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**MONOTONE MAPPINGS OF A TWO-DISK ONTO ITSELF  
WHICH FIX THE DISK'S BOUNDARY CAN BE CANONICALLY  
APPROXIMATED BY HOMEOMORPHISMS**

WILLIAM EMERY HAVER

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WILLIAM E. HAVER

**The theorem stated in the title is proven. As a corollary it is shown that the space of all such monotone mappings is an absolute retract.**

1. Introduction. Let  $D^n$  denote the standard  $n$ -ball of radius one in  $E^n$  and  $H(D^n)$  the space of all homeomorphisms of  $D^n$  onto itself which equal the identity on the boundary of  $D^n$ . Let  $\overline{H(D^n)}$  denote the space of all mappings of  $D^n$  onto itself which can be approximated arbitrarily closely by elements of  $H(D^n)$ . Under the supremum topology,  $H(D^n)$  and  $\overline{H(D^n)}$  are separable metric spaces;  $\overline{H(D^n)}$  is complete under the supremum metric. It is known that  $\overline{H(D^n)}$  is locally contractible [7],  $\overline{H(D^n)} \times l_2 \approx \overline{H(D^n)}$  [4],  $\overline{H(D^n)}$  is homogeneous [7], and that  $\overline{H(D^1)} \approx l_2$  [3]. In this paper we shall be concerned with the case  $n = 2$ , and to simplify notation we shall write  $D$  for  $D^2$ . It is well-known (cf. [8]) that  $\overline{H(D)}$  is the space of all monotone mappings of  $D$  onto itself which equal the identity when restricted to the boundary of  $D$ .

We shall show [Theorem 1] that the elements of  $\overline{H(D)}$  can be "canonically approximated" by elements of  $H(D)$  and [Theorem 2] that  $\overline{H(D)}$  is an absolute retract. The work of this paper depends heavily on W. K. Mason's paper, "The space of all self-homeomorphisms of a two-cell which fix the cell's boundary is an absolute retract", [9]. The crux of Mason's paper is the definition of a basis for  $H(D)$  which can be shown to possess some particularly nice properties. We shall review the definition of this basis in the following section and then define a basis for  $\overline{H(D)}$ . Familiarity will be assumed with the notation and basic definitions of [9].

2. Mason's basis for  $H(D)$ . Consider  $D$  to be a rectangle in  $R^2$  with horizontal and vertical sides. A grating,  $P$ , on  $D$  consists of a finite number of spanning segments (crosscuts) across  $D$ , parallel to its sides, with the same number of horizontal and vertical crosscuts. Let  $P_1, P_2, \dots$  be a sequence of gratings on  $D$  such that (a) the mesh of  $P_i$  approaches 0 as  $i$  increases and (b) if  $l$  is a crosscut of  $P_i$  and  $j \geq i$ , then  $l$  is a crosscut of  $P_j$ .

Let  $\mathcal{H}$  be the collection of all polyhedral disks  $H$  contained in  $D$

such that  $\text{Bd}(H)$  is the union of a vertical segment in the left side of  $\text{Bd}(D)$ , a vertical segment in the right side of  $\text{Bd}(D)$ , a polygonal spanning arc of  $D, H^T$ , that is contained in the closure of the same component of  $H(D) - H$  as the top of  $\text{Bd}(D)$ , and a polygonal spanning arc of  $D, H^B$ , that is contained in the closure of the same component of  $H(D) - H$  as the bottom of  $\text{Bd}(D)$ . Let  $\mathcal{V}$  be the collection of all polyhedral disks  $V$  contained in  $D$  such that  $\text{Bd}(V)$  is the union of a horizontal segment in the top of  $\text{Bd}(D)$ , a horizontal segment in the bottom of  $\text{Bd}(D)$ , a polygonal spanning arc of  $D, V^L$ , that is contained in the closure of the same component of  $H(D) - V$  as the left side of  $\text{Bd}(D)$  and a polygonal spanning arc of  $D, V^R$ , that is contained in the closure of the same component of  $H(D) - V$  as the right side of  $\text{Bd}(D)$ .

Let  $P_j$  be a grating from the sequence  $P_1, P_2, \dots$ . Let  $\{l_1, \dots, l_n\}$  be the set of horizontal crosscuts of  $P_j$  and  $\{m_1, \dots, m_n\}$  the set of vertical crosscuts. Let  $\{H_1, \dots, H_n\} \subset \mathcal{H}$  satisfy  $H_i \cap H_j = \emptyset$  if  $i \neq j$  and  $\{V_1, \dots, V_n\} \subset \mathcal{V}$  satisfy  $V_i \cap V_j = \emptyset$  if  $i \neq j$ . Then define

$$\begin{aligned} O(P_j; H_1, \dots, H_n; V_1, \dots, V_n) \\ = \{f \in H(D) \mid f(l_i) \subset H_i - \{\text{Cl}(D - H_i)\} \text{ and} \\ f(m_i) \subset V_i - \{\text{Cl}(D - V_i)\} \text{ for } 1 \leq i \leq n\}. \end{aligned}$$

Then the basis for  $H(D)$ , which Mason denotes  $HVT$ , is the collection of all such open sets.

3. A Basis for  $\overline{H(D)}$ . In this section we define a basis,  $\beta$ , for  $\overline{H(D)}$  and demonstrate that it possesses some nice properties. Let  $P_j, \{H_1, \dots, H_n\}$  and  $\{V_1, \dots, V_n\}$  be as in the definition of  $HVT$ . The basis,  $\beta$ , will consist of all sets of the following form:

$$\begin{aligned} B(P_j; H_1, \dots, H_n; V_1, \dots, V_n) \\ = \{f \in \overline{H(D)} \mid f^{-1}(l_i) \subset H_i - \{\text{Cl}(D - H_i)\} \text{ and} \\ f^{-1}(m_i) \subset V_i - \{\text{Cl}(D - V_i)\}, \text{ for } 1 \leq i \leq n\}. \end{aligned}$$

We note that  $f \in B(P_j; H_1, \dots, H_n; V_1, \dots, V_n) \cap H(D)$  if and only if  $f^{-1} \in O(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$ . To see that the elements of  $\beta$  are open subsets of  $\overline{H(D)}$ , let  $f$  be an arbitrary element of  $B(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$ . Then let

$$\varepsilon = \min_{1 \leq i \leq n} \{d(f(H_i^T \cup H_i^B), \bigcup_{j=1}^n l_j), d(f(V_i^L \cup V_i^R), \bigcup_{j=1}^n m_j)\}.$$

Let  $g$  be an arbitrary element of  $\overline{H(D)}$  satisfying  $d(f, g) < \varepsilon$ . Suppose that  $g \notin B(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$ . Then, without loss of generality, we can assume that there exists an integer  $i$  such that  $g^{-1}(l_i)$

is not contained in  $H_i - \text{Cl}(D - H_i)$ . Since (i)  $g^{-1}(l_i) \cap (\text{Bd } D) = f^{-1}(l_i) \cap (\text{Bd } D) \subset H_i - \text{Cl}(D - H_i)$ , (ii)  $g^{-1}(l_i)$  is a connected set and (iii)  $H_i^T \cup H_i^B$  separates  $H_i - \text{Cl}(D - H_i)$  from  $D - H_i$ , there is an  $x \in H_i^T \cup H_i^B$  such that  $g(x) \in l_i$ . But this implies that  $d(f(x), g(x)) \geq d(f(H_i^T \cup H_i^B), l_i) \geq \varepsilon$  and hence  $d(f, g) \geq \varepsilon$ .

LEMMA 1.  $\beta$  is a basis for  $\overline{H(D)}$ .

*Proof.* Let  $f \in \overline{H(D)}$  and  $\varepsilon > 0$  be given. We wish to find  $B \in \beta$  such that  $f \in B$  and  $d(f, g) < \varepsilon$  for all  $x \in B$ . Pick a grating,  $P_j$ , such that  $\text{diam } |st(x, P_j)| < \varepsilon$  for every  $x \in D$ . Let  $l_i$  be the  $i$ th crosscut from the top of  $D$ . Choose  $H_1^T$  to be a polygonal spanning arc of  $D$  with one endpoint in each side of  $D$  that separates the top of  $D$  from  $f^{-1}(l_1)$ . Choose  $H_1^B$  to be a polygonal spanning arc of  $D$  that separates  $f^{-1}(l_1)$  from  $f^{-1}(l_2)$ . The polyhedral disk  $H_1$  is thus uniquely defined. Assume inductively that disks  $H_1, \dots, H_{i-1}$  have been defined in such a manner that  $H_j \cap H_k = \emptyset$  if  $1 \leq j \leq i-1, 1 \leq k \leq i-1$ , and  $j \neq k$  and that for each  $j, 1 \leq j \leq i-1, H_j^T$  separates  $H_{j-1}^B$  from  $f^{-1}(l_j)$  and  $H_j^B$  separates  $f^{-1}(l_j)$  from  $f^{-1}(l_{j+1})$ . Choose  $H_i^T$  to be a polygonal spanning arc of  $D$  that separates  $H_{i-1}^B$  from  $f^{-1}(l_i)$ . Finally choose  $H_i^B$  to be a polygonal spanning arc of  $D$  that separates  $f^{-1}(l_i)$  from  $f^{-1}(l_{i+1})$  (or from the bottom of  $D$  if  $i = n$ ). We have thus uniquely defined  $H_i$  in such a way that the inductive hypothesis is satisfied. Define  $V_1, \dots, V_n$  in a similar manner. Now, by construction  $f \in B(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$  and if  $g \in B(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$  then  $d(f, g) < \varepsilon$ .

LEMMA 2. Let  $B_1, \dots, B_j$  be elements of  $\beta$ . Then  $B = \bigcap_{k=1}^j B_k$  is an element of  $\beta$ .

*Proof.* Assume  $B \neq \emptyset$  and that  $P_k$  is the grating associated with  $B_k, 1 \leq k \leq j$ . Hence for any  $k, 1 \leq k \leq j$ , every crosscut of  $P_k$  is a crosscut of  $P_j$ . Let  $l_1$  be the first horizontal crosscut of  $P_j$ . For each  $k, 1 \leq k \leq j$ , let  $H_{1,k}$  be the element of  $\mathcal{H}$  associated with  $l_1$  and  $B_k$  (if there is one). Let  $H_1$  be the component of  $D - (\bigcup_{k=1}^j H_{1,k}^T \cup \bigcup_{k=1}^j H_{1,k}^B)$  that contains  $f^{-1}(l_1)$ . Define in an analogous manner  $H_2, \dots, H_n$  and  $V_1, \dots, V_n$ . It is clear that  $B(P_j; H_1, \dots, H_n; V_1, \dots, V_n) = \bigcap_{k=1}^j B_k$ . The elements of  $\{H_1, \dots, H_n\}$  are pairwise disjoint since each  $H_i$  is contained in  $H_{i,n}$  and the elements of  $\{H_{1,j}, \dots, H_{n,j}\}$  are pairwise disjoint.

Lemma 3 will follow as a corollary to the following theorem of Mason. (The proof of this theorem constitutes the bulk of [9].)

THEOREM (Mason). Let  $U$  be an element of HVT and  $K$  a finite

dimensional compact subset of  $U$ . Then there is an embedding  $\psi$  of the cone over  $K$  into  $U$  such that  $\psi(f, 0) = f$ , for all  $f \in K$ .

LEMMA 3. Let  $B = B(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$  be an element of  $\beta$  and  $K$  a finite dimensional compact subset of  $B \cap H(D)$ . Then there is an embedding  $\lambda$  of the cone over  $K$  into  $B \cap H(D)$  such that  $\psi(f, 0) = f$ , for all  $f \in K$ .

*Proof.* Since  $H(D)$  is a topological group, the function  $G: H(D) \rightarrow H(D)$  defined by  $G(f) = f^{-1}$  is a homeomorphism. Therefore, by the note following the definition of  $\beta$ ,  $G(K)$  is a finite dimensional compact subset of  $U(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$ . Hence by Mason's theorem there is an embedding  $\psi$  of the cone over  $G(K)$  into  $U(P_j; H_1, \dots, H_n; V_1, \dots, V_n)$  such that  $\psi(f, 0) = f$ , for all  $f \in G(K)$ . Define  $\lambda: K \times I \rightarrow B \cap H(D)$  by  $\lambda(k, t) = G^{-1}(\psi(G(k), t))$ .

4. The main results. The following theorem shows that the elements of  $\overline{H(D)}$  can be canonically approximated by elements of  $H(D)$ .

THEOREM 1. Let  $\alpha$  be an open cover of  $\overline{H(D)}$ . Then there exists a locally finite polyhedron,  $\mathcal{P}$ , and maps  $b: \overline{H(D)} \rightarrow \mathcal{P}$ ,  $\psi: \mathcal{P} \rightarrow H(D)$ , and  $\theta: \overline{H(D)} \times I \rightarrow \overline{H(D)}$  such that

- (a) for each  $f \in \overline{H(D)}$ , there is an element,  $U_f$ , of  $\alpha$  such that  $\theta(f, t) \in U_f$ , for each  $t \in I$ ,
- (b)  $\theta(f, 1) = f$ , for each  $f \in \overline{H(D)}$ ,
- (c)  $\theta(f, 0) = \psi b(f)$ , for each  $f \in \overline{H(D)}$ ,
- (d)  $\theta(f, t) \in H(D)$  for each  $f \in \overline{H(D)}$  and  $t \in [0, 1)$ .

*Proof.* Let  $\alpha'$  be an open barycentric refinement  $\alpha$  (i.e., if  $f \in \overline{H(D)}$ ,  $|st(f, \alpha')|$  is contained in some element of  $\alpha$ ). For each positive integer,  $k$ , let  $\alpha_k$  be an open cover of  $\overline{H(D)}$  such that

- (i)  $\alpha_k$  is a refinement of  $\alpha'$ ,
- (ii) if  $V \in \alpha_k$ ,  $\text{diam } V < 1/k$ ,
- (iii) if  $V \in \alpha_k$ , then  $V \in \beta$ .

We next define an open cover,  $\eta$ , of  $\overline{H(D)} \times [0, 1)$ .

$$\text{Let } \eta = \{V \times [0, 1/2) \mid V \in \alpha_1\} \cup \bigcup_{k=2}^{\infty} \left\{ V \times \left( \frac{2^k - 3}{2^k}, \frac{2^k - 1}{2^k} \right) \mid V \in \alpha_k \right\}.$$

Let  $\gamma$  be a countable refinement of  $\eta$  such that

- (a) if  $h \in \gamma$ ,  $st(h, \gamma)$  is a finite set,
- (b) if  $h \in \gamma$ , then there is an element of  $\eta$ ,  $V \times J$ , such that  $|st(h, \gamma)| \subset V \times J$ .

Let  $\mathcal{P}$  be the nerve of  $\gamma$  and  $B: \overline{H(D)} \times [0, 1) \rightarrow \mathcal{P}$  be the standard

barycentric map. Order the element of  $\gamma$ , and for each  $h_i \in \gamma$ , let  $V_i \times J_i$  be an element of  $\eta$  such that  $|st(h_i, \gamma)| \subset V_i \times J_i$ . Note that  $V_i \in \beta$ .

We shall define a map  $\psi: \mathcal{S} \rightarrow H(D)$  by induction on the skeletons of  $\mathcal{S}$ . For each vertex  $(h_i)$  of  $\mathcal{S}$ , let  $\psi^0((h_i))$  be an arbitrary element of  $H(D)$  intersected with the projection of  $h_i$  onto  $\overline{H(D)}$ .

Now assume that for  $m = 1, 2, \dots, n$  we have defined  $\psi^m: \mathcal{S}^m \rightarrow H(D)$  such that  $\psi^m$  extends  $\psi^{m-1}$  and for each simplex  $\sigma^m = (h_{\lambda_0}, \dots, h_{\lambda_m})$ :

- (a)  $\psi^m(\sigma^m)$  is finite dimensional,
- (b)  $\psi^m(\sigma^m) \subset H(D) \cap \{V_i \mid h_i \subset \bigcap_{j=0}^m st(h_{\lambda_j}, \gamma)\}$ .

Now let  $\sigma^{n+1} = \langle h_0, \dots, h_{n+1} \rangle$  be any simplex of  $\mathcal{S}^{n+1}$ . Let

$$U = \bigcap \{V_i \mid h_i \subset \bigcap_{j=0}^{n+1} st(h_j, \gamma)\}.$$

Since each  $V_i$  is an element of  $\beta$ , by Lemma 2,  $U \in \beta$ . By the inductive hypothesis the image under  $\psi^n$  of the boundary of  $\sigma^{n+1}$  is a finite dimensional compact subset of  $U \cap H(D)$ , denoted  $K$ . By Lemma 3 there is an embedding

$$\lambda: \subset(K) \rightarrow U \cap H(D)$$

such that  $\lambda(f, 0) = f$  for all  $f \in K$ . We consider  $\sigma^{n+1}$  to be the cone over its boundary, and so for  $(x, t) \in \sigma^{n+1}$ , let  $\psi^{n+1}(x, t) = \lambda(\psi^n(x), t)$ .

Extending over each  $n + 1$  simplex in this manner gives  $\psi^{n+1}: \mathcal{S}^{n+1} \rightarrow H(D)$  and completes the induction. Hence  $\lim_{n \rightarrow \infty} \psi^n = \psi: \mathcal{S} \rightarrow H(D)$  is continuous by the continuity of each  $\psi^n$  and the local finiteness of  $\mathcal{S}$ .

Let  $b: \overline{H(D)} \rightarrow \mathcal{S}$  be defined by  $b(f) = B((f, 0))$ .

We next define the homotopy  $\theta: \overline{H(D)} \times I \rightarrow \overline{H(D)}$  in the following manner:

$$\theta(f, t) = \begin{cases} \psi(B(f, t)), & t \neq 1 \\ f, & t = 1. \end{cases}$$

Conditions (b), (c), and (d) are obviously satisfied. We show simultaneously that  $\theta$  is continuous and that for each  $f \in \overline{H(D)}$  there is an element  $U_f$  of  $\alpha$  such that for each  $t \in I$ ,  $\theta(f, t) \in U_f$ .

Suppose that  $(f, t) \in \overline{H(D)} \times [0, 1)$  and that  $(2^k - 3)/2^k < t < (2^k - 1)/2^k$ . Let  $h_0$  be any element of  $\gamma$  which contains  $(f, t)$ . By the definition of  $\psi$ ,  $\psi B(f, t) \in V_0$ . But  $V_0 \in \alpha_{k-1} \cup \alpha_k \cup \alpha_{k+1}$  and therefore the diameter of  $V_0$  is less than  $1/(k - 1)$  which implies that  $d(\psi B(f, t), f) < 1/(k - 1)$  and thereby that  $\theta$  is continuous. Since each  $\alpha_k$  is a refinement of  $\alpha'$ , there exists an element of  $\alpha'$ ,  $U_{(f,t)}$ , such that

$\{f\} \cup \{\psi B(f, t)\} \subset V_0 \subset U_{(f,t)}$ . Since  $\alpha'$  is a barycentric refinement of  $\alpha$ , there is some element,  $U_f$ , of  $\alpha$  such that  $\bigcup_{t \in [0,1]} U_{(f,t)} \subset U_f$  and hence  $\theta(f, t) \in U_f$ , for each  $t \in I$ .

The following result is an immediate corollary of Theorem 1 and a theorem of Hanner [5] which states that a metric space  $X$  is an ANR if given an arbitrary cover,  $\alpha$ , of  $X$  there exists a locally finite polyhedron  $\mathcal{P}$ , maps  $b: X \rightarrow \mathcal{P}$ ,  $\psi: \mathcal{P} \rightarrow X$ , and  $\theta: X \times I \rightarrow X$  such that  $\theta(x, 0) = \psi b(x)$  for all  $x \in X$ ,  $\theta(x, 1) = x$  for all  $x \in X$  and for each  $x \in X$  there is an element  $U$  of  $\alpha$  such that  $\theta(x, t) \in U$  for all  $t \in [0, 1]$ .

**THEOREM 2.**  $\overline{H(D)}$  is an absolute retract.

*Proof.* By the preceding comments,  $\overline{H(D)}$  is an ANR. But  $\overline{H(D)}$  is contractible by the Alexander isotopy [1] applied to  $\overline{H(D)}$ . The theorem follows since every contractible absolute neighborhood retract is an absolute retract.

5. Applications. (a) The author has shown [6] that  $\overline{H(M)}$ , the space of all mappings of a compact manifold onto itself which can be approximated arbitrarily closely by homeomorphisms, is weakly locally contractible. Theorem 1 can be used [7] to show that for any compact 2-manifold,  $M^2$ ,  $\overline{H(M^2)}$  is locally contractible.

(b) A problem of current interest is whether  $H(D)$  is homeomorphic to  $l_2$ ; it can easily be shown using a result of Anderson [2] that if  $\overline{H(D)}$  is homeomorphic to  $l_2$ , then  $H(D)$  is homeomorphic to  $l_2$ . Perhaps the results of this paper and the fact that  $\overline{H(D)}$  is complete under the usual metric will be helpful in showing that  $\overline{H(D)}$  is homeomorphic to  $l_2$ .

(c) L. C. Siebenmann [10] has asked whether the inclusion map  $i: H(M) \rightarrow \overline{H(M)}$  is a homotopy equivalence. Theorem 1 provides an affirmative answer to the question for the special case  $i: H(D) \rightarrow \overline{H(D)}$ .

*Added in proof.* Recent work of Toruńczyk ("Absolute retracts as factors of normed linear spaces," *Fund. Math.*, to appear) implies that since  $\overline{H(D)}$  is an AR and  $H(D) \times l_2 \approx \overline{H(D)}$ ,  $\overline{H(D)}$  is in fact homeomorphic to  $l_2$ .

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Mustafa Agah Akcoglu, John Philip Huneke and Hermann Rost, <i>A counter example to the Blum Hanson theorem in general spaces</i> .....	305
Huzihiro Araki, <i>Some properties of modular conjugation operator of von Neumann algebras and a non-commutative Radon-Nikodym theorem with a chain rule</i> .....	309
E. F. Beckenbach, Fook H. Eng and Richard Edward Tafel, <i>Global properties of rational and logarithmico-rational minimal surfaces</i> .....	355
David W. Boyd, <i>A new class of infinite sphere packings</i> .....	383
K. G. Choo, <i>Whitehead Groups of twisted free associative algebras</i> .....	399
Charles Kam-Tai Chui and Milton N. Parnes, <i>Limit sets of power series outside the circles of convergence</i> .....	403
Allan Clark and John Harwood Ewing, <i>The realization of polynomial algebras as cohomology rings</i> .....	425
Dennis Garbanati, <i>Classes of circulants over the <math>p</math>-adic and rational integers</i> .....	435
Arjun K. Gupta, <i>On a "square" functional equation</i> .....	449
David James Hallenbeck and Thomas Harold MacGregor, <i>Subordination and extreme-point theory</i> .....	455
Douglas Harris, <i>The local compactness of <math>vX</math></i> .....	469
William Emery Haver, <i>Monotone mappings of a two-disk onto itself which fix the disk's boundary can be canonically approximated by homeomorphisms</i> .....	477
Norman Peter Herzberg, <i>On a problem of Hurwitz</i> .....	485
Chin-Shui Hsu, <i>A class of Abelian groups closed under direct limits and subgroups formation</i> .....	495
Bjarni Jónsson and Thomas Paul Whaley, <i>Congruence relations and multiplicity types of algebras</i> .....	505
Lowell Duane Loveland, <i>Vertically countable spheres and their wild sets</i> .....	521
Nimrod Megiddo, <i>Kernels of compound games with simple components</i> .....	531
Russell L. Merris, <i>An identity for matrix functions</i> .....	557
E. O. Milton, <i>Fourier transforms of odd and even tempered distributions</i> .....	563
Dix Hayes Pettey, <i>One-one-mappings onto locally connected generalized continua</i> .....	573
Mark Bernard Ramras, <i>Orders with finite global dimension</i> .....	583
Doron Ravdin, <i>Various types of local homogeneity</i> .....	589
George Michael Reed, <i>On metrizable complete Moore spaces</i> .....	595
Charles Small, <i>Normal bases for quadratic extensions</i> .....	601
Philip C. Tonne, <i>Polynomials and Hausdorff matrices</i> .....	613
Robert Earl Weber, <i>The range of a derivation and ideals</i> .....	617