

GROUPS GENERATED BY TWO PARABOLIC LINEAR FRACTIONAL TRANSFORMATIONS

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0. Introduction and summary. We are interested in the structure of a group \mathbf{G} of linear fractional transformations of the extended complex plane that is generated by two parabolic elements A and B , and, particularly, in the question of when such a group \mathbf{G} is free. We shall, as usual, represent elements of \mathbf{G} by matrices with determinant 1, which are determined up to change of sign. Two such groups \mathbf{G} will be conjugate in the full linear fractional group, and hence isomorphic, provided they have, up to a change of sign, the same value of the invariant $\tau = \text{Trace}(AB) - 2$. We put aside the trivial case that $\tau = 0$, where \mathbf{G} is abelian. In the study of these groups, two normalizations have proved convenient. Sanov (17) and Brenner (3) took the generators in the form

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \mu & 1 \end{pmatrix},$$

while Chang, Jennings, and Ree (4) took them in the form

$$A = \begin{pmatrix} 1 & 2 \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \lambda & 1 \end{pmatrix}.$$

These parameters are connected by the relations $\tau = \mu^2 = 2\lambda$. We shall reserve the letters τ , μ , and λ for this meaning.

Sanov showed that \mathbf{G} is free for $\mu = 2$, and characterized explicitly the matrices representing elements of \mathbf{G} . From the fact that \mathbf{G} is free for any μ at all, it follows immediately that \mathbf{G} is free for all transcendental μ . Brenner showed that \mathbf{G} is free provided $|\mu| \geq 2$. From this it follows immediately that \mathbf{G} is free provided μ is an algebraic number with an algebraic conjugate μ^* such that $|\mu^*| \geq 2$. In particular, algebraic numbers μ such that \mathbf{G} is free are dense in the complex plane. Ree (15) has shown that the μ for which \mathbf{G} is not free are dense in the circle $|\mu| < 1$, and in a domain in the plane containing the open intervals joining -2 to 2 and $-i\sqrt{2}$ to $i\sqrt{2}$. Hirsch (7) raised the question of which algebraic numbers μ , for example with $-2 < \mu < 2$, yield free groups \mathbf{G} . We do not yet know of any rational value of μ in this interval for which \mathbf{G} is free. Brenner's sufficient condition for \mathbf{G} to be free, that $|\mu| \geq 2$, is equivalent to the condition $|\lambda| \geq 2$. Chang, Jennings, and Ree improved this to the weaker condition that all of $|\lambda|$, $|\lambda - 1|$, and $|\lambda + 1|$ are at least 1.

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Let F be the set of values of λ for which \mathbf{G} is free, and R the set of values for which \mathbf{G} is not free. In Corollary 3 we show that $\lambda \in R$ implies that R is dense in some neighbourhood of λ . It then follows that there is a largest region, say F^* , contained in F . A region is the closure of an open set, and in this case F^* is the closure of the interior points of F . The complement of F^* , say R^* , is the smallest open region containing R . An open region is the interior of a region, and in this case, R^* is the interior of the closure of R .

In § 1 we further improve results aimed at determining F^* , in particular we improve on the result of Chang, Jennings, and Ree, weakening their condition in two independent directions.

In § 2 we examine values of λ which are not free, making several additions to known results. It should be remarked that the largest known region in F^* and the largest known open region in R^* do not exhaust the complex plane: a substantial part of the annulus $\frac{1}{2} \leq |\lambda| < 2$ remains in doubt. The known results are summarized in a diagram which follows the statement of Theorem 4. Section 3 contains a few tentative observations about the structure of \mathbf{G} for real λ .

1. Groups that are free. In proving their result, Chang, Jennings, and Ree used an instance of a classical argument, which Ford (5) called “the method of combination” and Fricke and Klein (6) called “the method of composition”. Macbeath (12) formulated a general statement of this argument. After stating Macbeath’s result in a slightly different formulation, which we have proved and used elsewhere (11), we restate and reprove the result of Chang, Jennings, and Ree.

THEOREM 1 (Macbeath). *Let \mathbf{G} be a group of permutations of an infinite set Ω . Let \mathbf{G} be generated by two of its subgroups \mathbf{A} and \mathbf{B} , at least one of which has order greater than 2. Let Γ and Δ be disjoint non-empty subsets of Ω . Suppose now that $1 \neq A \in \mathbf{A}$ implies $A\Gamma \subseteq \Delta$ and $1 \neq B \in \mathbf{B}$ implies $B\Delta \subseteq \Gamma$. Then \mathbf{G} is the free product of its subgroups \mathbf{A} and \mathbf{B} .*

A proof is given in (11).

If S is any set in the extended complex plane, we write S^N for the interior of the complement of S . Note that if S is an open region (interior of its own closure), then S^N also is an open region, and $(S^N)^N = S$.

COROLLARY 1. *Let λ be any complex number, and let \mathbf{G} be the group of linear fractional transformations of the complex plane Ω generated by the two elements*

$$A = \begin{pmatrix} 1 & 2 \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \lambda & 1 \end{pmatrix}.$$

Let

$$J = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \quad \text{and} \quad T = JBJ.$$

Let Γ be an open region in Ω , neither empty nor all of Ω , and let $\Sigma = J\Gamma^N$. Now \mathbf{G} is a free group, freely generated by A and B , provided that

- (1) $A^k\Gamma \cap \Gamma = \emptyset$ for all $k \neq 0$,
- (2) $T^k\Sigma \cap \Sigma = \emptyset$ for all $k \neq 0$.

To prove this, let $\Delta = \Gamma^N$. Then (2) is equivalent to (2'): $B^k\Delta \cap \Delta = \emptyset$ for all $k \neq 0$. Now (1) implies that, for $k \neq 0$, the open set $A^k\Gamma$ is contained in the complement $\bar{\Gamma}$ of Γ , hence in the interior Δ of $\bar{\Gamma}$. Similarly, (2') implies that $B^k\Delta \subset \Gamma$ for $k \neq 0$.

THEOREM 2 (Chang, Jennings, and Ree). *Let λ be a complex number lying in none of the open discs of radius 1 with centres $-1, 0, +1$. Then the group \mathbf{G} generated by*

$$A = \begin{pmatrix} 1 & 2 \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \lambda & 1 \end{pmatrix}$$

is a free group, freely generated by A and B .

We proceed by making choices for the sets Γ, Δ , and Σ in Corollary 1. We choose for Γ the set $|\operatorname{Re} z| < 1$. The set Γ^N then consists of the set $\Delta_1, \operatorname{Re} z > 1$, and $\Delta_2, \operatorname{Re} z < -1$, so that $\Delta = \Delta_1 \cup \Delta_2$. The set $\Sigma = J\Delta = J\Delta_1 \cup J\Delta_2 = \Sigma_1 \cup \Sigma_2$, where Σ_1 is the disc $|z - \frac{1}{2}| < \frac{1}{2}$, and Σ_2 is the disc $|z + \frac{1}{2}| < \frac{1}{2}$. It is immediate that (1) is satisfied for this choice of Γ , and (3) will be satisfied if the discs Σ_1 and Σ_2 are disjoint from the translated discs $T^k\Sigma_1$ and $T^k\Sigma_2$ for all $k \neq 0$. Now all of these discs have radius $\frac{1}{2}$ and centres of the form $k\lambda \pm \frac{1}{2}$. The condition that all these centres are at least a distance one apart is precisely the hypothesis of the theorem.

THEOREM 3. *Let K be the convex hull of the set consisting of the circle $|z| = 1$ together with the two points $z = \pm 2$. If the complex number λ is not in the interior of K , then \mathbf{G} , as above, is freely generated by A and B .*

Let Σ be, as before, the region bounded by the two circles C_1 and C_2 of radius $\frac{1}{2}$ with centres $\pm\frac{1}{2}$, and let λ satisfy the hypothesis of Theorem 2. Then we know that $T^k\Sigma \cap \Sigma = \emptyset$ for all $k \neq 0$. For arbitrary $u \neq 0$, let

$$U = \begin{pmatrix} u & 0 \\ 0 & 1 \end{pmatrix},$$

and let

$$\Sigma^* = U\Sigma \quad \text{and} \quad T^* = UTU^{-1} = \begin{pmatrix} 1 & u\lambda \\ 0 & 1 \end{pmatrix}.$$

It follows that $T^{*k}\Sigma^* \cap \Sigma^* = \emptyset$ for all $k \neq 0$. Let $\Delta^* = J\Sigma^*$ and $\Gamma^* = (\bar{\Delta}^*)_i$. The group G^* generated by A and

$$JT^*J = \begin{pmatrix} 1 & 0 \\ u\lambda & 1 \end{pmatrix}$$

will be free provided $A^k\Gamma^* \cap \Gamma^* = \emptyset$ for all $k \neq 0$.

Now Γ^* is an oblique strip bounded by the two parallel lines $L_1 = JUC_1$ and $L_2 = JUC_2$, symmetric in the origin. The desired condition will hold provided L_1 passes through the point $+1$ and hence L_2 passes through -1 . If L is the line $\operatorname{Re} z = 1$, then $C_1 = JL$, and $L_1 = JUJL = VL$ for

$$V = JUJ = \begin{pmatrix} u^{-1} & 0 \\ 0 & 1 \end{pmatrix}.$$

Now $+1$ on VL is equivalent to $V^{-1}(+1) = u$ lying on L , that is, to $\operatorname{Re} u = 1$.

This shows that if λ satisfies the hypothesis of Theorem 2, then \mathbf{G} is free for all $\lambda_1 = u\lambda$, where u ranges over the line $\operatorname{Re} u = 1$; equivalently, \mathbf{G} is free for all λ_1 lying on the line through λ that is perpendicular to the line from λ through the origin. With this, the conclusion of Theorem 3 follows immediately from that of Theorem 2.

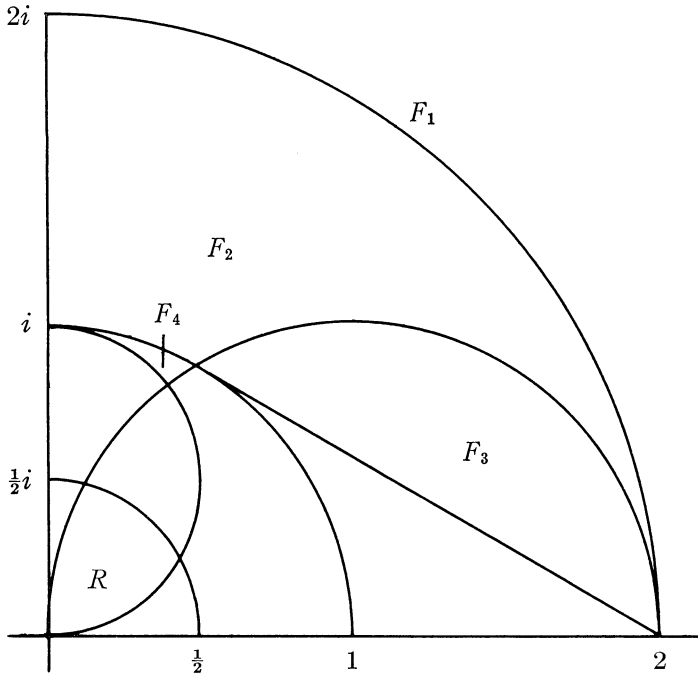
THEOREM 4. *Let λ be a complex number such that $|\lambda \pm \frac{1}{2}i| \geq \frac{1}{2}$ and $|\lambda \pm 1| \geq 1$. Then \mathbf{G} , defined as above, is freely generated by A and B .*

Before beginning the proof, we offer a comment and an illustrative figure. First, we remark that the set of λ for which \mathbf{G} is free is symmetric with respect to reflection in both the real and the imaginary axes. It is immediate that if \mathbf{G} is free for a complex number λ it is also free for the complex conjugate $\bar{\lambda}$ of λ . Furthermore, replacing λ by $-\lambda$ has the effect of replacing the generators A and B for \mathbf{G} by the generators A and B^{-1} , and thus does not affect the question of whether \mathbf{G} is free on the given generators. In view of this symmetry, we may confine our figure to the first quadrant.

In the figure, the region F_1 consists of those λ with $|\lambda| \geq 2$, for which Brenner showed that \mathbf{G} is free. The result of Chang, Jennings, and Ree, shows that \mathbf{G} is free also for λ in the additional region F_2 . Theorems 3 and 4 show that, further, \mathbf{G} is free for λ in the additional regions F_3 and F_4 . By way of contrast, the quarter disc R is an open set in which values of λ for which \mathbf{G} is not free are dense. Among the radial spines emanating from R (which will be described in Theorem 5) along which values of λ for which \mathbf{G} is not free are dense, are the segment of the real axis from 0 to $+2$ and the segment of the imaginary axis from 0 to $+i$.

The plan of the proof is as follows. In view of earlier remarks, we may suppose that λ lies inside the open curvilinear triangular region F_4 . We start as in the proof of Theorem 2 by taking Γ to be the strip $|\operatorname{Re} z| < 1$ and Σ to be $J\Gamma^N$. For these choices, (1) holds but (2) fails, with Σ overlapping $T^{-1}\Sigma$ and $T\Sigma$. To restore (2) we replace Σ by a smaller set Σ^1 . Now, however, $\Gamma^1 = J\Sigma^{1N}$ is larger than Γ , and (1) fails, with Γ^1 overlapping $A^{-1}\Gamma^1$ and $A\Gamma^1$. To restore (1) we replace Γ^1 by a smaller set Γ^2 . Now $\Sigma^2 = J\Gamma^{2N}$ is larger than Σ^1 , but we find that, nonetheless, (2) remains valid. The conclusion now follows from Corollary 1 applied to Γ^2 and Σ^2 .

In the proof we assume that λ is in F_4 . We also use the fact that both $|\lambda|$ and $\operatorname{Im} \lambda$ attain their minima on the closure \bar{F}_4 of F_4 at the lowest vertex, $(2 + 4i)/5$, whence we have $|\lambda| > 2/\sqrt{5}$ and $\operatorname{Im} \lambda > 4/5$.



To begin the proof we repeat that Γ , defined by $|\operatorname{Re} z| < 1$, satisfies condition (1). As in the proof of Theorem 2, $\Sigma = J\Gamma^N$ is the union of two discs Σ_1 and Σ_2 of radius $\frac{1}{2}$ and with centres at $-\frac{1}{2}$ and $+\frac{1}{2}$. Now $T^k\Sigma_1$ and Σ_2 have centres $-\frac{1}{2} + k\lambda$ and $+\frac{1}{2}$, and will be disjoint provided their centres are at a distance $|k\lambda - 1| \geq 1$. But it is clear geometrically that the hypotheses $|\lambda - 1| > 1$ and $\operatorname{Re} \lambda > 0$ imply that $|k\lambda - 1| > 1$ for all $k \neq 0$. Similarly, $T^k\Sigma_i$ and Σ_i will be disjoint provided $|k\lambda| \geq 1$. Since $|\lambda| > 2/\sqrt{5} > \frac{1}{2}$, this will be the case provided $|k| \geq 2$. It follows that, if we form Σ^1 from Σ by deleting the closures of $\Sigma_1 \cap T^{-1}\Sigma_1$ and $\Sigma_2 \cap T\Sigma_2$, then Σ^1 will satisfy condition (2).

From the definition of Σ^1 , it follows that $\Gamma^1 = J\Sigma^{1N}$ is the union of $\Gamma_1^1 = \Gamma_1 \cup JT^{-1}\Sigma_1$ and $\Gamma_2^1 = \Gamma_2 \cup JT\Sigma_2$. Examination shows that $JT\Sigma_2$ lies in the fourth quadrant, while $JT^{-1}\Sigma_1$ lies in the second quadrant. When we have shown, in the next paragraph, that the common diameter of these two discs is less than two, it will follow that $A^k\Gamma^1 \cap \Gamma^1 = \emptyset$ for $|k| \geq 2$, and also that

$$\Gamma^1 \cap A\Gamma^1 = \Gamma^1 \cap AJT^{-1}\Sigma_1 = P_2 \text{ and } \Gamma^1 \cap A^{-1}\Gamma^1 = \Gamma^1 \cap A^{-1}JT\Sigma_2 = P_1.$$

The boundary of $T\Sigma_2$ is the circle $C: |z - v| = \frac{1}{2}$, where $v = \lambda + \frac{1}{2}$. Thus $JT\Sigma_1$ has boundary JC with equation $|1/z - v| = \frac{1}{2}$, or $|z| = 2|v| \cdot |z - 1/v|$. Generally, for $h > 0$, the circle $|z - a| = h|z - b|$ has diameter

$$d = \left| \frac{2h(a - b)}{h^2 - 1} \right|.$$

Thus JC has diameter

$$d = \left| \frac{4}{4|v^2| - 1} \right|.$$

Since $v = \lambda + \frac{1}{2}$ with $\text{Re } \lambda > 0$, we have $|v| > \frac{1}{2}$, and the denominator is positive. Thus $d < 2$ is equivalent to $|v^2| > \frac{3}{4}$. Since $|v^2| = |\lambda|^2 + \text{Re } \lambda + \frac{1}{4}$, it suffices that $|\lambda|^2 > \frac{1}{2}$, which follows from $|\lambda| > 2/\sqrt{5}$.

It is immediate from the foregoing that $\Gamma^2 = \Gamma^1 - (\bar{P}_1 \cup \bar{P}_2)$ will satisfy (1). To complete the proof, it remains to show that $\Sigma^2 = J\Gamma^{2N}$ satisfies condition (2). From the definition of Γ^2 it follows that $\Sigma^2 = \Sigma^1 \cup D_1 \cup D_2$, where $D_1 = JA^{-1}JT\Sigma_2$ and $D_2 = JAJT^{-1}\Sigma_1$. We know already that $T^k\Sigma^1 \cap \Sigma^1 = \emptyset$ for $k \neq 0$, whence it suffices to show that D_1 and D_2 are disjoint from $T^k\Sigma^2$ for $k \neq 0$. By symmetry, it is enough to show that D_1 is disjoint from $T^k\Sigma^2$ for $k \neq 0$. If $k < 0$, then $T^k\Sigma^2$ lies in the lower half plane, and is disjoint from D_1 , which lies in the upper half plane. It remains to show D_1 disjoint from $T^k\Sigma^2$ for $k > 0$.

We have noted that D_1 lies in the upper half plane. Also, D_1 meets Σ_1 , which lies entirely in the left half plane. Therefore, to show that D_1 lies entirely in the second quadrant, it suffices to show that the boundary of D_1 does not meet Y , the imaginary axis. If C is the boundary of $T\Sigma_2$, then D_1 has boundary $JA^{-1}JC$, and the condition $JA^{-1}JC \cap Y = \emptyset$ is equivalent to the condition $C \cap JAJY = \emptyset$. Now $JY = Y$, whence $AJY = AY$ is the line $\text{Re } z = 2$, and $JAJY$ is the circle $|z - \frac{1}{4}| = \frac{1}{4}$. Since C is the circle with centre $\lambda - \frac{1}{2}$ and radius $\frac{1}{2}$, it suffices to show that the distance $|\lambda - \frac{1}{4}|$ between the centres exceeds $\frac{3}{4}$, the sum of the radii. For this it is easily verified that the minimum value of $|\lambda - \frac{1}{4}|$ on \bar{F}_4 is attained at the vertex $(2 + 4i)/5$, where it exceeds $\frac{3}{4}$.

We have shown that D_1 lies in the left half plane. By symmetry, D_2 lies in the right half plane. Since Σ_2^1 , as a subset of Σ_2 , lies in the right half plane, so does $\Sigma_2^2 = \Sigma_2^1 \cup D_2$, and with it $T^k\Sigma_2^2$ for all $k > 0$. Thus $D_1 \cap T^k\Sigma_2^2 = \emptyset$ for all $k > 0$.

We must show that $D_1 \cap T^k\Sigma_1^2 = \emptyset$ for all $k > 0$. Since $\Sigma_1^2 = \Sigma_1^1 \cup D_1$ and $\Sigma_1^1 \subset \Sigma_1$, this splits into showing that $D_1 \cap T^k\Sigma_1 = \emptyset$ and $D_1 \cap T^kD_1 = \emptyset$ for all $k > 0$. We begin by showing that $D_1 \cap T\Sigma_1 = \emptyset$. Let

$$U = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix};$$

then $A = U^2$, $T\Sigma_2 = UT\Sigma_1$, and $D_1 = JU^{-2}JUT\Sigma_1$. Setting

$$W = JU^{-2}JU = \begin{pmatrix} 1 & 1 \\ -2 & -1 \end{pmatrix},$$

we must show that $WT\Sigma_1 \cap T\Sigma_1 = \emptyset$. Now W is an involution with fixed points $p, p' = (-1 \pm i)/2$. Since $T\Sigma_1$ has centre $\lambda - \frac{1}{2}$ and radius $\frac{1}{2}$, the hypothesis that $|\lambda - \frac{1}{2}i| > \frac{1}{2}$ implies that p does not lie in $T\Sigma_1$. Let E be the

disc with the same centre as $T\Sigma_1$ and with p on its boundary B ; then it suffices to show that $WE \cap E = \emptyset$. Since W is a non-Euclidean half turn about p , B and WB are externally tangent at p , and it suffices to show that WE is the finite region bounded by WB , that is, that ∞ is not in WE . Since $\text{Im } \lambda > \frac{1}{2}$, the centre $\lambda - \frac{1}{2}$ of E lies above the horizontal line through p , and therefore is nearer to p , on its boundary, than to $-\frac{1}{2}$. Thus $-\frac{1}{2}$ is not in E , and $W(-\frac{1}{2}) = \infty$ is not in WE .

To show that $D_1 \cap T^k\Sigma_1 = \emptyset$ for $k > 1$, it suffices to observe that $T\Sigma_1$ lies above the common tangent line H separating E from WE , and that, since $\text{Im } \lambda > 0$, $T^k\Sigma_1$ will lie above H for all $k \geq 1$, while $D_1 \subset WE$ will lie below H .

To complete the proof we must show that $D_1 \cap T^kD_1 = \emptyset$ for all $k > 0$. This amounts to showing that D_1 has diameter $d < |\lambda|$. From the fact that $D_1 = JA^{-1}JT\Sigma_2$ and our knowledge of $T\Sigma_2$, we conclude that the boundary of D_1 has an equation of the form $|z + \frac{1}{2}| = 2|\lambda| \cdot |z + \frac{1}{2} + \frac{1}{4}\lambda|$. A formula used earlier gives $d = 1/|4r^2 - 1|$, where $r = |\lambda|$. Since $r > \frac{1}{2}$, we have $d = 1/(4r^2 - 1)$, and the condition $d > r$ becomes $1 < 4r^3 - r$, or that $f(r) = 4r^3 - r - 1$ be positive. It is routine to check that this is true for all $r > 2/\sqrt{5}$. This completes the proof of Theorem 4.

2. Points where \mathbf{G} is not free. We remark that, for $\mu \neq 0$, if \mathbf{G} is not freely generated by

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \mu & 1 \end{pmatrix},$$

then \mathbf{G} is not a free group. For it is a special case of a well-known result that if a free group is generated by two elements but not freely, then it has rank less than two, and hence is abelian. But, for $\mu \neq 0$,

$$AB = \begin{pmatrix} 1 + \mu^2 & \mu \\ \mu & 1 \end{pmatrix}$$

is not equal to

$$BA = \begin{pmatrix} 1 & \mu \\ \mu & 1 + \mu^2 \end{pmatrix}.$$

The following theorem is about groups \mathbf{G} that are not free. This theorem and Corollary 3 are slight extensions of results of Ree (15).

THEOREM 5. *Let μ_0 be a complex number such that $\mu_0^{2n} = -4$ for some positive integer n . Then values of μ for which the group \mathbf{G} generated by*

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \mu & 1 \end{pmatrix}$$

is not free are dense on the line segment joining μ_0 to the origin.

The proof consists in showing that, for a dense set of values of μ on the

described segment, a certain commutator has finite order. Let T be any unimodular matrix and $T' = [A, T] = ATA^{-1}T^{-1}$. We write

$$T = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$$

and calculate the entries of

$$T' = \begin{pmatrix} a' & b' \\ c' & d' \end{pmatrix}$$

in terms of those of T . Now,

$$AT = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \begin{pmatrix} a & b \\ c & d \end{pmatrix} = \begin{pmatrix} a + c\mu & b + d\mu \\ c & d \end{pmatrix}$$

and

$$A^{-1}T^{-1} = \begin{pmatrix} 1 & -\mu \\ 0 & 1 \end{pmatrix} \begin{pmatrix} d & -b \\ -c & a \end{pmatrix} = \begin{pmatrix} d + c\mu & -b - a\mu \\ -c & a \end{pmatrix},$$

whence, using $ad - bc = 1$,

$$T' = \begin{pmatrix} 1 + ac\mu + c^2\mu^2 & * \\ c^2\mu & 1 - ac\mu \end{pmatrix}.$$

We see, in particular, that $c' = c^2\mu$, whence $c'\mu = (c\mu)^2$, and that T' has trace $t' = 2 + c^2\mu^2 = 2 + c'$.

Define T_n recursively by taking

$$T_0 = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix} \text{ and } T_{n+1} = [A, T_n].$$

Note that, although T_0 need not belong to \mathbf{G} , we have $T_1 = AT_0A^{-1}T_0^{-1} = AB$, so that T_n is in \mathbf{G} for all $n \geq 1$. Let

$$T_n = \begin{pmatrix} a_n & b_n \\ c_n & d_n \end{pmatrix} \text{ and } t_n = \text{Tr } T_n.$$

Now $c_0 = 1$ and $c_{n+1}\mu = (c_n\mu)^2$ implies that $c_n\mu = \mu^{2^n}$, whence $t_n = 2 + c_n\mu = 2 + \mu^{2^n}$.

Suppose that $\mu = r\mu_0$, where $\mu_0^{2^n} = -4$ and $0 \leq r \leq 1$. Then $t_n = 2 - 4r^{2^n}$. If $t_n = 2 \cos \theta$, for θ a rational multiple of π , then T_n has finite order. Now numbers $t = 2 \cos \theta$ for θ a rational multiple of π are dense in the interval $[-2, +2]$. Since the map carrying r into t_n is a homeomorphism from the interval $[0, 1]$ onto $[-2, 2]$, it follows that the values of r for which \mathbf{G} is not free are dense in the interval $[0, 1]$. This completes the proof of the theorem.

We remark that Ree has shown that the two open segments joining -2 to 2 and $(1 + i)$ to $-(1 + i)$ arising in Theorem 5 are contained in a connected set that is open in the topology of the plane, and in which the values of μ for which \mathbf{G} is not free are dense.

COROLLARY 2 (Ree). *Values of μ for which \mathbf{G} is not free are dense in the unit disc.*

COROLLARY 3. *Let R' be the set of μ for which \mathbf{G} is not free. If $\mu_0 \in R'$, then a neighbourhood of μ_0 lies in R' .*

Proof. We treat μ as an indeterminate. If $\mu_0 \in R'$, then there is a matrix $\begin{pmatrix} * & * \\ p_{21}(\mu) & * \end{pmatrix}$ generated by A and B , such that $p_{21}(\mu)$ is not the zero polynomial, and that $p_{21}(\mu_0) = 0$. Using this matrix for T_0 in the proof of Theorem 5, we find that $t_n = 2 + (\mu p_{21}(\mu))^{2n}$. The set where $|\mu p_{21}(\mu)| < 1$, say D , is an open set containing μ_0 . If $\mu' \in D$, then in every neighbourhood of μ' there is some value, say μ'' , and a value of n , such that $t_n = 2 \cos \theta$ for θ a rational multiple of π . Thus T_n has finite order, and $\mu'' \in R'$. This completes the proof.

Remark. For the extreme values of μ , satisfying $\mu^{2n} = -4$, \mathbf{G} is free provided $n = 1$ or $n = 2$, but \mathbf{G} need not be free for such μ if $n = 3$.

If $n = 1$, then $\mu^2 = -4$, whence $2\lambda = \mu^2 = -4$, and $\lambda = -2$. If $n = 2$, then $\mu^4 = -4$, $\mu^2 = \pm 2i$, $2\lambda = \mu^2 = \pm 2i$, and $\lambda = \pm i$. That \mathbf{G} is free for such μ follows from Theorem 1.

Let $n = 3$. Four of the roots of $\mu^8 = -4$, including that with smallest angle, satisfy the equation $\mu^4 - 2\mu^2 + 2 = 0$. We show that \mathbf{G} is not free for μ satisfying this equation. More explicitly, we note that

$$T_3 = [A, [A, B]] = A(ABA^{-1}B^{-1})A^{-1}(BAB^{-1}A^{-1})$$

is conjugate to $S = [A^{-1}, B][A, B]$. Write

$$A = \begin{pmatrix} 1 & \alpha \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \beta & 1 \end{pmatrix}.$$

Then

$$AB = \begin{pmatrix} 1 + \alpha\beta & \alpha \\ \beta & 1 \end{pmatrix}, \quad A^{-1}B^{-1} = \begin{pmatrix} 1 + \alpha\beta & -\alpha \\ -\beta & 1 \end{pmatrix},$$

and

$$[A, B] = \begin{pmatrix} 1 + \alpha\beta + \alpha^2\beta^2 & -\alpha^2\beta \\ \alpha\beta^2 & 1 - \alpha\beta \end{pmatrix}.$$

Now

$$S = [A^{-1}, B][A, B] = \begin{pmatrix} 1 - \mu^2 + \mu^4 & -\mu^3 \\ * & * \end{pmatrix} \begin{pmatrix} * & -\mu^3 \\ * & 1 - \mu^2 \end{pmatrix} = \begin{pmatrix} * & b \\ * & * \end{pmatrix},$$

where $b = -\mu^3(2 - 2\mu^2 + \mu^4) = 0$. That \mathbf{G} is not free now follows from the fact that the affine group stabilizing a point in $\text{PSL}_2(\mathbf{C})$ is metabelian. More explicitly, computation shows that

$$B' = SBS^{-1} = \begin{pmatrix} 1 & 0 \\ \nu & 1 \end{pmatrix}$$

for some ν , whence B' commutes with B .

We remark that the solution of $\mu^8 = -4$ with smallest angle yields $\lambda = \frac{1}{2}(1 + i)$, well away from the free regions discussed in § 1.

The method used above can be given a more general formulation; this raises some interesting questions, but has not enabled us to gain much additional information. For this, we again view μ as an indeterminate. Then any word $W(\mu) = A^{a_1}B^{b_1} \dots A^{a_n}B^{b_n}$ is given by a matrix whose entries are polynomials in μ with coefficients depending on $a_1, b_1, \dots, a_n, b_n$. Write

$$W(\mu) = \begin{pmatrix} 1 + p_{11}(\mu) & p_{12}(\mu) \\ p_{21}(\mu) & 1 + p_{22}(\mu) \end{pmatrix}.$$

It is easy to see, for example writing $A = I + \mu E_{12}$ and $B = I + \mu E_{21}$, that $p_{12}(\mu) = c_1\mu + c_3\mu^3 + \dots + c_{2n-1}\mu^{2n-1}$, an odd polynomial, where each coefficient c_{2k+1} is the sum of all products $a_{i_1}b_{j_1} \dots a_{i_k}b_{j_k}a_{i_{k+1}}$ where the factors are, in order, a subsequence of the sequence $a_1, b_1, \dots, a_n, b_n$. We note also that if W is a non-trivial reduced word, that is, if $n > 0$ and all $a_i, b_j \neq 0$, then p_{12} is a non-constant polynomial with leading coefficient

$$c_{2n-1} = a_1b_1 \dots b_{n-1}a_n.$$

The remaining p_{ij} are analogous.

PROPOSITION 1. *A complex number μ determines a group \mathbf{G} that is not free if and only if μ is a root of some polynomial $p(x)$ determined by a sequence $a_1, b_1, \dots, a_n, b_n$ of non-zero integers in the following manner:*

$$p(x) = \sum c_{2k+1}x^{2k+1},$$

odd, where each $c_{2k+1} = \sum a_{i_1}b_{j_1} \dots a_{i_k}b_{j_k}a_{i_{k+1}}$, sum over all

$$i_1 \leq j_1 < i_2 \leq j_2 < \dots \leq j_k < i_{k+1}.$$

If \mathbf{G} is not free, then for some non-trivial reduced W we have $W(\mu) = I$, and hence $p_{12}(\mu) = 0$. Conversely, if $p_{12}(\mu) = 0$ for some non-trivial p_{12} , hence for some W that is not a power of B , we have

$$W(\mu) = \begin{pmatrix} * & 0 \\ * & * \end{pmatrix},$$

and, as before, $B' = WBW^{-1}$ commutes with B .

We next apply the method indicated above to find a few more points for which \mathbf{G} is not free.

PROPOSITION 2. *\mathbf{G} is not free if $\mu = \sqrt{(2/n)}$ or $\mu = \sqrt[4]{(2/n)}$ for some positive integer n .*

To see this, note that if the trace $t(\mu)$ of $W = A^{a_1}B^{b_1} \dots A^{a_n}B^{b_n}$ vanishes, then $W^2 = 1$ and (assuming always W reduced and non-trivial) \mathbf{G} is not free. If $n = 1$, then $t(\mu) = 2 + a_1b_1\mu^2$ with roots $\mu = \pm \sqrt{(2/a_1b_1)}$. If $n = 2$, then $t(\mu) = 2 + k\mu^2 + c\mu^4$, where $c = a_1a_2b_1b_2$ and $k = (a_1 + a_2)(b_1 + b_2)$. To make $k = 0$ take $a_2 = -a_1$; then $t(\mu)$ has as roots the fourth roots of $2/a_1^2b_2b_3$.

The first half of the above proposition is contained in a more general result.

PROPOSITION 3. *If μ determines a group \mathbf{G} that is not free, then so does $\mu' = \mu\sqrt{(2/n)}$ for every non-zero integer n .*

This is equivalent to the assertion that if λ determines a group \mathbf{G} that is not free, then so does $\lambda' = \lambda/n$. But this follows from the fact that any relation between

$$A = \begin{pmatrix} 1 & 2 \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B' = B^n = \begin{pmatrix} 1 & 0 \\ n\lambda & 1 \end{pmatrix}$$

is *a fortiori* a relation between A and B .

Finally we explore the case, for $n = 3$, where W is periodic.

PROPOSITION 4. *If $\omega^6 = +1$, then points where $W = A^{-1}B^{-2}A^{-1}BA^2B$ has finite order are dense on the line segment from ω to the origin. If $\omega^6 = -1$, the same is true for $W = AB^{-2}ABA^{-2}B$.*

Let $W = A^{a_1}B^{b_1} \dots B^{b_3}$. To make the coefficient of μ^2 in $t(\mu)$ vanish, we take $a_1 + a_2 + a_3 = 0$. Now calculation shows that $t(\mu) = 2 + k\mu^4 + c\mu^6$ with $k = -a_2^2b_1b_2 - a_1^2b_1b_3 - a_3^2b_2b_3$ and $c = \prod a_i \prod b_i$. To make $k = 0$, we choose $a_1, a_2, b_2, b_3 = 1$ and $a_3 = b_1 = -2$. Then $t(\mu) = 2 + 4\mu^6$, and $t(\mu)$ ranges from $+2$ to -2 as μ^6 ranges from 0 to -1 . Changing the signs of the a_i gives similarly $t(\mu) = 2 - 4\mu^6$.

3. Structure of groups \mathbf{G} for real μ . From (3) we know that \mathbf{G} is free for $|\mu| \geq 2$. As noted, it follows that \mathbf{G} is free if μ is transcendental or is algebraic with an algebraic conjugate μ' such that $|\mu'| \geq 2$. We know of no real μ not falling under one of the above heads for which \mathbf{G} is free. It is well known (see 9) that the only discontinuous \mathbf{G} for $-2 < \mu < +2$ are essentially the Hecke groups, which, although not free, are free products of cyclic groups. (From this it follows that no \mathbf{G} , for $-2 < \mu < +2$ can be shown free by Macbeath's method, using for Γ and Δ regions in the plane under its natural topology.) After examining the groups just mentioned, we find a few rational values of μ , with $|\mu| < 2$, for which we can show that \mathbf{G} is not free; but we have not been able to settle even the case that $\mu = 7/4$.

For certain values of μ , the group \mathbf{G} generated by

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \mu & 1 \end{pmatrix},$$

although not free, is a free product of cyclic groups. It is well known that, for $\mu = 1$, the two transvections A and B generate the unimodular group, $\mathbf{G} = \text{PSL}_2(\mathbf{Z})$, and that this group is the free product of the cyclic groups generated by the two elements

$$J = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix}$$

of order 2 and

$$S = AJ = \begin{pmatrix} 1 & -1 \\ 1 & 0 \end{pmatrix}$$

of order 3. For other values of μ , the element J need not belong to \mathbf{G} , and it is profitable to study the larger group \mathbf{H} obtained by adjoining J to \mathbf{G} . Since $B = JA^{-1}J$, the group \mathbf{H} is generated by

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad J = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix}.$$

Among these groups, for μ real, the only groups acting discontinuously (on the upper half plane) are known to be the Hecke groups, where $\mu = 2 \cos \theta$, θ a rational multiple of π , together with those for $|\mu| \geq 2$.

A standard proof that \mathbf{H} is discontinuous also reveals the structure of \mathbf{H} as a free product; for example, one can recognize \mathbf{H} as the conformal subgroup of the Coxeter group generated by reflections in the sides of the hyperbolic triangle with vertices ∞ , i , and $e^{2\pi i/q}$. We indicate here a proof based on Macbeath's lemma.

THEOREM 6. *Let \mathbf{H} be the group of linear fractional transformations generated by*

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad J = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix},$$

where $\mu = 2 \cos(p/q)\pi$ for p and q relatively prime integers, $q > 2$. Then \mathbf{H} is the free product of the two cyclic groups generated by J , of order 2, and the other by

$$S = AJ = \begin{pmatrix} \mu & -1 \\ 1 & 0 \end{pmatrix},$$

of order q .

First, it is clear that J and S generate \mathbf{H} . Now $\mu = \zeta + \zeta^{-1}$, where ζ is a primitive q th root of unity. Since all primitive q th roots of unity are algebraic conjugates, \mathbf{H} will be isomorphic to the group obtained by replacing ζ by the special choice $\zeta = e^{\pi i/q}$. Now S , as well as J , satisfies the special hypothesis (of having minimal angle of rotation) of the theorem in (11, § 5). Moreover, $SJ = A$ has the real fixed point ∞ , whence it follows by that theorem that \mathbf{H} is the free product of the groups generated by J and by S .

THEOREM 7. *Let \mathbf{G} be the group generated by*

$$A = \begin{pmatrix} 1 & \mu \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \mu & 1 \end{pmatrix},$$

for μ as above. If q is odd, then \mathbf{G} coincides with \mathbf{H} , as above. If $q = 2n$, even, then \mathbf{G} is a proper subgroup of \mathbf{H} , and is the free product of two cyclic groups generated by A , of infinite order, and by $AB^{-1} = S^2$, of order n .

We verify that $A = SJ$, $B = S^{-1}J$, and $AB^{-1} = S^2$. If S has odd order, it is contained in the group generated by S^2 , whence S is in \mathbf{G} and also $J = SB$ is in \mathbf{G} , and it follows that $\mathbf{G} = \mathbf{H}$. Suppose now that $q = 2n$. Then $(AB^{-1})^n = 1$, and it remains to show that A and B satisfy no relation that is not a consequence of this one.

For this it will suffice to show that if $W = A^{a_1}B^{b_1} \dots B^{b_t}$ is a non-trivial reduced word ($t > 0$ and all $a_i, b_i \neq 0$) that cannot be shortened by use of the relation $(AB^{-1})^n = 1$, then $W \neq 1$. We suppose then that $W = 1$, and yet that W does not contain any part $(AB^{-1})^n$, $(B^{-1}A)^n$, $(BA^{-1})^n$, or $(A^{-1}B)^n$; from this assumption we shall draw a contradiction. Form W_1 from W by making the literal substitutions: $A \rightarrow SJ$, $A^{-1} \rightarrow JS^{-1}$, $B \rightarrow S^{-1}J$, $B^{-1} \rightarrow JS$, and without making any cancellations in the resulting word. It is immediate that W_1 will contain no part JJJ , and, from the fact that W was reduced, that W_1 will contain no part SS^{-1} , $S^{-1}S$, $SJJS^{-1}$ or $S^{-1}JJS$. Let W_2 be obtained from W_1 by deleting all parts JJ . Then W_2 will contain no part JJ , SS^{-1} , or $S^{-1}S$. If W_2 contains no part S^q or S^{-q} , then W_2 is the normal form for a non-trivial element in the free product \mathbf{H} , contrary to our assumption that $W = 1$. We may suppose then that W_2 contains such a part, and, by symmetry, that W_2 contains a part S^q . Inspection shows that a sequence of q consecutive letters S in W_2 can arise only from a part of W_1 of the form

$$(JS)(SJ)(JS) \dots (JS)(SJ),$$

and hence from a part $(B^{-1}A)^n$ of W . But this contradicts our assumption on W , completing the proof of the theorem.

Let $\mathbf{G}(\mu)$ be generated by A and B , for $\mu = 2 \cos(p/q)\pi$, $(p, q) = 1$, $q \geq 3$. From our knowledge of $\mathbf{G}(\mu)$, as a free product, it is easy to see that, if $hk > 1$ (except $hk = 2$ and $q = 3$), A^h and B^k generate a free subgroup \mathbf{G}' of $\mathbf{G}(\mu)$, conjugate to $\mathbf{G}(\mu')$, where $\mu' = \sqrt{hk} \mu$. However, this gives us no new information, since μ' has a conjugate $\mu_0' = \sqrt{hk} 2 \cos(\pi/q)$ with $|\mu_0'| \geq 2$.

In considering the groups \mathbf{G} defined by μ as above, it suffices to study those with $\mu = 2 \cos(\pi/q)$, $q > 0$. We have excluded the case $q = 1$, which gives Sanov's group, $\mu = 2$. We have excluded also the case $q = 2$, where $\mu = 0$ and \mathbf{G} is trivial. For $q = 3$ we have $\mu = 1$, and \mathbf{G} is the unimodular group. For $q = 4$, we have $\mu = \sqrt{2}$; it is easy to obtain an explicit description of this group.

PROPOSITION 5. *The group \mathbf{G} generated by*

$$A = \begin{pmatrix} 1 & \sqrt{2} \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad B = \begin{pmatrix} 1 & 0 \\ \sqrt{2} & 1 \end{pmatrix}$$

consists of all

$$T = \begin{pmatrix} a & b\sqrt{2} \\ c\sqrt{2} & d \end{pmatrix},$$

for a, b, c , and d integers satisfying $ad - 2bc = 1$.

That every element T of \mathbf{G} has this form follows from the fact that the diagonal elements in $W(\mu)$ are even polynomials in μ , while the off-diagonal elements are odd polynomials. To show that every such T belongs to \mathbf{G} , we first verify that, if $a, c \neq 0$, then, by a modified division algorithm, $|a| + |c|$ will be diminished in passing to one of $A^{\pm 1}T$ or $B^{\pm 1}T$. It remains to consider the case that $a = 0$ or $c = 0$. However, $a = 0$ contradicts $ad - 2bc = 1$. If $c = 0$, then $ad = 1$; we may suppose that $a = d = 1$, and

$$T = \begin{pmatrix} 1 & b\sqrt{2} \\ 0 & 1 \end{pmatrix} = A^b,$$

in \mathbf{G} .

The next case, $q = 5$, has been studied from a somewhat different point of view by Rosen (16) and Leutbecher (10).

We conclude with some fragmentary remarks about the structure of \mathbf{G} for rational μ . These groups, for $\mu = 1/p$, p a prime, have been studied by Ihara (8), and by Mennicke (13), who showed that \mathbf{G} is the full unimodular group over the ring R_p of rationals with denominator a power of p . There is some reason to suppose that, for general μ , the polynomials $p_{12}^W(\mu)$ associated with words W will not tend to have common roots without good reason, for example unless W_1 and W_2 are in the normal closure of a third word W_3 . One might expect then that the groups under consideration if not free might be free products of groups of a simple nature, perhaps with amalgamation. Since the present paper was submitted, the paper of Behr (1) has come to our attention, in which it is proved, *inter alia*, that \mathbf{G} , for $\mu = 1/p$, p a prime, is finitely presented, as well as the paper of Behr and Mennicke (2) in which a finite presentation is obtained. However, we have not been able to derive from their presentation any insight into the structure of \mathbf{G} .

The group \mathbf{G} for $\mu = 1/p$ of course contains the unimodular group, and therefore satisfies the two defining relations for the unimodular group when expressed in terms of the generators A and B of \mathbf{G} . In the case $\mu = \frac{1}{2}$, we have shown that \mathbf{G} satisfies other relations that are not consequences of these two. The argument consists in first observing that if \mathbf{G} were defined by these two relations alone, it would be the result of adjoining a square root A (in the sense of Neumann (14)) to a certain element of the unimodular group \mathbf{U} , and, in that case, all involutions of \mathbf{G} would be conjugates of those in \mathbf{U} . However, by calculation, we find an involution of the form AX , with X in \mathbf{U} , which cannot possibly be a conjugate of any element of \mathbf{U} .

In this connection we remark that we have shown (with H. Stark (oral communication) supplying the proof of an elementary lemma from number theory) that for $\mu = 1/p$, and p prime, the group \mathbf{G} has exactly two conjugacy classes of involutions if p is of the form $p = 4k + 3$, and exactly one conjugacy class otherwise.

Any relation among the generators of \mathbf{G} for a given value of μ carries with it a relation for μ/n , n an arbitrary integer. Thus, in seeking such relations,

we are led to examine values $1 < \mu < 2$. Let $\mu = 3/2$, and define $W_0 = I$, $W_1 = A^{a_1}W_0$, $W_2 = B^{b_1}W_1$, $W_3 = A^{a_2}W_2$, and so forth, for non-zero integers a_1, b_1, a_2, \dots . We seek to choose these integers in such a way that

$$W_n = \begin{pmatrix} * & 0 \\ * & * \end{pmatrix}$$

for some $n > 0$. It will then follow as before that $B' = W_n^{-1}BW_n$ commutes with B , and hence that \mathbf{G} is not free.

Examination of the second columns of the W_i shows that this reduces to the following problem. Given μ , to find integers h_1, h_2, \dots such that the recursive definition

$$x_0 = 0, \quad x_1 = 1, \quad x_{n+2} = x_n + h_{n+1}\mu x_{n+1}$$

leads to some $x_n = 0$, $n > 0$. The method of choosing the h_i always to minimize $|x_{n+2}|$ works for $\mu = 3/2, 4/3, 5/3, 5/4$, but does not seem to work for $\mu = 7/4$. We summarize our results for these cases.

PROPOSITION 6. *If $\mu = 3/2, 4/3, 5/3, 5/4$, then \mathbf{G} is not free. Indeed, if we let $B' = W^{-1}BW$, then for each value of μ above there is an appropriate choice of W such that the corresponding B' will commute with B , thus yielding a relationship. For $\mu = 3/2$ the choice of $W = A^2B^{-2}AB^{-1}A$ yields $B' = B^{2^6}$; for $\mu = 3/4$, the choice of $W = A^{-18}B^2AB^{-1}A$ yields $B' = B^{3^8}$; for $\mu = 5/3$ the choice of $W = A^{18}B^{-2}ABA^2B^{11}A^2B^{-1}AB^{-1}A$ yields $B' = B^{2^{20}}$; for $\mu = 5/4$ the choice of $W = A^{-8}B^2A^5B^{-3}A^2B^{-1}A$ yields $B' = B^{4^{10}}$.*

We note also that, for $\mu = 3/2$, \mathbf{G} is contained in the principal congruence group $\mathbf{U}(3)$ over R_2 , and contains $\begin{pmatrix} 8 & 0 \\ 0 & 1/8 \end{pmatrix}$; but it does not appear to coincide with $\mathbf{U}(3)$. We repeat that $\mu = 7/4$ is the simplest case of rational μ where we cannot decide whether \mathbf{G} is free.

We state a final result concerning rational values of μ for which \mathbf{G} is not free.

PROPOSITION 7. *If $\mu = p/(p^2 + 1)$, p a positive integer, then $A^{h_3}B^{h_2}A = W$, with $h_2 = -(p^2 + 2)$, $h_3 = -(p^2 + 1)^2$, has the form $\begin{pmatrix} * & 0 \\ * & * \end{pmatrix}$. Thus \mathbf{G} is not free for any of these values of μ .*

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