HOMOTOPY TREES: ESSENTIAL HEIGHT AND ROOTS

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In this note we study some general properties of homotopy trees $HT(\pi, m)$. We show that for π a finite group, the trees are a single stalk from some point on (Theorem 2) and if $m \ge 3$, that roots can occur only at the lowest two levels of the tree (Corollary 1).

A (π, m) -complex X is a finite, connected m-dimensional CW-complex such that $\pi_1(X) \cong \pi$ and $\pi_i(X) = 0$ for i = 2, ..., m - 1. The homotopy tree $HT(\pi, m)$ is the directed tree whose vertices are homotopy classes of (π, m) complexes. If X and Y are (π, m) -complexes, then the vertex [X] is connected by an edge to the vertex [Y] iff Y has the homotopy type of the one-point union $X \vee S^m$ of X with the m-sphere S^m . $HT(\pi, m)$ is connected by Theorem 14 of [23, page 49] and has no circuits. The tree $HT(\pi, m)$ is measured by the directed Euler characteristic $\vec{\chi} = (-1)^m \chi$: vertices $(HT) \to Z$. Let

 $\vec{\chi}_{\min} = \min \{ \chi[X] \mid X \text{ is a } (\pi, m) \text{-complex} \}.$

Thus χ divides the tree into levels $\chi^{-1}(j)$ $(j \ge \chi_{\min})$. We call $\chi^{-1}(i + \chi_{\min})$ the *i*th level of the tree. For each $j \ge \chi_{\min}$, the successor function $s_j: \chi^{-1}(j) \rightarrow \chi^{-1}(j+1)$ is given by $s_j([X]) = [X \lor S^m]$. A vertex $x \in HT$ is a root if x has no predecessor; a minimal root if $x \in \chi^{-1}(\chi_{\min})$. The stalk $\langle x \rangle$ generated by the vertex x is the subtree whose vertices consist of

$$\{x, s(x), s^2(x), \ldots, s^n(x), \ldots\}.$$

For the purpose of classifying the homotopy type of (π, m) -complexes, we will identify the fundamental group of each (π, m) -complex with π . This can be done by simply choosing (and fixing) an isomorphism $\alpha_X : \pi \to \pi_1(X)$ for each X and using α_X to convert each $\pi_1(X)$ -module into a π -module. Then any argument we make over π can be easily translated to $\pi_1(X)$. If $m \ge 3$, we may use a lemma of C. T. C. Wall [22, Lemma 1.2, page 59] to find a (π, m) -complex $Y \in [X]$ such that the two-skeleton $Y^{(2)}$ is the one-point union of a given $(\pi, 2)$ -complex and a finite bouquet of 2-spheres. In this case, we may trivially identify the fundamental groups.

The homotopy type of a (π, m) -complex X is completely determined by (the isomorphism class of) its algebraic m-type T(X). This consists of the triple $T(X) = (\pi, \pi_m(X), k(X))$ where $\pi_m(X)$ is a π -module and $k(X) \in H^{m+1}(\pi; \pi_m(X))$ is the first k-invariant of X (see [17, page 41], [7, Section 2]).

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Let us briefly define the k-invariant. Let

(0.1)
$$\begin{array}{c} 0 \longrightarrow \pi_m(X) \longrightarrow C_m(\tilde{X}) \xrightarrow{\partial_m} C_{m-1}(\tilde{X}) \xrightarrow{\partial_{m-1}} \cdots \\ \xrightarrow{\partial_1} C_0(\tilde{X}) \xrightarrow{\varepsilon} Z \longrightarrow 0 \end{array}$$

be the cellular chain complex of the universal cover \tilde{X} of X. We will denote this by $0 \to \pi_m(X) \to C_*(\tilde{X}) \to Z \to 0$. This is an exact sequence of π -modules forming a portion of length m of a free, finitely generated resolution (each $C_i(\tilde{X})$ is a free, finitely generated π -module, i = 0, 1, ..., m) of the trivial π -module Z. Let

$$\mathscr{P}: 0 \to \pi_m(X) \to P_* \to Z \to 0$$

denote an exact sequence of length m of π -modules, where each P_i (i = 0, 1, ..., m) is finitely generated. Each such exact sequence determines an element k of $H^{m+1}(\pi; \pi_m(X))$ as follows. Cover the identity map Z = Z by a chain map $\mathscr{F}: C_*(\tilde{X}) \to P_*$ as follows:

(0.2)
$$\begin{array}{cccc} 0 \longrightarrow \pi_m(X) \longrightarrow C_*(\tilde{X}) \longrightarrow Z \longrightarrow 0 \\ f & & & \parallel \\ 0 \longrightarrow \pi_m(X) \longrightarrow P_* \longrightarrow Z \longrightarrow 0. \end{array}$$

This induces a homomorphism $f: \pi_m(X) \to \pi_m(X)$, which, in turn, determines an element

$$k = \{f\} \in H^{m+1}(\pi; \pi_m(X)) = \operatorname{End}_{\pi}(\pi_m(X))/B^m$$

where $B^m = \{ \alpha \in \operatorname{End}_{\pi}(\pi_m(X)) \mid \alpha \text{ extends to } \alpha' \colon C_m(\tilde{X}) \to \pi_m(X) \}$ (see [16, Theorem 3.6, page 74, and Section 6, page 84] as a general reference).

(0.3) Note. k(X) is the class of $1: \pi_m(X) \to \pi_m(X)$.

DEFINITION. $k \in H^{m+1}(\pi; \pi_m(X))$ is said to be *projective* if one (and hence, all [8, Corollary 6.4]) realizing partial resolution(s) for k may be chosen with each P_i projective (i = 0, 1, ..., m).

Let [X] be a vertex of $HT(\pi, m)$ and consider the π -module $\pi_m = \pi_m(X)$. Such a π -module is called *realizable*. Let $\tilde{K}_0 Z \pi$ denote the reduced projective class group of the integral group ring $Z\pi$ of π . The following theorem is proved in [8, Theorem 1].

THEOREM 1. Let π be a group such that $H^{m+1}(\pi, Z\pi) = 0$. For each finitely generated topologically realizable π -module π_m , the group $H^{m+1}(\pi, \pi_m)$ supports the structure of a ring with identity such that the units U of $H^{m+1}(\pi, \pi_m)$ are the projective k-invariants. Furthermore, there exists a homomorphism $\mathscr{K}: U \to \widetilde{K}_0 Z\pi$ such that ker $\mathscr{K} = SF(\pi, m)$ is the set of k-invariants arising from (π, m) complexes, provided $m \geq 3$.

Note that the hypothesis $H^{m+1}(\pi; Z\pi) = 0$ implies that $H^{m+1}(\pi; \pi_m(X)) \cong H^{m+1}(\pi; \pi_m(Y))$ for any two (π, m) -complexes X, Y. This follows because the

theorem of J. H. C. Whitehead mentioned in paragraph two implies that there are integers s, t such that

$$(1.1) X \vee sS^m \simeq Y \vee tS^m$$

where $iS^m = S^m \vee \cdots \vee S^m$ (*i* times). Hence, there is a π -module isomorphism

(1.2)
$$\pi_m(X) \oplus (Z\pi)^s \cong \pi_m(Y) \oplus (Z\pi)^s$$

for any two (π, m) -complexes X, Y [4, Appendix, Theorem, page 198].

For example, if π is a finite group of order *n*, then $H^i(\pi; Z\pi) = 0$ for all i > 0 [3, Proposition 8.2a, page 198]. It follows that $H^{m+1}(\pi; \pi_m) \cong Z_n$, the integers modulo *n*, (as a ring) for any realizable π_m [7, Section 2] and $\mathscr{K}: Z_n^* \to \widetilde{K}_0 Z\pi$ is given by sending p + nZ (*p* prime to *n*) to -[(p, N)], the negative of the class represented by the projective ideal (p, N) generated by the integer *p* and $N = \sum_{x \in \pi} x$ [19, Section 6, page 278, and 7, Theorem 2.2]. This homomorphism has been extensively studied in [14] for π periodic and in [21] for more general finite π .

As another example, let π be a one-relator group with presentation

$$\{x_1,\ldots,x_n;Q^q\}$$

where Q is not a proper power and $q \ge 1$. It is known that for $i \ge 3$, $H^i(\pi; Z\pi) = 0$ [15, Corollary 11.3, page 663]. Recently, S. Jajodia [13] has shown that the ring $H^{i+1}(\pi; \pi_i) \cong Z_q$ for all $i \ge 2$ and realizable π_i .

For a third example, let A be a finitely generated abelian group of rank r > 0. It follows from [2, Proposition 3.1, page 112] that $H^{i}(A; ZA) = 0$ for all $i \neq r$. Among the k-invariant rings $H^{i+1}(A; A_i)$ there are *noncyclic* examples, for any realizable A_i and $i \geq r$.

The ring $H^{m+1}(\pi, \pi_m) = R(\pi, m)$ is called the *classifying ring* of the tree $HT(\pi, m)$ and the homomorphism $\mathscr{K}: U(\pi, m) \to \tilde{K}_0 Z\pi$, the *classifying* homomorphism.

Briefly, let us define isomorphisms between algebraic *m*-types [17, page 41]. Let π be a group, π_m a π -module, and $k \in H^{m+1}(\pi, \pi_m)$. An algebraic *m*-type is a triple $\mathbf{T} = (\pi, \pi_m, k)$. We say that \mathbf{T} is isomorphic to $\mathbf{T}' = (\pi, \pi'_m, k')$ iff there exists an automorphism $\theta: \pi \to \pi$, a θ -automorphism

$$\beta \colon \pi_m \to \pi'_m \quad (\beta(x \cdot y) = \theta(x)\beta(y), x \in \pi, y \in \pi_m)$$

such that $k = \beta_*^{-1} \cdot \theta^*(k')$ in the diagram

$$H^{m+1}(\pi; \pi_m) \xrightarrow{\beta^*} H^{m+1}(\pi; (\pi_m)_{\theta}) \xrightarrow{\theta^*} H^{m+1}(\pi; \pi'_m).$$

Here $(\pi_m)_{\theta}$ is the π -module with action $\alpha * y = \theta(\alpha) \cdot y$ ($\alpha \in \pi, y \in \pi_m$). It is shown in [17, Theorem 1, page 42] that $X \simeq Y$ iff $T(X) \cong T(Y)$.

DEFINITION. Let $HT(\pi, m)^N = \vec{\chi}^{-1}([N + \vec{\chi}_{\min}, \infty))$ denote the subtree whose vertices are at level greater than or equal to N. We say that HT^N is an *evergreen* iff the successor function

$$s_i: \vec{\chi}^{-1}(i) \rightarrow \vec{\chi}^{-1}(i+1)$$

is surjective for all $i \ge N + \vec{\chi}_{\min}$. HT has essential height $\le l$ if HT^{l} is a single stalk.

THEOREM 2. Let π be a finite group of order n and m be an integer ≥ 2 . The tree $HT(\pi, m)$ always has finite essential height. For $m \geq 3$, the subtree $HT(\pi, m)^1$ is an evergreen; for m even and ≥ 4 , the whole tree $HT(\pi, m)$ is evergreen.

Proof. If π_m is a realizable π -module and $\alpha: \pi_m \to \pi_m$ is an automorphism, then we say that $\alpha_*: H^{m+1}(\pi, \pi_m) \to H^{m+1}(\pi, \pi_m) \cong Z_n$ has degree k if $\alpha_*(1) = k$. Let X be a minimal root and let v be the number of m cells in X. Then, for each $p \in SF = SF(\pi, m) \subset Z_n^*$, there exists an automorphism

(2.1)
$$\alpha_p \colon \pi_m(X) \oplus (Z\pi)^S \to \pi_m(X) \oplus (Z\pi)^S$$

of degree p, where $S = \max(v, 2)$. To see this we argue as follows.

Consider the boundary homomorphism $\partial_m : C_m(\tilde{X}) \to C_{m-1}(\tilde{X})$ in the cellular chain complex of the universal cover \tilde{X} of X. Let π_{m-1} denote the image of ∂_m . For $m \ge 3$, $\pi_{m-1} = \pi_{m-1}(X^{(m-1)})$; if m = 2, π_1 is a so-called relation module of π . The sequence

$$0 \longrightarrow \pi_m(X) \xrightarrow{i} C_m(\tilde{X}) \longrightarrow \pi_{m-1} \longrightarrow 0$$

is an exact sequence of π -modules. Represent $p \in SF$ by a homomorphism $p': \pi_m(X) \to \pi_m(X)$ (multiplication by any integer $p' \in p$ will do) and consider the diagram:

where $p'C_m(\tilde{X})$ is the push out of *i* and *p'*. $p \in SF$ implies that $p'C_m(\tilde{X})$ is stably free [8, Corollary 6.4]. If $v (= \operatorname{rank}_{\pi} C_m(\tilde{X})) \ge 2$, then, by a theorem of H. Bass [1, Corollary 10.3, page 29], $p'C_m(\tilde{X}) \cong C_m(\tilde{X}) \cong (Z\pi)^v$; if v < 2, then $p'C_m(\tilde{X}) \oplus Z\pi$ is free. The isomorphism α_p then follows from Schanuel's lemma [19, Corollary 1.1, page 270].

We will show that $HT(\pi, m)$ has essential height $\leq S$. Let Y be a (π, m) complex at level higher than S - 1; i.e.,

$$\overrightarrow{\chi}(Y) = |\chi(Y)| \ge S + \overrightarrow{\chi}_{\min}.$$

By (1.2), $\pi_m(X) \oplus (Z\pi)^u \cong \pi_m(Y) \oplus (Z\pi)^t$ for certain nonnegative integers u and t. A simple Euler characteristic argument shows that

$$u - t = \vec{\chi}(Y) - \vec{\chi}_{\min} \ge S.$$

Because S is greater than one, the cancellation theorem of H. Bass mentioned in the last paragraph implies that $\pi_m(Y) \cong \pi_m(X) \oplus (Z\pi)^k$ $(k \ge S)$. Thus $\mathbf{T}(Y) \cong (\pi, \pi_m(X) \oplus (Z\pi)^k, p)$ for some $p \in SF$. We may assume (0.3) that $\mathbf{T}(X \vee kS^m) = (\pi, \pi_m(X) \oplus (Z\pi)^k, 1)$. Then the isomorphism

$$(\mathrm{id}, \alpha_p) \colon (\pi, \pi_m(X) \oplus (Z\pi)^k, 1) = \mathbf{T}(X \lor kS^m) \to (\pi, \pi_m(X) \oplus (Z\pi)^k, p)$$

given by (2.1) shows that $Y \simeq X \vee kS^m$.

We say that a π -module M has the *cancellation property* if any isomorphism $M' \oplus (Z\pi)^i \cong M \oplus (Z\pi)^j$ $(j \ge i)$ implies that $M' \cong M \oplus (Z\pi)^{j-i}$. The evergreen property for $HT(\pi, m)^1$ follows because, as in the preceding paragraph, $\pi_m(X) \oplus (Z\pi)^2$ has the cancellation property; the evergreen property for $HT(\pi, m)$ (m even) follows because $\pi_m(X) \oplus Z\pi$ has the cancellation property [7, Proposition 5.1].

For example, let us prove the final statement. Let m > 3 be even and Y be a (π, m) -complex such that $\vec{\chi}(Y) > \vec{\chi}_{\min}$. Then $\pi_m(Y) \cong \pi_m(X) \oplus (Z\pi)^i$ and $\mathbf{T}(Y) \cong (\pi, \pi_m(X) \oplus (Z\pi)^i, p)$ for some $p \in SF(\pi, m) \subset Z_n^*$. Let $\mathbf{T}_p = (\pi, \pi_m(X), p)$. Because $m \ge 3$, $\mathbf{T}_p \cong \mathbf{T}(W)$ for some (π, m) -complex W [19, Theorem 3.1, page 272]. Thus $W \lor iS^m \simeq Y$, which implies that $HT(\pi, m)$ is an evergreen and that the only roots of the tree are minimal ones.

In fact, the proof shows even more. Among the minimal roots for $HT(\pi, m)$, let X be the one with the smallest number of *m*-cells. Denote that number by $v(\pi, m)$. Then

essential height of
$$HT(\pi, m) \leq \begin{cases} v(\pi, m) & \text{if } m \text{ is even} \\ \max \{v(\pi, m), 2\} & \text{if } m \text{ is odd.} \end{cases}$$

For example, if π is the finite abelian group $Z_{\tau_1} \times \cdots \times Z_{\tau_s}$, where $\tau_i | \tau_{i+1}$ $(i = 1, \ldots, S - 1)$, then the essential height of $HT(\pi, 2)$ is $\leq S + C(S, 2)$. See Theorem 3 for a better estimate.

As another example, let π be a finite group of minimal *free* period k (see [7, Section 7] for a definition) and let g be the minimal number of generators of π . Then the essential height of $HT(\pi, ki + 1)$ $(i \ge 1)$ is $\le g$.

COROLLARY 1. If π is finite and m > 2, then roots of $HT(\pi, m)$ may only occur at level 0 for m even and level 0 or 1 for m odd.

It is shown in [9, Corollary 3.7] that HT(GQ(32), 3) has nonminimal roots, where GQ(32) is the generalized quaternion group of order 32. Also, M. J. Dunwoody has shown that roots exist at level 1 in HT(T, 2), where T is the group of the trefoil knot [5].

Finally, we will improve theorem A of [11, page 115].

THEOREM 3. Let $\pi = Z_{\tau_1} \times Z_{\tau_2} \times \cdots \times Z_{\tau_s}$ be a finite abelian group with torsion coefficients $\{\tau_1, \tau_2, \ldots, \tau_s\}$, where τ_i divides τ_{i+1} for $i = 1, \ldots, s - 1$. Then $HT(\pi, 2)$ has essential height $\leq C(S, 2)$.

COROLLARY 2. The essential height of $HT(Z_{\tau_1} \times Z_{\tau_2}, 2)$ is less than or equal to one.

Proof. In order to simplify the notation, we will prove only the corollary. Let $\mathscr{P}: \{x, y: x^{\tau_1}, y^{\tau_2}, [x, y]\}$ be the standard presentation of $\pi = Z_{\tau_1} \times Z_{\tau_2}$, P be the realization of \mathscr{P} as a $(\pi, 2)$ -complex, and $\pi_2 = \pi_2(P)$. Let \overline{x} , \overline{y} denote the images of x, y in the group π . Consider the 2-types

$$\mathbf{T}_p^i = (\pi, \pi_2 \oplus (Z\pi)^i, p) \text{ for } p \in Z^*_{\tau_1 \tau_2} \text{ and } i \ge 0.$$

As a point of reference, we may assume (0.3) that $\mathbf{T}(P \lor kS^2) = \mathbf{T}_1^k$ $(k \ge 0)$. We will show that for $p \in SF(\pi, 2)$, each $\mathbf{T}_p^1 \cong \mathbf{T}_1^1$. Assuming this, let Y be any $(\pi, 2)$ complex such that $\vec{\chi}(Y) > \vec{\chi}_{\min} = 2$. By (1.2) and because $\pi_2 \oplus Z\pi$ has the cancellation property [7, Proposition 5.1], $\pi_2(Y) \cong \pi_2 \oplus (Z(\pi))^k$ $(k \ge 1)$. Hence $\mathbf{T}(Y) \cong \mathbf{T}_p^k$ for some $p \in Z_{\tau_1 \tau_2}^*$. But Theorem 1 shows that because $\mathbf{T}_p^k \cong \mathbf{T}(Y)$ is 2-realizable, $p \in SF(\pi, 2)$. Thus

$$\mathbf{T}(Y) \cong \mathbf{T}_{\mathbf{p}}^{k} \cong \mathbf{T}_{1}^{k} \cong \mathbf{T}(P \lor kS^{2}).$$

To show that $\mathbf{T}_p^1 \cong \mathbf{T}_1^1$ for each $p \in SF(\pi, 2)$, we use a theorem of S. MacLane and J. H. C. Whitehead [17, Theorem 2, page 42] to realize \mathbf{T}_p^0 as the 2-type of a *finite*, connected 3-dimensional CW complex X. Consider the following alteration of the cellular chain complex $C_*(\tilde{X})$:

$$\mathscr{C}: 0 \longrightarrow \pi_2 \longrightarrow (C_2/B_2) \xrightarrow{\partial_2} C_1 \xrightarrow{\partial_1} Z\pi \xrightarrow{\varepsilon} Z \longrightarrow 0$$

where $C_i = C_i(\tilde{X})$, $B_2 = \text{im} \{\partial: C_3 \to C_2\}$. As in the proof of Theorem 4.1 of [6, page 236], we may assume that $C_1 = (Z\pi)^2$ and $\partial_1 = (\bar{x} - 1, \bar{y} - 1)$ with respect to a natural basis for $C_1(\tilde{X})$ defined by the lifts of the (two) 1-cells of X. \mathscr{C} realizes \mathbf{T}_p^0 . $p \in SF(\pi, 2)$ implies that C_2/B_2 is a stably free projective module [7, Theorem 2.5]. π is finite abelian implies that stably free projectives are free [20, page 178]; hence C_2/B_2 is a free π -module.

Now the argument of theorem A of [11, pages 119–123] applied to \mathscr{C} yields the result that $\mathbf{T}_p^1 \cong \mathbf{T}_1^1$. Briefly, here is a sketch of the argument: choose $c \in C_2/B_2$ such that $\partial_2 c = \alpha = (1 - \bar{y}, \bar{x} - 1) \in (Z\pi)^2$. Here α is the total Fox derivative of the commutator [x, y] [11, Section 2]. Define a new chain complex

obtained by adding a copy of $Z\pi$ to C_2/B_2 and defining the boundary operator to be multiplication by α on that factor. \mathscr{C}' realizes \mathbf{T}_p^1 as a free complex. We prove this by comparing $\mathscr{C} \oplus (Z\pi, 2)$ to \mathscr{C}' as in (0.2):

 $\mathscr{C} \oplus (Z\pi, 2)$:

The induced map f_2 shows that both \mathscr{C}' and $\mathscr{C} \oplus (\mathbb{Z}\pi, 2)$ have the same *k*-invariant. The argument of [11, page 120, last paragraph, to page 123, first paragraph] shows that under these conditions we may choose a basis for $C_2/B_2 \oplus \mathbb{Z}\pi$ so that \mathscr{C}' then realizes \mathbf{T}_1^1 and, in fact, $\mathscr{C}' = C_*(P \lor S^2)$, with that basis (see also [10, pages 38–39]). Thus $\mathbf{T}_p^1 \cong \mathbf{T}_1^1$ with an isomorphism inducing the identity on π [10, Proposition 4, page 36]. \Box

The following corollary is an easy consequence of the last sentence of the proof of Corollary 2.

COROLLARY 3. With $\pi_2 = \pi_2(P)$ as in the proof of corollary 2, there is an automorphism $\alpha_p: \pi_2 \oplus Z\pi \to \pi_2 \oplus Z\pi$ of degree p for each $p \in SF(\pi, 2)$ (see [7, Section 3] for a related discussion).

Note. E. Vogt has brought to my attention recent work of Wolfgang Metzler. He has shown that for certain finite abelian groups

$$\pi(\tau_1,\ldots,\tau_S)=Z_{\tau_1}\times Z_{\tau_2}\times\cdots\times Z_{\tau_S} \quad \text{with } S\geq 3,$$

there exist distinct minimal roots K_1 , K_2 of $HT(\pi, 2)$ for which $K_1 \vee S^2 \simeq K_2 \vee S^2$ [18, Satz 2]. Thus, for certain finite abelian groups π , the homotopy tree $HT(\pi, 2)$ is not a single stalk.

Let $\pi(\tau_1, \ldots, \tau_s)$ have presentation

$$\mathcal{P} = \{x_1, \dots, x_S \colon x_1^{\tau_1}, \dots, x_S^{\tau_S}, \{[x_i, x_i] \mid 1 \le i < j \le S\}\}$$

and let P denote the cellular model of \mathcal{P} . It can be shown that the Z-rank of $\pi_2(P)^{\pi}$ is precisely the number C(S, 2). We ask two questions:

(1) Is the essential height of $HT(\pi(\tau_1, \ldots, \tau_s), 2)$ equal to C(S, 2)?

(2) If π is an arbitrary finite group, and X a minimal root of $HT(\pi, m)$, is the essential height of $HT(\pi, m) \leq Z$ -rank of $\pi_2(X)^{\pi}$?

One method of proof for (2) might go as follows. Let X be a minimal root and $\pi_m = \pi_m(X)$. By Schanuel's lemma and [7, Theorem 2.2] it follows that there exists an automorphism

$$\alpha_p \colon \pi_m \oplus (Z\pi)^M \to \pi_m \oplus (Z\pi)^M$$

of degree p for each $p \in SF(\pi, m)$. Here $M \le v(\pi, m)$. The problem is then to *cancel* (in the style of Bass-Jacobinski [20, Chapter 9], [1], [12]) while preserving the degree.

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