

Pacific Journal of Mathematics

DEFICIENCIES OF IMMERSIONS

URI SREBRO

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Dedicated to Steve Warschawski

Let X and Y be manifolds of the same dimension $n \geq 2$ and let $f: X \rightarrow Y$ be an immersion with $p = \sup\{n(y): y \in Y\} < \infty$ where $n(y)$ = cardinality $f^{-1}(y)$. If Y is compact and X is not, then $n(y) < p$ for some $y \in Y$, see §2. If Y is compact and simply connected and $p \geq 2$, then Y contains a compact set E such that $Y - E$ is not simply connected and $n(y) \leq p - 2$ for all $y \in E$, see §5.

1. THEOREM. Let X be a non-compact n -manifold, Y a compact n -manifold and $f: X \rightarrow Y$ an immersion. If $p = \max_{y \in Y} n(y) < \infty$, then $n(y) < p$ for some points $y \in Y$. In particular, if $y = \lim_{k \rightarrow \infty} f(x_k)$ for an infinite sequence of distinct points $x_k \in X$ which does not accumulate in X , then $n(y) < p$.

Proof. Suppose that $n(y) = p$ with $f^{-1}(y) = \{a_1, \dots, a_p\}$. Choose disjoint closed cells U_i in X such that $a_i \in \text{int } U_i$ and such that $f|_{U_i}$ is injective for $1 \leq i \leq p$. Then $x_k \notin \bigcup U_i$ for almost all k . Now choose a neighborhood V of y such that $V \subset \bigcap_{i=1}^p f(U_i)$ and let V_i denote the a_i component of $f^{-1}(V)$. Then f maps each V_i homeomorphically onto V and hence $n(y') = p$ for all $y' \in V_0$. It thus follows that $f(x_k) \notin V$ for all x_k in $X_0 = X - \bigcup V_i$, that is for almost all x_k . Hence $f(x_k) \nrightarrow y$, contradicting the assumption $f(x_k) \rightarrow y$, and thus $n(y) < p$.

2. REMARK. For compact manifolds X with boundary Theorem 1 says that $n(y) < p$ for every y in the cluster set of f on ∂X . This contains a result of Brannan and Kirwan [1, Theorem 1] as a special case.

3. Suppose that X is non-compact, that Y is compact and that $1 < p = \max n(y) < \infty$. We say that f has a *deficiency* at a point $y \in Y$ if $n(y) \leq p - 2$. The set $A = \{y \in Y: n(y) \leq p - 2\}$ will be called the *deficiency set* of f . It is not hard to construct immersions, for instance of $S^1 \times R$ into $S^1 \times S^1$ with empty deficiency set. The purpose of this note is to show that if Y is simply connected, then the deficiency set A is non-empty and, in fact, it is quite large.

4. THEOREM. *Let X be an n -manifold and Y a simply connected compact n -manifold, $n \geq 2$, and let $f: X \rightarrow Y$ be an immersion with $1 < p = \max n(y) < \infty$. Then the deficiency set A contains a compact subset E such that $Y - E$ is not simply connected.*

5. REMARK AND NOTATION. The proof is based on two elementary lemmas and on application of the monodromy theorem to a certain extension of f . The extension of f is essentially the same as in Lyzzaik and Styer [2, §2]. The following notation will be used: For $r > 0$ and $a \in R^n$, $B^n(a, r) = \{x \in R^n: |x - a| < r\}$, $B^n(r) = B^n(0, r)$, $B^n = B^n(1)$ and in particular $B^2 = \{z \in \mathbb{C}: |z| < 1\}$. We say that a compact set E in a simply connected space Y is π_1 -negligible if $Y - E$ is simply connected. In this notation, Theorem 4 asserts that the deficiency set A has compact subsets which are not π_1 -negligible in Y .

6. LEMMA. *Let $H: \bar{B}^2 \rightarrow R^n$ be a continuous function with $H(-1) \in B^n$ and $H(1) \notin \bar{B}^n$. Then $H^{-1}(\partial B^n)$ contains a continuum C which meets both components of $\partial B^2 - \{-1, 1\}$.*

Proof. By the Jordan separation theorem $F = H^{-1}(\partial B^n)$ separates the points -1 and 1 in \bar{B}^2 . Let B_1 denote the connected component of $\bar{B}^2 - F$, which contains the point -1 , and let B_2 be the connected component of $\mathbb{C} - B_1$, which contains the point 1 . Then $C = \partial B_2 \cap \bar{B}^2$ is the desired continuum.

7. LEMMA. *Let A be a closed set in R^n . If every compact subset E of A such that $R^n - E$ is connected is π_1 -negligible then*

(i) $\text{int } A = \emptyset$.

(ii) $U = R^n - A$ is connected.

Proof. (i) is trivial.

(ii) Suppose that U is not connected. Choose points a_1 and a_2 which belong to different connected components of U . Since A is closed there is $r > 0$ such that $B^n(a_i, 2r) \subset U$, $i = 1, 2$. Let

$$G = \bigcup_{0 \leq t \leq 1} B^n(ta_1 + (1-t)a_2, r)$$

and $E = A \cap \partial G$. Now choose points $b_i \in \partial B(a_i, 2r)$, $i = 1, 2$, so that a_1, a_2, b_1, b_2 are vertices of a rectangle R . Since $R^n - E$ is simply connected,

there is a continuous function $H: \bar{B}^2 \rightarrow R^n - E$ mapping ∂B^2 homeomorphically onto R . We may assume that $H(-1) = a_1$, $H(1) = b_1$, $H(i) \in \partial B^n(a_1, r)$ and $H(-i) \in \partial B^n(a_2, r)$. By Lemma 6 there exists a continuum C in $H^{-1}(\partial G)$ joining the components of $\partial B^2 - \{-1, 1\}$. Hence $C' = H(C)$ is a continuum in ∂G joining $\partial^n B(a_1, r)$ and $\partial^n B(a_2, r)$. Hence a_1 and a_2 can be joined by a continuum in U , contradicting the assumption that U is not connected.

8. *Proof of Theorem 4.* Let $A_k = \{y \in Y: n(y) = k\}$. Then A_p and $A_p \cup A_{p-1}$ are open and hence the deficiency set $A = Y - (A_p \cup A_{p-1})$ is compact. Consider the disjoint union $\tilde{X} = X \cup A_{p-1}$ with the topology containing the topology of X and the topology of $\text{int } A_{p-1}$, which makes the extension $\tilde{f}: \tilde{X} \rightarrow Y$ of f , $\tilde{f}(x) = f(x)$ for $x \in X$ and $\tilde{f}(x) = x$ for $x \in A_{p-1}$, a local homeomorphism. Obviously, \tilde{f} is a local homeomorphism in $X \cup \text{int } A_{p-1}$. For $y \in \bar{A}_p \cap A_{p-1}$ with $f^{-1}(y) = \{x_1, \dots, x_{p-1}\}$ choose disjoint cells U_i in X with $x_i \in \text{int } U_i$ and such that each $f|U_i$ is injective, $1 \leq i < p$. Now let V be an open set in $\cap f(U_i)$ containing y . Then \tilde{f} maps $U_0 = f^{-1}(V) - \cup U_i$ homeomorphically onto $V \cap A_p$ and \tilde{f} maps $U = U_0 \cup (V \cap A_{p-1})$ injectively onto V . Such sets U form a base of neighborhoods of $y \in \bar{A}_p \cap A_{p-1}$.

Suppose now that Theorem 4 is false, i.e., all compact subsets E of A such that $Y - E$ is connected are π_1 -negligible in Y . Then obviously $\text{int } A = \phi$. Also, if D is an open cell in Y , then, by Lemma 7, $D - A$ is connected. Since every two points a and b in Y can be connected by a chain of open cells D_1, \dots, D_k such that $a \in D_1$, $b \in D_k$ and $D_i \cap D_{i+1} \neq \emptyset$ for $1 \leq i < k$, it follows that $Y - A$ is connected and hence so is $X_0 = \tilde{X} - f^{-1}(A)$. Now X_0 is a manifold and $f_0 = \tilde{f}|X_0$ is a p to 1 covering map of X_0 onto $Y - A$. The assumption that $Y - A$ is simply connected implies, by the monodromy theorem, that f_0 is injective and hence that $p = 1$. This contradiction completes the proof.

9. **REMARK.** For $n = 2$ Theorem 4 says that the deficiency set of an immersion of a non-compact surface into S^2 has at least two points. This contains a result of Brannan and Kirwan [1, Theorem 2] as a particular case.

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Alan Adolphson, On the Dwork trace formula	257
Amos Altshuler and Leon Steinberg, Enumeration of the quasisimplicial 3-spheres and 4-polytopes with eight vertices	269
Kenneth R. Goodearl, Cancellation of low-rank vector bundles	289
Gary Fred Gruenhage, Ernest A. Michael and Yoshio Tanaka, Spaces determined by point-countable covers	303
Charles Lemuel Hagopian, Atriodic homogeneous continua	333
David Harbater, Ordinary and supersingular covers in characteristic p	349
Domingo Antonio Herrero, Continuity of spectral functions and the lakes of Wada	365
Donald William Kahn, Differentiable approximations to homotopy resolutions and framed cobordism	373
K. McGovern, On the lifting theory of finite groups of Lie type	383
C. David (Carl) Minda, The modulus of a doubly connected region and the geodesic curvature-area method	395
Takuo Miwa, Complexes are spaces with a σ -almost locally finite base	407
Ho Kuen Ng, Finitely presented dimension of commutative rings and modules	417
Roger David Nussbaum, A folk theorem in the spectral theory of C_0 -semigroups	433
J. S. Okon, Prime divisors, analytic spread and filtrations	451
Harold Raymond Parks, Regularity of solutions to elliptic isoperimetric problems	463
R. Sitaramachandra Rao and M. V. Subba Rao, Transformation formulae for multiple series	471
Daniel Ruberman, Imbedding punctured lens spaces and connected sums	481
Uri Srebro, Deficiencies of immersions	493