NONFOLDING MAPS AND THE SINGULAR-REGULAR-NEIGHBORHOOD THEOREM

V. Nicholson and J. Neuzil

1. INTRODUCTION

Suppose K is a finite topological complex in a 3-manifold M, and f is a map of M into a 3-manifold N such that f(K) is a topological complex and $K = f^{-1}f(K)$. It is known that f(K) may be tame even though K is not tame [6]. If K is tame and f is a homeomorphism on M^3 - K, then f(K) is tame [13]. We show that if K is tame and f is a homeomorphism on K and f "doesn't fold" at any point of f(K), then f(K) is tame (Theorem 4). This is an extension of the singular-regular-neighborhood theorem that was established for surfaces by J. Hempel [12, Theorem 2] and for finite graphs by J. W. Cannon [8]. S. Armentrout showed in [2] that if K is tame and if f is onto N and defines a cellular upper-semicontinuous decomposition of M none of whose nondegenerate elements meets K, then f(K) is tame. Corollary 2 implies that "cellular" may be replaced by "monotone." Theorem 5 is more general than Theorem 4 and Corollary 2; it deals with nonfolding maps that are not necessarily homeomorphisms on either K or M^3 - K.

2. NOTATION AND TERMINOLOGY

The terms n-manifold, triangulation, polyhedron, and tamely embedded are used as in [5]. A subset A of an n-manifold M is cellular in M if and only if there exists a sequence C_1 , C_2 , \cdots of n-cells in M such that

(1) for each positive integer i, $\textbf{C}_{i+1} \subset \textbf{Int} \; \textbf{C}_i$, and

(2)
$$\bigcap_{i=1}^{\infty} C_i = A.$$

Suppose f is a map of an n-manifold M into an n-manifold N, p ϵ N, and f $^{-1}(p)$ is cellular in M. Choose n-cells B and C in M and N, respectively, such that

$$p \, \in \, \text{Int } C \, , \qquad f^{-1}(p) \, \subset \, \text{Int } B \, , \qquad f(B) \subset \, \text{Int } C \, \, .$$

We say f *folds* (*doesn't fold*) at p if and only if $f \mid Bd$ B is homotopically trivial (nontrivial) in C - p. Note that this definition is independent of the choice of n-cells B and C.

Suppose A is a subset of an n-manifold N and f is a map of an n-manifold M into N such that $A \subset f(M)$. We let G_A denote the decomposition of M whose elements are the inverse images of points in A and the singletons of $M - f^{-1}(A)$.

A topological complex is a space homeomorphic to a locally finite simplicial complex. Let K be a connected topological complex in a 3-manifold N. We say K has a singular-regular neighborhood if there exist a triangulated 3-manifold M, a

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complex K' in Int M, and a map $f: M \to N$ such that $f \mid K'$ is a homeomorphism onto K, $f^{-1}(K) = K'$, and K contains at least one point at which f does not fold. In Theorems 2 and 4, we show that this definition is equivalent to Cannon's [8] in case K is a finite graph. We use the notation L(J, K) for the homology linking number (integer coefficients) of disjoint oriented simple closed curves or loops J and K in E^3 . We refer the reader to [8] for a discussion of this linking. If X is a compact metric space and f and g are mappings from X into a metric space Y, then $D(f, g) = \sup \left\{ d(f(x), g(x)) \colon x \in X \right\}$.

3. NONFOLDING MAPS

THEOREM 1. Suppose A is a connected subset of an n-manifold N, p \in A, and f is a map of an n-manifold M into N such that $A \subset f(M)$ and G_A is a cellular upper-semicontinuous decomposition of M. Let B and C be n-cells such that $f^{-1}(p) \subset Int B$ and $f(B) \subset Int C$.

(a) Then f doesn't fold at p if and only if

$$f_*: \pi_{n-1}(B - f^{-1}(p)) \to \pi_{n-1}(C - p)$$

is one-to-one or, equivalently, if and only if

$$f_{\#}: H_{n-1}(B - f^{-1}(p)) \to H_{n-1}(C - p)$$

is one-to-one (integer coefficients).

- (b) If f doesn't fold at p, then f doesn't fold at any point of A.
- (c) If f doesn't fold at p, then f(M) is a neighborhood of f(A) in N.
- (d) If f doesn't fold at p and G_A is a collection of singletons, then f | f⁻¹(A) is a homeomorphism.
- *Proof.* (a) Clearly, $\pi_{n-1}(B f^{-1}(p)) = \pi_{n-1}(C p)$, and this is Z, the group of integers under addition. The map f doesn't fold at p if and only if $f_*(1) \neq 0$, where f_* is the induced map on the homotopy groups.
- (b) For each x in A, let B_x denote an n-cell containing $f^{-1}(x)$ in its interior, and let C_x denote an n-cell such that $f(B_x) \subset \operatorname{Int} C_x$. Let H denote the set of points in A at which f folds. Then H is open in A. For if $x \in H$, then there exists a map $F \colon B_x \to C_x$ x that extends $f \mid \operatorname{Bd} B_x$. There is an open set U of $f^{-1}(A)$ such that $f^{-1}(p) \subset U \subset \operatorname{Int} B$ and U is the union of elements of G_A . Thus

(Int
$$C_x$$
 - $F(B_x)$) $\cap f(U)$

is open in A, and it is contained in H. Also, H is closed in A. For, if $x \in Cl\ H$, there is a point y in H such that $f^{-1}(y) \subset Int\ B_x$. There exists a map $F\colon B_x \to C_x$ - y that extends $f \mid Bd\ B_x$. Since C_x can be triangulated, there is a polyhedral arc J from y to x that lies in C_x - $f(Bd\ B_x)$. Using a sufficiently small regular neighborhood of J in C_x , we may push the set $F(B_x)$ off of x by pushing along J without moving $f(Bd\ B_x)$. Thus $x \in H$. Since A is connected, H is open and closed in A and $p \notin H$, we conclude that $H = \emptyset$.

(c) Suppose that $x \in A$ and that B_x and C_x are n-cells as in the first line of the preceding paragraph. If $f(B_x)$ is not a neighborhood of x in N, then some

polyhedral arc J in C_x - $f(Bd B_x)$ joins x to a point y in C_x - $f(B_x)$. As in the proof of (b), $f(B_x)$ may be pushed off of J. This is impossible, since f does not fold at x, by (b).

(d) Suppose U is open in $f^{-1}(A)$ and $x \in f(U)$. There exists a B_x such that $B_x \cap f^{-1}(A) \subset U$. Thus $f(B_x) \cap A \subset f(U)$. As in the proof of (c), $f(B_x)$ is a neighborhood of x in N. Thus $f \mid f^{-1}(A)$ is open.

THEOREM 2. Suppose C is a 3-cell in E^3 , A is an arc in C such that $A \cap Bd C = Bd A$, and A' is an arc in Bd C such that Bd A' = Bd A. Suppose B is the unit ball in E^3 , p is the origin, I is the intersection of B and the y-axis, and D is the intersection of B and the xz-plane. Suppose also that f is a map of E^3 into Int C such that f takes I homeomorphically into A and $f^{-1}(A) \cap B = I$. Then the following are equivalent:

- (a) f does not fold at f(p),
- (b) f Bd D is not homologous to zero (integer coefficients) in Int C A,
- (c) $L(A \cup A', f \mid Bd D) \neq 0$, and
- (d) the induced homomorphism $f_{\#}$: $H_1(B-I) \to H_1(Int C-A)$ is not the trivial homomorphism.

Proof. First we show that (b) and (c) are equivalent. Clearly,

$$L(A \cup A', f \mid Bd D) = 0$$

if and only if $f \mid Bd$ D is null-homologous in E^3 - $(A \cup A')$, and this condition in turn is satisfied if and only if $f \mid Bd$ D is null-homologous in Int C - A. The latter condition is satisfied because if $f \mid Bd$ D bounds a singular orientable surface K in E^3 - $(A \cup A')$, we may construct such a surface in Int C - A by cutting off the part of K outside C, filling in the resulting holes in the surface with singular disks in Bd C - $(A \cup A')$, and then pushing the resulting surface slightly into Int C - A.

Next we show that (a) implies (b). Let \mathbf{D}_1 and \mathbf{D}_2 be the disks in Bd B such that

$$D_1 \cap D_2 = Bd D_1 = Bd D_2 = Bd D$$
.

Let A_1 and A_2 be the subarcs of A such that $A_1 \cup A_2 = A$ and $A_1 \cap A_2 = f(p)$. We may assume that the indices are chosen so that $A_i \cap f(D_i) = \emptyset$ for i = 1 or 2. Let $z = f \mid Bd$ D. Then z is a singular 1-cycle in C - A. Let d_i denote the singular 2-chain $f \mid D_i$. Then $\partial d_1 = z$ and $\partial d_2 = -z$. Suppose z = 0 in $H_1(C - A)$. Then $z = \partial k$, where k is a 2-chain in C - A. Thus $d_1 - k$ and $d_2 + k$ are 2-cycles in $C - A_2$ and $C - A_1$, respectively. By duality, $C - A_2$ and $C - A_1$ are homologically trivial, so that $d_1 - k = \partial h_1$ and $d_2 + k = \partial h_2$, where h_1 is a 3-chain in $C - A_2$ and h_2 is a 3-chain in $C - A_1$. Therefore $h_1 + h_2$ is a 3-chain in $C - (A_1 \cap A_2) = C - f(p)$, and $\partial (h_1 + h_2) = d_1 + d_2 = f \mid Bd$ B. Thus f folds at f(p).

We show that (b) implies (a). Suppose f folds at f(p). Then f | Bd B is homotopically trivial in C - f(p). Thus there exists a map F: B \rightarrow C - f(p) that extends f | Bd B. Let A_1 , A_2 , D_1 , and D_2 be defined as above. Then $F^{-1}(A_1)$ and $F^{-1}(A_2)$ are disjoint closed sets in B - Bd D, and $F^{-1}(A_1) \cap D_1 = \emptyset$, for i = 1 or 2. Hence Bd D bounds an orientable surface in B - $F^{-1}(A_1)$ - $F^{-1}(A_2)$. Hence, f | Bd D is null-homologous in C - A.

Finally, we show (b) and (d) are equivalent. Suppose $f \mid Bd D$ is homologous to zero. The fundamental 1-cycle on Bd D generates $H_1(B - I) = Z$. Thus $f_\#$ is the trivial homomorphism. It follows immediately that (b) implies (d).

LEMMA 1. Suppose B is a 3-cell, K is a closed connected set in Int B, $p \in K$, and $f: S^2 \to (Int B) - K$ is a map. If f is null-homotopic in B - p, then f is null-homotopic in B - K.

Proof. Suppose f is defined as above, except that f is homotopically nontrivial in B - K. Let U be the component of B - K that contains $f(S^2)$. We consider two cases.

Case 1. Suppose Bd B $\not\subset$ U. Since f is homotopically nontrivial in U, J. H. C. Whitehead's sphere theorem [15] implies that there exists a real polyhedral 2-sphere T in U that is nontrivial in U. The sphere T bounds a 3-cell D in Int B. We assert that $K \subset B$ - D. For otherwise T = Bd D, and Bd B would be in the same component of B - K, that is, in U. But T is null-homotopic in D, hence in U, and this constitutes a contradiction.

Case 2. Suppose Bd B \subset U. In this case, we use the notation of the sphere theorem [15]. Choose a base point q in U. We take the elements of $\pi_2(B - K, q)$ to be equivalence classes of maps from $(S^2, 0)$ into (B - K, q). Let g be a homeomorphism of $(S^2, 0)$ into (B - K, q) such that $K \subset \text{Int } g(S^2)$. Let G be the subgroup of $\pi_2(B - K, q)$ generated by g, and let

$$\Lambda = \{ \xi \alpha : \xi \in \pi_1(B - K, q) \text{ and } \alpha \in G \}.$$

Finally, let $\beta = [f] \in \pi_2(B - K, q)$. Now $\beta \notin \Lambda$, because $\beta \neq 0$ and every nonzero element of Λ is essential in B - p. Hence, $\Lambda \neq \pi_2(B - K)$. Therefore, there exists a real polyhedral 2-sphere T that is essential in $B - K \pmod{\Lambda}$. But $K \subset Int T$, hence T is freely homotopic (that is, without restrictions concerning the base point) to $g(S^2)$. Therefore, if $k: S^2 \to B - K$ represents T in $\pi_2(B - K)$, then $[k] \in \Lambda$. This is a contradiction.

THEOREM 3. Suppose that A is a subset of E^3 and that $f: M \to E^3$ is a map of a 3-manifold M into E^3 such that $A \subset f(M)$ and $f^{-1}(A)$ is cellular in M. If there exists a point p in A such that $f^{-1}(p)$ is cellular in M and f doesn't fold at p, then A is cellular in E^3 .

Proof. Let C be any 3-cell in E^3 containing A in its interior, and let U be any open set in Int C containing A. There is a 3-cell B in M containing $f^{-1}(A)$ in its interior, with $f(B) \subset U$. Since $f \mid Bd B$ is not null-homotopic in C - p, $f \mid Bd B$ is not null-homotopic in C - A. Thus, for every x in A, $f \mid Bd B$ is not null-homotopic in C - x, by Lemma 1. Now $B - f^{-1}(A)$ is connected, since $f^{-1}(A)$ is cellular; thus $f(B - f^{-1}(A))$ is connected. Since A is compact, there exists an open set U' in E^3 such that $A \subset U' \subset U$ and C - U' is connected. Let B' be a 3-cell in M such that $f^{-1}(A) \subset Int B'$ and $f(B') \subset U'$. Then $f \mid Bd B'$ is not null-homotopic in U' - A. By the sphere theorem [15], some polyhedral 2-sphere S in U' - A is not null-homotopic in U' - A. The sphere S bounds a 3-cell D in C. Since C - U' is connected, $D \subset U'$. Thus $A \subset Int D \subset D \subset U$.

4. TAME EMBEDDINGS

THEOREM 4 (singular-regular-neighborhood theorem). Suppose K is a connected topological complex that is a closed subset of a 3-manifold N and has a singular-regular neighborhood. Then K is tame in N.

Suppose p is a point in the interior of some 2-simplex Δ of K. By the local-separation theorem [1, Section 2, Corollary 2], there is a neighborhood U of p in N such that U - Δ has two components U₁ and U₂. Let D denote the unit disk in E², and let h be a homeomorphism of D×[-1, 1] into M such that

$$f^{-1}(p) \in \text{Int } h(D \times \{0\}) \subset f^{-1}(\Delta), \quad h[(D \times [-1, 1]) - (D \times \{0\})] \subset M^3 - f^{-1}(\Delta),$$

and $\operatorname{fh}(D\times [-1,\ 1])\subset U$. Each component of $\operatorname{fh}[(D\times [-1,\ 1])-(D\times \{0\})]$ lies in either U_1 or U_2 . Suppose both lie in U_1 . Then $\operatorname{Int}\operatorname{fh}(D\times \{0\})$ is locally tame from the U_1 -side $[7,\ Theorem\ 6.7.3]$. There exists a map g of $\operatorname{fh}(D\times [-1,\ 1])$ into N that pushes $\operatorname{Int}\operatorname{fh}(D\times \{0\})$ into U_1 and reduces to the identity on $\operatorname{fh}(\operatorname{Bd}(D\times [-1,\ 1]))$, and such that $p\not\in\operatorname{gfh}(D\times [-1,\ 1])$. This contradicts the fact that f does not fold at p. Hence, one of the components lies in U_1 and the other in U_2 . As above, it follows that Δ is locally tame from both sides at $\operatorname{f}(p)$. Hence $\operatorname{f}(\Delta)$ is locally tame at p. Since a 2-simplex is tame if its interior and boundary are locally tame [14], each 2-simplex in K is locally tame [9] and hence tame [5].

COROLLARY 1. Suppose K is a finite connected subcomplex of E^3 and $f: E^3 \to E^3$ is a map that is a homeomorphism on K and $f^{-1}f(K) = K$. Suppose also that there exists a 3-cell B containing K in its interior such that $f \mid Bd B$ is not homotopic to zero in E^3 - f(K). Then f(K) is tame.

Proof. Suppose $p \in f(K)$. By Lemma 1, f does not fold at p.

COROLLARY 2. Suppose K is a subcomplex of a 3-manifold M and G is a monotone upper-semicontinuous decomposition of M into compact sets such that M/G is a 3-manifold and K misses the nondegenerate elements of G. If P denotes the projection map of M onto M/G, then P(K) is tame in M/G.

Proof. Suppose that T is a 1-simplex in K and p ϵ Int T. Let C be a 3-cell in M/G containing P(p) in its interior and small enough so that P(p) lies in some arc A in C \cap P(T) whose endpoints lie in Bd C. There exists a polyhedral 3-cell B in M such that p ϵ Int B \subset B \subset p⁻¹(Int C) and B \cap T is a subarc of T whose endpoints lie in Bd B. Thus f takes B \cap T homeomorphically into A. There exists an open set U in M such that p ϵ U \subset Int B and U is the union of elements of the decomposition. Since P(U) is an open neighborhood of P(p) in M/G, there exists a map g: S¹ \rightarrow P(U) - A that is not homologous to zero in Int C - A [1, Section 2,

Corollary 2]. By the simplicial-approximation theorem [10], there exists an $\epsilon>0$ such that if $f\colon S^1\to C$ is a map and $D(f,g)<\epsilon$, then f and g are homotopic in Int C - A. There exists a map $g_1\colon S^1\to U$ - T such that $D(Pg_1,g)<\epsilon$ [3, Lemma 3.2]. Thus Pg_1 is not homologous to zero in Int C - A. Hence P does not fold at p, by Theorem 2(d). Thus P(M) is a singular-regular neighborhood of P(K) in M/G.

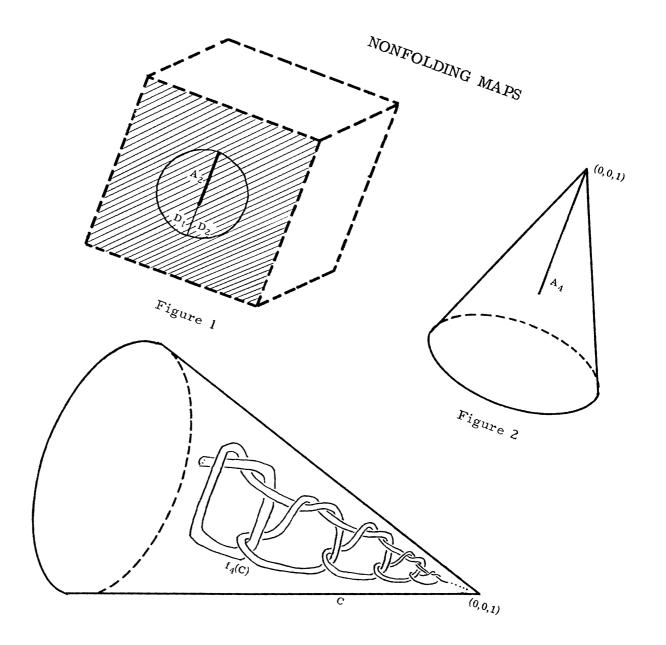
THEOREM 5. Let K be a connected topological complex that is a closed subset of a 3-manifold N, let $f: M \to N$ be a map of a 3-manifold M into N such that $K \subset f(M)$, let $f^{-1}(K)$ be a subcomplex of M, and let G_K be an upper-semicontinuous decomposition of M such that M/G_K is a 3-manifold.

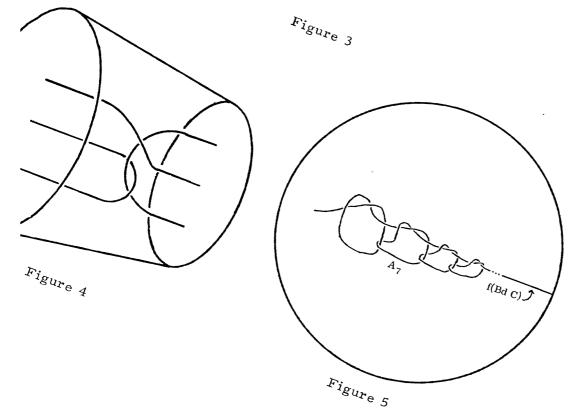
- (a) If P denotes the projection map of M onto M/G_K and fP^{-1} : $M/G_K \to M$ doesn't fold at some point of K, then K is tame.
 - (b) If K contains a 3-cell, then K is tame.
- (c) If each element of G_K is cellular in M and f doesn't fold at some point of K, then K is tame.
- (d) If f maps M onto N and is the projection map of a monotone upper-semi-continuous decomposition of M into compact sets, then K is tame,
- *Proof.* (a) Let V be a regular neighborhood of $f^{-1}(K)$. Then P(V) is a mapping cylinder neighborhood of P(K) in M/G_K , and P(K) is tame in M/G_K [13]. Thus P(K) is a subcomplex of M/G_K , under some triangulation of M/G_K . Since fP^{-1} : $M/G_K \to N$ is a homeomorphism on P(K) and doesn't fold at some point of K, K has a singular-regular neighborhood.
- (b) As in part (a), fP^{-1} : $M/G_K\to N$ is a homeomorphism on P(K). Thus fP^{-1} cannot fold at a point in the interior of a 3-cell in K. Thus K has a singular-regular neighborhood.
- (c) Suppose $p \in K$ and C is a 3-cell containing p in its interior. Let B be a 3-cell in M/G_K containing $Pf^{-1}(p)$ in its interior such that $fP^{-1}(B) \subset Int C$. Let B' be a 3-cell in M such that $f^{-1}(p) \subset Int B' \subset B' \subset P^{-1}(Int B)$. Since f doesn't fold at p, the mapping $f \mid Bd B'$ is not null-homotopic in C p. Thus $P \mid Bd B'$ is not null homotopic in $B Pf^{-1}(p)$. Thus $(fP^{-1})_*$: $\pi_2(B Pf^{-1}(p)) \to \pi_2(C p)$ is not the trivial homomorphism. Thus fP^{-1} doesn't fold at p.
- (d) The map $fP^{-1}: M/G_K \to N$ is closed and satisfies the hypothesis for the projection map in Corollary 2.
- COROLLARY 3. Let K be a connected topological complex that is a closed subset of a 3-manifold N, let $f: E^3 \to N$ be a map such that $K \subset f(E^3)$, let $f^{-1}(K)$ be a subcomplex of E^3 that is either a 2-manifold or a 1-dimensional polyhedron, and let G_K be a cellular upper-semicontinuous decomposition of E^3 . If f doesn't fold at some point of K, then K is tame.

Proof. The decomposition space E^3/G_K is E^3 [4, Corollaries 4.3 and 4.4]. Thus, by Theorem 5(c), K is tame.

5. AN EXAMPLE

In this section, we show that the nonfolding hypothesis in the singular-regular-neighborhood theorem is necessary. Specifically, we give an example of a map f of E³ onto itself that is a homeomorphism on a tame arc A_1 , and such that $f^{-1}f(A_1) = A_1$ and $f(A_1)$ is wild.





Denote by E^2 the plane z=0 in E^3 , by E_+^3 the closed upper half-space of E^3 , and by A_1 a rectilinear interval in E^2 . We shall describe f as the composite of a finite sequence of maps f_1 , f_2 , f_3 , f_4 , f_5 , f_6 . In what follows, A_{i+1} will denote the arc $f_i(A_i)$. The construction will be made so that $f_i^{-1}f_i(A_i) = A_i$ and f_i is a homeomorphism on A_i .

Let f_1 be the map $(x, y, z) \rightarrow (x, y, |z|)$ of E^3 onto E_+^3 . The map f_2 maps E_+^3 onto itself so that the intersection of the sets $A_3 = f_2(A_2)$ and E^2 is an endpoint of A_3 . The map f_2 is a homeomorphism on $E_+^3 - E^2$ and identifies the disks D_1 and D_2 in Figure 1 by folding along their intersection. Let C be a cone with open base; that is, let C = K - D, where D is the unit disk in E^2 and K is the join of D with the point (0, 0, 1). The map f_3 is a homeomorphism of E_+^3 onto C such that A_4 is contained in the centerline of C, and such that the set $A_4 \cap Bd \cap C = (0, 0, 1)$ is an endpoint of A_4 . See Figure 2. The map f_4 is an embedding of C into itself such that $[f_4(C) - (0, 0, 1)] \subset Int C$, $f_4(0, 0, 1) = (0, 0, 1)$, and A_5 is a Fox-Artin arc [11, Example 1.2] that is wild at exactly one point, namely (0, 0, 1). See Figure 3.

There exists a map f_5 of $f_4(C)$ onto C that is the identity on A_5 . To show the existence of f_5 , we divide the cone C into countably many sections, using planes parallel to the base of C. We choose the planes so that each section looks like the one in Figure 4. Let C' be one such section. The map f_5 is defined on $C' \cap f_4(C)$ so that $C' \cap f_4(C)$ expands to fill up C'. Note that this may be done so that $f_5^{-1}(f_5(A_5)) = A_5$.

Finally, f_6 maps C onto an open 3-cell, it is a homeomorphism on Int C, and it collapses the circles Bd C \cap {(x, y, z): z = r} (0 < r < 1) to points. See Figure 5.

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Kent State University Kent, Ohio 44242