

HOMEOMORPHISMS OF ZERO-DIMENSIONAL SPACES

By

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Dedicated to Professor Yukihiro Kodama on his 60th birthday

1. Introduction.

All spaces considered in this paper are assumed to be compact and metrizable.

Let φ be a homeomorphism from a space (X, d) onto itself. Then φ is *expansive* if there is $c > 0$ such that for every $x, y \in X$ with $x \neq y$ there is $n \in \mathbf{Z}$ for which $d(\varphi^n(x), \varphi^n(y)) > c$. Given $\delta > 0$, a sequence $\{x_i : i \in \mathbf{Z}\}$ is a δ -*pseudo-orbit* of φ if $d(\varphi(x_i), x_{i+1}) < \delta$ for every $i \in \mathbf{Z}$. Given $\varepsilon > 0$, a sequence $\{x_i : i \in \mathbf{Z}\}$ is ε -*traced* by a point $y \in X$ if $d(\varphi^i(y), x_i) < \varepsilon$ for every $i \in \mathbf{Z}$. We say that φ has the *pseudo orbit tracing property* (abbrev. P.O.T.P.) if for every $\varepsilon > 0$ there is $\delta > 0$ such that every δ -pseudo-orbit of φ can be ε -traced by some point of X .

For a space (X, d) we denote by $\mathcal{H}(X)$ the space of all homeomorphisms of X with the metric $\bar{d}(\varphi, \psi) = \max\{d(\varphi(x), \psi(x)) : x \in X\}$ for every $\varphi, \psi \in \mathcal{H}(X)$. Let $\mathcal{E}(X) = \{\varphi \in \mathcal{H}(X) : \varphi \text{ is expansive}\}$ and $\mathcal{P}(X) = \{\varphi \in \mathcal{H}(X) : \varphi \text{ has P.O.T.P.}\}$.

In Section 3 we are concerned with the Cantor set C . The Cantor set C is the unique zero-dimensional infinite group. N. Aoki [1] proved that every group automorphism of C has P.O.T.P. M. Sears [6] proved that $\mathcal{E}(C)$ is dense in $\mathcal{H}(C)$, constructing a dense subset \mathcal{A} of $\mathcal{E}(C)$ in $\mathcal{H}(C)$. M. Dateyama [3] proved that $\mathcal{P}(C)$ is dense in $\mathcal{H}(C)$, constructing a dense subset \mathcal{B} of $\mathcal{P}(C)$ in $\mathcal{H}(C)$. However, for the sets \mathcal{A} and \mathcal{B} above we have $\mathcal{A} \cap \mathcal{B} = \emptyset$. So it is unknown whether the set $\mathcal{E}(C) \cap \mathcal{P}(C)$ of all expansive homeomorphisms with P.O.T.P. of C is dense in $\mathcal{H}(C)$. In Section 3 we shall prove the following theorem.

THEOREM 1. *The set of all expansive homeomorphisms with P.O.T.P. of the Cantor set C is dense in $\mathcal{H}(C)$.*

We know [6] that $\mathcal{E}(C)$ is of first category. So $\mathcal{E}(C) \cap \mathcal{P}(C)$ is also of first category.

The convergent sequence is another standard zero-dimensional space, classed with the Cantor set. In Section 4 we shall prove the following theorem.

THEOREM 2. Let $S = \{0, 1, 1/2, 1/3, \dots\}$. Then

- (a) the set of all expansive homeomorphisms of S is dense in $\mathcal{H}(S)$,
- (b) the set of all homeomorphisms with P.O.T.P. of S is dense in $\mathcal{H}(S)$,
- (c) S has no expansive homeomorphism with P.O.T.P.

In Section 5 we shall construct a zero-dimensional space having no expansive homeomorphism.

2. Preliminaries.

Let $D^{\mathbb{Z}} = \prod \{D_i : i \in \mathbb{Z}\}$, where $D_i = \{0, 1\}$ for every $i \in \mathbb{Z}$. We define the metric d on $D^{\mathbb{Z}}$ by

$$d(x, y) = \begin{cases} 1/\min\{|k| : x_k \neq y_k\} & \text{if } x_0 = y_0 \\ 2 & \text{if } x_0 \neq y_0 \end{cases}$$

for every $x = (x_i), y = (y_i) \in D^{\mathbb{Z}}$.

Obviously, $(D^{\mathbb{Z}}, d)$ is homeomorphic to the Cantor set. For a homeomorphism of a compact metrizable space X it is clear that both expansiveness and P.O.T.P. do not depend on the choice of metrics on X . Thus we may regard $(D^{\mathbb{Z}}, d)$ as the Cantor set.

For every $i, j \in \mathbb{Z}$ with $i \leq j$ we put $D(i, j) = \prod \{D_k : i \leq k \leq j\}$ and for every $f \in D(i, j)$ we put $c^+(f) = j$ and $c^-(f) = i$. We define the order \leq on $\cup \{D(i, j) : i, j \in \mathbb{Z} \text{ with } i \leq j\} \cup D^{\mathbb{Z}}$ as follows: $f \leq g$ if and only if one of the following conditions holds; (1) $f = g$, (2) $f \in D(i, j)$, $g \in D(k, l)$, $k \leq i$, $j \leq l$ and $f_m = g_m$ for every m , $i \leq m \leq j$, (3) $f \in D(i, j)$, $g \in D^{\mathbb{Z}}$ and $f_m = g_m$ for every m , $i \leq m \leq j$, where $f = (f_i, f_{i+1}, \dots, f_j)$ for $f \in D(i, j)$ and $f = (\dots, f_{-1}, f_0, f_1, \dots)$ for $f \in D^{\mathbb{Z}}$. For every $f \in D(i, j)$ and any $n \in \mathbb{N}$ with $i \leq -n$ and $n \leq j$ (or for every $f \in D^{\mathbb{Z}}$ and any $n \in \mathbb{N}$) we put $f_{1n} = (f_{-n}, f_{-n+1}, \dots, f_n) \in D(-n, n)$. For every $f \in D(i, j)$ we put $A_f = p_{ij}^{-1}(f)$, where $p_{ij} : D^{\mathbb{Z}} \rightarrow D(i, j)$ is the projection.

If a space X is the union of a pairwise disjoint collection $\{X_\lambda : \lambda \in \Lambda\}$ of open-and-closed subsets of X , then we represent X as $X = \bigoplus \{X_\lambda : \lambda \in \Lambda\}$.

3. Proof of Theorem 1.

Let $\phi : D^{\mathbb{Z}} \rightarrow D^{\mathbb{Z}}$ be a homeomorphism and $\varepsilon > 0$. We shall construct an expansive homeomorphism φ with P.O.T.P. such that $\bar{d}(\phi, \varphi) = \max\{d(\phi(x), \varphi(x)) : x \in D^{\mathbb{Z}}\} < \varepsilon$.

We take $k, n \in \mathbb{N}$ such that $1/k < \varepsilon$ and $d(\phi(x), \phi(y)) < 1/k$ for every $x, y \in D^{\mathbb{Z}}$ with $d(x, y) < 1/n$.

Claim 1. For every $f \in D(-n, n)$ there are $h(f) \in D(-k, k)$ and $g(f) \in D(-l_1, l_2)$ for some $l_1, l_2 \in \mathbf{N}$, $i=1, 2$, satisfying the following three conditions;

- (a) $D^{\mathbf{Z}} = \bigoplus \{A_{g(f)} : f \in D(-n, n)\}$,
- (b) $\phi(A_f) \subset A_{h(f)}$,
- (c) $h(f) \leq g(f)$.

Proof of Claim 1. From $\text{diam } A_f < 1/n$ it follows that $\text{diam } \phi(A_f) < 1/k$. Since $D^{\mathbf{Z}} = \bigoplus \{A_h : h \in D(-k, k)\}$ and $d(A_h, A_{h'}) \geq 1/n$ for every $h, h' \in D(-k, k)$ with $h \neq h'$, there is $h(f) \in D(-k, k)$ such that $\phi(A_f) \subset A_{h(f)}$. For every $h \in D(-k, k)$ list $\{f \in D(-n, n) : h(f) = h\}$ as $\{f_{hi} : 1 \leq i \leq p_h\}$. For every $i, 1 \leq i \leq p_h$, we take $g_{hi} \geq h$ such that $A_h = \bigoplus \{A_{g_{hi}} : 1 \leq i \leq p_h\}$. Let us set $g(f_{hi}) = g_{hi}$ for every $h \in D(-k, k)$ and any $i, 1 \leq i \leq p_h$. Then $g(f)$ and $h(f)$ have all the required properties.

Next, we shall construct a homeomorphism $\varphi : D^{\mathbf{Z}} \rightarrow D^{\mathbf{Z}}$. For every $x \in D^{\mathbf{Z}}$ we define $\varphi(x)$ as follows.

Let $f = x_{1/n} \in D(-n, n)$ and $g(f) \in D(-l_1, l_2)$.

Case 1. $l_1 + l_2 \geq 2n$ and $l_2 \geq n$.

Let us set

$$(\varphi(x))_i = \begin{cases} (g(f))_i & \text{if } -l_1 \leq i \leq l_2 \\ x_{i+1} & \text{if } l_2 + 1 \leq i \\ x_{i+l_1+l_2+2} & \text{if } n-l_1-l_2-1 \leq i \leq -l_1-1 \\ x_{i-2n+l_1+l_2+1} & \text{if } i \leq n-l_1-l_2-2 \end{cases}$$

and

$$M^+(f) = 1 \quad \text{and} \quad M^-(f) = -2n + l_1 + l_2 + 1.$$

Case 2. $l_1 + l_2 < 2n$ and $l_1 \leq n$.

Let us set

$$(\varphi(x))_i = \begin{cases} (g(f))_i & \text{if } -l_1 \leq i \leq l_2 \\ x_{i+1} & \text{if } i \leq -n-2 \\ x_{i+2n+2} & \text{if } -n-1 \leq i \leq -l_1-1 \\ x_{i+2n-l_1-l_2+1} & \text{if } l_1+1 \leq i \end{cases}$$

and

$$M^+(f) = 2n - l_1 - l_2 + 1 \quad \text{and} \quad M^-(f) = 1.$$

Case 3. otherwise, i.e. $(l_1 + l_2 \geq 2n$ and $l_2 < n)$ or $(l_1 + l_2 < 2n$ and $l_1 > n)$.

In this case we have $l_2 < n < l_1$. Let us set

$$(\varphi(x))_i = \begin{cases} (g(f))_i & \text{if } -l_1 \leq i \leq l_2 \\ x_{i+n-l_2} & \text{if } l_2+1 \leq i \\ x_{i+l_1-n} & \text{if } i \leq -l_1-1 \end{cases}$$

and

$$M^+(f) = n - l_1 \quad \text{and} \quad N^-(f) = l_1 - n.$$

Then it is obvious that $\varphi|_{A_f}: A_f \rightarrow A_{g(f)}$ is a homeomorphism. By (a), φ is a homeomorphism from $D^{\mathbf{Z}}$ onto itself. Let us set $m = \max\{-c^-(g(f)), c^+(g(f)) : f \in D(-n, n)\}$.

By the construction of φ the following claim is easily seen.

Claim 2. Let $x, y \in D^{\mathbf{Z}}$ with $d(x, y) = 1/k \leq 1/2m$.

- (i) If $x_k \neq y_k$, then $d(\varphi(x), \varphi(y)) = 1/l$ and $x_l \neq y_l$, where $l = k - M^+(x|_n)$.
- (ii) If $x_{-k} \neq y_{-k}$, then $d(\varphi^{-1}(x), \varphi^{-1}(y)) = 1/l$ and $x_{-l} \neq y_{-l}$, where $l = k - M^-(x|_n)$.

By Claim 2, $1/2m$ is an expansive constant for φ . Thus φ is expansive. To prove that φ has P.O.T.P. we need the following mappings α and β . For every $f \in \cup\{D(i, j) : i, j \in \mathbf{Z} \text{ with } i \leq -n \text{ and } n \leq j\}$ let us set

$$\alpha(f) = \max\{g : g < \varphi(h) \text{ for every } h \in D^{\mathbf{Z}} \text{ with } f < h\}.$$

For every $g \in \cup\{D(i, j) : i, j \in \mathbf{Z} \text{ with } i \leq -m \text{ and } m \leq j\}$ let us set

$$\beta(g) = \max\{f : f < \varphi^{-1}(h) \text{ for every } h \in D^{\mathbf{Z}} \text{ with } g < h\}.$$

We shall show that φ has P.O.T.P.

Let $\epsilon_1 > 0$. We take $\delta = 1/N$ such that $1/N < \min\{\epsilon_1, 1/2m\}$. Let $\{x^i : i \in \mathbf{Z}\}$ be a δ -pseudo-orbit of φ . Let $K(-1) = -N - 1$. By induction on $0 \leq i \in \mathbf{Z}$, we choose $K(i)$ and $y_j \in D_j$ for every $j, K(i-1) < j \leq K(i)$, satisfying the following conditions:

- (d) $K(i-1) < K(i)$,
- (e) $c^+(\alpha^i(y^i)) = N$,
- (f) $\alpha^i(y^i)|_N = x^i|_N$,

where $y^i = (y_{-N}, y_{-N+1}, \dots, y_{K(i)}) \in D(-N, K(i))$.

In case $i=0$, let $K(0) = N$ and for every $j, -K(-1) < j \leq K(0)$, let $y_j = x_j^0$. Assume that $K(i)$ and $y_j, K(i-1) < j \leq K(i)$, are chosen such that the above conditions hold. Let us set $K(i+1) = K(i) + M^+(\alpha^i(y^i)|_n)$ and $y_j = x_{j+N-K(i+1)}^{i+1}$ for every $j, K(i) < j \leq K(i+1)$. It is easy to check that all induction hypothesis are satisfied. Let $L(1) = N + 1$. By induction on $0 \leq i \in \mathbf{Z}$, similarly as above, we choose $L(i)$ and $y_j \in D_j$ for every $j, L(i) \leq j < L(i+1)$, satisfying the following conditions:

- (g) $L(i) < L(i+1)$,
- (h) $c^{-1}(\beta^{-i}(y^i)) = -N$,
- (i) $\beta^{-i}(y^i)_{1N} = x^i_{1N}$,

where $y^i = (y_{L(i)}, y_{L(i)+1}, \dots, y_N) \in D(L(i), N)$. Let us set $y = (\dots, y_{-1}, y_0, y_1, \dots) \in D^{\mathbb{Z}}$. Then for every $i \geq 0$ we have $\varphi^i(y) > \alpha^i(y^i)$ and $\alpha^i(y^i)_{1N} = x^i_{1N}$. This implies that $\varphi^i(y)_{1N} = x^i_{1N}$ and therefore we have $d(\varphi^i(y), x^i) < 1/N < \varepsilon_1$. For every $i \leq 0$ we have $\varphi^i(y) > \beta^{-i}(y^i)$ and $\beta^{-i}(y^i)_{1N} = x^i_{1N}$. This implies that $\varphi^i(y)_{1N} = x^i_{1N}$ and therefore we have $d(\varphi^i(y), x^i) < 1/N < \varepsilon_1$. Hence $\{x^i : i \in \mathbb{Z}\}$ is ε_1 -traced by y . Therefore φ has P. O. T. P.

We show that $\tilde{d}(\varphi, \psi) < \varepsilon$. By the construction of φ , $\varphi(A_f) = A_{g(f)}$ for every $f \in D(-n, n)$. For every $x \in D^{\mathbb{Z}}$, we have $x \in A_f$ for some $f \in D(-n, n)$. Thus, by (c), we have $\varphi(x) \in \varphi(A_f) = A_{g(f)} \subset A_{h(f)}$. On the other hand, by (b), we have $\psi(x) \in \psi(A_f) \subset A_{h(f)}$. From $\text{diam } A_{h(f)} = 1/(k+1) < \varepsilon$ it follows that $d(\varphi(x), \psi(x)) < \varepsilon$. Hence we have $\tilde{d}(\varphi, \psi) < \varepsilon$. Theorem 1 has been proved.

4. Proof of Theorem 2.

Let d be the Euclidean metric on $S = \{0, 1, 1/2, 1/3, \dots\}$. Note that a mapping $\varphi : S \rightarrow S$ is a homeomorphism if and only if φ is one-to-one, onto and $\varphi(0) = 0$. For every $n \in \mathbb{N}$ we set $S_n = \{1/(n-1), 1/(n-2), \dots, 1\}$.

(a) Let $\psi \in \mathcal{H}(S)$ and $\varepsilon_0 > 0$. We construct $\varphi \in \mathcal{E}(S)$ such that $\tilde{d}(\varphi, \psi) < \varepsilon_0$. To do this, we take $n \in \mathbb{N}$ with $1/n < \varepsilon_0$. For every $m \in \mathbb{N}$, $m < n$, we take $x_m \in S$ such that $\psi(x_m) = 1/m$. Let $l = \max\{1/x_m : m < n\} + 1$. For every $k \in \mathbb{N}$, $k \geq l$, let us set

$$\varphi(1/k) = \begin{cases} 1/(k-2) & \text{if } k = l + 2i \text{ for some } i \in \mathbb{N} \\ 1/(k+2) & \text{if } k = l + 2i - 1 \text{ for some } i \in \mathbb{N} \\ 1/(l+1) & \text{if } k = l. \end{cases}$$

For every $m \in \mathbb{N}$, $m < n$, let us set $\varphi(x_m) = 1/m (= \psi(x_m))$. Let $\varphi(0) = 0$, and for every $x \in S_l - \{x_m : m < n\}$ let $\varphi(x)$ be an element of $S_l - S_n$ such that $\varphi(x) \neq \varphi(x')$ for every $x, x' \in S_l - \{x_m : m < n\}$ with $x \neq x'$. Then φ is one-to-one, onto and $\varphi(0) = 0$. Thus $\varphi \in \mathcal{H}(S)$. By the construction of φ , it is obvious that $\tilde{d}(\varphi, \psi) \leq 1/n < \varepsilon_0$. Let $c = 1/(2l^2 + 2l)$. Note that $U_c(1/l) = \{1/l\}$. We show that c is an expansive constant for φ . Let $x, y \in S$ with $x \neq y$. We may assume that $x \neq 0$. If $x \in S_l$, then $d(x, y) > c$. If $x \notin S_l$, then $\varphi^i(x) = 1/l$ for some $i \in \mathbb{Z}$, and therefore $d(\varphi^i(x), \varphi^i(y)) > c$. Hence we have $\varphi \in \mathcal{E}(S)$.

(b) Let $\psi \in \mathcal{H}(S)$ and $\varepsilon_0 > 0$. We construct $\varphi \in \mathcal{P}(S)$ such that $\tilde{d}(\varphi, \psi) < \varepsilon_0$. Let n, l and $x_m, m < n$, be as in (a). For every $x \in S_l$ let $\varphi(x)$ be as in (a).

For every $x \in S - S_l$ let $\varphi(x) = x$. Then, similarly as in (a), we have $\varphi \in \mathcal{H}(S)$ and $\bar{d}(\varphi, \psi) < \varepsilon_0$. To prove that φ has P.O.T.P. let $\varepsilon_1 > 0$. Take $k \in \mathbf{N}$ with $1/k < \min\{\varepsilon_1, 1/l\}$. Let $\delta = 1/(k^2 + k)$. Note that $U_\delta(1/j) = \{1/j\}$ for every $j \in \mathbf{N}$, $j \leq k$. It suffices that every δ -pseudo-orbit of φ can be ε_1 -traced by some point of S . Let $\{y_i : i \in \mathbf{Z}\}$ be a δ -pseudo-orbit of φ . If $y_0 \in S - S_k$, then $y_i \leq 1/n < \varepsilon_1$ for every $i \in \mathbf{Z}$. Thus $\{y_i : i \in \mathbf{Z}\}$ is ε_1 -traced by y_0 . If $y_0 \in S_k$, then $y_i = \varphi^i(y_0)$ for every $i \in \mathbf{Z}$. Thus $\{y_i : i \in \mathbf{Z}\}$ is ε_1 -traced by y_0 . Hence φ has P.O.T.P.

(c) Let $\varphi \in \mathcal{E}(S)$ with an expansive constant c . It is enough to prove that $\varphi \notin \mathcal{P}(S)$. We take $n \in \mathbf{N}$ with $1/n < c$. Assume that $1/m$ is a periodic point for every $m \in \mathbf{N}$, $m < n$. Then $\cup\{\text{Orb}(1/m) : m < n\}$ is finite, where $\text{Orb}(x) = \{\varphi^i(x) : i \in \mathbf{Z}\}$. Pick up a point $x \in S - (\cup\{\text{Orb}(1/m) : m < n\} \cup \{0\})$. Then we have $\text{Orb}(x) \subset S - S_n$, therefore $d(\varphi^i(x), \varphi^i(0)) \leq 1/n < c$ for every $i \in \mathbf{Z}$. This is a contradiction. Take $m < n$ such that $1/m$ is not a periodic point. Let $\varepsilon = 1/(m^2 + m)$. For every $\delta > 0$ we can take $l \in \mathbf{N}$ such that $\varphi^{l-1}(1/m) < \delta$ and $\varphi^{-l}(1/m) < \delta$, because $\lim_{i \rightarrow \infty} \varphi^i(1/m) = 0$ the $\lim_{i \rightarrow \infty} \varphi^{-i}(1/m) = 0$. Let us set

$$y_{2kl+j} = \begin{cases} \varphi^j(1/m) & \text{if } 0 \leq j \leq l-1 \\ \varphi^{j-2l}(1/m) & \text{if } l \leq j \leq 2l \end{cases}$$

Then $\{y_i : i \in \mathbf{Z}\}$ is a δ -pseudo-orbit of φ . Assume that $\{y_i : i \in \mathbf{Z}\}$ is ε -traced by $y \in S$. Since $U_\varepsilon(1/m) = \{1/m\}$ and $y_{2kl} = 1/m$ for every $k \in \mathbf{Z}$, we have $\varphi^{2kl}(y) = 1/m$ for every $k \in \mathbf{Z}$. This implies that $1/m$ is a periodic point. This is a contradiction. Hence S has no expansive homeomorphism with P.O.T.P.

5. A zero-dimensional space having no expansive homeomorphism.

S. Fujii [4] proved that a space X is zero-dimensional if and only if the identity mapping id_X has P.O.T.P. So every zero-dimensional space has at least one homeomorphism with P.O.T.P. We know ([2], or see [5]) that the unit interval has no expansive homeomorphism. However, as far as the author knows it is unknown whether there is a zero-dimensional space having no expansive homeomorphism. In this section we construct such a space X . Note that the space X above is contained in the Cantor set, because the Cantor set is universal for the class of zero-dimensional spaces.

Let $C \subset [0, 1]$ be the Cantor set and $S = \{0, 1, 1/2, \dots\}$ a convergent sequence. Let $X_n = (C \oplus S^n) / \{0, 0_n\}$ be the quotient space obtained by identifying $\{0, 0_n\}$ to a point x_n , where $0 \in C$ and $0_n = (0, 0, \dots, 0) \in S^n$, for every $n \in \mathbf{N}$, and let $X_0 = \{x_0\}$ be a one-point space. Let $X = \cup\{X_n : n \in \mathbf{N} \cup \{0\}\}$. We give X a topology as follows. Let $\mathcal{B}(x) = \{U : U \text{ is a neighborhood of } x \text{ in } X_n\}$ for every $x \in X$,

$n \in \mathbf{N}$, and $\mathcal{B}(x_0) = \{\cup\{X_i : j \leq i\} \cup X_0 : j \in \mathbf{N}\}$. Then $\{\mathcal{B}(x) : x \in X\}$ is a neighborhood system. Obviously the space X with the topology generated by $\{\mathcal{B}(x) : x \in X\}$ is compact, metrizable and zero-dimensional. Next we show that X has no expansive homeomorphism. To do this let φ be a homeomorphism of X . The point x_n is the only point that has arbitrarily small neighborhoods containing a set homeomorphic to the Cantor set, a set homeomorphic to S^n , and no set homeomorphic to S^{n+1} . Therefore we have $\varphi(x_n) = x_n$ for every $n \in \mathbf{N}$. Thus φ has infinitely many fixed points. Hence φ is not expansive.

After I finished writing an early version of this paper, I knew that T. Shimomura [7] also proved Theorem 1, independently.

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