

SÉMINAIRE N. BOURBAKI

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Séminaire N. Bourbaki, 1971, exp. n° 396, p. 275-288

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THE HILBERT MODULAR GROUP, RESOLUTION OF
THE SINGULARITIES AT THE CUSPS AND RELATED PROBLEMS

by F. HIRZEBRUCH

§ 1. The Hilbert modular group and the cusps.

Let k be a real quadratic field over \mathbb{Q} and \mathfrak{o} the ring of algebraic integers in k . Let $x \mapsto x'$ be the non-trivial automorphism of k . The Hilbert modular group

$$(1) \quad \mathrm{SL}_2(\mathfrak{o}) = \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} \mid a, b, c, d \in \mathfrak{o}, ad - bc = 1 \right\}$$

acts on $H \times H$ where H is the upper half plane of \mathbb{C} :

$$\begin{pmatrix} a & b \\ c & d \end{pmatrix} (z_1, z_2) = \left(\frac{az_1 + b}{cz_1 + d}, \frac{a'z_2 + b'}{c'z_2 + d'} \right).$$

The group $G = \mathrm{SL}_2(\mathfrak{o})/\{1, -1\}$ acts effectively. For a description of a fundamental domain of G , see Siegel [13].

For any point $x \in H \times H$, the isotropy group $G_x \subset G$ is finite cyclic. The singular points of the complex space $H \times H/G$ correspond bijectively to the finitely many conjugacy classes of maximal finite cyclic subgroups in G . Their number has been determined by Prestel [12] (see also Gundlach [7]). If, for example,

$$D \equiv 1 \pmod{4}, \quad D \neq 0 \pmod{3}, \quad D > 5, \quad D \text{ square free}, \quad k = \mathbb{Q}(\sqrt{D}),$$

then there are $h(-D)$ singular points of order 2 and $h(-3D)$ singular points of order 3 where $h(a)$ denotes the ideal class number of $\mathbb{Q}(\sqrt{a})$. (Assume a to be square free.)

G acts on the projective line $k \cup \{\infty\}$ by

$$x \mapsto \frac{ax + b}{cx + d}.$$

There are finitely many orbit classes. The elements of $(k \cup \{\infty\})/G$ are called cusps. They correspond bijectively to the ideal classes of \mathfrak{o} . If $x = \frac{m}{n}$ (where

$m, n \in \underline{o}$) belongs to a certain orbit, then (m, n) is a corresponding ideal. We denote by C the group of ideal classes in \underline{o} . (The principal ideals represent the unit element of C .) $H \times H/G$ can be compactified by adding finitely many points, namely the cusps. The resulting space

$$\overline{H \times H/G} = (H \times H/G) \cup C$$

is a compact algebraic surface (compare Gundlach [5]) with isolated singularities (the quotient singularities, as explained above, and the finitely many cusps). We wish to resolve the singularities. This is well-known for the quotient singularities (see, for example, [9] § 3.4). Object of this lecture is to do it for the cusps. For this we have to study the neighborhood of a cusp x in $\overline{H \times H/G}$ and the local ring at x .

We sometimes denote a cusp and a representing element $\frac{m}{n}$ ($m, n \in \underline{o}$) by the same symbol x . Let $G_x = \{\gamma \mid \gamma \in G, \gamma x = x\}$. We cannot, in general, transform $x = \frac{m}{n}$ to ∞ by an element of G , but it can be done by a matrix A with coefficients in k . Put $\underline{a} = (m, n)$. Then, following Siegel [13], we take

$$(2) \quad A = \begin{pmatrix} m & u \\ n & v \end{pmatrix} \in \text{SL}_2(k)/\{1, -1\}$$

where $u, v \in \underline{a}^{-1}$ (fractional ideal) and define

$$(3) \quad G_x^\infty = A^{-1} G_x A.$$

Then

$$(4) \quad G_x^\infty = \left\{ \begin{pmatrix} \epsilon & w \\ 0 & \epsilon^{-1} \end{pmatrix} \mid w \in \underline{a}^{-2} \right\} / \{1, -1\}$$

where ϵ is a unit of k . If we agree to consider a matrix always as a projective transformation, then

$$(5) \quad G_x^\infty = \left\{ \begin{pmatrix} \epsilon^2 & w \\ 0 & 1 \end{pmatrix} \mid \epsilon \text{ unit}, w \in \underline{a}^{-2} \right\}.$$

The group U of positive units of k is infinite cyclic. Let e_o be the generator with $e_o > 1$. It is called the fundamental unit. Let U^+ be the group of totally positive units, i.e.

$$U^+ = \{ \epsilon \mid \epsilon \in U, \epsilon > 0, \epsilon' > 0 \}.$$

Equation (5) is a motivation to study data (M, V) where :

- (6) 1) M is a \mathbb{Z} -module of rank 2 contained in k ;
 2) V is a subgroup $\neq \{1\}$ of the group U_M^+ of totally positive units which leave M invariant under multiplication (as is well-known $U_M^+ \neq \{1\}$).

Given the data (6) we have a group

$$(7) \quad \left\{ \begin{pmatrix} \varepsilon & w \\ 0 & 1 \end{pmatrix} \mid \varepsilon \in V, w \in M \right\}.$$

In analogy to (4) such groups occur for cusps which are singular points of the compactified orbit spaces F of more general discontinuous groups acting on $H \times H$ (subgroups of finite index of certain finite extensions of G). In (4) we have $M = \underline{a}^{-2}$ and $V = U^2$ and $U_M^+ = U^+$.

Data (M, V) as in (6) determine a torus bundle X over the circle :

$$(8) \quad V \simeq \pi_1(S^1), \quad (M \otimes_{\mathbb{Z}} \mathbb{R})/M = \text{Torus}$$

$\pi_1(S^1)$ acts on the torus. X is associated to the universal cover of S^1 . The following proposition seems to be well-known. I know it from J.-P. Serre. It follows, for example, from the information given in [5].

PROPOSITION.- If a cusp with data (M, V) is singular point of an algebraic surface F (see above), then its neighborhood boundary is the torus bundle X defined by (8). (For "neighborhood boundary" see, for example, [10].)

The local ring for a cusp (M, V) was described by Gundlach [5]. Let $M^0 \subset \mathbb{R}^2$ be the \mathbb{Z} -module of all $x \in \mathbb{R}^2$ such that

$$(9) \quad x_1 w + x_2 w' \in \mathbb{Z} \quad \text{for all } w \in M.$$

M^0 has rank 2. We have by (9) a bilinear pairing

$$B : M^0 \times M \rightarrow \mathbb{Z}.$$

V acts on B such that $B(\varepsilon x, w) = B(x, \varepsilon w)$ for $\varepsilon \in V$, $x \in M^0$, $w \in M$.

PROPOSITION.- The local ring for the cusp (M, V) consists of all "convergent"
Fourier series

$$(10) \quad f(z_1, z_2) = \sum_{x \in M^0} a_x e^{2\pi i(x_1 z_1 + x_2 z_2)}$$

where $a_x \neq 0$ only if both $x_1 > 0$ and $x_2 > 0$ or $x = 0$, and where $a_{\epsilon x} = a_x$ for $\epsilon \in V$. "Convergent" means that f converges for $\text{Im}(z_1) \cdot \text{Im}(z_2) > c$ where c is a constant depending on f .

§ 2. Binary indefinite quadratic forms.

Let M be a \mathbb{Z} -module of rank 2 contained in k . The function

$$(11) \quad w \mapsto ww' = N(w) \quad (\text{norm of } w)$$

is a quadratic form $M \rightarrow \mathbb{Q}$ which is indefinite and does not represent 0. We orient M by the basis (β_1, β_2) of M with $\beta_1 \beta_2' - \beta_2 \beta_1' > 0$.

We now study oriented \mathbb{Z} -modules M of rank 2 and quadratic forms

$$f : M \rightarrow \mathbb{Q}$$

which are indefinite and do not represent 0. No specific field k is given.

We call (M_1, f_1) and (M_2, f_2) equivalent if there exists an isomorphism $M_1 \rightarrow M_2$ of oriented \mathbb{Z} -modules which carries f_1 in tf_2 where t is a positive rational number.

Every (M, f) is equivalent to a quadratic form

$$g : \mathbb{Z} \times \mathbb{Z} \rightarrow \mathbb{Z}$$

where $\mathbb{Z} \times \mathbb{Z}$ is canonically oriented and such that for $(u, v) \in \mathbb{Z} \times \mathbb{Z}$

$$(12) \quad g(u, v) = au^2 + buv + cv^2$$

with $(a, b, c) = 1$. Then $b^2 - 4ac$ is called the discriminant of f . It depends only on the equivalence class of f and is a positive integer which is not a

perfect square. The real number

$$r_1 = \frac{-b + \sqrt{b^2 - 4ac}}{2a}, \quad \text{where } \sqrt{b^2 - 4ac} > 0,$$

is called the first root of g .

We take the unique continued fraction

$$r_1 = a_1 - \frac{1}{a_2 - \frac{1}{a_3 - \frac{1}{a_4 - \dots}}}$$

where $a_j \in \mathbb{Z}$ and $a_j \geq 2$ for $j > 1$. A continued fraction will be denoted by $[a_1, a_2, a_3, \dots]$. Since r_1 is a quadratic irrationality its continued fraction is periodic from a certain point on. Let (b_1, \dots, b_p) be its primitive period ($b_j \geq 2$). Observe that the period (2) cannot occur because $[2, 2, \dots] = 1$ is rational.

A sequence of integers (b_1, \dots, b_p) with $b_j \geq 2$ is called a period of length p , two periods are equivalent if they can be obtained from each other by a cyclic permutation. Such an equivalence class is called a cycle. A cycle is primitive if it is not obtainable from another cycle by an "unramified covering" of degree > 1 . Cycles are denoted by $((b_1, \dots, b_p))$. Thus $((2, 3))$ is primitive, but $((2, 3, 2, 3))$ is not. $((b_1, \dots, b_p))^m$ means the m -fold cover of $((b_1, \dots, b_p))$. For example $((2, 5))^3 = ((2, 5, 2, 5, 2, 5))$.

THEOREM.— The primitive cycle of the first root depends only on the equivalence class of (M, f) . If we associate to each (M, f) this primitive cycle, we obtain a bijective map from the set of equivalence classes of quadratic forms (M, f) to the set of all primitive cycles (where $((2))$ is excluded).

This theorem is a suitable modification of classical results. It is related to Gauss' reduction theory of quadratic forms [3]. The continued fractions had to be modified also, but all relevant theorems in Perron [11] can be taken over.

To simplify notations we shall indicate a cycle by

$$|s_1, t_1 | s_2, t_2 | s_3, t_3 | \dots ,$$

where s_j is the number of two's occurring in the corresponding position and where $t_j \geq 3$. For example,

$$((2,2,2,2,3,3,2,5)) = |4,3|0,3|1,5| .$$

Let k be a real quadratic field over \mathbb{Q} and d its discriminant ; it is the discriminant of the quadratic form (11) defined over the module $\underline{o} \subset k$. If $a > 0$ (square free) and $k = \mathbb{Q}(\sqrt{a})$, then

$$\begin{aligned} d &= 4a && \text{if } a \equiv 2, 3 \pmod{4} \\ d &= a && \text{if } a \equiv 1 \pmod{4} . \end{aligned}$$

Let C be as before the group of ideal classes of \underline{o} and C^+ the group of ideal classes with respect to strict equivalence (for which an ideal is equivalent 1 if it is principal with a totally positive generator). We have $|C^+| : |C| = 2$ or 1 depending on whether the fundamental unit e_o is totally positive or not. The order of C is the class number $h(a)$ for $k = \mathbb{Q}(\sqrt{a})$. If the discriminant of k is d , then C^+ is via (11) in one-to-one correspondence with the set of equivalence classes of quadratic forms (M, f) with discriminant d .

Don Zagier (Bonn) has written a computer program which puts out (the finitely many) primitive cycles for a given discriminant. For $d = 257$ the primitive cycles are

- a) $|0,3|14,3|0,17|$
- b) $|2,3|6,5|0,9|$
- c) $|0,5|6,3|2,9| .$

For $d = 4 \cdot 79$ the primitive cycles are

I	0,18 0,9
II	15, 3 6,3
III	2, 7 0,3 0,4
IV	1, 5 4,3 0,3
V	1, 3 0,3 4,5
VI	2, 4 0,3 0,7 .

For $k = \mathbb{Q}(\sqrt{257})$ the fundamental unit is not totally positive, the class number $h(257)$ equals 3. For $k = \mathbb{Q}(\sqrt{79})$ the fundamental unit is totally positive, the class number $h(79)$ equals 3. The order of C^+ is 6. The 6 quadratic forms for $d = 4 \cdot 79$ are listed by Gauss [3] Art. 187 and numbered from I to VI corresponding to our table above.

The discriminant $d = 20$, for example, is not the discriminant of a field k . There is one primitive cycle namely $|3,6|$ which belongs to the module $\mathbb{Z}\sqrt{5} \oplus \mathbb{Z} \cdot 1$ contained in $\mathbb{Q}(\sqrt{5})$ and the quadratic form defined on it by (11).

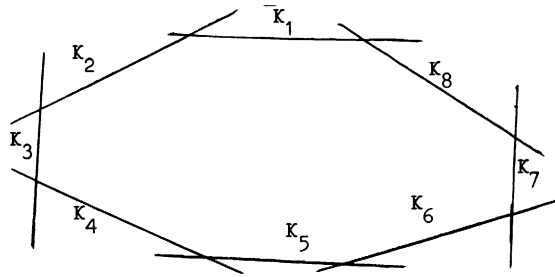
§ 3. Resolution of the cusps.

An isolated singular point x of a complex space of complex dimension 2 admits a resolution by which x is blown up into a system of non-singular curves K_j . For each K_j we have the genus $g(K_j)$ and the self-intersection number $K_j \circ K_j$.

The resolution is minimal (and then uniquely determined) if there is no K_j with $g(K_j) = 0$ and $K_j \circ K_j = -1$. The matrix $(K_i \circ K_j)$ is negative-definite (compare [10]).

The resolution is called cyclic if all $g(K_j)$ are zero (i.e. all curves are rational) and if j can be assumed to run through the residue classes mod q ($q \geq 3$) such that $K_{j+1} \circ K_j = K_j \circ K_{j+1} = 1$ for all $j \in \mathbb{Z}/q\mathbb{Z}$ (transversal intersection) and $K_r \circ K_s = 0$ for $r - s \neq 0, 1, -1$. Example ($q = 8$):

(13)



The following result is a consequence of a theorem in § 4.

THEOREM.- A cusp (M, V) , see (6), admits a cyclic resolution. M determines by (11) and the theorem in § 2 a primitive cycle $c = ((b_1, \dots, b_p))$. Put $m = [U_M^+ : V]$. Then $q = pm$ and

$$((-K_1 \circ K_1, \dots, -K_q \circ K_q)) = c^m.$$

(Exceptional cases $pm = 1$ or 2 . If $c^m = ((b))$ or $((b_1, b_2))$ we have a cycle of 3 curves with self-intersection numbers $-(b+3), -2, -1$ or $-(b_1+1), -1, -(b_2+1)$ respectively.)

The cyclic resolution is the minimal one with these exceptions which can be blown down to minimal ones looking like this :

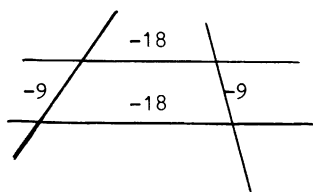


Examples.- For $k = \mathbb{Q}(\sqrt{a})$ with $a > 1$ (square free) and G as in § 1 we have $h(a)$ cusps ($h(a) =$ order of the ideal class group C , see § 2). Each cusp has the \mathbb{Z} -module \underline{a}^{-2} where the ideal \underline{a} represents an element of C . If \underline{a} and \underline{b} give the same element in C , then the \mathbb{Z} -modules \underline{a}^{-2} and \underline{b}^{-2} are obtainable from each other by multiplication with a totally positive number and (as fractional ideals) represent the same element of C^+ . Thus we have a homomor-

phism

$$\rho : C \rightarrow C^+ .$$

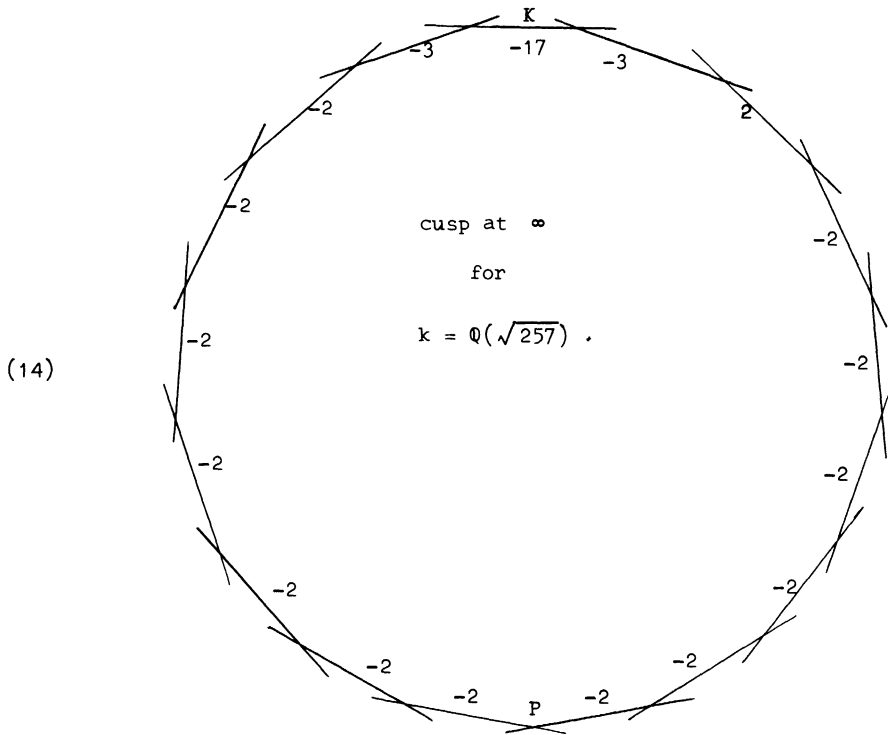
The resolution of a cusp $x \in C$ is given by the equivalence class of the quadratic form belonging to $\rho(x)$ or rather by its corresponding primitive cycle c (§ 2). The cycle of the resolution is c^m where $m = 2$ if the fundamental unit e_0 of k is totally positive, otherwise $m = 1$. For $k = \mathbb{Q}(\sqrt{79})$ and G as in § 1, we have three cusps. We have to analyze what are the squares in C^+ and their periods. In the list of § 2 the squares are I, IV, V. The cusps IV, V give the same singularity (the periods are just reversed). They go over into each other by the permutation σ of the factors of $H \times H$ (which leaves the cusp I invariant). The resolution of the cusp I looks like :



where we have indicated the self-intersection numbers. The (minimal) resolution of IV has 16 curves.

For $k = \mathbb{Q}(\sqrt{257})$ we have $C = C^+$ and $m = 1$. The resolutions of the three cusps are given by the primitive cycles written down in § 2.

The permutation σ on $H \times H$ carries the cusp b) into the cusp c) whereas on the cusp a) it carries the curve K with self-intersection number -17 into itself, has the intersection point P of two curves of self-intersection number -2 as fixed point



and otherwise interchanges the curves according to the symmetry of the continued fraction of a quadratic irrationality w , which is equivalent to $-w'$ under $SL_2(\mathbb{Z})$ (Theorem of Galois, see [11] § 23). The corresponding singularity of $(\overline{H \times H/G})/\sigma$ is a quotient singularity admitting a "linear resolution"



(compare [9] § 3.4)

obtained by "dividing" the diagram (14) by σ and using that curves of self-intersection number -1 can be "blown down" .

§ 4. Construction of cyclic singularities.

Let b_1, b_2, \dots, b_q ($q \geq 3$) be a sequence of integers ≥ 2 not all equal 2. For $q = 3$ also sequences $(a + 3, 2, 1)$ and $(a_1 + 1, 1, a_2 + 1)$ with $a \geq 3$ and $a_1 \geq 3$ or $a_2 \geq 3$ are admitted. Let j run through $\mathbb{Z}/q\mathbb{Z}$. Consider the matrix (c_{rs}) , where $r, s \in \mathbb{Z}/q\mathbb{Z}$, with

$$c_{j+1, j} = c_{j, j+1} = 1, \quad c_{jj} = -b_j, \quad c_{rs} = 0 \quad \text{otherwise.}$$

LEMMA.- Under the preceding assumptions the matrix (c_{rs}) is negative-definite.

Let k run through the integers and define b_k to be equal to b_j above if $k \equiv j \pmod{q}$. We now do a construction as in [9] § 3.4. For each k take a copy R_k of \mathbb{C}^2 with coordinates u_k, v_k . We define R'_k to be the complement of the line $u_k = 0$ and R''_k to be the complement of the line $v_k = 0$.

The equations

$$u_k = \frac{b_k}{u_{k-1}} v_{k-1}$$

$$v_k = 1/u_{k-1}$$

give a biholomorphic map $\varphi_{k-1} : R'_{k-1} \rightarrow R''_k$. If we make in the disjoint union $\cup R_k$ the identifications given by the φ_{k-1} we get a complex manifold Y in which we have a string of compact rational curves S_k non-singularly imbedded. S_k is given by $u_k = 0$ "in the k -th coordinate system" and by $v_{k-1} = 0$ in the $(k-1)$ -th coordinate system. S_k, S_{k+1} intersect in just one point transversally. S_i, S_k ($i < k$) do not intersect, if $k-i \neq 1$. The self-intersection number $S_k \circ S_k$ equals $-b_k$. The complex manifold Y admits a biholomorphic map $T : Y \rightarrow Y$ which sends a point with coordinates u_k, v_k in the k -th coordinate system to the point with the same coordinates in the $(k+q)$ -th coordinate system, thus $T(S_k) = S_{k+q}$. The main point is the existence of a tubular neighborhood Y° of $\cup S_k$ on which the infinite cyclic group $Z = \{T^n \mid n \in \mathbb{Z}\}$ operates freely such that Y°/Z is a complex manifold in which q rational curves $K_1 \cup \dots \cup K_q = \cup S_k/Z$ are embedded. Their intersection behaviour is given by

the negative-definite matrix c_{rs} (see Lemma).

According to Grauert [4] the curves $K_1 \cup \dots \cup K_q$ can be blown down to a singular point x in a complex space where x has by construction a cyclic resolution as defined in § 3.

THEOREM.- Let $\beta = [b_1, \dots, b_q, b_1, \dots, b_q, \dots]$. Then $M = \mathbb{Z}\beta \oplus \mathbb{Z} \cdot 1$ is a \mathbb{Z} -module contained in $k = \mathbb{Q}(\beta)$. Suppose $((b_1, \dots, b_q))$ is the m -th power of a primitive cycle. Then the local ring at the singular point x constructed above is isomorphic to the local ring described in the second proposition of § 1 provided $[U_M^+ : V] = m$.

The proof will be published elsewhere.

§ 5. Applications.

The resolution of the cusps can be used to calculate certain numerical invariants of $H \times H/G$, $(H \times H/G)/\sigma$, for example, where $\sigma : H \times H \rightarrow H \times H$ is the permutation of the factors as before. We have to use a result of Harder [8]. Compare the lecture of Serre in this Seminar. We mention two cases.

1. For a cusp $x = (M, V)$ with a resolution as in the theorem of § 3 we put

$$\varphi(x) = \frac{1}{3} \left(\sum_{j=1}^q K_j \circ K_j \right) + q.$$

The number $\varphi(x)$ is essentially the value at 1 of a certain L-function.

$\varphi(x)$ vanishes if the quadratic form f on M (see (11)) is equivalent to $-f$ (under an automorphism of M which need not be orientation preserving).

THEOREM.- Suppose $a > 6$, square free, $a \neq 0$ (3). Put $k = \mathbb{Q}(\sqrt{a})$. Using the notation of § 1 we have :

The signature of the (non-compact) rational homology manifold $H \times H/G$ equals $\sum_{x \in C} \varphi(x)$.

2. For a prime $p \equiv 1 \pmod{4}$ we shall calculate the arithmetic genus $\hat{\chi}_p$ of the non singular model of the compact algebraic surface $(H \times H/G)/\sigma$ for $k = \mathbb{Q}(\sqrt{p})$. Information on the fixed points (see § 1) is needed. The following result is closely related to theorems of Freitag [2] and Busam [1], see in particular [1] § 7.

THEOREM.- Let p be a prime $\equiv 1 \pmod{4}$ and $p > 5$. Put $k = \mathbb{Q}(\sqrt{p})$. The arithmetic genus $\hat{\chi}_p$ is given by

$$48 \hat{\chi}_p = 12 \zeta_k(-1) + 3h(-p) + 4h(-3p) - p + 8\varepsilon + 12\delta + 29$$

where $\varepsilon = 1$ for $p \equiv 1 \pmod{3}$, $\varepsilon = 0$ for $p \equiv 2 \pmod{3}$, $\delta = 1$ for $p \equiv 1 \pmod{8}$, $\delta = 0$ for $p \equiv 5 \pmod{8}$. (ζ_k is the Zeta-function of the field k .)

For $\zeta_k(-1)$ we have the following formula [14]

$$\zeta_k(-1) = \frac{1}{30} \sum_{\substack{b \text{ odd} \\ 1 \leq b < \sqrt{p}}} \sigma_1\left(\frac{p-b^2}{4}\right),$$

where $\sigma_1(n)$ is the sum of the divisors of n .

By calculations of R. Lundquist, Don Zagier and myself there are exactly 24 primes $\equiv 1 \pmod{4}$ for which the arithmetic genus equals 1, namely all such primes smaller than the prime 193 and 197, 229, 269, 293, 317. For $p = 5$ the surface $(H \times H/G)/\sigma$ is rational (Gundlach [6]). Which of the 23 others are rational?

Final joke : At the end of my dissertation [9] I claim that there are no cycles in a resolution. This is nonsense, as I know for a long time, and as this talk proves, I hope.

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