

ON INTERSECTIONS OF FINITELY GENERATED SUBGROUPS OF FREE GROUPS

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Let U and V be non-trivial finitely generated subgroups of ranks u and v respectively in a free group F and let $N = U \cap V$, of rank n . In [N] Hanna Neumann, improving on a result of Howson [H], proved the inequality

$$n - 1 \leq 2(u - 1)(v - 1),$$

and asked if the factor 2 can be dropped. If one translates her approach (which is a slight modification of Howson's) to graph-theoretic terms, it easily shows that the answer is often "yes"—in fact, for most U the answer is "yes" for all V .

According to Gersten [G], the above problem has come to be known as the "Hanna Neumann Conjecture." Using ideas of immersions of graphs originating from Stallings ([St]), Gersten solved the problem in some special cases (his approach is close to the one of Howson and Hanna Neumann, but seems weaker in practice). I am grateful to Alan Reid for bringing Gersten's paper to my attention, and also to Peter Neumann for leading me to other literature. In particular, [I] gives the same graph-theoretical translation of Hanna Neumann's proof¹, and [Ni] and [Se] use similar methods to prove Burns' bound [B]:

$$n - 1 \leq 2(u - 1)(v - 1) - \min(u - 1, v - 1),$$

which is the best general bound known so far. We give a version of their proof in the final section.

Hanna Neumann's question can be strengthened to ask about the sum of $\text{rank } N - 1$ as N runs through a set of representatives of conjugacy classes of non-trivial intersections $N = y^{-1} U y \cap z^{-1} V z$, and as we shall describe, the bounds that we can give, including Burns' bound, remain the same.

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¹ as does D. E. Cohen, who also calls Hanna Neumann's question a conjecture, in his 1989 text, dedicated in part to Hanna Neumann's memory, "Combinatorial Group Theory: a topological approach" (London Math. Soc. Student Texts 14, 1989, Prop. 8.35, p. 294, and p. ii). I am grateful to O. Kegel for this reference.

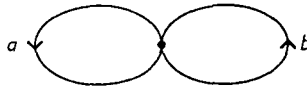
1. HANNA NEUMANN'S PROOF

We shall write for short

$$\chi_0(H) = \max(0, \text{rank } H - 1)$$

if H is a finitely generated free group.

We can assume with no loss of generality that F is of rank 2, generated by elements a and b , say, and that $N = U \cap V$ is non-trivial. Let G denote the labelled figure eight graph



whose fundamental group is F . For any subgroup H of F , let $G(H)$ denote the covering of G with fundamental group H . The vertex set of $G(H)$ can be identified with the set $H \setminus F$ of right H -cosets, in which case the a -labelled edges are the pairs (Hg, Hga) and the b -labelled edges are the pairs (Hg, Hgb) . If H is non-trivial, let $G_0(H)$ denote the *spine* of $G(H)$, that is, the minimal deformation retract of $G(H)$. (It is obtained by cutting off all maximal branches of $G(H)$, where a *branch* is a contractible subgraph of $G(H)$ which meets the rest of $G(H)$ only at one end of one edge: alternatively, it is the union of the supports of all reduced circuits of $G(H)$, a *reduced circuit* being a closed path that is not homotopic to a shorter closed path.) After choosing a base point, $G_0(H)$ has fundamental group a conjugate of H . If H has finite rank then $G_0(H)$ is finite and, moreover,

$$(1) \quad 2\chi_0(H) = \sum_{p \in \text{vert } G_0(H)} \partial(p) - 2,$$

where $\partial(p)$ is the valency (number of incidences of edges) at vertex p . Indeed, as an equation for minus twice the euler characteristic of a finite graph, this equation is well known and is easily proved by induction.

The graph $G(N)$ is a mutual covering of the graphs $G(U)$ and $G(V)$. The projection maps $G(N) \rightarrow G(U)$ and $G(N) \rightarrow G(V)$ map the spine $G_0(N)$ into the spines $G_0(U)$ and $G_0(V)$ respectively. Let $\pi_U: G_0(N) \rightarrow G_0(U)$ and $\pi_V: G_0(N) \rightarrow G_0(V)$ denote these maps. Note that the map of vertex sets $\text{vert } G(N) \rightarrow \text{vert } G(U) \times \text{vert } G(V)$ is injective, so the same holds for $\pi = (\pi_U, \pi_V): \text{vert } G_0(N) \rightarrow \text{vert } G_0(U) \times \text{vert } G_0(V)$. For any $p \in \text{vert } G_0(N)$, we clearly have

$$(2) \quad \begin{aligned} 0 \leq \partial(p) - 2 &\leq \min(\partial(\pi_U(p)) - 2, \partial(\pi_V(p)) - 2) \\ &\leq (\partial(\pi_U(p)) - 2)(\partial(\pi_V(p)) - 2). \end{aligned}$$

Thus, by (1) and (2) and the injectivity of π ,

$$\begin{aligned} 2\chi_0(N) &= \sum_{p \in \text{vert } G_0(N)} \partial(p) - 2 \\ &\leq \sum_{p \in \text{vert } G_0(N)} (\partial(\pi_U(p)) - 2)(\partial(\pi_V(p)) - 2) \\ &\leq \sum_{(q,r) \in \text{vert } G_0(U) \times \text{vert } G_0(V)} (\partial(q) - 2)(\partial(r) - 2) \\ &= \left(\sum_{q \in \text{vert } G_0(U)} (\partial(q) - 2) \right) \left(\sum_{r \in \text{vert } G_0(V)} (\partial(r) - 2) \right) \\ &= 2\chi_0(U)2\chi_0(V), \end{aligned}$$

which is the desired inequality. □

2. IMPROVING THE PROOF, I.

Instead of just asking about $\text{rank}(U \cap V)$, one can ask about the ranks of all intersections $y^{-1}Uy \cap z^{-1}Vz$. Any such intersection is conjugate to one of the form $U \cap x^{-1}Vx$. Moreover, if y is in the double coset VxU , then $U \cap x^{-1}Vx$ and $U \cap y^{-1}Vy$ are conjugate. Thus we need only let x run through a set S of double coset representatives for $V \backslash F / U$. Let T be the subset of $x \in S$ with $U \cap x^{-1}Vx$ nontrivial. Denote

$$\chi_F(U, V) = \sum_{x \in T} \chi_0(U \cap x^{-1}Vx).$$

The size of T and $\chi_F(U, V)$ depend only on the conjugacy classes of U and V . Hanna Neumann's inequality can be strengthened as follows (see also [I2]).

PROPOSITION 2.1. *T is finite and $\chi_F(U, V) \leq 2\chi_0(U)\chi_0(V)$.*

PROOF. We can again assume F has rank 2 (since embedding F into a larger free group at worst increases the size of T and $\chi_F(U, V)$). So let $G(U)$ and $G(V)$ be as before. Let $G(U) \times G(V)$ denote the graph with vertex set $\text{vert } G(U) \times \text{vert } G(V)$ and with an a -labelled edge from (p, q) to (p', q') if and only if $G(U)$ and $G(V)$ have a -labelled edges from p to p' and q to q' respectively; similarly for b -labelled edges. We claim that the components of $G(U) \times G(V)$ are just the graphs $G(N)$ as N runs through the groups $U \cap x^{-1}Vx$, $x \in S$. Given this claim, if we denote by $G_0(U, V)$ the disjoint union of the $G_0(N)$ as N ranges over the intersections $U \cap x^{-1}Vx$ with $x \in T$ then $G_0(U, V)$ is the union of the spines of the non-contractible components of

$G(U) \times G(V)$, so it is a subgraph of $G_0(U) \times G_0(V)$. In particular, it is finite, so T is finite. Also, by equation (1),

$$(3) \quad 2\chi_F(U, V) = \sum_{p \in \text{vert } G_0(U, V)} (\partial(p) - 2),$$

and applying the computation of section 1 to this proves the Proposition.

To see the claim, recall that we can identify the vertices of $G(U)$ and $G(V)$ with cosets of U and V in F . A component of $G(U) \times G(V)$ containing the vertex (Uy, Vz) contains the vertex $(U, Vzzy^{-1})$, so every component contains a vertex of the form (U, Vx) . The fundamental group of this component consists of all $z \in F$ with $Uz = U$ and $Vxz = Vx$; that is, $z \in U \cap x^{-1}Vx$. Moreover, another vertex (U, Vy) will be in the same component if and only if there is a $z \in F$ with $Uz = U$ and $Vxz = Vy$. That is, $Vxz = Vy$ for some $z \in U$, in other words, y is in the double coset VxU . \square

Note that although T is finite, easy examples (e.g., $U = V = \langle a^n \rangle$) show that its size cannot be bounded in terms of $\chi_0(U)$ and $\chi_0(V)$. But probably the number of conjugacy classes of non-trivial subgroups $U \cap x^{-1}Vx$ can be so bounded. Only those of rank 1 are at issue, since those of rank ≥ 2 number at most $\chi_F(U, V)$.

The above Proposition suggests the following:

QUESTION 2.2 (STRENGTHENED H. NEUMANN QUESTION).

$$\text{Is } \chi_F(U, V) \leq \chi_0(U)\chi_0(V)?$$

We shall say “ $HN\{F; U, V\}$ holds” if this question has positive answer for $\{U, V\}$. It is easy to see that it holds if either U or V has finite index in F . In fact, in this case

$$\chi_F(U, V) = \chi_0(U)\chi_0(V)/\chi_0(F).$$

This is implied by the stronger result:

PROPOSITION 2.3. *If U_1 has finite index d in U then $\chi_F(U_1, V) = d\chi_F(U, V)$.*

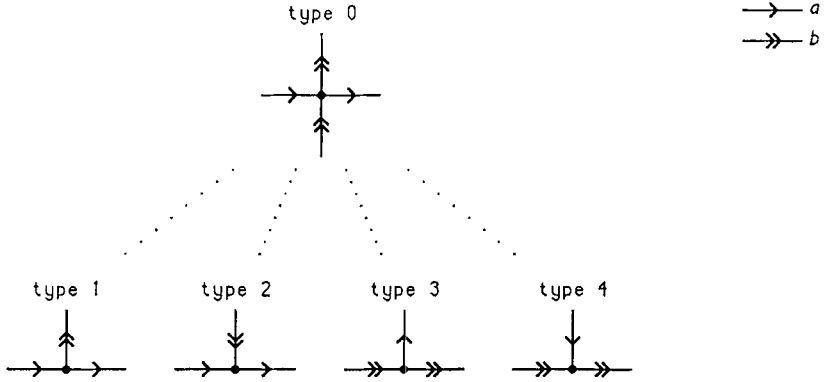
PROOF. $G_0(U_1, V)$ is a d -fold covering of $G_0(U, V)$. \square

In particular, if U_1 and V_1 have finite index in U and V respectively, then $HN\{F; U, V\}$ holds if and only if $HN\{F; U_1, V_1\}$ holds.

3. IMPROVING THE PROOF, II.

The above proof only used the valencies of vertices of the graphs; by taking account of the form of the vertices we can do better.

Only nodes (vertices of valency $\partial(p) \geq 3$) contribute in formulae (1) and (3). There are five forms that a node can take, and they can be listed and named as in the following poset.



For any non-trivial subgroup H of finite rank m in F , denote the number of type i nodes of $G_0(H)$ by $k_i(H)$ for $i = 0, \dots, 4$, so $k(H) = \sum_{i=1}^4 k_i(H)$ is the total number of valency 3 nodes. Then equation (1) can be re-written

$$(4) \quad 2\chi_0(H) = 2k_0(H) + k(H).$$

On the other hand, a vertex p of $G_0(U, V)$ is a node of type i only if the image vertices $\pi_U(p) \in \text{vert } G_0(U)$ and $\pi_V(p) \in \text{vert } G_0(V)$ are each nodes of type i or type 0. Thus, if we use equation (3) to compute $2\chi_F(U, V)$, then $p \in \text{vert } G_0(U, V)$ contributes at most 2, 1, 1, or 0 according as $\pi_U(p)$ and $\pi_V(p)$ are both nodes of type 0, one of type 0 and the other of type $i \neq 0$, both of the same type $i \neq 0$, or none of the above. Thus

$$(5) \quad 2\chi_F(U, V) \leq 2k_0(U)k_0(V) + k_0(U)k(V) + k_0(V)k(U) + \sum_{i=1}^4 k_i(U)k_i(V).$$

By (4) with $H = U$, (4) with $H = V$, and (5),

$$\begin{aligned}
 4\chi_0(U)\chi_0(V) - 4\chi_F(U, V) &\geq (2k_0(U) + k(U))(2k_0(V) + k(V)) \\
 &\quad - 2\left(2k_0(U)k_0(V) + k_0(U)k(V) + k_0(V)k(U) + \sum_{i=1}^4 k_i(U)k_i(V)\right).
 \end{aligned}$$

This simplifies to

$$\begin{aligned}
 (6) \quad 4[\chi_0(U)\chi_0(V) - \chi_F(U, V)] &\geq k(U)k(V) - 2\sum_{i=1}^4 k_i(U)k_i(V) \\
 &= \sum_{i=1}^4 (k(U) - 2k_i(U))k_i(V),
 \end{aligned}$$

Suppose this is negative. Then for some i

$$(7) \quad k(U) - 2k_i(U) < 0.$$

By symmetry, for some j

$$(8) \quad k(V) - 2k_j(V) < 0.$$

We claim $j = i$. To see this note that the set of 4-tuples $(k_1(V), \dots, k_4(V))$ of non-negative reals satisfying (8) for some j has four components, one for each value of j . The set of 4-tuples making (6) negative is convex, hence contained in just one of the components determined by (8), but it contains the 4-tuple $(0, \dots, k_i(V) = k(V), \dots, 0)$ which is in the i -th one. We have proven:

PROPOSITION 3.1. *A counter-example to $HN\{F; U, V\}$ (Question 2.2) would have to have over half the valency 3 nodes of $G_0(U)$ and over half the valency three nodes of $G_0(V)$ all of type i for some $i = 1, 2, 3,$ or 4 . \square*

In particular, if at most half the valency 3 nodes of $G_0(U)$ are of each type then $HN\{F; U, V\}$ holds for any V .

For “random” U the probability that over half the valency 3 nodes of $G_0(U)$ have a given type i is at most $1/16$ and is asymptotic to

$$\frac{1}{\sqrt{2\pi k(U)}} \left(\frac{3}{4}\right)^{k(U)/2}$$

as $k(U) \rightarrow \infty$. (Note that for U of fixed rank u , $k(U) = 2u - 2$ with probability 1, in the sense that among all such U with $G_0(U)$ of bounded size, the proportion with $k(U) = 2u - 2$ approaches 1 as the bound on size increases.)

4. REMARKS ON RANK 2

Suppose U has rank 2, that is, $\chi_0(U) = 1$. Then the only possibilities are

- (i) $k_0(U) = 1, k_1(U) = \dots = k_4(U) = 0,$
- (ii) $k_0(U) = 0,$ exactly two of $k_1(U), \dots, k_4(U)$ equal 1 and the other two equal 0,
- (iii) $k_0(U) = 0,$ some $k_i(U)$ equals 2 and the others equal 0.

By Proposition 3.1, only in the last case could U be part of a counterexample to Question 2.2. (For example, the examples of [G; Prop. 6.12] are of type (ii).) All “small” examples of type (iii) can be changed to one of the first two types by applying an automorphism of the free group F . However, we have more than just automorphisms of F at our disposal, as we now describe.

Write $U \prec F$ if U is a finitely generated subgroup of the free group F and $HN\{F; U, V\}$ holds for all finitely generated $V < F$. The following proposition implies that the set of U of rank ≤ 2 satisfying $U \prec F$ is a sub-semilattice of the semilattice of all finite rank subgroups of F .

PROPOSITION 4.1. (i) If U_1 has rank 2 and $U_2 \prec U_1 \prec F$ then $U_2 \prec F$.
 (ii) If U_1 and U_2 have rank 2 then $U_1 \cap U_2$ has rank ≤ 2 ; if, moreover, $U_1 \prec F$ and $U_2 \prec F$ then $U_1 \cap U_2 \prec F$.

LEMMA 4.2. Suppose U_1 and U_2 are subgroups of F of ranks u_1 and u_2 respectively. Suppose $U_1 \prec F$ and for each subgroup V of U_1 , $HN\{G; U_2, V\}$ holds for some G containing U_1 and U_2 . Then

$$\chi_F(U_1 \cap U_2, V) \leq \chi_0(U_1)\chi_0(U_2)\chi_0(V).$$

PROOF OF PROPOSITION. The first statement of part (ii) of the Proposition is Burns' bound quoted in the Introduction and otherwise the Proposition is immediate from the Lemma. □

PROOF OF LEMMA. Let S be a set of double coset representatives for $V \backslash F / U_1$. For each x in S , choose a set of double coset representatives for $(U_1 \cap x^{-1}Vx) \backslash U_1 / (U_2 \cap U_1)$ and call it S_x , say. Since $y^{-1}U_1y = U_1$ for each $y \in S_x$, and as S_x is part of a set of double coset representatives for $(U_1 \cap x^{-1}Vx) \backslash G / U_2$,

$$(9) \quad \chi_G(U_2, U_1 \cap x^{-1}Vx) \geq \sum_{y \in S_x} \chi_0(U_2 \cap U_1 \cap y^{-1}x^{-1}Vxy).$$

Further, any double coset $Vz(U_2 \cap U_1)$ inside VxU_1 can be written in the form $Vxy(U_2 \cap U_1)$ with $y \in U_1$, and therefore also with $y \in S_x$. Thus each double coset in $V \backslash F / (U_2 \cap U_1)$ has at least one representative in $S' = \{xy \mid x \in S, y \in S_x\}$. Now, using (9) and $HN\{G; U_2, U_1 \cap x^{-1}Vx\}$ and $HN\{F; U_1, V\}$, we get

$$\begin{aligned} \chi_F(U_1 \cap U_2, V) &\leq \sum_{xy \in S'} \chi_0(U_2 \cap U_1 \cap y^{-1}x^{-1}Vxy) \\ &= \sum_{x \in S} \sum_{y \in S_x} \chi_0(U_2 \cap U_1 \cap y^{-1}x^{-1}Vxy) \\ &\leq \sum_{x \in S} \chi_G(U_2, U_1 \cap x^{-1}Vx) \\ &\leq \sum_{x \in S} \chi_0(U_2)\chi_0(U_1 \cap x^{-1}Vx) \\ &= \chi_0(U_2)\chi_F(U_1, V) \\ &\leq \chi_0(U_2)\chi_0(U_1)\chi_0(V). \end{aligned} \quad \square$$

Using automorphisms of F and Proposition 4.1 one can easily show that if U has rank 2 and $G_0(U)$ is not too large (certainly up to seven edges, but one can probably

go quite a bit further) then $HN\{F; U, V\}$ holds for any V . However, there exist U of rank 2 for which $G_0(U)$ is of type (iii) whatever basis of F one chooses and U is contained in no larger rank 2 proper subgroup of F , so these techniques do not suffice to resolve the question.

The strengthened form of Burns' bound (Proposition 5.1 below) implies that $HN\{F; U, V\}$ holds if both U and V have rank 2. In particular, $U \cap x^{-1}Vx$ can have rank at most 2, and has rank 2 for at most one double coset VxU . This has some trivial but amusing consequences, whose proofs we leave to the reader.

PROPOSITION 4.3. (i) *If U has rank 2 and $V \subseteq U$ then $U \cap x^{-1}Vx$ has rank ≥ 2 only if $x \in U$. In particular, $HN\{F; U, V\}$ holds.*

(ii) *If U and V are finitely generated subgroups of a rank 2 subgroup G of the free group F then $\chi_G(U, V) = \chi_F(U, V)$. □*

5. IMPROVING THE PROOF, III.

We discuss a further strengthening of the approach of section 3.

Let G be one of the graphs $G_0(U)$, $G_0(V)$ or $G_0(U, V)$ under discussion. Rather than assigning to a node q of G one of the five types discussed in section 3, we can consider the "type" of q to be the isomorphism class of the pair (\tilde{G}, \tilde{q}) consisting of the universal cover \tilde{G} together with a lift of the point q . Thus a "type" is an infinite contractible labelled graph with no vertices of valency 1 and with a chosen node as "base-point" (with additional properties that are not relevant to us here). Partially order such types by embeddability in each other and call two types "comparable" if they have a common lower bound in the poset of types.

Observe that the type of a node p of $G_0(U, V)$ embeds in the types of $q = \pi_U(p)$ and $r = \pi_V(p)$, so q and r are comparable. The same derivation as for equation (6) of section 3 gives

$$(10) \quad 4[\chi_0(U)\chi_0(V) - \chi_F(U, V)] \geq \sum_{q,r} c(q, r),$$

where the sum is over the valency 3 nodes q of $G_0(U)$ and r of $G_0(V)$ and $c(q, r) = -1$ or 1 according as q and r are comparable or not.

We describe why Burns' inequality holds in the strengthened form

PROPOSITION 5.1. $\chi_F(U, V) \leq 2\chi_0(U)\chi_0(V) - \min(\chi_0(U), \chi_0(V))$.

PROOF. We follow Servatius' proof [Se], which proceeds essentially as follows:

(a) Form a bipartite graph Ω with vertex set the union of the sets of valency 3 nodes of $G_0(U)$ and $G_0(V)$ and with an edge connecting a node q of $G_0(U)$ to a node

r of $G_0(V)$ if and only if q and r are comparable. An easy calculation shows that if this graph is disconnected then (10) implies the result.

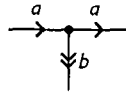
(b) By embedding F in itself using the embedding with graph



all our graphs become covers of this graph, so there are no vertices of valency 4.

(c) If no vertex has valency 4 then the bipartite graph Ω of (a) is disconnected.

Nickolas [Ni] gives a simpler proof of (c), which we paraphrase. Consider a minimal counterexample to (c) (least number of vertices of $G_0(U) \cup G_0(V)$). We construct a smaller one to get a contradiction. All the nodes of $G_0(U) \cup G_0(V)$ must have the same type in the sense of section 2. By renaming we may assume it is



If a chain of two or more b 's occurs in either $G_0(U)$ or $G_0(V)$, then replacing every chain of b 's by a single b gives a smaller counterexample to (c), so no such chain of b 's occurs. If a chain bab^{-1} occurs anywhere, then replacing each such chain by a single b gives a smaller counterexample (the graphs are still reduced since they had no chain bb), so no such chain occurs. But now a chain ba must occur somewhere, and replacing each occurrence of ba by b gives a smaller counterexample. \square

Following Nickolas, we can use the same argument to get the minor result:

PROPOSITION 5.2. *Suppose $\text{rank } U \geq 2$. Then $\chi_F(U, U) \leq 2\chi_0(U)^2 - 2\chi_0(U) + 1$, and if $V \subseteq U$ then $\chi_F(U, V) \leq 2\chi_0(U)\chi_0(V) - \chi_0(V)$.*

PROOF. As above, we may assume $G_0(U)$ has only valency 3 nodes. The Servatius-Nickolas argument applied to $G_0(U)$ alone shows that these nodes can be partitioned into two non-empty mutually incomparable subsets S_1 and S_2 . Equation (10) implies the first inequality, and also the second on noting that the type of any node of $G_0(V)$ is bounded above by the type of some node of $G_0(U)$, so it is incomparable with all nodes of S_1 or all nodes of S_2 .

It is worth mentioning that (10) is actually an equality if $G_0(U)$ and $G_0(V)$ have no valency 4 nodes. More generally, if valency 4 nodes occur then

$$4[\chi_0(U)\chi_0(V) - \chi_F(U, V)] = \sum_{q,r} c(q, r),$$

where the sum is now over all nodes q of $G_0(U)$ and r of $G_0(V)$ and $c(q, r)$ is defined by the last column of the following table whose first column is $\{\partial(q), \partial(r)\}$ and whose second is the valency of the greatest lower bound type of the types of q and r (or 0 if no such type exists).

$\{3, 3\}$	0	1
$\{3, 3\}$	3	-1
$\{3, 4\}$	0	2
$\{3, 4\}$	3	0
$\{4, 4\}$	0	4
$\{4, 4\}$	3	2
$\{4, 4\}$	4	0

It is not clear how useful this is. For instance, one might hope to answer Question 2.2 affirmatively for rank $U = 2$ by showing that if $G_0(U)$ has two valency 3 nodes then each valency 3 node of $G_0(V)$ is comparable with at most one of them, but simple examples show that this can fail.

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