

$A, A(u) = \bar{v}\bar{u}vu, A(v) = \bar{u}\bar{v}\bar{u}A(\bar{u})$, which is not equivalent to a Nielsen transformation.

L is the group of Listing's knot, the automorphisms of which were first studied by Dehn [6].

PROOF. Suppose $A \sim N$. The commutator subgroup L' contains u (since the generating relation R implies $\bar{u} = [uv, \bar{u}\bar{v}]$), hence it contains all conjugates $v^k u \bar{v}^k$; moreover, L' is a free group generated by u and $vu\bar{v} = y$ [1]. The factor group $L/L' = F(v)$ is also given by L/C , where C is the normal subgroup generated by u , and A induces an automorphism of $L/C = \{u, v; u\}$. Since every Nielsen transformation of a group $G = \{a; R_1\}$ maps the defining relation R_1 onto a conjugate of the defining relation, or of its inverse, of the image group $K = \{b; S_1\}$ [1], the assumption $A \sim N$ implies that an automorphism N , equivalent to A , of L is given by $N(u) = xu^\epsilon \bar{x}, x \in L, \epsilon = \pm 1$, hence that $A(u) = \bar{v}\bar{u}vu = xu^\epsilon \bar{x}$ in L , and $A^2(u) = \bar{u} = A(x)A(u^\epsilon)A(\bar{x})$ is a conjugate $wu\bar{w}$ of u for some element w in L . This implies $wu\bar{w}u = 1$ in L , which will prove false.

If $w = 1$ in $L, \bar{u} = u$ follows, which does not hold in the free group $L'(u, y)$; since $wu\bar{w}u$ is not the empty word, w is not in L' (otherwise $L'(u, y)$ would contain a nontrivial relation: $wu\bar{w} = f(u, y) = g(u, y)u\bar{g}(u, y)$ would equal \bar{u}).

Let $f = f(u, y), g = g(u, y)$ be elements in L' . Since every element of L has a unique representation of the form $v^k f, w = v^k f$ with $k \neq 0$. This gives $wu\bar{w} = v^k f u \bar{f} \bar{v}^k$; setting $f u \bar{f} = g, wu\bar{w} = v^k g \bar{v}^k$. If now $wu\bar{w}u$ is a relation in L , then $v^k g \bar{v}^k = \bar{u}$, and $g(u, y) = \bar{v}^k \bar{u} v^k$. Again, since u and y generate L' freely, no relation of L is a word in u and y alone, and so for any element a in $L', a = h(u, y)$ uniquely; the above stated equality implies that for some integer $k \neq 0$ a conjugate of u by v^k is the u, y -word $\bar{g} = f \bar{u} \bar{f}$.

To see that no such k exists, observe that L is extension of $F_2(u, y)$ by $F_1(v)$, given by

$$L = \{v, u, y; uvv\bar{u}\bar{v}\bar{u}\bar{v}vu, \bar{y}vu\bar{v}\} = \{v, u, y; vu\bar{v} = y, vy\bar{v} = \bar{u}y^3\} \\ = \{v, u, y; B(u) = y, B(y) = \bar{u}y^3\}$$

where B is the automorphism of $F_2(u, y)$ induced by conjugation with v . Thus, $v^k u \bar{v}^k = B^k(u), \bar{v}^k v v^k = B^{-k}(u)$.

The automorphism B is characterized [5] by the matrix

$$M = \begin{pmatrix} 0 & 1 \\ -1 & 3 \end{pmatrix}$$

no power of which has eigenvalue -1 . It follows that $v^k u \bar{v}^k$ cannot be

equal to $f\bar{u}\bar{f}$ for any k . Thus, A is not equivalent to a Nielsen transformation. With this the theorem is proved.

Though the automorphism A , given by $A(v) = \bar{u}\bar{v}\bar{u}A(\bar{u})$, $A(u) = \bar{v}\bar{u}vu$, is not equivalent to a Nielsen transformation in $L = \{v, u; R\}$, L can be given various presentations in which $A = N$. An example with 5 generators is given in [2]. The fewest possible number of generators to give $A = N$ is 3; the presentation mentioned in the proof above gives $A(u) = y\bar{u}^2$, $A(y) = \bar{u}y\bar{u}^2y\bar{u}^2$, $A(v) = \bar{v}y\bar{u}y$.

These two examples are specific to the group L ; the following one leads to a general procedure.

$$L = \{u, v, x, y; \bar{u} = [uv, \bar{u}\bar{v}], x = \bar{v}\bar{u}vu, y = \bar{u}\bar{v}\bar{u}\bar{x}\}$$

yields $A(u) = x$, $A(x) = \bar{u}$, $A(v) = y$, $A(y) = u^2vu$, with $A = N$. In general, given any group G and an automorphism A of G , introducing $A^k(g)$ as new generators $g^*(k)$ for every power k of A (in case A has finite order, $h, |k| < h > 0$) and every generator g , and adding the new relations $g^*(k)A^k(\bar{g})$, renders $A = N$. The following method is always finite for finitely generated G .

THEOREM 2. *Let $G = \{g; R\}$, A an automorphism of G , $A(g) = v(g)$; define $w(g)$ by $A(w(g)) = g$; set $H = \{g, h; R, \bar{h}w(g)\}$, $A'(g) = h\bar{w}(g)v(g)$, $A'(h) = g$. Then $H = G$, $A' \sim A$, and $A' = N$.*

In other words, every automorphism of a group can be effected by a Nielsen transformation acting on double the number of generators.

PROOF. By the theorem of Tietze [3], $H = G$. Since $A'(g) = v(g) \text{ mod relations in } H$, $A'(w(g)) = A'(h) = g \text{ mod relations in } H$, $A' \sim A$. Since g is an image under A' , all g -words are in the image group; then, because $A'(g) = h\bar{w}(g)v(g)$, all h -words are in the image group; hence $A' = N$.

The same can be accomplished for a given isomorphism I of two groups.

THEOREM 3. *Let $G = \{g; R\} \simeq IG = H = \{h; S\}$, $I(g) = v(h)$. Define $w(g)$ by $I(w(g)) = w(v(h)) = h$, and set $G^* = \{g, g^*; R, g^*\bar{w}(g)\}$, $H^* = \{h, h^*; S, h^*\bar{v}(h)\}$, $I^*(g) = h^*$, $I^*(g^*) = h$. Then $G^* = G$, $H^* = H$, $I^* \sim I$, and $I^* = N$.*

In the case of the group L , there is a presentation for which: 1. every automorphism, as well as 2. every isomorphism (to a group on the same number of relations) is a Nielsen transformation, namely $\{v, u, y; R, \bar{y}vu\bar{v}\}$ above. 1. The automorphism group of L , modulo inner automorphisms, is generated by A given above, and P given by $P(v) = \bar{v}$, $P(u) = \bar{u}$ [2]. In this presentation, $A = N_1$ and as $P(y)$

$=P(vu\bar{v}) = \bar{v}u\bar{v} = y\bar{u}^3$ in $L, P = N_2$. 2. If $IL = H = \{g, a, b; S_1, S_2\}$, then $H/H' = F_1$ and (up to a Nielsen transformation on H) $H/H' = F_1(g)$, so that $H' = F_2(a, b)$; hence $I(u)$ and $I(y)$ are automorphic images $A(a)$ and $A(b)$ of a and b in $F_2(a, b)$. Since $H/H' = F_1(g) = I(L/L') = I(F_1(v))$, the image $I(v)$ must be of the form $g^\epsilon f(a, b)$ modulo relations of H , where $\epsilon = \pm 1$. The mapping $I(v) = g^\epsilon f(a, b), I(u) = A(a), I(y) = A(b)$ is clearly a Nielsen transformation.

The rest of the discussion concerns extensions of the free group on two generators, F_2 , by the free cyclic group, F_1 , in case the commutator subgroup of the extension is isomorphic to F_2 .

THEOREM 4. *If $G = \{g, a; S\} \simeq H = \{x, y; R\}, S = S_1, R = R_1$ with $H/H' \simeq F_1, H' \simeq F_2$, then G is Nielsen image of one of three nonisomorphic groups.*

The proof is based on two lemmas; the verification of the first one is due to Magnus.²

LEMMA 1. *Set $a_i = g^i a \bar{g}^i, i: 0, \pm 1, \dots; \epsilon = \pm 1, r, k$ integers. The relation S of Theorem 4 is (a conjugate of $S^{*\pm 1} =$) $a_1^r \bar{a}_2 a_1^k a_0^\epsilon$.*

PROOF. By considering the factor group G/G' , it can be verified that for some Nielsen transform $NG, NG' \supset a$; thus $a \subset G'$ may be assumed. Then $G/G' = F_1(g), G'$ is generated by the a_i , and the sum of exponents of g in S is zero. A conjugate $g^h S \bar{g}^h = f(a_0, \dots, a_{r+h=L})$ generates the normal subgroup $\{S\} \subset F_2(g, a)$, so that one may assume $S = S(a_0, \dots, a_L)$, with a_0 and a_L actually occurring in S .

Define K_t as that subgroup of G' generated by the elements $a_0, a_1, \dots, a_L, \dots, a_t$. Then K_L is a free subgroup of G' having $L+1$ generators and the one relation $S(a_0, \dots, a_L) = S_L$. Since S_L is not the empty word, so that K_L is not isomorphic to the free group on $L+1$ generators, its rank is at most L . Since the Betti number of K_L abelianized is L , the rank is exactly L . Similarly for every K_t ; thus $K_t \simeq F_L$. This shows: the ascending chain

$$K_L \subseteq K_{L+1} \subseteq \dots$$

consists of subgroups of rank L of G' , with $K_\infty = G' = F_2$; therefore [4], there is a number h for which $K_{L+h} = G' = F_2$, giving $L=2$, and so $S = S(a_0, a_1, a_2), K_{L+h} = F(B_1, B_2) = F_2(B), B_1, B_2 \subset G'$.

Set $S_{L+h+1} = U, a_{L+h+1} = u$; form the subgroup $D = \{K_{L+h}, u; U\}$ of G . Then $D = G'$. Since u is an element of the free group $K_{L+h} = F(B), u$ has a representation as a unique B -word, $u = f(B)$; then D is given

² This theorem is of some interest with respect to a conjecture of Magnus that if $G = \{a_1, \dots, a_n; R_1\} \simeq H = \{b_1, \dots, b_n; S_1\}$, then $H = NG$.

by $\{B_1, B_2, u; \bar{u}f(B)\}$ as well as by $\{B_1, B_2, a_j, u; \bar{a}_j f_j(B), U\}$. Replace in U every $a_j \neq u$ by its representation f_j as a B -word to get $U = V(B, u)$. Then D is given by $\{B_1, B_2, u; V\}$, showing that the elements $V^{\pm 1}$ and $\bar{u}f(B)$ generate the same normal subgroup of $F_3(B_1, B_2, u)$, hence [1, p. 157] are conjugates.

U is a function of a_{h+1}, a_{h+2} , and u , with a_{h+1} and u actually occurring; for certain elements $v_i = v_i(a_{h+1}, a_{h+2}) \neq 1$, and integers x_i ,

$$U = u^{x_0} v_1 u^{x_1} v_2 \cdots v_k u^{x_k}.$$

In G , the elements a_{h+1}, a_{h+2} , and u are connected by the single relation U , and so a_{h+1} and a_{h+2} form a free subgroup of G [1, p. 157]. It follows that if $v_i(a_{h+1}, a_{h+2}) \neq 1$, then the representation $w_i(B)$ of v_i in terms of the free generators B_1 and B_2 of G' is not the empty word. The representation

$$V = u^{x_0} w_1 \cdots w_k u^{x_k}$$

of U as a B, u -word contains therefore the same number of u -symbols as U does. On the other hand, viewed as cyclic words, V^ϵ and $\bar{u}f(B)$ are identical, and so both contain u just once. The same must hold for $U = S_{L+h+1}$, hence for S ; thus, up to conjugation and inversion, $S = \bar{a}_2 f_2(a_0, a_1)$. Similarly, a_0 occurs in S just once, giving

$$S = a_1 \bar{a}_2 a_1 a_0^\epsilon = (g a \bar{g})(g^2 \bar{a} \bar{g}^2)(g a \bar{g}) a^\epsilon.$$

This proves the lemma.

The result above gives $a_3 = f_2(a_1, a_2) = f_3(a_0, a_1)$. The mapping of a_i onto a_{i+1} for every integer i is an automorphism A of G' given by $A(a_0) = a_1, A(a_1) = f_2(a_0, a_1) = a_2$, etc., so that $A^n(a_0) = a_n = f_n(a_0, a_1)$; thus the subgroup K of G' generated by a_0 and a_1 contains every a_n , is a free group $F_2(a_0, a_1)$ and contains G' . Since $K \subseteq G'$, it follows that $G' = F_2(a_0, a_1)$. This fact will be needed.

LEMMA 2. Let $K = \{g, a, b; ga\bar{g} = a^{x_1} b^{y_1}, gb\bar{g} = a^{x_2} b^{y_2}, ab\bar{a} = b\} \simeq K^*$
 $= \{g, a, b; ga\bar{g} = f_1(a, b), gb\bar{g} = f_2(a, b), ab\bar{a} = b\}$ with

$$K' = K^* = F_2(a, b)/F_2'(a, b);$$

let B be the mapping $B(a) = a^{x_1} b^{y_1}, B(b) = a^{x_2} b^{y_2}$ in K' , with matrix M , B^* the mapping $B^*(a) = f_1(a, b), B^*(b) = f_2(a, b)$ in K^* , with matrix M^* . Then trace of M equals trace of $M^{*\epsilon}$ and trace of \bar{M} equals trace of $\bar{M}^{*\epsilon}$; $\epsilon = \pm 1$.

PROOF. Because $K/K' = F_1(g) \simeq K^*/K^*$ and the isomorphism I of K onto K^* defines an isomorphism I' of the factor commutator groups, the image $I(g)$ must be of the form $g^\epsilon h(a, b) = g^\epsilon h$, and $I(K') = K^*$ with $I(a) = a^{r_1} b^{s_1} = \alpha, I(b) = a^{r_2} b^{s_2} = \beta$.

$$B^{*\epsilon}(\alpha) = g^\epsilon \alpha \bar{g}^\epsilon = g^\epsilon h \alpha \bar{h} \bar{g}^\epsilon = I(ga\bar{g}) = I(B(a)) = I(a^{x_1} b^{y_1}) = \alpha^{x_1} \beta^{y_1},$$

$$B^{*\epsilon}(\beta) = g^\epsilon \beta \bar{g}^\epsilon = g^\epsilon h \beta \bar{h} \bar{g}^\epsilon = I(gb\bar{g}) = I(B(b)) = I(a^{x_2} b^{y_2}) = \alpha^{x_2} \beta^{y_2}$$

and a similar equality holds for $\bar{B}^{*\epsilon}$.

For any automorphism X and generators α, β of F_2/F_2' , $X(a) = NX\bar{N}(\alpha)$, $X(b) = NX\bar{N}(\beta)$, so the equalities above show that the trace is preserved, as claimed.

Under the Nielsen transformation given by $N'(a) = a$, $N'(g) = a^k g$,

$$N'(a_1^r \bar{a}_1^k a_1^{\epsilon}) = N'(S) = a^\epsilon g a^h g \bar{a} \bar{g} \bar{g} = W, \quad h = r + k,$$

up to an inner automorphism (Lemma 1); thus one may assume that S has the form W . Since $a \subset G' = F_2(a_0, a_1)$, the sum of its exponents in S is ± 1 . This gives $h = \pm 1$ for $\epsilon = +1$, and $h = 1$ or 3 for $\epsilon = -1$. The word S is thus Nielsen image of one of the following:

$$S_1 = ag\bar{a}\bar{g}\bar{g}ag, \quad S_2 = ag\bar{a}\bar{g}\bar{g}\bar{a}g, \quad S_3 = \bar{a}\bar{g}\bar{g}\bar{a}ga^3g, \quad S_1^* = \bar{a}g\bar{a}\bar{g}\bar{g}ag.$$

For $N(a) = a$, $N(g) = \bar{g}$, $\bar{N}S_1^* = \bar{S}_1$, so that the first three words remain to investigate. It is now established that a group G of Theorem 4 is Nielsen image of one of the groups $H_i = \{g, a; S_i\}$, $i: 1, 2, 3$; it remains to show that these three groups are not isomorphic. This follows from Lemma 2 if they are presented as

$$H_1^* = \{g, a, b; ga\bar{g} = b, gb\bar{g} = ab\},$$

$$H_2^* = \{g, a, b; ga\bar{g} = b, gb\bar{g} = \bar{a}b\},$$

$$H_3^* = \{g, a, b; ga\bar{g} = b, gb\bar{g} = \bar{a}b^3\}.$$

To H_i^* belongs the automorphism A_i of $F_2(a, b)$ induced by conjugation with g and the matrix M_i with trace c_i and determinant ϵ_i , where

$$(c_1, \epsilon_1) = (-1, -1); \quad (c_2, \epsilon_2) = (+1, +1); \quad (c_3, \epsilon_3) = (3, +1).$$

This completes the proof of Theorem 4. H_2 is the fundamental group of the (trefoil) knots with three crossings, $H_3 = L$ that of the (Listing's) knot with four crossings. H_1 does not belong to a knot, since its L -polynomial, $-x^2 - x + 1$ [7] is not symmetric in the coefficients [8].

It follows from Theorems 1 and 4 that the group L has non-Nielsen automorphisms but only Nielsen isomorphisms.

Let A_i designate automorphisms of $F_2(a, b)$.

COROLLARY 1. *If $\{g, a, b; ga\bar{g} = A_1(a), gb\bar{g} = A_1(b)\} = G_1$, and $IG_1 = G_2$ is similarly defined, and $G'_1 = F_2$, then $G_2 = NG_1$.*

PROOF. Again the mapping I is of the form $I(g) = g^\epsilon f_1(a, b)$, $I(a)$

$=A_3(a)$, $I(b)=A_3(b)$, and these image words clearly generate g , a , and b . In particular, if G_1 is isomorphic to one of the groups H_i , $i: 1, 2, \text{ or } 3$, of Theorem 4, then $G_1 = NH_1^*$.

COROLLARY 2. *If the defining relations of*

$$G = \{g, a, b; ga\bar{g} = A(a), gb\bar{g} = A(b)\}$$

equal those of a H_4^ of Theorem 4 taken modulo $[a, b]$, then $NG = H_4^*$, $N(g) = \bar{w}(a, b)g$, $N(a) = a$, $N(b) = b$, for $w \subset F_2(a, b)$.*

PROOF. If $A_1(a) = A_2(a) \text{ mod } [a, b]$, $A_1(b) = A_2(b) \text{ mod } [a, b]$, then A_1 differs from A_2 by an inner automorphism [5]. Thus the automorphism A of G' induced by g differs from the automorphism A^* of H_4^* induced by g by inner automorphisms of $F_2(a, b)$: $A^*(a) = wA(a)\bar{w}$, $A^*(b) = wA(b)\bar{w}$. Then, under N given above,

$$\begin{aligned} N(A(a)g\bar{a}\bar{g}) &= A(a)\bar{w}g\bar{a}\bar{g}w \\ &= \bar{w}A^*(a)g\bar{a}\bar{g}w. \end{aligned}$$

Similarly for b , so that under N the relations of G take the form of the relations of H_4^* , as claimed.

THEOREM 5. *Let $G = \{g, a, b; ga\bar{g} = A(a), gb\bar{g} = A(b)\}$ be extension of $F_2(a, b)$ by $F_1(g)$, $A(a) = a^{x_1}b^{y_1} \text{ mod } [a, b]$, $A(b) = a^{x_2}b^{y_2} \text{ mod } [a, b]$, $x_1 + y_2 = c$, $x_1y_2 - x_2y_1 = \epsilon$. $G' = F_2(a, b)$ if and only if $(c, \epsilon) = (3, 1)$, $(1, 1)$, or $(\pm 1, -1)$.*

PROOF. Let $F = F_2(a, b)/F_2'(a, b)$, $U = a^u b^v$, $Y = a^c b^d$, $ud - yc = \pm 1$, $N(a) = a^x b^z$, $N(b) = a^p b^q$, $xq - pz = \epsilon$; set $w = a^{va} b^{vb} \subset F$. Then

$$\begin{aligned} (N(U)\bar{U})_a &= ux + yp - u, & (N(U)\bar{U})_b &= uz + yq - y, \\ (N(Y)\bar{Y})_a &= cx + dp - c, & (N(Y)\bar{Y})_b &= cz + dq - d. \end{aligned}$$

The elements $N(U)\bar{U}$, $N(Y)\bar{Y}$ generate F if and only if

$$\begin{aligned} \pm 1 &= (ux + yp - u)(cz + dq - d) - (uz + yq - y)(cx + dp - c) \\ &= (ud - yc)((xq - pz) + 1 - (x + q)) = \pm (\epsilon + 1 - (x + q)), \end{aligned}$$

that is if the pair of values $(x + q, \epsilon)$ is either $(3, 1)$, or $(1, 1)$, or $(\pm 1, -1)$. The proof is based on this fact.

If the condition on (c, ϵ) holds then $ga\bar{g}\bar{a} = A(a)\bar{a}$ and $gb\bar{g}\bar{b} = A(b)\bar{b}$ generate F , so that together with conjugates of $ab\bar{a}\bar{b}$ they generate $F_2(a, b)$. Then $F_2(a, b) \subset G'$; but since $G' \subset F_2(a, b) \subset G$, $F_2(a, b) = G'$, as claimed.

If $F_2(a, b) = G'$ then it is generated by $ga\bar{g}\bar{a}$, $gb\bar{g}\bar{b}$, $ab\bar{a}\bar{b}$ and their conjugates in G , and G'/G'' is generated by $ga\bar{g}\bar{a} = \alpha$, $gb\bar{g}\bar{b} = \beta$ and

their conjugates by g^k , $k: \pm 1, \dots$. If $ga\bar{g} = a^x b^y$, $gb\bar{g} = a^u b^v$ modulo G'' , they generate G'/G'' , and $\alpha = a^{x-1} b^y$, $\beta = a^u b^{v-1}$ in G'/G'' . As $g\alpha\bar{g} = (a^x b^y)^{x-1} (a^u b^v)^y = (a^{x-1} b^y)^x (a^u b^{v-1})^y = \alpha^x \beta^y$, and similarly $g\beta\bar{g} = \alpha^u \beta^v$, the elements α, β already generate the factor group G'/G'' . As $\alpha = A(a)\bar{a}$, $\beta = A(b)\bar{b}$, the condition on (c, ϵ) must hold, as claimed.

It may be noted that for $\epsilon = -1$, the inverse transformation \bar{A} has the trace $-c$, so that only three possibilities remain modulo the Nielsen transformation $N(a) = a$, $N(b) = b$, $N(g) = \bar{g}$.

THEOREM 6. *The group G of Theorem 5 is isomorphic to one of the groups H_4^* of Theorem 4 if and only if $(c, \epsilon) = (c_i, \epsilon_i)$.*

PROOF. The necessity of the condition follows by an easy step from Lemma 2. Suppose the condition satisfied. Designate by (A) the group of all automorphisms of F_2 , by (I) the group of inner automorphisms of F_2 , and by (A') the group of automorphisms of F_2/F_2' ; then (A') is given by the modular group and $(A') \simeq (A)/(I)$ [5]. It is known [9] that in the domain of unimodular integral two-by-two matrices (the modular group) the class number for trace c_i and determinant ϵ_i , $i: 1, 2, 3$, is one; hence the matrix M belonging to G (see Lemma 2) is a conjugate $NM_i\bar{N}$ of the matrix M_i belonging to H_4^* , with $|N| \pm 1$. This, together with $(A') \simeq (A)/(I)$, gives: $A = NA_i\bar{N}$ (see Lemma 2), and so $G = NH_4^*$, as claimed.

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