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PRIME ENTIRE FUNCTIONS WITH PRESCRIBED NEVANLINNA DEFICIENCY

FRED GROSS,¹ CHARLES OSGOOD,² AND CHUNG-CHUN YANG²

1. Introduction.

According to [4] a meromorphic function h(z) = f(g)(z) is said to have f(z) and g(z) as left and right factors respectively, provided that f(z) is non-linear and meromorphic and g(z) is non-linear and entire (gmay be meromorphic when f(z) is rational). h(z) is said to be *E*-prime (*E*-pseudo prime) if every factorization of the above form into entire factors implies that one of the functions f, or g is linear (polynomial). h(z) is said to be prime (pseudo-prime) if every factorization of the above form, where the factors may be meromorphic, implies that one of f or g is linear (a polynomial or f is rational).

Recently the following result was proved by Goldstein [3].

THEOREM 1. Let F(z) be an entire function of finite order such that $\delta(a, F) = 1$ for some $a \neq \infty$, where $\delta(a, F)$ denotes the Nevanlinna deficiency. Then F(z) is E-pseudo prime.

The above theorem might suggest that for an entire function of finite order the existence of Nevanlinna deficiency and the primeness of a function are closely related to each other. The purpose of this note is to show that it is not the case in general. More precisely, we shall show the following:

THEOREM 2. Given any integer k > 0, and constant $c, 0 \le c \le 1$, one can construct a prime function f of order k with $\delta(0, f) = c$.

Remark. By a well-known result of Nevanlinna [7] one sees immediately why the above result cannot hold for an arbitrary real positive k.

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¹ Mathematics Research Center, Naval Research Laboratory, Washington, D.C., and University of Maryland, Baltimore County.

² Mathematics Research Center, Naval Research Laboratory, Washington, D.C.

The proof of Theorem 2 also yields the following result.

THEOREM 3. Given any $0 \le c \le 1$, there exist real constants λ_1 and λ_2 such that the function $F = ze^{\lambda_1 e^z}(e^{\lambda_2 e^z} + 1)$ satisfies $\delta(0, F) = c$.

Theorem 3 gives us an example of functions of infinite order which are not pseudo-prime and which have a prescribed deficiency. The analogous problem for functions of finite order remains open.

2. Definitions and preliminary lemmas.

We shall say that a polynomial in z with complex coefficients has property R if (i) p(z) is monic, (ii) p(0) = 0, and (iii) for some sequence of points (a_r) tending to ∞ each root of $p(z) - a_r = 0$ lies on one of a finite number of fixed rays r_1, \dots, r_l out from z = 0, for some positive integer l. If $z \in C, z \neq 0$, and $z = |z|e^{i\theta}$ where $-\pi \leq \theta < \pi$ we define $\arg(z)$ to be θ .

LEMMA I. (i) The polynomial p(z) has property R if and only if $p(z) = z^{\frac{1}{2}k}(z^{\frac{1}{2}k} + b)$ for some $b \in C$ and positive integer k. (ii) If $b \neq 0$ all but at most a finite number of the a_r lie on the ray defined by $\arg(z) \equiv 2(\arg(b)) \mod 2\pi$, while if b = 0 the a_r 's lie on any finite collection of rays out from z = 0.

Proof. We shall first show the "if" part of (i). If b = 0 this is trivial. If $b \neq 0$ set $b = |b|\varepsilon$. Choose the a_r to all be of the form $a_r = |a_r|\varepsilon^2$. Then we may write our equations as $(z^{\frac{1}{2}k}\varepsilon^{-1})^2 + |b|(z^{\frac{1}{2}k}\varepsilon^{-1}) = |a_r|$. Since $|b|^2 + 4|a_r| > 0$ each z which is a root must be such that $z^{\frac{1}{2}k}\varepsilon^{-1}$ is real. Thus the roots must lie on a finite number of rays out from z = 0.

The greater part of this proof will be spent establishing the "only if" part of (i). In doing so we shall show, also, that if p(z) has property R then there exists a subsequence of the a_r consisting only of points a_r with each $\arg(a_r) = \alpha$ for some $-\pi \leq \alpha < \pi$. We shall now use this last assertion to help prove (ii) and shall then return to the proof of (i). If b = 0 in (ii) there is nothing to prove. If $b \neq 0$ pass to a subsequence of the (a_r) where each $\arg(a_r) \neq 2(\arg(b)) \mod 2\pi$. (If this is not possible we are through.) We shall now obtain a contradiction. Note that as $|a_r|$ goes to ∞ the absolute values of the roots of $p(z) - a_r = 0$ go to ∞ also. Now $\arg(a_r) = \arg(p(z_{1,r}))$ where $p(z_{1,r}) = a_r$ and each $z_{1,r}$ belongs to the ray r_1 , say. Thus

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(1)
$$\arg (a_{\gamma}) = \arg ((z_{1,\gamma}^{\frac{1}{2}})(z_{1,\gamma}^{\frac{1}{2}}+b)) \\ \equiv (k(\arg (z_{1,\gamma})) + \arg (1 + bz_{1,\gamma}^{-\frac{1}{2}})) \mod 2\pi.$$

Since $\arg(a_r)$ and $\arg(z_{1,r})$ are constants then so is $\arg(1 + bz_{1,r}^{-\frac{1}{2}k})$. As $|a_r|$ goes to infinity $|z_{1,r}|$ goes to infinity and $\arg(1 + bz_{1,r}^{-\frac{1}{2}k})$ goes to zero. Thus each $\arg(1 + bz_{1,r}^{-\frac{1}{2}k}) = 0$ so every $bz_{1,r}^{-\frac{1}{2}k}$ is real and each $b^2 z_{1,r}^{-k}$ is positive. Also, from (1) we have now that

$$\arg(a_r) \equiv k(\arg(z_{1,r})) \mod 2\pi$$

so, since $b^2 z_{1,\gamma}^{-k}$ is positive,

$$\arg(a_r) \equiv 2(\arg(b)) \mod 2\pi$$
.

This contradiction proves (ii) subject to our (as yet) unproven assertion.

We next begin the proof of the "only if" part of (i). Let us look at the k different algebraic functions

$$z_j(a) = \rho^j a^{k-1} + b_0 + b_{-1} \rho^{-j} a^{-k-1} + \cdots$$

for $(1 \le j \le k)$ which are roots of p(z) = a, where $\rho = \exp(2\pi i k^{-1})$ and the expressions are valid for all sufficiently large |a|. Let us now pass to a subsequence of the (a_{γ}) such that each series for $z_j(a_{\gamma})$ converges and each $\arg(z_j(a_{\gamma}))$ is constant (recall that there are only a finite number of values possible). Define $-\pi \le \varepsilon_j(\gamma) < \pi$ by

(2)
$$\arg (z_j(a_r)) \equiv (k^{-1} \arg (a_r) + jk^{-1}(2\pi) + \varepsilon_j(\gamma)) \mod 2\pi$$
,

for each $1 \le j \le k$. Note that for each $1 \le j_1, j_2 \le k$

(3)
$$arepsilon_{j_1}(\gamma) - arepsilon_{j_2}(\gamma) \equiv (\arg (z_{j_1}(a_{\gamma})) - \arg (z_{j_2}(a_{\gamma})) - (j_1 - j_2)k^{-1}2\pi) \mod 2\pi$$
,

and the right hand side above is a constant. Also each $\lim_{r\to\infty} \varepsilon_j(\gamma) = 0$ since $\rho^j(a_r)^{k-1}$ is the dominant term of the expansion for $z_j(a_r)$ about infinity. Thus each $\lim_{r\to\infty} (\varepsilon_{j_1}(\gamma) - \varepsilon_{j_2}(\gamma)) = 0 - 0 = 0$, so every $\varepsilon_{j_1}(\gamma) - \varepsilon_{j_2}(\gamma) = 0$ modulo 2π .

We now require that each $|a_{\gamma}|$ be sufficiently large to guarantee that every $|\varepsilon_j(\gamma)| < k^{-1}\pi/2$. Then every $\varepsilon_{j_1}(\gamma) - \varepsilon_{j_2}(\gamma) = 0$. Set $\varepsilon(\gamma) = \varepsilon_1(\gamma) = \cdots$ $= \varepsilon_k(\gamma)$. Since $\pm a_{\gamma} = \prod_{j=1}^k z_j(a_{\gamma})$ we have $\arg(a_{\gamma}) \equiv \arg(a_{\gamma}) + (k-1)\pi + k\varepsilon(\gamma) \mod \pi$, so $k\varepsilon(\gamma) \equiv 0 \mod n$. Thus $\varepsilon(\gamma) = 0$ for all sufficiently large γ . Then by (2) with each $\varepsilon_j(\gamma) = 0$ we see that $\arg(a_{\gamma})$ is a constant on our subsequence. (This proves the statement needed in the proof of (ii).) From now on we assume that k > 2, since there is nothing to prove if k = 2. Also we have from (2) that, for each $1 \le j \le k$,

(4)
$$\arg(z_j(a_r)) \equiv (k^{-1}(\arg(a_r)) + jk^{-1}(2\pi)) \mod 2\pi$$
.

Equation (4) says that each $z_j(a_r)$ has an argument equal to the argument of the dominant term in its expansion about $a_r = \infty$. We shall next show by induction that for all non-negative integers $n, b_{-n} = 0$ unless k divides 2(n + 1). Further if $b_{-n} \neq 0$, then, for sufficiently large γ , arg $(b_{-n}(\rho^j a_r^{k-1})^{-n}) \equiv \arg(\rho^j a_r^{k-1}) \mod n \pi$. (Actually, we are only interested in proving the first statement but the second statement is needed in order to make the induction go through.) Since k > 2 we must show that $b_0 = 0$. Suppose $b_0 \neq 0$, then for sufficiently large γ we see that $z_j(a_r) - \rho^j(a_r)^{k-1}$ does not vanish so

$$k^{-1}(\arg (a_r) + j(2\pi)) \equiv \lim_{r \to \infty} (\arg (z_j(a_r)) - \rho^j(a_r)^{k-1})$$

 $\equiv \arg (b_0) \mod \pi$,

for each $0 \le j \le k-1$. Since k > 2 this is impossible. Thus $b_0 = 0$. Now assume the induction assumption for all $0 \le l \le n-1$ and that $b_{-n} \ne 0$. If γ is sufficiently large $z_j(a_{\gamma}) - \sum_{l=0}^{n-1} b_{-l}(\rho^j a_j^{k-1})^{-l} \ne 0$ so that we have

(5)

$$k^{-1}(\arg (a_{r}) + j(2\pi)) \equiv \arg (z_{j}(a_{r})) \mod 2\pi$$

$$\equiv \arg (z_{j}(a_{r}) - \sum_{l=0}^{n-1} b_{-l}(\rho^{j}a_{r}^{k-1})^{-l}) \mod n$$

$$\equiv \arg (b_{-n}(\rho^{j}a_{r}^{k-1})^{-n}) .$$

This proves the second statement in our induction assumption. Also we see from (5) that

$$k^{-1}((\arg(a_r))(n+1) + j(2\pi)(n+1)) \equiv \arg(b_{-n}) \mod \pi$$

Setting j = 1, 0 and subtracting we see that $k^{-1}2(n + 1)(\pi) \equiv 0 \mod \pi$. Therefore k divides 2(n + 1) if $b_{-n} \neq 0$. This completes the proof by induction.

We know that $p(z) - a = \prod_{j=1}^{k} (z - z_j(a))$ and that each

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$$\begin{aligned} z_j(a) &= \rho^j a^{k^{-1}} + b_{-(\frac{1}{2}k-1)} (\rho^j a^{k^{-1}})^{-(\frac{1}{2}k-1)} + b_{-(k-1)} (\rho^j a^{k^{-1}})^{-(k-1)} \\ &+ O((a^{k^{-1}})^{-(\frac{3}{2}k-1)}) , \end{aligned}$$

where the last term indicates an infinite number of terms of order $(a^{k^{-1}})^{-(\frac{3}{2}k^{-1})}$ and lower. Since the coefficients of p(z) are independent of a, if we put in the different series for the $z_j(a)$ in $\prod_{i=1}^{k} (z - z_j(a))$ and find the total coefficient of $a^{0}z^{l} = z^{l}$, for 0 < l < k - 1, we will have the coefficient of z^{i} in p(z). Our statement which must be demonstrated is that this coefficient vanishes if above $l \neq \frac{1}{2}k$. We shall show that it is impossible to find a term in the product above which equals a coefficient times $a^{0}z^{l}$, if 0 < l < k-1 and $l \neq \frac{1}{2}k$. It is clearly impossible to obtain such a term if we choose any factor from $O((a^{k-1})^{-(\frac{3}{2}k-1)})$. Also choosing a factor of $(\rho^{j}a^{k-1})^{-(k-1)}$, for any $1 \leq j \leq k$, forces us to choose k-1factors of the form $(\rho^{j_1}a^{k-1})$ and forces l to be zero. Thus the problem reduces to showing that one cannot find two non-negative integers h_1 and h_2 such that $0 < h_1 + h_2 < k$ and $(a^{k-1})^{h_1}(a^{k-1})^{-h_2(\frac{1}{2}k-1)}) = a^0 = 1$ unless $h_1 + b_2 < k$ $h_2 = rac{1}{2}k$. Since k > 2, h_2 can equal only either 1 or 2. If $h_2 = 1$, then $h_1 = \frac{1}{2}k - 1$, so $h_1 + h_2 = \frac{1}{2}k$. If $h_2 = 2$ then $h_1 = k - 2$ so $h_1 + h_2 = k$, contrary to our assumption. This proves Lemma I.

LEMMA II. If α , β , γ are complex constants with $\beta\gamma \neq 0$ and n is a positive integer then $y = \gamma z (e^{\alpha z^n} + e^{\beta z^n})$ takes on all values.

Proof. Suppose the statement is false. Then, by a result of Borel [1], one will obtain a contradiction. We leave the details to the reader.

LEMMA III. The function $y = \gamma z(e^{\alpha z^n} + e^{\beta z^n})$ cannot be written in the form p(g) where g is entire, p is any nonzero, nonlinear polynomial, n is a positive integer, $\beta \gamma \neq 0$, and $\alpha \beta^{-1}$ is real.

Proof. We shall assume that y = p(g) where y, g, and p = p(w) are as above. This will lead us to the conclusion that y takes on at least one value infinitely often with *multiplicity larger than one*; however, this latter conclusion will subsequently be shown to be false. Since p(w)is nonlinear, p'(w) = 0 has at least one solution, w_0 . Thus when g(z) = w_0 we have that $y(z) = p(w_0)$ and has multiplicity greater than one. If p'(w) = 0 has two or more solutions g cannot omit both roots, hence ymust take on the value of $p(w_0)$ infinitely often with multiplicity greater than one, for some w_0 such that $p'(w_0) = 0$. If w_0 is the only root of p'(w) = 0 then $p(w) = p^{(k)}(w_0)(k!)^{-1}(w - w_0)^k + p(w_0)$ for some positive integer $k \ge 2$. Then either g takes on the value w_0 infinitely often (so that y takes on the value $p(w_0)$ infinitely often with multiplicity greater than one) or g takes on the value w_0 only finitely often (so y takes on the value $p(w_0)$ only finitely often, since $p(w) - p(w_0)$ has only one zero). By Lemma II y does not omit any values, therefore y does assume some value $a = p(w_0)$ infinitely often with multiplicity greater than one. We shall next show that this is impossible.

It is necessary first to dispose of the special cases when $\alpha = 0$ or $\alpha = \beta$. Suppose $\alpha = 0$. Then replacing z by $\sqrt[n]{\beta} z$ and then p(w) by $(\gamma(\sqrt[n]{\beta})^{-1})^{-1}p(w)$ we may assume, without loss of generality, that $y = z(e^{z^n} + 1)$. (Similarly, if $\alpha\beta^{-1} = 1$, we may assume that $y = ze^{z^n}$.) Notice that $a \neq 0$, since if $z \neq 0$, $z(e^{z^n} + 1) = 0$, and $nz^n e^{z^n} + (e^{z^n} + 1) = 0$ we would have that $e^{z^n} = 0$. If $a \neq 0$ then, for all nonzero z, if y(z) = a and y'(z) = 0 we have $0 = (y'(z))(y(z))^{-1} = z^{-1} + nz^{n-1}e^{z^n}(e^{z^n} + 1)^{-1} = z^{-1} + nz^n e^{z^n}a^{-1} = z^{-1} + nz^{n-1}(a - z)a^{-1} = z^{-1} + nz^{n-1} - na^{-1}z^n$. For fixed $a \neq 0$ this equation has at most n + 1 distinct solutions. Suppose that $ze^{z^n} = a$, $e^{z^n} + nz^n e^{z^n} = 0$, and $z \neq 0$. Then $z^{-1}a + nz^{n-1}a = 0$. Since $z \neq 0$ we see that $a \neq 0$. Thus we have $z^{-1} + nz^{n-1} = 0$ which can have at most n distinct solutions.

If $\alpha\beta\gamma \neq 0$ and $\alpha\beta^{-1} \neq 1$, then without loss of generality we may take y to be of the form $y = z(e^{\lambda z^n} + e^{z^n})$ where $\lambda < 1$ but $\lambda \neq 0$. Suppose a = 0. Then requiring that $z \neq 0$, the equations $z(e^{\lambda z^n} + e^{z^n}) = 0$ and $(e^{\lambda z^n} + e^{z^n}) + nz^n(\lambda e^{\lambda z^n} + e^{z^n}) = 0$ imply that $e^{\lambda z^n} = e^{z^n} = 0$. This contradiction shows that $a \neq 0$. Now assuming that $a \neq 0$ and $z \neq 0$ we have $0 = z^{-1} + nz^n(\lambda e^{\lambda z^n} + e^{z^n})(z(e^{\lambda z^n} + e^{z^n}))^{-1} = z^{-1} + nz^{n-1}a^{-1}(a + z(\lambda - 1)e^{\lambda z^n})$. Then $e^{\lambda z^n} = a(1 + nz^n)(nz^{n+1}(1 - \lambda))^{-1}$, so substituting back in $z(e^{\lambda z^n} + e^{z^n}) = a$ we have

$$z(a(1 + nz^n)(nz^{n+1}(1 - \lambda))^{-1}) + z(a(1 + nz^n)(nz^{n+1}(1 - \lambda))^{-1})^{\lambda^{-1}} = a,$$

for an appropriate choice of the λ -th root above. Regardless of this choice, however, we see upon taking absolute values that $\infty > |a| \ge |z| \cdot |a(1 + nz^n)(nz^{n+1}(1 - \lambda))^{-1}|^{\lambda^{-1}} - |z| \cdot |a(1 + nz^n)(nz^{n+1}(1 - \lambda))^{-1}|$. As |z| goes to infinity the first term on the right hand side above goes to $+\infty$ while the second term remains bounded. This contradiction proves Lemma III.

The following lemma is essentially an observation out of Goldstein's proof of Theorem 1.

LEMMA IV. Let $F(z) = ze^{z^k}(e^{az^k} + 1)$, where k is a positive integer and a is a positive real number. Then F is E-pseudo prime.

Sketch of the proof. Set

$$K(z) = (e^{az^k} + 1) .$$

Then $\delta(-1, K) = 1$, and so by virtue of a result of Edrei and Fuchs [2, pp. 281–283] the estimate [2, p. 281] holds for K along a sequence of arcs and segments. Now we note along *those arcs* and segments e^{z^k} is bounded. Hence the mentioned estimate holds not only for K but also for F(z). Then following Goldstein's argument we will arrive at the conclusion.

3. Proof of Theorem2.

First of all, it is easy to verify that for any non-zero constants λ_1 and λ_2 and any positive integer $k, F(z) = ze^{\lambda_1 z^k}(e^{\lambda_2 z^k} + 1)$ cannot be periodic. Thus by virtue of a result of the first author [5], we need only to show that F is *E*-prime.

When c = 0 or c = 1 we choose $F = z(e^{z^k} + 1)$ or $F = ze^{z^k}$, respectively, and it is easy to verify that they are all prime functions of order k. Therefore, we restrict ourselves to the case 0 < c < 1.

Let us choose

(6)
$$F(z) = z e^{\lambda_1 z^k} (e^{\lambda_2 z^k} + 1)$$
,

where $\lambda_1 > 0$ and $\lambda_2 > 0$ are chosen such that $\frac{\lambda_1}{\lambda_1 + \lambda_2} = c$. We claim that f(z) is *E*-prime with $\delta(0, F) = c$. We first show that *F* is *E*-prime. *F* is *E*-pseudo prime by virtue of Lemma IV. By Lemma III, *F* also cannot assume the form F = p(g) with *p* a polynomial and *g* transcendental entire. Thus we only need to consider the possibility that *F* can be factorized as

(7)
$$F(z) = g(p(z)),$$

where g is transcendental, and p is a nonlinear polynomial. We may assume without loss of generality that p(0) = 0 and that the leading coefficient of p is one.

Now, according to Lemma 1,

(8)
$$p(z) = z^{n/2}(z^{n/2} + b)$$
.

where n is an integer and b a constant. We claim that n = 1. Suppose that $n \ge 2$. Then from (7) and (8) we have

(9)
$$F(z) = z e^{\lambda_1 z^k} (e^{\lambda_2 z^k} + 1) \equiv g(z^{n/2} (z^{n/2} + b)) .$$

Now if $b \neq 0$, then *n* has to be even. Let us substitute *z* by ζz into identity (9) where ζ is a (n/2)-th root of unity other than one when n > 2, and substitute *z* by -z - 6 when n = 2. Then by Borel's result mentioned earlier one will obtain a contradiction. If b = 0, then *n* can be even or odd. We again substitute *z* by ζz into identity (9) and obtain a contradiction unless n = 1 which means p(z) is linear. Thus we have also excluded the possibility (7). Hence *F* is *E*-prime, therefore is also prime.

Now we proceed to show that $\delta(0, F) = c$. Let us choose a non-negative number λ such that $\lambda + \lambda_1 = n\lambda_2$, n a positive integer.

Multiplying F by e^{iz^k} we have

(10)
$$H(z) = e^{\lambda z^{k}} F = z e^{n \lambda_{2} z^{k}} (e^{\lambda_{2} z^{k}} + 1) ,$$

 \mathbf{or}

(11)
$$H(z) = z f^n(z)(f(z) + 1),$$

where $f(z) = e^{\lambda_2 z^k}$.

According to a result of Hayman [6, p. 7]

(12)
$$T(r, H) = T(r, zf^{n}(z)(f(z) + 1)) \sim T\{r, f^{n}(z)(f(z) + 1)\}$$
$$\sim (n + 1)T(r, f) \sim \frac{(n + 1)\lambda_{2}}{\pi}r^{k}, \quad \text{as } r \to \infty$$

Now we have by Nevanlinna's first fundamental theorem and equation (10) that

(14)

$$T(r, F) = F(r, He^{-\lambda z^{k}})$$

$$\geq T(r, H) - T(r, e^{-\lambda z^{k}}) + O(1)$$

$$\geq \frac{(n+1)\lambda_{2}}{\pi}r^{k} - \frac{\lambda}{\pi}r^{k} + O(1)$$

$$= \frac{(n\lambda_{2} + \lambda_{2} - \lambda)}{\pi}r^{k} + O(1)$$

$$= \frac{\lambda_{1} + \lambda_{2}}{\pi}r^{k} + O(1) .$$

On the other hand

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(14)

$$T(r, F) = T(r, ze^{\lambda_{1}z^{k}}(e^{\lambda_{2}z^{k}} + 1))$$

$$\leq T(r, e^{\lambda_{1}z^{k}}) + T(r, e^{\lambda_{2}z^{k}}) + O(\log r)$$

$$\sim \frac{\lambda_{1}}{\pi}r^{k} + \frac{\lambda_{2}}{\pi}r^{k} + O(\log r)$$

$$= \frac{\lambda_{1} + \lambda_{2}}{\pi}r^{k} + O(\log r) .$$

Thus from (13), (14), and noticing the fact that F is transcendental, we conclude

(15)
$$T(r,F) \sim (1+o(1))\frac{(\lambda_1+\lambda_2)}{\pi}r^k \quad \text{as } r \to \infty .$$

Now the counting function $N(r, \frac{1}{F})$ is equal to $N(r, \frac{1}{e^{i_2 z^k} + 1})$ which is asymptotic to $T(r, e^{i_2 z^k})$ by Nevanlinna's second fundamental theorem.

Thus from this and (15) we have

(16)
$$\delta(0,F) = 1 - \overline{\lim_{r \to \infty} \frac{N(r,1/F)}{T(r,F)}} = 1 - \overline{\lim_{r \to \infty} \frac{(\lambda_2/\pi)r^k}{((\lambda_1 + \lambda_2)/\pi)r^k}} = \frac{\lambda_1}{\lambda_1 + \lambda_2} = c.$$

The theorem is thus proved.

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Naval Research Laboratory