

PERIODIC ORBITS AND P STABLE ORBIT CLOSURES OF CONTINUOUS FLOWS ON SURFACES

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Abstract

In this paper the author determines the maximum number of simple closed curves with certain properties on any manifold M of dimension 2, and obtains some general properties of M . Then applying the properties to continuous flows defined on M , the author obtains the maximum number of distinct P stable orbit closures and non-zero-homotopic periodic orbits which are not homotopic to each other.

At the beginning of the investigation, we introduce some definitions. Let M be a connected 2-manifold (orientable or nonorientable). We also call M a surface. We say that M is a closed (or compact) surface if it is a compact 2-manifold without boundary. Let f be a continuous flow defined on M with the boundary of r components L_1, \dots, L_r . Then, we define $A_{a_1, \dots, a_r}(M)$ as the compactification of M by means of r points at infinity (namely, gluing a disk to M along each L_i). Moreover, we can continue the definition of f to $A_{a_1, \dots, a_r}(M)$ in such a way that the number of periodic and P stable orbits keeps constant. So, without loss of generality, we often suppose the surface M has no boundary, i.e., M is closed.

Let L_1, L_2 be two simple closed curves on M . We write $L_1 \sim L_2$ (resp. $L_1 \not\sim L_2$) if L_1 is (is not) homotopic to L_2 on M . In this mark it is clear that $L_1 \sim 0$ and $L_1 \not\sim 0$. We say that a group of simple closed curves L_1, \dots, L_n on M satisfy property A if $L_i \not\sim 0$, $L_i \not\sim L_j$ and $L_i \cap L_j = \emptyset$ for all $i \neq j$, $i, j = 1, \dots, n$.

§ 1. Flows on Orientable Surfaces

As a preliminary, we first investigate some general properties of surfaces.

Lemma 1. *Let M_i be an orientable surface of genus g_i with the boundary of k_i components, $i=1, 2$. Let M be the surface obtained by gluing M_1 and M_2 along r components of each boundary, $r \leq \min\{k_1, k_2\}$. Then M has the genus $g = g_1 + g_2 + r - 1$.*

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Proof Euler characteristic of M_i is $\chi(M_i) = 2 - 2g_i - k_i$, $i = 1, 2$. Notice that $\chi(M) = 2 - 2g - (k_1 + k_2 - 2r)$. It follows that $g = g_1 + g_2 + r - 1$ from the relation $\chi(M_1) + \chi(M_2) = \chi(M)$.

Corollary 1. *Let M be an orientable surface without boundary and let $L \subset M$ be a non-zero-homotopic simple closed curve such that $M - L = M_1 \cup M_2$, $M_1 \neq M_2$. Then $g = g_1 + g_2$, where g, g_1, g_2 denote the genus of M, M_1, M_2 respectively.*

If $M = T^2$ (the torus), it is easy to know that any two non-zero-homotopic simple closed curves on T^2 must be homotopic as long as both curves have no points in common. For general surfaces we have the following theorem.

Theorem 1. *Let M be a closed orientable surface of genus g , $g \geq 2$. Then there exist at most $3g - 3$ simple closed curves which satisfy the property A. Moreover, this number is always achieved.*

Proof To prove the theorem we use induction.

1. First consider the case $g = 2$. Suppose there exist 4 simple closed curves satisfying the property A. Denote them by L_i , $i = 1, 2, 3, 4$. Let $M - L_4 = M_1 \cup M_2$. There are two cases to consider according as $M_1 = M_2$ or not.

Case A. $M_1 = M_2$. Because the boundary of M_1 has 2 components, it has compactification $M_1^* = A_{xy}(M_1)$. If one of L_i , $i = 1, 2, 3$, say L_1 , is homotopic to zero on M_1^* , then there is a disk D on M_1^* such that $L_1 = \partial D$ and $x, y \in D$ (the latter is because $L_1 \not\sim L_4$ and $L_1 \not\sim 0$ on M). It follows that $L_2 \not\sim 0$, $L_3 \not\sim 0$ and $L_1 \not\sim L_3$ on M_1^* . On the other hand, M_1^* is homeomorphic to T^2 , which gives a contradiction. If none of the curves is homotopic to zero on M_1^* , then $L_1 \sim L_2 \sim L_3$ on M_1^* since $M_1^* \approx T^2$ (" \sim " means homeomorphism). We may suppose the curves are of type $(1, 0)$ (otherwise, cutting M_1^* along L_1 we get a cylinder containing L_2, L_3 (see Fig. 1a). Then we glue the cylinder with itself along its boundary to get a surface homeomorphic to T^2 (see Fig. 1b), on which L_1, L_2, L_3 are of type $(1, 0)$).



Fig. 1

It is clear that we can find out two curves, say, L_2, L_3 as shown in Fig. 1b, such that the cylinder bounded by L_2 and L_3 contains no points at infinity. This means $L_2 \sim L_3$ on M , a contradiction.

Case B. $M_1 \neq M_2$. Obviously, M_1 and M_2 are all of genus 1 from Corollary 1, and there exist at least two curves on one of both, e.g., $L_1, L_2 \subset M_1$. Notice that the

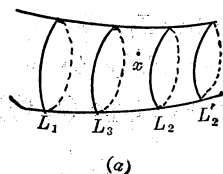
boundary of M_1 has only one component. It is easy to understand that $L_1 \not\sim 0$, $L_2 \not\sim 0$ on its compactification $A_x(M_1)$. On the other hand, $A_x(M_1) \approx T^2$, which gives a contradiction similarly. Thus, we finished the proof for $g=2$.

2. Now suppose the theorem has been proved for surfaces with genus $\leq g-1$. Let M be a closed surface with genus g . Suppose there exist $3g-3+1$ simple closed curves L_1, \dots, L_{3g-2} which satisfy the property A. Let $M - L_{3g-2} = M_1 \cup M_2$. Then there are two cases to consider as follows.

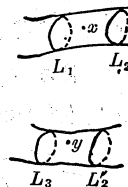
Case A. $M_1 = M_2$. It is obvious that its compactification $M_1^* = A_{xy}(M_1)$ is of genus $g-1$.

A1. If one of the curves L_i , $i=1, \dots, 3g-3$, say L_{3g-3} , is homotopic to zero on M_1^* , then there is a disk D on M_1^* such that $L_{3g-3} = \partial D$ and $x, y \in D$. It implies that $L_i \not\sim 0$ and $L_i \not\sim L_j$ on M_1^* for all $i \neq j$, $i, j=1, \dots, 3g-4$. On the other hand, $3g-4 > 3(g-1)-3$, which is contrary to the inductive assumption.

A2. If $L_i \not\sim 0$ on M_1^* for all $i=1, \dots, 3g-3$, we want to prove that among them there are at most two curves which are homotopic to other two ones. Suppose there are two pairs of curves with the property above, say, $L_1 \sim L_2$ and $L_3 \sim L'_2$ on M_1^* . Then L_1 and L_2 bound a cylinder H , L_3 and L'_2 bound an H' , and they both contain at least one point at infinity, say $x \in H$. If $y \notin H'$ then $x \in H'$, and the nonempty intersection $H \cap H'$ is a submanifold of M_1^* , and so it is also a cylinder since there is no hole on both H and H' (see Fig. 2b). Consequently, one of L_1, L_2 and one of L_3, L'_2 must bound a cylinder without points at infinity. Therefore, both of them are homotopic on M , a contradiction. Hence, $y \in H'$ (see Fig. 2b).



(a)



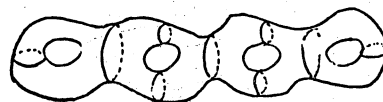
(b)

Fig. 2

Notice that if $L_2 \neq L'_2$ we can let $L'_2 = L_4$. It follows that there are $3g-5$ curves $L_1, L_3, L_5, \dots, L_{3g-3}$ (when $L_2 \neq L'_2$) or $L_1, L_4, L_5, \dots, L_{3g-3}$ (when $L_2 = L'_2$) which satisfy the property A on M_1^* . On the other hand, $3g-5 > 3(g-1)-3$, which is contrary to the inductive assumption.

Case B. $M_1 \neq M_2$. We have the compactifications $A_x(M_1)$ and $A_y(M_2)$, and from Corollary 1 $g = g_1 + g_2$, $g_i \geq 1$, $i=1, 2$. Let $L_{i_1}, \dots, L_{i_{n_1}} \subset M_1$, $L_{j_1}, \dots, L_{j_{n_2}} \subset M_2$, $n_1 + n_2 = 3g-3$. It is easy to check that there is at least one n_i such that $n_i > 3g_i-2$. We may suppose $n_1 > 3g_1-2$. Then $L_{i_k} \not\sim 0$ on $A_x(M_1)$ for all $k=1, \dots, n_1$, and there

exist at most two of them which are homotopic to each other. Thus, we obtain n_1-1 simple closed curves which satisfy the property A on $A_x(M_1)$. However, $n_1-1 \geq 3g_1-2=3(g_1-1)+1$, which is contrary to the inductive assumption when $g_1 \geq 2$. For $g_1=1$, we have $n_1 \geq 2$ and $A_x(M_1) \approx T^2$, which gives a contradiction, too.

Fig. 3 ($g=4$)

Thus, we finished the proof by the induction. Moreover, Fig. 3 above gives an example which shows that there are $2(g-2)+g+1=3g-3$ simple closed curves satisfying the property A on T_g .

Corollary 2. *Let M be an orientable surface of genus g with the boundary of r components and let R denote the number of simple closed curves which satisfy the property A on M . Then*

$$R \leq \begin{cases} 3g-3+2r & \text{for } g \geq 2, r \geq 0; \\ g+2r-1 & \text{for } g=1, r \geq 1; \\ 2r-3 & \text{for } g=0, r \geq 2. \end{cases}$$

Proof Suppose there exist R simple closed curves satisfying the property A on M . Fix $g \geq 2$ (similarly for $g=1$ or 0), and prove by the induction on r . Let $r=1$. Then there is at most one curve which becomes homotopic to zero, and at most one which becomes homotopic to another on the compactification $A_x(M)$ of M . Hence, there are at least $R-2$ curves which satisfy the property A on $A_x(M)$. Thus, $R-2 \leq 3g-3$ or $R \leq 3g-3+2$ from Theorem 1. Now let us suppose that the proposition has been proved for surfaces with the boundary of $r-1$ components and let M be a surface with the boundary of r components. Let M_1 be the surface with the boundary of $r-1$ components, obtained by compactifying one component. We can prove, as before, that there are at least $R-2$ curves satisfying the property A on M_1 . Then $R-2 \leq 3g-3+2(r-1)$ by the inductive assumption, and the proof is completed.

From Theorem 1 we have the following theorem.

Theorem 2. *Let M be a closed orientable surface of genus g , $g \geq 2$, and let f be a continuous flow on M . Then f has at most $3g-3$ non-zero-homotopic periodic orbits which are not homotopic to each other. Moreover, this number is always achieved by a flow.*

Proof We need only to construct an example which satisfies our requirement. Take a continuous flow on sphere S^2 which has three centers and one saddle, and all of its regular orbits are closed, except separatrices (see Fig. 4a). Removing out the three centers we get a cylinder tree as shown in Fig. 4b. Using $2m$ copies of this flow we construct in the obvious way a continuous flow with $3m$ periodic orbits on an orientable surface of genus $m+1$ as in Fig. 5.



(a)



(b)

Fig. 4

From Corollary 2 we have the following corollary.

Corollary 3. *Let M be an orientable surface of genus g with the boundary of r components, and let f be a continuous flow on M . Then f has at most $3g-3+2r$ for $g \geq 2$ and $r \geq 0$; $g+2r-1$ for $g=1$ and $r \geq 1$; $2r-3$ for $g=0$ and $r \geq 2$ non-zero-homotopic periodic orbits which are not homotopic to each other.*

It is easy to know that the non-zero-homotopic periodic orbits and P stable orbits of a flow on T^2 are not compatible. For general surfaces we have the following theorem.

Theorem 3. *Let M be a closed surface of genus g , $g \geq 2$, and let f be a continuous flow on M . Denote by r_1 , r_2 the numbers of distinct P stable orbit closures, non-zero-homotopic periodic orbits which are not homotopic to each other respectively. Then*

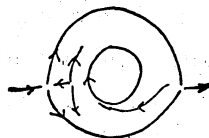
- (1) $r_1 + r_2 \leq 3g - 3$;
- (2) *there is a flow f with $r_1 = g - 1$, $r_2 = 2g - 2$.*

Proof From Theorem 2 and $g \geq 2$ the conclusion is true when $r_1 = 0$. Now suppose $r_1 > 0$. By means of the method used in the proof of Lemma 5^[2] we may construct a new flow f' on M with the following properties:

- (i) f' has r_1 periodic orbits l_1, \dots, l_{r_1} coming from the r_1 closures;
- (ii) the periodic orbits L_1, \dots, L_{r_2} of f are also orbits of f' .

It is easy to prove from the construction of f' and l_i , $i=1, \dots, r_1$, that the curves l_i , L_j , $i=1, \dots, r_1$, $j=1, \dots, r_2$, satisfy the property A. Hence, $r_1 + r_2 \leq 3g - 3$ by applying Theorem 2 to f' .

In the rest of the proof we construct a flow with $r_1 = g - 1$, $r_2 = 2g - 2$. We use a continuous flow on the torus with a nowhere dense recurrent orbit closure. Modify



(a)

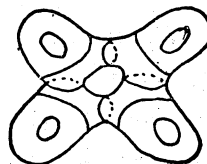
(b) ($g=5$)

Fig. 5

the flow so that there is a closed disk in the complement of the closure in which there is a periodic orbit l . For example, we can change it in the disk in such a way that its structure of orbits is as in Fig. 5a. Throwing away the open disk with the boundary l and gluing a cylinder tree like that in Fig. 4b along l , we get a surface of genus 1 and a flow on it. Using $g-1$ copies of the flow we may construct a flow on a surface of genus g as in Fig. 5b. This flow meets our requirement.

§ 2. Flows on Nonorientable Surfaces

In this chapter we consider flows on a nonorientable surface. We begin with certain topological preliminaries.

Lemma 2. (1) *There are at most two simple closed curves which satisfy the property A on Moebius band B^2 , of which at most one is one-sided, at most one is two-sided.*

(2) *There is at most one simple closed curve, which satisfies the property A on the projective plane P^2 , and if it exists it must be one-sided.*

Proof (1) The fundamental group of B^2 is Z , and there are two simple closed curves L_1, L_2 , which represent the elements ± 1 and ± 2 respectively. Obviously, L_1 is one-sided and L_2 two-sided. Also, we can prove easily that any other curve, which represents $i (\neq 0, \pm 1, \pm 2)$, must intersect itself.

(2) It is clear that there is at most one one-sided closed curve on P^2 . Noticing that the fundamental group of P^2 is a cyclic group of order 2 we see that the conclusion is evident.

Lemma 3. *Let M be a nonorientable surface of genus $g (\geq 2)$ with the boundary of finite components and let L be a simple closed curve on M such that $M-L=M_1$ is connected. By g_1 denote the genus of M_1 .*

(1) *If L is two-sided, then $g_1 = g/2 - 1$ when M_1 is orientable, otherwise, $g_1 = g - 2$;*

(2) *If L is one-sided, then $g_1 = (g-1)/2$ when M_1 is orientable, otherwise, $g_1 = g - 1$.*

Proof It is easy to prove by using the relation $\chi(M_1) = \chi(M)$.

Lemma 4. *Let M be a closed nonorientable surface of genus g and let L be a non-zero-homotopic simple closed two-sided curve such that $M-L=M_1 \cup M_2$, $M_1 \neq M_2$. Let g_i denote the genus of M_i , $i=1, 2$. Then*

- (1) $g = 2g_1 + 2g_2$ if both M_1 and M_2 are orientable;
- (2) $g = 2g_1 + g_2$ if M_1 is orientable and M_2 is nonorientable;
- (3) $g = g_1 + g_2$ if both M_1 and M_2 are nonorientable.

Proof It can be proved by use of the relation $\chi(M_1) + \chi(M_2) = \chi(M)$.

Lemma 5. *There are at most 3 simple closed curves which satisfy the property A on Klein bottle K^2 , of which at most one is two-sided, at most two are one-sided.*

Proof From Lemma 3 we know that there are at most two one-sided curves which have no points in common. Now let L_1, L_2 be two two-sided curves such that $L_1 \not\sim 0$, $L_2 \not\sim 0$ and $L_1 \cap L_2 = \emptyset$. If $K^2 - L_1$ is connected, it is a cylinder from Lemma 3. Thus, $L_1 \sim L_2$ on K^2 . If $K^2 - L_1 = M_1 \cup M_2$, $M_1 \neq M_2$, it is easy to know M_1 and M_2 are both Moebius band with the boundary L_1 from $\chi(K^2) = 0$. Thus, $L_1 \sim L_2$ on K^2 from Lemm 2a no matter which L_2 belongs to.

Now we can prove the following theorem.

Theorem 4. *Let M be a closed nonorientable surface of genus g and let r_1 (r_2) denote the number of simple closed one (two)-sided curves which satisfy the property A on M . Then*

- (1) $r_1 \leq g$, $r_2 \leq 2g - 3$;
- (2) the case that $r_1 = g$ and $r_2 = 2g - 3$ can occur on M .

Proof It is clear that $r_1 \leq g$ from Lemma 3. Now we prove $r_2 \leq 2g - 3$ by induction. The proposition is true for $g = 1, 0$ by Lemmas 2 and 5. Suppose it has been proved for surfaces of genus $\leq g - 1$. Let M be a surface of genus g and let us suppose that there are $2g - 3 + 1$ simple closed two-sided curves L_i , $i = 1, \dots, 2g - 2$, which satisfy the property A. Let $M - L_{2g-2} = M_1 \cup M_2$. Then there are several cases to consider below.

Case A. $M_1 = M_2$.

A1. Assume M_1 is orientable. Then $g_1 = g/2 - 1$ from Lemma 3. If one of L_i , $i = 1, \dots, 2g - 3$, say L_1 , is homotopic to zero on the compactification $A_{xy}(M_1)$, there must be a disk D in $A_{xy}(M_1)$ such that $L_1 = \partial D$ and $x, y \in D$. It follows that the other $2g - 4$ curves satisfy the property A on $A_{xy}(M_1)$. On the other hand, we have $2g - 4 > 3g_1 - 3$, which is contrary to Theorem 1. If none of the curves is homotopic to zero on $A_{xy}(M_1)$, in a way similar to the proof of Theorem 1 (see Fig. 2), we know there are at least $2g - 5$ curves satisfying the property A on $A_{xy}(M_1)$. Then the inequality $2g - 5 > 3g_1 - 3$ gives a contradiction as before.

A2. Assume M_1 is nonorientable. Then $g_1 = g - 2$ from Lemma 3. Similarly, we may prove that there are at least $2g - 5$ curves satisfying the property A. However, $2g - 5 > 2g_1 - 3$, which is contrary to the inductive assumption.

Case B. $M_1 \neq M_2$.

B1. Suppose both M_1 and M_2 are orientable. Then $g = 2g_1 + 2g_2$ from Lemma 4. If n_1 (resp. $n_2 = 2g - 3 - n_1$) of the curves L_i , $i = 1, \dots, 2g - 3$, lie on M_1 (resp. M_2), then the case that $n_1 \leq 3g_1 - 3 + 1$, $n_2 \leq 3g_2 - 3 + 1$ cannot occur at the same time. This contradicts Corollary 2.

B2. Suppose that one of M_1 and M_2 , say M_1 , is orientable, the other (M_2) is

nonorientable. Then $g = 2g_1 + g_2$. Let n_1 and n_2 be as above. The case that $n_1 \leq 3g_1 - 3 + 1$ and $n_2 \leq 2g_2 - 3 + 1$ does not occur. Similarly, the case $n_1 > 3g_1 - 3 + 1$ leads to a contradiction with Corollary 2, and the case $n_2 > 2g_2 - 3 + 1$ with the inductive assumption.

B3. Assume both M_1 and M_2 are nonorientable. Then $g = g_1 + g_2$. Thus, we have either $n_1 > 2g_1 - 3 + 1$ or $n_2 > 2g_2 - 3 + 1$, contradicting the inductive assumption. Hence, we have proved the inequality $r_2 \leq 2g - 3$ by the induction.

The conclusion (2) of the theorem is clear from the night picture.



Fig. 6 ($g=5$)

Corollary 4. Let M be a nonorientable surface of genus g with the boundary of r components $g + r \geq 2$. There exist at most $3g - 3 + 2r$ simple closed curves which satisfy the property A, of which at most g are one-sided, at most $2g - 3 + 2r$ are two-sided.

Theorem 5. Let M be a nonorientable surface of genus g (≥ 2) with the boundary of r components and let r_1 ($r_2 = r'_2 + r''_2$) denote the number of simple closed one (two)-sided curves which satisfy the property A on M , where r'_2 denotes the number of such curves that all of them do not divide M , $r''_2 = r_2 - r'_2$. Then

$$(i) \quad r_1 + 2r'_2 \leq g;$$

$$(ii) \quad r'_2 + r''_2 \leq 1 \text{ if } g = 2 \text{ and } r = 0, \quad r'_2 + 2r''_2 \leq 2g - 3 + 2r \text{ if } g + r \geq 3. \text{ Hence, } r'_2 \leq [(g - r_1)/2], \quad r_1 + r''_2 + 4r'_2 \leq 3g - 3 + 2r \text{ for } g + r \geq 3.$$

Proof Let L_1, \dots, L_{r_1} be the two-sided curves such that $M_0 = M - L_1 - \dots - L_{r_1}$ is still connected. If M_0 is nonorientable, then its genus is $g_0 = g - 2r'_2$ from Lemma 3, and so by Corollary 4 $r_1 \leq g_0$, $r'_2 + 2r''_2 \leq 2g_0 - 3 + 2(r + 2r'_2)$, which give (i) and (ii) for $g + r \geq 3$. If M_0 is orientable, we write $r'_2 = i + j$, $i \geq 0$, and suppose without loss of generality that $M_1 = M - L_1 - \dots - L_i$ is nonorientable, whereas $M_2 = M_1 - L_{i+1}$ is orientable. Therefore, $M_3 = M_2 - L_{i+2} - \dots - L_{i+j}$ is orientable (in this case r_1 must be zero and g even). Then from Lemma 3 the genus of M_k , for $k = 1, 2, 3$, is the following: $g_1 = g - 2i$, $g_2 = g_1/2 - 1$, $g_3 = g_2 - (j - 1) = g_1/2 - j = g/2 - r'_2$. Thus from Corollary 2, $0 \leq g_3$, and

$$r'_2 + 2r''_2 \leq \begin{cases} 3g_3 - 3 + 2(r + 2r'_2) & \text{if } g_3 \geq 2; \\ g_3 + 2(r + 2r'_2) - 1 & \text{if } g_3 = 1; \\ 2(r + 2r'_2) - 3 & \text{if } g_3 = 0, r > 0. \end{cases}$$

Now it is easy to show the conclusions (i) and (ii) in all the cases. Thus the proof is completed.

In the rest we apply the theorems above to continuous flows. First, by Theorem 4 we have the following theorem.

Theorem 6. Let M be a closed nonorientable surface of genus g (≥ 2) and let f be a continuous flow on M . Then f has at most $3g - 3$ periodic orbits satisfying the

property A on M , of which at most g are one-sided, at most $2g-3$ are two-sided. Moreover, these numbers are always achieved by a flow.

Proof. We need only to construct a flow as required. Let L be the equator on sphere S^2 , $A_i \in L$, $i=1, \dots, g$. Let D_i be a disk with center at point A_i , such that $D_i \cap D_j = \emptyset$ for $i \neq j$, $i, j=1, \dots, g$. Let $S^2 - L = S_1 \cup S_2$. We define a flow on $S^2 - \bigcup_{i=1}^g D_i$ whose structure of orbits is indicated in the following Fig. 7.

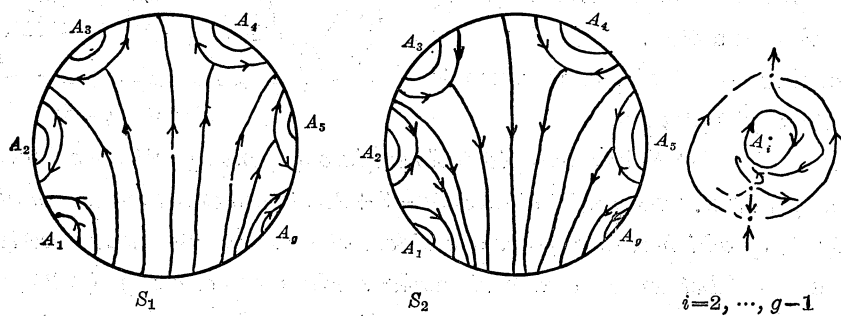


Fig. 7

On considering of P stable orbits and applying Theorem 5 we obtain the following theorem.

Theorem 7. Let M be a nonorientable surface of genus g (≥ 1) with the boundary of r components and let f be a continuous flow on M . Let r_0 (resp. r_1 , r_2) denote the number of distinct P stable orbit closures (resp. one, two-sided periodic orbits which satisfy the property A). Then

$$2r_0 + r_1 \leq g, \quad 2r_0 + r_2 \leq 2g - 3 + 2r \text{ for } g \geq 1, r \geq 0.$$

Hence, $4r_0 + r_1 + r_2 \leq 3g - 3 + 2r$ for $g + r \geq 2$.

Proof. The conclusion is true from Lemma 2 and Corollary 4 for $g=1$ and 2 since now $r_0=0$. For $g \geq 3$, we can construct a new flow f' with r_0 two-sided periodic orbits all of which do not divide M by means of the method of the proof of Theorem 4^[8]. Moreover, the $r_1 + r_2$ periodic orbits of f are still those of f' . Now the conclusion is clear from Theorem 5.

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