

František Neuman

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Archivum Mathematicum, Vol. 25 (1989), No. 4, 185--194

Persistent URL: <http://dml.cz/dmlcz/107356>

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ON ITERATION GROUPS OF CERTAIN FUNCTIONS

FRANTIŠEK NEUMAN

(Received December 27, 1987)

In honour of the 60th birthday anniversary of Prof. M. Ráb

Abstract. This paper contains a characterization of iteration groups formed, up to conjugacy, by certain functions of the form

$$\operatorname{Arctan} \frac{a \tan x + b}{c \tan x + d}, \quad |ad - bc| = 1,$$

under the condition that graphs of different elements of such a group do not intersect each other.

Key words. Iteration groups, Linear differential equations.

MS Classification. Primary 39 B 10, secondary 34 A 30, 34 C 20.

I. INTRODUCTION

For description of global transformations of linear differential equations, it is important to characterize all groups of those transformations that keep a given equation unchanged, see [5] and [6]. This characterization requires the following result concerning iteration groups of certain functions.

II. NOTATION, DEFINITIONS AND SOME BASIC FACTS

In accordance with O. Borůvka [2], the fundamental groups \mathcal{F}_1 is defined as the group of all functions $f: \mathbb{R} \rightarrow \mathbb{R}$ given by the formula

$$f(t) = \operatorname{Arctan} \frac{a \tan t + b}{c \tan t + d},$$

$a, b, c, d \in \mathbb{R}$, $|ad - bc| = 1$, where Arctan denotes this branch of $\arctan x + k\pi$ that makes function f continuous on \mathbb{R} . Then the elements of the fundamental

group \mathcal{F}_1 are real analytic bijections of \mathbf{R} onto \mathbf{R} , they are increasing exactly when $ad - bc = 1$. The group operation "o" is the composition of functions; for brevity the symbol o is sometimes omitted.

Consider the following groups, whose elements are some functions of the fundamental group \mathcal{F}_1 , restricted to an open interval $I \subset \mathbf{R}$.

$\mathcal{F}_2: f: (0, \infty) \rightarrow (0, \infty)$,

$$f(t) = \text{Arctan} \frac{a \tan t}{b \tan t + 1/a}, \quad a \in (0, \infty), b \in \mathbf{R}.$$

\mathcal{F}_{3m} : for each positive integer m

$f: (0, m\pi) \rightarrow (0, m\pi)$,

$$f(t) = \text{Arctan} \frac{a \tan t}{b \tan t + 1/a}, \quad a \in (0, \infty), b \in \mathbf{R}.$$

\mathcal{F}_{4m} : for each positive integer m

$f: (0, m\pi - \pi/2) \rightarrow (0, m\pi - \pi/2)$,

$f(t) = \text{Arctan} (a \tan t), a \in (0, \infty)$.

Let the topology on \mathcal{F}_1 be the relative topology on

$$\{(a, b, c, d) \in \mathbf{R}^4; |ad - bc| = 1\},$$

where \mathbf{R}^4 is considered with the usual topology.

Let \mathcal{G}_1 and \mathcal{G}_2 be two groups whose elements are (some) bijections of intervals I_1 and I_2 onto themselves, respectively. We say that the groups \mathcal{G}_1 and \mathcal{G}_2 are C^k -conjugate (with respect to φ) for some positive integer k if there is a C^k -diffeomorphism φ of interval I_1 onto interval I_2 , i.e. $\varphi(I_1) = I_2, \varphi \in C^k(I_1), d\varphi(x)/dx \neq 0$ on I_1 ,

such that

$$\mathcal{G}_2 = \varphi \circ \mathcal{G}_1 \circ \varphi^{-1} := \{\varphi \circ f \circ \varphi^{-1}; f \in \mathcal{G}_1\}.$$

If \mathcal{G}_1 is a topological group the topology on \mathcal{G}_2 is induced by the conjugacy.

Let α be an element of a group. For any integer k define the element $\alpha^{[k]}$ as follows:

$\alpha^{[0]}$ is the unit element of the group,

$\alpha^{[k]} = \alpha^{[k-1]} \circ \alpha$ for positive k ,

$\alpha^{[k]} = (\alpha^{-1})^{[-k]}$ for negative k ,

α^{-1} being the inverse to α . Element $\alpha^{[k]}$ is called the k th iterate of α .

A group is said to be partially (linearly) ordered if the set of its elements is partially (linearly) ordered and, for each its elements α, β and γ , the relation $\alpha \leq \beta$ implies both $\alpha \circ \gamma \leq \beta \circ \gamma$ and $\gamma \circ \alpha \leq \gamma \circ \beta$.

A partially ordered group is called archimedean if the following implication holds:

if $\alpha^{|n|} \leq \beta$ is satisfied for some elements α and β and for all integers n , then α is the unit element of the group.

The following theorem is due to O. Hölder [3]: *There exists an order preserving isomorphism of any linearly ordered archimedean group into a subgroup of the additive group of real numbers \mathbb{R} .*

For proof see also for example A. I. Kokorin and V. M. Kopytov [4].

A group is said to be a cyclic group if there exists an element α of it such that all elements are iterates of α . Element α of this property is called a generator of the cyclic group. If, in addition,

$$\alpha^{[m]} \neq \alpha^{[n]}$$

for generator α and different integers m and n , then the group is an infinite cyclic group.

Now, consider an open interval $I \subset \mathbb{R}$. Let $n \geq 1$ be an integer and \mathcal{G} denote a group of some C^n -diffeomorphisms of I into I . Moreover, suppose that graphs of different elements of \mathcal{G} do not intersect each other (on I).

III. THEOREM

If \mathcal{G} is C^n -conjugate to a closed subgroup of increasing elements of the group \mathcal{F}_1 , or \mathcal{F}_2 , or \mathcal{F}_{3m} , or \mathcal{F}_{4m} ,

then either \mathcal{G} is trivial,

or \mathcal{G} is an infinite cyclic group with a generator $h_c \in C^n(I)$, $dh_c(x)/dx > 0$ and $h_c(x) \neq x$ on I ,

or \mathcal{G} is C^n -conjugate to the group of all translations $\{h_c; c \in \mathbb{R}\}$,

$$h_c: \mathbb{R} \rightarrow \mathbb{R}, \quad h_c(x) = x + c.$$

Proof

Since different elements of the group \mathcal{G} do not intersect each other on I , \mathcal{G} can be linearly ordered in the following manner:

for $h_1, h_2 \in \mathcal{G}$ we write $h_1 \leq h_2$,

if either $h_1(x_0) < h_2(x_0)$ for some (then any) number $x_0 \in I$, or $h_1 = h_2$.

Moreover, \mathcal{G} is archimedean, because for $h \neq id_I$ there holds $h(x) \neq x$ on I and the sequences

$$\{h^{[i]}(x_0)\}_{i=1}^{\infty} \quad \text{and} \quad \{h^{[i]}(x_0)\}_{i=-1}^{-\infty}$$

converge to both ends of interval I for any $x_0 \in I$. Due to the Hölder Theorem there exists an order preserving isomorphism of \mathcal{G} onto a subgroup $\tilde{\mathcal{G}}$ of the additive group \mathbb{R} .

If \mathcal{G} is trivial then $\mathcal{G} = \{\text{id}_I\}$ and $\tilde{\mathcal{G}} = \{0\}$.

Let \mathcal{G} be not trivial and $\tilde{\mathcal{G}} = \{ie; i \in \mathbb{Z}, 0 \neq e \in \mathbb{R}\}$ be an infinite cyclic group generated by a nonzero number e . Denote by h_e this element of group \mathcal{G} that corresponds to the number e . Evidently $h_e \in C^n(I)$, $dh_e(x)/dx > 0$ and $h_e(x) \neq x$ on I . Moreover,

$$\mathcal{G} = \{h_e^{|i|}; i \in \mathbb{Z}\},$$

h_e being a generator of the infinite cyclic group \mathcal{G} .

From now, let \mathcal{G} be not trivial, neither it be an infinite cyclic group.

1. Consider first the case when \mathcal{G} is C^n -conjugate to a closed subgroup of the fundamental group \mathcal{F}_1 with respect to a C^n -diffeomorphism φ of \mathbb{R} onto I . Let $h \in \mathcal{G}$, $h \neq \text{id}_I$. Then

$$\varphi^{-1}h\varphi(t) = \text{Arctan} \frac{a_{11} \tan x + a_{12}}{a_{21} \tan x + a_{22}} \in \mathcal{F}_1$$

and $a_{11}a_{22} - a_{12}a_{21} = 1$ because $dh(x)/dx > 0$ on I .

Case 1a. Let

$$C^{-1} \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{pmatrix} C = \begin{pmatrix} b & 0 \\ 0 & 1/b \end{pmatrix},$$

$b \in \mathbb{R}$, for a non-singular 2 by 2 matrix $C = \begin{pmatrix} c_{11} & c_{12} \\ c_{21} & c_{22} \end{pmatrix}$. Without loss of generality, let $\det C = 1$. Denote by ψ one of the continuous functions, element of the group \mathcal{F}_1 , given by the formula

$$\psi(t) = \text{Arctan} \frac{c_{11} \tan t + c_{12}}{c_{21} \tan t + c_{22}}.$$

It can be verified that

$$\psi^{-1}\varphi^{-1}h\varphi\psi(t) = \text{Arctan} (b^2 \tan t) \in \mathcal{F}_1.$$

Since $h(x) \neq x$ on I , we have

$$\psi^{-1}\varphi^{-1}h\varphi\psi(0) = k\pi$$

for some integer $k \neq 0$.

Case 1b. Let

$$C^{-1} \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{pmatrix} C = \begin{pmatrix} \pm 1 & 1 \\ 0 & \pm 1 \end{pmatrix},$$

$\det C = 1$ and $\psi \in \mathcal{F}_1$ be defined as in case 1a. Then

$$\psi^{-1}\varphi^{-1}h\varphi\psi(t) = \text{Arctan} (\tan t \pm 1) \in \mathcal{F}_1,$$

$$\psi^{-1}\varphi^{-1}h\varphi\psi(\pi/2) = \pi/2 + k\pi$$

for some $k \in \mathbf{Z} \setminus \{0\}$, otherwise h intersects id_T .

Case 1c. Let

$$C^{-1} \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{pmatrix} C = \begin{pmatrix} \cos \omega\pi & \sin \omega\pi \\ -\sin \omega\pi & \cos \omega\pi \end{pmatrix},$$

$\omega \in \mathbf{R} \setminus \mathbf{Z}$, $\det C = 1$ and ψ be defined as above. Then

$$\psi^{-1} \varphi^{-1} h \varphi \psi(t) = t + \omega\pi \in \mathcal{F}_1.$$

Now, let h and g be two different elements of the group \mathcal{G} that do not belong to the same infinite cyclic group. Denote

$$h_1 := \varphi^{-1} h \varphi \in \mathcal{F}_1 \quad \text{and} \quad g_1 := \varphi^{-1} g \varphi \in \mathcal{F}_1.$$

Suppose first that

$$\psi_1^{-1} h_1 \psi_1(t) = \text{Arctan}(b_1^2 \tan t), \quad \text{case 1a for } h,$$

and

$$\psi_2^{-1} g_1 \psi_2(t) = \text{Arctan}(b_2^2 \tan t), \quad \text{case 1a for } g,$$

hold for suitable elements ψ_1 and ψ_2 of the fundamental group \mathcal{F}_1 . Due to the initial values of $\psi_1^{-1} h_1 \psi_1$ and $\psi_2^{-1} g_1 \psi_2$ at 0, and with respect to the fact that the relation

$$\psi(t + n\pi) = \psi(t) + n\pi,$$

holds for every increasing element ψ of \mathcal{F}_1 , there exist integers n_1 and n_2 such that either $h_1^{[n_1]}$ and $g_1^{[n_2]}$ coincide and then h and g belong to the some infinite cyclic group, or $h_1^{[n_1]}$ and $g_1^{[n_2]}$ intersect each other, the same being true for $h^{[n_1]}$ and $g^{[n_2]}$. However both cases were excluded from our considerations.

The same argument shows that neither the situation when

$$\psi_1^{-1} h_1 \psi_1(t) = \text{Arctan}(\tan t + 1), \quad \text{case 1b for } h,$$

and

$$\psi_2^{-1} g_1 \psi_2(t) = \text{Arctan}(\tan t + 1), \quad \text{case 1b for } g,$$

nor the case when

$$\psi_1^{-1} h_1 \psi_1(t) = \text{Arctan}(b^2 \tan t), \quad \text{case 1a for } h,$$

and

$$\psi_2^{-1} g_1 \psi_2(t) = \text{Arctan}(\tan t + 1), \quad \text{case 1b for } g,$$

can occur.

If one of the functions, say h , is of the form described in case 1c, i.e.

$$\psi_1^{-1} h_1 \psi_1(t) = t + \omega\pi, \quad \omega \in \mathbf{R} \setminus \mathbf{Z},$$

t

then g cannot be of the form in case 1a

$$\psi_2^{-1}g_1\psi_2(t) = \text{Arctan}(b^2 \tan t) \quad \text{for } k \neq 1,$$

or of the form of the case 1b

$$\psi_2^{-1}g_1\psi_2(t) = \text{Arctan}(\tan t + 1),$$

because then there again exist integers n_1 and n_2 such that $h^{[n_1]}$ and $g^{[n_2]}$ intersect each other.

Hence in this case 1 when the group \mathcal{G} is C^n -conjugate to a closed subgroup of the whole fundamental group \mathcal{F} , it remains to consider only the situation when

$$\psi_1^{-1}h_1\psi_1(t) = t + \omega_1\pi, \quad \omega_1 \in \mathbf{R} \setminus \mathbf{Z}$$

and either

$$\psi_2^{-1}g_1\psi_2(t) = \text{Arctan}(\tan t),$$

or

$$\psi_2^{-1}g_1\psi_2(t) = t + \omega_2\pi, \quad \omega_2 \in \mathbf{R} \setminus \mathbf{Z}.$$

In the first of these cases

$$\psi_2^{-1}g_1\psi_2(t) = t + k_1\pi \quad \text{for some } k_1 \in \mathbf{Z} \setminus \{0\}$$

due to the initial value of this function at 0. Since

$$\psi_1^{-1}g_1\psi_1(t) = (\psi_2\psi_1)^{-1} \psi_2 g_1 \psi_2^{-1} (\psi_2\psi_1)(t)$$

and $\psi_2\psi_1$ is again an increasing element of the fundamental group \mathcal{F}_1 , i.e. $\psi_2\psi_1(t + k\pi) = \psi_2\psi_1(t) + k\pi$, we have

$$\psi_1^{-1}g_1\psi_1(t) = (\psi_2\psi_1)^{-1} (\psi_2\psi_1(t) + k\pi) = t + k\pi, \quad k \in \mathbf{Z}.$$

Hence ω_1 is an irrational number, otherwise h_1 and g_1 belong to the same infinite cyclic group and the same is true for the functions h and g , that was already excluded. However, when ω_1 is irrational, then the union of graphs of functions $h_1^{[n_1]}$ and $g_1^{[n_2]}$ for all n_1 and n_2 from \mathbf{Z} is a dense set in \mathbf{R}^2 . Now we have

$$h = \psi_1\varphi(\text{id} + \omega_1\pi) \varphi^{-1}\psi_1^{-1} \quad \text{and} \quad g = \psi_1\varphi(\text{id} + k\pi) \varphi^{-1}\psi_1^{-1},$$

where $\psi_1\varphi$ is a C^n -diffeomorphism of \mathbf{R} onto I . Since the group \mathcal{G} is closed, we conclude that it is C^n -conjugate to the group of all translations

$$t \mapsto t + c, \quad \text{for all } c \in \mathbf{R}.$$

Now, let

$$\psi_1^{-1}h_1\psi_1(t) = t + \omega_1\pi, \quad \omega_1 \in \mathbf{R} \setminus \mathbf{Z}, \quad \text{case 1c for } h,$$

and

$$\psi_2^{-1}g_1\psi_2(t) = t + \omega_2\pi, \quad \omega_2 \in \mathbf{R} \setminus \mathbf{Z}, \quad \text{case 1c for } g.$$

Then

$$\begin{aligned} h_1^{[n_1]}(t) &= \psi_1(\psi_1^{-1}(t) + n_1\omega_1\pi), \\ g_1^{[n_2]}(t) &= \psi_2(\psi_2^{-1}(t) + n_2\omega_2\pi) \end{aligned}$$

and the condition $h_1^{[n_1]}(t) \neq g_1^{[n_2]}(t)$ on \mathbf{R} implies

$$\psi_3(t + n_1\omega_1\pi) \neq \psi_3(t) + n_2\omega_2\pi$$

for $\psi_3 := \psi_2^{-1}\psi_1 \in \mathcal{F}$, otherwise $h_1^{[n_1]}$ coincides with $g_1^{[n_2]}$ that shows that h_1 and g_1 belong to the same infinite cyclic group, the case already excluded from our considerations. Since

$$\psi_3(t + \pi) = \psi_3(t) + \pi,$$

we have

$$\psi_3(t) = t + p(t),$$

where p is a π -periodic function: $p(t + \pi) = p(t) \in C^3(\mathbf{R})$. Hence

$$t + n_1\omega_1\pi + p(t + n_1\omega_1\pi) \neq t + p(t) + n_2\omega_2\pi,$$

or

$$p(t + n_1\omega_1\pi) - p(t) \neq (n_2\omega_2 - n_1\omega_1),$$

for all $t \in \mathbf{R}$ and all $n_1, n_2 \in \mathbf{Z}$, $n_1^2 + n_2^2 \neq 0$.

If $n_2\omega_2 - n_1\omega_1 = 0$ for some n_1 and n_2 then either

$$p(t + n_1\omega_1\pi) > p(t) \quad \text{on } \mathbf{R},$$

or

$$p(t + n_1\omega_1\pi) < p(t) \quad \text{on } \mathbf{R}.$$

Neither of these cases is possible for any continuous periodic function p .

Hence $n_2\omega_2 - n_1\omega_1 \neq 0$ for all integers n_1 and n_2 , $n_1^2 + n_2^2 \neq 0$, that means that ω_1 and ω_2 are rationally independent. Then for each number $t_0 \in \mathbf{R}$ the set

$$\{g_1^{[n_2]} \circ h_1^{[n_1]}(t_0); n_1, n_2 \in \mathbf{Z}\}$$

is dense in \mathbf{R} , because for different couples (n_1, n_2) and (n_1^*, n_2^*) the values, $g_1^{[n_2]} \circ h_1^{[n_1]}(t_0)$ and $g_1^{[n_2^*]} \circ h_1^{[n_1^*]}(t_0)$ are different, there are infinite number of couples (n_1, n_2) satisfying $|n_1\omega_1 + n_2\omega_2| < \varepsilon$ for any given $\varepsilon > 0$ and, moreover, ψ_1 and ψ_2 are C^n -diffeomorphisms of \mathbf{R} onto \mathbf{R} for any $n \in \mathbf{N}$ satisfying

$$\psi_1(t) = t + p_1(t), \quad \psi_2(t) = t + p_2(t),$$

with π -periodic functions p_1 and p_2 .

Since φ is a C^n -diffeomorphism of \mathbf{R} onto I , and the group \mathcal{G} is archimedean and closed, the union of graphs of all its elements is the whole square I^2 . In such a situation we may apply Theorem 1 of G. Blanton and J. A. Baker [1] which

states: "Each group whose elements are C^n -diffeomorphisms of an interval I onto I and such that to each point $(x_0, y_0) \in I \times I$ there exists just one element h of the group satisfying $h(x_0) = y_0$, is formed by functions

$$\chi(\chi^{-1}(x) + c),$$

where χ is a C^n -diffeomorphism of \mathbb{R} onto I and c ranges through the real numbers". In our case we may write

$$G = \chi \circ h_c \circ \chi^{-1},$$

where $h_c: \mathbb{R} \rightarrow \mathbb{Z}$, $h_c(t) = t + c$, $c \in \mathbb{R}$.

2. Now, suppose that

$$\varphi^{-1}h\varphi(t) = \text{Arctan} \frac{a \tan t}{b \tan t + 1/a}, \quad t \in \mathbb{R}_+,$$

$a \in \mathbb{R}_+$, $b \in \mathbb{R}$, is an element of the two-parametric group \mathcal{F}_2 of increasing functions. Since $\lim_{t \rightarrow 0+} \varphi^{-1}h\varphi(t) = 0$, we have

$$\varphi^{-1}h\varphi(\pi) = \pi,$$

hence $\varphi^{-1}h\varphi = \text{id}_{\mathbb{R}_+}$ that is excluded from our considerations.

3m. If

$$\varphi^{-1}h\varphi(t) = \text{Arctan} \frac{a \tan t}{b \tan t + 1/a}, \quad \varphi^{-1}h\varphi; (0, m\pi) \rightarrow (0, m\pi),$$

$$a \in \mathbb{R}_+, b \in \mathbb{R}, \quad \text{then} \quad \lim_{t \rightarrow 0+} \varphi^{-1}h\varphi(t) = 0 \quad \text{and} \quad \lim_{t \rightarrow \pi-} \varphi^{-1}h\varphi(t) = \pi,$$

because h as well as $\varphi^{-1}h\varphi$ are increasing functions. Hence $m = 1$, otherwise $h = \text{id}_I$ that contradicts to our assumptions. However, if $a \neq 1$ and $b \neq 0$ then the equation

$$\arctan \frac{a \tan t}{b \tan t + 1/a} = t,$$

i.e.

$$a \tan t = (b \tan t + 1/a) \tan t$$

is satisfied for $t_1 \in (0, \pi)$ where

$$\tan t_1 = \frac{a^2 - 1}{ab}.$$

This case is excluded from our considerations. Even the case $b = 0$ impossible since then

$$\varphi^{-1}h\varphi(t) = \arctan(a^2 \tan t)$$

intersects $\text{id}_{(0, \pi)}$ at $\pi/2$.

If $a = 1$ then

$$\begin{aligned} \varphi^{-1}h\varphi(t) &= \arctan \frac{\tan t}{b \tan t + 1} \\ &= \text{arccot} \frac{1 + b \tan t}{\tan t} \\ &= \text{arccot}(\cot t + b), \quad t \in (0, \pi), \end{aligned}$$

hence h is conjugate to $x \mapsto x + b$, $x \in \mathbf{R}$ for a fixed $b \in \mathbf{R}$ by means of the function $\varphi \circ \text{arccot} : \mathbf{R} \rightarrow I$.

Now, let h and g be two different elements of the stationary group \mathcal{G} that do not belong to the same infinite cyclic group. Then

$$\psi^{-1}h\psi(x) = x + b_1 \quad \text{and} \quad \psi^{-1}g\psi(x) = x + b_2$$

on \mathbf{R} where $\psi = \varphi \circ \text{arccot} \in C^n(\mathbf{R})$, and b_1/b_2 is irrational. Since the union of the graphs of functions

$$x \mapsto x + n_1 b_1 + n_2 b_2 \quad \text{for all } n_1, n_2 \in \mathbf{Z}$$

is dense in \mathbf{R}^2 , and the group \mathcal{G} is closed, it is C^n -conjugate to the group of all translations:

$$\{x \mapsto x + c, c \in \mathbf{R}\}.$$

4m. Finally, if

$$\varphi^{-1}h\varphi(t) = \text{Arctan}(a \tan t), \quad a > 0,$$

$$\varphi^{-1}h\varphi: (0, m\pi - \pi/2) \rightarrow (0, m\pi - \pi/2),$$

$$\text{then } \lim_{t \rightarrow 0^+} \varphi^{-1}h\varphi(t) = 0 \quad \text{and} \quad \lim_{t \rightarrow \pi/2^-} \varphi^{-1}h\varphi(t) = \pi/2,$$

and hence $m = 1$. In this case h is conjugate to the function $x \rightarrow x + \ln a$, $x \in \mathbf{R}$ by means of the C^n -diffeomorphism $\varphi \circ \arctan \circ \exp : \mathbf{R} \rightarrow I$.

Now, analogously to case 3m, if h and g are two different elements of \mathcal{G} that do not belong to the same infinite cyclic group, they are C^n -conjugate to $x + b_1$ and $x + b_2$, respectively, with respect to the some C^n -diffeomorphism, the quotient b_1/b_2 being irrational. Hence the group \mathcal{G} is C^n -conjugate to the group

$$\{x \mapsto x + c; c \in \mathbf{R}\},$$

that finishes the proof of the theorem.

IV. REMARK

The present paper gives technical details of the proof of Theorem 6.3.5 in the monograph [6], where main steps of the proof were outlined.

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František Neuman
Mathematical Institute of
the Czechoslovak Academy of Sciences
branch Brno
Mendlovo nám. 1
603 00 Brno
Czechoslovakia