This is a preprint of: "Periods of homeomorphisms on closed surfaces", Juan Luis Garcia Guirao, Jaume Llibre, in Difference Equations, Discrete Dynamical Systems and Applications, Springer Proceedings in Mathematics Statistics, vol. 180, 171–178, 2016.

DOI: [10.1007/978-3-662-52927-0_13]

PERIODS OF HOMEOMORPHISMS ON CLOSED SURFACES

JUAN LUIS GARCÍA GUIRAO¹ AND JAUME LLIBRE²

ABSTRACT. The goal of this paper is to show what information on the set of periodic points of a homeomorphism on a closed surface can be obtained using the action of this homeomorphism on the homological groups of the closed surface.

1. Introduction

Here a closed surface means a connected compact surface with or without boundary, orientable or not. More precisely, an orientable connected compact surface without boundary of genus $g \geq 0$, \mathbb{M}_g , is homeomorphic to the sphere if g = 0, to the torus if g = 1, or to the connected sum of g copies of the torus if $g \geq 2$. An orientable connected compact surface with boundary of genus $g \geq 0$, $\mathbb{M}_{g,b}$, is homeomorphic to \mathbb{M}_g minus a finite number b > 0 of open discs having pairwise disjoint closure. In what follows $\mathbb{M}_{g,0} = \mathbb{M}_g$.

A non-orientable connected compact surface without boundary of genus $g \ge 1$, \mathbb{N}_g , is homeomorphic to the real projective plane if g = 1, or to the connected sum of g copies of the real projective plane if g > 1. A non-orientable connected compact surface with boundary of genus $g \ge 1$, $\mathbb{N}_{g,b}$, is homeomorphic to \mathbb{N}_g minus a finite number b > 0 of open discs having pairwise disjoint closure. In what follows $\mathbb{N}_{g,0} = \mathbb{N}_g$.

Let $f: \mathbb{X} \to \mathbb{X}$ be a homeomorphism on a closed surface \mathbb{X} . A point $x \in \mathbb{X}$ is periodic of period n if $f^n(x) = x$ and $f^k(x) \neq x$ for $k = 1, \ldots, n-1$. We denote by Per(f) the set of periods of all periodic points of f. The aim of the present paper is to provide some information on Per(f). The statement of our first result is.

Theorem 1. Let X be a closed surface and let f be a self-homeomorphism into X. If $X = M_{q,b}$, then the following statement hold.

- (a) If $(g,b) \in \{(1,0),(0,2)\}$ (i.e. the torus and the closed annulus respectively), then there is no information on the set Per(f).
- (b) If (g,b) = (0,0) (i.e. the 2-dimensional sphere), then $Per(f) \cap \{1,2\} \neq \emptyset$.
- (c) If (g,b) = (0,1) (i.e. the 2-dimensional disc), then $1 \in Per(f)$.
- (d) If q > 1 and b = 0, then $Per(f) \cap \{1, 2, ..., 2q\} \neq \emptyset$.

Key words and phrases. Closed surface, homeomorphism, Lefschetz fixed point theory. 2010 Mathematics Subject Classification: 58F20, 37C05, 37C25, 37C30.



- (e) If g > 1 and b > 0, then $Per(f) \cap \{1, 2, ..., 2g + b 1\} \neq \emptyset$.
- If $X = N_{q,b}$, then the following statements hold.
- (f) If $(g,b) \in \{(2,0),(1,1)\}$ (i.e. the Klein bottle and the Möebius band respectively), there is no information on the set Per(f).
- (g) If (g,b) = (1,0) (i.e. the projective plane), then $1 \in Per(f)$.
- (h) If (g,b) does not satisfy the assumptions of statements (f) or (g), then $Per(f) \cap \{1,2,...,g+b-1\} \neq \emptyset$.

The proof of Theorem 1 is done in section 2. The main tool for proving it is a result due to Fuller [4].

The results of Theorem 1 restricted to the orientable closed surfaces without boundary, i.e. for the closed surfaces $\mathbb{M}_{g,0}$, where already obtained by Franks and Llibre in [3].

The objective of the rest of the paper is to improve the information provided in Theorem 1 using as a main tool the Lefschetz fixed point theory. We shall follow the ideas of Franks and Llibre in [3] when they improve the results of Theorem 1 for the homeomorphisms of the closed surfaces $\mathbb{M}_{g,0}$, see Theorems 5 and 6.

Let A be an $n \times n$ complex matrix. A $k \times k$ principal submatrix of A is a submatrix lying in the same set of k rows and columns, and a $k \times k$ principal minor is the determinant of such a principal submatrix. There are $\binom{n}{k}$ different $k \times k$ principal minors of A, and the sum of these is denoted by $E_k(A)$. In particular, $E_1(A)$ is the trace of A, and $E_n(A)$ is the determinant of A, denoted by $\det(A)$.

It is well known that the characteristic polynomial of A is given by

$$\det(tI - A) = t^n - E_1(A)t^{n-1} + E_2(A)t^{n-2} - \dots + (-1)^n E_n(A).$$

Our main result is state in the following theorem.

Theorem 2. Let $f: \mathbb{X} \to \mathbb{X}$ be a homeomorphism and let A be the integral matrix of the isomorphism $f_{*1}: H_1(\mathbb{X}, \mathbb{Q}) \to H_1(\mathbb{X}, \mathbb{Q})$ induced by f on the first homology group of \mathbb{X} . If \mathbb{X} is either $\mathbb{M}_{g,b}$ with b > 0, or $\mathbb{N}_{g,b}$ with $b \geq 0$, then the following statements hold.

- (a) If $E_1(A) \neq 1$, then $1 \in Per(f)$.
- (b) If $E_1(A) = 1$ and $E_2(A) \neq 0$, then $Per(f) \cap \{1, 2\} \neq \emptyset$.
- If $X = M_{q,b}$ with b > 0, then the following statement hold.
- (c) If $2g + b 1 \ge 3$, $E_1(A) = 1$, $E_2(A) = 0$ and k is the smallest integer of the set $\{3, 4, ..., 2g + b 1\}$ such that $E_k(A) \ne 0$, then Per(f) has a periodic point of period a divisor of k.
- If $\mathbb{X} = \mathbb{N}_{q,b}$ with $b \geq 0$, then the following statement hold.
- (d) If $g + b 1 \ge 3$, $E_1(A) = 1$, $E_2(A) = 0$ and k is the smallest integer of the set $\{3, 4, ..., g + b 1\}$ such that $E_k(A) \ne 0$, then Per(f) has a periodic point of period a divisor of k.

Theorem 2 is proven in section 3.

2. Proof of Theorem 1

Let f be continuous self-map defined on $\mathbb{M}_{g,b}$ or $\mathbb{N}_{g,b}$, respectively. For a closed surface, the homological groups with coefficients in $\mathbb Q$ are linear vector spaces over \mathbb{Q} . We recall the homological spaces of $\mathbb{M}_{q,b}$ with coefficients in \mathbb{Q} , i.e.

$$H_k(\mathbb{M}_{q,b},\mathbb{Q}) = \mathbb{Q} \oplus \stackrel{n_k}{\dots} \oplus \mathbb{Q},$$

where $n_0 = 1$, $n_1 = 2g$ if b = 0, $n_1 = 2g + b - 1$ if b > 0, $n_2 = 1$ if b = 0, and $n_2 = 0$ if b > 0; and the induced linear maps $f_{*k} : H_k(\mathbb{M}_{g,b}, \mathbb{Q}) \to H_k(\mathbb{M}_{g,b}, \mathbb{Q})$ by f on the homological group $H_k(\mathbb{M}_{g,b},\mathbb{Q})$ are $f_{*0}=(1), f_{*2}=(d)$ where dis the degree of the map f if b = 0, $f_{*2} = 0$ if b > 0, and $f_{*1} = A$ where A is an $n_1 \times n_1$ integral matrix (see for additional details [6, 7]).

We recall that the homological groups of $\mathbb{N}_{q,b}$ with coefficients in \mathbb{Q} , i.e.

$$H_k(\mathbb{N}_{g,b},\mathbb{Q}) = \mathbb{Q} \oplus \stackrel{n_k}{\dots} \oplus \mathbb{Q},$$

where $n_0 = 1$, $n_1 = g + b - 1$ and $n_2 = 0$; and the induced linear maps are $f_{*0} = (1)$ and $f_{*1} = A$ where A is an $n_1 \times n_1$ integral matrix (see again for additional details [6, 7]).

The proof of Theorem 1 is a consequence of a general result from polyhedron homeomorphisms proved in [4], see also Halpern [5] and Brown [1] for more details on it.

Theorem 3 (Fuller's Theorem). Let f be a homeomorphism of a compact polyhedron X into itself. If the Euler characteristic of X is not zero, then f has a periodic point with period not greater that the maximum of $\sum_{k \text{ odd}} B_k(X)$ and $\sum_{k \text{ even}} B_k(X)$, where $B_k(X)$ denotes the k-th Betti number of X.

Proof of Theorem 1. Assume $\mathbb{X} = \mathbb{M}_{q,b}$. Since for a closed surface $\mathbb{M}_{q,b}$ its homological groups with rational coefficients are $H_0(\mathbb{M}_{q,b},\mathbb{Q}) = \mathbb{Q}, H_1(\mathbb{M}_{q,b},\mathbb{Q}) =$ $\mathbb{Q} \oplus \mathcal{P}_{g,b} \oplus \mathbb{Q}$ and $H_2(\mathbb{M}_{g,b}, \mathbb{Q}) = \mathbb{Q}$ if b = 0, and $H_0(\mathbb{M}_{g,b}, \mathbb{Q}) = \mathbb{Q}$, $H_1(\mathbb{M}_{g,b}, \mathbb{Q}) = \mathbb{Q}$ $\mathbb{Q} \oplus \stackrel{2g+b-1}{\dots} \oplus \mathbb{Q}$ and $H_2(\mathbb{M}_{q,b},\mathbb{Q}) = 0$ if b > 0, then its Euler characteristic $\mathcal{X}(\mathbb{M}_{g,b}) = B_0(\mathbb{M}_{g,b}) - B_1(\mathbb{M}_{g,b}) + B_2(\mathbb{M}_{g,b})$ is equal to 2 - 2g if b = 0, and 2-2g-b if b>0, where $B_k(\mathbb{M}_{g,b})=\dim_{\mathbb{Q}}(H_k(\mathbb{M}_{g,b},\mathbb{Q}))$.

Since

$$\sum_{k \, even} B_k(\mathbb{M}_{g,b}) = 2 \neq 0 \text{ and } \sum_{k \, odd} B_k(\mathbb{M}_{g,b}) = 2g \quad \text{if } b = 0,$$

$$\sum_{k\,even} B_k(\mathbb{M}_{g,b}) = 2 \neq 0 \text{ and } \sum_{k\,odd} B_k(\mathbb{M}_{g,b}) = 2g \quad \text{ if } b = 0,$$

$$\sum_{k\,even} B_k(\mathbb{M}_{g,b}) = 1 \neq 0 \text{ and } \sum_{k\,odd} B_k(\mathbb{M}_{g,b}) = 2g + b - 1 \quad \text{ if } b > 0,$$

the orientable closed surfaces for which the Fuller's Theorem does not provide any information on the set of periods Per(f) are the ones having zero Euler characteristic, i.e. when g = 1 and b = 0, and g = 0 and b = 2. Therefore statement (a) is proved.

If (g,b) = (0,0) then $\max\{\sum_{k \, even} B_k(\mathbb{M}_{g,b}) = 2, \sum_{k \, odd} B_k(\mathbb{M}_{g,b}) = 0\} = 2$, then by Theorem 3 it follows that $\operatorname{Per}(f) \cap \{1,2\} \neq \emptyset$. Hence statement (b) follows.

If (g,b) = (0,1) then $\max\{\sum_{k \, even} B_k(\mathbb{M}_{g,b}) = 1, \sum_{k \, odd} B_k(\mathbb{M}_{g,b}) = 0\} = 1$, then by Theorem 3 it follows that $1 \in \text{Per}(f)$. So statement (c) follows.

If g > 1 and b = 0 then $\max\{\sum_{k \text{ even}} B_k(\mathbb{M}_{g,b}) = 2, \sum_{k \text{ odd}} B_k(\mathbb{M}_{g,b}) = 2g\} = 2g$, then by Theorem 3 it follows that $\text{Per}(f) \cap \{1, 2, ..., 2g\} \neq \emptyset$. Hence statement (d) is proved.

If g>1 and b>0 then $\max\{\sum_{k\,even}B_k(\mathbb{M}_{g,b})=1,\sum_{k\,odd}B_k(\mathbb{M}_{g,b})=2g\}=2g+b-1$, then by Theorem 3 it follows that $\mathrm{Per}(f)\cap\{1,2,...,2g+b-1\}\neq\emptyset$. Therefore statement (e) follows.

Assume $\mathbb{X} = \mathbb{N}_{g,b}$. Since for a closed surface $\mathbb{N}_{g,b}$ its homological groups with rational coefficients are $H_0(\mathbb{M}_{g,b},\mathbb{Q}) = \mathbb{Q}$, $H_1(\mathbb{M}_{g,b},\mathbb{Q}) = \mathbb{Q} \oplus \stackrel{g+b-1}{\dots} \oplus \mathbb{Q}$ and $H_2(\mathbb{M}_{g,b},\mathbb{Q}) = 0$, then its Euler characteristic $\mathcal{X}(\mathbb{N}_{g,b}) = B_0(\mathbb{N}_{g,b}) - B_1(\mathbb{N}_{g,b}) + B_2(\mathbb{N}_{g,b}) = 2 - g - b$, where $B_k(\mathbb{N}_{g,b}) = \dim_{\mathbb{Q}}(H_k(\mathbb{N}_{g,b},\mathbb{Q}))$.

Since

$$\sum_{k \, even} B_k(\mathbb{M}_{g,b}) = 1 \neq 0 \text{ and } \sum_{k \, odd} B_k(\mathbb{M}_{g,b}) = g + b - 1,$$

the non-orientable closed surfaces for which the Fuller's Theorem does not provide any information on the set of periods $\operatorname{Per}(f)$ are the ones having zero Euler characteristic, i.e. when g=2 and b=0, and g=1 and b=1. Therefore statement (f) is proved.

If (g,b) = (1,0) then $\max\{\sum_{k \, even} B_k(\mathbb{M}_{g,b}) = 1, \sum_{k \, odd} B_k(\mathbb{M}_{g,b}) = 0\} = 1$, then by Theorem 3 it follows that $1 \in \text{Per}(f)$. So statement (g) follows.

If (g, b) does not satisfy the assumptions of statements (f) or (g), then $\max\{\sum_{k \, even} B_k(\mathbb{M}_{g,b}) = 1, \sum_{k \, odd} B_k(\mathbb{M}_{g,b}) = g+b-1\} = g+b-1$, then by Theorem 3 it follows that $\operatorname{Per}(f) \cap \{1, 2, ..., g+b-1\} \neq \emptyset$. Hence statement (h) is proved.

3. Proof of Theorems 2

Let $f: \mathbb{X} \to \mathbb{X}$ be a continuous map and let \mathbb{X} be either $\mathbb{M}_{g,b}$ or $\mathbb{N}_{g,b}$. Then the *Lefschetz number* of f is defined by

$$L(f) = \operatorname{trace}(f_{*0}) - \operatorname{trace}(f_{*1}) + \operatorname{trace}(f_{*2}).$$

For continuous maps and in particular for homeomorphisms f defined on \mathbb{X} the Lefschetz fixed point theorem states (see for instance [1]).

Theorem 4. If $L(f) \neq 0$ then f has a fixed point.

With the aim of studying the periodic points of f we shall use the Lefschetz numbers of the iterates of f, i.e. $L(f^n)$. Note that if $L(f^n) \neq 0$ then f^n has a fixed point, and consequently f has a periodic point of period a divisor of n. In order to study the whole sequence $\{L(f^n)\}_{n\geq 1}$ it is defined the formal Lefschetz zeta function of f as

(1)
$$Z_f(t) = \exp\left(\sum_{n=1}^{\infty} \frac{L(f^n)}{n} t^n\right).$$

The Lefschetz zeta function is in fact a generating function for the sequence of Lefschetz numbers n. In order to study the whole sequence $\{L(f^n)\}_{n\geq 1}$.

For a continuous self–map of a closed surface the Lefschetz zeta function is the rational function

$$Z_f(t) = \frac{\det(I - tf_{*1})}{\det(I - tf_{*0})\det(I - tf_{*2})},$$

see for more details Franks [2]. Then, for an orientation–preserving homeomorphism $f: \mathbb{M}_{g,b} \to \mathbb{M}_{g,b}$ we have

(2)
$$Z_f(t) = \begin{cases} \frac{\det(I - tA)}{(1 - t)^2} & \text{if } b = 0.\\ \frac{\det(I - tA)}{1 - t} & \text{if } b > 0, \end{cases}$$

where $f_{*1} = A$. Note that $f_{*2} = (1)$ if b = 0, and $f_{*2} = (0)$ if b > 0.

For an orientation–reversing homeomorphism $f: \mathbb{M}_{q,b} \to \mathbb{M}_{q,b}$ we have

(3)
$$Z_f(t) = \begin{cases} \frac{\det(I - tA)}{1 - t^2} & \text{if } b = 0.\\ \frac{\det(I - tA)}{1 - t} & \text{if } b > 0. \end{cases}$$

Note that $f_{*2} = (-1)$ if b = 0, and $f_{*2} = (0)$ if b > 0.

Finally, for a homeomorphism $f: \mathbb{N}_{q,b} \to \mathbb{N}_{q,b}$ we have

(4)
$$Z_f(t) = \frac{\det(I - tA)}{1 - t}.$$

Using the Lefschetz zeta function the orientation preserving and reversing homeomorphisms on $\mathbb{M}_{g,0}$ were studied in [3]. The results there obtained are the following two theorems. Here we shall study the homeomorphisms on $\mathbb{M}_{g,b}$ with b > 0 and on $\mathbb{N}_{g,b}$ with $b \geq 0$.

Theorem 5 (Theorem 4 of [3]). Let $f: \mathbb{M}_{g,0} \to \mathbb{M}_{g,0}$ be an orientation-preserving homeomorphism and let A be the $2g \times 2g$ integral matrix of the isomorphism $f_{*1}: H_1(\mathbb{M}_{g,0}, \mathbb{Q}) \to H_1(\mathbb{M}_{g,0}, \mathbb{Q})$ induced by f on the first homology group of $\mathbb{M}_{g,0}$. Then the following statements hold.

- (a) If g = 0, then $1 \in Per(f)$.
- (b) If g > 0 and $E_1(A) \neq 2$, then $1 \in Per(f)$.
- (c) If g > 0, $E_1(A) = 2$ and $E_2(A) \neq 1$, then $Per(f) \cap \{1, 2\} \neq \emptyset$.
- (d) If g = 1, $E_1(A) = 2$ and $E_2(A) = 1$, then there is no information on Per(f).
- (e) If g > 1, $E_1(A) = 2$, $E_2(A) = 1$ and k is the smallest integer of the set $\{3, 4, \ldots, 2g\}$ such that $E_k(A) \neq 0$, then f has a periodic point of period a divisor of k.

Theorem 6 (Theorem 3 of [3]). Let $f: \mathbb{M}_{g,0} \to \mathbb{M}_{g,0}$ be an orientation-reversing homeomorphism and let A be the $2g \times 2g$ integral matrix of the isomorphism $f_{*1}: H_1(\mathbb{M}_{g,0}, \mathbb{Q}) \to H_1(\mathbb{M}_{g,0}, \mathbb{Q})$ induced by f on the first homology group of $\mathbb{M}_{g,0}$. Then the following statements hold.

- (a) If g = 0, then $Per(f) \cap \{1, 2\} \neq \emptyset$.
- (b) If g > 0 and $E_1(A) \neq 0$, then $1 \in Per(f)$.
- (c) If g > 0, $E_1(A) = 0$ and $E_2(A) \neq -1$, then $Per(f) \cap \{1, 2\} \neq \emptyset$.
- (d) If g = 1, $E_1(A) = 0$ and $E_2(A) = -1$, then there is no information on Per(f).
- (e) If g > 1, $E_1(A) = 0$, $E_2(A) = 1$ and k is the smallest integer of the set $\{3, 4, \ldots, 2g\}$ such that $E_k(A) \neq 0$, then f has a periodic point of period a divisor of k.

Unfortunately we cannot distinguish using the Lefschetz zeta function the orientation–preserving homeomorphisms from the orientation–reversing on $\mathbb{M}_{g,b}$ when b > 0, see (2) and (3). They can be distinguished if b = 0, because then they have different Lefschetz zeta functions, see again (2) and (3).

Proof of Theorem 2. Assume b > 0. Let $f : \mathbb{M}_{g,b} \to \mathbb{M}_{g,b}$ be a homeomorphism, and let A be the $(2g + b - 1) \times (2g + b - 1)$ integral matrix of the isomorphism $f_{*1} : H_1(\mathbb{X}, \mathbb{Q}) \to H_1(\mathbb{X}, \mathbb{Q})$ induced by f on the first homology group of \mathbb{X} . Then, combining the expressions (1), (2) with b > 0 and (4) with $b \geq 0$ we obtain the following equalities

$$\sum_{n=1}^{\infty} \frac{L(f^n)}{n} t^n = \log(Z_f(t))$$

$$= \log\left(\frac{\det(I - tA)}{1 - t}\right)$$

$$= \log\left(\frac{1 - E_1(A)t + E_2(A)t^2 - \dots + (-1)^m E_m(A)t^m}{1 - t}\right)$$

$$= \log(1 - E_1(A)t + E_2(A)t^2 - \dots) - \log(1 - t)$$

$$= \left(-E_1(A)t + \left(E_2(A) - \frac{E_1(A)^2}{2}\right)t^2 - \dots\right) - \left(-t - \frac{t^2}{2} - \dots\right)$$

$$= (1 - E_1(A))t + \left(\frac{1}{2} - \frac{E_1(A)^2}{2} + E_2(A)\right)t^2 + O(t^3).$$

Here m = 2g + b - 1 if $\mathbb{X} = \mathbb{M}_{g,b}$ with b > 0, or m = g + b - 1 if $\mathbb{X} = \mathbb{N}_{g,b}$ with $b \geq 0$. Therefore we have

$$L(f) = 1 - E_1(A)$$
, and $L(f^2) = 1 - E_1(A)^2 + 2E_2(A)$.

Hence, if $E_1(A) \neq 1$ then $L(f) \neq 0$, and by Theorem 4 statement (a) follows.

If $E_1(A) = 1$ and $E_2(A) \neq 0$, then $L(f^2) = 2E_2(A) \neq 0$, and again by Theorem 4 we get that $Per(f) \cap \{1,2\} \neq \emptyset$. So statement (b) is proved.

Assume now that $\mathbb{X} = \mathbb{M}_{g,b}$ with b > 0, $2g + b - 1 \ge 3$, $E_1(A) = 1$, $E_2(A) = 0$ and k is the smallest integer of the set $\{3, 4, ..., 2g + b - 1\}$ such that $E_k(A) \ne 0$. Therefore

$$\sum_{n=1}^{\infty} \frac{L(f^n)}{n} t^n = \log \left(\frac{1 - t + (-1)^k E_k(A) t^k + \dots + (-1)^{b-1} E_{2g+b-1}(A) t^{2g+b-1}}{1 - t} \right)$$

$$= \log \left(1 + \frac{(-1)^k E_k(A) t^k + \dots + (-1)^{b-1} E_{2g+b-1}(A) t^{2g+b-1}}{1 - t} \right)$$

$$= (-1)^k E_k(A) t^k + O(t^{k+1}).$$

Hence, $L(f) = \dots = L(f^{k-1}) = 0$ and $L(f^k) = (-1)^k k E_k(A) \neq 0$. So, from Theorem 4, it follows the statement (c).

Suppose that $\mathbb{X} = \mathbb{N}_{g,b}$ with $b \geq 0$, $g+b-1 \geq 3$, $E_1(A) = 1$, $E_2(A) = 0$ and k is the smallest integer of the set $\{3, 4, ..., g+b-1\}$ such that $E_k(A) \neq 0$. Therefore

$$\sum_{n=1}^{\infty} \frac{L(f^n)}{n} t^n = \log \left(\frac{1 - t + (-1)^k E_k(A) t^k + \dots + (-1)^{g+b-1} E_{g+b-1}(A) t^{g+b-1}}{1 - t} \right)$$

$$= \log \left(1 + \frac{(-1)^k E_k(A) t^k + \dots + (-1)^{g+b-1} E_{g+b-1}(A) t^{g+b-1}}{1 - t} \right)$$

$$= (-1)^k E_k(A) t^k + O(t^{k+1}).$$

Again $L(f) = ... = L(f^{k-1}) = 0$ and $L(f^k) = (-1)^k k E_k(A) \neq 0$. Therefore, from Theorem 4, it follows the statement (d).

Acknowledgements

The first author of this work was partially supported by MICINN/FEDER grant number MTM2011–22587, Junta de Comunidades de Castilla-La Mancha, grant number PEII09-0220-0222. The second author was partially supported by MICINN/FEDER grant number MTM2008-03437, AGAUR grant number 2009 SGR 410, ICREA Academia and FP7-PEOPLE-2012-IRSES numbers 316338 and 318999. The third author was partially supported by Fundación Séneca de la Región de Murcia grant number 12001/PI/09.

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 1 Departamento de Matemática Aplicada y Estadística. Universidad Politéc-NICA DE CARTAGENA, HOSPITAL DE MARINA, 30203-CARTAGENA, REGIÓN DE MURCIA, Spain.

 $E ext{-}mail\ address: juan.garcia@upct.es}$

 $^2\mathrm{Departament}$ de Matemàtiques. Universitat Autònoma de Barcelona, Bel-LATERRA, 08193-BARCELONA, CATALONIA, SPAIN $E\text{-}mail\ address:}$ jllibre@mat.uab.cat