THE NIELSEN ROOT NUMBER FOR THE COMPLEMENT

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ABSTRACT. The purpose of this paper is to introduce the Nielsen root number for the complement N(f; X - A, c) which shares such properties with the Nielsen root number N(f; c) as lower bound and homotopy invariance.

1. Introduction

In Nielsen fixed point theory, the relative Nielsen number N(f; X, A) is introduced in Schirmer [5], which is the better, and ideally sharp, lower bound for the minimum number of fixed points in the relative homotopy class of $f: (X, A) \to (X, A)$.

Zhao [7] considered the minimum number MF[f; X - A] of fixed points on the complement X - A and defined the Nielsen number on the complementary space, N(f; X - A) which is a lower bound for MF[f; X - A], and has the same basic properties as N(f; X, A).

The Nielsen root number N(f;c) of a map $f:X\to Y$ at a point $c\in Y$ is a homotopy invariant lower bound for the number of roots at c, that is, for the cardinality of $f^{-1}(c)$. Similarly, Yang [6] defined the relative root Nielsen number N(f;X,A,c) which gives us a better lower bound for the minimum number MR[f;X,A,c] of roots in the homotopy class of the map $f:(X,A)\to (Y,B)$, that is $N(f;X,A,c)\geq N(f;c)$.

It is the purpose of this paper, to determine the minimal number MR[f; X - A, c] of roots on the complement X - A. The Nielsen root number on the complementary space, N(f; X - A, c) is defined, which is a lower bound for MR[f; X - A, c], and has the basic properties. The method used here follows that of Zhao [7].

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2. Weakly common root classes

Let $f:(X,A)\to (Y,B)$ be a map of pairs of compact polyhedra with X,Y connected. We denote the set of roots of f at $c\in B$ by

$$\Gamma(f,c) = \{x \in X \mid f(x) = c\}.$$

We shall write $\bar{f}:A\to B$ be a restriction of $f:(X,A)\to (Y,B)$ to A and $\Gamma(\bar{f},c)=\Gamma(f,c)\cap A$ if $c\in B$.

Throughout this paper c will be a point of $B \subset Y$. For this map f, let $\widehat{A} = \bigcup_{k=1}^n A_k$ be the disjoint union of all components of A such that for each k, A_k is mapped by f into some component B_c (containing c) of B.

Then we shall write $f_k: A_k \to B_c$ for the restriction of f to A_k . And we have a morphism of maps

$$egin{array}{ccc} A_k & \stackrel{f_k}{\longrightarrow} & B_c \\ i_k & & \downarrow j \\ X & \stackrel{f}{\longrightarrow} & Y \end{array}$$

where i_k, j are inclusions. The spaces X, Y are connected to have universal covering spaces. The universal covering will be denoted by $p: \tilde{X} \to X, \ q: \tilde{Y} \to Y$ and $p_k: \tilde{A}_k \to A_k, q_c: \tilde{B}_c \to B_c, k = 1, \cdots, n$. And γ denotes a covering translation.

For each k, we pick a lifting (\tilde{i}_k, \tilde{j}) of (i_k, j) such that the diagrams

$$\tilde{A}_{k} \xrightarrow{\tilde{i}_{k}} \tilde{X} \qquad \qquad \tilde{B}_{c} \xrightarrow{\tilde{j}} \tilde{Y}$$
 $p_{k} \downarrow \qquad \qquad \downarrow p \qquad \text{and} \qquad q_{c} \downarrow \qquad \qquad \downarrow q$
 $A_{k} \xrightarrow{i_{k}} X \qquad \qquad B_{c} \xrightarrow{j} Y$

commute.

This $\tilde{i}_k(\tilde{j})$ determines a correspondence $i_{k,\mathrm{lift}}(\tilde{j}_{\mathrm{lift}})$ from liftings of f_k to liftings of f.

Lemma 2.1. Given \tilde{f}_k of f_k and \tilde{i}_k of i_k and \tilde{j} of j there exist a unique lifting \tilde{f} of f such that

$$egin{array}{ccccc} ilde{A}_k & \stackrel{\gamma_k}{\longrightarrow} & ilde{A}_k & \stackrel{ ilde{f}_k}{\longrightarrow} & ilde{B}_c \\ ilde{\imath}_k & & & & & & & & \downarrow ilde{\jmath} \\ ilde{X} & \stackrel{\gamma}{\longrightarrow} & ilde{X} & \stackrel{ ilde{f}}{\longrightarrow} & ilde{Y} \end{array}$$

commutes.

Proof. Pick a point $\tilde{x}_0 \in \tilde{A}_k$ and let $\tilde{c} = \tilde{f}_k(\tilde{x}_0) \in \tilde{B}_c$. Then there exists a unique lifting \tilde{f} of f such that $\tilde{j}(\tilde{c}) = \tilde{f}(\tilde{i}_k(\tilde{x}_0))$. $\tilde{j} \circ \tilde{f}_k$ and $\tilde{f} \circ \tilde{i}_k$ are liftings of the same map $j \circ f_k = f \circ i_k : A_k \to Y$ and they agree at \tilde{x}_0 .

By the unique lifting property of covering spaces, we have

$$\tilde{j} \circ \tilde{f}_k = \tilde{f} \circ \tilde{i}_k.$$

Definition 2.2. Two liftings \tilde{f}_1 and \tilde{f}_2 of $f: X \to Y$ are said to be *conjugate* if there exists a covering transformation $\gamma: \tilde{X} \to \tilde{X}$ such that $\tilde{f}_1 = \tilde{f}_2 \circ \gamma$. Lifting classes are the equivalence classes by conjugacy.

Lemma 2.3.

- (a) $\Gamma(f;c) = \bigcup_{\tilde{f}} p \Gamma(\tilde{f};\tilde{c}).$
- (b) $p\Gamma(\tilde{f}_1;\tilde{c}) = p\Gamma(\tilde{f}_2;\tilde{c}) \text{ if } \tilde{f}_1 \sim \tilde{f}_2 \text{ (i. e., } [\tilde{f}_1] = [\tilde{f}_2]).$
- (c) $p\Gamma(\tilde{f}_1;\tilde{c}) \cap p\Gamma(\tilde{f}_2;\tilde{c}) = \emptyset$ if $[\tilde{f}_1] \neq [\tilde{f}_2]$.

Proof.

- (a) If $x_0 \in \Gamma(f; c)$, pick $\tilde{x}_0 \in p^{-1}(x_0)$. Then there exists \tilde{f} such that $\tilde{f}(\tilde{x}_0) = \tilde{c}$. Hence $x_0 \in p\Gamma(\tilde{f}; \tilde{c})$.
- (b) Let $\tilde{f}_1 = \tilde{f}_2 \circ \gamma$. If $\tilde{x} \in \Gamma(\tilde{f}_1; \tilde{c})$, then $\tilde{f}_1(\tilde{x}) = \tilde{f}_2 \circ \gamma(\tilde{x}) = \tilde{c}$, so that $\gamma(\tilde{x}) \in \Gamma(\tilde{f}_2; \tilde{c})$. Thus $\gamma \Gamma(\tilde{f}_1; \tilde{c}) = \Gamma(\tilde{f}_2; \tilde{c})$. Hence $p \Gamma(\tilde{f}_1; \tilde{c}) = p\Gamma(\tilde{f}_2; \tilde{c})$.
- (c) If $x \in p\Gamma(\tilde{f}_1; \tilde{c}) \cap p\Gamma(\tilde{f}_2; \tilde{c})$, then there are $\tilde{x}_1, \tilde{x}_2 \in p^{-1}(x)$ such that $\tilde{f}_1(\tilde{x}_1) = \tilde{c}$ and $\tilde{f}_2(\tilde{x}_2) = \tilde{c}$. Suppose $\tilde{x}_1 = \gamma \tilde{x}_2$. Then $\tilde{f}_1(\gamma \tilde{x}_2) = \tilde{f}_2(\tilde{x}_2)(=\tilde{c})$. Thus

$$\tilde{f}_1 \gamma = \tilde{f}_2$$
, i. e., $[\tilde{f}_1] = [\tilde{f}_2]$.

The subset $p\Gamma(\tilde{f};\tilde{c})$ of $\Gamma(f;c)$ is called the root class of f determined by the lifting class $[\tilde{f}]$. Define $\tilde{i}_{k,\text{lift}}(\tilde{f}_{k}) = \tilde{f}$ if $\tilde{j} \circ \tilde{f}_{k} = \tilde{f} \circ \tilde{i}_{k}$. And $\tilde{i}_{k,\text{lift}}$ induce a correspondence from lifting classes of f_{k} to lifting classes of f, which is independence of the choice of lifting \tilde{i}_{k} of i_{k} and is determined by i_{k} itself. It is denoted

$$i_k^*: C(f_k) \to C(f)$$

where C(f) is the lifting class of f.

Recall that a root class is always labelled by a lifting class, and we have

Proposition 2.4. Every root class of $f_k: A_k \to B_c$ belongs to unique root class of $f: X \to Y$. When $p_k \Gamma(\tilde{f}_k; c)$ is non-empty, $p_k \Gamma(\tilde{f}_k; c)$ belongs to $p \Gamma(\tilde{f}; c)$ if and only if $i_k^*[\tilde{f}_k] = [\tilde{f}]$.

Let $H: f_0 \simeq f_1: (X,A) \to (Y,B)$ be a relative homotopy between f_0 and f_1 , $x_i \in \Gamma(f_i;c)$ and R_i a root class in $\Gamma'(f_i;c)$ containing x_i . If there exists in X a path α from x_0 to x_1 such that

$$[\Delta(H,\alpha)] = [c],$$

then x_0 and x_1 are said to be in correspondence under H and denoted by x_0Hx_1 , where $\Delta(H,\alpha)$ is a diagonal path defined by $\Delta(H,\alpha)(t) = H(\alpha(t),t), 0 \le t \le 1$. This relation x_0Hx_1 induces a correspondence from R_o to R_1 under H, which is denoted by R_0HR_1 .

Let $f:(X,A)\to (Y,B)$ be a mapping under $H:f\simeq H(\cdot,1):(X,A)\to (Y,B)$ a relative homotopy. Let the root class in $\Gamma'(f;c)$ be denoted by R. If $R\in \Gamma'(f;c)$ corresponds to a root class $\in \Gamma'(H(\cdot,1);c)$ under any such H, then R is called an essential root class.

As Zhao [7] has defined, we have a similar definition in the case of roots.

Definition 2.5. A root class $p\Gamma(\tilde{f};c)$ of $f:X\to Y$ is a weakly common root class of f and \bar{f} if it contains a root class of $f_k:A_k\to B_c$ for some k. It is an essential weakly common root class of f and \bar{f} if it is an essential root class of f as well as a weakly common root class of f and \bar{f} . We write $E(f,\bar{f};c)$ for the number of essential weakly common root classes of f and \bar{f} .

Theorm 2.6. A root x_0 of f belongs to a weakly common root class of f and \bar{f} (at c) if and only if there is a path α from x_0 to A such that $c \simeq f \circ \alpha : I, 0, 1 \to Y, c, B$.

Proof. " \Rightarrow " Let x_0 belong to a weakly common root class $p\Gamma(\tilde{f};c)$ of f and \bar{f} at $c \in B_c$. Suppose $\tilde{x}_0 \in p^{-1}(x_0)$ and $\tilde{f}(\tilde{x}_0) = \tilde{c}$. By assumption, there is a lifting \tilde{f}_k of $f_k : A_k \to B_c$ so that $(\tilde{i}_k)_{\text{lift}}(\tilde{f}_k) = \tilde{f}$. Pick a point $\tilde{a} \in \tilde{i}_k(\tilde{A}_k)$, then $\tilde{f}(\tilde{a}), \tilde{c} \in \tilde{j}(\tilde{B}_c)$. Take a path $\tilde{\alpha}$ in \tilde{X} from \tilde{x}_0 to \tilde{a} . Since \tilde{Y} is 1-connected, there is a homotopy of the form

$$ilde{c}\simeq ilde{f}\circ ilde{lpha}:I,0,1 o ilde{Y}, ilde{f}(ilde{x}_0), ilde{j}(ilde{B}_c).$$

Projecting down to Y, we have

$$c \simeq f \circ \alpha : I, 0, 1 \rightarrow Y, c, B$$

where $\alpha = q \circ \tilde{\alpha}$.

" \Leftarrow " Suppose $x_0 \in p\Gamma(\tilde{f};c)$, $\tilde{x}_0 \in p^{-1}(x_0)$ and $\tilde{f}(\tilde{x}_0) = \tilde{c}$. Lift a path α from \tilde{x}_0 to get a path $\tilde{\alpha}$ in \tilde{X} . Let $a = \alpha(1) \in A_k, b = f_k(a) \in B_c$, and pick $\tilde{a} \in (p_k)^{-1}(a), \tilde{b} \in A_k$

 $(q_c)^{-1}(b)$, then there are liftings \tilde{i}_k, \tilde{j} (resp.) of i_k, j (resp.) such that

commute (see Jiang [2, p. 42, Proposition 1.2 (i)]). Let $H: I \times I \to Y$ be the homotopy from $f \circ \alpha$ to c, i.e., $H(t,0) = f \circ \alpha$, H(t,1) = c. Then $\widetilde{f} \circ \alpha$ determines a lifting $\tilde{H}: I \times I \to \tilde{Y}$ of H. Denote β the path $\{H(1,s)\}_{0 \le s \le 1}$ in B_c . Lift the path $\beta: I \to B_c$ from \tilde{b} to get a path $\tilde{\beta}$ in \tilde{B}_c , then $\tilde{j} \circ \tilde{\beta}: I \to \tilde{Y}$ is a lifting from $\widetilde{f}\alpha(1)$ in \tilde{Y} of the path $j \circ \beta$.

By the unique lifting property of covering spaces, we have $\tilde{H}(1,s) = \tilde{j} \circ \tilde{\beta}(s)$. Then $\tilde{j} \circ \tilde{\beta}(0) = \tilde{H}(1,0) = \tilde{f} \circ \alpha(1)$ and $\tilde{j} \circ \tilde{\beta}(1) = \tilde{H}(1,1) = \tilde{c}$, there exists a unique lifting \tilde{f}_k of $f_k : A_k \to B_c$ such that $\tilde{f}_k(\tilde{a}) = \tilde{\beta}(0) = \tilde{b}$. Thus $\tilde{j} \circ \tilde{f}_k(\tilde{a}) = \tilde{f} \circ \tilde{i}_k(\tilde{a})$. By the unique lifting property of covering spaces, we have $\tilde{j} \circ \tilde{f}_k = \tilde{f} \circ \tilde{i}_k$, i.e., $\tilde{f} = (\tilde{i}_k)_{\text{lift}}(\tilde{f}_k)$. This implies $[\tilde{f}] = i_k^*[\tilde{f}_k]$, i.e., $p \Gamma(\tilde{f}; c)$ is a weakly common root class of f and \tilde{f} .

Corollary 2.7. A root class of $f: X \to Y$ containing a root on A is a weakly common root class of f and \bar{f} .

In Yang [6], the number $N(f, \bar{f}; c)$ of essential common root classes of f and \bar{f} is introduced, and we have

Proposition 2.8. $N(f, \bar{f}; c) \leq E(f; \bar{f}, c) \leq N(f; c)$.

Proof. By the Corollary 2.7 and Yang [6, Definition 2.1], we know that a common root class is always a weakly common root class. This implies the left inequality. The right one is obvious.

Theorm 2.9 (Homotopy Invariance). If two maps $f_0 \simeq f_1 : (X, A) \to (Y, B)$ are homotopic, then $E(f_0, \bar{f}_0; c) = E(f_1, \bar{f}_1; c)$.

Proof. Let $(h_t, \bar{h}_t): (X, A) \to (Y, B)$ be a (relative) homotopy between f_0 and f_1 . There exist a bijection $\{h_t\}: \Gamma'(f_0) \to \Gamma'(f_1)$. It suffices to show $\{h_t\}$ sends weakly common root classes to weakly common root classes. Let $p\Gamma(\tilde{f}_0; c)$ be a weakly common root class of f_0 and \bar{f}_0 , then there exist a component A_k of \widehat{A} and a lifting class $[\widetilde{f_0}_k]$ of $f_{0k}: A_k \to B_c$ such that $i_k^*[\widetilde{f_0}_k] = [\tilde{f}_0]$.

Let $\{h_{k,t}\}$, which is the restriction of h_t to A_k , send $[\widetilde{f_0}_k]$ to $[\widetilde{f_1}_k]$, then we have a commutative diagram

$$\begin{array}{ccc}
[\widetilde{f_0}_k] & \xrightarrow{\{h_{k,t}\}} & [\widetilde{f_1}_k] \\
\downarrow^{i_k} \downarrow & & \downarrow^{i_k} \\
[\widetilde{f_0}] & \xrightarrow{\{h_t\}} & [\widetilde{f_1}]
\end{array}$$

Thus, $\{h_t\}$ send $[\tilde{f}_0]$ to $[\tilde{f}_1] = i_k^* [\widetilde{f}_{1k}]$, we get the conclusion.

In general, $E(f, \bar{f}; c)$ is different from $N(f, \bar{f}; c)$. A simple example is the identity map $f: (S^1, J) \to (S^1, J)$ of the pair of unit circle and its subset $J = e^{i\theta} \left(-\frac{\pi}{2} \le \theta \le \frac{\pi}{2}\right)$. Let $c = (1, 0) \in J$, it is easy to see that $N(f; c) = 1, N(\bar{f}; c) = 0$. And by definition $N(f, \bar{f}; c) = 0$. But $E(f, \bar{f}; c) = 1$.

Definition 2.10. The number of essential root classes of $f: X \to Y$ which are not weakly common root classes is called the Nielsen root number of f on the complementary space X - A, denoted N(f; X - A, c).

By definition N(f; X - A, c) is a non-negative integer, and

$$N(f; X - A, c) + E(f; \overline{f}, c) = N(f; c).$$

And we also have the basic properties of N(f; X - A, c).

Theorm 2.11 (Lower Bound). Any map $f:(X,A) \to (Y,B)$ has at least N(f;X-A,c) roots on X-A. Thus $N(f;X-A,c) \leq MR[f;X-A,c]$.

Proof. Recall that each essential root class contains at least one root. By Corollary 2.7, we shall get the conclusion.

Theorm 2.12 (Homotopy Invariance). Let (X, A), (Y, B) be pairs of compact polyhedra with X, Y connected. If the maps $f_0, f_1 : (X, A) \to (Y, B)$ are homotopic, then

$$N(f_0; X - A, c) = N(f_1; X - A, c).$$

Proof. It is known (cf. Kiang [3, p. 129, Theorem 4.14]) that $N(f_0; c) = N(f_1; c)$, and $E(f_0, \bar{f}_0; c) = E(f_1, \bar{f}_1; c)$ from Theorem 2.9.

By definition of
$$N(f; X - A, c)$$
, we have the conclusion.

3. Computation of N(f; X - A, c)

Theorm 3.1. Let $f:(X,A) \to (Y,B)$ be a map of pairs of compact polyhedra. If there is a component A_k of \widehat{A} such that $j_{\pi}:\pi_1(B_c) \to \pi_1(Y)$ is onto, then N(f;X-A,c)=0.

Proof. By Jiang [2, p. 46, Theorem 1.14 (i)], j_{π} is surjective. Then every root class of $f: X \to Y$ is a weakly common root class of f and \bar{f} .

Pick a base point $a_k \in A_k$ for each $A_k \subset \widehat{A}$ such that $f(a_k) = c, x_0 \in X$ and $c \in B_c \subset Y$. Recall that points of universal covering spaces \tilde{A}_k and \tilde{X} of A_k and X are respectively in one-to-one correspondence with the path classes in A_k and X starting from a_k to x_0 . Under this identification, let $\tilde{a}_k \in p_k^{-1}(a_k), \tilde{x}_0 \in p^{-1}(x_0), \tilde{b} \in q_c^{-1}(c)$ and $\tilde{y}_0 \in q^{-1}(c)$ be the constant paths. Then there are unique liftings \tilde{f}_k of f_k and \tilde{f} of f such that $\tilde{f}_k(\tilde{a}_k) = \tilde{b}$ and $\tilde{f}(\tilde{x}_0) = \tilde{y}_0$.

By Brown [1, Lemma 1.13], $\tilde{f}_{k,\pi} = f_{k,\pi}$ and $\tilde{f}_{\pi} = f_{\pi}$. Throughout this section, the liftings \tilde{f}_k of f_k and \tilde{f} of f are chosen as references.

Lemma 3.2. There exist one-to-one correspondence

$$\phi_k: C(f_k) o {\pi_1}'(B_c,c)$$
 $\phi: C(f) o {\pi_1}'(Y,c)$

defined by

$$\phi_k[\alpha_k \circ \tilde{f}_k] = [\alpha_k]$$

$$\phi[\alpha \circ \tilde{f}] \to [\alpha]$$

where $\alpha_k \in \pi_1(B_c, c), \alpha \in \pi_1(Y, c), C(f)$ is the set of all lifting classes of f and $\pi_1'(Y, c)$ is the coset of $\text{Im} f_{\pi}$.

If α_k is coset in $\pi_1(B_c, c)$, then $j_{\pi}(\alpha_k)$ is coset in $\pi_1(Y, c)$. Then the homomorphism $j_{\pi}: \pi_1(B_c, c) \to \pi_1(Y, c)$ induces a transformation $\nu: \pi_1'(B_c, c) \to \pi_1'(Y, c)$ and ν is independent of the choice of the α_k .

Theorm 3.3. Let $f:(X,A) \to (Y,B)$ be a map of pairs of compact polyhedra. A root class of f is a weakly common root class of f and \bar{f} if and only if it corresponds to an element in the image of ν .

Proof. By Lemma 3.2, it suffices to check that the diagram

$$C(f_k) \xrightarrow{i_k^*} C(f)$$

$$\phi_k \downarrow \qquad \qquad \downarrow \phi$$

$$\pi_1'(B_c, c) \xrightarrow{\nu} \pi_1'(Y, c)$$

commutes. Let $[\alpha_k \circ \tilde{f}_k] \in C(f_k)$, then $\phi \circ i_k^* [\alpha_k \circ \tilde{f}_k] = \phi[\alpha \circ \tilde{f}] = [\alpha]$ and $\nu \circ \phi_k [\alpha_k \circ \tilde{f}_k] = \nu[\alpha_k] = [\alpha]$.

Consider the commutative diagram

$$\pi_{1}(B_{c},c) \xrightarrow{\theta_{c}} H_{1}(B_{c}) \xrightarrow{\eta_{A}} \operatorname{coker}(-f_{k,*}: H_{1}(A) \to H_{1}(B))$$

$$\downarrow j_{\pi} \qquad \qquad \downarrow j_{*} \qquad \qquad \downarrow j_{*}$$

$$\pi_{1}(Y,c) \xrightarrow{\theta} H_{1}(Y) \xrightarrow{\eta} \operatorname{coker}(-f_{*}: H_{1}(X) \to H_{1}(Y))$$

where θ_c , θ are abelianization and η_A , η are the natural projections.

By some modification of Lee [4, Lemma 3.4], we have the following lemma.

Lemma 3.4. The compositions $\eta_A \circ \theta_c$ and $\eta \circ \theta$ induce correspondences

$$au_k: {\pi_1}'(B_c, c) o \operatorname{coker}(-f_{k,*})$$

$$au: {\pi_1}'(Y, c) o \operatorname{coker}(-f_*)$$

and the diagram

$$\pi_1'(B_c, c) \xrightarrow{\tau_k} \operatorname{coker}(-f_{k,*})$$
 $\downarrow \downarrow j_*$
 $\pi_1'(Y, c) \xrightarrow{\tau} \operatorname{coker}(-f_*)$

commutes.

Theorm 3.5. Let $f:(X,A) \to (Y,B)$ be as in Theorem 3.3. Suppose Y and B_c are Jiang spaces. Then if $N(f;X,c) \neq 0$, then

$$N(f; X - A, c) = \#\{\operatorname{coker}(-f_*)\} - \#\{\bigcup_{k=1}^{n} j_* \operatorname{coker}(-f_{k,*})\}.$$

Proof. Since $\pi_1(B_c, c)$ and $\pi_1(Y, c)$ are abelian groups, the correspondence τ is bijective. Apply Theorem 3.3 and Lemma 3.4 to get the conclusion.

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