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# TRANSVERSALLY PERTURBED PLANAR DYNAMICAL SYSTEMS

ROGER MCCANN

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### ROGER C. MCCANN

This paper investigates the behavior of limit cycles of a planar dynamical system which has been perturbed transversally. In particular, it is shown that if C is a limit cycle of the unperturbed dynamical system, then there are limit cycles of the perturbed dynamical systems arbitrarily close to C. Also, if C is an exterior limit cycle of the unperturbed dynamical system, then there is an outer neighborhood of C which consists solely of cycles of the perturbed dynamical systems.

In what follows R and  $R^2$  will denote the reals and the plane respectively.

A dynamical system is an ordered pair  $(X, \pi)$  consisting of a topological space X and a mapping  $\pi$  of  $X \times R$  into X such that (where  $x\pi t = \pi(x, t)$ )

- (i)  $x\pi t = x$  for all  $x \in X$
- (ii)  $(x\pi t)\pi s = x\pi(t+s) = x_{\pi}(s+t)$  for all  $x \in X$  and  $s, t \in R$

(iii)  $\pi$  is continuous in the product ropology.

A point  $x \in X$  is called critical if and only if  $x\pi t = x$  for every  $t \in R$ . A point  $x \in X$  is called periodic if and only if x is noncritical and  $x\pi t = x$  for some t > 0; if X is Hausdorff the least such t is called the fundemental pariod of x. If x is periodic,  $x\pi R$  is called a cycle. A cycle is a simple closed curve. Hence, if C is a cycle of a planar dynamical system  $(R^2, \pi)$ , then C decomposes  $R^2$  into two components; one bounded and denoted by int C; the other unbounded and denoted by ext C. A subset A of X is called a trajectorial arc if and only if there is an  $x \in X$  and a compact interval  $[a, b], a \neq b$ , such that  $A = x\pi[a, b]$ .

Let  $(R^2, \pi)$  be a dynamical system. A subset T of  $R^2$  is called a transversal if and only if

(i) T is homeomorphic with either [0,1] or  $S^1$ , the 1-sphere

(ii) there is an  $\varepsilon > 0$  such that  $T \cap (T\pi t) = \emptyset$  for  $0 < |t| \leq \varepsilon$ .

Our investigation depends heavily upon the following three propositions which may be found in [2, VII, 4.4], [2, VII, 4.7], and [2, VII, 4.8] respectively.

PROPOSITION A. Let C be a trajectory and T a transversal of a planar dynamical system. If C or T is a closed curve, they have at most one intersection point; if both are closed curves, they do not

intersect.

**PROPOSITION B.** Let  $C \cup T$  be a simple closed curve with C a trajectorial arc and T a transversal of a planar dynamical system. Then one component of  $R^2 - (C \cup T)$  is positively invariant, the second is negatively invariant, and neither is invariant. The result is also valid if  $C = \emptyset$ .

PROPOSITION C. In a planar dynamical system the interior of each cycle, closed transversal, or simple closed curve consisting of a transversal and a trajectorial arc, all contain a critical point.

We are interested in studying a family of dynamical systems which is defined as follows. Let  $\pi: R^2 \times R \times R \longrightarrow R$  be a mapping continuous in the product topology such that

(i) for each  $a \in R$  the mapping  $\pi_a : R^2 \times R \rightarrow R^2$  defined by  $\pi_a(x, t) = \pi(x, t, a)$  defines a dynamical system on  $R^2$ .

(ii) critical points of the dynamical systems are independent of the index.

(iii) the noncritical trajectories of  $\pi_a$  are transversal to the noncritical trajectories of  $\pi_b$  if  $a \neq b$ , i.e., if T is a trajectorial arc of  $\pi_a$ , then T is a transversal with respect to  $\pi_b$  if  $a \neq b$ .

 $C_a(x)$ ,  $C_a^+(x)$ ,  $L_a^+(x)$ , and  $L_a^-(x)$  will denote the trajectory, positive semitraiectory, positive limit set, and negative limit set, respectively, of x with respect to  $\pi_a$ . The family of all trajectories of  $\pi_a$ , a fixed, will be called a system and the family of all trajectories will be called a complete family.

In [1] and [4] sufficient conditions are given which assure that the differential equations

$$\dot{x} = P(x, y, a), \qquad \qquad \dot{y} = Q(x, y, a),$$

where the dots stand for differentiation with respect to the independent valable t and a is a paremeter, define a complete family.

Immediate consequences of Propositions A and C are the following two propositions.

**PROPOSITION 1.** Cycles of distinct systems of a complete family do not interset.

**PROPOSITION 2.** Let x be a noncritical point of a complete family,  $a \neq b$ , and suppose that  $C_a(x)$  and  $C_b(x)$  have a point  $y, y \neq x$ , in common. If the trajectorial arcs of  $C_a(x)$  and  $C_b(x)$  connecting the points x and y have only their endpoints in common, then the region bounded by these trajectorial arcs contains a critical point.

**PROPOSITION 3.** Let C be a cycle of  $\pi_a$ . Then int C is positively invariant with respect to  $\pi_b$  for all b > a or int C is negatively invariant with respect to  $\pi_b$  for all b > a, but in neither case is int C invariant with respect to  $\pi_b$  for any b > a. A similar result holds for b < a.

Proof. Consider the sets

 $A = \{b \in (a, +\infty): \text{ int } C \text{ is positively invariant with respect to } \pi_b\}$   $B = \{b \in (a, +\infty): \text{ int } C \text{ is negatively invariant with respect to } \pi_b\}.$ By Proposition B, int C is positively invariant or negatively invariant, but not both, with respect to each  $\pi_b$ , b > a. Thus  $A \cup B = (a, +\infty)$ and  $A \cap B = \emptyset$ . We now show that both A and B are open. If  $c \in (a, +\infty) - A = B$ , then there exist  $x \in \text{int } C$  and t > 0 such that  $x\pi_b t \in \text{ext } C$ . Since  $\pi$  is continuous  $x\pi_b t \in \text{ext } C$  for all b sufficiently close to c. Hence B is open. Similarly A is open. The connectivity of  $(a, +\infty)$  implies either A or B must be empty. This completes the proof.

**PROPOSITION 4.** Let C be a cycle of  $\pi_a$ . If int C is positively invariant with respect to every  $\pi_b$ , b > a, then ext C is positively invariant with respect to every  $\pi_b$ , b < a. A similar result holds if b > a and b < a are interchanged.

*Proof.* Let  $x \in C$  and T be a trajectorial arc of  $C_c(x)$ , c > a, which contains x as a nonend point. Then T is a transversal with respect to  $\pi_b$ ,  $b \neq c$ , Moreover, if  $\tau$  is the fundamental period of C, then  $T\pi_a[-\tau,\tau]$  is a connected neighborhood of C which contains no critical points. Choose a neighborhood U of x,  $0 < \sigma < |c-a|$ , and  $0 < \varepsilon < \tau$  so small that  $U\pi_b[-\varepsilon, \varepsilon] \subset T\pi_a[\tau, \tau]$  for all  $b \in [a - \sigma, a + \sigma]$ . This is possible because  $\pi$  is continuous. We can now define a mapping h of  $[a, a+\sigma]$  into  $S = \{x\pi_b \varepsilon : b \in [a, a+\sigma]\}$  by  $h(b) = x\pi_b \varepsilon$ . h is continuous since  $\pi$  is continuous. For  $b \neq d$ ,  $x\pi_b \varepsilon$  and  $x\pi_d \varepsilon$  cannot be equal; for if they were Proposition 2 would imply that  $T\pi_a[-\tau,\tau]$ contains a critical point. Hence h is one-to-one. Obviously, h is an onto mapping. A one-to-one continuous mapping of a compact space onto a Hausdorff space is a homeomorphism. Thus S is an arc. Since int C is, by assumption, positively invariant with respect to  $\pi_b$ , b > a, we have  $S \subset \overline{\text{int } C}$ . Moreover,  $(x\pi_a[0, \varepsilon]) \cup S \cup (x\pi_{a+\sigma}[0, \varepsilon])$  forms a simple closed curve J such that  $\operatorname{int} J \subset T\pi[-\tau, \tau]$  and  $\operatorname{\overline{int J}}$  is a neighborhood of  $x\pi_a\varepsilon/2$  relative to int  $\overline{C}$ . Let  $y \in \operatorname{int} J$  and set

$$J_t = (x\pi_a[0, t]) \cup (x\pi_{a+\sigma}[0, t]) \cup \{x\pi_b t \colon b \in [a, a+\sigma]\}.$$

For each t,  $0 < t < \varepsilon$ ,  $J_t$  is a simple closed curve. Since  $\pi$  is continuous,  $y \in \text{ext } J_t$  for t sufficiently small. But for  $t = \varepsilon$ ,  $y \in \text{int } J_{\varepsilon} = \text{int } J$ . The continuity of  $\pi$  implies there is an  $s \in (0, \varepsilon)$  such that  $y \in J_s$ . By the construction of  $J_s$  and since  $y \in \text{int } J$ , y must be an element of  $\{x\pi_b s: b \in [a, a+\sigma]\}$ . This shows that  $\overline{\text{int } J}$  consists solely of trajectorial arcs from the systems  $\pi_b$ ,  $b \in [a, a+\sigma]$ .

Now let V be a neighborhood of  $x\pi_a\varepsilon/2$  such that  $V\cap \operatorname{int} C \subset \operatorname{int} J$ . Then there is an  $\alpha$ ,  $0 < \alpha < \sigma$ , such that  $x\pi_b\varepsilon/2 \in V$  for all  $b \in [a - \alpha, 0]$ . For  $b \in [a - \alpha, 0)$ ,  $x\pi_b\varepsilon/2$  cannot be an element of  $\operatorname{int} \overline{C}$  for then

$$x\pi_barepsilon/2\subset V\cap \operatorname{int} C\subset \operatorname{int} J\subset igcup\{x\pi_c[0,\,arepsilon]\colon c\in[a,\,a+\sigma]\}$$
 .

This, by Proposition 2, implies that  $T\pi_a[-\tau, \tau]$  contains a critical point. Hence for  $b \in [a - \alpha, 0)$  we have  $x\pi_b \varepsilon/2 \in \text{ext } C$  and therefore, by Proposition  $B, C_b^+(x) \subset \text{ext } C$ . Proposition 3 now implies the desired result.

Proposition 4 allows us to assume throughout the remainder of the paper that if C is a given cycle of  $\pi_a$ , then int C is positively invariant with respect to every  $\pi_b$ , b < a, and negatively invariant with respect to every  $\pi_b$ , b > a. If the opposite invariance properties hold, the following propositions remain valid after the obvious modifications are made.

DEFINITION 5. Let C be a cycle of  $\pi_a$ . If there is an  $x \in \text{ext } C$  such that  $L_a^+(x) = C$  or  $L_a^-(x) = C$ , then C is called an external limit cycle or a external negative limit cycle, respectively. Similarly, if there is an  $x \in \text{int } C$  such that  $L_a^+(x) = C$  or  $L_a^-(x) = C$ , then C is called an internal limit cycle or a internal negative limit cycle, respectively.

DEFINITION 6. Let U be a neighborhood of a simple closed curve C. Then U-int C and U-ext C are called an outer neighborhood and an inner neighborhood, respectively, of C.

**PROPOSITION 7.** Let C be an external limit cycle of  $\pi_a$ . Then, given any outer neighborhood U of C, there exists an  $\varepsilon > 0$  such that, for each  $b \in [a, a+\varepsilon]$ , U contains both an external limit cycle and an internal limit cycle of  $\pi_b$  (the two cycles may coincide). A similar result holds for C an internal limit cycle and  $b \in [a-\varepsilon, a]$ .

*Proof.* Let  $V \subset U$  be an outer neighborhood of C containing no critical points and such that int  $C \cup V$  is simply connected. Let  $x \in C$ ,  $y \in \text{ext } C$  be such that  $L_a^+(y) = C$ , and  $T \subset V$  be a trajectorial arc of

 $C_{\mathfrak{s}}(x), \ c < a$ , containing x as an endpoint. Then T is a transversal with respect to  $\pi_b$ ,  $b \neq c$ . Since  $L_a^+(y) = C$ ,  $y \in \text{ext } C$ , and V is an outerneighborhood of C, there is a  $\tau > 0$  such that  $y\pi_a[\tau, +\infty) \subset V$ . Let  $y_1, y_2 \in y\pi_a[\tau, +\infty)$  be consecutive points of intersection between  $C_a^+(y)$  and T with  $y_2 \in C_a^+(y_1)$ . Then the trajectial arc of  $C_a^+(y)$  and the subarc of T connecting  $y_1$  and  $y_2$  form a simple closed curve  $J \subset V$ such that int J-int  $C \subset V$ . Now  $L_a^+(y_1) = L_a^+(y) = C \subset \text{int } J$  and Proposition B imply  $y_2\pi_a(0, +\infty) \subset \text{int } J$ . Since  $y_2 \in C_a^+(y_1)$  and  $\pi$  is continuous there is an  $\varepsilon > 0$  such that  $C_b^+(y_1)$  intersects int J for  $|b-a| < \varepsilon$ . If  $y_1\pi_b t \in \text{int } J$  for some t > 0, then  $y_1\pi_b[t, \infty)$  must be a subset of int J; for if it were not  $y_1\pi_b[t,\infty)$  would intersect J and Proposition 2 would imply int J-int C, and hence V, contains a critical point. Moreover, by the continuity of  $\pi$ , and the fact  $L_a^+(y_1) = C$ , we may assume that  $\varepsilon$  was chosen so small that  $C_b^+(y_1)$ ,  $|b-a| < \varepsilon$ , intersects T at least twice between  $y_2$  and x. This is true because  $C_a^+(y_1)$ intersects T infinitely many times and the only limit point of the intersections is x, [2, VIII, 1.2] and [2, VIII, 1.5]. The trajectorial arc connecting two such consecutive points of intersection and the corresponding subarc of T form a simple closed curve  $J_b$  such that int  $J_b \subset \text{int } J$  and  $\text{int } J_b \text{-int } C \subset V$ . Moreover,  $\text{int } J_b$  is positively invariant with respect to  $\pi_b$  by Proposition B. Thus int  $J_b$  and ext C are both positively invariant with respect to  $\pi_b$ . Hence int  $J_b$ -int C is positively invariant, so that  $C_h^+(x) \subset \overline{\operatorname{int} J_h - \operatorname{int} C}$  which is compact and contains no critical points. By the Poincaré-Bendixson Theorem, [2, VII, 1.14],  $L_{h}^{+}(x)$  is a cycle  $C_{h}$ . Since int  $J_{h}$  is positively invariant, but not invariant by Proposition B, and  $C_b \cap C = \emptyset$  by Proposition 1, we have  $C_b \cap \partial(\text{int } J_b \text{-int } C) = \emptyset$ . Thus  $C_b$  is an internal limit cycle of  $\pi_b$  contained in int  $J_b \subset U$ . For c sufficiently large  $y_1 \pi_b[c, \infty) \subset \operatorname{int} J_b$  and therefore  $y_i \pi_b[c, \infty) \subset \operatorname{int} J_b - \operatorname{int} \overline{C_b}$ . The Poincaré-Bendixson Theorem now implies the existence of an external limit cycle. This completes the proof.

In a similar manner it can be shown that

PROPOSITION 8. Let C be an external negative limit cycle of  $\pi_a$ . Then, given any outer neighborhood U of C, there exists an  $\varepsilon > 0$ such that, for each  $b \in [a - \varepsilon, a]$ , U contains both an external negative limit cycle and an internal negative limit cycle of  $\pi_b$  (the two cycles may coincide). A similar result holds for C an internal negative limit cycle and  $b \in [a, a + \varepsilon]$ .

LEMMA 9. Let  $D_1$  and  $D_2$  be cycles of a complete family such that  $D_1 \subset \operatorname{int} D_2$  and that  $\operatorname{int} D_2 - \operatorname{int} D_1$  contains no critical points.

If  $C_1$  and  $C_2$  are distinct cycles in  $\operatorname{int} D_2 - \operatorname{int} D_1$ , then  $C_1 \subset \operatorname{int} C_2$  or  $C_2 \subset \operatorname{int} C_1$ .

*Proof.* Since int  $D_2$ -int  $D_1$  contains no critical points, we must have  $D_1 \subset \operatorname{int} C_i$ , i = 1, 2. Thus int  $C_1 \cap \operatorname{int} C_2 \neq \emptyset$ . Then int  $C_1 \subset \operatorname{int} C_2$  or int  $C_1 \cap \operatorname{ext} C_2 \neq \emptyset$ . In the first case  $\operatorname{int} C_1 \subset \operatorname{int} C_2$ . Therefore  $C_1 \subset \operatorname{int} C_2$  or  $C_1 \cap C_2 \neq \emptyset$ . The latter is impossible by Proposition 1. In the second case,  $\partial(\operatorname{int} C_2) \cap \operatorname{int} C_1 \neq \emptyset$ . Therefore  $C_2 \subset \operatorname{int} C_1$  since  $\operatorname{int} C_1$  is either positively invariant or negatively invariant for the system containing  $C_2$  (Proposition 3).

Let  $D_1$  and  $D_2$  be as in the statement of Lemma 9. Then

LEMMA 10. If  $C_1$  and  $C_2$  are distinct cycles in  $\operatorname{int} D_2 - \operatorname{int} D_1$ such that  $C_1 \subset \operatorname{ext} C_2$ , then  $C_2 \subset \operatorname{int} C_1$ 

*Proof.* By Lemma 9,  $C_2 \subset \operatorname{int} C_1$  or  $C_1 \subset \operatorname{int} C_2$ .  $C_1$  cannot be contained in both int  $C_2$  and ext  $C_2$ . Therefore  $C_2 \subset \operatorname{int} C_1$ .

In a topological space X, it is possible to define limits of nets of subsets  $X_i \subset X$  as follows. Let lim  $\inf X_i$  consist of all limits of nets of points  $x_i \in X_i$ ; let lim  $\sup X_i$  consist of all limits of subnets of points  $x_i \in X_i$ . Obviously lim  $\inf X_i \subset \limsup X_i$ . If equality holds, the net  $X_i$  is said to converge to its limit and we write

$$\lim X_i = \lim \inf X_i = \lim \sup X_i$$
.

DEFINITION 11. A net  $(R^2, \pi_i)$ , *i* contained in a directed set containing 0, of dynamical system is called regular if

(i)  $\pi_i \to \pi_0$  in the sense that if  $x_i \to x$  and  $t_i \to t$  then  $x_i \pi_i t_i \to x \pi_0 t$ .

(ii) critical points are independent of the index i.

(iii) to each noncritical point x there corresponds a subset T of  $R^2$  which is a transversal with respect to each  $\pi_i$  and contains x as a nonend point.

In [3] the following theorem is proved.

THEOREM D. Let  $(R^2, \pi_i)$  be a regular net of dynamical systems. Let  $C_i(x_i)$  be a cycle of  $(R^2, \pi_i)$  with fundamental period  $\tau_i(x_i)$ . If lim inf  $C_i(x_i) \neq \emptyset$ , then

(1) If  $\tau_i(x_i) \to 0$ , then  $\lim C_i(x_i)$  exists and is a single critical point.

(2) If  $\liminf_{i \to \infty} C_i(x_i)$  intersects a cycle  $C_0(x)$ , then  $\tau_i(x_i) \to \tau_0(x)$ and  $\lim_{i \to \infty} C_i(x_i) = C_0(x)$ . (3) If lim inf  $C_i(x_i)$  intersects a noncyclic trajectory, then  $\tau_i(x_i) \rightarrow +\infty$ .

DEFINITION 12. Let  $C_a(x)$  be a cycle of  $\pi_a$ . Then  $\tau_a(x)$  will denote the fundamental period of x with respect to  $\pi_a$ .

PROPOSITION 13. Let C be an external limit cycle of  $\pi_a$ . There exists an outer neighborhood U of C and an  $\varepsilon > 0$  such that U consists entirely of periodic points of the systems  $\pi_b$ ,  $b \in [a, a+\varepsilon]$ . A similar result holds for C an internal limit cycle and  $b \in [a-\varepsilon, a]$ .

**Proof.** Let  $x \in C$  and V be an outer neighborhood of C which contains no other cycles of  $\pi_a$  or critical points and such that  $V \cup \operatorname{int} C$  is simply connected. Moreover, by Theorem D, V may be chosen along with a  $\sigma > 0$  such that if  $C_b(y)$  is a cycle of  $\pi_b$  in V with  $|b \cdot a| < \sigma$ , then  $|\tau_a(x) \cdot \tau_b(y)| < 1/2\tau_a(x)$ . By Proposition 7 there is an  $\varepsilon$ ,  $0 < \varepsilon < \sigma$ such that, for each  $b \in [a, a + \varepsilon]$ , V contains a cycle of  $\pi_b$ . Thus the fundamental periods cycles of  $\pi_{a+\varepsilon}$  which lie in V are contained in  $[1/2\tau_a(x), 3/2\tau_a(x)]$ . This, Theorem D with each  $i = a + \varepsilon$ , and the fact that cycles of distinct systems do not intersect imply that there is a cycle D of  $\pi_{a+\varepsilon}$  in V such that int  $D - \operatorname{int} C$  contains no cycle of  $\pi_{a+\varepsilon}$ . Set  $U = \operatorname{int} D - \operatorname{int} C$ . U is an outer neighborhood of C by Lemma 10. Let A denote the set of periodic points of  $\pi_b$ ,  $b \in [a, a+\varepsilon]$ , which are contained in U. We will show that A = U. Assume the contrary that there exists a  $w \in U - A$  and consider the sets

$$F = \{ \overline{\operatorname{int} C_b(y)} \colon y \in A, \ C_b(y) \ extbf{a} \ cycle, \ w \in \operatorname{ext} C_b(y) \}$$
 $G = \ \cup F.$ 

Since  $w \in U$ , we have  $w \in \operatorname{ext} C = \operatorname{ext} C_a(x)$ , so that  $F \neq \emptyset$ . If  $C_b(y) \subset G \subset U$ , then  $\tau_b(y) \in [1/2\tau_a(x), 3/2\tau_a(x)]$ . Proposition 7 and Theorem D now imply, respectively, that  $\partial G \cap \operatorname{ext} C \neq \emptyset$  and  $\partial G$  consists entirely of periodic points. Lemma 9 implies that  $\partial G \cap \operatorname{ext} C$  is a cycle  $C_d(z)$  where  $z \in U$  and  $d \in [a, a + \varepsilon]$ . Moreover, since  $w \in \operatorname{ext} C_b(y)$  for each  $\operatorname{int} C_b(y)$  in F and  $C_b(w)$  is not a cycle for any  $b \in [a, a + \varepsilon]$ , we have  $w \in \operatorname{ext} C_d(z)$ .  $d \neq a$  since  $C_d(z) = \partial G \cap \operatorname{ext} C \subset V$  and the only cycle of  $\pi_a$  in V is C. Since  $U \neq A$ ,  $C_d(z) \neq D$ . Hence  $d \neq a + \varepsilon$ . Also, by the construction of  $C_d(z)$ , there is no cycle B of  $\pi_b$ ,  $b \in [a, a + \varepsilon]$ , in U such that  $C_d(z) \subset \operatorname{int} B$  and  $w \in \operatorname{ext} B$ . Thus  $C_d$  is either an external limit cycle or an external negative limit cycle, [2, VIII, 3.3]. Proposition 7 or 8, respectively, now implies the existence of a  $c \in [a, a + \varepsilon]$  such that a cycle  $C_1$  of  $\pi_c$  has the property that  $C_d(z) \subset \operatorname{int} C_1$  and  $w \in \operatorname{ext} C_1$ . This contradiction implies A = U. This completes the proof.

In a similar manner it can be shown that

PROPOSITION 14. Let C be an external negative limit cycle of  $\pi_a$ . There exists an outer neighborhood U of C and an  $\varepsilon > 0$  such that U consists entirely of periodic points of the systems  $\pi_b, b \in [a-\varepsilon, a]$ . A similar result holds for C an internal negative limit cycle and  $b \in [a, a+\varepsilon]$ .

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