ . For  $\alpha + O'$  has no largest element. If  $x = r + s \in \alpha + O'$ , where  $r \in \alpha$  and  $s \in O'$ , there is an element  $t \in O'$  with t > s, and so  $r + t \in \alpha + O'$  and r + t > s. Since O has a largest element (namely 0), these two sets cannot be equal.