

On the asymptotic behaviour of the number of distinct factorizations into irreducibles

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Abstract. For an integral domain R and a non-zero non-unit $a \in R$ we consider the number of distinct factorizations of a^n into irreducible elements of R for large n . Precise results are obtained for Krull domains and certain noetherian domains. In fact, we prove results valid for certain classes of monoids which then apply to the above-mentioned classes of domains.

1. Throughout this paper, a *monoid* H is a multiplicative commutative and cancellative semigroup with unit element $1 \in H$. For any $a_1, \dots, a_m \in H$, we denote by $[a_1, \dots, a_m]$ the submonoid of H generated by a_1, \dots, a_m . We denote by H^\times the group of invertible elements of H , and we use the notions of divisibility theory in H as introduced in [6], § 6 or [9], ch. 2.14. A monoid H is called *reduced* if $H^\times = \{1\}$. By a *factorization* of an element $a \in H \setminus H^\times$ we mean a relation of the form $a \sim u_1 \cdots u_r$ where $u_i \in H$ are irreducible elements. Two such factorizations, say $a \sim u_1 \cdots u_r$ and $a \sim u'_1 \cdots u'_{r'}$, are called *not essentially different* if $r = r'$ and $u_{\sigma(i)} \sim u'_i$ for some permutation $\sigma \in \mathfrak{S}_r$ and all $i \in \{1, \dots, r\}$. We denote by $\mathbf{f}(a)$ the number of essentially different factorizations of a . We shall be concerned with the behaviour of $\mathbf{f}(a^n)$ as $n \rightarrow \infty$. The corresponding question concerning merely the lengths of factorizations of a^n as $n \rightarrow \infty$ has been dealt with in [1] and [5].

A monoid H is called an *FF-monoid* (*finite factorization monoid*) if $1 \leq \mathbf{f}(a) < \infty$ for all $a \in H \setminus H^\times$; see [8] for a detailed discussion. Our main results are the following two theorems.

Theorem 1. *Let H be an FF-monoid, $a \in H \setminus H^\times$, and suppose that there exist (up to associates) only finitely many irreducible elements $u_1, \dots, u_m \in H$ dividing some power a^n of a . Let r be the maximal number of \mathbf{Q} -linearly independent vectors $(k_1, \dots, k_m) \in \mathbf{N}_0^m$ such that $u_1^{k_1} \cdots u_m^{k_m} \in [a]$. Then there exists a constant $A \in \mathbf{Q}_{>0}$ such that*

$$\mathbf{f}(a^n) = An^{r-1} + O(n^{r-2}).$$

Theorem 2. *Let H be an FF-monoid, $a \in H \setminus H^\times$, and suppose that there exist infinitely many mutually non-associated irreducible elements $u \in H$ dividing some power a^n of a . Then we have*

$$f(a^n) \gg n^r$$

for every $r \in \mathbf{N}$.

The proofs of these two theorems will be given in Section 5. They are based on a general finiteness result for finitely generated monoids (Proposition 1) to be dealt with in Section 4. In the following two sections we discuss arithmetical applications.

2. Let us call a monoid H an SFF-monoid (*strong finite factorization monoid*) if, for any $a \in H \setminus H^\times$, there exist (up to associates) only finitely many irreducible elements of H dividing some power a^n of a . Thus in an SFF-monoid H Theorem 1 applies for all $a \in H \setminus H^\times$.

Every Krull monoid is an SFF-monoid. More generally, every saturated submonoid of a monoid with nearly unique factorization is an SFF-monoid (see [5], Proposition 2 and Corollary 1).

For an integral domain R , we denote by $R^\bullet = R \setminus \{0\}$ its multiplicative monoid; we study the arithmetic of R by means of the monoid R^\bullet . We call R an SFF-domain if R^\bullet is an SFF-monoid. In an SFF-domain, every non-zero non-unit satisfies the assumptions of Theorem 1.

If R is a Krull domain, then R^\bullet is a Krull monoid (cf. [7], Satz 5), and therefore R is an SFF-domain. In general, a noetherian domain need not be an SFF-domain; see the subsequently discussed example $R = \mathbf{Z}[\sqrt{-7}]$. Criteria for a noetherian domain to be an SFF-domain may be found in [5], Theorems 4, 5 and Corollary 2.

3. In this section we present four examples, two for each theorem.

Example 1. Let K be an algebraic number field, R its ring of integers, and assume that the ideal class group G of R is an elementary abelian 2-group of rank $N \geq 2$. Let c_1, \dots, c_N be a basis of G , and let $\mathfrak{p}_0 \in c_1 \cdots c_N, \mathfrak{p}_1 \in c_1, \dots, \mathfrak{p}_N \in c_N$ be prime ideals. Then there exist elements $u, u_0, u_1, \dots, u_N \in R$ such that $(u) = \mathfrak{p}_0 \mathfrak{p}_1 \cdots \mathfrak{p}_N$ and $(u_i) = \mathfrak{p}_i^2$ for $0 \leq i \leq N$. Obviously, u, u_0, \dots, u_N are irreducible elements of R , and they are (up to associates) the only irreducible elements of R dividing some power u^n of u . From the unique factorization into prime ideals we see that all factorizations of u^n are of the form

$$u^n \sim u^\alpha u_0^\beta u_1^\beta \cdots u_N^\beta, \quad \text{where } n = \alpha + 2\beta.$$

This implies

$$f(u^n) = \left\lfloor \frac{n}{2} \right\rfloor + 1 = \frac{n}{2} + O(1),$$

and indeed, $r=2$ is the maximal number of linearly independent vectors in the system

$$\{(\alpha, \beta, \dots, \beta) \in \mathbf{N}_0^{N+2} \mid \alpha, \beta \in \mathbf{N}_0\}.$$

Example 2. Let K be an algebraic number field, R its ring of integers, and assume that the ideal class group G of R is cyclic of order $N \geq 2$. Let \mathfrak{c} be a generating class of G , and let $\mathfrak{p}_1, \dots, \mathfrak{p}_N \in \mathfrak{c}$ be distinct prime ideals. Let \mathcal{A} be the set of all vectors $\alpha = (\alpha_1, \dots, \alpha_N) \in \mathbf{N}_0^N$ such that $N = \alpha_1 + \dots + \alpha_N$. For any $\alpha \in \mathcal{A}$, there is an irreducible element $u_\alpha \in R$ such that $(u_\alpha) = \mathfrak{p}_1^{\alpha_1} \dots \mathfrak{p}_N^{\alpha_N}$. We set $a = u_{(1, \dots, 1)} \in R$, and we use Theorem 1 to determine the asymptotic behaviour of $\mathbf{f}(a^n)$. Obviously, $\{u_\alpha \mid \alpha \in \mathcal{A}\}$ is a complete system of mutually not associated irreducible elements of R dividing some power a^n of a . The factorizations of a^n are of the form

$$a^n \sim \prod_{\alpha \in \mathcal{A}} u_\alpha^{k(\alpha)},$$

where the exponent vectors $(k(\alpha))_{\alpha \in \mathcal{A}} \in \mathbf{N}_0^{\mathcal{A}}$ satisfy the relations

$$\sum_{\alpha \in \mathcal{A}} k(\alpha) \alpha_i = n \quad \text{for all } i \in \{1, \dots, N\}.$$

By Theorem 1 we obtain

$$\mathbf{f}(a^n) = An^{r-1} + O(n^{r-2}),$$

where $A \in \mathbf{Q}_{>0}$, and r is the maximal number of linearly independent vectors

$$(k(\alpha))_{\alpha \in \mathcal{A}} \in \mathbf{N}_0^{\mathcal{A}}$$

satisfying the relations

$$\sum_{\alpha \in \mathcal{A}} k(\alpha)(\alpha_i - \alpha_1) = 0, \quad (i = 2, \dots, N).$$

These $N-1$ relations are linearly independent: Indeed, if $\lambda_2, \dots, \lambda_N \in \mathbf{Q}$ are such that

$$\sum_{i=2}^N \lambda_i (\alpha_i - \alpha_1) = 0 \quad \text{for all } \alpha \in \mathcal{A},$$

then the vectors $\alpha = (0, \dots, 0, N, 0, \dots, 0) \in \mathcal{A}$ show that $\lambda_2 = \dots = \lambda_N = 0$. This implies

$$r = \#\mathcal{A} - N + 1 = \binom{2N-1}{N} - N + 1.$$

Example 3. We consider the multiplicative monoid $H = \{1\} \cup 2\mathbf{N}$. The irreducible elements of H are the numbers $u \equiv 2 \pmod{4}$, H is an FF-monoid, and any two factorizations of an element $a \in H \setminus \{1\}$ have the same length. For an odd prime number p , we consider the element $a = 2p$. The irreducible elements of H dividing some power a^n of a are the elements $u_\alpha = 2p^\alpha$ for $\alpha \in \mathbf{N}_0$, and the factorizations of a^n are of the form

$$a^n = \prod_{i=1}^n (2p^{\alpha_i}), \quad \text{where } n = \alpha_1 + \dots + \alpha_n,$$

whence they correspond bijectively to the partions of n , which implies

$$\mathbf{f}(a^n) = p(n) \sim \frac{1}{4n\sqrt{3}} \exp\left\{ \pi \sqrt{\frac{2n}{3}} \right\};$$

see [11], Theorem 6.10 and [12], §2.7.

Example 4. We consider the ring $R = \mathbf{Z}[\sqrt{-7}]$ which is the simplest example of a noetherian domain not being an SFF-domain. We shall prove the estimate

$$\mathbf{f}(2^n) \gg \frac{1}{n^2} \exp\left\{ \pi \sqrt{\frac{2n}{3}} \right\},$$

which is substantially stronger than Theorem 2.

For $i \geq 1$, the elements

$$u_i = 2 \left(\frac{1 + \sqrt{-7}}{2} \right)^i \quad \text{and} \quad \bar{u}_i = 2 \left(\frac{1 - \sqrt{-7}}{2} \right)^i$$

are irreducible in $\mathbf{Z}[\sqrt{-7}]$, and the elements $2, u_i, \bar{u}_i (i \geq 1)$ are (up to associates) the only irreducible elements of $\mathbf{Z}[\sqrt{-7}]$ which divide some power 2^n of 2 in R (to see this, consider the factorial ring $\mathbf{Z}[(1 + \sqrt{-7})/2]$, where $2 = (1 + \sqrt{-7})/2 \cdot (1 - \sqrt{-7})/2$). The factorizations of 2^n in $\mathbf{Z}[\sqrt{-7}]$ are of the form

$$2^n = 2^\alpha \cdot \prod_{i=1}^{n-2} (u_i \bar{u}_i)^{\alpha_i},$$

where $\alpha, \alpha_1, \dots, \alpha_{n-2} \in \mathbf{N}_0$ are the solutions of the equation

$$(*) \quad n = \alpha + \sum_{i=1}^{n-2} (i+2)\alpha_i;$$

consequently, $f(2^n)$ is the number of solutions $(\alpha, \alpha_1, \dots, \alpha_{n-2}) \in \mathbf{N}_0^{n-1}$ of (*). The partition function $p(n)$ counts the number of solutions $(\alpha, \alpha_0, \dots, \alpha_{n-2}) \in \mathbf{N}_0^n$ of the equation

$$n = \alpha + 2\alpha_0 + 3\alpha_1 + \dots + n\alpha_{n-2}$$

(see [11], Lemma 6.12), and therefore

$$p(n) = \sum_{i=0}^{\lfloor n/2 \rfloor} f(2^{n-2i}) \leq n f(2^n),$$

which implies

$$f(2^n) \geq \frac{p(n)}{n} \gg \frac{1}{n^2} \exp \left\{ \pi \sqrt{\frac{2n}{3}} \right\}$$

by [11], Theorem 6.10 and [12], §2.7.

4. The following finiteness result is of interest in itself

Proposition 1. *Let $H = [a_1, \dots, a_t]$ be a finitely generated torsion-free monoid and $F: H \rightarrow \mathbf{N}_0$ a function with the following properties:*

- (1) $F(xy) = F(x) + F(y)$ for all $x, y \in H$;
- (2) $1 = F(a_1) \leq F(a_2) \leq \dots \leq F(a_t)$.

For $n \in \mathbf{N}_0$, we set

$$A_n = \#F^{-1}(n) = \#\{x \in H \mid F(x) = n\}.$$

Let

$$r = \dim_{\mathbf{Q}} \mathbf{Q} \otimes \mathcal{Q}(H) \geq 1$$

be the torsion-free rank of a quotient group $\mathcal{Q}(H)$ of H . Then we have

$$\sum_{n=0}^{\infty} A_n t^n = \frac{f(t)}{(1-t)(1-t^{d_2}) \dots (1-t^{d_r})},$$

where $f(t) \in \mathbf{Q}[t]$, $f(1) \neq 0$ and $d_2, \dots, d_r \in \mathbf{N}$. In particular, there is a constant $A \in \mathbf{Q}_{>0}$ such that

$$A_n = An^{r-1} + O(n^{r-2}).$$

The proof of Proposition 1 depends on two Lemmata; the first one belongs to commutative algebra, the second one is of combinatorial nature.

Lemma 1. *Let*

$$R = \bigoplus_{n \geq 0} R_n = k[x_1, \dots, x_t]$$

be a graded domain, where $R_0 = k$ is a field, $x_1, \dots, x_t \in R$ are homogeneous elements, $0 \neq x_1 \in R_1$ and $r = \text{tr. deg}(R/k) \geq 1$. Then there exist homogeneous elements $x'_2, \dots, x'_r \in R$ such that x_1, x'_2, \dots, x'_r is a transcendence basis of R/k , and R is integral over $k[x_1, x'_2, \dots, x'_r]$. The Poincaré series of R is of the form

$$\sum_{n=0}^{\infty} (\dim_k R_n) t^n = \frac{f(t)}{(1-t)(1-t^{d_2}) \cdots (1-t^{d_r})},$$

where $f(t) \in \mathbf{Q}[t]$, $f(1) \neq 0$ and $d_2, \dots, d_r \in \mathbf{N}$.

Proof. See [13], § 6. \square

Lemma 2. *Let d_1, \dots, d_r be positive integers such that $\text{gcd}(d_1, \dots, d_r) = 1$ and $\text{lcm}(d_1, \dots, d_r) = d \in \mathbf{N}$. Let $f(t) \in \mathbf{Q}[t]$ be a polynomial, $f(1) \neq 0$, and set*

$$\frac{f(t)}{(1-t^{d_1}) \cdots (1-t^{d_r})} = \sum_{n=0}^{\infty} A_n t^n \in \mathbf{Q}[[t]].$$

Then there exist polynomials $P_0, \dots, P_{d-1} \in \mathbf{Q}[z]$, all of degree $r-1$ and with leading coefficient $f(1)[d_1 \cdots d_r (r-1)!]^{-1}$ such that $A_n = P_\nu(n)$ for all sufficiently large $n \equiv \nu \pmod d$ and $0 \leq \nu < d$. In particular,

$$\lim_{n \rightarrow \infty} \frac{A_n}{n^{r-1}} = \frac{f(1)}{d_1 \cdots d_r (r-1)!}.$$

Proof (following a suggestion of R. Tichy; a weaker result is in [3], 2.6). We start with a preliminary remark of general nature. For $\alpha \in \mathbf{C}$ and $m \in \mathbf{N}$, we consider the binomial series

$$(1-\alpha t)^{-m} = \sum_{n=0}^{\infty} \binom{n+m-1}{m-1} \alpha^n t^n \in \mathbf{C}[[t]].$$

For a polynomial $g(t) = c_0 + c_1 t + \dots + c_s t^s \in \mathbf{Q}[t]$ we obtain

$$\frac{g(t)}{(1-\alpha t)^m} = \sum_{n=0}^{\infty} B_n t^n,$$

where, for $n \geq s$,

$$B_n = \sum_{\nu=0}^s c_\nu \binom{n-\nu+m-1}{m-1} \alpha^{n-\nu} = Q(n)\alpha^n$$

and

$$Q(z) = \frac{g(\alpha^{-1})}{(m-1)!} z^{m-1} + \dots \in \mathbf{C}[z].$$

Now we are well prepared for the proof of Lemma 2. We set

$$(1-t^{d_1}) \cdots (1-t^{d_r}) = (1-t)^r \cdot \prod_{j=1}^s (1-\xi_j^{-1}t)^{r_j},$$

where $1, \xi_1, \dots, \xi_s \in \mathbf{C}$ are distinct d -th roots of unity, and $1 \leq r_j < r$ for all $j \in \{1, \dots, s\}$, since $\gcd(d_1, \dots, d_r) = 1$. We use the partial fractions decomposition in the form

$$\frac{f(t)}{(1-t^{d_1}) \cdots (1-t^{d_r})} = \frac{f_0(t)}{(1-t)^r} + \sum_{j=1}^s \frac{f_j(t)}{(1-\xi_j^{-1}t)^{r_j}},$$

where $f_0(t) \in \mathbf{Q}[t]$, $f_0(1) \neq 0$ and $f_1(t), \dots, f_s(t) \in \mathbf{C}[t]$. Now we expand the fractions into power series and obtain from the formulas derived above:

$$A_n = Q_0(n) + \sum_{j=1}^s Q_j(n)\xi_j^{-n}$$

for all sufficiently large n , where

$$Q_0(z) = \frac{f_0(1)}{(r-1)!} z^{r-1} + \dots \quad \text{and} \quad Q_j(z) = \frac{f_j(\xi_j)}{(r_j-1)!} z^{r_j-1} + \dots \in \mathbf{C}[z].$$

Since $\xi_j^d = 1$, the factors ξ_j^{-n} depend only on the residue class of n modulo d . Observing $r_j < r$, $A_n \in \mathbf{Q}$ and

$$f_0(1) = \lim_{t \rightarrow 1} \frac{f(t)(1-t)^r}{(1-t^{d_1}) \cdots (1-t^{d_r})} = \frac{f(1)}{d_1 \cdots d_r},$$

the assertion follows. \square

Proof of Proposition 1. Since H is torsion-free, the monoid ring $R = \mathbf{Q}[H]$ is a domain by [6], Theorem 8.1, and clearly $r = \text{tr. deg}(R/\mathbf{Q})$. We make R into a graded ring by setting

$$R = \bigoplus_{n \geq 0} R_n, \quad \text{where } R_n = \bigoplus_{x \in F^{-1}(n)} \mathbf{Q}x;$$

since $A_n = \#F^{-1}(n) = \dim_{\mathbf{Q}} R_n$, the result follows from Lemma 1 and Lemma 2. \square

Next we show how Proposition 1 implies factorization properties.

Proposition 2. *Let $H = [u_1, \dots, u_m]$ be a finitely generated reduced monoid, $1 \notin \{u_1, \dots, u_m\}$ and $1 \neq a \in H$. For $n \in \mathbf{N}_0$, we set*

$$A_n = \#\{(k_1, \dots, k_m) \in \mathbf{N}_0^m \mid u_1^{k_1} \cdots u_m^{k_m} = a^n\}.$$

Let r be the maximal number of \mathbf{Q} -linearly independent vectors $(k_1, \dots, k_m) \in \mathbf{N}_0^m$ such that $u_1^{k_1} \cdots u_m^{k_m} \in [a]$. Then there exists a constant $A \in \mathbf{Q}_{>0}$ such that

$$A_n = An^{r-1} + O(n^{r-2}).$$

Proof. For $m \in \mathbf{N}$, we write the elements of \mathbf{N}_0^m in the form $\mathbf{k} = (k_1, \dots, k_m)$. For $\mathbf{k}, \mathbf{k}' \in \mathbf{N}_0^m$, we define $\mathbf{k} \leq \mathbf{k}'$ by $k_j \leq k'_j$ for all $j \in \{1, \dots, m\}$. Then $(\mathbf{N}_0^m, +, \leq)$ becomes an ordered additive monoid, and we shall use the fact that every non-empty subset $M \subset \mathbf{N}_0^m$ has only finitely many minimal points, cf. [2], Theorem 9.18. The set

$$\Gamma = \{\mathbf{k} \in \mathbf{N}_0^m \mid u_1^{k_1} \cdots u_m^{k_m} \in [a]\}$$

is a submonoid of \mathbf{N}_0^m with the property that $\mathbf{m}, \mathbf{n} \in \Gamma$, $\mathbf{m} \geq \mathbf{n}$ implies $\mathbf{m} - \mathbf{n} \in \Gamma$. Therefore Γ is generated by the minimal points of $\Gamma \setminus \{\mathbf{0}\}$, say $\mathbf{k}^{(1)}, \dots, \mathbf{k}^{(t)}$. We define $F: \Gamma \rightarrow \mathbf{N}_0$ by

$$F(\mathbf{k}) = n \quad \text{if } u_1^{k_1} \cdots u_m^{k_m} = a^n;$$

Proposition 1 implies the assertion. \square

5. Proof of Theorem 1. Passing from H to H/H^\times , we may assume that H is reduced. Then there exist only finitely many irreducible elements u_1, \dots, u_m in H dividing some power a^n of a . The result follows by applying Proposition 2 to $[u_1, \dots, u_m]$, since

$$\mathbf{f}(a^n) = \#\{(k_1, \dots, k_m) \in \mathbf{N}_0^m \mid u_1^{k_1} \cdots u_m^{k_m} = a^n\}.$$

Proof of Theorem 2. We may again assume that H is reduced. Since H is an FF-monoid, every power a^n of a is divisible by only finitely many irreducible elements of H . Therefore, by assumption, there exists a sequence $(u_i)_{i \geq 1}$ of irreducible elements of H and there exist sequences $1 \leq m_1 < m_2 < \dots$ and $1 \leq n_1 < n_2 < \dots$ such that u_1, \dots, u_{m_i} are all irreducible elements of H dividing a^{n_i} . For $i \geq 1$, set

$$\Gamma_i = \{(k_1, \dots, k_{m_i}) \in \mathbf{N}_0^{m_i} \mid u_1^{k_1} \cdots u_{m_i}^{k_{m_i}} \in [a]\},$$

and denote by r_i the maximal number of \mathbf{Q} -linearly independent vectors in Γ_i ; then we obtain

$$\mathbf{f}(a^n) \geq \#\{\mathbf{k} \in \Gamma_i \mid u_1^{k_1} \cdots u_{m_i}^{k_{m_i}} = a^n\} \gg n^{r_i-1}$$

by Proposition 2. If $(k_1, \dots, k_{m_i}) \in \Gamma_i$, then $(k_1, \dots, k_{m_i}, 0, \dots, 0) \in \Gamma_{i+1}$; however, there exist elements $\mathbf{k} \in \Gamma_{i+1}$ such that $k_j \geq 1$ for some $m_j < j \leq m_{i+1}$, and therefore $r_{i+1} > r_i$. Now the assertion follows. \square

Remark. It is possible to give a proof of Proposition 2 using geometrical methods instead of those of commutative algebra (Lemma 1). These geometrical proofs either rely upon [10], Ch. VI, §2, Theorem 2, or on the combinatorial ideas outlined in [4]. In both cases it is rather difficult to prove that A is a rational (and not only a real) number and to give a precise description of the exponent r . However, we do not know of a proof of the (stronger) Proposition 1 without using commutative algebra.

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