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OPEN MAPPINGS ON 2-MANIFOLDS

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OPEN MAPPINGS ON 2-MANIFOLDS WILLIAM D. NATHAN

This paper will be concerned with the local structure of open, continuous functions $f: M^2 \to N^1$ from a 2-manifold into the real line or the circle. The two main results are:

THEOREM 1. Let $f: M^2 \to N^1$ be an open mapping, and suppose that f has isolated branch points. Then for each point p in M^2 there are a neighborhood U of p and a positive integer d (depending on p) such that $f|_U$ is topologically equivalent to the real analytic mapping $z \to Re(z^d)$.

THEOREM 2. If $f: M^2 \rightarrow N^1$ is an open, real analytic mapping, then f has isolated branch points, and (hence) the conclusion of Theorem 1 holds.

2. Definitions and notation. Let $f: X \to Y$ be any continuous function. Then f is an open mapping if f(U) is an open subset of Y whenever U is an open subset of X. If $f': X' \to Y'$ is another mapping then f and f' are topologically equivalent if there exist homeomorphisms $\alpha: X \to X'$, $\beta: Y \to Y'$ such that $f'\alpha = \beta f$.

If A is any subset of X, then $f|_A$ will denote the restriction of f to A.

Let $f: M^n \to N^p$ be a mapping from an *n*-manifold into a *p*-manifold, $n \ge p$. The branch set, B_f , of f is the subset of M^n defined as follows: a point x is in M^n - B_f if there exists a neighborhood U of x in M^n such that $f|_U$ is topologically equivalent to the canonical projection of *n*-space onto *p*-space.

If M^n and N^p are differentiable manifolds, and $f: M^n \to N^p$ is differentiable, then $R_q(f)$ will denote the set of points in M^n at which the rank of the Jacobian of f is at most $q, q = 0, 1, \cdots$.

The boundary of a set A will be denoted by ∂A and its closure by \overline{A} .

3. Proof of Theorem 1. We first need some lemmas.

LEMMA 3.1. Let $f: [0, 1] \times [0, 1] \rightarrow [0, 1]$ with $\{i\} \times [0, 1] = f^{-1}(i)$, i = 0, 1. Suppose there exists a homeomorphism $\alpha: [0, 1] \times [0, 1] \rightarrow [0, 1] \times [0, 1]$ which fixes the four vertices of $[0, 1] \times [0, 1]$ such that $\Pi \alpha = f$, where Π is the projection $(x, y) \rightarrow x$. Let $h: \{0\} \times [0, 1] \rightarrow \{0\} \times [0, 1]$ be any homeomorphism with h(0, 0) = (0, 0). Then there exists a homeomorphism $\beta: [0, 1] \times [0, 1] \rightarrow [0, 1] \times [0, 1]$ such that $\Pi \beta = f$ and $\beta|_{(0) \times [0, 1]} = h$.

Proof. The desired homeomorphism is given by $\beta(x, y) = (f(x, y), g(x, y))$

 $h^2 \alpha^{-1}(0, \alpha^2(x, y)))$, where h^2 and α^2 are the second coordinate functions of h and α , respectively.

LEMMA 3.2. Let $f: [0, 1] \times [0, 1] \rightarrow [0, 1]$ be an open mapping. Suppose that the following conditions are satisfied:

(i) $f^{-1}(0) = \{0\} \times [0, 1], f^{-1}(1) = \{1\} \times [0, 1],$

(ii) if g is the restriction of f to $(0, 1) \times (0, 1)$, then $B_g = \emptyset$,

(iii) for each point y in the open interval $(0, 1), y \neq 1/2$ there is a neighborhood of the point (1, y) in $[0, 1] \times [0, 1]$ on which f is topologically equivalent to the projection of $(0, 1] \times (0, 1)$ onto (0, 1], and for each point y in the open interval (0, 1) there is a neighborhood of (0, y) in $[0, 1] \times [0, 1]$ on which f is topologically equivalent to the projection of $[0, 1) \times (0, 1)$ onto [0, 1),

(iv) for each point x in the open interval (0, 1), there is a neighborhood of the point (x, 0) in $[0, 1] \times [0, 1]$ and a neighborhood of the point (x, 1) in $[0, 1] \times [0, 1]$ on which f is topologically equivalent to the projection of $(0, 1) \times [0, 1)$ onto (0, 1), and

 (\mathbf{v}) if x = 0 or 1, and y = 0 or 1, then there exists a neighborhood of the point (x, y) in $[0, 1] \times [0, 1]$ on which f is topologically equivalent to the first coordinate projection of $[0, 1) \times [0, 1)$ onto [0, 1).

Then f is topologically equivalent to the first coordinate projection of $[0, 1] \times [0, 1]$ onto [0, 1].

Proof. Let $\Pi: [0, 1] \times [0, 1] \rightarrow [0, 1]$ denote the projection $(x, y) \rightarrow x$. Let $a_0 = [0, 1] \times \{1\}$, and let $b_0 = [0, 1] \times \{0\}$. Let $\{y_n^+\}$ be a monotone decreasing sequence in the open interval (1/2, 1) converging to 1/2, and let $\{y_n^-\}$ be a monotone increasing sequence in the open interval (0, 1/2) converging to 1/2.

In [7, p. 16 (3.1)], Timourian showed that a proper mapping with empty branch set between manifolds of codimension one is a locally trivial fiber map; hence the restriction of f to $[0, 1) \times [0, 1]$ is topologically equivalent to the projection of $[0, 1) \times [0, 1]$ onto [0, 1). For each positive integer n, let a_n be an arc in $[0, 1] \times [0, 1]$ whose endpoints are $(0, y_n^+)$ and $(1, y_n^+)$, and let b_n be an arc in $[0, 1] \times$ [0, 1] with endpoints $(0, y_n^-)$ and $(1, y_n^-)$ satisfying the following conditions (these arcs exist by the above reference and condition (iii)):

(i) the collection $\{a_1, b_1, a_2, b_2, \cdots\}$ is pairwise disjoint, and

(ii) each a_i and each b_i is mapped by f homeomorphically onto [0, 1].

For each *n*, let A'_n denote the closed 2-cell bounded by $a_n \cup a_{n-1} \cup (\{0, 1\} \times [y_n^+, y_{n-1}^+])$, and let B'_n be the closed 2-cell bounded by $b_n \cup b_{n-1} \cup (\{0, 1\} \times [y_{n-1}^-, y_n^-])$, where $y_0^+ = 1$, and $y_0^- = 0$.

Let $\{x_n\}$ be a monotone increasing sequence in the open interval (0, 1) converging to 1, and let $A_n = A'_n \cap f^{-1}([x_{n-1}, 1])$ and $B_n = B'_n \cap$

 $f^{-1}([x_{n-1}, 1])$, where $x_0 = 0$. Finally, let C_n denote the closure of

$$f^{-1}([x_{n-1}, x_n]) - \left(igcup_{i=1}^n (A_i \cup B_i)
ight).$$
 (See figure.)

FIGURE 1.

By the aforementioned reference to [7], there exist homeomorphisms

such that $\Pi h_n^A = f|_{A_n}$, $\Pi h_n^B = f|_{B_n}$ and $\Pi h_n^C = f|_{C_n}$. We assume here that $h_n^A((1, y_i^+)) = (1, y_i^+)$ and $h_n^B((1, y_i^-)) = (1, y_i^-)$ for i = n - 1, n.

Clearly, h_n^A agrees with h_n^c on $A_n \cap C_n$, and h_n^B agrees with h_n^c on $B_n \cap C_n$, so there exists a homeomorphism

$$h_n: A_n \cup B_n \cup C_n o ([x_{n-1}, 1] \times [y_n^+, y_{n-1}^+]) \cup ([x_{n-1}, 1] \times [y_{n-1}^-, y_n^-])$$

$$\cup$$
 ([x_{n-1}, x_n] \times [y_n^-, y_n^+])

such that $\Pi h_n = f|_{A_n \cup B_n \cup C_n}$, $n = 1, 2, \cdots$. Clearly, h_{n+1} agrees with h_n on $A_{n+1} \cap A_n$ and on $B_{n+1} \cap B_n$; moreover, by 3.1, we may assume that h_{n+1} agrees with h_n on $C_n \cap (A_{n+1} \cup B_{n+1} \cup C_{n+1})$.

Thus, we get a continuous bijection h; $[0, 1] \times [0, 1] \rightarrow [0, 1] \times [0, 1]$ by

$$h(p) = egin{cases} h_n(p) \ , & ext{if} \ \ p \in A_n \cup B_n \cup C_n \ \left(egin{array}{c} 1, \ rac{1}{2} \end{array}
ight), & ext{if} \ \ p = \left(egin{array}{c} 1, \ rac{1}{2} \end{array}
ight), \end{cases}$$

satisfying the condition $\Pi h = f$.

LEMMA 3.3. Let $f: M^n \to N^1$ be open, let $U \subset M^n$ be open, and suppose that f(U) is contained in a closed arc on N^1 . Let $q \in U$, and let Q be a closed subset of $f^{-1}(f(q)) \cap U$. Then no component of U-Q is separated from ∂U . (Two sets are separated if their closures are disjoint.)

Proof. If V is a component of U-Q, then V is an open connected subset of M^n , so f(V) is an open interval (whose closure is a closed interval). If V is separated from ∂U , then $\partial V \subset Q$. Thus $f(\bar{V}) = f(V) \cup f(\partial V) = \{f(q)\} \cup f(V)$ is not compact.

Proof of Theorem 1. Let U' be an open disk about p whose closure is a closed disk such that $B_f \cap \overline{U'} \subset \{p\}$ and $f(\overline{U'})$ is a closed interval on N^1 . By 3.3, for each point x in U', $f^{-1}(f(x)) \cap U'$ contains no simple closed curve. Thus, the closure of each component of $(f^{-1}(f(p)) \cap \overline{U'}) - \{p\}$ is a closed arc with a point of $\partial U'$ as one endpoint and either p or a point of $\partial U'$ as its other endpoint, and for each point q in $\overline{U'} - f^{-1}(f(p))$, each component of $f^{-1}(f(q)) \cap \overline{U'}$ is a (possibly degenerate) closed arc each of whose endpoints is on $\partial U'$.

Let A_1, A_2, \dots, A_k be the closures of the component arcs of $(f^{-1}(f(p)) \cap \overline{U}') - \{p\}$ which have p as an endpoint, and let a_i be the endpoint of A_i on $\partial U'$. (There are clearly finitely many such A_i .) Orient $\partial U'$, and index the a_i in order of increasing argument.

Let R'_1, \dots, R'_k be the components of $U' - \bigcup_{i=1}^k A_i$, indexed so that $a_j \in \overline{R}'_i$ if, and only if, j = i or $j \equiv (i + 1) \pmod{k}$.

For each $i = 1, 2, \dots, k$, there exist a neighborhood U_i of a_i and a homeomorphism $\alpha'_i: U_i \to E^2$ such that $\Pi \alpha'_i = f|_{U_i}$, where $\Pi: E^2 \to E^1$ is projection onto the first coordinate. We may as well assume that $U_i \cap U_j = \emptyset$ when $i \neq j$, $\alpha'_i(U_i \cap \partial U')$ is the x-axis, and $\Pi \alpha'_i(q) > 0$ for each $q \in R'_i \cap U_i$.

Let $\{Y_{\alpha}\}$ be the collection of all components of $(f^{-1}(f(p)) \cap \overline{U'}) - \{p\}$ which do not have p as a limit point, and let $Y = \bigcup Y_{\alpha}$. Clearly, p is not a limit point of Y, so there exists a neighborhood U'' of p such that

$$(*) \qquad \left(\bigcup_{i=1}^k U_i\right)\cap \ \bar{U}' = \left(\bigcup_{i=1}^k U_i\right)\cap \bar{U}'' \quad \text{and} \quad \bar{U}''\cap f^{-1}(f(p)) = \bigcup_{i=1}^k A_i \ .$$

Let $R_i = R'_i \cap U''$, and fix *i*. We claim that there exists a point $t_i \in (\bar{R}_i \cap \partial U'' \cap U_i) - \{a_i\}$ such that if *x* is any point in $(\bar{R}_i \cap \partial U'' \cap U_i)$ with $0 < \prod \alpha'_i(x) \leq \prod \alpha'_i(t_i)$ and *X* is the component arc of $f^{-1}(f(x)) \cap \bar{U}''$ containing *x*, then $x' \in U_j$, where $j \equiv (i + 1) \pmod{k}$, and *x'* is the other endpoint of *X*. For suppose not. Then there exists a sequence $\{x_n\}$ in $(\bar{R}_i \cap \partial U'' \cap U_i) - \{a_i\}$ converging to a_i such that $x'_n \notin U_j$, for each *n*. There is a convergent subsequence of $\{x'_n\}$ whose limit is in

 $f^{-1}(f(p)) \cap \partial U''$ but is not in $\bigcup_{i=1}^k A_i$. This contradicts (*), above.

Write $f(\overline{U}'')$ as the closed interval [a', b'], where a' < f(p) < b'. We may assume that $f(p) < f(t_i) < b'$ if *i* is even, and $a' < f(t_i) < f(p)$ if *i* is odd. Note that *k* is even. Let $b = \min\{f(t_2), f(t_4), \dots, f(t_k)\}$, and let $a = \max\{f(t_1), f(t_3), \dots, f(t_{k-1})\}$. Finally, let $U = \overline{U}'' \cap f^{-1}([a, b])$, let d = k/2, and assume a = 0 and b = 1.

If $S_i = \overline{R}_i \cap U$, then $f|_{S_i}$ satisfies the hypotheses of 3.2. Note that $f(S_i) = [f(p), b]$ if *i* is even, and $f(S_i) = [a, f(p)]$ if *i* is odd, so by 3.2 there exists a homeomorphism $\alpha_i \colon S_i \to [-1, 1] \times [0, 1]$ such that $f|_{S_i} = \Pi' \alpha_i$, where $\Pi^1 \colon [-1, 1] \times [0, 1] \to [0, 1]$ is the natural projection. We may assume that $\alpha_i(p) = (0, 1)$, and that if $j \equiv (i + 1) \pmod{k}$, then $\alpha_i(A_j) = \alpha_j(A_j, i = 1, 2, \dots, k$.

Let X_1, X_2, \dots, X_k be disjoint copies of $[-1, 1] \times [0, 1]$ indexed so that $\alpha_i(S_i) = X_i$. Form the disjoint union $X = X_1 + X_2 + \dots + X_k$. Now, make the following identifications on X: if $x_j \in \alpha_j(A_j)$ and $j \equiv (i + 1) \pmod{k}$, then identify x_j with $\alpha_i \alpha_j^{-1}(x_j)$.

Let X/α denote the resulting identification space, and let $P_{\alpha}: X \to X/\alpha$ be the quotient map. Let $\alpha: U \to X/\alpha$ by $\alpha(u) = P_{\alpha}\alpha_i(u)$, if $u \in S_i$. Then α is a homeomorphism.

Let $\Pi_i: X_i \to [0, 1]$ denote the projection mapping, $i = 1, 2, \dots, k$, and let $\sum_{i=1}^k \Pi_i: X \to [0, 1]$ by $(\sum_{i=1}^k \Pi_i)(x_j) = \Pi_j(x_j)$, where $x_j \in X_j$. Then $\sum_{i=1}^k \Pi_i$ can be factored through P_{α} , obtaining a map $G: X/\alpha \to [0, 1]$ such that $GP_{\alpha} = \sum_{i=1}^k \Pi_i$. But then $f|_U = G\alpha$; i.e., $f|_U$ is topologically equivalent to G. Theorem 1 follows.

In [8, Theorem 1], Tôki gives a topological characterization of mappings on a 2-manifold which are pseudo-harmonic. His results imply that if $f: M^2 \rightarrow N^1$ is an open map with B_f discrete, then f is topologically equivalent to a harmonic function. It is well known (see, for example, [5, pp. 8-9]) that harmonic functions have the local structure of (our) Theorem 1. The advantage of the present approach must lie in its directness and brevity.

4. The real analytic case. In this section we prove Theorem 2. A few facts from the theory of analytic varieties will be needed, and we include them here for completeness. For the reader who is unfamiliar with the terminology, we recommend [6].

LEMMA 4.1. Every real analytic variety is locally connected.

LEMMA 4.2. If V is a k-dimensional variety in the real analytic manifold M, then for every point $p \in V$, there is a neighborhood U of p in M such that $V \cap U$ is the disjoint union V' + V'', where V' is a k-dimensional real analytic submanifold of U, and V'' is a variety in U of dimension at most k - 1. The proof of 4.2 is in [1].

If $f: M \to N$ is a real analytic mapping, then clearly the sets $f^{-1}(y), y \in N$, are varieties, as are the sets $R_q(f)$, defined in §2. Moreover, it was proved by Church [2, p. 88 (1.3)] that dim $(f(R_q(f))) \leq q, q = 0, 1, \cdots$.

LEMMA 4.3. Let $f: M^n \to N^1$ be a proper real analytic mapping. Then $f(R_0(f))$ is discrete.

Proof. Let y be a limit point of $f(R_0(f))$. Let $\{y_n\}$ be a sequence in $f(R_0(f))$, converging to y, and let x_n be a point in $f^{-1}(y_n) \cap R_0(f)$, $n = 1, 2, \cdots$. By the properness of f, the sequence $\{x_n\}$ has an accumulation point; call it x. Since $R_0(f)$ is closed, $x \in R_0(f)$. Then, if U is any neighborhood of $x, U \cap R_0(f) - \{x\} \neq \emptyset$. Then, by the 0-dimensionality of $f(R_0(f))$ (see remark, above), $U \cap R_0(f)$ is not connected; i.e., $R_0(f)$ is not locally connected at x, contradicting 4.1.

Proof of Theorem 2. Let D be an open disk in M^2 with compact closure, and let $g = f|_D$. Then $g(R_0(g))$ is discrete by 4.3. Let $q \in g(R_0(g))$. It suffices to show that $g^{-1}(q) \cap B_g$ is discrete.

Since dim $(g^{-1}(q)) = 1$, we can remove from $g^{-1}(q)$, by 4.2, a discrete set A' such that $g^{-1}(q) - A'$ is a 1-dimensional real analytic submanifold of D. Let p be a point in $g^{-1}(q) - A'$, and let $U \subset D$ be a coordinate chart about p with real analytic coordinates (x, y) such that $g^{-1}(q)$ is the y-axis and $g(R_0(g) \cap U) = \{q\}$. Let $h = f|_U$. By Fox's Spoke Theorem [4, p. 347 (5.1)], it suffices to show that $h^{-1}(q) \cap B_h$ is discrete.

Suppose W is an open disk about a point on $h^{-1}(q) \cap U$ such that each horizontal line in W given by y = constant is mapped homeomorphically by h onto h(W). Then $W \cap B_h = \emptyset$. For define $F: W \to$ $h(W) \times R$ by F(x, y) = (h(x, y), y); this will give the desired equivalence.

For such fixed \bar{y} , consider the set $X(\bar{y})$ of points (x, \bar{y}) at which $h|_{y=\bar{y}}$ is not interior; i.e., the set of points at which $(\partial/\partial_x)(h|_{y=\bar{y}})$ changes sign. Now, $X = \bigcup_{\bar{y}} X(\bar{y})$ is contained in the set $A = \{(x, y): (\partial h/\partial x)(x, y) = 0\}$. A is clearly a variety, and the openness of f implies that dim $(A) \leq 1$. If A is discrete, then the comment in the last paragraph applies and there is nothing to prove. Hence, we may as well assume that dim (A) = 1. Let E be the set of points at which A is not a 1-submanifold.

Consider the intersection of A with the y-axis. It is a variety of dimension at most one. If it has dimension zero (i.e., if it is discrete), then there is nothing to prove. So suppose it is 1-dimensional, in which case it is the entire y-axis. Now, the openness of h implies that all points of U with positive abscissa map on one side of q, and the points with negative abscissa map on the other side of q. Hence, $\partial h/\partial x$ does not change sign at any point of the y-axis. Thus, every point on the y-axis which is not in E has a neighborhood disjoint from X, and E is discrete.

For more extensive results on the topological properties of real analytic mappings, see [3].

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