

## Normal families and shared values of meromorphic functions

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*To Professor Józef Siciak, with admiration and friendship*

**Abstract.** Let  $\mathcal{F}$  be a family of meromorphic functions on a plane domain  $D$ , all of whose zeros are of multiplicity at least  $k \geq 2$ . Let  $a, b, c$ , and  $d$  be complex numbers such that  $d \neq b, 0$  and  $c \neq a$ . If, for each  $f \in \mathcal{F}$ ,  $f(z) = a \Leftrightarrow f^{(k)}(z) = b$ , and  $f^{(k)}(z) = d \Rightarrow f(z) = c$ , then  $\mathcal{F}$  is a normal family on  $D$ . The same result holds for  $k = 1$  so long as  $b \neq (m + 1)d$ ,  $m = 1, 2, \dots$ .

**1. Introduction.** Let  $f$  and  $g$  be meromorphic functions on a domain  $D$  in  $\mathbb{C}$ , and let  $a$  and  $b$  be complex numbers. If  $g(z) = b$  whenever  $f(z) = a$ , we write  $f(z) = a \Rightarrow g(z) = b$ . If  $f(z) = a \Rightarrow g(z) = b$  and  $g(z) = b \Rightarrow f(z) = a$ , we write  $f(z) = a \Leftrightarrow g(z) = b$ . If  $f(z) = a \Leftrightarrow g(z) = a$ , then we say that  $f$  and  $g$  share  $a$  in  $D$ .

Mues and Steinmetz [11] proved

**THEOREM A.** *Let  $f$  be a nonconstant meromorphic function, and let  $a_1, a_2$ , and  $a_3$  be distinct complex numbers. If  $f$  and  $f'$  share  $a_1, a_2$ , and  $a_3$ , then  $f \equiv f'$ .*

Schwick [15] discovered a connection between normality criteria and shared values. He proved

**THEOREM B.** *Let  $\mathcal{F}$  be a family of meromorphic functions in a domain  $D$ , and let  $a_1, a_2$ , and  $a_3$  be distinct complex numbers. If, for each  $f \in \mathcal{F}$ ,  $f$  and  $f'$  share  $a_1, a_2$ , and  $a_3$  in  $D$ , then  $\mathcal{F}$  is normal in  $D$ .*

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This result has undergone various extensions [12], [17], [18], culminating in the following result of Pang and Zalcman [13].

**THEOREM C.** *Let  $\mathcal{F}$  be a family of meromorphic functions in a domain  $D$ ; and let  $a$ ,  $b$ , and  $c$  be complex numbers such that  $b \neq a$  and  $c \neq 0$ . If, for each  $f \in \mathcal{F}$ ,  $f(z) = 0 \Leftrightarrow f'(z) = a$ , and  $f(z) = c \Leftrightarrow f'(z) = b$ , then  $\mathcal{F}$  is normal in  $D$ .*

It is natural to ask what can be said if  $f'$  is replaced by  $f^{(k)}$  for  $k \geq 2$  in the above theorems. Frank and Schwick observed that while Theorem A extends in a natural fashion when  $f'$  is replaced by  $f^{(k)}$  [6], Theorem B does not admit such an extension [7]. Chen and Fang [4] proved

**THEOREM D.** *Let  $\mathcal{F}$  be a family of meromorphic functions in a domain  $D$ ; let  $k \geq 2$  be an integer; and let  $a$ ,  $b$ , and  $c$  be complex numbers such that  $b \neq a$ . If, for each  $f \in \mathcal{F}$ ,  $f$  and  $f^{(k)}$  share  $a$  and  $b$  in  $D$ , and all zeros of  $f - c$  have multiplicity at least  $k + 1$ , then  $\mathcal{F}$  is normal in  $D$ .*

In this paper, we extend Theorem C as follows.

**THEOREM 1.** *Let  $\mathcal{F}$  be a family of meromorphic functions in a domain  $D$ ; let  $k$  be a positive integer; and let  $a$ ,  $b$ ,  $c$ , and  $d$  be complex numbers such that  $b \neq a$ ,  $0$  and  $c \neq 0$ . If, for each  $f \in \mathcal{F}$ , all zeros of  $f - d$  have multiplicity at least  $k$ ,  $f(z) = 0 \Leftrightarrow f^{(k)}(z) = a$ , and  $f^{(k)}(z) = b \Rightarrow f(z) = c$ , then  $\mathcal{F}$  is normal in  $D$  for  $k \geq 2$ , and for  $k = 1$  so long as  $a \neq (m + 1)b$ ,  $m = 1, 2, \dots$*

As a consequence, we obtain the following sharpening of Theorem D.

**COROLLARY.** *Let  $\mathcal{F}$  be a family of meromorphic functions in a domain  $D$ ; let  $k \geq 2$  be an integer; and let  $a$ ,  $b$ , and  $c$  be complex numbers such that  $b \neq a$ . If, for each  $f \in \mathcal{F}$ ,  $f$  and  $f^{(k)}$  share  $a$  and  $b$  in  $D$ , and all zeros of  $f - c$  have multiplicity at least  $k$ , then  $\mathcal{F}$  is normal in  $D$ .*

*Proof.* Since  $a \neq b$ , we may assume that  $b \neq 0$ . Consider the family of functions  $\mathcal{G} = \{f - a : f \in \mathcal{F}\}$ . For each  $g \in \mathcal{G}$ , all zeros of  $g - (c - a)$  have multiplicity at least  $k$ . Further, if  $g \in \mathcal{G}$ , then  $g(z) = 0 \Leftrightarrow g^{(k)}(z) = a$ , and  $g(z) = b - a \Leftrightarrow g^{(k)}(z) = b$ . By Theorem 1,  $\mathcal{G}$  is normal on  $D$ ; and hence  $\mathcal{F}$  is normal on  $D$ .

**EXAMPLE 1.** Consider the family  $\mathcal{F} = \{a(e^{nz} - 1)/n : n = 1, 2, \dots\}$  on  $D = \{z : |z| < 1\}$ . Then, for every  $f \in \mathcal{F}$ ,  $f(z) = 0 \Leftrightarrow f'(z) = a$ , and  $f'(z) \neq 0$  (and hence  $f'(z) = 0 \Rightarrow f(z) = c$  for any  $c$ ). But  $\mathcal{F}$  is not normal in  $D$ . This shows that  $b \neq 0$  is necessary in Theorem 1 when  $k = 1$ . For  $k \geq 2$ , Theorem 1 actually holds even when  $b = 0$ . However, we shall not prove that here.

EXAMPLE 2. Let  $a$  and  $b$  be two nonzero numbers such that  $a = (m+1)b$ , where  $m$  is a positive integer. Set

$$f_n(z) = b \left( z - \frac{1}{n} \right) + \frac{1}{m(nz - 1)^m}, \quad n = 1, 2, \dots,$$

and let  $\mathcal{F} = \{f_n\}$ ,  $D = \{z : |z| < 1\}$ . Then

$$f'_n(z) = b - \frac{n}{(nz - 1)^{m+1}}.$$

Clearly, for every  $f \in \mathcal{F}$ ,  $f(z) = 0 \Leftrightarrow f'(z) = a$ , and  $f'(z) \neq b$  (hence  $f'(z) = b \Rightarrow f(z) = c$ ). But  $\mathcal{F}$  is not normal in  $D$ . This means that  $a \neq (m + 1)b$  ( $m = 1, 2, \dots$ ) is necessary in Theorem 1 when  $k = 1$ .

EXAMPLE 3. Fix  $k$  and let  $\{\omega_1, \dots, \omega_k\}$  be the  $k$ th roots of unity (with  $\omega_k = 1$ ). Any function of the form

$$F(z) = \sum_{j=1}^k c_j e^{\omega_j z}$$

clearly satisfies  $F^{(k)} \equiv F$ . The  $k \times k$  Vandermonde determinant defined by  $\omega_j$ ,  $1 \leq j \leq k$ , does not vanish. Hence, solving  $k$  linear equations in  $k$  unknowns, we may choose the  $c_j$  so that the first  $k - 1$  Taylor coefficients of  $F$  vanish at the origin, i.e., so that  $F$  has a zero of exact order  $k - 1$  at 0. Let  $D = \{z : |z| < 1\}$ , and set  $f_n(z) = nF(z)$ ,  $n = 1, 2, \dots$ . Let  $\mathcal{F} = \{f_n\}$ ; then  $\mathcal{F}$  is a family of holomorphic functions on  $D$ . Obviously, for each  $f \in \mathcal{F}$ ,  $f^{(k)} \equiv f$ , so  $f$  and  $f^{(k)}$  share every complex value in  $D$ . But  $\mathcal{F}$  is not normal in  $D$ . This shows that the requirement of multiplicity  $k$  in Theorem 1 cannot be dropped in general.

EXAMPLE 4. Theorem 1 does not hold if the requirement that  $f^{(k)}(z) = b \Rightarrow f(z) = c$  is replaced by  $f(z) = c \Rightarrow f^{(k)}(z) = b$ . Indeed, set

$$f_n(z) = \frac{(nz)^2}{(nz)^2 - 1}, \quad n = 1, 2, \dots,$$

and let  $\mathcal{F} = \{f_n\}$ ,  $D = \{z : |z| < 1\}$ . Then

$$f'_n(z) = \frac{-2n^2 z}{[(nz)^2 - 1]^2}.$$

Obviously, if  $f \in \mathcal{F}$ , then  $f$  and  $f'$  vanish only at 0; also,  $f(z) \neq 1$ . Thus, if we choose  $k = 1$ ,  $a = 0$ , and  $c = 1$ , we have  $f(z) = 0 \Leftrightarrow f'(z) = 0$ , and  $f(z) = 1 \Rightarrow f'(z) = b$  for any  $b$  (since  $f(z) \neq 1$ ). However,  $\mathcal{F}$  is not normal on  $D$ .

THEOREM 2. Let  $f$  be a transcendental meromorphic function,  $k \geq 2$  an integer, and  $a \in \mathbb{C}$ . If all zeros of  $f$  have multiplicity at least  $k$  and  $f(z) = 0 \Leftrightarrow f^{(k)}(z) = a$ , then  $f^{(k)}$  takes on each nonzero finite value  $b$  infinitely many times.

**2. Some lemmas.** For the proofs of our theorems, we need the following lemmas.

LEMMA 1 ([14, Lemma 2]). *Let  $\mathcal{F}$  be a family of functions meromorphic on the unit disc, all of whose zeros have multiplicity at least  $k$ , and suppose that there exists  $A \geq 1$  such that  $|f^{(k)}(z)| \leq A$  whenever  $f(z) = 0$ . Then if  $\mathcal{F}$  is not normal, there exist, for each  $0 \leq \alpha \leq k$ ,*

- (a) a number  $0 < r < 1$ ;
- (b) points  $z_n$ ,  $|z_n| < r$ ;
- (c) functions  $f_n \in \mathcal{F}$ ; and
- (d) positive numbers  $\varrho_n \rightarrow 0$

*such that  $\varrho_n^{-\alpha} f_n(z_n + \varrho_n \zeta) = g_n(\zeta) \rightarrow g(\zeta)$  locally uniformly with respect to the spherical metric, where  $g$  is a nonconstant meromorphic function on  $\mathbb{C}$ , all of whose zeros have multiplicity at least  $k$ , such that  $g^\#(\zeta) \leq g^\#(0) = kA + 1$ . In particular,  $g$  has order at most 2.*

Here, as usual,  $g^\#(\zeta) = |g'(\zeta)|/(1 + |g(\zeta)|^2)$  is the spherical derivative.

REMARK. That all zeros of  $g$  have multiplicity at least  $k$  is immediate from the argument principle. That  $g$  has order at most 2 follows easily from the fact that  $g^\#$  is bounded; cf. [19, p. 217]. For  $0 \leq \alpha < k$ , the hypothesis on  $f^{(k)}(z)$  can be dropped, and  $kA + 1$  can be replaced by an arbitrary positive constant.

LEMMA 2 ([3, Corollary 3]). *Let  $g$  be a meromorphic function with finite order. If  $g$  has only finitely many critical values, then it has only finitely many asymptotic values.*

LEMMA 3 ([1, Lemma 2]; cf. [2, Lemma 3]). *Let  $g$  be a transcendental meromorphic function such that  $g(0) \neq \infty$  and the set of finite critical and asymptotic values of  $g$  is bounded. Then there exists  $R > 0$  such that*

$$|g'(z)| \geq \frac{|g(z)|}{2\pi|z|} \log \frac{|g(z)|}{R}$$

*for all  $z \in \mathbb{C} \setminus \{0\}$  which are not poles of  $g$ .*

LEMMA 4 ([8, Theorem 3], [9, Corollary to Theorem 3.5]). *Let  $f$  be a transcendental meromorphic function, and let  $b$  be a nonzero value. Then, for each positive integer  $k$ , either  $f$  or  $f^{(k)} - b$  has infinitely many zeros.*

LEMMA 5. *Let  $f$  be a transcendental meromorphic function of finite order in the complex plane,  $k$  a positive integer, and  $a$  and  $b \neq 0$  complex numbers. If all zeros of  $f$  have multiplicity at least  $k$  and  $f(z) = 0 \Leftrightarrow f^{(k)}(z) = a$ , then  $f^{(k)} - b$  has infinitely many zeros.*

*Proof.* We consider two cases.

CASE 1:  $f$  has only finitely many zeros. In this case,  $f^{(k)} - b$  has infinitely many zeros by Lemma 4.

CASE 2:  $f$  has infinitely many zeros  $z_1, z_2, \dots$ . We define  $g(z) = f^{(k-1)}(z) - bz$ ; then  $g'(z) = f^{(k)}(z) - b$ . We have to show that  $g'$  has infinitely many zeros. Suppose that  $g'$  has only finitely many zeros; then  $g$  has finitely many critical values. Hence, by Lemma 2,  $g$  has only finitely many asymptotic values. Without loss of generality, we may assume that  $f(0) \neq \infty$  (and hence  $g(0) \neq \infty$ ). Then by Lemma 3 we have

$$\frac{|z_j g'(z_j)|}{|g(z_j)|} \geq \frac{1}{2\pi} \log \frac{|g(z_j)|}{R} = \frac{1}{2\pi} \log \frac{b|z_j|}{R}.$$

In particular,

$$\frac{|z_j g'(z_j)|}{|g(z_j)|} \rightarrow \infty \quad \text{as } j \rightarrow \infty.$$

On the other hand,

$$\frac{|z_j g'(z_j)|}{|g(z_j)|} = \left| \frac{a - b}{b} \right|,$$

a contradiction. It follows that  $g'(z) = f^{(k)}(z) - b$  has infinitely many zeros. This completes the proof of Lemma 5.

LEMMA 6 ([16, Lemma 8]). *Let  $f(z) = a_n z^n + a_{n-1} z^{n-1} + \dots + a_0 + q(z)/p(z)$  where  $a_0, a_1, \dots, a_n$  are constants with  $a_n \neq 0$  and  $p$  and  $q$  are two coprime polynomials, neither of which vanishes identically, with  $\deg q < \deg p$ ; and let  $k$  be a positive integer. If  $f^{(k)}(z) \neq 1$ , then*

$$f(z) = \frac{z^k}{k!} + \dots + a_0 + \frac{1}{(\alpha z + \beta)^m}.$$

Here  $\alpha \neq 0$  and  $\beta$  are constants and  $m$  is a positive integer.

LEMMA 7. *Let  $f$  be a meromorphic function of finite order,  $a$  and  $b \neq 0$  distinct complex numbers, and  $k \geq 2$  a positive integer. If all zeros of  $f$  have multiplicity at least  $k$ ,  $f(z) = 0 \Leftrightarrow f^{(k)}(z) = a$ , and  $f^{(k)}(z) \neq b$ , then  $f$  is constant.*

*Proof.* By Lemma 5,  $f$  is a rational function. We assume  $f(z) = a_n z^n + a_{n-1} z^{n-1} + \dots + a_0 + q(z)/p(z)$ , where  $a_0, a_1, \dots, a_n$  are constants with  $a_n \neq 0$ ,  $q$  and  $p$  are two coprime polynomials with  $\deg q < \deg p$ , and  $n$  is a positive integer. Without loss of generality, we assume that  $b = 1$ . Suppose that  $q$  does not vanish identically. Then by Lemma 6,

$$f(z) = \frac{1}{k!} z^k + \dots + a_0 + \frac{1}{(\alpha z + \beta)^m}, \quad f^{(k)}(z) = 1 + \frac{A}{(\alpha z + \beta)^{k+m}},$$

where  $A \neq 0$ ,  $\alpha \neq 0$  and  $\beta$  are constants. Since the zeros of  $f$  all have multiplicity at least  $k$ , the set  $\{z \in \mathbb{C} : f(z) = 0\}$  has at most  $(k + m)/k$

distinct elements, while the set  $\{z \in \mathbb{C} : f^{(k)}(z) = a\}$  has  $k + m$  distinct elements. This contradicts the assumptions that  $f(z) = 0 \Leftrightarrow f^{(k)}(z) = a$  and  $k \geq 2$ .

It follows that  $f$  is a polynomial. In this case, one checks easily that  $f$  is constant. The lemma is proved.

Using Lemmas 5 and 6, we obtain, after a simple calculation, the following result.

LEMMA 8 (cf. [13, Lemma 6]). *Let  $f$  be a nonconstant meromorphic function of finite order, and let  $a$  and  $b \neq 0$  be complex numbers. If  $f(z) = 0 \Leftrightarrow f'(z) = a$ , and  $f'(z) \neq b$  in  $\mathbb{C}$ , then*

$$f(z) = b(z - d) + \frac{A}{m(z - d)^m}, \quad a = (m + 1)b,$$

for some  $d \in \mathbb{C}$  and some positive integer  $m$ .

LEMMA 9 ([5], [10]; cf. [2]). *Let  $f$  be a nonconstant meromorphic function on the plane and  $k \geq 2$  a positive integer. Suppose that  $f(z) \neq 0$  and  $f^{(k)}(z) \neq 0$  for all  $z \in \mathbb{C}$ . Then either  $f(z) = e^{Az+B}$  or  $f(z) = \frac{1}{(Az+B)^m}$ , where  $A \neq 0$  and  $B$  are constants and  $m$  is a positive integer.*

**3. Proof of Theorem 1.** We may assume that  $D = \Delta$ , the unit disc. Suppose that  $\mathcal{F}$  is not normal on  $\Delta$ . We consider separately the cases  $d = 0$  and  $d \neq 0$ .

CASE I. Suppose  $d = 0$ . Then by Lemma 1, we can find  $f_n \in \mathcal{F}$ ,  $z_n \in \Delta$ , and  $\varrho_n \rightarrow 0^+$  such that  $g_n(\zeta) = \varrho_n^{-k} f_n(z_n + \varrho_n \zeta)$  converges locally uniformly with respect to the spherical metric to a nonconstant meromorphic function  $g$  on  $\mathbb{C}$ , all of whose zeros have multiplicity at least  $k$ , which satisfies  $g^\#(\zeta) \leq g^\#(0) = k(|a| + 1) + 1$ . In particular,  $g$  is of order at most 2.

We claim that

- (i)  $g(\zeta) = 0 \Leftrightarrow g^{(k)}(\zeta) = a$ , and
- (ii)  $g^{(k)}(\zeta) \neq b$  on  $\mathbb{C}$ .

Suppose that  $g(\zeta_0) = 0$ . Then by the Hurwitz Theorem, there exist  $\zeta_n$ ,  $\zeta_n \rightarrow \zeta_0$ , such that (for  $n$  sufficiently large)  $0 = g_n(\zeta_n) = f_n(z_n + \varrho_n \zeta_n) / \varrho_n^k$ . Thus  $f_n(z_n + \varrho_n \zeta_n) = 0$ . Hence  $f_n^{(k)}(z_n + \varrho_n \zeta_n) = a$ , so that  $g_n^{(k)}(\zeta_n) = f_n^{(k)}(z_n + \varrho_n \zeta_n) = a$ . Since  $g^{(k)}(\zeta_0) = \lim_{n \rightarrow \infty} g_n^{(k)}(\zeta_n) = a$ , we have shown that  $g(\zeta) = 0 \Rightarrow g^{(k)}(\zeta) = a$ .

Suppose now that  $g^{(k)}(\zeta_0) = a$ . We claim that  $g^{(k)} \not\equiv a$ . Indeed, if  $a = 0$ ,  $g$  would be a polynomial of degree less than  $k$  and so could not have zeros of multiplicity at least  $k$ . If  $a \neq 0$ ,  $g$  must be a polynomial of exact degree  $k$ . Since each zero of  $g$  has multiplicity at least  $k$ ,  $g$  must have a single zero

$\zeta_1$  of multiplicity  $k$ , so that  $g(\zeta) = a(\zeta - \zeta_1)^k/k!$ . A simple calculation then shows that

$$g^\#(0) \leq \begin{cases} k/2 & \text{if } |\zeta_1| \geq 1, \\ |a| & \text{if } |\zeta_1| < 1, \end{cases}$$

so that  $g^\#(0) < k(|a| + 1) + 1$ , a contradiction. Since  $g^{(k)}(\zeta_0) = a$  but  $g^{(k)} \not\equiv a$ , there exist  $\zeta_n, \zeta_n \rightarrow \zeta_0$ , such that  $f_n^{(k)}(z_n + \varrho_n \zeta_n) = g_n^{(k)}(\zeta_n) = a$  for  $n$  sufficiently large. It follows that  $f_n(z_n + \varrho_n \zeta_n) = 0$ , so that  $g_n(\zeta_n) = f_n(z_n + \varrho_n \zeta_n)/\varrho_n^k = 0$ . Since  $g(\zeta_0) = \lim_{n \rightarrow \infty} g_n(\zeta_n) = 0$ , we have shown that  $g^{(k)}(\zeta) = a \Rightarrow g(\zeta) = 0$ .

This proves (i).

Next we prove (ii). Suppose  $g^{(k)}(\zeta_0) = b$ . Then  $g(\zeta_0) \neq \infty$ . Further  $g^{(k)} \not\equiv b$ , since that would imply  $g(\zeta) = b(\zeta - \zeta_1)^k/k!$ , which is inconsistent with (i). Thus, by the Hurwitz Theorem, there exist  $\zeta_n, \zeta_n \rightarrow \zeta_0$ , such that (for large  $n$ )  $g_n^{(k)}(\zeta_n) = f_n^{(k)}(z_n + \varrho_n \zeta_n) = b$ . Since  $f_n^{(k)}(z) = b \Rightarrow f_n(z) = c$ , we have  $f_n(z_n + \varrho_n \zeta_n) = c$  and  $g_n(\zeta_n) = f_n(z_n + \varrho_n \zeta_n)/\varrho_n^k = c/\varrho_n^k \rightarrow \infty$ , which contradicts  $\lim_{n \rightarrow \infty} g_n(\zeta_n) = g(\zeta_0) \neq \infty$ . That proves (ii).

If  $k \geq 2$ ,  $g$  is constant by Lemma 7, a contradiction. If  $k = 1$ , then by Lemma 8,

$$g(\zeta) = b(\zeta - d) + \frac{A}{m(\zeta - d)^m}, \quad a = (m + 1)b,$$

for some positive integer  $m$ , a possibility that is ruled out explicitly in the hypothesis of the theorem. Thus  $\mathcal{F}$  is normal on  $D$ .

CASE II. Suppose now that  $d \neq 0$ . We may assume that  $k \geq 2$ . By Lemma 1, we can find  $f_n \in \mathcal{F}$ ,  $z_n \in \Delta$ , and  $\varrho_n \rightarrow 0^+$  such that  $g_n(\zeta) = f_n(z_n + \varrho_n \zeta) - d$  converges locally uniformly with respect to the spherical metric to a nonconstant meromorphic function  $g$  on  $\mathbb{C}$ , all of whose zeros have multiplicity at least  $k$ .

We claim that

- (iii)  $g^{(k)}(\zeta) \neq 0$  on  $\mathbb{C}$ , and
- (iv)  $g(\zeta) \neq -d$  on  $\mathbb{C}$ .

Suppose that  $g^{(k)}(\zeta_0) = 0$ . Clearly  $g^{(k)} \not\equiv 0$ , for otherwise  $g$  would be a polynomial of degree less than  $k$ , and so could not have zeros of multiplicity at least  $k$ . Hence, since  $g_n^{(k)}(\zeta) - \varrho_n^k a \rightarrow g^{(k)}(\zeta)$  on a neighborhood of  $\zeta_0$ , there exist  $\zeta_n, \zeta_n \rightarrow \zeta_0$ , such that (for  $n$  sufficiently large)

$$0 = g^{(k)}(\zeta_0) = g_n^{(k)}(\zeta_n) - \varrho_n^k a = \varrho_n^k [f_n^{(k)}(z_n + \varrho_n \zeta_n) - a].$$

Thus  $f_n^{(k)}(z_n + \varrho_n \zeta_n) = a$ , so that  $f_n(z_n + \varrho_n \zeta_n) = 0$ . It follows that  $g_n(\zeta_n) = f_n(z_n + \varrho_n \zeta_n) - d = -d$ , and so  $g(\zeta_0) = \lim_{n \rightarrow \infty} g_n(\zeta_n) = -d$ .

In a similar fashion, considering  $g_n^{(k)}(\zeta) - \varrho_n^k b$  instead of  $g_n^{(k)}(\zeta) - \varrho_n^k a$ , we obtain  $g(\zeta_0) = c - d$ . Thus  $c = 0$ , contrary to assumption. This completes the proof of (iii).

Finally, we prove (iv). Suppose that  $g(\zeta_0) = -d$ . Then there exist  $\zeta_n$ ,  $\zeta_n \rightarrow \zeta_0$ , such that (for  $n$  sufficiently large)  $-d = g(\zeta_0) = g_n(\zeta_n) = f_n(z_n + \varrho_n \zeta_n) - d$ . Thus  $f_n(z_n + \varrho_n \zeta_n) = 0$ , and hence  $f_n^{(k)}(z_n + \varrho_n \zeta_n) = a$ . It follows that  $g_n^{(k)}(\zeta_n) = \varrho_n^k f_n^{(k)}(z_n + \varrho_n \zeta_n) \rightarrow 0$ . Therefore,  $g^{(k)}(\zeta_0) = \lim_{n \rightarrow \infty} g_n^{(k)}(\zeta_n) = 0$ . But this contradicts (iii). That proves (iv).

Now by Lemma 9, either  $g(\zeta) = -d + e^{A\zeta + B}$  or  $g(\zeta) = -d + 1/(Az + B)^m$ , where  $A \neq 0$  and  $B$  are constants and  $m$  is a positive integer. In either case,  $g$  has a nonempty set of zeros (it is here that we use the assumption  $d \neq 0$ ), all of which are obviously simple. This contradicts the fact that all zeros of  $g$  have multiplicity at least  $k \geq 2$ . Thus, in Case II also,  $\mathcal{F}$  is normal. This completes the proof of Theorem 1.

**4. Proof of Theorem 2.** From Theorem 1, we obtain the following result, which will be used in the proof of Theorem 2.

LEMMA 10. *Let  $\mathcal{F}$  be a family of meromorphic functions in a domain  $D$ ; let  $k \geq 2$  be an integer; and let  $a$  and  $b \neq 0$  be distinct complex numbers. If, for each  $f \in \mathcal{F}$ , all zeros of  $f$  have multiplicity at least  $k$ ,  $f(z) = 0 \Leftrightarrow f^{(k)}(z) = a$ , and  $f^{(k)}(z) \neq b$ , then  $\mathcal{F}$  is normal in  $D$ .*

Now we prove Theorem 2.

In case  $b = a \neq 0$ , the theorem follows at once from Lemma 4. Suppose then that  $b \neq a, 0$ . If  $f$  has finite order, the theorem then follows from Lemma 5. So suppose that  $f$  has infinite order. Then  $f^\#$  is unbounded on  $\mathbb{C}$ , so there exist  $w_n \rightarrow \infty$  such that  $f^\#(w_n) \rightarrow \infty$ . Let  $f_n(z) = f(z + w_n)$  and consider the family  $\mathcal{F} = \{f_n\}$  on the unit disc  $\Delta$ . Clearly, for each  $n$ , all zeros of  $f_n$  have multiplicity at least  $k$  and  $f_n(z) = 0 \Leftrightarrow f_n^{(k)}(z) = a$ . Since  $f_n^\#(0) = f^\#(w_n) \rightarrow \infty$ , no infinite subfamily of  $\mathcal{F}$  is normal on  $\Delta$ . Suppose now that  $f^{(k)}(z) = b$  has only finitely many solutions. Then, since  $w_n \rightarrow \infty$ , there exists  $N$  such that no function in  $\mathcal{F}_N = \{f_n : n \geq N\}$  takes on the value  $b$  in  $\Delta$ . By Lemma 10,  $\mathcal{F}_N$  is normal on  $\Delta$ , a contradiction.

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