THE UNREASONABLE SLIGHTNESS OF E₂ OVER IMAGINARY QUADRATIC RINGS

BOGDAN NICA

ABSTRACT. It is almost always the case that the elementary matrices generate the special linear group SL_n over a ring of integers in a number field. The only exceptions to this rule occur for SL_2 over rings of integers in imaginary quadratic fields. The surprise is compounded by the fact that, in these cases when elementary generation fails, it actually fails rather badly: the group E_2 generated by the elementary 2-by-2 matrices turns out to be an infinite-index, non-normal subgroup of SL_2 .

We give an elementary proof of this strong failure of elementary generation for SL₂ over imaginary quadratic rings.

1. INTRODUCTION

The group $SL_n(\mathbb{Z})$ is generated by the elementary matrices; recall, these are the matrices which have 1 along the diagonal and at most one nonzero off-diagonal entry. The proof rests on the fact that \mathbb{Z} is a Euclidean domain: row- and column-operations dictated by division with remainder will reduce any matrix in $SL_n(\mathbb{Z})$ to the identity matrix.

What happens if we replace \mathbb{Z} by another ring of integers? More precisely, if $\mathcal{O}_{\mathbb{K}}$ denotes the ring of integers in a number field \mathbb{K} , then is it still the case that $SL_n(\mathcal{O}_{\mathbb{K}})$ is generated by the elementary matrices?

We owe to Cohn [3] the first result in this direction: when n = 2, the answer is negative for all but five imaginary quadratic fields.

Theorem 1.1 (Cohn). Let \mathcal{O}_D denote the ring of integers in $\mathbb{Q}(\sqrt{-D})$, where D is a square-free positive integer. If $D \neq 1, 2, 3, 7, 11$, then $SL_2(\mathcal{O}_D)$ is not generated by the elementary matrices.

We remind the reader that

$$\mathcal{O}_D = \begin{cases} \mathbb{Z}[\sqrt{-D}] & \text{if } D \equiv 1,2 \mod 4, \\ \mathbb{Z}\big[\frac{1}{2}(1+\sqrt{-D})\big] & \text{if } D \equiv 3 \mod 4. \end{cases}$$

For D = 1, 2, 3, 7, 11 the ring of integers \mathcal{O}_D is a Euclidean domain, and hence $SL_2(\mathcal{O}_D)$ is generated by the elementary matrices. For no other value of D is \mathcal{O}_D Euclidean (Motzkin [9]), and Theorem 1.1 could be viewed as a strong way of asserting this fact. The values D = 19, 43, 67, 163 are particularly interesting, as \mathcal{O}_D is a principal ideal domain in these cases (for D = 19, see [12] and [2]).

Soon after Cohn's theorem, it became clear that he had uncovered a highly singular phenomenon: $SL_n(\mathcal{O}_{\mathbb{K}})$ is generated by the elementary matrices in all *other* cases. For n = 2, this was shown in [11].

Theorem 1.2 (Vaserstein). Let $\mathcal{O}_{\mathbb{K}}$ denote the ring of integers in a number field \mathbb{K} . If \mathbb{K} is not an imaginary quadratic field, then $SL_2(\mathcal{O}_{\mathbb{K}})$ is generated by the elementary matrices.

For $n \ge 3$, the situation is pleasantly uniform. In the course of their solution to the congruence subgroup problem [1], Bass, Milnor, and Serre established the following result.

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Theorem 1.3 (Bass - Milnor - Serre). Let $\mathcal{O}_{\mathbb{K}}$ denote the ring of integers in a number field \mathbb{K} . If $n \geq 3$, then $SL_n(\mathcal{O}_{\mathbb{K}})$ is generated by the elementary matrices.

The failure of elementary generation for $SL_2(\mathcal{O}_D)$, where $D \neq 1,2,3,7,11$, is not only surprising, but also dramatic. It turns out that $E_2(\mathcal{O}_D)$, the subgroup of $SL_2(\mathcal{O}_D)$ generated by the elementary matrices, is a non-normal, infinite-index subgroup of $SL_2(\mathcal{O}_D)$. Our aim is to give an elementary proof of this fact. For the moment, let us point out that the conceptual explanation behind this situation is Murphy's law: "When it rains, it pours."

Instead of rings of integers in imaginary quadratic fields, we consider, more generally, imaginary quadratic rings. A *quadratic ring* is a subring of C of the form $\mathbb{Z} \oplus \mathbb{Z}\omega$. Then ω must satisfy a quadratic relation which, up to an integral shift, is either $\omega^2 \pm D = 0$ or $\omega^2 - \omega \pm D = 0$, with *D* a positive integer. The quadratic rings are split by the choice of sign into real quadratic rings, $\mathbb{Z}[\sqrt{D}]$ and $\mathbb{Z}[\frac{1}{2}(1+\sqrt{1+4D})]$, and imaginary quadratic rings, $\mathbb{Z}[\sqrt{-D}]$ and $\mathbb{Z}[\frac{1}{2}(1+\sqrt{1-4D})]$.

Using a criterion of Cohn, Dennis [5] extended Theorem 1.1 to imaginary quadratic rings.

Theorem 1.4 (Dennis). Let $A = \mathbb{Z}[\sqrt{-D}]$ or $A = \mathbb{Z}[\frac{1}{2}(1+\sqrt{1-4D})]$, where $D \ge 4$. Then $SL_2(A)$ is not generated by the elementary matrices.

In Theorem 1.4, the discarded values of *D* correspond to the following imaginary quadratic rings:

 $\mathbb{Z}[\sqrt{-1}], \ \mathbb{Z}[\sqrt{-2}], \ \mathbb{Z}[\sqrt{-3}], \ \mathbb{Z}\big[\frac{1}{2}(1+\sqrt{-3})\big], \ \mathbb{Z}\big[\frac{1}{2}(1+\sqrt{-7})\big], \ \mathbb{Z}\big[\frac{1}{2}(1+\sqrt{-11})\big]$

These are the five Euclidean rings of integers that we ruled out in Theorem 1.1, together with $\mathbb{Z}[\sqrt{-3}]$. Although $\mathbb{Z}[\sqrt{-3}]$ is not a Euclidean domain (in fact, it even fails to be a unique factorization domain), it is still the case that $SL_2(\mathbb{Z}[\sqrt{-3}])$ is generated by the elementary matrices (see [5]).

The stage is now set for stating the theorem we are interested in. Namely, we prove the following strong failure of elementary generation for SL₂ over imaginary quadratic rings.

Theorem 1.5. Let $A = \mathbb{Z}[\sqrt{-D}]$ or $A = \mathbb{Z}[\frac{1}{2}(1 + \sqrt{1-4D})]$, where $D \ge 4$. Then the group $E_2(A)$ generated by the elementary matrices is a non-normal, infinite-index subgroup of $SL_2(A)$.

Theorem 1.5 significantly strengthens Theorem 1.4; furthermore, our proof is more elementary and more explicit than the argument in [5]. It should be mentioned, however, that Theorem 1.5 is "known," in the sense that experts in this topic would immediately see it as a consequence of two other results from the literature. Firstly, the presentations obtained by Cohn in [4] show that, for *A* as in Theorem 1.5, $E_2(A)$ is in fact independent of *A*. Secondly, a theorem of Frohman and Fine [6] says that, for *A* a ring of integers as in Theorem 1.1, $SL_2(A)$ is an amalgamated product having $E_2(A)$ as one of the factors. Alas, both results have complicated proofs. What we offer here is a new proof for a fact that is interesting enough to be considered on its own. Our approach descends directly from Cohn's [3].

To put Theorem 1.5 into perspective, notice that the imaginary quadratic rings are precisely the orders in imaginary quadratic fields. We remind the reader that an order in a number field \mathbb{K} is a subring of \mathbb{K} which has maximal possible rank, namely equal to the degree $[\mathbb{K} : \mathbb{Q}]$, when viewed as an abelian group. The ring of integers $\mathcal{O}_{\mathbb{K}}$ is an order, in fact the maximal order in the sense that all orders in \mathbb{K} are contained in $\mathcal{O}_{\mathbb{K}}$.

The following result, extracted from [8], shows that the behavior described by Theorem 1.5 is exceptional among orders in number fields.

Theorem 1.6 (Liehl). Let A be an order in a number field which is not imaginary quadratic. Then $E_2(A)$ is a normal, finite-index subgroup in $SL_2(A)$. Moreover, if the number field has a real embedding then $SL_2(A)$ is generated by the elementary matrices.

The failure of normality in Theorem 1.5 should also be considered against the following important, and somewhat mysterious, result from [10]. **Theorem 1.7** (Suslin). Let $n \ge 3$, and let A be a commutative ring with identity. Then $E_n(A)$ is normal in $SL_n(A)$.

2. PRELIMINARIES

In this section, A denotes a commutative ring with identity.

2.1. Unimodular pairs. A pair of elements from *A* is said to be *unimodular* if it forms the first row of a matrix in $SL_2(A)$. Observe that $SL_2(A)$ acts by right-multiplication on unimodular pairs, and that this action is transitive.

Moreover, we have the following fact:

(†) $SL_2(A)$ is generated by the elementary matrices if and only if the elementary group $E_2(A)$ acts transitively on the set of unimodular pairs of *A*.

The forward implication in (†) is obvious. For the converse, let $S \in SL_2(A)$. As $E_2(A)$ acts transitively on unimodular pairs, we can right-multiply the first row of *S* by some $E \in E_2(A)$ to obtain (1,0). In other words, we have

$$SE = \begin{pmatrix} 1 & 0 \\ * & * \end{pmatrix}.$$

Taking determinants, we see that the (2, 2)-entry of the right-hand side is 1, so the right-hand side is in fact an elementary matrix. Hence $S \in E_2(A)$, and we conclude that $SL_2(A) = E_2(A)$.

We do not use (†) per se in what follows, but rather its message: the way $E_2(A)$ sits in $SL_2(A)$ can be understood through the action of $E_2(A)$ on unimodular pairs.

2.2. Cohn's standard form. Instead of the elementary matrices

$$\begin{pmatrix} 1 & a \\ 0 & 1 \end{pmatrix}, \quad \begin{pmatrix} 1 & 0 \\ a & 1 \end{pmatrix} \qquad (a \in A)$$

we use the following matrices:

$$E(a) = \begin{pmatrix} a & 1 \\ -1 & 0 \end{pmatrix} \quad (a \in A).$$

Note that

(1)

$$E(a) = \begin{pmatrix} 1 & -a \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} = \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ a & 1 \end{pmatrix}$$

for all $a \in A$. Since

$$\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ -1 & 1 \end{pmatrix} \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \in \mathcal{E}_2(A),$$

we deduce from (1) that each E(a) is in $E_2(A)$. On the other hand, (1) shows that we can express the elementary matrices as follows:

$$\begin{pmatrix} 1 & a \\ 0 & 1 \end{pmatrix} = -E(-a)E(0), \quad \begin{pmatrix} 1 & 0 \\ a & 1 \end{pmatrix} = -E(0)E(a).$$

Consequently, every matrix in $E_2(A)$ has the form $\pm E(a_1) \cdots E(a_r)$. Furthermore, such a form can be "standardized."

Lemma 2.1 (Cohn). Every matrix in $E_2(A)$ can be written as $\pm E(a_1) \cdots E(a_r)$ where all a_i 's but a_1 and a_r are different from $0, \pm 1$.

Proof. Given a matrix in $E_2(A)$, consider its shortest expression as $\pm E(a_1) \cdots E(a_r)$. The relations

$$E(a)E(0)E(a') = -E(a+a'), \qquad E(a)E(\pm 1)E(a') = \pm E(a\mp 1)E(a'\mp 1)$$

show that only a_1 and a_r may take on the values $0, \pm 1$.

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3. Proof of Theorem 1.5

Let $A = \mathbb{Z}[\sqrt{-D}]$ or $A = \mathbb{Z}\left[\frac{1}{2}(1 + \sqrt{1 - 4D})\right]$, with $D \ge 4$. The verification of the next lemma is left to the reader.

Lemma 3.1. Let $a \in A$. Then $|a| \ge 2$ whenever a is different from $0, \pm 1$.

We call a unimodular pair (a, b) special if $|a| = |b| < |a \pm b|$. Geometrically, this means that 0, *a*, *b*, and a + b are the vertices of a "fat" rhombus in which both diagonals are longer than the sides. The key observation is that special unimodular pairs are equivalent under the action of the elementary group $E_2(A)$ only in a very restricted circumstance.

Lemma 3.2. Let (a, b) and (a', b') be special unimodular pairs which are $E_2(A)$ -equivalent. Then (a', b') is one of (a, b), (-b, a), (-a, -b), (b, -a).

Note that the set $\{(a, b), (-b, a), (-a, -b), (b, -a)\}$ is the orbit of (a, b) under the 4-element subgroup of $E_2(A)$ generated by E(0), and that it consists of special unimodular pairs whenever (a, b)is a special unimodular pair. Lemma 3.2 can then be re-stated as follows: two special unimodular pairs are $E_2(A)$ -equivalent if and only if they are $\langle E(0) \rangle$ -equivalent.

The proof of Lemma 3.2 is based on the following analysis.

Lemma 3.3. Let (a,b) be a unimodular pair. Denote by (a',b') the unimodular pair (a,b)E(c) = (ca-b,a), where $c \in A$.

i) If |a| > |b|, then |a'| > |b'| whenever $c \neq 0, \pm 1$. *ii)* If (a,b) is special, then |a'| > |b'| whenever $c \neq 0$.

||u|| > ||v|| whenever ||v|| > ||v||

Proof. i) Let $c \neq 0, \pm 1$, so $|c| \ge 2$. Then $|ca - b| \ge |ca| - |b| \ge 2|a| - |b| > |a|$.

ii) Let $c \neq 0$. For $c = \pm 1$, we have $|ca - b| = |a \mp b| > |a|$ because (a, b) is special. Now let $c \neq 0, \pm 1$, so $|c| \ge 2$. As in part i), we have

(2)
$$|ca-b| \ge |ca|-|b| \ge 2|a|-|b| = |a|.$$

Assume, by way of contradiction, that |ca - b| = |a|. Consequently, we must have equalities throughout (2): |ca - b| = |ca| - |b|, and |c| = 2. The first equality says that 0, *b*, and *ca* are colinear in this order; as |ca| = 2|a| = 2|b|, we deduce that b = ca/2.

If $c = \pm 2$, then $b = \pm a$, which contradicts the fact that (a, b) is special. As an addendum to Lemma 3.1, the reader may check that |c| = 2 admits solutions different from ± 2 only when D = 4; namely, $c = \pm \omega$ or $c = \pm \overline{\omega}$ in $\mathbb{Z}[\omega]$, where $\omega = \sqrt{-4}$ or $\omega = \frac{1}{2}(1 + \sqrt{-15})$.

We have ax + by = 1 for some $x, y \in \mathbb{Z}[\omega]$, since (a, b) is unimodular. Using b = ca/2, we get

$$a(2x+cy)=2$$

If both *a* and 2x + cy are different from ± 1 , then $|a| \ge 2$ and $|2x + cy| \ge 2$ —by Lemma 3.1—and (3) fails. Also, if $a = \pm 1$, then $b = \pm c/2$ is no longer in $\mathbb{Z}[\omega]$. Therefore $2x + cy = \pm 1$. By conjugating or changing the signs of *x* or *y* if necessary, we may assume that $2x + \omega y = 1$. Putting $x = x_1 + x_2\omega$ and $y = y_1 + y_2\omega$ (where $x_1, x_2, y_1, y_2 \in \mathbb{Z}$), we obtain $2x_1 + 2x_2\omega + y_1\omega + y_2\omega^2 = 1$. But $\omega^2 = -4$ (when $\omega = \sqrt{-4}$) or $\omega^2 = \omega - 4$ (when $\omega = \frac{1}{2}(1 + \sqrt{-15})$), and we reach the contradiction $2x_1 - 4y_2 = 1$ in either case.

Lemma 3.2 follows readily from Lemma 3.3.

Proof of Lemma 3.2. According to Lemma 2.1, we have

$$(a',b') = \pm (a,b)E(c_1)\cdots E(c_r),$$

where only c_1 and c_r can take on the values $0, \pm 1$. Assume that (a', b') is not $\langle E(0) \rangle$ -equivalent to (a, b). By replacing (a, b) by (a, b)E(0), and (a', b') by (a', b')E(0) if necessary, we may furthermore

$$(a'',b'') := \pm (a,b)E(c_1)\cdots E(c_{r-1})$$

has |a''| > |b''| so necessarily $c_r = \pm 1$. But then

$$(a'',b'') = (a',b')E(\pm 1)^{-1} = (b',\pm b'-a')$$

has $|b'| < |\pm b' - a'|$, that is, |a''| < |b''|. This contradiction ends the proof.

We now attack Theorem 1.5.

The case $A = \mathbb{Z}[\sqrt{-D}]$. The general strategy is captured by the following claim:

(‡) Let *k* be a positive integer for which the Pell-type equation $X^2 - DY^2 = k^2 + 1$ has integral solutions. To each positive integral solution (x, y) of $X^2 - DY^2 = k^2 + 1$ we associate a matrix

$$S_{x,y} := \begin{pmatrix} -k + y\sqrt{-D} & -x \\ x & k + y\sqrt{-D} \end{pmatrix} \in \operatorname{SL}_2(A).$$

Then, for sufficiently large solutions (x, y), the following assertions hold:

- i) the conjugate $S_{x,y}^{-1}E(0)S_{x,y}$ is not in $E_2(A)$, and in particular $S_{x,y}$ is not in $E_2(A)$;
- ii) matrices $S_{x,y}$ corresponding to distinct sufficiently large solutions (x, y) lie in distinct left cosets of $E_2(A)$.

We prove the claim (‡). Consider the unimodular pairs

$$u_{x,y} := (1,1)S_{x,y} = (x-k+y\sqrt{-D}, -x+k+y\sqrt{-D}),$$

$$v_{x,y} := (-1,1)S_{x,y} = (x+k-y\sqrt{-D}, x+k+y\sqrt{-D}).$$

Note that a unimodular pair of the form $(a, \pm \overline{a})$ is special if and only if $|\text{Im } a| < \sqrt{3} |\text{Re } a|$ and $|\text{Re } a| < \sqrt{3} |\text{Im } a|$. Therefore, $u_{x,y}$ and $v_{x,y}$ are special unimodular pairs precisely when

(4)
$$\frac{1}{\sqrt{3}} < \frac{x \pm k}{y\sqrt{D}} < \sqrt{3}$$

The relation $x^2 - Dy^2 = k^2 + 1$ implies that

$$\frac{k \pm k}{\sqrt{D}} \longrightarrow 1 \text{ as } x, y \longrightarrow \infty;$$

consequently, sufficiently large solutions (x, y) of $X^2 - DY^2 = k^2 + 1$ fulfill (4).

Let (x, y) be a sufficiently large solution so that $u_{x,y}$ and $v_{x,y}$ are special unimodular pairs. Clearly, $u_{x,y}$ and $v_{x,y}$ are not $\langle E(0) \rangle$ -equivalent. As

$$u_{x,y}(S_{x,y}^{-1}E(0)S_{x,y}) = (1,1)E(0)S_{x,y} = (-1,1)S_{x,y} = v_{x,y},$$

it follows by Lemma 3.2 that $S_{x,y}^{-1}E(0)S_{x,y}$ is not in $E_2(A)$. This justifies part i) of (‡). For part ii), let (x, y) and (x', y') be distinct, sufficiently large solutions and assume that $S_{x',y'} = S_{x,y}E$ for some $E \in E_2(A)$. Right-acting on (1,1), we obtain $u_{x',y'} = u_{x,y}E$. Now Lemma 3.2 implies that $u_{x',y'}$ and $u_{x,y}$ are in fact $\langle E(0) \rangle$ -equivalent, a contradiction.

We can infer from (‡) that $E_2(A)$ is a non-normal, infinite-index subgroup of $SL_2(A)$ as soon as we dispel the doubts surrounding the following two points: that positive integers k for which $X^2 - DY^2 = k^2 + 1$ has integral solutions do exist, and that $X^2 - DY^2 = k^2 + 1$ has, indeed, sufficiently large integral solutions as soon as it is solvable at all. Both points will be clarified by the following concrete implementation of (‡).

For k = 2D, the equation $X^2 - DY^2 = k^2 + 1$ admits the solution x = 2D + 1, y = 2. The identity

$$(x^{2} - Dy^{2})(p^{2} - Dq^{2}) = (xp + Dyq)^{2} - D(xq + yp)^{2}$$

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tells us how to generate more integral solutions for $X^2 - DY^2 = k^2 + 1$. Namely, let (p_n, q_n) be the *n*th solution of the Pell equation $X^2 - DY^2 = 1$; it is given by the recurrence

$$p_{n+1} = p_1 p_n + Dq_1 q_n, \quad q_{n+1} = p_1 q_n + q_1 p_n,$$

where (p_1, q_1) is the smallest positive solution—the *fundamental solution*—of $X^2 - DY^2 = 1$. (See the first section of [7] for a quick reminder.) Setting

$$x_n = (2D+1)p_n + 2Dq_n, \quad y_n = (2D+1)q_n + 2p_n$$

we obtain a sequence of solutions for $X^2 - DY^2 = k^2 + 1$. Clearly $x_n, y_n \to \infty$ as $n \to \infty$.

We have already noticed that (x_n, y_n) satisfies the key condition (4) for large enough *n*. In this particular realization of (‡), however, it turns out that (x_n, y_n) satisfies (4) for all $n \ge 1$. Indeed, start by observing that $x_n \ge 2k + 1$. Then a straightforward manipulation shows that

$$\frac{1}{\sqrt{3}} < \frac{x \pm k}{\sqrt{x^2 - k^2 - 1}} < \sqrt{3}$$

whenever $x \ge 2k + 1$.

Thus, if we let

$$S_n := \begin{pmatrix} -2D + y_n \sqrt{-D} & -x_n \\ x_n & 2D + y_n \sqrt{-D} \end{pmatrix}$$

= $\begin{pmatrix} -2D & 0 \\ 0 & 2D \end{pmatrix} + \begin{pmatrix} 2\sqrt{-D} & -(2D+1) \\ 2D+1 & 2\sqrt{-D} \end{pmatrix} \begin{pmatrix} p_n & q_n \sqrt{-D} \\ -q_n \sqrt{-D} & p_n \end{pmatrix}$

then we have:

- · $S_n \in \mathrm{SL}_2(A)$;
- $S_n^{-1}E(0)S_n \notin E_2(A)$, and in particular $S_n \notin E_2(A)$;

• the S_n 's lie in distinct left cosets of $E_2(A)$.

The case $A = \mathbb{Z}\left[\frac{1}{2}(1+\sqrt{1-4D})\right]$ requires no extra work. A moment's thought will convince the reader that, if we perform the above construction over $\mathbb{Z}[\sqrt{1-4D}]$, then we can still conclude that $E_2(A)$ is a non-normal, infinite-index subgroup in $SL_2(A)$.

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DEPARTMENT OF MATHEMATICS AND STATISTICS, UNIVERSITY OF VICTORIA, VICTORIA (BC), CANADA E-mail address: bogdan.nica@gmail.com