

## NORMAL FAMILY OF MEROMORPHIC FUNCTIONS

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ABSTRACT. We study normality for families of meromorphic functions which is related to an extended version of a Hayman's conjecture on value distribution, and prove several normality criteria for meromorphic functions and certain non-homogeneous differential polynomials.

### 1. Introduction and results

We shall use the usual notations and classical results of Nevanlinna's theory (see [16]). Let  $f, g$  be non-constant meromorphic functions and  $c$  be a finite complex number. We say that  $f$  and  $g$  share the value  $c$  if  $f - c$  and  $g - c$  have the same zeros (see [16]). Throughout the paper, we denote by  $\mathbb{C}$  the complex plane and by  $D$  a domain in  $\mathbb{C}$ .

A family  $\mathcal{F}$  of functions meromorphic in  $D$  is said to be normal if each sequence in  $\mathcal{F}$  has a subsequence which converges spherically uniformly on compact subsets of  $D$  [12].

Hayman [7] proposed a well-known conjecture on value distribution: If  $f$  is a transcendental meromorphic functions and  $n$  is a positive integer, then  $f^n f'$  assumes every finite non-zero value infinitely often. This conjecture, following partial results by Clunie [5], Mues [10] and Hayman [7], was finally confirmed by Bergweiler and Eremenko [2], Chen and Fang [4], independently.

In 1993, C. C. Yang, L. Yang and Y. F. Wang [15] considered an extended version of the above Hayman's conjecture and proved that if  $f$  is a transcendental entire function, and  $k, n (\geq 2)$  are positive integers, then  $f(f^{(k)})^n$  assumes every finite non-zero value infinitely often. They also pointed out, but without proof, that the same conclusion holds for  $n = 1$ . Although the current partial answers to this Yang's problem are affirmative (see [1, 3, 8, 9, 11, 13, 14, 18]), the verification of its validity may need more time.

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According to Bloch's principle (see [17, p. 222]), it is natural to consider the normality for family of meromorphic functions corresponding to the above Yang's problem. In this direction, Pang and Zalcman proved the following results.

**Theorem A** ([11]). *Let  $k$  be a positive integer and let  $\mathcal{F}$  be a family of functions holomorphic in a unit disc  $\Delta$  such that each  $f \in \mathcal{F}$  has only zeros of multiplicity at least  $k$ . Suppose that there exist positive integer  $n$  and finite non-zero complex number  $c$  such that  $f^n f^{(k)} \neq c$  for each  $f \in \mathcal{F}$  and all  $z \in \Delta$ . Then  $\mathcal{F}$  is normal in  $\Delta$ .*

In this paper, we study the normality for families of meromorphic functions corresponding to the above Yang's problem and prove the following results.

**Theorem 1.** *Let  $k \geq 3$  be a positive integer and let  $c$  be a finite non-zero complex number. Let  $\mathcal{F}$  be a family of functions meromorphic in  $D$  such that each  $f \in \mathcal{F}$  has only zeros of multiplicity at least  $k$  and poles of multiplicity at least 2. If, for each pair of functions  $f$  and  $g$  in  $\mathcal{F}$ ,  $ff^{(k)}$  and  $gg^{(k)}$  share the value  $c$ , then  $\mathcal{F}$  is normal in  $D$ .*

**Example.** Let  $D = \{z : |z| < 1\}$  and  $\mathcal{F} = \{f_j\}$ , where  $f_j(z) = jz^{k-1}$ ,  $z \in D$ ,  $j = 1, 2, \dots$ . We see that each  $f_j \in \mathcal{F}$  has only zero of multiplicity  $k-1$  and that  $f_j f_j^{(k)}$  and  $f_l f_l^{(k)}$  share  $c$  for each pair of functions  $f_j$  and  $f_l$  in  $\mathcal{F}$ . But  $\mathcal{F}$  is not normal at  $z = 0$ .

The above example shows that the hypothesis that each  $f \in \mathcal{F}$  has only zeros of multiplicity at least  $k$  is best possible for Theorem 1.

For normality criteria concerning differential polynomials, we have:

**Theorem 2.** *Let  $k \geq 3$  be a positive integer and let  $a_1(z), a_2(z), \dots, a_{k+2}(z)$  be functions holomorphic in  $D$  with  $a_{k+2}(z) \neq 0$ . Let  $\mathcal{F}$  be a family of functions meromorphic in  $D$  such that each  $f \in \mathcal{F}$  has only zeros of multiplicity at least  $k$  and poles of multiplicity at least 2. Set*

$$E(f) = \left\{ z \in D : \sum_{m=0}^k a_m(z) f(z) f^{(k-m)}(z) + a_{k+1}(z) f(z) + a_{k+2}(z) = 0 \right\},$$

where  $a_0(z) \equiv 1$  and  $f^{(0)} \equiv f$ . If there exists a constant  $M > 0$  such that  $|f^{(k)}(z)| \leq M$  for each  $f \in \mathcal{F}$  and all  $z \in E(f)$ , then  $\mathcal{F}$  is normal in  $D$ .

Suppose that  $a_m(z) \equiv 0$  for  $m = 1, 2, \dots, k+1$ . Then the following corollaries are immediate results of Theorem 2.

**Corollary 1.** *Let  $k \geq 3$  be a positive integer and let  $c(z)$  be a non-vanishing holomorphic function in  $D$ . Let  $\mathcal{F}$  be a family of functions meromorphic in  $D$  such that each  $f \in \mathcal{F}$  has only zeros of multiplicity at least  $k$  and poles of multiplicity at least 2. If  $f(z) f^{(k)}(z) \neq c(z)$  for each  $f \in \mathcal{F}$  and all  $z \in D$ , then  $\mathcal{F}$  is normal in  $D$ .*

**Corollary 2.** *Let  $k \geq 3$  be a positive integer and let  $c(z)$  be a non-vanishing holomorphic function in  $D$ . Let  $\mathcal{F}$  be a family of functions holomorphic in  $D$  such that each  $f \in \mathcal{F}$  has only zeros of multiplicity at least  $k$ . If  $f(z)f^{(k)}(z) \neq c(z)$  for each  $f \in \mathcal{F}$  and all  $z \in D$ , then  $\mathcal{F}$  is normal in  $D$ .*

Obviously Corollary 2 generalizes Theorem A from a non-zero constant  $c$  to a function  $c(z)$  which is holomorphic and non-vanishing in  $D$  for the cases  $k \geq 3$  and  $n = 1$ .

## 2. Lemmas

**Lemma 1** ([17, p. 216]). *Let  $\mathcal{F}$  be a family of functions meromorphic in the unit disc  $\Delta$ , let  $k, l$  be positive integers and  $\alpha$  be a real number with  $-l < \alpha < k$ . Suppose that all zeros of functions in  $\mathcal{F}$  have multiplicity at least  $k$  and all poles of functions in  $\mathcal{F}$  have multiplicity at least  $l$  and that  $\mathcal{F}$  is not normal at  $z_0 \in \Delta$ . Then there exist functions  $f_j \in \mathcal{F}$ , points  $z_j \in \Delta$ , positive numbers  $\rho_j$  and a non-constant function  $g$  which is meromorphic in  $\mathbb{C}$  such that  $z_j \rightarrow z_0$ ,  $\rho_j \rightarrow 0$  and  $\rho_j^{-\alpha} f_j(z_j + \rho_j \zeta) \rightarrow g(\zeta)$  spherically uniformly on compact sets of  $\mathbb{C}$ .*

**Lemma 2** ([6, Lemma 2]). *Let  $f$  be a non-constant meromorphic function and let  $Q_1[f]$ ,  $Q_2[f]$  be differential polynomials in  $f$ . Let  $n$  be a positive integer and  $f^n Q_1[f] = Q_2[f]$ . If  $\gamma_{Q_2} \leq n$ , then  $m(r, Q_1[f]) = S(r, f)$ , where  $\gamma_{Q_2}$  is the degree of  $Q_2[f]$ .*

To state our lemmas, we need the following notations.

Let  $f$  be a non-constant meromorphic function in  $\mathbb{C}$  and let  $k$  be a positive integer. We denote by  $N_k(r, 1/f)$  the counting function for zeros of  $f$  with multiplicity at most  $k$ ,  $N_{(k)}(r, 1/f)$  the counting function for zeros of  $f$  with multiplicity at least  $k$ , and  $\bar{N}_k(r, 1/f)$  the counting function for zeros of  $f$  with multiplicity  $k$ . As usual, we use  $\overline{N}_k(r, 1/f)$ ,  $\overline{N}_{(k)}(r, 1/f)$  and  $\overline{N}_k(r, 1/f)$  to denote the corresponding reduced ones, without regard to multiplicity.

**Lemma 3.** *Let  $k \geq 3$  be a positive integer and let  $f$  be a transcendental meromorphic function in  $\mathbb{C}$ . If  $f$  has only zeros of multiplicity at least  $k$  and poles of multiplicity at least 2, then  $ff^{(k)}$  assumes every finite non-zero complex number infinitely often.*

*Proof.* Let  $c$  be a finite non-zero complex number. Set

$$(2.1) \quad F = ff^{(k)} - c.$$

By (2.1) we have

$$(2.2) \quad T(r, F) = O(T(r, f)).$$

Rewriting (2.1) as  $F - ff^{(k)} = -c$ , which leads to

$$(-c) \frac{F'}{F} = (F - ff^{(k)}) \frac{F'}{F} = F' - ff^{(k)} \frac{F'}{F} = f'f^{(k)} + ff^{(k+1)} - ff^{(k)} \frac{F'}{F},$$

so that

$$(2.3) \quad f\phi = (-c)\frac{F'}{F},$$

where

$$(2.4) \quad \phi = \frac{f'}{f}f^{(k)} + f^{(k+1)} - f^{(k)}\frac{F'}{F}.$$

We shall show that  $F$  is not a constant. Otherwise we have  $ff^{(k)} \equiv b$  for some constant  $b$ . Since  $f$  has only zeros of multiplicity at least  $k$ , we find  $b \neq 0$  and thus  $f \neq 0$ , which means that  $b/f^2 (\equiv f^{(k)}/f)$  must be an entire function. This together with Nevanlinna's first fundamental theorem yields

$$2T(r, f) + O(1) = T(r, b/f^2) = m(r, b/f^2) = m(r, f^{(k)}/f) = S(r, f),$$

so that  $f$  is a constant. It is impossible. Hence  $F$  is not a constant.

Now we can derive from (2.3) that  $\phi \not\equiv 0$ . By applying Lemma 2 to (2.3) and noting (2.2) we obtain

$$(2.5) \quad m(r, \phi) = S(r, f).$$

From (2.1) we see that any pole of  $f$  must be a simple pole of  $F'/F$ , which and (2.3) means that any pole of  $f$  with multiplicity  $m (\geq 2)$  must be a zero of  $\phi$  with multiplicity  $m - 1$ . Thus we have

$$(2.6) \quad N_{(2)}(r, f) \leq N(r, 1/\phi) + \overline{N}(r, 1/\phi).$$

If  $z_0$  is a zero of  $f$  with multiplicity  $n (\geq k + 1)$ , then we see from (2.1) that  $F'$  has zeros at  $z_0$  with multiplicity at least  $n$  and, so is  $F'/F$  simply noting  $F(z_0) = -c$ . From this and (2.3) it follows that  $z_0$  will never be a pole of  $\phi$ . Therefore, we deduce from (2.4) that  $\phi$  can only have poles at the zeros of  $F$  and the zeros of  $f$  with multiplicity at most  $k$ . This and (2.4) gives

$$(2.7) \quad N(r, \phi) \leq \overline{N}_k(r, 1/f) + \overline{N}(r, 1/F).$$

From (2.2), (2.3) and Nevanlinna's first fundamental theorem, we have

$$(2.8) \quad m(r, f) \leq m(r, 1/\phi) + S(r, f) = T(r, \phi) - N(r, 1/\phi) + S(r, f).$$

Since  $f$  has no simple poles, from (2.5)-(2.8) we obtain

$$(2.9) \quad \begin{aligned} T(r, f) &= m(r, f) + N_{(2)}(r, f) \leq T(r, \phi) + \overline{N}(r, 1/\phi) + S(r, f) \\ &\leq 2T(r, \phi) + S(r, f) \leq 2\overline{N}_k(r, 1/f) + 2\overline{N}(r, 1/F) + S(r, f). \end{aligned}$$

Noting that  $f$  has only zeros with multiplicity at least  $k$ , thus we have

$$(2.10) \quad \overline{N}_k(r, 1/f) = \overline{N}_k(r, 1/f) = \frac{1}{k}N_k(r, 1/f) \leq \frac{1}{k}T(r, f) + O(1).$$

From (2.9) and (2.10) we obtain

$$\left(1 - \frac{2}{k}\right)T(r, f) \leq 2\overline{N}(r, 1/F) + S(r, f),$$

so that  $F$  has infinitely many zeros since  $k \geq 3$ . Lemma 3 is proved. □

**Lemma 4.** *Let  $k \geq 2$  be a positive integer and let  $c$  be a non-zero constant. Suppose that  $f$  is a rational function but not a polynomial and that  $f$  has only zeros of multiplicity at least  $k$  and poles of multiplicity at least 2, then  $ff^{(k)} - c$  has at least two distinct zeros.*

*Proof.* If, to the contrary,  $ff^{(k)} - c$  has at most one zero. We set

$$(2.11) \quad f = \frac{\alpha(z-a_1)^{m_1}(z-a_2)^{m_2} \cdots (z-a_s)^{m_s}}{(z-b_1)^{n_1}(z-b_2)^{n_2} \cdots (z-b_t)^{n_t}} = \frac{Q(z)}{P(z)}, \text{ say,}$$

where  $a_\mu$  ( $\mu = 1, 2, \dots, s$ ),  $b_\nu$  ( $\nu = 1, 2, \dots, t$ ) and  $\alpha (\neq 0)$  are constants,  $P(z)$  and  $Q(z)$  are relatively prime polynomials. By the assumptions we have  $m_\mu \geq k$  ( $\mu = 1, 2, \dots, s$ ) and  $n_\nu \geq 2$  ( $\nu = 1, 2, \dots, t$ ). For simplicity we write

$$(2.12) \quad q = m_1 + m_2 + \cdots + m_s \geq ks,$$

$$(2.13) \quad p = n_1 + n_2 + \cdots + n_t \geq 2t.$$

By differentiating (2.11)  $k$  times we have

$$(2.14) \quad f^{(k)} = \frac{\alpha(z-a_1)^{m_1-k}(z-a_2)^{m_2-k} \cdots (z-a_s)^{m_s-k} G(z)}{(z-b_1)^{n_1+k}(z-b_2)^{n_2+k} \cdots (z-b_t)^{n_t+k}},$$

where  $G(z)$  is a polynomial of degree at most  $k(s+t-1)$ , with constants as coefficients. In fact we have

$$G(z) = (q-p)(q-p-1) \cdots [q-p-(k-1)] z^{k(s+t-1)} + d_1 z^{k(s+t-1)-1} + \cdots + d_{k(s+t-1)}.$$

From (2.11) and (2.14) we get

$$(2.15) \quad ff^{(k)} = \frac{\alpha^2(z-a_1)^{2m_1-k}(z-a_2)^{2m_2-k} \cdots (z-a_s)^{2m_s-k} G(z)}{(z-b_1)^{2n_1+k}(z-b_2)^{2n_2+k} \cdots (z-b_t)^{2n_t+k}} = \frac{Q_1(z)}{P_1(z)}, \text{ say,}$$

where  $P_1(z)$  and  $Q_1(z)$  are also relatively prime polynomials.

If we write  $G(z) = \beta(z-c_1)^{l_1}(z-c_2)^{l_2} \cdots (z-c_q)^{l_q}$ , where  $l_1, l_2, \dots, l_q$  are non-negative integers;  $c_1, c_2, \dots, c_q$  and  $\beta$  are constants with  $\beta \neq 0$ , and then substitute it into (2.15), then by differentiating (2.15) with the same method as (2.14) follows from (2.11), we can deduce that

$$(2.16) \quad (ff^{(k)})' = \frac{\alpha^2(z-a_1)^{2m_1-k-1}(z-a_2)^{2m_2-k-1} \cdots (z-a_s)^{2m_s-k-1} H(z)}{(z-b_1)^{2n_1+k+1}(z-b_2)^{2n_2+k+1} \cdots (z-b_t)^{2n_t+k+1}},$$

where  $H(z)$  is a polynomial with degree at most  $\deg(G) + s + t - 1$ .

We now divide our argument into two cases.

**Case 1.** If  $ff^{(k)} - c$  has exactly one zero, then by (2.15) we may write

$$(2.17) \quad ff^{(k)} = c + \frac{\gamma(z-z_0)^l}{(z-b_1)^{2n_1+k}(z-b_2)^{2n_2+k} \cdots (z-b_t)^{2n_t+k}} = \frac{Q_1(z)}{P_1(z)},$$

where  $l$  is a positive integer and  $\gamma$  is a non-zero constant. Since  $c \neq 0$  we deduce from (2.15) and (2.17) that  $a_\mu \neq z_0$  for  $\mu = 1, 2, \dots, s$ .

By differentiating (2.17) and noting (2.13) we have

$$(2.18) \quad (ff^{(k)})' = \frac{\gamma(z-z_0)^{l-1}U(z)}{(z-b_1)^{2n_1+k+1}(z-b_2)^{2n_2+k+1}\cdots(z-b_t)^{2n_t+k+1}},$$

where  $U(z) = [l-2p-kt]z^t + e_1z^{t-1} + \cdots + e_t$  and  $e_1, \dots, e_t$  are constants.

Next, we shall distinguish two subcases.

**Subcase 1.1.** If  $l \neq 2p+kt$ , then by (2.17) we have  $\deg(P_1) \leq \deg(Q_1)$ . This together with (2.15) implies that  $2p+kt = \deg(P_1) \leq \deg(Q_1) \leq 2q - ks + k(s+t-1)$ , which leads to  $p < q$ .

Noting that  $a_\mu \neq z_0$  for  $\mu = 1, 2, \dots, s$ , thus we have from (2.16) and (2.18)

$$2q - (k+1)s = \sum_{\mu=1}^s (2m_\mu - k - 1) \leq \deg(U) = t.$$

By this together with (2.12), (2.13), we have  $2q \leq (k+1)s + t \leq \frac{3}{2}q + \frac{1}{2}p$  since  $k \geq 2$ . This contradicts  $p < q$ .

**Subcase 1.2.** If  $l = 2p+kt$ , then we see from (2.17) that  $\deg(Q_1) \leq \deg(P_1)$ , and thus by (2.15) we get

$$(2.19) \quad 2q - ks + \deg(G) = \deg(Q_1) \leq \deg(P_1) = 2p + kt.$$

Since  $a_\mu \neq z_0$  for  $\mu = 1, 2, \dots, s$ , again from (2.16), (2.18) we have  $l-1 \leq \deg(H)$  and thus

$$(2.20) \quad 2p + kt = l \leq \deg(H) + 1 \leq \deg(G) + s + t.$$

Using (2.19), (2.20) and noting (2.12), (2.13), we obtain  $2q \leq ks + s + t \leq \frac{3}{2}q + \frac{1}{2}p$  since  $k \geq 2$ , which leads to  $q \leq p$ .

However, if we substitute the fact  $\deg(G) \leq k(s+t-1)$  into (2.20), then we have  $2p + kt \leq k(s+t-1) + s + t$ , which together with (2.12), (2.13) implies that  $2p \leq ks + s + t - k < \frac{3}{2}q + \frac{1}{2}p$ , contradicting  $q \leq p$ .

**Case 2.** If  $ff^{(k)} - c$  has no zeros, then we see that  $l = 0$  in equality (2.17) and thus  $l \neq 2p + kt$ . By the same proceeding as in the subcase 1.1, we can also get a contradiction.

Hence,  $ff^{(k)} - c$  has at least two distinct zeros. Lemma 4 is proved.  $\square$

**Lemma 5.** Let  $k \geq 3$  be a positive integer and let  $c$  be a non-zero constant. If  $f$  is a non-constant meromorphic function such that  $f$  has only zeros of multiplicity at least  $k$  and poles of multiplicity at least 2, then  $ff^{(k)} - c$  has at least two distinct zeros.

*Proof.* Suppose first that  $f$  is a polynomial. Then  $ff^{(k)}$  is also a polynomial with degree at least  $k$  since  $f$  has only zeros of multiplicity at least  $k$ , and thus  $ff^{(k)} - c$  has at least one zero. If  $ff^{(k)} - c$  has exactly one zero, say  $z_0$ , then there exist a non-zero constant  $\lambda$  and a positive integer  $m (\geq k)$  such that  $ff^{(k)} = c + \lambda(z-z_0)^m$ , which, however, must only have simple zero since  $c \neq 0$ . This is impossible because  $f$  is a polynomial and all its zeros have multiplicity at least  $k \geq 3$ .

If  $f$  is rational but not a polynomial, then Lemma 5 follows from Lemma 4 immediately. Finally, if  $f$  is transcendental, then by Lemma 3 we know that  $ff^{(k)} - c$  can assume zero infinitely often. The proof of Lemma 5 is complete.  $\square$

### 3. Proof of Theorem 1

Suppose, to the contrary, that  $\mathcal{F}$  is not normal at  $z_0 \in D$ . Then by Lemma 1 with  $\alpha = k/2$ , there exist points  $z_j \in D$ , functions  $f_j \in \mathcal{F}$  and positive numbers  $\rho_j$  such that  $z_j \rightarrow z_0$ ,  $\rho_j \rightarrow 0$  and

$$g_j(\zeta) = \rho_j^{-\frac{k}{2}} f_j(z_j + \rho_j \zeta) \rightarrow g(\zeta)$$

locally uniformly in  $\mathbb{C}$  with respect to the spherical metric, where  $g$  is a non-constant meromorphic function. By Hurwitz's theorem, we see that all zeros of  $g$  have multiplicity at least  $k$  and all poles of  $g$  have multiplicity at least 2.

On every compact subset of  $\mathbb{C}$ , we have

$$(3.1) \quad f_j(z_j + \rho_j \zeta) f_j^{(k)}(z_j + \rho_j \zeta) - c = g_j(\zeta) g_j^{(k)}(\zeta) - c \longrightarrow g(\zeta) g^{(k)}(\zeta) - c,$$

spherically uniformly.

If  $gg^{(k)} \equiv c$ , then  $g \neq 0, \infty$  since  $c \neq 0$  and thus  $c/g^2 (\equiv g^{(k)}/g)$  is an entire function. This together with Nevanlinna's first fundamental theorem provides

$$2T(r, g) + O(1) = T(r, c/g^2) = m(r, c/g^2) = m(r, g^{(k)}/g) = S(r, g),$$

which implies that  $g$  is a constant. It is a contradiction. Hence  $gg^{(k)} - c \not\equiv 0$ .

By Lemma 5 we know that  $gg^{(k)} - c$  has at least two distinct zeros, say  $\zeta_0$  and  $\zeta_0^*$ . Thus there exists a positive number  $\delta$  and disjoint plane domains  $D_1$  and  $D_2$  such that  $gg^{(k)} - c$  has no other zeros in  $D_1 \cup D_2$  apart from  $\zeta_0$  and  $\zeta_0^*$ , where  $D_1 = \{\zeta \in \mathbb{C} : |\zeta - \zeta_0| < \delta\}$  and  $D_2 = \{\zeta \in \mathbb{C} : |\zeta - \zeta_0^*| < \delta\}$ .

In view of  $gg^{(k)} - c \not\equiv 0$ , by Hurwitz's theorem and (3.1), we see that there exist points  $\zeta_j \in D_1$  and  $\zeta_j^* \in D_2$  such that  $\zeta_j \rightarrow \zeta_0$ ,  $\zeta_j^* \rightarrow \zeta_0^*$  and

$$(3.2) \quad f_j(z_j + \rho_j \zeta_j) f_j^{(k)}(z_j + \rho_j \zeta_j) - c = 0, \quad f_j(z_j + \rho_j \zeta_j^*) f_j^{(k)}(z_j + \rho_j \zeta_j^*) - c = 0$$

for sufficiently large  $j$ . By the hypotheses of Theorem 1,  $f_1 f_1^{(k)}$  and  $f_j f_j^{(k)}$  share the value  $c$  for all integers  $j \geq 2$ . It follows from (3.2) that for  $j$  large enough

$$(3.3) \quad f_1(z_j + \rho_j \zeta_j) f_1^{(k)}(z_j + \rho_j \zeta_j) - c = 0, \quad f_1(z_j + \rho_j \zeta_j^*) f_1^{(k)}(z_j + \rho_j \zeta_j^*) - c = 0.$$

We now claim that  $f_1 f_1^{(k)} - c \not\equiv 0$ . Since otherwise we can deduce that  $f_1$  must be a constant by the same way as we have used above in this section, which contradicts (3.3) and thus our claim is proved. Therefore, the set of all zeros of  $f_1 f_1^{(k)} - c$  has no accumulation points. By considering  $z_j + \rho_j \zeta_j \rightarrow z_0$  and  $z_j + \rho_j \zeta_j^* \rightarrow z_0$ , it follows that, for sufficiently large  $j$ ,  $z_j + \rho_j \zeta_j = z_0$  and  $z_j + \rho_j \zeta_j^* = z_0$ , which leads to  $\zeta_j = \zeta_j^*$ . This contradicts the fact that  $\zeta_j \in D_1$ ,  $\zeta_j^* \in D_2$  and  $D_1 \cap D_2 = \emptyset$ . Theorem 1 is proved.

#### 4. Proof of Theorem 2

If, to the contrary,  $\mathcal{F}$  is not normal at  $z_0 \in D$ , then by Lemma 1 with  $\alpha = k/2$ , there exist points  $z_j \in D$ , functions  $f_j \in \mathcal{F}$  and positive numbers  $\rho_j$  such that  $z_j \rightarrow z_0$ ,  $\rho_j \rightarrow 0$  and  $g_j(\zeta) = \rho_j^{-\frac{k}{2}} f_j(z_j + \rho_j \zeta)$  converges locally uniformly to a non-constant meromorphic function  $g(\zeta)$  in  $\mathbb{C}$ . By Hurwitz's theorem, all zeros of  $g$  have multiplicity at least  $k$  and all poles of  $g$  have multiplicity at least 2. Clearly  $a_{k+2}(z_0) \neq 0, \infty$  since  $a_{k+2}(z)$  is holomorphic and non-vanishing in  $D$ . Hence by Lemma 5 we see that equation  $g(\zeta)g^{(k)}(\zeta) + a_{k+2}(z_0) = 0$  must have a solution in  $\mathbb{C}$ .

We may now assume that there exists  $\xi_0 \in \mathbb{C}$  such that  $g(\xi_0)g^{(k)}(\xi_0) + a_{k+2}(z_0) = 0$ . Then  $g(\xi_0) \neq \infty$  since  $a_{k+2}(z)$  is holomorphic in  $D$ . So there exists  $\delta > 0$  such that  $g(\zeta)$  is analytic in  $D_{2\delta} = \{\zeta \in \mathbb{C} : |\zeta - \xi_0| < 2\delta\}$ . For  $r = 1, 2, \dots, k$ , since  $g_j^{(r)}(\zeta) \rightarrow g^{(r)}(\zeta)$  uniformly in  $D_\delta = \{\zeta \in \mathbb{C} : |\zeta - \xi_0| < \delta\}$ , thus all  $g_j^{(r)}(\zeta)$  are also analytic in  $D_\delta$  for sufficiently large  $j$ . By an elementary computation we have

$$\begin{aligned}
 & g_j(\zeta)g_j^{(k)}(\zeta) \\
 &= f_j(z_j + \rho_j \zeta) \left\{ \sum_{m=0}^k a_m(z_j + \rho_j \zeta) f_j^{(k-m)}(z_j + \rho_j \zeta) + a_{k+1}(z_j + \rho_j \zeta) \right\} \\
 &\quad - f_j(z_j + \rho_j \zeta) \left\{ \sum_{m=1}^k a_m(z_j + \rho_j \zeta) f_j^{(k-m)}(z_j + \rho_j \zeta) + a_{k+1}(z_j + \rho_j \zeta) \right\} \\
 &= f_j(z_j + \rho_j \zeta) \left\{ \sum_{m=0}^k a_m(z_j + \rho_j \zeta) f_j^{(k-m)}(z_j + \rho_j \zeta) + a_{k+1}(z_j + \rho_j \zeta) \right\} \\
 (4.1) \quad & - \sum_{m=1}^k a_m(z_j + \rho_j \zeta) \rho_j^m g_j(\zeta) g_j^{(k-m)}(\zeta) - \rho_j^{\frac{k}{2}} g_j(\zeta) a_{k+1}(z_j + \rho_j \zeta),
 \end{aligned}$$

where  $g_j^{(0)} \equiv g_j$ . Noting that  $\rho_j \rightarrow 0$ ,  $z_j \rightarrow z_0 \in D$  and that for  $m = 1, 2, \dots, k+1$   $a_m(z)$  are analytic in  $D$ , thus there exists a constant  $L > 0$ , depending only on  $z_0$ , such that  $|a_m(z_j + \rho_j \zeta)| \leq L$  for sufficiently large  $j$  and  $\zeta \in D_\delta$ . Therefore, we have uniformly  $\sum_{m=1}^k a_m(z_j + \rho_j \zeta) \cdot \rho_j^m \cdot g_j(\zeta) g_j^{(k-m)}(\zeta) \rightarrow 0$  in  $D_{\delta/2} = \{\zeta \in \mathbb{C} : |\zeta - \xi_0| < \delta/2\}$ . By this and (4.1) we have uniformly in  $D_{\delta/2}$

$$\begin{aligned}
 & f_j(z_j + \rho_j \zeta) \left\{ \sum_{m=0}^k a_m(z_j + \rho_j \zeta) f_j^{(k-m)}(z_j + \rho_j \zeta) + a_{k+1}(z_j + \rho_j \zeta) \right\} \\
 &\quad + a_{k+2}(z_j + \rho_j \zeta) \\
 &= g_j(\zeta)g_j^{(k)}(\zeta) + \sum_{m=1}^k a_m(z_j + \rho_j \zeta) \rho_j^m g_j(\zeta) g_j^{(k-m)}(\zeta)
 \end{aligned}$$



$$(4.2) \quad \begin{aligned} & + \rho_j^{\frac{k}{2}} g_j(\zeta) a_{k+1}(z_j + \rho_j \zeta) + a_{k+2}(z_j + \rho_j \zeta) \\ & \longrightarrow g(\zeta) g^{(k)}(\zeta) + a_{k+2}(z_0). \end{aligned}$$

It is easy to see that  $g(\zeta)g^{(k)}(\zeta) + a_{k+2}(z_0) \neq 0$ . If this is not the case, then we can deduce that  $g$  is a constant as we have done in Section 3, a contradiction.

Now we have shown that  $g(\xi_0)g^{(k)}(\xi_0) + a_{k+2}(z_0) = 0$  and  $g(\zeta)g^{(k)}(\zeta) + a_{k+2}(z_0) \neq 0$ . Hence by (4.2) and Hurwitz's theorem, there exist points  $\zeta_j$  such that  $\zeta_j \rightarrow \xi_0$  and

$$\begin{aligned} & f_j(z_j + \rho_j \zeta_j) \left\{ \sum_{m=0}^k a_m(z_j + \rho_j \zeta_j) f_j^{(k-m)}(z_j + \rho_j \zeta_j) \right. \\ & \left. + a_{k+1}(z_j + \rho_j \zeta_j) \right\} + a_{k+2}(z_j + \rho_j \zeta_j) = 0 \end{aligned}$$

for sufficiently large  $j$ . Thus we see from the hypotheses of Theorem 2 that  $|g_j^{(k)}(\zeta_j)| = \rho_j^{\frac{k}{2}} |f_j^{(k)}(z_j + \rho_j \zeta_j)| \leq \rho_j^{\frac{k}{2}} M$ , and thus  $|g^{(k)}(\xi_0)| = \lim_{j \rightarrow \infty} |g_j^{(k)}(\zeta_j)| = 0$ , which contradicts  $g(\xi_0)g^{(k)}(\xi_0) = -a_{k+2}(z_0) \neq 0$ . The proof of Theorem 2 is complete.

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