

SOME REDUCTION FORMULAS FOR THE
POINCARÉ SERIES OF MODULES.

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Introduction.

In this paper we shall investigate the Poincaré series of a finitely generated module M over a local (noetherian) ring R, \mathcal{M} , that is the power series

$$P_M^R(t) := \sum_{p \geq 0} \dim_k \operatorname{Tor}_p^R(k, M) t^p$$

k being the residue field of R . $P_k^R(t)$ will be called the Poincaré series of the ring R . Although not much is known about $P_M^R(t)$ in general, there is evidence to believe that this power series always represents a rational function. This is of course the case if R is a regular local ring, in which case $P_M^R(t)$ is a polynomial of degree not exceeding the global dimension of R . Recently it has been shown that $P_M^R(t)$ is a rational function if R is a local complete intersection, Gulliksen [3].

In the present paper we shall establish the rationality of $P_M^R(t)$ also in the case where R is a Golod ring (see section 2 for the definition). It is known that if R is a factor of a regular ring by two relations, or if R has imbedding dimension less than or equal to two, then R is either a complete intersection or a Golod ring. Hence the rationality of $P_M^R(t)$ is established in those cases. This generalizes results of Shamash [5] and Scheja [6] who worked with the case $M = k$.

In theorem 5 in section 3 we give the following reduction formula:

Let y be a regular element in \mathcal{M} . Let \mathcal{O} be an ideal in R and put $R' := R/y\mathcal{O}$. If $\mathcal{O}M = 0$ then

$$(i) \quad P_M^{R'}(t) = P_M^R(t)[1 - t(\alpha(t) - 1)]^{-1}$$

where $\alpha(t) = P_{R/\mathcal{O}}^R(t)$.

In section 4 we give applications of theorem 5 and the results of section 3. Several examples are worked out. In particular it is shown that if k is a field and \mathcal{O} is an ideal generated by monomials in the ring $A = k[[X_1, X_2, X_3]]$, then the Poincaré series of A/\mathcal{O} is rational.

In the last section we remark that in order to prove the rationality of $P_M^R(t)$ for all R and M , it suffices to prove the rationality of $P_{R/\mathcal{M}}^R(t)$ for all local rings R of dimension zero.

Notations.

If $N = \coprod_{p \geq 0} N_p$ is a graded R -module where each homogeneous component N_p is a free R -module of finite rank, we let $\chi_R(N)$ or simply $\chi(N)$ denote the power series

$$\sum_{p \geq 0} \text{rank}(N_p) t^p$$

The term "R-algebra" will be used in the sense of Tate [7]. By an augmented R -algebra F we will mean an R -algebra F with a surjective augmentation map $F \rightarrow R/\mathcal{M}$ which is a homomorphism of R -algebras. Recall that the Koszul complex generated over R by a minimal set of generators for \mathcal{M} is an R -algebra which up to (a non-canonical) isomorphism depends only of the ring R . Thus we shall talk about the Koszul complex of R .

1. On Massey operations.

Let F be an augmented R -algebra with a trivial Massey operation γ , and let S be the set of cycles associated with γ . For the definitions and details the reader is referred to Gulliksen [2]. Recall that S represents a minimal set of generators for the kernel of the map $H(F) \rightarrow R/\mathcal{M}$ induced by the augmentation on F . γ is a function with values in F , defined on the set of finite sequences of elements in S such that $\gamma(z) = z$ for $z \in S$. By means of F and γ it is possible to construct an R -free resolution of R/\mathcal{M} . We will briefly recall the construction:

To each cycle z in S select a symbol u of degree one more than the degree of z . Let $N = \coprod_q N_q$ be the free graded R -module generated by the set of selected symbols u . Let $T = T_R(N)$ be the tensor algebra generated over R by N . Put

$$X := F \otimes_R T$$

By means of the canonical map $F \rightarrow F \otimes T$, sending f to $f \otimes 1$, F will be considered as a submodule of X . We will now extend the differential d on F to a differential on X (also denoted by d) in the following way: It suffices to define d on a set generators for the R -module X . If f is a homogeneous element in F of degree $\deg f$ and if u_1, \dots, u_n ($n \geq 1$) are selected symbols corresponding to the cycles z_1, \dots, z_n in S we put

$$d(f \otimes u_1 \otimes \dots \otimes u_n) = d(f \otimes u_1 \otimes \dots \otimes u_{n-1}) \otimes u_n + (-1)^{\deg f} f \gamma(z_1, \dots, z_n)$$

One can show that $d^2 = 0$ and that X is an R -free resolution of k . Cf. [2]. Moreover, if F is minimal in the sense that

$dF \subseteq \mathcal{M}F$, and if $\text{Im} \gamma \subseteq \mathcal{M}F$, then X is a minimal resolution.

DEFINITION. The resolution X constructed above will be called the Golod extension of the couple (F, γ) and will be denoted $X = (F, \gamma, N)$.

THEOREM 1. Let R be a local ring with residue field k and let \mathcal{O} be an ideal in R . Let M be a finitely generated R -module of finite projective dimension such that $\mathcal{O}M = 0$. Let F be an augmented R -algebra which is an R -free resolution of k . Put $R' := R/\mathcal{O}$, $F' := F/\mathcal{O}F$ and assume that F' has a trivial Massey operation γ . Then there exists a polynomial $\pi(t)$ with integral coefficients such that

$$P_M^{R'}(t) = \pi(t)[1 - t(P_R^R(t) - 1)]^{-1}$$

PROOF. Let $X = (F', \gamma, N)$ be the Golod extension of (F', γ) . Then we have an identity of graded R -modules

$$X = F' \oplus X \otimes N \tag{1}$$

We let Y be the complex whose underlying graded module is $X \otimes N$, and whose differential is $d \otimes 1_N$, d being the differential on X . (1) leads to an exact sequence of complexes

$$0 \longrightarrow F' \xrightarrow{\alpha} X \xrightarrow{\beta} Y \longrightarrow 0 . \tag{2}$$

where α is the canonical injection, and β is the canonical projection onto the second factor. Since $\mathcal{O}M = 0$ and M has finite projective dimension we have

$$H_p(M \otimes_{R'} F') = H_p(M \otimes_R F) = \text{Tor}_p^R(M, k) = 0$$

for all p sufficiently large. Hence from (2) we obtain

$$H_p(M \otimes X) \cong H_p(M \otimes Y) \quad (3)$$

for all p sufficiently large. Hence we have

$$\text{Tor}_p^{R'}(M, k) = H_p(M \otimes X) \cong H_p(M \otimes Y) = \coprod_q H_{p-q}(M \otimes X) \otimes N_q$$

for all p sufficiently large. Thus there exists a polynomial $\pi(t)$ with integral coefficients such that

$$P_M^{R'}(t) = \chi(H(M \otimes X) \otimes N) + \pi(t) = P_M^{R'}(t)\chi(N) + \pi(t)$$

This yields the desired formula since

$$\chi(N) = t(\chi(H(F')) - 1) = t(P_{R'}^R(t) - 1)$$

2. Modules over Golod rings.

We will first recall the definition of a Golod ring. Let R be a local ring with maximal ideal \mathfrak{m} , and let K be the Koszul complex of R . R is called a Golod ring if the canonically augmented R -algebra K has a trivial Massey operation in the sense of Gulliksen [2]. This is equivalent to saying that all Massey operations on $H(K)$ vanish in the sense of Golod [1]. The following result shows that Golod rings can be characterized entirely in terms of the Poincaré series. The proposition is due to Golod, and the proof can be found in [1].

PROPOSITION 2. A local ring R, \mathfrak{m} is a Golod ring if and only if

$$P_{R/\mathfrak{m}}^R(t) = (1+t)^n [1 - c_1 t^2 - c_2 t^3 - \dots - c_n t^{n+1}]^{-1}$$

where $n = \dim \mathfrak{m}/\mathfrak{m}^2$ and $c_i = \dim H_i(K)$ for $1 \leq i \leq n$.

Examples of Golod rings:

- I. The rings of the form $k[[X_1, X_2]]/\mathcal{O}$ (where k is a field), which are not complete intersections. That these rings are Golod rings follows from Satz 9 in Scheja [6] and proposition 2 above.
- II. The rings A/\mathcal{O} where A is a regular local ring and y is a non-unit in A . Cf. Schamash [5].
- III. $A/(a_1, a_2)$ where A is regular, and a_1 and a_2 do not form a regular sequence. This is a special case of example II.
- IV. $k[X_1, \dots, X_n]/(X_1, \dots, X_n)^r$. (k is a field). Cf. Golod [1].

PROPOSITION 3. Let R, \mathcal{M} be a local ring and let $y \in \mathcal{M} - \mathcal{M}^2$ be a regular element. Then R is a Golod ring if and only if R/\mathcal{O} is a Golod ring.

PROOF. Let K be the Koszul complex of R . Put $k = R/\mathcal{M}$. Since the k -algebra $H(K)$ and the Poincaré series $P_{R/\mathcal{M}}^R(t)$ are invariant under \mathcal{M} -adic completion, Proposition 2 shows that there is no loss of generality assuming that R is complete. Hence by the Cohen structure theorem we may assume that $R = A/\mathcal{O}$ where A is a regular ring and \mathcal{O} is an ideal contained in the square of the maximal ideal of A . Let y' be an element of A that represents y in R . We have an isomorphism of k -vector-spaces.

$$H_i(K) \cong \text{Tor}_i^A(R, k) \quad (1)$$

Similarly the homology of the Koszul complex of R/\mathcal{O} is isomorphic to $\text{Tor}_i^{A/\mathcal{O}}(R/\mathcal{O}, k)$. Since y' is regular on A and R , and since $y'k = 0$ we have a canonical isomorphism

$$\text{Tor}_i^{A/\mathcal{O}}(R/\mathcal{O}, k) \cong \text{Tor}_i^A(R, k) \quad (2)$$

It follows from Satz 1 in Scheja [6] that

$$P_k^R(t) = (1+t) P_k^{R/yR}(t) \quad (3)$$

Let $\bar{\mathcal{M}}$ denote the maximal in R/yR . We have

$$\dim \mathcal{M}/\mathcal{M}^2 = \dim \bar{\mathcal{M}}/\bar{\mathcal{M}}^2 + 1 \quad (4)$$

The proposition now follows from prop. 2 using (1), (2), (3) and (4).

THEOREM 4. Let R, \mathcal{M} be a local Golod ring and let M be a finitely generated R -module. Then $P_M^R(t)$ is a rational function.

PROOF. Let \hat{R} and \hat{M} be the \mathcal{M} -adic completions of R and M . It can easily be shown that $P_M^R(t) = P_{\hat{M}}^{\hat{R}}(t)$, hence as in the proof of proposition 3 we may assume that $R = A/\mathcal{O}$ where A is a regular local ring and \mathcal{O} is an ideal which is contained in the square of the maximal ideal of A . Let K be the Koszul complex of A . Then $K' := K/\mathcal{O}K$ is the Koszul complex of R . Since R is a Golod ring, K' has a trivial Massey operation. Since M has finite projective dimension over the regular ring A , theorem 2 gives that $P_M^R(t)$ is a rational function.

3. Reduction formulas for the Poincaré series.

THEOREM 5. Let R, \mathcal{M} be a local ring, let y be a regular element in \mathcal{M} , and let \mathcal{O} be an ideal in R . Put $R' = R/y\mathcal{O}$ and $\alpha(t) = P_{R'/\mathcal{O}}^R(t)$. Then

(i) If M is an R -module such that $\mathcal{O}M = 0$, then

$$P_M^{R'}(t) = P_M^R(t)[1 - t(\alpha(t) - 1)]^{-1}.$$

(ii) If $\mathcal{O} \neq R$ and if M is an R -module of finite projective dimension such that $y\mathcal{O}M = 0$, then

$$E_M^{R'}(t) = \pi(t)[1 - t(\alpha(t) - 1)]^{-1}$$

where $\pi(t)$ is a polynomial with integral coefficients.

PROOF. Let $F \rightarrow k$ be an augmented R -algebra which is an R -free resolution of $k = R/\mathcal{M}$. Put $F' := F/y\mathcal{O}F$. We are going to construct a trivial Massey operation on F' . First we remark that there exists an element a' of degree one in F' such that every cycle z' in F' is homologue with a cycle of the form $a'x'$ where x' is in $\mathcal{O}F'$. In fact let $z \in F$ represent a given cycle z' in F' . Then we may write $dz = yx$ where $x \in \mathcal{O}F$. Since

$$0 = d^2z = ydx$$

and since y is regular in R we have $dx = 0$. Let $a \in F_1$ be such that $da = y$. We have

$$d(z - ax) = 0.$$

Since F is acyclic, $z - ax$ is a boundary. Hence $z' - a'x'$ is a boundary in F' , where $a'x'$ is the image of ax in F' . Now choose a basis for the k -vector-space $\text{Ker}(H(F') \rightarrow k)$. Let S be a set of cycles in F' representing that basis, and choose S such that the cycles z' in S have the form $z' = a'x'$ where $x' \in \mathcal{O}F'$. Since a' has degree 1, we have $(a')^2 = 0$. Thus we can construct a trivial Massey operation γ on F' by putting

$$\gamma(z') = z' \quad \text{for } z' \in S$$

$$\gamma(z'_1, \dots, z'_n) = 0 \quad \text{for } n \geq 2; z'_1, \dots, z'_n \in S.$$

Now (ii) follows from theorem 2 since we have

$$P_{R'}^R(t) = P_{R/\mathcal{O}}^R(t) = \alpha(t) \quad \text{for } \mathcal{O} \neq R \quad (1)$$

We are now going to prove (i). Let $X = (F', \gamma, N)$ be the Golod extension of the couple (F', γ) . Assume that $\mathcal{O}M = 0$. Since $\text{Im } \gamma \subseteq \mathcal{O}F'$ the following diagram is commutative

$$\begin{array}{ccc} M \otimes X & \longrightarrow & M \otimes F' \oplus (M \otimes X) \otimes N \\ \downarrow 1_M \otimes d & & \downarrow 1_M \otimes d \oplus 1_M \otimes d \otimes 1_N \\ M \otimes X & \longrightarrow & M \otimes F' \oplus (M \otimes X) \otimes N \end{array}$$

Here the horizontal isomorphisms are induced by the identity (1) in the proof of theorem 2. The diagram yields

$$H(M \otimes X) \cong H(M \otimes F') \oplus H(M \otimes X) \otimes N \quad (2)$$

We have $M \otimes F' \cong M \otimes F$. Hence if $\mathcal{O} \neq R$ the desired formula in (i) follows from (1) and (2). If $\mathcal{O} = R$, then $M = 0$ and in this case the formula in (i) is trivial.

COROLLARY 6. Let $\mathcal{O}_1 \subseteq \dots \subseteq \mathcal{O}_r$ be a chain of ideals in a local ring R , \mathcal{M} ($r \geq 1$). Let y_1, \dots, y_r be a sequence of elements in \mathcal{M} such that y_1 is regular in R , and for every i ($1 \leq i \leq r-1$) y_{i+1} is regular on

$$R^i := R / \sum_{k=1}^i y_k \mathcal{O}_k .$$

Let M be an R -module such that $\mathcal{O}_r M = 0$. Then we have

$$P_M^{R^r}(t) = P_M^R(t) \left[(1+t)^r - t \sum_{0 \leq p < r} (1+t)^p \alpha_{r-p}(t) \right]^{-1}$$

where $\alpha_q(t) = P_{R/\mathcal{O}_q}^R(t)$ for $1 \leq q \leq r$.

In particular, if R is a local complete intersection or a Golod ring, then $P_M^{R^r}(t)$ represents a rational function.

PROOF. The formula will be proved by induction on r . For $r = 1$ the formula is valid by theorem 5. Now let i be an integer such that $1 \leq i < r$. Put

$$\beta_i(t) = (1+t)^i - t \sum_{p=0}^{i-1} (1+t)^p \alpha_{i-p}(t)$$

By induction we may assume that we have

$$P_Q^{R^i}(t) = P_Q^R(t) \beta_i(t)^{-1} \quad (1)$$

for all R -modules Q such that $\mathcal{O}_i Q = 0$. Now let L be an R -module such that $\mathcal{O}_{i+1} L = 0$. We are going to show that (1) remains valid if i is replaced by $i+1$, and Q is replaced by L . Since $\mathcal{O}_i \subseteq \mathcal{O}_{i+1}$, we have $\mathcal{O}_i(R/\mathcal{O}_{i+1}) = 0 = \mathcal{O}_i L$, so (1) yields

$$P_{R/\mathcal{O}_{i+1}}^{R^i}(t) = \alpha_{i+1}(t) \beta_i(t)^{-1} \quad (2)$$

and

$$P_L^{R^i}(t) = P_L^R(t) \beta_i(t)^{-1} \quad (3)$$

Since y_{i+1} is regular in R^i , theorem 5 gives

$$P_L^{R^{i+1}}(t) = P_L^{R^i}(t) [1 - t(P_{R/\mathcal{O}_{i+1}}^{R^i}(t) - 1)]^{-1} \quad (4)$$

Substituting (2) and (3) in (4) and using the identity

$$\beta_{i+1}(t) = (1+t)\beta_i(t) - t\alpha_{i+1}(t)$$

we obtain the desired result.

We shall now give a lemma which gives conditions implying the hypothesis in the previous corollary. With the notation of that corollary we have

LEMMA 7. Let $\mathcal{O}_1 \subseteq \dots \subseteq \mathcal{O}_r$ be a sequence of ideals in R . Let y_1, \dots, y_r be a regular sequence contained in the maximal ideal and assume that y_1, \dots, y_{i+1} is a regular sequence for R/\mathcal{O}_i for all i ($1 \leq i \leq r-1$). Then y_{i+1} is R^i -regular for all i .

PROOF. We will prove the proposition by induction on r , the number of ideals. For $r = 1$ there is nothing to prove. Now let $r \geq 2$ and $1 \leq i \leq r-1$. Let λ be an element of R such that

$$\lambda y_{i+1} \in \sum_{h=1}^i y_h \mathcal{O}_h \quad (1)$$

It suffices to show that $\lambda \in \sum_{h=1}^i y_h \mathcal{O}_h$. Reading (1) modulo $y_i R$, and using the induction hypothesis one obtains

$$\lambda \in \sum_{h=1}^{i-1} y_h \mathcal{O}_h + y_i R$$

Hence we may write

$$\lambda = \sum_{h=1}^{i-1} y_h a_h + y_i a \quad (2)$$

where $a_h \in \mathcal{O}_h$ and $a \in R$. From (1) we obtain $\lambda y_{i+1} \in \mathcal{O}_i$. Hence we have $\lambda \in \mathcal{O}_i$. Now (2) yields

$$y_i a \in \mathcal{O}_i$$

hence $a \in \mathcal{O}_i$, so $\lambda \in \sum_{h=1}^i y_h \mathcal{O}_h$.

We will end this section by giving an example where lemma 7 can be applied.

Let S be a local ring, let $r \geq 1$ be an integer and let $\mathcal{O}'_1 \subseteq \dots \subseteq \mathcal{O}'_r$ be ideals in S . Put $R := S[[y_1, \dots, y_r]]$ and put $\mathcal{O}_i = \mathcal{O}'_i R$ for $1 \leq i \leq r$. Then the sequences y_1, \dots, y_r and $\mathcal{O}_1 \subseteq \dots \subseteq \mathcal{O}_r$ satisfy the hypothesis in corollary 6.

4. Examples.

I. Let R be a local ring and let \mathcal{O} be an ideal in R . Let M be an R -module such that $\mathcal{O}M = 0$. Let y_1, \dots, y_r be a regular sequence in R which is contained in \mathcal{M} , and assume that y_1, \dots, y_r is also regular sequence on R/\mathcal{O} . Put $R' := R/(y_1, \dots, y_r)\mathcal{O}$. Then lemma 7 and corollary 6 yields the formula

$$P_M^{R'}(t) = P_M^R(t)[\alpha(t) - \alpha(t)\beta(t) + \beta(t)]^{-1}$$

where $\alpha(t) = P_{R/\mathcal{O}}^R(t)$ and $\beta(t) = P_{R/(y_1, \dots, y_r)}^R(t) = (1+t)^r$.

In particular if R is a local complete intersection or a Golod ring, then $P_M^{R'}(t)$ represents a rational function.

II. Let A be a regular local ring of dimension n . Let r and s be integers such that $0 \leq s \leq r \leq n$. Let y_1, \dots, y_r be a regular sequence in \mathcal{M}^2 and let u be an element in \mathcal{M} such that y_1, \dots, y_s, u is a regular sequence. Put

$$\mathcal{O} = (y_1, \dots, y_s, uy_{s+1}, \dots, uy_r) .$$

Then considering A/\mathcal{O} as a factor ring of the complete intersection $A/(y_1, \dots, y_s)$, one easily deduces the following formula from theorem 5:

$$P_k^{A/\mathcal{O}}(t) = (1+t)^{n-s-1} [(1-t)^s (1-t(1+t)^{r-s-1})]^{-1} .$$

III. Let k be a field and consider the following ring of formal powerseries $A = k[[X_1, \dots, X_n, Y_1, \dots, Y_r]]$. Let $\mathcal{O}_1' \subseteq \dots \subseteq \mathcal{O}_r'$ be a chain of ideals in $A' = k[[X_1, \dots, X_n]]$.

Put $\sigma_i = \sigma_i^A$ for $1 \leq i \leq r$, and put

$$\sigma = \sum_{i=1}^r Y_i \sigma_i .$$

Then for each A -module M such that $\sigma_r M = 0$ we have

$$P_M^{A/\sigma}(t) = P_M^A(t) \left[(1+t)^r \left(1 - t \sum_{0 \leq p < r} (1+t)^p \alpha'_{r-p}(t) \right) \right]^{-1}$$

where $\alpha'_q(t) = P_{A'/\sigma'_q}^{A'}(t)$. Clearly $P_M^{A/\sigma}(t)$ is a rational function. In particular, if k' denotes the residue field of A/σ we get

$$P_{k'}^{R/\sigma}(t) = (1+t)^n \left[1 - t \sum_{0 \leq p < r} (1+t)^p \alpha'_{r-p}(t) \right]^{-1} .$$

IV. Let σ be an ideal generated by monomials in the ring $A = k[[X_1, X_2, X_3]]$, where k is a field. We shall also let k denote the residue field of A/σ . We will show that $P_k^{A/\sigma}(t)$ is rational.

We may write

$$\sigma = \sigma_1 X_1 + \sigma_2$$

where σ_1 and σ_2 are ideals in A and $k[[X_2, X_3]]$ respectively. Put $R = k[[X_2, X_3]]/\sigma_2$. Then R is either a complete intersection or a Golod ring. See example I in section 2. By proposition 3 we see that the same holds for $R[[X_1]]$. Hence $P_M^{R[[X_1]]}(t)$ is a rational function for every $R[[X_1]]$ -module M . Since

$$A/\sigma \cong (k[[X_2, X_3]]/\sigma_2)[[X_1]]/\sigma_1 X_1 = R[[X_1]]/\sigma_1 X_1$$

it follows from theorem 5 that $P_M^{A/\sigma}(t)$ is rational for every module M such that $\sigma_1 M = 0$. In particular $P_k^{A/\sigma}(t)$ is rational.

Using theorem 5 it is also possible to prove that the ring $k[[X_1, \dots, X_n]]/(m_1, m_2, m_3)$ has rational Poincaré series, m_1, m_2, m_3 being monomials.

5. Reduction to the case of dimension zero.

PROPOSITION 8. The following statements are equivalent:

- (i) $P_{R/\mathcal{M}}^R(t)$ is rational for every local ring R, \mathcal{M} of dimension zero.
- (ii) $P_M^R(t)$ is rational for every local ring R and every finitely generated R -module M .

PROOF. It suffices to prove (i) \Rightarrow (ii). Suppose that $P_k^R(t)$ is rational for every local ring of dimension zero. From theorem 3.17 in Levin [4] one deduces that $P_{R/\mathcal{M}}^R$ is rational for every local ring R, \mathcal{M} . By theorem 2 in [2] it then follows that $P_M^R(t)$ is rational for all R and all M .

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