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The Conjugacy Problem of the Modular Group and the Class Number of Real Quadratic Number Fields

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We shall discuss the conjugacy problem of the modular group, and show how its solution, in conjunction with a theorem of Olga Taussky can be used to compute the class number of certain real quadratic number fields. © 1985 Academic Press, Inc.

1. INTRODUCTION

We propose to reverse the case of the theorem which had been mentioned [1948] by Olga Taussky in a letter to Wilhelm Magnus. She observed that all elements of order two (i.e., with trace zero) are conjugate in PSL(2, Z) and, similarly, all elements of order three with trace +1, since the corresponding quadratic fields have class number one. Exercise 4, p. 133 in Magnus [2] is based on this remark which can also be derived most easily from the Kurosh subgroup theorem according to which the elements of finite order in a free product are conjugates of elements of finite order in the factors. PSL(2, Z) being the free product of a group of order 3 and a group of order 2. (Since, in the upper complex half plane z = i is a fixed point of an element of order 2 in PSL(2, Z), the images of z = i under the action of this group must be exactly the fixed points of the other elements of order 2 which are of the form (a+i)/c, where a, c are integers, c > 0, and c divides $a^2 + 1$.) In our paper, we shall again use the abstract theory of PSL(2, Z) to derive results about numbers of ideal classes in real quadratic number fields.

We shall call a modification of the Latimer and MacDuffee Theorem [5] the Taussky Theorem, whose statement is as follows:

THEOREM. (Olga Taussky). Let M be a matrix in SL(2, Z) with a trace $t \ge 3$. Let ω_1, ω_2 be the roots of the characteristic equation of M. Then the

number of ideal classes in the ring $R(\omega)$, generated by ω_1, ω_2 , equals the number of conjugacy classes of M in GL(2, Z). In certain cases, $R(\omega)$ is identical with the ring of algebraic integers in the field $\mathbb{Q}(\sqrt{\Delta})$, where $\Delta \ge 3$ is a positive integer. Specifically,

$$\Delta = t^2 - 4 \qquad for \quad t \equiv 1 \pmod{2}, \text{ if } \Delta \text{ is square free.}$$

$$\Delta = \frac{1}{4}t^2 - 1 \qquad for \quad t \equiv 0 \pmod{2}, \text{ if } \Delta \text{ is square free.}$$

We shall first discuss the conjugacy problem in the abstract group PSL(2, Z) (the ordinary modular group) and then in the group SL(2, Z) as a subgroup of GL(2, Z), where now the elements are given as matrices. Then we shall show how the Taussky theorem enables us to compute quickly a few class numbers some of which we take from a table published in Hasse [1].

2. THE CONJUGACY PROBLEM OF THE MODULAR GROUP

Consider the homogeneous modular group SL(2, Z) with presentation $\langle a, b; a^2 = b^3 = -1 \rangle$, where $a = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix}$, $b = \begin{pmatrix} 0 & -1 \\ 1 & -1 \end{pmatrix}$, and we write 1 for the 2×2 identity matrix $\begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}$, and trace (a) = 0, trace (b) = 1.

Up to conjugation any word $W \in SL(2, \mathbb{Z})$ other than $\pm 1, a^{\pm 1}, \pm b^{\pm 1}$ can be expressed as

$$W = W(a, b) = \pm ab^{\epsilon_1} ab^{\epsilon_2} \cdots ab^{\epsilon_n} \tag{1}$$

where $\varepsilon_i = \pm 1$ for i = 1, 2, ..., n, with the upper sign in (1) holding if there are an even number of factors $a^{-1}b^e = -ab^e$ in (1), and the lower sign holding if there are an odd number of factors $a^{-1}b^e = -ab^e$ in (1).

We call (1) the normal form of an element of SL(2, Z) other than $a^{\pm 1}, \pm b^{\pm 1}, \pm 1$, and the positive integer n is called the syllable length of W.

We will make use of the following result for the trace, which we will now write as tr, of words in two generators. Let U, V be any two elements of SL(2, Z) and let W = W(U, V) be a word in U and V (note that U and V are generators of a group G_2). Put tr $U = x_1$, tr $V = x_2$, tr UV = z. We may consider x_1, x_2, z as indeterminates. It is known that

$$\operatorname{tr} W = f_{w}(x_{1}, x_{2}, z)$$

is a polynomial with integral coefficients in these indeterminates, and we call f_w the Fricke polynomial of W. We shall say that W is in standard form if

$$W = U^{n_1} V^{m_1} U^{n_2} V^{m_2} \cdots U^{n_l} V^{m_l}$$
(2)

where $n_i, m_i \in \mathbb{Z} - \{0\}$, i = 1, 2, ..., l, and we shall call l the syllable length of W as a word in U and V.

We have an explicit expression for tr W, where W is defined by (2). We need some auxiliary polynomials which are essentially the Chebychev polynomials and the associated Chebychev functions which are defined most easily in terms of trigonometric functions as polynomials in $2\cos\varphi$ by the formulas

$$T_n(2\cos\varphi) = 2\cos n\varphi, \qquad P_n(2\cos\varphi) = \frac{\sin(n+1)\varphi}{\sin\varphi}, \qquad n \in \mathbb{Z}.$$
 (3)

We then have tr $U^n = T_{[n]}(x_1)$ and the following:

THEOREM. If W is defined by (2), then tr W is a polynomial of exact degree l in z. The coefficient of z^{l} is

$$\prod_{\nu=1}^{l} P_{n_{\nu}-1}(x_1) P_{m_{\nu-1}}(x_2).$$

The remaining coefficients can be defined recursively.

Remark 1. If we put $y = -\text{tr}(\bar{a}\bar{b})$ (an indeterminate), where \bar{a}, \bar{b} are elements of SL(2, Z) with $\text{tr}(\bar{a}) = 0, \text{tr}(\bar{b}) = 1$, then from the previous theorem, the trace of an element of SL(2, Z) in normal form

$$\bar{a}\bar{b}^{\varepsilon_1}\cdots\bar{a}\bar{b}^{\varepsilon_n}, \varepsilon_i=\pm 1, \ i=1, ..., n \tag{1'}$$

is a polynomial $P_n(y)$ with integral coefficients of exact degree *n*, the syllable length of (1') in y. Let $\overline{P} = -\overline{a}\overline{b}$, $\overline{Q} = \overline{a}\overline{b}^{-1}$. Then, tr $\overline{P} = \text{tr } \overline{Q} = y$.

We recall that the trace of elements of SL(2, Z) satisfies the following properties: for any $U, V \in SL(2, Z)$,

- (i) tr $U = \text{tr } U^{-1}$
- (ii) tr(UV) = tr(VU)
- (iii) $\operatorname{tr}(VUV^{-1}) = \operatorname{tr} U$
- (iv) $\operatorname{tr}(UV) = \operatorname{tr} U \cdot \operatorname{tr} V \operatorname{tr}(UV^{-1})$.

THEOREM 1. If *n* is odd (even) then tr $(\bar{a}\bar{b}^{e_1}\bar{a}\bar{b}^{e_2}\cdots\bar{a}\bar{b}^{e_n})$ is an odd (even) polynomial in $y = -\text{tr}(\bar{a}\bar{b})$ of degree *n*.

Proof. The proof is by induction with respect to the syllable length n, using the properties of the trace. As a consequence of this, one obtains the following: the mapping $\bar{a} \mapsto \bar{a}, \bar{b} \mapsto \bar{b}^{-1}$ defines an automorphism of the modular group which induces the ring automorphism $y \mapsto -y$ in the

polynomial ring Z[y] which contains the characters of the modular group, Therefore, we have

THEOREM 2. Let $P_n(y)$ be the trace of $\bar{a}\bar{b}^{\epsilon_1}\bar{a}\bar{b}^{\epsilon_2}\cdots \bar{a}\bar{b}^{\epsilon_n}$. Then $P_n(-y)$ is the trace of $\bar{a}\bar{b}^{-\epsilon_1}\bar{a}\bar{b}^{-\epsilon_2}\cdots \bar{a}\bar{b}^{-\epsilon_n}$. If n is odd, $P^n(-y) = -P_n(y)$. If n is even, $P_n(y) = P_n(-y)$.

We wish to obtain an estimate for the number of distinct trace polynomials $P_n(y)$. As a step toward obtaining this estimate, we consider the following:

PROBLEM. To find the number of cyclically different words $ab^{e_1}ab^{e_2}\cdots ab^{e_n}, e_i = \pm 1, i = 1, 2, ..., n.$

Let c_n denote this number. There are altogether 2^n words under consideration. Let γ_n denote the number of cyclically inequivalent words of length n which are also not cyclically equivalent to a proper power (=exponent > 1). Let d denote the divisors of n. We shall write d|n.

Since when cyclically reduced, two words are cyclically equivalent if and only if they are cyclic permutations of each other, we have

- 1. Claim: $c_n = \sum_{d|n} \gamma_d$
- 2. Claim: $\sum_{d|n} d\gamma_d = 2^n$.

By the Moebius inversion theorem, we find $\gamma_d = (1/d) \sum_{\delta \mid d} 2^{d/\delta} \mu(\delta)$, where δ is a divisor of d, $\mu(\delta)$ is the Moebius function. Therefore,

$$c_n = \sum_{d|n} (1/d) \sum_{\delta|d} 2^{d/\delta} \mu(\delta).$$

Incidentally, γ_d is the exact number of irreducible polynomials in x of degree d with coefficients in a field of 2 elements and highest coefficient 1, and c_n is the exact number of irreducible polynomials of positive degree $\leq n$ (and highest coefficient 1).

THEOREM 3. The number of distinct trace polynomials for $tr(\bar{a}\bar{b}^{\epsilon_1}\bar{a}\bar{b}^{\epsilon_2}\cdots\bar{a}\bar{b}^{\epsilon_n})$ with $tr(\bar{a}) = 0$, $tr(\bar{b}) = 1$, is at most $2^{\lfloor (n+1)/2 \rfloor}$, where $\lfloor (n+1)/2 \rfloor$ denotes the greatest integer $\leq \frac{1}{2}(n+1)$.

Proof. Let ρ_n denote the number of distinct trace polynomials for $\operatorname{tr}(\bar{a}\bar{b}^{\varepsilon_1}\bar{a}\bar{b}^{\varepsilon_2}\cdots\bar{a}\bar{b}^{\varepsilon_n})$. Since $P_n(y) = \operatorname{tr}(\bar{a}\bar{b}^{\varepsilon_1}\bar{a}\bar{b}^{\varepsilon_2}\cdots\bar{a}\bar{b}^{\varepsilon_n})$ is of exact degree n, there can be at most n+1 terms in $P_n(y)$. Moreover, since $P_n(y)$ is odd (even) according to whether n is odd (even), $P_n(y)$ will in fact have at most $\lfloor \frac{1}{2}(n+1) \rfloor$ terms. For each of these terms, other than the lead term, there are two choices, either it does or does not occur. Thus, there can be at most $2^{\lfloor (n+1)/2 \rfloor}$ distinct polynomials for a given n. Therefore, $\rho_n \leq 2^{\lfloor (n+1)/2 \rfloor}$.

As a step towards the solution to the conjugacy problem of SL(2, Z) as a subgroup of GL(2, Z) we have, with eight exceptions, a canonical form for the representatives of the conjugacy classes of elements of SL(2, Z).

THEOREM 4. Every matrix in SL(2, Z) with a trace $t \neq \pm 2, \pm 1, 0$ is conjugate in GL(2, Z) with a product

$$W=\pm P^{\alpha_1}Q^{\beta_1}P^{\alpha_2}Q^{\beta_2}\cdots P^{\alpha_s}Q^{\beta_s}$$

where $P = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} = -ab$, $Q = \begin{pmatrix} 1 & 0 \\ 1 & 1 \end{pmatrix} = ab^{-1}$; $\alpha_1, \beta_1, ..., \alpha_s, \beta_s \in Z^+$. We shall now call s the syllable length of W (as a word in P and Q) and $L = \alpha_1 + \beta_1 + \cdots + \alpha_s + \beta_s$ the length of W.

Proof. The presentation of SL(2, Z) gives immediately this result. As an immediate consequence of Theorem 4 we deduce the following:

THEOREM 5. Every element in $SL(2, \mathbb{Z})$ with a positive trace ≥ 3 is conjugate with an element in which all entries are positive.

The polynomials $P_n(y)$ introduced in Remark 1 as the trace of a word in SL(2, Z) in normal form (1), again enter the picture for our words in \overline{P} and \overline{Q} . Specifically, we have

THEOREM 6. If we put tr $\overline{P} = \text{tr } \overline{Q} = y$ (an indeterminate), our traces for $\overline{W} = \overline{P}^{\alpha_1} \overline{Q}^{\beta_1} \cdots \overline{P}^{\alpha_s} \overline{Q}^{\beta_s}$; α_1 , β_1 , ..., α_s , $\beta_s \in Z^+$, become our trace polynomials $P_n(y)$. Their degree is the length (i.e., the number $L = \alpha_1 + \beta_1 + ... + \alpha_s + \beta_s$, not the syllable length s) of \overline{W} .

Proof. The result follows immediately from the definitions of \overline{P} and \overline{Q} and Remark 1.

Theorem 6 provides an easy test for nonconjugacy of positive words in SL(2, Z).

COROLLARY 6.1. Two words W and W', positive words in \overline{P} and \overline{Q} , of different lengths can never be conjugate in GL(2, Z).

Our canonical form given in Theorem 4 provides an estimate, in the form of a lower bound, for the trace of a positive word in P and Q.

THEOREM 7. Let $W \in SL(2, \mathbb{Z})$ be given as a product

$$W = P^{\alpha_1}Q^{\beta_1}P^{\alpha_2}Q^{\beta_2}\cdots P^{\alpha_s}Q^{\beta_s},$$

where $P = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix}$, $Q = \begin{pmatrix} 1 & 0 \\ 1 & 1 \end{pmatrix}$, $\alpha_1, \beta_1, ..., \alpha_s, \beta_s \in Z^+$. Then, for every positive integer s, tr $W > 2^s$. Thus, tr W goes to infinity with the syllable length s.

Proof. The proof is by an induction on the syllable length s, and the

remark that for a given s tr W is minimal if all exponents α_i , β_j , are minimal, i.e., equal to +1. Therefore, the trace of W cannot be less than that of W_0^s where

$$W_{0} = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ 1 & 1 \end{pmatrix} = \begin{pmatrix} 2 & 1 \\ 1 & 1 \end{pmatrix}$$

and clearly $2^{s} < \operatorname{tr} W_{0}^{s} = (\frac{3}{2} + \frac{1}{2}\sqrt{5})^{s} + (\frac{3}{2} - \frac{1}{2}\sqrt{5})^{s} \leq 3^{s}$.

In order to compute the class number of the real quadratic number field associated with an element of SL(2, Z) having a positive trace ≥ 3 by the theorem of Olga Taussky, we need to discuss the conjugacy problem of SL(2, Z) as a subgroup of GL(2, Z). We shall first discuss the conjugacy problem in the abstract group PSL(2, Z), the quotient group of SL(2, Z) with respect to its center $= \{\pm 1\}$.

Since PSL(2, Z) is a free product, of a cyclic group of order two $= \langle a; a^2 = 1 \rangle$, and a cyclic group of order three $= \langle b; b^3 = 1 \rangle$, the solution to the conjugacy problem for PSL(2, Z) is given by Theorem 4.2 of Magnus, Karrass, and Solitar [4]. We will call the normal form for a cyclically reduced element of PSL(2, Z) other than $a, b^{\pm 1}$, 1 (up to conjugation) to be the product given by

$$ab^{\varepsilon_1}ab^{\varepsilon_2}\cdots ab^{\varepsilon_n}, \, \varepsilon_i=\pm 1, \, i=1, 2, \, ..., n, \tag{4}$$

where *n* is the syllable length (which corresponds, apart from $a \pm \text{sign}$, to our words in *P* and *Q*); the solution to the conjugacy problem for PSL(2, Z) can be stated as:

Two cyclically reduced elements of PSL(2, Z) in normal form are conjugate only if they are cyclic permutations of each other. (Note, for a given syllable length *n* we know the number of cyclically different words (4), it is c_n).

In SL(2, Z) from the normal form (1) of a cyclically reduced element, the conjugacy problem has the same solution apart from a splitting of each conjugacy class of PSL(2, Z) into two classes, differing by a \pm sign. If W is an element, it can be conjugate with -W only if its trace is zero, a case we do not need. Now in SL(2, Z) within GL(2, Z) the conjugacy classes become larger but, (since the index of SL(2, Z) within GL(2, Z) is 2) not more than two classes of SL(2, Z) can combine into a single class in GL(2, Z). Now, the conjugacy of P and Q in GL(2, Z) ($P = XQX^{-1}$, where $X = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \in GL(2, Z) - SL(2, Z)$) provides exactly this coagulation. Together with Theorem 4 and Corollary 6.1 we have proved

THEOREM 8. Two words M and M' can be conjugate in GL(2, Z) only if they have the same syllable lengths and if the sets of exponents α , β coincide

apart from their arrangement. (Note that P and Q are conjugate, and that therefore we can exchange the α and β .)

3. COMPUTATION OF CLASS NUMBERS

The theorem of Olga Taussky together with Theorem 8 enables us to compute a few class numbers quickly. From Theorem 8, distinct conjugacy classes can arise from different syllable lengths or from different sets of exponents α , β .

The trace t of W, a positive word in P and Q, is a monotonically increasing function in each of the α , β (an inductive argument on the syllable length shows this). For s = 1 we have

$$t = 2 + \alpha_1 \beta_1,$$

and the minimum value is 3. For s = 2,

$$t = (1 + \alpha_1 \beta_1)(1 + \alpha_2 \beta_2) + \beta_1 \alpha_2 + \alpha_1 \beta_2 + 1,$$

and the minimum value is 7. For s = 3,

$$t = (1 + \alpha_1 \beta_1)(1 + \alpha_2 \beta_2)(1 + \alpha_3 \beta_3) + \alpha_1 \beta_2 + \alpha_1 \beta_3$$
$$+ \alpha_2 \beta_3 + \alpha_2 \beta_1 + \alpha_3 \beta_1 + \alpha_3 \beta_2 + \alpha_1 \beta_2 \alpha_3 \beta_3$$
$$+ \alpha_2 \beta_2 \alpha_3 \beta_1 + \alpha_1 \beta_1 \alpha_2 \beta_3 + 1,$$

and the minimum value is 18, with the next larger value at least 26.

According to the theorem of Olga Taussky, we have that for t = 3, 4, 5, 8, 9, 12 we obtain the integers in the full number field $\mathbb{Q}(\sqrt{\Delta})$ where $\Delta = 5, 3, 21, 15, 77, 35$. Following the notation of Hasse [1], h denotes the class number of the number field $\mathbb{Q}(\sqrt{\Delta})$.

We see immediately that the class number for $\Delta = 5, 3, 21$ is 1 and for $\Delta = 15$ the class number is 2.

Proof. t=3 is the absolute minimum value of the traces of all M (positive words in P and Q). It occurs only once for s=1, $\alpha_1 = \beta_1 = 1$. Therefore, h=1 for $\mathbb{Q}(\sqrt{5})$.

Similarly, t = 4 must occur only for s = 1. Therefore,

$$t = 4 = 2 + \alpha_1 \beta_1, \qquad \therefore \alpha_1 \beta_1 = 2$$

Therefore, $(\alpha_1, \beta_1) = (2, 1)$ or (1, 2) (which is the same). Thus, h = 1 for $\mathbb{Q}(\sqrt{3})$.

Similarly, for t = 5 we must have s = 1, since for s = 2 the minimum value of t = 7. Therefore,

$$t = 5 = 2 + \alpha_1 \beta_1; \qquad \alpha_1 \beta_1 = 3.$$

Therefore, $(\alpha_1, \beta_1) = (3, 1)$ or (1, 3), and again we have h = 1 for $\mathbb{Q}(\sqrt{21})$.

However, the picture changes for t = 8, $\Delta = 15$. Again, we must have s = 1, because for s = 2 we have the minimum value for the trace equal to 7, but the next larger number for s = 2 is at least 10. Therefore,

$$t = 8 = 2 + \alpha_1 \beta_1$$
, $(\alpha_1, \beta_1) = (6, 1)$ or $(3, 2)$.

Therefore, h = 2. (Note that by Theorem 8, the sets of exponents (6, 1), (3, 2) correspond to two nonconjugate elements $M = P^6Q^1$ and $M' = P^3Q^2$).

How can one obtain square free integers for Δ ? One way of obtaining square free integers is by means of twin primes. Suppose 2n - 1, 2n + 1 are twin primes. If we put t = 4n then $\Delta = \frac{1}{4}t^2 - 1 = (2n - 1)(2n + 1)$ is square free. We can use this technique to construct number fields with class number at least 3.

EXAMPLES. (1) Set t = 4n = 36.

$$2n-1 = 17,$$

 $2n+1 = 19.$

Therefore $\Delta = 323$, so that we have the number field $\mathbb{Q}(\sqrt{323})$. For s = 1 we have

$$t = 36 = 2 + \alpha_1 \beta_1; \qquad \alpha_1 \beta_1 = 34.$$

Therefore, $(\alpha_1, \beta_1) = (1, 34)$ or (2, 17).

For s = 2 we have

$$t = 36 = (1 + \alpha_1 \beta_1)(1 + \alpha_2 \beta_2) + \alpha_1 \beta_2 + \beta_1 \alpha_2 + 1.$$

Therefore, $(\alpha_1, \beta_1; \alpha_2, \beta_2) = (2, 1; 4, 2)$. t = 36 does not occur again for s = 2. Therefore, $h \ge 3$.

(2) Take t = 4n = 60.

$$2n - 1 = 29,$$

 $2n + 1 = 31.$

Therefore $\Delta = 899$, so that our number field is that of $\mathbb{Q}(\sqrt{899})$.

For s = 1, $t = 60 = 2 + \alpha_1 \beta_1$, $\therefore \alpha_1 \beta_1 = 58$. Therefore, $(\alpha_1, \beta_1) = (1, 58)$ or (2, 29).

For s = 2, $t = 60 = (1 + \alpha_1 \beta_1)(1 + \alpha_2 \beta_2) + \alpha_1 \beta_2 + \beta_1 \alpha_2 + 1$. Take $(\alpha_1, \beta_1; \alpha_2, \beta_2) = (1, 1; 2, 11)$. Therefore, $h \ge 3$.

As final illustrations of our results we construct two real quadratic number fields having class number of at least 4.

EXAMPLES. (1) Consider t = 32. By the theorem of Olga Taussky, $\Delta = 255 = 3 \cdot 5 \cdot 17$, and we have the number field $\mathbb{Q}(\sqrt{255})$.

For s = 1, we have $t = 32 = 2 + \alpha_1 \beta_1$. $\alpha_1 \beta_1 = 30$. Therefore, $(\alpha_1, \beta_1) = (30, 1)$ or (3, 10) or (2, 15) or (5, 6). Therefore, $h \ge 4$. By theorem 7, t = 32 cannot occur for $s \ge 4$. By direct computation, t = 32 does not occur for s = 2, s = 3. Hence, h = 4.

(2) Consider t = 37. Then, $\Delta = 1365 = 3 \cdot 5 \cdot 7 \cdot 13$ and we have the full number field $\mathbb{Q}(\sqrt{1365})$.

For s=1 we have: $t=37=2+\alpha_1\beta_1; \alpha_1\beta_1=35$. Therefore, $(\alpha_1, \beta_1) = (1, 35)$ or (5, 7).

For s = 2, $t = 37 = (1 + \alpha_1 \beta_1)(1 + \alpha_2 \beta_2) + \alpha_1 \beta_2 + \beta_1 \alpha_2 + 1$. We find, $(\alpha_1, \beta_1; \alpha_2, \beta_2) = (1, 1; 1, 11)$.

For s=3 direct computation shows $(\alpha_1, \beta_1; \alpha_2, \beta_2; \alpha_3, \beta_3) = (2, 1; 1, 1; 2, 1)$. Therefore, $h \ge 4$. By Theorem 7, t = 37 cannot occur for $s \ge 4$.

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