C O L L O Q U I U M   M A T H E M A T I C U M

VOL. LXII   1991   FASC. I

THE REIDEMEISTER ZETA FUNCTION AND THE COMPUTATION OF THE NIELSEN ZETA FUNCTION

BY

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§1. Introduction

1.1. *Preliminaries.* We assume everywhere X to be a connected compact polyhedron and $f : X \to X$ to be a continuous map. Let $p : \widetilde{X} \to X$ be the universal covering of X and $\widetilde{f} : \widetilde{X} \to \widetilde{X}$ a lifting of f, i.e. $p \circ \widetilde{f} = f \circ p$. Two liftings $\widetilde{f}$ and $\widetilde{f}'$ are called *conjugate* if there is $\gamma \in \Gamma \cong \pi_1(X)$ such that $\widetilde{f}' = \gamma \circ \widetilde{f} \circ \gamma^{-1}$. The subset $p(\mathrm{Fix}(\tilde{f})) \subset \mathrm{Fix}\, f$ is called the *fixed point class of f determined by the lifting class* $[\tilde{f}]$. A fixed point class is called *essential* if its index is nonzero. The number of lifiting classes of f (and hence the number of fixed point classes, empty or not) is called the *Reidemeister number* of f, denoted by $R(f)$. It is a positive integer or infinity. The number of essential fixed point classes is called the *Nielsen number* of f, denoted by $N(f)$. The Nielsen number is always finite. $R(f)$ and $N(f)$ are homotopy invariants.

We may define a few dynamical zeta functions in Nielsen fixed point theory (see [1, 5, 6, 12]). The *Reidemeister* and *Nielsen zeta functions* are defined as power series:

$$R_f(z) = \exp\left(\sum_{n=1}^{\infty} \frac{R(f^n)}{n} z^n\right), \quad N_f(z) = \exp\left(\sum_{n=1}^{\infty} \frac{N(f^n)}{n} z^n\right).$$

$R_f(z)$ and $N_f(z)$ are homotopy invariants. We study $R_f(z)$ in §3 and then compute $N_f(z)$ via $R_f(z)$ in §4.

Let G be a group and $\varphi : G \to G$ an endomorphism. Two elements $\alpha, \alpha' \in G$ are said to be *φ-conjugate* iff there exists $\gamma \in G$ such that $\alpha' = \gamma \cdot \alpha \cdot \varphi(\gamma^{-1})$. The number of φ-conjugacy classes is called the *Reidemeister number* of φ, denoted by $R(\varphi)$. We assume everywhere that $R(\varphi^n) < \infty$ for every $n > 0$ and consider the *Reidemeister zeta function* of φ,

$$R_\varphi(z) = \exp\left(\sum_{n=1}^{\infty} \frac{R(\varphi^n)}{n} z^n\right),$$

introduced in [5, 6]. We study $R_\varphi(z)$ in §2.

The results of this paper were partly announced in [6].

1.2. *Historical notes.* Nielsen developed his theory of fixed point classes and defined the number bearing his name in his study of surface homeomorphisms in 1927, using non-Euclidean geometry as a tool. Through the hands of Reidemeister and Wecken, it became a beautiful theory applicable to self-maps of polyhedra. Reidemeister gave a combinatorial treatment and considered the number bearing his name in 1936 [13]. It is interesting that the Lefschetz numbers

$$L(f)=\sum_{k=0}^{\dim X}(-1)^k\operatorname{tr}[f_{*k}:H_k(X,\mathbb{R})\to H_k(X,\mathbb{R})]$$

appeared almost simultaneously [10] with the Nielsen numbers, but the Lefschetz zeta function

$$L_f(z)=\exp\left(\sum_{n=1}^{\infty}\frac{L(f^n)}{n}z^n\right)=\prod_{k=0}^{\dim X}\det(E-f_{*k}\cdot z)^{(-1)^{k+1}}$$

was defined by A. Weil [17] in 1949 when he studied the fixed points of iterates of the Frobenius endomorphism. In the theory of discrete dynamical systems the Lefschetz zeta function was introduced by Smale in 1967 [15].

§ 2. The Reidemeister zeta function of a group endomorphism

Problem. For which groups and endomorphisms the Reidemeister zeta function is a rational function? Is $R_\varphi(z)$ an algebraic function?

When $R_\varphi(z)$ is a rational function the infinite sequence $\{R(\varphi^n)\}_{n=1}^{\infty}$ of Reidemeister numbers is determined by a finite set of complex numbers—the zeros and poles of $R_\varphi(z)$.

Lemma 1. *$R_\varphi(z)$ is a rational function if and only if there exists a finite set of complex numbers α_i and β_j such that $R(\varphi^n)=\sum_j\beta_j^n-\sum_i\alpha_i^n$ for every $n>0$.*

Proof. Suppose $R_\varphi(z)$ is a rational function. Then

$$R_\varphi(z)=\prod_i(1-\alpha_i z)/\prod_j(1-\beta_j z)\,,$$

where $\alpha_i,\beta_j\in\mathbb{C}$. Taking the logarithmic derivative of both sides and then using the geometric series expansion we see that $R(\varphi^n)=\sum_j\beta_j^n-\sum_i\alpha_i^n$. The converse is proved by a direct calculation. ∎

An endomorphism $\varphi:G\to G$ is said to be *eventually commutative* if there exists a natural number n such that the subgroup $\varphi^n(G)$ is commutative.

We are now ready to compare the Reidemeister zeta function of an endomorphism φ with the Reidemeister zeta function of $H_1(\varphi) : H_1(G) \to H_1(G)$, where $H_1 = H_1^{Gp}$ is the first integral homology functor from groups to abelian groups.

LEMMA 2. *If $\varphi : G \to G$ is eventually commutative, then*

$$R_\varphi(z) = R_{H_1(\varphi)}(z) = \exp\Big(\sum_{n=1}^{\infty} \frac{\operatorname{ord}\operatorname{Coker}(1 - H_1^n(\varphi))}{n} z^n\Big).$$

Proof. $R(\varphi^n) = R((H_1(\varphi))^n) = \operatorname{ord}\operatorname{Coker}(1 - H_1^n(\varphi))$ (see [7, 9]). ■

THEOREM 1. *Suppose that $H_1(G)$ is torsion-free. Let φ be eventually commutative and assume that no eigenvalue of $H_1(\varphi)$ is a root of unity. Then $R_\varphi(z)$ is a rational function and equals*

$$R_\varphi(z) = \Big(\prod_{i=0}^{\operatorname{rg} H_1(G)} \det(E - \textstyle\bigwedge^i H_1(\varphi)\cdot \sigma z)^{(-1)^{i+1}}\Big)^{(-1)^r} \tag{1}$$

where $\sigma = (-1)^p$, p is the number of $\mu \in \operatorname{Spec} H_1(\varphi)$ such that $\mu < -1$, and r is the number of real $\lambda \in \operatorname{Spec} H_1(\varphi)$ such that $|\lambda| > 1$; $\bigwedge^i$ denotes the exterior power.

Proof. From the assumptions of the theorem it follows that $R(\varphi^n) = R(H_1^n(\varphi)) = \operatorname{ord}\operatorname{Coker}(1 - H_1^n(\varphi))$ for every $n > 0$.

Now we have

$$\operatorname{ord}\operatorname{Coker}(1 - H_1^n(\varphi)) = |\det(E - H_1^n(\varphi))| \neq 0.$$

Hence $R(\varphi^n) = (-1)^{r+pn}\det(E - H_1^n(\varphi))$. It is well known from linear algebra that $\det(E - H_1^n(\varphi)) = \sum_{i=0}^k (-1)^i \operatorname{tr}\bigwedge^i H_1^n(\varphi)$. Then we have the "trace formula" for the Reidemeister numbers:

$$R(\varphi^n) = (-1)^{r+pn}\sum_{i=0}^{k}(-1)^i \operatorname{tr}\textstyle\bigwedge^i H_1^n(\varphi). \tag{2}$$

From (2) it follows that

$$\begin{aligned} R_\varphi(z) &= \exp\Big(\sum_{n=1}^{\infty}\frac{R(\varphi^n)}{n}z^n\Big)\\ &= \exp\Big(\sum_{n=1}^{\infty}\frac{(-1)^r\cdot\sum_{i=0}^k(-1)^i\operatorname{tr}\bigwedge^i H_1^n(\varphi)}{n}(\sigma z)^n\Big)\\ &= \Big(\prod_{i=0}^{k}\Big(\exp\Big(\sum_{n=1}^{\infty}\frac{1}{n}\operatorname{tr}\textstyle\bigwedge^i H_1^n(\varphi)\cdot(\sigma z)^n\Big)\Big)^{(-1)^i}\Big)^{(-1)^r} \end{aligned}$$

$$= \Big(\prod_{i=0}^{k} \det(E - \bigwedge^i H_1(\varphi) \cdot \sigma z)^{(-1)^{i+1}} \Big)^{(-1)^r} . \ \blacksquare$$

COROLLARY 1. *Let the assumptions of Theorem* 1 *hold. Then the poles and zeros of the Reidemeister zeta function* $R_\varphi(z)$ *are complex numbers which are reciprocal to the eigenvalues of the matrices* $\bigwedge^i H_1(\varphi) \cdot \sigma$, $0 \le i \le \operatorname{rg} H_1(G)$.

PROPOSITION 1. *Let the assumptions of Theorem* 1 *hold. Then the functional equation for the Reidemeister zeta function* $R_\varphi(z)$ *is*

$$R_\varphi\left(\frac{1}{dz}\right) = (R_\varphi(z))^{(-1)^{\operatorname{rg} H_1(G)}} \cdot \varepsilon \,, \tag{3}$$

where $d = \det H_1(\varphi)$ *and* ε *is a complex number.*

P r o o f. Via the natural nonsingular pairing $(\bigwedge^i H_1(G)) \wedge (\bigwedge^{k-i} H_1(G)) \to \mathbb{C}$ the operators $\bigwedge^{k-i} H_1(\varphi)$ and $d(\bigwedge^i H_1(\varphi))^{-1}$ are adjoint to each other. Fix an eigenvalue λ of $\bigwedge^i H_1(\varphi)$. It contributes a term $(1 - \lambda/(dz))^{(-1)^{i+1}}$ to $R_\varphi(1/(dz))$. Write this term as

$$\left(1 - \frac{dz}{\lambda}\right)^{(-1)^{i+1}} \cdot \left(\frac{-dz}{\lambda}\right)^{(-1)^i}$$

and note that d/λ is an eigenvalue of $\bigwedge^{k-i} H_1(\varphi)$. Now multiply over all λ. One finds that

$$\varepsilon = \Big(\prod_{i=1}^{\operatorname{rg} H_1(G)} \prod_{\lambda^{(i)} \in \operatorname{Spec} \bigwedge^i H_1(\varphi)} (1/\lambda^{(i)})^{(-1)^i} \Big)^{(-1)^r} .$$

The variable z disappears because

$$\sum_{i=0}^{k} (-1)^i \dim \bigwedge^i H_1(G) = \sum_{i=0}^{k} (-1)^i C_k^i = 0 \,. \ \blacksquare$$

THEOREM 2. *Suppose that* $\varphi : G \to G$ *is eventually commutative and* $H_1(G) = Z_p$ $(p > 1$ *prime*). *Then* $R_\varphi(z)$ *is a rational function.*

P r o o f. For every $n > 0$, $R(\varphi^n) = \operatorname{ord} \operatorname{Coker}(1 - H_1^n(\varphi))$. Let $H_1(\varphi)(1) = d$. Then $(1 - H_1^n(\varphi))(Z_p) = (1 - d^n)Z_p$. So $\operatorname{Coker}(1 - H_1^n(\varphi)) = Z_p/(1 - d^n)Z_p$, which is known to be the cyclic group of order $(1 - d^n, p)$. If $p|d$ then $R(\varphi^n) = 1$ for every $n > 0$ and $R_\varphi(z) = 1/(1 - z)$. If $(p, d) = 1$ then $d^{p-1} \equiv 1 \pmod p$ and the sequence $R(\varphi^n)$ is periodic with period k $(1 \le k \le p-1$ and $k|p-1)$. Thus $R(\varphi^n) = p$ if $k|n$ and $R(\varphi'') = 1$ otherwise.

Direct calculation shows that

$$R_\varphi(z) = \frac{(1-z^k)^{(1-p)/k}}{1-z} . \ \blacksquare$$

We will write $[\alpha]$ for the φ-conjugacy class of $\alpha \in G$.

LEMMA 3 [9]. *For any $\alpha \in G$ we have $[\alpha] = [\varphi(\alpha)]$.*

We say that $\varphi : G \to G$ is *nilpotent* if for some positive integer n, $\varphi^n : G \to G$ is the trivial homomorphism.

THEOREM 3. *If φ is nilpotent, then $R_\varphi(z) = 1/(1-z)$.*

Proof. For any $\alpha \in G$ we have $[\alpha] = [\varphi(\alpha)] = [\varphi^n(\alpha)] = [e]$, i.e. $R(\varphi) = 1$. The same is true for every $n > 0$. $\blacksquare$

2.1. *The Reidemeister zeta function and group extensions.* Suppose we are given a commutative diagram

$$\begin{array}{ccc} G & \xrightarrow{\varphi} & G \\ \big\downarrow{\scriptstyle p} & & \big\downarrow{\scriptstyle p} \\ \overline{G} & \xrightarrow{\overline{\varphi}} & \overline{G} \end{array} \tag{4}$$

of groups and homomorphisms. In addition let the sequence

$$0 \longrightarrow H \longrightarrow G \longrightarrow \overline{G} \longrightarrow 0 \tag{5}$$

be exact. Then φ restricts to an endomorphism $\varphi|H : H \to H$.

DEFINITION 1. The short exact sequence (5) of groups is said to have a *normal splitting* if there is a section $\sigma : \overline{G} \to G$ of p such that $\operatorname{Im}\sigma = \sigma(\overline{G})$ is a normal subgroup of G. An endomorphism $\varphi : G \to G$ is said to *preserve* this normal splitting if φ induces a morphism of (5) with $\varphi(\sigma(\overline{G})) \subset \sigma(\overline{G})$.

In this section we study the relation between the Reidemeister zeta functions $R_\varphi(z)$, $R_{\overline{\varphi}}(z)$ and $R_{\varphi|H}(z)$.

THEOREM 4. *Let the sequence* (5) *have a normal splitting which is preserved by $\varphi : G \to G$. Suppose that $R_{\overline{\varphi}}(z)$ and $R_{\varphi|H}(z)$ are rational functions. Then so is $R_\varphi(z)$.*

Proof. From the assumptions of the theorem it follows that for every $n > 0$

$$R(\varphi^n) = R(\overline{\varphi}^n) \cdot R(\varphi^n|H) \qquad \text{(see [7])} .$$

Lemma 1 implies that there exist finite sets of complex numbers α_i, β_j and μ_i, ν_j such that

$$R(\overline{\varphi}^n) = \sum_j \beta_j^n - \sum_i \alpha_i^n, \qquad R(\varphi^n|H) = \sum_j \nu_j^n - \sum_i \mu_i^n .$$

Then $R(\varphi^n) = (\sum_j \beta_j^n - \sum_i \alpha_i^n) \cdot (\sum_j \nu_j^n - \sum_i \mu_i^n)$. Now we multiply out and again use Lemma 1. ∎

2.2. *Infinite product formula.* Let $\mu(d), d \in \mathbb{N}$, be the Möbius function, i.e.

$$\mu(d) = \begin{cases} 1 & \text{if } d = 1, \\ (-1)^k & \text{if } d = \prod_{i=1}^k p_i,\ p_i \text{ distinct primes}, \\ 0 & \text{if } p^2 | d \text{ for some prime } p. \end{cases}$$

We define the numbers $S(d)$, $d \in \mathbb{N}$, by

$$S(d) = \sum_{d_1 | d} \mu(d_1) R(\varphi^{d/d_1}) .$$

THEOREM 5.

$$R_\varphi(z) = \prod_{d=1}^{\infty} \sqrt[d]{(1 - z^d)^{-S(d)}} . \tag{6}$$

Proof. Since $S(n) = \sum_{d|n} \mu(d) R(\varphi^{n/d})$, we have $R(\varphi^n) = \sum_{d|n} S(d)$ by the Möbius Inversion Theorem. Hence

$$\begin{aligned} R_\varphi(z) &= \exp\left(\sum_{n=1}^{\infty} \frac{R(\varphi^n)}{n} z^n \right) \\ &= \exp\left(\sum_{n=1}^{\infty} \frac{\sum_{d|n} S(d)}{n} z^n \right) = \exp\left(\sum_{d=1}^{\infty} \sum_{k=1}^{\infty} \frac{S(d)}{dk} z^{dk} \right) \\ &= \exp\left(\sum_{d=1}^{\infty} \frac{-S(d)}{d} \ln(1 - z^d) \right) = \prod_{d=1}^{\infty} \sqrt[d]{(1 - z^d)^{-S(d)}} . \ ∎ \end{aligned}$$

§3. The Reidemeister zeta function of a continuous map. Let $f : X \to X$ be given, and let a specific lifting $\widetilde{f} : \widetilde{X} \to \widetilde{X}$ be chosen as reference. Then every lifting of f can be uniquely written as $\gamma \circ \widetilde{f}$, with $\gamma \in \Gamma$. So elements of Γ serve as coordinates of liftings with respect to the reference $\widetilde{f}$. Now for every $\gamma \in \Gamma$, the composition $\widetilde{f} \circ \gamma$ is also a lifting of f, so there is a unique $\gamma' \in \Gamma$ such that $\gamma' \circ \widetilde{f} = \widetilde{f} \circ \gamma$. This correspondence $\gamma \to \gamma'$ is determined by the reference $\widetilde{f}$, and is obviously a homomorphism.

DEFINITION 2. The endomorphism $\widetilde{f}_* : \Gamma \to \Gamma$ determined by a lifting $\widetilde{f}$ of f is defined by

$$\widetilde{f}_*(\gamma) \circ \widetilde{f} = \widetilde{f} \circ \gamma .$$

It is well known that $\Gamma \cong \pi_1(X)$. We will identify $\pi = \pi_1(X, x_0)$ and Γ in the following way. Pick base points $x_0 \in X$ and $\widetilde{x}_0 \in p^{-1}(x_0) \subset \widetilde{X}$ once for all. Now points of $\widetilde{X}$ are in 1-1 correspondence with path classes in X starting from x_0: for $\widetilde{x} \in \widetilde{X}$ take any path in $\widetilde{X}$ from $\widetilde{x}_0$ to $\widetilde{x}$ and project it into X; conversely for a path c in X starting from x_0, lift it to $\widetilde{X}$ with start point at $\widetilde{x}_0$, and take its endpoint. In this way, we identify a point of $\widetilde{X}$ with a path class $\langle c\rangle$ in X starting from x_0. Under this identification $\widetilde{x}_0 = \langle e\rangle$ is the unit element in $\pi_1(X, x_0)$. The action of the loop class $\alpha = \langle a\rangle \in \pi_1(X, x_0)$ on $\widetilde{X}$ is then given by

$$\alpha = \langle a\rangle : \langle c\rangle \to \alpha \cdot \langle c\rangle = \langle a \cdot c\rangle .$$

Now, we have the following relationship between $\widetilde{f}_* : \pi \to \pi$ and

$$f_* : \pi_1(X, x_0) \to \pi_1(X, f(x_0)) .$$

Lemma 4 [9]. *Suppose $\widetilde{f}(\widetilde{x}_0) = \langle w\rangle$. Then the following diagram commutes*:

$$\begin{tikzcd} \pi_1(X,x_0) \arrow[r, "f_*"] \arrow[dr, "\tilde{f}_*"'] & \pi_1(X,f(x_0)) \arrow[d, "w_*"] \\ & \pi_1(X,x_0) \end{tikzcd}$$

Lemma 5 [9]. *Lifting classes of f are in* 1-1 *correspondence with $\widetilde{f}_*$-conjugacy classes in π, the lifting class $[\gamma \circ \widetilde{f}]$ corresponding to the $\widetilde{f}_*$-conjugacy class of γ. So we have $R(f) = R(\widetilde{f}_*)$.*

We will say that the fixed point class $p(\mathrm{Fix}(\gamma \circ \widetilde{f}))$, which is labeled with the lifting class $[\gamma \circ \widetilde{f}]$, *corresponds* to the $\widetilde{f}_*$-conjugacy class of γ. Thus $\widetilde{f}_*$-conjugacy classes in π serve as coordinates for fixed point classes of f, once a reference lifting $\widetilde{f}$ is chosen.

A reasonable approach is to consider homomorphisms of π which send an $\widetilde{f}_*$-conjugacy class to one element:

Lemma 6 [9]. *The composition $\eta \circ \theta$,*

$$\pi = \pi_1(X, x_0) \xrightarrow{\theta} H_1(X) \xrightarrow{\eta} \mathrm{Coker}(H_1(X) \xrightarrow{1-f_{1*}} H_1(X)) ,$$

where θ is abelianization and η is the natural projection, sends every $\widetilde{f}_*$-conjugacy class to a single element. Moreover, any group homomorphism $\zeta : \pi \to G$ which sends every $\widetilde{f}_*$-conjugacy class to a single element, factors through $\eta \circ \theta$.

Definition 3. A map $f : X \to X$ is said to be *eventually commutative* if there exists a natural n such that $(f^n)_* \pi_1(X, x_0)$ $(\subset \pi_1(X, f^n(x_0)))$ is commutative.

By means of Lemma 4, it is easily seen that f is eventually commutative iff so is $\widetilde{f}_*$ (see [9]).

Theorem 1 yields

Theorem 6. *Suppose that the group $H_1(X, \mathbb{Z})$ is torsion free. Let f be eventually commutative and assume that no eigenvalue of $f_{1*} : H_1(X, \mathbb{Z}) \to$*

$H_1(X,\mathbb{Z})$ is a root of unity. Then the Reidemeister zeta function $R_f(z)$ is rational and

$$R_f(z) = \Big(\prod_{i=0}^{\mathrm{rg} H_1(X)} \det(E - \textstyle\bigwedge^i f_{1*}\cdot \sigma z)^{(-1)^{i+1}}\Big)^{(-1)^r} \tag{7}$$

where $\sigma = (-1)^p$, p is the number of $\mu \in \operatorname{Spec} f_{1*}$ such that $\mu < -1$ and r is the number of real $\lambda \in \operatorname{Spec} f_{1*}$ such that $|\lambda| > 1$.

EXAMPLE 1. Let $f : X \to X$ be a hyperbolic endomorphism of T^n or of a nilmanifold. Then $R_f(z)$ is a rational function and the formula (7) holds.

Theorem 2 implies

THEOREM 7. *Suppose that $f : X \to X$ is eventually commutative and $H_1(X,\mathbb{Z}) = Z_p$ (p prime). Then $R_f(z)$ is a rational function.*

COROLLARY 2. *Let $X = L(p, q_1, \ldots, q_r)$, p prime, be a generalized lens space and f as above. Then $R_f(z)$ is a rational function.*

3.1. *The Reidemeister zeta function and Serre bundles.* Let $p : E \to B$ be a Serre bundle in which E, B and every fiber are compact connected polyhedra and $F_b = p^{-1}(b)$ is a fiber over $b \in B$. A Serre bundle $p : E \to B$ is said to be (*homotopically*) *orientable* if for any two paths w, w' in B with the same endpoints $w(0) = w'(0)$ and $w(1) = w'(1)$, the fiber translations $\tau_w \cong \tau'_w : F_{w(0)} \to F_{w(1)}$. A map $f : E \to E$ is called a *fiber map* if there is an induced map $\bar f : B \to B$ such that $p \circ f = \bar f \circ p$. Let $p : E \to B$ be an orientable Serre bundle and let $f : E \to E$ be a fiber map. Then for any two fixed points b, b' of $\bar f : B \to B$, the maps $f_b = f|F_b$ and $f_{b'} = f|F_{b'}$ have the same homotopy type; hence they have the same Reidemeister numbers $R(f_b) = R(f_{b'})$ [9].

In this section we study the relation between the Reidemeister zeta functions $R_f(z)$, $R_{\bar f}(z)$ and $R_{f_b}(z)$ for a fiber map $f : E \to E$ of an orientable Serre bundle $p : E \to B$.

Theorem 4 yields

THEOREM 8. *Suppose that $f : E \to E$ admits a Fadell splitting in the sense that for some $e \in \operatorname{Fix} f$ and $b = p(e)$ the following conditions are satisfied*:

1) *the sequence*

$$0 \to \pi_1(F_b, e) \xrightarrow{i_*} \pi_1(E, e) \to \pi_1(B, b) \to 0$$

is exact,

2) *p_* admits a right inverse* (*section*) *σ such that $\operatorname{Im}\sigma$ is a normal subgroup of $\pi_1(E, e)$ and $f_*(\operatorname{Im}\sigma) \subset \operatorname{Im}\sigma$.*

Suppose $R_{\bar f}(z)$ and $R_{f_b}(z)$ are rational functions. Then so is $R_f(z)$.

3.2. *The Reidemeister zeta function of a periodic map.* Let $[\widetilde{f}]$ be a lifting class of $f : X \to X$. Then the liffting class $[\widetilde{f}^n]$ of f^n is independent of the choice of the representative $\widetilde{f}$, so we have a well-defined correspondence between the sets of conjugacy classes of liftings $\widetilde{f}$ and $\widetilde{f}^n$ such that $i([\widetilde{f}]) = [\widetilde{f}^n]$.

LEMMA 7 [9]. *Let $\widetilde{f} : \widetilde{X} \to \widetilde{X}$ be a lifting of f. Then $i([\alpha\circ\widetilde{f}]) = [\alpha^{(n)}\circ\widetilde{f}^n]$, where*

$$\alpha^{(n)} = \alpha \cdot \widetilde{f}_*(\alpha) \cdot \ldots \cdot \widetilde{f}_*^{n-1}(\alpha) .$$

THEOREM 9. *Suppose that $f : X \to X$ is a periodic map with least period m. Then*

$$R_f(z) = \prod_{d|m} \sqrt[d]{(1 - z^d)^{-\sum_{d_1|d} \mu(d_1) R(f^{d/d_1})}} . \tag{9}$$

Proof. Let $R(f^n) = R_n$. Since $f^m = \mathrm{id}$, we have $R_j = R_{m+j}$ for every j. We show that $R_1 = R_k$ if $(k, m) = 1$. There are $t, q \in \mathbb{Z}_+$ such that $kt = mq + 1$. Then $(f^k)^t = f^{kt} = f^{mq+1} = (f^m)^q \circ f = f$. From this and Lemma 7 it follows that $\alpha_1^{(k)} \neq \alpha_2^{(k)}$ if $\alpha_1 \neq \alpha_2$ and conversely, $\alpha_1 \neq \alpha_2$ if $\alpha_1^{(k)} \neq \alpha_2^{(k)}$. Thus $R_1 = R_k$. In the same way it is proved that $R_d = R_{\mathrm{id}}$ if $(i, m/d) = 1$, where $d|m$. By direct calculation we hence obtain

$$\begin{aligned}
R_f(z) &= \exp\left(\sum_{n=1}^{\infty} \frac{R(f^n)}{n} z^n\right) \\
&= \exp\left(\sum_{d|m} \sum_{n=1}^{\infty} \frac{S(d)}{d} \frac{(z^d)^n}{n}\right) = \exp\left(\sum_{d|m} \frac{-S(d)}{d} \ln(1 - z^d)\right) \\
&= \prod_{d|m} \sqrt[d]{(1 - z^d)^{-S(d)}}
\end{aligned}$$

(see [4], [12] for details), where the integers $S(d)$ are calculated recursively via the formula $S(d) = R_d - \sum_{d_1|d, d_1\neq d} S(d_1)$. Moreover, if the last formula is rewritten as $R_d = \sum_{d_1|d} S(d_1)$ and the Möbius Inversion Theorem is used, then $S(d) = \sum_{d_1|d} \mu(d_1) R_{d/d_1}$. ∎

The Mostow–Margulis rigidity theorem (see [16]) and Theorem 9 give

THEOREM 10. *Let $f : M^n \to M^n$, $n \geq 3$, be a homeomorphism of a compact hyperbolic manifold M^n. Then*

$$R_f(z) = \prod_{d|m} \sqrt[d]{(1 - z^d)^{-S(d)}} ,$$

where m is the least period of the periodic map to which f is homotopic and

$$S(d)=\sum_{d_1|d}\mu(d_1)R_{d/d_1}\,.$$

§4. The computation of the Nielsen zeta function

4.1. *The Jiang subgroup and the Nielsen zeta function.* From the homotopy invariance theorem (see [9]) it follows that if a homotopy $\{h_t\}: f\cong g: X\to X$ lifts to a homotopy $\{\widetilde{h}_t\}:\widetilde{f}\cong\widetilde{g}:\widetilde{X}\to\widetilde{X}$, then we have $\operatorname{index}(f,p(\operatorname{Fix}\widetilde{f}))=\operatorname{index}(g,p(\operatorname{Fix}\widetilde{g}))$. Suppose $\{h_t\}$ is a cyclic homotopy $\{h_t\}: f\cong f$; then it lifts to a homotopy from a given lifting $\widetilde{f}$ to another lifting $\widetilde{f}'=\alpha\circ\widetilde{f}$, and we have

$$\operatorname{index}(f,p(\operatorname{Fix}\widetilde{f}))=\operatorname{index}(f,p(\operatorname{Fix}\alpha\circ\widetilde{f}))\,.$$

In other words, a cyclic homotopy induces a permutation of lifting classes (hence of fixed point classes); those in the same orbit of this permutation have the same index. This idea is applied to the computation of $N_f(z)$.

Definition 4. The *trace subgroup of cyclic homotopies* (the *Jiang subgroup*) $I(\widetilde{f})\subset\pi$ is defined by $I(\widetilde{f})=\{\alpha\in\pi|$ there exists a cyclic homotopy $\{h_t\}: f\simeq f$ which lifts to $\{\widetilde{h}_t\}:\widetilde{f}\cong\alpha\circ\widetilde{f}\}$ (see [9]).

Let $Z(G)$ denote the center of a group G, and let $Z(H,G)$ denote the centralizer of a subgroup $H\subset G$. The Jiang subgroup has the following properties:

1) $I(\widetilde{f})\subset Z(\widetilde{f}_*(\pi),\pi)$;
2) $I(\mathrm{id}_{\widetilde{X}})\subset Z(\pi)$;
3) $I(\widetilde{g})\subset I(\widetilde{g}\circ\widetilde{f})$;
4) $\widetilde{g}_*(I(\widetilde{f}))\subset I(\widetilde{g}\circ\widetilde{f})$;
5) $I(\mathrm{id}_{\widetilde{X}})\subset I(\widetilde{f})$.

The class of path-connected spaces X satisfying the condition $I(\mathrm{id}_{\widetilde{X}})=\pi=\pi_1(X,x_0)$ is closed under homotopy equivalence and the topological product operation, and contains the simply connected spaces, generalized lens spaces, H-spaces, homogeneous spaces of the form G/G_0 where G is a topological group and G_0 a subgroup which is a connected compact Lie group (for the proofs see [9]).

Theorem 11. *Suppose that $\widetilde{f}_*(\pi)\subset I(\widetilde{f})$ and $L(f^n)\neq 0$ for every $n>0$. Then*

$$N_f(z)=R_f(z)=\exp\left(\sum_{n=1}^{\infty}\frac{\operatorname{ord}\operatorname{Coker}(1-f^n_{1*})}{n}z^n\right). \tag{10}$$

P r o o f. We have $\widetilde{f}^n_*(\pi)\subset I(\widetilde{f}^n)$ for every $n>0$ (by property 4) and the condition $\widetilde{f}_*(\pi)\subset I(\widetilde{f})$). For any $\alpha\in\pi$, $p(\operatorname{Fix}\alpha\circ\widetilde{f}^n)=p(\operatorname{Fix}\widetilde{f}^n_*(\alpha)\circ\widetilde{f}^n)$ by

Lemmas 3 and 5. Since $\widetilde{f}^n_*(\pi) \subset I(\widetilde{f}^n)$, there is a homotopy $\{h_t\} : f^n \cong f^n$ which lifts to $\{\widetilde{h}_t\} : \widetilde{f}^n \cong \widetilde{f}^n_*(\alpha) \circ \widetilde{f}^n$. Hence $\operatorname{index}(f^n, p(\operatorname{Fix} \widetilde{f}^n)) = \operatorname{index}(f^n, p(\operatorname{Fix} \alpha \circ \widetilde{f}^n))$. Since $\alpha \in \pi$ is arbitrary, any two fixed point classes of f^n have the same index. It immediately follows that $L(f^n) = 0$ implies $N(f^n) = 0$ and $L(f^n) \neq 0$ implies $N(f^n) = R(f^n)$. By property 1), $\widetilde{f}^n(\pi) \subset I(\widetilde{f}^n) \subset Z(\widetilde{f}^n_*(\pi), \pi)$, so $\widetilde{f}^n_*(\pi)$ is abelian. Hence $\widetilde{f}^n_*$ is eventually commutative and $R(f^n) = \operatorname{ord} \operatorname{Coker}(1 - f^n_{1*})$. ■

R e m a r k 1. The conclusion of Theorem 11 remains valid if we use the condition "there is an integer m such that $\widetilde{f}^m_*(\pi) \subset I(\widetilde{f}^m)$" instead of the stronger condition $\widetilde{f}_*(\pi) \subset I(\widetilde{f})$, but the proof is more complicated.

COROLLARY 4. *Let* $I(\mathrm{id}_{\widetilde{X}}) = \pi$ *and* $L(f^n) \neq 0$ *for every* $n > 0$. *Then the formula* (10) *is valid.*

COROLLARY 5. *Suppose that* X *is aspherical*, f *is eventually commutative and* $L(f^n) \neq 0$ *for every* $n > 0$. *Then the formula* (10) *is valid.*

THEOREM 12. *Suppose that* $H_1(X, \mathbb{Z})$ *is torsion-free and there exists an integer* m *such that* $\widetilde{f}^m_*(\pi) \subset I(\widetilde{f}^m)$. *Let* $L(f^n) \neq 0$ *for every* $n > 0$. *Then the Nielsen zeta function* $N_f(z)$ *is rational and*

$$N_f(z) = R_f(z) = \Big(\prod_{i=0}^{\operatorname{rg} H_1(X)} \det\big(E - \textstyle\bigwedge^i f_{1*} \cdot \sigma z\big)^{(-1)^{i+1}} \Big)^{(-1)^r} \tag{11}$$

where σ *and* r *are the same as in Theorem* 6.

P r o o f. From the assumptions of the theorem it follows that for every $n > 0$

$$\begin{aligned} 0 \neq N(f^n) = R(f^n) &= \operatorname{ord} \operatorname{Coker}(1 - f^n_{1*}) = |\det(E - f^n_{1*})| \\ &= (-1)^{r+pn} \det(E - f^n_{1*}) \,. \end{aligned}$$

Thus we have the "trace formula" for the Nielsen numbers:

$$N(f^n) = (-1)^{r+pn} \sum_{i=0}^{\operatorname{rg} H_1(X)} (-1)^i \operatorname{tr} \textstyle\bigwedge^i f^n_{1*} \,. \tag{12}$$

Now (11) follows from a calculation as in Theorem 1. ■

COROLLARY 6. *Suppose that the assumptions of Theorem* 12 *hold. Then the functional equation for the Nielsen zeta function* $N_f(z)$ *is*

$$N_f\left(\frac{1}{dz}\right) = (N_f(z))^{(-1)^{\operatorname{rg} H_1(X)}} \cdot \varepsilon \,, \tag{13}$$

where $d = \det(f_{1*})$, $\varepsilon \in \mathbb{C}$.

EXAMPLE 2. Let $f : T^n \to T^n$ be a hyperbolic endomorphism of T^n. Then $N_f(z) = R_f(z)$ is rational and the formulas (11–13) hold. In this case $d = \det(f_{1*})$ is the degree of f.

COROLLARY 7. *Under the hypotheses of Theorem* 12 *the poles and zeros of the Nielsen zeta function are complex numbers reciprocal to the eigenvalues of the matrices* $\bigwedge^i f_{1*} \cdot \sigma$, $0 \le i \le \operatorname{rg} H_1(X, \mathbb{Z})$.

4.2. *Polyhedra with finite fundamental group.* For a compact polyhedron X with finite fundamental group $\pi_1(X)$, the universal covering space $\widetilde{X}$ is compact, so that we can explore the relation between $L(\widetilde{f})$ and $\operatorname{index}(p(\operatorname{Fix} \widetilde{f}))$.

DEFINITION 5 [9]. The number $\mu([\widetilde{f}^n]) = \# \operatorname{Fix} \widetilde{f}^n_*$, the order of the fixed-element group $\operatorname{Fix} \widetilde{f}^n_*$, is called the *multiplicity* of the lifting class $[\widetilde{f}^n]$, or of the fixed point class $p(\operatorname{Fix} \widetilde{f}^n)$.

LEMMA 8 [9]. $L(\widetilde{f}^n) = \mu([\widetilde{f}^n]) \cdot \operatorname{index}(f^n, p(\operatorname{Fix} \widetilde{f}^n))$.

LEMMA 9 [9]. *If* $R(f^n) = \operatorname{ord} \operatorname{Coker}(1 - f^n_{1*})$ (*in particular*, *if* f *is eventually commutative*), *then*

$$\mu([\widetilde{f}^n]) = \operatorname{ord} \operatorname{Coker}(1 - f^n_{1*}) \, .$$

THEOREM 13. *Let* X *be a connected compact polyhedron with finite fundamental group* π. *Suppose that the action of* π *on the rational homology of the universal covering space* $\widetilde{X}$ *is trivial*, *i.e. for every covering translation* $\alpha \in \pi$, $\alpha_* = \mathrm{id} : H_*(\widetilde{X}, \mathbb{Q}) \to H_*(\widetilde{X}, \mathbb{Q})$. *Let* f *be eventually commutative and* $L(f^n) \neq 0$ *for every* $n > 0$. *Then*

$$N_f(z) = R_f(z) = \exp\left(\sum_{n=1}^{\infty} \frac{\operatorname{ord} \operatorname{Coker}(1 - f^n_{1*})}{n} z^n\right). \tag{14}$$

P r o o f. Under our assumption on X any two liftings $\widetilde{f}$ and $\alpha \circ \widetilde{f}$ induce the same homology homomorphism $H_*(\widetilde{X}, \mathbb{Q}) \to H_*(\widetilde{X}, \mathbb{Q})$, hence the same $L(\widetilde{f})$. Then from Lemma 8 it follows that any two fixed point classes are either both essential or both inessential. The statement is now a consequence of Lemma 9. ∎

LEMMA 10 [9]. *Let* X *be a polyhedron with finite fundamental group* π *and let* $p : \widetilde{X} \to X$ *be its universal covering. Then the action of* π *on the rational homology of* $\widetilde{X}$ *is trivial iff* $H_*(\widetilde{X}, \mathbb{Q}) \cong H_*(X, \mathbb{Q})$.

COROLLARY 8. *Let* $\widetilde{X}$ *be a compact* 1*-connected polyhedron which is a rational homology* n*-sphere*, n *odd. Let* π *be a finite group acting freely on* $\widetilde{X}$, *and* $X = \widetilde{X}/\pi$. *Then Theorem* 13 *applies.*

Proof. The projection $p : \widetilde{X} \to X = \widetilde{X}/\pi$ is a universal covering space of X. For every $\alpha \in \pi$, the degree of $\alpha : \widetilde{X} \to \widetilde{X}$ must be 1, because $L(\alpha) = 0$ (α has no fixed points). Hence $\alpha_* = \mathrm{id} : H_*(\widetilde{X}, \mathbb{Q}) \to H_*(\widetilde{X}, \mathbb{Q})$. ■

Corollary 9. *If X is a closed 3-manifold with finite π, then Theorem 13 applies.*

Proof. $\widetilde{X}$ is an orientable simply connected manifold, hence a homology 3-sphere. Apply Corollary 8. ■

§5. Concluding remarks, problems, examples

5.1. *"Entropy conjecture" for the Reidemeister numbers and the radius of convergence R for the Reidemeister zeta function.* Let $h(f)$ be the topological entropy of f and set $h = \inf h(g)$, infimum being taken over all maps g of the homotopy type of f.

Theorem 14. *Let the assumptions of Theorem 11 or 13 hold. Then*

$$h(f) \geq \limsup_{n\to\infty} \frac{1}{n} \log R(f^n) \geq 0 \quad \text{and} \quad 1 \geq R \geq e^{-h} > 0\,.$$

Proof. The statement follows from N.V. Ivanov's inequality [8]

$$h(f) \geq \limsup_{n\to\infty} \frac{1}{n} \log N(f^n)\,,$$

the Cauchy–Hadamard formula and the homotopy invariance of R. ■

Problem. For what maps f the inequality

$$h(f) \geq \limsup_{n\to\infty} \frac{1}{n} \log R(f^n)$$

holds?

5.2. *Examples.* Let $f : X \to X$ be a continuous map of a simply connected compact polyhedron. Then $R_f(z) = 1/(1-z)$.

For the next example, let $\rho : M \to M$ be an expanding map of an orientable compact smooth manifold [14]. Then $R_\rho(z)$ and $N_\rho(z)$ are rational functions and $R_\rho(z) = N_\rho(z) = L_\rho(\sigma z)^{(-1)^r}$, where $r = \dim M$, $\sigma = +1$ if ρ preserves the orientation of M, and $\sigma = -1$ if ρ reverses the orientation of M (see [12]).

In particular, if $f : S^1 \to S^1$ is a continuous map of degree d, $|d| \neq 1$, then $R_f(z) = N_f(z) = (1-z)/(1-dz)$ if $d > 0$; $R_f(z) = N_f(z) = 1/(1-z)$ if $d - 0$; and $R_f(z) = N_f(z) = (1+z)/(1+dz)$ if $d < 0$.

The author thanks V. B. Pilyugina, Boju Jiang, F. Przytycki, V. G. Turaev, N. V. Ivanov, O. Ya. Viro and A. M. Vershik for their help and interest in the research.

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Reçu par la Rédaction le 5.9.1989