

CLUSTER SETS OF PSEUDO-MEROMORPHIC FUNCTIONS

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Let $w = f(z) = u(x, y) + iv(x, y)$ be an *interior transformation* in the sense of Stoilow²⁾ in an arbitrary domain D , i.e. $w = f(z)$ is continuous and single-valued in D , and unless constant takes open sets in D into open sets in the w -plane, and does not take any continuum (other than a single point) into a single point of the w -plane. Stoilow proved that such an interior transformation can be represented as

$$f(z) = \varphi(T(z))$$

where $T(z) = \xi$ is a topological mapping of D onto a domain D' and $w = \varphi(\xi)$ is a meromorphic function in D' . If the homeomorphism $\xi = T(z)$ is a quasi-conformal mapping³⁾ we shall call $w = f(z)$ a pseudo-meromorphic function and if in addition $w = \varphi(\xi)$ is analytic, we shall term $w = f(z)$ pseudo-analytic. (A point $z_0 \in D$ is a pole of order n of $w = f(z)$ if $\varphi(\xi)$ has a pole of order n at $\xi_0 = T(z_0)$); the definition of essential singularity for a pseudo-meromorphic function is given in an analogous fashion.

We shall restrict our attention to functions $w = f(z)$ defined and pseudo-meromorphic in $|z| < 1$. We make no assumptions about the unit circle $|z| = 1$, on which some of the points may be regular points, poles or essential singularities.

The cluster set of $f(z)$ at z_0 , $|z_0| = 1$, $C(f, z_0)$, is the set of all points α for which there exists a sequence $\{z_n\}$, $|z_n| < 1$, such that $\lim_{n \rightarrow \infty} z_n = z_0$ and $\lim_{n \rightarrow \infty} f(z_n) = \alpha$.

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²⁾ See Stoilow [10]. The numbers in brackets refer to the bibliography.

³⁾ A one to one function $w = f(z) = u(x, y) + iv(x, y)$ of class C^1 and positive Jacobian in a domain Ω is called quasi-conformal in Ω if there exists a constant $M \geq 1$ such that $E + G \leq 2M\sqrt{EG - F^2}$ in Ω , where $E = u_x^2 + v_x^2$, $F = u_x u_y + v_x v_y$ and $G = u_y^2 + v_y^2$. See Mori [6] for relations between this and other common definitions of quasi-conformal mappings.

Caratheodory [2] established for functions bounded and analytic in $|z| < 1$ an important theorem relating the cluster set at a point to the radial limit values at neighboring points. His techniques can be modified so as to yield the same result for pseudo-analytic functions. First a lemma will be proved.

LEMMA. *Let $w = f(z)$ be a bounded pseudo-analytic function in $|z| < 1$, $|f(z)| < M$. Let W_z denote the set of radial limit values, $W_z = \{w | w = \lim_{r \rightarrow 1} f(re^{i\theta}) = f^*(e^{i\theta}), e^{i\theta} \text{ on } |z| = 1\}$. Then $f(0)$ is contained in the closure of the convex hull of W_z , $f(0) \in \overline{\text{C. H. } \{W_z\}}$.*

Proof: Because the Riemann surface \Re of the inverse function $f^{-1}(w) = z$ is of hyperbolic type, let $\xi = \varphi^{-1}(w)$ be the function which maps \Re one-to-one conformally onto $|\xi| < 1$. The function $w = \varphi(\xi)$ is analytic in $|\xi| < 1$. Setting $\xi = \varphi^{-1}(w) = \varphi^{-1}(f(z)) = T(z)$ we see that $\xi = T(z)$ is a univalent pseudo-analytic function giving a quasi-conformal mapping of $|z| < 1$ onto $|\xi| < 1$. The function $w = \varphi(\xi)$ can be chosen so that $\varphi(0) = f(0)$ and hence $T(0) = 0$.

Since $w = \varphi(\xi)$ is a bounded analytic function in $|\xi| < 1$, there exist radial limit values $\lim_{r \rightarrow 1} \varphi(re^{i\theta}) = \varphi^*(e^{i\theta})$ for almost all $e^{i\theta}$. Let $W_\xi = \{w | w = \varphi^*(e^{i\theta}), e^{i\theta} \text{ on } |\xi| = 1\}$. From the well-known result of Carathéodory, $\varphi(0) \in \overline{\text{C. H. } \{W_\xi\}}$ and hence the result will follow after proving $W_\xi \subseteq W_z$. (Actually we'll prove $W_\xi = W_z$; this is interesting because the set of points on $|\xi| = 1$ for which the radial limit values of $\varphi(\xi)$ fail to exist is of measure zero while the set of points on $|z| = 1$ for which the radial limit values of $f(z)$ fail to exist may be of positive measure).

Let $f^*(e^{i\theta_0}) \in W_z$ and let $e^{i\beta} = T(e^{i\theta_0})$, (the quasi-conformal mapping $\xi = T(z)$ can be extended to give a homeomorphism between $|z| \leq 1$ and $|\xi| \leq 1$). The radius $R_{\theta=\theta_0}$ in $|z| < 1$ is mapped by $\xi = T(z)$ onto a Jordan arc L lying in $|\xi| < 1$ and terminating at $e^{i\beta}$ on $|\xi| = 1$. Since $w = \varphi(\xi) = f(T^{-1}(\xi))$ it follows that there exists the limit of $\varphi(\xi)$ as $\xi \rightarrow e^{i\beta}$ along L . By Lindelöf's theorem [7; p. 70] therefore, there exists the radial limit $\lim_{r \rightarrow 1} \varphi(re^{i\beta}) = \varphi^*(e^{i\beta}) = f^*(e^{i\theta_0})$. Therefore $f^*(e^{i\theta_0}) \in W_\xi$ and $W_z \subseteq W_\xi$.

To prove $W_\xi \subseteq W_z$, let $\varphi^*(e^{i\gamma}) \in W_\xi$. The radius $R_{\theta=\gamma}$ in $|\xi| < 1$ maps onto a Jordan arc λ in $|z| < 1$ terminating at $e^{i\delta}$. From $w = f(z) = \varphi(T(z))$ it follows that the limit of $f(z)$ as $z \rightarrow e^{i\delta}$ along λ exists and equals $\varphi^*(e^{i\gamma})$. From a recent extension of Lindelöf's theorem [11; p. 136] it follows as above that $f^*(e^{i\delta})$

$= \varphi^*(e^{i\tau})$ and so $W_z = W_z$ and the lemma is proved.

It might be appropriate to point out at this time that this result cannot be extended to interior transformations, even though they are one-to-one, without some bound on local distortion.

The transformation T_1 given by

$$\begin{cases} \varphi(x, y) = \left[\frac{-1}{6\left|y - \frac{1}{2}\right| - 4} \right] x + \left[\frac{6\left|y - \frac{1}{2}\right| - 3}{6\left|y - \frac{1}{2}\right| - 4} \right] \\ \psi(x, y) = y \end{cases}$$

maps the interior of the pentagon with vertices at $(0, 0)$, $(1, 0)$, $(1, 1)$, $(0, 1)$ and $\left(-3, \frac{1}{2}\right)$ homeomorphically onto the square with vertices at $(0, 0)$, $(1, 0)$, $(1, 1)$, $(0, 1)$ and the point $\left(-1, \frac{1}{2}\right)$ onto the point $\left(\frac{1}{2}, \frac{1}{2}\right)$. The transformation T_2 given by $\begin{cases} \phi(x, y) = x \\ \psi(x, y) = xy \end{cases}$ maps the interior of this square onto the interior of the triangle with vertices at $(0, 0)$, $(1, 0)$ and $(1, 1)$ and the point $\left(\frac{1}{2}, \frac{1}{2}\right)$ onto the point $\left(\frac{1}{2}, \frac{1}{4}\right)$. The transformation T_3 given by an appropriate conformal mapping (Schwarz-Christoffel transformation followed by linear fractional transformation if it is desired explicitly) maps the interior of this triangle onto the interior of the unit circle and the point $\left(\frac{1}{2}, \frac{1}{4}\right)$ onto the origin and the origin on the point $(1, 0)$.

The transformation $w = f(z)$ given by $f(z) = T_1^{-1}(T_2^{-1}(T_3^{-1}(z)))$ sends $|z| < 1$ homeomorphically onto the interior of the pentagon, $f(0) = -1 + \frac{i}{2} \dots$. Except for $e^{i0} = 1$, the radial limits of $f(z)$ exist and lie on the lines joining $(0, 0)$ to $(1, 0)$, $(1, 0)$ to $(1, 1)$ and $(1, 1)$ to $(0, 1)$. Clearly $f(0)$ does not belong to the closure of the convex hull of the radial limit values.

For a bounded pseudo-analytic function in $|z| < 1$, $w = f(z) = \varphi(T(z))$, a point $\alpha \in C(f, e^{i0})$ if and only if $\alpha \in C(\varphi, T(e^{i0}))$. The set of radial limit values of $f(z)$ on an arc A of $|z| = 1$ equals the set of radial limit values of $\varphi(\xi)$ on $T(A)$ since the two limits

$\lim_{r \rightarrow 1} f(re^{i0})$ and $\lim_{r \rightarrow 1} \varphi(rT(e^{i0}))$ either simultaneously exist and are equal, or both fail to exist. By the technique above, Carathéodory's theorem can thus be extended to pseudo-analytic functions in the following form:

THEOREM: *If $w = f(z)$ is a bounded pseudo-analytic function in $|z| < 1$, then the cluster set of $f(z)$ at $e^{i\theta_0}$, $C(f, e^{i\theta_0})$, is contained in the closure of convex hull of the radial limit values⁴⁾ (where they exist) on any arc $A = \{e^{i\theta} | \theta_1 < \theta < \theta_2\}$ of which $e^{i\theta_0}$ is an interior point,*

$$C(f, e^{i\theta_0}) \subseteq \overline{\text{C. H. } \{W_z(A)\}}.$$

Certain subsets of the cluster set $C(f, e^{i\theta})$ will be of value to us in describing the behaviour of a function near the boundary of its domain of definition. The boundary cluster set $C_B(f, e^{i\theta_0})$ of $f(z)$ at $e^{i\theta_0}$ is defined in this manner:

$$C_B(f, e^{i\theta_0}) = \bigcap_{\eta > 0} \left\{ \bigcup_{0 < |\theta - \theta_0| < \eta} C(f, e^{i\theta}) \right\}$$

For a set E of logarithmic capacity zero on $|z| = 1$, the boundary cluster set of $f(z)$, modulo E , at $e^{i\theta_0}$ is defined in this manner:

$$C_{B-E}(f, e^{i\theta_0}) = \bigcap_{\eta > 0} \left\{ \bigcup_{\substack{0 < |\theta - \theta_0| < \eta \\ e^{i\theta} \notin E}} C(f, e^{i\theta}) \right\}$$

The radial cluster set $C_p(f, e^{i\theta})$ is that subset of $C(f, e^{i\theta})$ obtained by requiring the sequence $\{z_n\}$ to lie on the radius to $e^{i\theta}$. The radial boundary cluster set of $f(z)$, modulo E , at $e^{i\theta_0}$ is defined as follows:

$$C_{R-E}(f, e^{i\theta_0}) = \bigcap_{\eta > 0} \left\{ \bigcup_{\substack{0 < |\theta - \theta_0| < \eta \\ e^{i\theta} \notin E}} C_p(f, e^{i\theta}) \right\}$$

It was stated in [8] that Ohtsuka had proved that every value of $C(f, e^{i\theta_0}) - C_B(f, e^{i\theta_0})$ is assumed by a pseudo analytic function $f(z)$ infinitely often in any neighborhood of $e^{i\theta_0}$ except for a set of measure zero, extending a result of Kametani-Tsuji ([4], [12], and [13]). In a very interesting recent paper, *On the theorems of Gross and Iversen*, Lohwater [5] proved several results concerning the larger set $C(f, e^{i\theta_0}) - C_{R-E}(f, e^{i\theta_0})$ for meromorphic $f(z)$. We also would like to call attention to the paper of Woolf [16] who announces some related results. We shall now prove two theorems which are modifications of Lohwater's results. In 1953 Noshiro [8] pointed out the need for extending the result of Kametani-Tsuji and his own results (see Theorem 6 of

⁴⁾ Recall that the radial limit may fail to exist on a subset of positive measure of the arc A .

[8])^{*}.

THEOREM. *If $w = f(z)$ is pseudo-meromorphic in $|z| < 1$ and if E is an arbitrary set of capacity zero on $|z| = 1$, then every value of $C(f, e^{i\theta_0}) - C_{R-E}(f, e^{i\theta_0})$ is assumed by $f(z)$ in any neighborhood of $e^{i\theta_0}$ except possibly for a set of capacity zero.*

Assume there exists a point $e^{i\theta_0}$ on $|z| = 1$ and a closed set $\mathfrak{F} \subseteq C(f, e^{i\theta_0}) - C_{R-E}(f, e^{i\theta_0})$, $\text{cap } \mathfrak{F} > 0$, such that no point of \mathfrak{F} is assumed infinitely often in some neighborhood of $e^{i\theta_0}$. There is clearly no loss of generality in assuming that $w = 0$ and $w = \infty$ are elements of \mathfrak{F} and the portion of \mathfrak{F} lying in the circle $|w| < \delta$ has positive capacity for every $\delta > 0$. Since neither 0 nor ∞ is assumed infinitely often in some neighborhood of $e^{i\theta_0}$ we can find ρ_0 such that $f(z)$ is different from 0 and ∞ in $V_{\rho_0} = \{z \mid |z - e^{i\theta_0}| < \rho_0\}$. We can further find $\eta_0 > 0$ and $\varepsilon_0 > 0$ such that $\liminf_{r \rightarrow 1} |f(re^{i\theta})| > \varepsilon_0 > 0$ for all θ in $0 < |\theta - \theta_0| < \eta_0$ such that $e^{i\theta}$ does not belong to E . If not, there would exist a sequence $\{\theta_k\}$ such that $\lim_{k \rightarrow \infty} \theta_k = \theta_0$ and such that $\lim_{k \rightarrow \infty} \liminf_{r \rightarrow 1} |f(re^{i\theta_k})| = 0$. This implies that $0 \in \bigcup_{\substack{0 < |\theta - \theta_0| < \eta \\ e^{i\theta} \notin E}} C_p(f, e^{i\theta})$ for every $\eta < \eta_0$ and hence by forming the intersection over all $\eta > 0$ we see that $0 \in C_{R-E}(f, e^{i\theta_0})$, and therefore 0 is not an element of $C(f, e^{i\theta_0}) - C_{R-E}(f, e^{i\theta_0})$.

Consider the open set H_n , $H_n = \{z \mid |z| < 1, |f(z)| < \frac{1}{n}\}$, for $\frac{1}{n} < \varepsilon_0$. We shall show that there exists a value of n such that at least one component G of H_n is contained completely in V_{ρ_0} . Since $0 \in C(f, e^{i\theta_0})$, there are points of H_n in every neighborhood of $e^{i\theta_0}$, so that if no component of H_n lies wholly in V_{ρ_0} , we can find a point in $V_{\rho_0/2}$ and a point of $|z - e^{i\theta_0}| = \rho_0$ which are joined by a continuum \mathfrak{R}_1 of the frontier of H_{n+1} , $Fr(H_{n+1})$, a point of $V_{\rho_0/2^2}$ and a point of $|z - e^{i\theta_0}| = \rho_0$ which are joined by a continuum \mathfrak{R}_2 of $Fr(H_{n+2})$ and, in general a point of $V_{\rho_0/2^p}$ and a

$e^{i\theta_0}$ to a point of $|z - e^{i\theta_0}| = \rho_0$. Since \mathbb{R}_{n+p} is a part of the level curve $|f(z)| = \frac{1}{n+p}$, no point of \mathbb{R}_0 can lie inside the unit circle since then $f(z) = 0$ on a non-degenerate continuum which is impossible since $w = f(z)$ is an interior transformation. Therefore \mathbb{R}_0 is an arc of $|z| = 1$ containing $e^{i\theta_0}$, and every radius of $|z| < 1$ terminating at an interior point of \mathbb{R}_0 must cross infinitely many of the $\{\mathbb{R}_{p_j}\}$; so that $0 \in C(f, e^{i\theta})$ for every $e^{i\theta} \in \mathbb{R}_0$ which contradicts our assumption that $0 \in C(f, e^{i\theta_0}) - C_{R-E}(f, e^{i\theta_0})$. Thus there exists at least one integer n with $\frac{1}{n} < \varepsilon_0$ such that at least one component G of H_n lies wholly in V_{ρ_0} .

It is an immediate consequence of the maximum and minimum modulus principles for $f(z)$ that G is simply connected and that the intersection $M = \bar{G} \cap \{|z| = 1\}$ is non-empty. We shall prove that the frontier of G , $Fr(G)$, is locally connected. Now that part of $Fr(G)$ lying inside $|z| < 1$ consists of a piecewise smooth curve because it is the locus of points where $|f(z)| = \frac{1}{n}$. If P is a point of M , and if $Fr(G)$ is not locally connected at P , then, by a well-known theorem [15; p. 19], there exists a non-degenerate subcontinuum H of $Fr(G)$ containing P and such that $Fr(G)$ is not locally connected at any point of H . Since H must lie on $|z| = 1$, it follows that H is an arc of $|z| = 1$. Moreover, there exists [15; p. 18] a circular neighborhood $V(P)$ of P and a sequence of mutually disjoint components N_1, N_2, N_3, \dots of $Fr(G) \cap \bar{V}(P)$ converging to a nondegenerate limiting arc $N \subset H$ containing P . If R is a circular neighborhood the midpoint of N , of radius less than one-fourth the length of N , it follows that a radius of $|z| < 1$ drawn to any point Q of that sub-arc N_0 cut out of N by R must cross the components N_j of $Fr(G) \cap \bar{V}(P)$ arbitrarily close to Q . Along such a radius of $|z| < 1$ we have $\liminf_{r \rightarrow 1} |f(re^{i\theta})| \leq \frac{1}{n} < \varepsilon_0$, which contradicts the assumption that

$$\liminf_{r \rightarrow 1} |f(re^{i\theta})| > \varepsilon_0$$

for all θ in $0 < |\theta - \theta_0| < \eta$ such that $e^{i\theta}$ does not belong to E .

To prove the set $M = Fr(G) \cap \{|z| = 1\}$ has logarithmic capacity zero we denote by \tilde{E} the complement of E on $|z| = 1$, and consider the decomposition of the set M , $M = (M \cap E) \cup (M \cap \tilde{E})$. Since E and therefore $M \cap E$ has capacity zero it will suffice to prove $M \cap \tilde{E}$ has capacity zero. In G , $|f(z)|$

$< \frac{1}{n}$, so for $e^{i\theta} \in M$, $\limsup_{z \rightarrow e^{i\theta}} |f(z)| \leq \frac{1}{n}$, while for $e^{i\theta} \in \tilde{E}$, $\liminf_{r \rightarrow 1} |f(re^{i\theta})| > \varepsilon_0 > \frac{1}{n}$. Because $Fr(G)$ is locally connected, each point is arcwise accessible from G , and along any arc of G terminating at a point of M , the curvilinear cluster set⁶⁾ of $|f(z)|$ can contain no number greater than or equal to $\frac{1}{n}$. The radial cluster set of $|f(z)|$ at points of \tilde{E} can contain no point of modulus less than or equal to ε_0 . By a result of Bagemihl⁷⁾, $M \cap \tilde{E}$ is at most denumerable and consequently has logarithmic capacity zero.

If the function $z = z(\xi)$ maps $|\xi| < 1$ one-to-one conformally onto G , then the function the composition function $F(\xi) = nf(z(\xi))$ is a bounded pseudo-analytic function in $|\xi| < 1$, $|F(\xi)| < 1$. Since the image M_z of M under $z = z(\xi)$ has capacity zero [14 p. 347], the function $F(\xi)$ has radial limits of modulus 1 for all $e^{i\theta}$ except for a set of capacity zero. From a recent result of the author (see Theorem 6 of [11]) it must assume in $|\xi| < 1$ all values in $|w| < 1$ except possibly a set of capacity zero. That these values are assumed infinitely often follows from the factorization of $F(\xi) = \varphi(T(\xi))$ into a composition of a quasi-conformal mapping of $|\xi| < 1$ onto $|\zeta| < 1$ and a bounded analytic function, $w = \varphi(\zeta)$, $|\varphi(\zeta)| < 1$. The function $w = \varphi(\zeta)$ has radial limits of modulus 1 for all $e^{i\theta}$ except for a set of capacity zero, and because it is neither constant nor a finite Blaschke product, by a theorem of Frostman [3] we can conclude it assumes infinitely often in $|\zeta| < 1$ all values in $|w| < 1$ except for a set of capacity zero and hence so does $F(\xi)$. Since ρ_0 may be taken arbitrarily small, the theorem is proved.

The relationship between exceptional values and asymptotic values is described in the following result.

THEOREM. *If $w = f(z)$ is a pseudo-meromorphic function in $|z| < 1$ and if E is an arbitrary set of capacity zero on $|z| = 1$ and if a value α of $C(f, e^{i\theta_0}) - C_{R-E}(f, e^{i\theta_0})$ is not assumed by $f(z)$ in some neighborhood of $e^{i\theta_0}$ then α is an asymptotic value of $f(z)$ either at $e^{i\theta_0}$ or else at a sequence of points having $e^{i\theta_0}$ as a limit point.*

From the proof of the previous theorem it follows that we may assume

⁵⁾ The subset of cluster set obtained by restricting the z_n to lie on the arc.

⁶⁾ See Theorem 2 of [1; p. 380].

that the omitted value is $\alpha = 0$, and that there exists a neighborhood V_{ρ_0} of $e^{i\theta_0}$ such that $\liminf_{r \rightarrow 1} |f(re^{i\theta})| > \varepsilon_0 > 0$ for all $e^{i\theta}$ in $0 < |\theta - \theta_0| < \eta$ such that $e^{i\theta}$ does not belong to E . There exists an integer n for which at least one component G of the open set $H_n = \{z \mid |z| < 1, |f(z)| < \frac{1}{n} < \varepsilon_0\}$ is completely contained in V_{ρ_0} .

For any n , the component G must contain at least one component of H_{n+1} , for otherwise in G the inequality $\frac{1}{n+1} \leq |f(z)| < \frac{1}{n}$ would be valid with $|f(z)| = \frac{1}{n}$ at all points of $Fr(G)$ except for a set $\gamma \cap \lambda$ of capacity zero on the outer contour γ of G . Thus the extended maximum principle for pseudo-analytic functions [11, p. 133] is applicable and since $\frac{1}{|f(z)|} \leq n+1$ for all points of G and $\limsup \left| \frac{1}{f(z)} \right| \leq n$ except for a set of capacity zero, we conclude that $\left| \frac{1}{f(z)} \right| < n$ in G hence $|f(z)| > \frac{1}{n}$ which contradicts the structure of the region. Consequently we can construct a nested sequence of components $G = G_0 \supset G_1 \supset G_2 \supset G_3 \supset \dots \supset G_k \supset \dots$, $G_k \subset H_{n+k}$. The intersection $\bigcap \overline{G_k}$ must consist of a single point on $|z| = 1$; for, otherwise, this intersection must be a continuum. If this continuum lies on $|z| = 1$, we would then contradict our assumption that $\liminf_{r \rightarrow 1} |f(re^{i\theta})| > \varepsilon_0$ for all $e^{i\theta}$ with $0 < |\theta - \theta_0| < \eta$ such that $e^{i\theta}$ does not belong to E . If part of this continuum lies in $|z| < 1$, we contradict the assumption that $f(z) \neq 0$ in V_{ρ_0} .

We now choose a sequence of points $\{z_k\}$, $z_k \in G_k$ and form simple arc l (or polygonal path) connecting z_1 with each z_k , lying in the nested sequence of components $G_1 \supset G_2 \supset \dots \supset G_k \supset \dots$, such that it terminates at the point $q = \bigcap G_k$ on $|z| = 1$. Clearly $f(z) \rightarrow 0$ as $z \rightarrow q$ along l . Since ρ_0 may be taken arbitrarily small, we have 0 as an asymptotic value of $f(z)$ either at $e^{i\theta_0}$ or at a sequence of points on $|z| = 1$ having $e^{i\theta_0}$ as a limit point.

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