

Rational functions with real critical points and the B. and M. Shapiro conjecture in real enumerative geometry

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Abstract

Suppose that $2d - 2$ tangent lines to the rational normal curve of degree d , $z \mapsto (1 : z : \dots : z^d)$ in d -dimensional projective space are given. It was known that the number of codimension 2 subspaces intersecting all these lines is always finite; for a generic configuration it is equal to the d -th Catalan number. We prove that for real tangent lines, all these codimension 2 subspaces are also real. This confirms a special case of a general conjecture of B. and M. Shapiro, which has applications to the problem of pole assignment in the theory of automatic control. Our result is equivalent to the following:

If all critical points of a rational function lie on a circle in the Riemann sphere (for example, on the real line), then the function maps this circle into a circle.

1. Introduction

We may assume that the first circle is the real line $\mathbb{R} \cup \infty$.

Two rational functions f_1 and f_2 will be called equivalent if $f_1 = \ell \circ f_2$, where ℓ is a fractional-linear transformation. Equivalent rational functions have the same critical sets.

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Theorem 1 *If all critical points of a rational function are real then it is equivalent to a real rational function.*

Lisa Goldberg [9] addressed the following question: how many equivalence classes of rational functions of degree d with a given critical set of $2d - 2$ points may exist? She reduced this to the following problem of enumerative geometry:

Problem P. *Given $2d - 2$ lines in general position in projective space \mathbb{CP}^d , how many projective subspaces of codimension 2 intersect all of them?*

The answer to this question, going back to Schubert (e. g. [11]), is

$$u_d = \frac{1}{d} \binom{2d-2}{d-1}, \quad \text{the } d\text{-th Catalan number.} \quad (1)$$

So the result is

Theorem A (L. Goldberg [9]). *The number of equivalence classes of rational functions of degree d with given $2d - 2$ distinct critical points is at most u_d .*

We prove

Theorem 2 *For given $2d - 2$ distinct real points, there exist at least u_d classes of real rational functions of degree d with these critical points.*

Theorems A and 2 imply Theorem 1. In general, even if the lines in Problem P are real, the subspaces of codimension two might not be real [11]. Fulton [7] asked the following general question: how many solutions of a problem of enumerative geometry can be real, when that problem is one of counting geometric figures of some kind having specified position with respect to some general fixed figures. A specific conjecture for the Problem P was made by Boris and Michael Shapiro [17]: if the lines in question are tangent to the rational normal curve at $2d - 2$ real points, then all u_d solutions of the problem are real. Our Theorem 2 implies that this conjecture is true. Notice that every irreducible nondegenerate rational curve is equivalent to the rational normal curve via a projective transformation [10, p. 299]

Another way to reformulate our result is the following. A non-constant rational function of degree at most d is a ratio of two non-proportional polynomials of degree at most d . This leads to parametrization of classes of

rational functions by points of the Grassmanian $G(2, d)$. Critical sets of these functions can be parametrized by points of \mathbb{CP}^{2d-2} (precise definition of these parametrizations is given in Section 7). We have a regular map $\widetilde{W} : G(2, d+1) \rightarrow \mathbb{CP}^{2d-2}$, defined by taking the Wronskian determinant of a pair of polynomials. Theorem A says that this map is finite and has degree u_d . Our Theorem 1 implies that \widetilde{W} is unramified over the real part \mathbb{RP}^{2d-2} .

For a general discussion of the B. and M. Shapiro conjectures, with ample experimental evidence, bibliography and connections with automatic control theory, we refer to the web site [16]. For the closely related problem of pole assignment in the theory of automatic control we refer to [5, 6].

As a corollary from his main result in [15], Sottile proved that there exists an open (in the usual topology) set $X \subset \mathbb{R}^{2d-2}$, such that for $x \in X$ there exist u_d classes real rational functions of degree d , whose sequence of critical points is x . Theorem 2 was also proved by Sottile for $d = 3$, and verified, using computers, for $d \leq 9$. The computation for $d = 9$ ($u_9 = 1,430$) is due to Verschelde [18].

It is interesting that our proof of Theorem 1 is based on the fact that two different combinatorial problems have the same sequence of integers as their solution. These two combinatorial problems are Problem P and the one in Lemma 1 below. We prove Theorem 2 in Sections 2–6 and derive Theorem 1 in Section 7.

The scheme of our proof of Theorem 2 is following. We consider the unit circle \mathbb{T} instead of the real line. Let f be a rational function of degree d , mapping \mathbb{T} into itself, having $2d - 2$ distinct critical points in \mathbb{T} , and properly normalized. We introduce a “net” $\gamma(f) = f^{-1}(\mathbb{T})$, considered modulo symmetric normalized homeomorphisms of the Riemann sphere. Classes of nets are combinatorial objects, describing topological properties of rational functions f . To describe a function f of our class completely, we need one more piece of data, which we call labeling. It is a function on the set of edges of a net, which assigns to each edge the spherical length of its image. We give a precise description of all nets γ and labelings, which may occur. It is important that, for a fixed γ , the space of possible labelings has simple topological structure: it is a convex polytope. This leads to a parametrization of a set R of normalized rational functions mapping \mathbb{T} into itself, with all critical points in \mathbb{T} , by equivalence classes of labeled nets. Similar parametrizations for polynomials and trigonometric polynomials were studied by Arnold

in [2, 3], and for meromorphic functions on arbitrary Riemann surfaces by Vinberg [19], who introduced the nets. The dual graph of a net of a meromorphic function is known in classical function theory as a “line complex,” or a Speiser graph [8, 20]. We use it in our proof of Lemmas 3 and 4.

Non-equivalent nets correspond to non-equivalent rational functions. We fix a net γ , and consider the map Φ from the space of labelings to the space of critical sets. Analyzing the boundary behavior of this map, and using a “continuity method,” we show that Φ surjective. So for a given critical set, each γ gives a rational function of our class R , and it remains to count all possible classes of nets γ . It turns out that there are exactly u_d of them.

We thank Mario Bonk, who suggested the non-trivial normalization (5) of rational functions, and Boris Shapiro, for stimulating discussions of his conjectures.

We prove Theorem 1 only for $d \geq 3$, because it is trivial for $d = 2$, and because our proof would require a modification in this case.

We fix an integer $d \geq 3$. The map $z \mapsto 1/\bar{z}$ will be called the *symmetry*. A map will be called *symmetric* if it commutes with the symmetry. A set will be called *symmetric* if the symmetry leaves it invariant. All homeomorphisms and ramified coverings of the Riemann sphere $\overline{\mathbb{C}} = \mathbb{CP}^1$ are assumed to be orientation-preserving. For a Jordan region D we denote by ∂D its oriented boundary (so that the region is on the left). The unit circle \mathbb{T} is always oriented anticlockwise, so $\mathbb{T} = \partial \mathbb{U}$, where \mathbb{U} is the unit disc. The words “distance” and “diameter” refer to the spherical metric on the Riemann sphere. It is obtained from the standard embedding of $\overline{\mathbb{C}}$ as the unit sphere in \mathbb{R}^3 . This metric induces the ordinary Euclidean metric on the unit circle \mathbb{T} .

2. Nets and their labelings

A *cellular decomposition* of a set $X \subset \overline{\mathbb{C}}$ is a finite partition of X into sets, called cells, each of them homeomorphic to an open unit disc $\mathbb{U}^k \subset \mathbb{R}^k$, $k = 0, 1, 2$; (by definition, $\mathbb{U}^0 = \{\text{one point}\}$), and has closure homeomorphic to the closed disc $\overline{\mathbb{U}}^k$. The cells are called vertices, edges and faces, according to their dimension. The degree of a vertex is the number of edges to whose boundaries this vertex belongs. A *net* $\gamma \subset \overline{\mathbb{C}}$ is the union of edges and vertices of some cellular decomposition of $\overline{\mathbb{C}}$, which satisfies conditions N1-N5 below.

- N1. γ is symmetric,
- N2. $\mathbb{T} \subset \gamma$,
- N3. There are $2d - 2$ vertices, all belonging to \mathbb{T} and having degree 4.
- N4. The point $1 \in \mathbb{T}$ is a vertex.

A cellular decomposition which satisfies N1-N4 is completely determined by its net γ , so we permit ourselves to speak of vertices, edges and faces *of a net*. Because of N3, each face G has even number of boundary vertices. For every γ satisfying N1-N4 we choose certain distinguished elements as follows. Let $v_0 = 1$, and v_1 the next vertex anticlockwise. There is a unique face G_0 , whose boundary contains at least 4 vertices, v_0 and v_1 among them. Let v_{-1} be the vertex preceding v_0 on ∂G_0 . So when tracing ∂G_0 according to its orientation, we consecutively encounter v_{-1}, v_0, v_1 in this order. We also introduce two edges on the boundary of G_0 : $e_1 = [v_0, v_1]$ and $e_{-1} = [v_{-1}, v_0]$. One of these two edges, e' belongs to \mathbb{T} , another, e'' does not. Thus we have double notation for these two edges. For every γ satisfying N1-N4 there is a unique choice for the *distinguished elements* $G_0, v_{-1}, v_0, v_1, e_{-1}, e_1, e',$ and e'' . Now the vertices of γ have natural ordering v_1, \dots, v_{2d-2} , where $v_{2d-2} = v_0$, and $v_{-1} = v_N$, for some $N = N(\gamma) \in [3, 2d - 3]$. Our last condition is the normalization

- N5. $v_{-1} = e^{-2\pi i/3}, \quad v_0 = 1, \quad \text{and} \quad v_1 = e^{2\pi i/3}, \quad \text{the cubic roots of 1.}$

(The particular choice of these three points on \mathbb{T} is irrelevant). Two nets γ_1 and γ_2 are called *equivalent* if there exists a symmetric homeomorphism h of the sphere $\overline{\mathbb{C}}$, such that $h(\gamma_1) = \gamma_2$, and h leaves each cubic root of 1 fixed. Such h induces a bijective correspondence between the cells of the corresponding cellular decompositions, so we can speak of a vertex, an edge or a face of a class of nets. Each distinguished element described above is mapped by h onto a distinguished element with the same name. We denote by $[\gamma]$ the equivalence class of a net γ .

For a net γ we denote by V, E and Q the sets of its vertices, edges and faces, respectively. Euler's formula implies $|Q| = 2d$ and $|E| = 4d - 4$. The

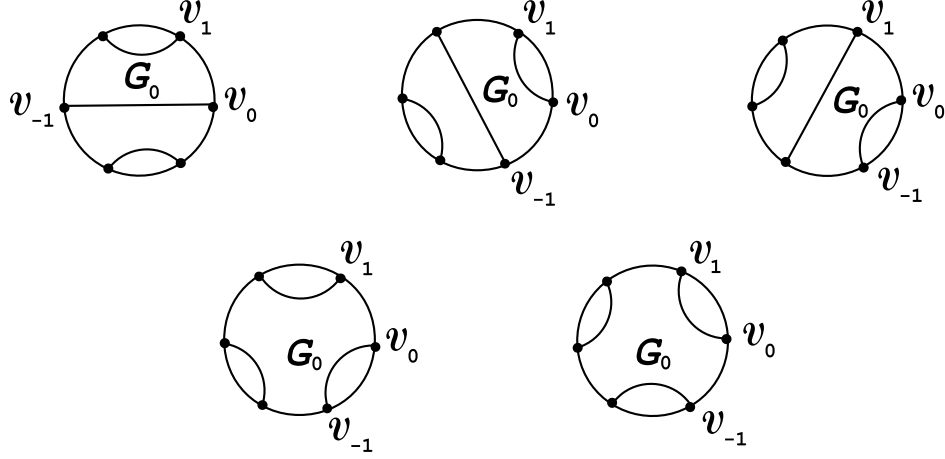


Figure 1: All nets for $d = 4$ (Only the parts in $\overline{\mathbb{U}}$ are shown).

subset $Q^+ \subset Q$ of faces which belong to \mathbb{U} , determines the net and the cellular decomposition completely.

Each class of nets has a *nice representative* $\gamma \subset \overline{\mathbb{C}}$, such that all edges of γ in the interior of the unit disc are spherical geodesics, whose closures we call *chords*.

Figure 1 shows all nets for $d = 4$ with distinguished faces and vertices. For aesthetic reasons we ignored N5 in this picture.

Lemma 1 *There exist exactly u_d classes of nets with $2d - 2$ vertices, where u_d is the Catalan number (1).*

Proof. Because of the symmetry, γ is completely determined by its chords. So we have to solve the following problem: given $2n - 2$ distinct points on a circle, say v_1, \dots, v_{2n-2} , enumerated in the natural cyclic order, find the number of ways u_n to draw $n - 1$ disjoint closed chords through all these points. To introduce a recurrence, we define $u_1 = 1$. We consider the chord passing through v_1 . Let v_k be the other end of this chord. It is clear that k is even, so we set $k = 2m$. This chord separates the picture into two parts, one of them is a topological disc with $2m - 2$ boundary points, connected by disjoint chords, another is a topological disc with $2n - 2m - 2$ boundary points, connected by disjoint chords. From these considerations follows the

recurrence relation

$$u_n = \sum_{m=1}^{n-1} u_m u_{n-m}.$$

Together with the initial condition $u_1 = 1$ this characterizes the Catalan numbers [12, p. 116]. \square

For each net we define a function $\sigma : Q \rightarrow \{1, -1\}$, called *parity*. We put $\sigma(G_0) = 1$, for the distinguished face, and then $\sigma(G)\sigma(G') = -1$ if the faces G and G' have a common edge on their boundaries. Such parity function exists for every cellular decomposition whose vertices have even degree. With our normalization $\sigma(G_0) = 1$, the parity function is unique.

A *labeling* of a net is a non-negative symmetric function on the set of edges, $p : E \rightarrow \mathbb{R}$, satisfying the following two conditions:

$$\sum_{s \in \partial^* G} p(s) = 2\pi \quad \text{for every } G \in Q^+, \quad (2)$$

where $\partial^* G$ is the set of non-oriented edges which belong to the boundary of G , and

$$p(e_1) = p(e_{-1}) = 2\pi/3. \quad (3)$$

A pair (γ, p) is called a *labeled net*. Two labeled nets (γ_1, p_1) and (γ_2, p_2) are *equivalent* if there exists a symmetric homeomorphism $h : \overline{\mathbb{C}} \rightarrow \overline{\mathbb{C}}$, fixing the three cubic roots of 1, and having the properties $h(\gamma_1) = \gamma_2$, and $p_2(h(e)) = p_1(e)$ for every edge e of γ_1 .

A labeling p is called *degenerate* if $p(e) = 0$ for some edges $e \in E$, otherwise it is *non-degenerate*. The space of all labelings \overline{L}_γ is a closed convex polytope in the affine subspace A of \mathbb{R}^{4d-4} , defined by (2), (3) and the symmetry condition. Its interior L_γ with respect to A , which is the set of non-degenerate labelings, is homeomorphic to a cell of dimension $2d - 5$,

3. Degenerate labelings

In this Section we study the structure of the set of degenerate labelings ∂L_γ . For $p \in \overline{L}_\gamma$ we define $Z(p)$ as the union of closed edges e of γ such that $p(e) = 0$, and $D(p)$ as the connected component of $\overline{\mathbb{C}} \setminus Z(p)$ containing G_0 . Notice that $D(p)$ always contains at least 3 boundary edges of G_0 , including

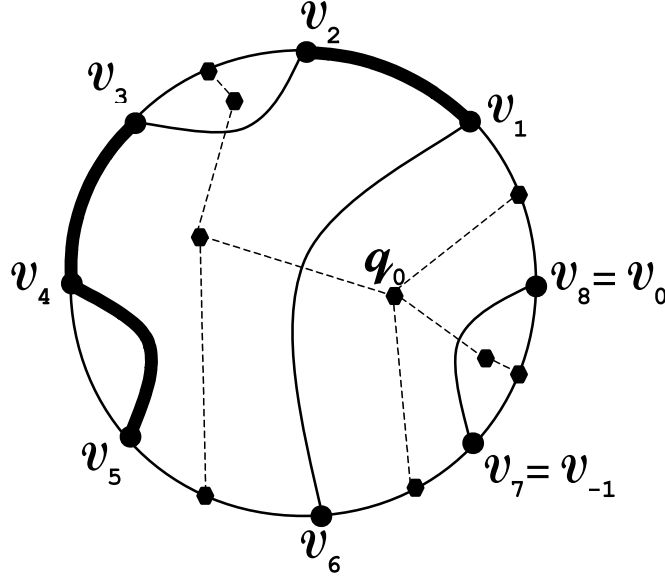


Figure 2: $S(p)$ in dotted lines, $E^0(p)$ in bold.

e_1 and e_2 . This follows from (3) and (2) with $G = G_0$. Let $E^0(p)$ be the set of all edges of γ in $\partial D(p) \cap \overline{\mathbb{U}}$ and $E(p)$ the set of all edges in $D(p) \cap \mathbb{T}$.

Lemma 2 *For every $p \in \overline{L}_\gamma$, the set*

$$\overline{L}_\gamma(p) = \{q \in \overline{L}_\gamma : q(e) = 0 \text{ for all } e \in E^0(p)\}$$

is a non-empty face of \overline{L}_γ .

Proof. First, $\overline{L}_\gamma(p)$ is a face of \overline{L}_γ , because it is an intersection of the convex polytope \overline{L}_γ with a set of hyperplanes $\{q : q(e) = 0\}$, with $\overline{L}_\gamma \subset \{q : q(e) \geq 0\}$, for all $e \in E^0(p)$. Second, $\overline{L}_\gamma(p)$ is nonempty because it contains p . \square

Lemma 3 *For $p \in \overline{L}_\gamma$, the set $E^0(p)$ and the face $\overline{L}_\gamma(p)$ are uniquely determined by the set $E(p)$.*

Proof. Let S be the dual graph to $\gamma \cap \overline{\mathbb{U}}$, which means that each vertex $q = q_G$ of S corresponds to a face $G = G_q \in Q^+$, and two vertices of S are connected by an edge $\tau = \tau_e$ in S if the two corresponding faces of γ have a common edge $e = e_\tau$ in γ .

Let \hat{S} be the graph obtained by the following extension of S : for every edge $e \subset \mathbb{T}$ of γ , a vertex q_e and an edge τ_e connecting q_e with q_G are added to S , where G is the face in Q^+ with $e \in \partial^* G$.

It is easy to see that \hat{S} is a tree. We designate $q_0 = q_{G_0}$ to be the root of this tree. Let $S(p)$ be the subtree of \hat{S} spanned by q_0 and $\{q_e : e \in E(p)\}$, and $S'(p)$ the subtree of \hat{S} spanned by $\{q_x : x \subset D(p)\}$ (where x may stand for a face or an edge). By definition of $E(p)$, we have $S(p) \subset S'(p)$. We claim that $S(p) = S'(p)$, which means that $D(p) \cap \overline{\mathbb{U}}$ consists of all faces G of $\gamma \cap \overline{\mathbb{U}}$ such that $q_G \in S(p)$. Thus $E(p)$ uniquely determines $D(p)$, and $D(p)$ uniquely determines $E^0(p)$ and $\overline{L}_\gamma(p)$. Figure 2 shows the part in $\overline{\mathbb{U}}$ of a net γ with $d = 5$, the set $E^0(p) = \{[v_1, v_2], [v_3, v_4], [v_4, v_5]\}$ (bold lines) and the tree \hat{S} (dotted lines).

To prove our claim, suppose that $S'(p) \not\subset S(p)$. Since both $S(p)$ and $S'(p)$ belong to the tree \hat{S} , there exists a leaf q of $S'(p)$ which does not belong to $S(p)$. If $q = q_e$, where $e \subset \mathbb{T}$, is an edge of γ , then $e \subset D(p)$, hence q_e is a vertex of $S(p)$, in contradiction to our choice of q . Suppose now that $q = q_G$, where $G \subset D(p)$, is a face in Q^+ . Let S_q be the path in S connecting q and q_0 . Conditions (2) imply that $0 < p(e) < 2\pi$ for every $e = e_\tau$, $\tau \in S_q$. This implies that there is an edge e of $\partial^* G$ such that $\tau_e \notin S_q$ and $0 < p(e) < 2\pi$. Since $q \notin S(p)$, we have $\tau_e \notin S(p)$. If $e \subset \mathbb{T}$, we have a contradiction with the definition of $E(p)$. Otherwise, the other face of $\gamma \cap \overline{\mathbb{U}}$, having the edge e on its boundary, belongs to $D(p)$, and G is not a leaf of $S'(p)$, again a contradiction. \square

Lemma 4 *The set $W = E(p)$ has the following two properties:*

- (a) $e' \in W$;
- (b) *there is at least one edge in $W \setminus \{e'\}$ at each side of e'' .*

Proof. Let $S(p)$ be the tree defined in the proof of Lemma 3. The leaves of $S(p)$ are exactly the edges in $E(p)$. One of these leaves is always $\tau_{e'}$. Since G_0 has at least three edges, and since $p(e') = p(e'') = 2\pi/3$ in view of (3), there exists at least one edge e^* of G_0 different from e' and e'' such that $0 < p(e^*) < 2\pi$. Hence there are at least two edges of $S(p)$ with an extremity at $q_0 = q_{G_0}$, corresponding to e'' and e^* . The other extremities of these two edges are at the opposite sides of e'' . Hence $S(p)$ has at least two leaves on \mathbb{T} in addition to $\tau_{e'}$, and these two leaves are at the opposite sides of e'' . \square

Lemma 5 *For each subset W of edges of $\gamma \cap \mathbb{T}$ satisfying (a) and (b) of Lemma 4, there is $p \in \overline{L}_\gamma$ such that $W = E(p)$.*

Proof. Given a subset W of edges of $\gamma \cap \mathbb{T}$ satisfying (a) and (b), let us define a subtree S_W of the tree \hat{S} defined in the proof of Lemma 3 as the union of all paths connecting vertices q_e , for $e \in W$ with q_0 . The labeling p is defined inductively along the tree S , starting from the vertex q_0 . As W contains, in addition to e' , at least one edge at each side of e'' , we have $\tau_{e''} \subset S_W$, and there is at least one edge e of G_0 , other than e' and e'' such that $\tau_e \in S_W$. Let $m \geq 1$ be the number of all such edges. We define $p(e) = 2\pi/(3m)$ for each of them, and $p(e) = 0$ for all other edges of G_0 , except $p(e') = p(e'') = 2\pi/3$. This guarantees that (2) is satisfied for G_0 . Notice that $0 < p(e) < 2\pi$ for an edge e of $\partial^* G_0$ if and only if $\tau_e \in S_W$.

Suppose now that the values of $p(e)$ are defined for all edges of faces $G_q \in Q^+$, with q in a subtree S' of S containing q_0 , so that $0 < p(e) < 2\pi$ if and only if τ_e belongs to S_W , and (2) is satisfied. If $S' = S$, the labeling p is complete. Otherwise, there exists a vertex q^* in $S \setminus S'$ which is an extremity of an edge τ^* of S with another extremity of τ^* being in S' . Let $G^* = G_{q^*}$ and $e^* = e_{\tau^*}$. Since an extremity of τ^* belongs to S' , the label $p(e^*)$ is already defined.

If $p(e^*) = 2\pi$ or $p(e^*) = 0$, then e^* does not belong to S_W , hence all other edges of G^* do not belong to S_W . In the first case, we define $p(e) = 0$ for all edges $e \neq e^*$ of G^* . In the second case, we choose an edge $e^{**} \neq e^*$ of G^* and define $p(e^{**}) = 2\pi$ and $p(e) = 0$ for all other edges of G^* . Then (2) is satisfied for $G = G^*$.

If $0 < p(e^*) < 2\pi$, then τ^* belongs to S_W . Since $e^* \notin \mathbb{T}$, there is at least one other edge e of G^* such that τ_e belongs to S_W . Let $n \geq 1$ be the number of all such edges. We define $p(e) = (2\pi - p(e^*))/n$ for all these edges, and $p(e) = 0$ for all other edges $e \neq e^*$ of G^* . Again we have (2) for $G = G^*$.

Now the values of $p(e)$ are defined for all edges of faces $G_q \in Q^+$, for the vertices q of a connected subtree S'' of S obtained by adding τ^* and q^* to S' , which concludes our inductive step. The labeling p constructed in this way satisfies (2) and that $W = E(p)$. \square

A *non-degenerate critical sequence* corresponding to γ , is an injective map $c : V \rightarrow \mathbb{T}$, which leaves v_{-1}, v_0 and v_1 fixed, and preserves the cyclic order. The set of all non-degenerate critical sequences is identified with an open convex polytope $\Sigma_\gamma \subset \mathbb{R}^{2d-5}$. A *critical sequence* is a limit of non-degenerate

critical sequences. The set of all critical sequences is identified with the closure $\overline{\Sigma}_\gamma$.

We denote by R the class of all rational functions of degree at most d , which preserve the unit circle, and whose critical points all belong to the unit circle, and satisfy the normalization condition

$$f(z) = z, \quad f'(z) = 0, \quad \text{for } z \in \{1, e^{2\pi i/3}, e^{-2\pi i/3}\}. \quad (4)$$

If two functions f_1 and f_2 of the class R are equivalent, that is $f_1 = \ell \circ f_2$, with a fractional-linear transformation ℓ , then ℓ preserves \mathbb{T} . Equivalent functions of our class R have *the same* preimage of the unit circle.

For each net γ we consider a subclass $R_\gamma \subset R$ defined by the following additional normalization condition:

$$f^{-1}(\mathbb{T}) \text{ is equivalent to } \gamma. \quad (5)$$

It follows from (5) that all critical points of $f \in R_\gamma$ are simple, and f maps the distinguished face G_0 onto the unit disc.

4. Construction of a map

$$F_\gamma : \overline{L}_\gamma \rightarrow R \times \overline{\Sigma}_\gamma. \quad (6)$$

We consider a labeling $p \in \overline{L}_\gamma$. We use the notation similar to that introduced in the first paragraph of Section 3, but because γ and p are fixed, we drop the reference to p and γ to simplify our formulas. Thus Z is the union of edges with zero labels, and D the component of $\overline{\mathbb{C}} \setminus Z$, containing G_0 . We put $K = \overline{\mathbb{C}} \setminus D$ and introduce an equivalence relation in $\overline{\mathbb{C}}$: $x \sim y$ if $x = y$, or x and y belong to the same component of K . Let $Y = \overline{\mathbb{C}} / \sim$ be the factor space, and $w : \overline{\mathbb{C}} \rightarrow Y$ the projection map. It is clear that X is a topological sphere, so we can identify it with the Riemann sphere. The symmetry of $\overline{\mathbb{C}}$ is an involution which leaves every point of \mathbb{T} fixed, and each component of K is symmetric. So Y also has an involution, such that w splits the involutions. This means that the identification of Y with $\overline{\mathbb{C}}$ can be made in such a way, that

$$w : \overline{\mathbb{C}} \rightarrow Y \cong \overline{\mathbb{C}}, \quad w(x) = w(y) \quad \text{if and only if} \quad x \sim y, \quad (7)$$

is symmetric, and in particular $w(\mathbb{T}) = \mathbb{T}$. Furthermore, we can arrange that w leaves the cubic roots of 1 fixed. The cellular decomposition of $\overline{\mathbb{C}}$ defined

by γ generates via w a new cellular decomposition, which we call $X = X(p)$: the cells of X are $w(C)$, where C are cells of the original decomposition.

We construct a continuous map $g^* : \overline{D} \rightarrow \overline{\mathbb{C}}$. As a first step of our construction of g^* , we define a continuous map $\tilde{g} : \gamma \cap \overline{D} \rightarrow \mathbb{T}$. To do this, we orient the edges of γ in the following way. Each edge $e \in E$ belongs to the boundaries of exactly two faces; let G be that one with $\sigma(G) = 1$. Then $e \subset \partial G$ by definition inherits positive orientation of ∂G .

We are going to define \tilde{g} , so that the following condition be satisfied:

$$\begin{aligned} \tilde{g} \text{ maps every edge } e \subset \overline{D} \text{ onto an arc of } \mathbb{T} \text{ of length } p(e), \\ \text{linearly with respect to the arclength, respecting orientation,} \end{aligned} \quad (8)$$

in particular the edges in ∂D are mapped into points, but closures of all edges in D are mapped homeomorphically onto their images.

First we define \tilde{g} on ∂G_0 , so that (8) is satisfied, and $\tilde{g}(v_0) = 1$. Condition (2) with $G = G_0$ ensures that there is a unique way to define such continuous \tilde{g} on ∂G_0 . Furthermore, (3) implies that \tilde{g} fixes all three cubic roots of 1.

Now we order all faces of γ in D into a sequence (G_0, G_1, \dots, G_m) so that for every $k = 1, \dots, m$ the face G_k has exactly one common boundary edge with

$$\bigcup_{j=0}^{k-1} \partial^* G_j. \quad (9)$$

Such ordering can be made, for example, using the dual graph S , introduced in the proof of Lemma 3. Suppose that \tilde{g} has been already defined on the edges in (9). Condition (2) with $G = G_k$ implies that there exists a continuous map $\tilde{g} : \partial G_k \rightarrow \mathbb{T}$, satisfying (8). This map is defined up to a rotation of the image \mathbb{T} . We choose this rotation to ensure that \tilde{g} is continuous on

$$\bigcup_{j=0}^k \partial G_j.$$

This is possible, because $\partial^* G_k$ has exactly one common edge with the collection (9). This construction defines a symmetric continuous map $\tilde{g} : \gamma \cap \overline{D} \rightarrow \mathbb{T}$, which sends every component of ∂D to a point.

As a next step, for each face $G \subset D$, we extend \tilde{g} to a continuous map $g^* : \overline{G} \rightarrow \overline{\mathbb{U}}$, if $\sigma(G) = 1$, or $g^* : \overline{G} \rightarrow \overline{\mathbb{C}} \setminus \mathbb{U}$, if $\sigma(G) = -1$, so that the restriction on G is a homeomorphism onto the image.

It is clear, that this extension of g into the interior of components $G \in Q$, $G \subset D$, can be made symmetrically, that is

$$g^*(1/\bar{z}) = 1/\overline{g^*(z)}, \quad z \in \bar{\mathbb{C}}. \quad (10)$$

Finally we extend g^* to a continuous map $\bar{\mathbb{C}} \rightarrow \bar{\mathbb{C}}$ so that it is constant on every component of the set K . Then $g^*(x) = g^*(y)$ whenever $x \sim y$, the equivalence relation \sim in (7). It follows that g^* factors as $g^* = g \circ w$, where w is the continuous map in (7).

If C is a cell of the cellular decomposition defined by γ , then w and g^* map C in the same way: either homeomorphically or to a point. It follows that g maps every closed cell of the form $w(\bar{C})$ homeomorphically onto the image. Furthermore, the cells $w(C)$ make a cellular decomposition X of Y , so g is a ramified covering. Thus there exists a unique conformal structure on Y , which makes g holomorphic. By the Uniformization theorem [1] there exists a unique homeomorphism $\phi : \bar{\mathbb{C}} \rightarrow \bar{\mathbb{C}}$, normalized by

$$\phi(e^{-2\pi i/3}) = -2\pi i/3, \quad \phi(1) = 1, \quad \phi(e^{2\pi i/3}) = e^{2\pi i/3}, \quad (11)$$

and such that $f = g \circ \phi^{-1}$ is a holomorphic map $\bar{\mathbb{C}} \rightarrow \bar{\mathbb{C}}$, that is a rational function. This function is the first component of $F_\gamma(p)$. The second component is $c : v \mapsto \phi \circ w(v)$, $v \in V$, which is a critical sequence in $\bar{\Sigma}_\gamma$. Indeed, by the symmetry property (10) and the symmetry of the normalization (11), ϕ is symmetric. Applying (10) again, we conclude that our rational function f is symmetric, and that all values of the function c belong to \mathbb{T} . We write $c = (c_1, \dots, c_{2d-2})$, where $c_k = \phi \circ w(v_k)$. Then it follows from our constructions that

$$c_k \neq c_{k+1} \quad \text{if and only if the edge } [v_k, v_{k+1}] \text{ belongs to } D \cap \mathbb{T}. \quad (12)$$

Now we show that our map (6) is well defined, that is f and c do not depend on the choice of a labeled net within its equivalence class, and also independent of extensions of g into the interiors of the components G . This independence follows from

Lemma 6 *Let X_i , $i = 0, 1$, be cell complexes, h' a bijection between their cells such that $h'(\partial^* C) = \partial^* h'(C)$, Y a topological space and $f_i : X_i \rightarrow Y$ two continuous maps, whose restrictions to every closed cell are homeomorphisms onto the image, and $f_1(C) = f_0(h'(C))$ for every cell C in X_1 . Then there exists a homeomorphism h such that $f_1 = f_0 \circ h$.*

Proof. We define h on every cell C in X_1 as $f_{0,h'(C)}^{-1} \circ f_1|_C$, where $f_{0,h'(C)}^{-1}$ is the inverse of the restriction $f_0|_{h(C)} : h(C) \rightarrow f_0(h(C))$. \square

Applying Lemma 6 to two rational functions f_0 and f_1 , constructed from equivalent labeled nets, we conclude that $f_0 = f_1 \circ h$, where h is a homeomorphism of the Riemann sphere. This homeomorphism is evidently conformal and fixes three points. So $h = \text{id}$ and $f_1 = f_0$.

Lemma 7 *The map $([\gamma], p) \mapsto c$ is well defined, that is $c = F_\gamma(p)$ depends only on the class of labeled nets $([\gamma], p)$.*

Proof. Consider the cellular decomposition X , introduced after equation (7). If v is a vertex of X of degree at least 4, then $z = \phi(v)$ is a critical point of f , so $c(v)$ is well defined. Suppose now that v^1, \dots, v^m is a maximal chain of vertices of X of degree 2, which means that there are edges in X between these vertices, but no other edges connecting v^1 or v^m to vertices of degree 2. There is a unique way to extend this chain by adding v^0 and v^{m+1} , vertices of degree at least 4, so that v^0 is connected to v^1 and v^m to v^{m+1} by edges of X . Then $z^j = \phi(v^j)$, $j = 0, m+1$, are critical points of f , and $a_j = f(z^j)$, $j = 0, m+1$, corresponding critical values. The restriction of f onto the arc $[z^0, z^{m+1}] \subset \mathbb{T}$ maps this arc homeomorphically onto the arc $[a_0, a_{m+1}] \subset \mathbb{T}$. Then the position of the points $z^j = \phi(v_j)$, $j = 1, \dots, m$, is determined from the fact that the length of each arc $[f(z^k), f(z^{k+1})] \subset \mathbb{T}$ is equal to $p(w^{-1}([v^k, v^{k+1}]))$, the label of an edge of γ . \square

5. Continuity

For a fixed γ , the second coordinate of our map F_γ in (6) is a map between two closed polytopes

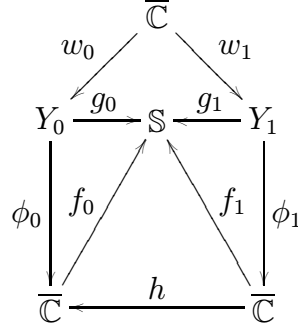
$$\Phi : \overline{L} \rightarrow \overline{\Sigma}, \quad (13)$$

where $L = L_\gamma$ and $\Sigma = \Sigma_\gamma$. Our goal is to prove that Φ in (13) is surjective. In this Section we prove that Φ is continuous.

Suppose $p_1 \in \overline{L}$; we are going to prove that Φ is continuous at p_1 . Let p_0 be a point close to p_1 . Using the notation, similar to that introduced in the first paragraph of Section 3, we consider the sets Z_i and the regions D_i , $i = 0, 1$. In addition, let B_1, \dots, B_m be the complete list of components of ∂D_1 . Then $B_k \subset Z_1$ for $k = 1, \dots, m$. If p_0 is close enough to p_1 , we may assume

$$Z_0 \subset Z_1, \quad \text{and thus} \quad D_1 \subset D_0. \quad (14)$$

We have the maps $w_i : \overline{\mathbb{C}} \rightarrow Y_i \cong \overline{\mathbb{C}}$, $i = 0, 1$ as in (7), and $f_i = g_i \circ \phi_i^{-1}$, $g_i^* = g_i \circ w_i$, $i = 0, 1$, defined in Section 4. All maps involved in our argument are shown on the diagram below, where we use double notation $\mathbb{S} = \overline{\mathbb{C}}$ for clarity. For every vertex $v \in V$ the “critical values” $a(v) = g_1 \circ w_1(v)$ are defined, $a_k = a(v_k) \in \mathbb{S}$, $k = 1, \dots, 2d - 2$.



We choose arbitrary $\delta > 0$. Then there exists $\epsilon > 0$, such that disjoint open discs U_k of radii ϵ around a_k have the property, that every component K of the preimage of their union under f_1 has diameter less than δ . We set $\epsilon_1 = \epsilon/(8d)$ and suppose that

$$|p_1(e) - p_0(e)| < \epsilon_1 \quad \text{for every } e \in E \quad (15)$$

in particular, in view of (14),

$$|p_0(e)| < \epsilon_1 \quad \text{for } e \in \bigcup_{k=1}^m B_k. \quad (16)$$

The set

$$H = \mathbb{S} \setminus \bigcup_{k=1}^q U_k \quad (17)$$

has a cell decomposition with two 2-dimensional cells C and C^* , where $\overline{C} = \overline{\mathbb{U}} \setminus \bigcup_{k=1}^q U_k$, and C^* the symmetric cell. We choose 1-dimensional cells of this decomposition to be arcs of the unit circle and arcs of the circles ∂U_k , and for 0-dimensional cells we take the points of intersections of little circles with the unit circle.

Let H_1 be the preimage of the set H in (17) under f_1 . Then H_1 has a cell decomposition, which is the preimage of our cell decomposition of (17), and $f_1|_{H_1}$ maps every cell of this decomposition homeomorphically. In fact $f_1|_{H_1}$ is an unramified covering map, because f_1 has no critical in H_1 .

It follows from (16) that

$$\text{diam } f_0 \circ \phi_0 \circ w_0(B_k) < \epsilon/2, \quad \text{for each component } B_k \text{ of } \partial D_1, \quad (18)$$

because B_k is made of at most $4d-4$ edges, whose labels are at most ϵ_1 each. Furthermore, we have

$$\text{dist}(f_0 \circ \phi_0 \circ w_0(B_k), a_k) < \epsilon, \quad \text{for each component } B_k \text{ of } \partial D_1, \quad (19)$$

which follows from (15) and (18).

Let H_0 be the component of $f_0^{-1}(H)$, where H is defined in (17), which contains $\phi_0 \circ w_0(G_0)$. In view of (19), the restriction $f_0|_{H_0} : H_0 \rightarrow H$ is a ramified covering. (Actually it is not ramified, but we don't use this fact). Thus the cell decomposition of H defined above pulls back to H_0 , and f_0 maps each closed cell of this pullback onto a cell in H homeomorphically. Notice that each open cell of H_0 is contained in a unique cell of the form $\phi_0 \circ w_0(C)$ for some cell $C \subset D$ of γ . A similar statement holds for cells H_1 . This defines a bijection between cells of H_1 and those of H_0 which commutes with the boundary operator ∂ . So Lemma 6 can be applied to $f_i|_{H_i}$. We conclude that

$$f_1 = f_0 \circ h \quad \text{on } H_1, \quad (20)$$

where $h : H_1 \rightarrow H_0$ is a homeomorphism. Evidently h is holomorphic, and its boundary values on ∂H_1 belong to ∂H_0 . Moreover, the components of ∂H_1 , which separate H_1 from the cubic roots of 1, are mapped to components of ∂H_0 , which separate the same cubic roots of 1 from H_0 . Now we use the following

Lemma 8 *Suppose that a finite set $X = \{x_1, x_2, \dots, x_n\} \subset \overline{\mathbb{C}}$, is given, such that $n \geq 3$, and x_1, x_2 and x_3 are the cubic roots of 1. Then for every $\eta > 0$ there exists $\delta \in (0, \eta)$ with the following property. Let J_1, \dots, J_n be disjoint open Jordan regions of diameter less than δ , $x_k \in J_k$, $k = 1, \dots, n$, and h be an injective holomorphic function*

$$h : \overline{\mathbb{C}} \setminus \bigcup_{k=1}^n J_k \rightarrow \overline{\mathbb{C}},$$

such that for $j = 1, 2, 3$ the curves $h(\partial J_j)$ separate x_j from the two other cubic roots of 1. Then

$$\text{dist}(h(z), z) < \eta, \quad \text{whenever} \quad \text{dist}(z, X) \geq \eta.$$

Proof. (Compare [4, Theorem 13]). Our proof is by contradiction. Suppose that there is a sequence $(\delta_j) \rightarrow 0$ and a sequence (h_j) , which satisfies all conditions, but

$$\text{dist}(h_j(z_j), z_j) \geq \eta \tag{21}$$

for some $\eta > 0$ and some points z_j with $\text{dist}(z_j, X) \geq \eta$. It is easy to see that the closed domains $R_j = \overline{\mathbb{C}} \setminus \cup_{k=1}^n J_{k,j}$ tend to $\overline{\mathbb{C}} \setminus \{x_1, \dots, x_n\}$ and that all functions h_j omit three cubic roots of 1 in their domains. So by Montel's criterion [13], [14, p. 239], (h_j) is a normal family and we can select a convergent subsequence. The limit h of this subsequence is a holomorphic injective function h in $\overline{\mathbb{C}} \setminus \{x_1, \dots, x_n\}$, which omits the three cubic roots of 1. By the Picard's great theorem all points x_k are removable singularities, so h extends to a fractional-linear map. But this fractional-linear map also fixes three points, the cubic roots of 1, so it is the identity. This contradicts (21). \square

It follows that the critical sequences $(\phi_1 \circ w_1(v))$, $v \in V$ and $(\phi_0 \circ w_0(v))$, $v \in V$ are η -close. So our map (13) is continuous.

6. Surjectivity of Φ and proof of Theorem 2

Lemma 9 *Let L and Σ be two convex n -dimensional polytopes. Let $\Phi : \overline{L} \rightarrow \overline{\Sigma}$ be a continuous mapping such that preimage of each face of $\overline{\Sigma}$ is a nonempty face of \overline{L} . Then Φ is surjective.*

Proof. Let $C_k(\overline{L})$ be the space of k -chains of \overline{L} , i.e., linear combinations of oriented k -faces of \overline{L} with integer coefficients. Let C_* be the corresponding chain complex, with the natural differential $\partial : C_k(\overline{L}) \rightarrow C_{k-1}(\overline{L})$. As \overline{L} is a convex polytope, $H_k(C_*(\overline{L})) = 0$ for all positive k . Let $C_*(\overline{\Sigma})$ be the corresponding chain complex for $\overline{\Sigma}$.

For every k -face M of $\overline{\Sigma}$, we are going to construct a chain $W = W_M \in C_k(\overline{L})$ so that $\Phi(\partial W) \subset \partial M$ and $\Phi_*[W] = [M]$. Here Φ_* is the mapping $H_k(\Phi^{-1}M, \Phi^{-1}\partial M) \rightarrow H_k(M, \partial M)$ induced by Φ , $[W]$ is the class of W in $H_k(\Phi^{-1}M, \Phi^{-1}\partial M)$, and $[M]$ is the class of M in $H_k(M, \partial M) \cong \mathbb{Z}$. For $k =$

n , every chain in C_n is a multiple of \bar{L} , hence $\Phi(\partial L) \subset \partial \Sigma$ and $\Phi_*[\bar{L}] = \pm[\bar{\Sigma}]$. This implies that the induced mapping of $(n-1)$ -spheres $\bar{L}/\partial L \rightarrow \bar{\Sigma}/\partial \Sigma$ has degree ± 1 , in particular it is surjective. Hence, Φ maps L onto Σ .

We proceed inductively on $k = \dim M$. For $k = 0$, preimage of the vertex M is a nonempty face K of \bar{L} . Let W_M be a vertex of K . Suppose that the chains W_M are defined for all M with $\dim M < k$, so that $\partial W_M = W_{\partial M}$. Here a chain W_C for a chain $C = \sum m_\nu M_\nu$ is defined as $\sum m_\nu W_{M_\nu}$.

Let $M \in C_k(\bar{\Sigma})$. Due to the induction hypothesis, $W_{\partial M}$ is a cycle in $C_k(\bar{L})$, and $\Phi_*[W_{\partial M}] = [\partial M]$. Here Φ_* is the mapping $H_{k-1}(\Phi^{-1}\partial M) \rightarrow H_{k-1}(\partial M)$ induced by Φ . As $\Phi^{-1}M$ is a convex polytope, there exists a chain $W_M \in C_k(\Phi^{-1}M)$ such that $\partial W_M = W_{\partial M}$. From the commutative diagram

$$\begin{array}{ccc} H_k(\Phi^{-1}M) & \xrightarrow{\partial} & H_{k-1}(\Phi^{-1}\partial M) \\ \Phi_* \downarrow & & \Phi_* \downarrow \\ H_k(M) & \xrightarrow{\partial} & H_{k-1}(\partial M) \end{array}$$

we have $\partial \Phi_*[W_M] = \Phi_*\partial[W_M] = [\partial M]$. As $H_k(M) \cong \mathbb{Z}$ is generated by $[M]$ and $\partial[M] = [\partial M]$, this implies $\Phi_*[W_M] = [M]$. \square

Proof of Theorem 2. First we verify that our map Φ in (13) satisfies conditions of Lemma 9. In Section 5 we established that Φ is continuous. Let us consider now preimages of the faces. We write a critical sequence $c = (c_k) = (c(v_k))$ as $c_k = \exp(i\theta_k)$, where

$$2\pi i/3 = \theta_1 < \theta_2 \leq \dots \leq \theta_{2n-2} = 2\pi i, \quad \text{and} \quad \theta_N = 4\pi/3. \quad (22)$$

Here $N = N(\gamma)$ is the integer, introduced in Section 2, with the property that $v_{-1} = v_N$, $3 \leq N \leq 2d-3$. A face $\Sigma_\gamma(c)$ in Σ_γ , containing c is described by telling, which inequalities in (22) are strict. There is at least one strict inequality between θ_1 and θ_N , and at least one between θ_N and θ_{2d-2} . According to (12) we have $\theta_k < \theta_{k+1}$ if and only if the edge $[v_k, v_{k+1}]$ belongs to $D(p)$. Thus the sequence (22) defines a subset W of edges of γ , which satisfies conditions of Lemma 5. By Lemma 3 this W defines some labeling p with $W = E(p)$. According to Lemmas 3 and 2 E_p determines a unique non-empty face $\bar{L}_\gamma(p)$. This face is the preimage of the face $\Sigma_\gamma(c)$.

Thus all conditions of Lemma 9 are satisfied, so Φ is surjective. This implies that for every fixed non-degenerate critical sequence c and every γ there exists a rational function $f_\gamma \in R_\gamma$, which has c as its sequence of critical points. Now we notice that for functions in R_γ with $2d - 2$ simple critical points, the net γ is equivalent to $f_\gamma^{-1}(\mathbb{T})$. Thus if two such functions f_{γ_1} and f_{γ_2} are equivalent, then γ_1 and γ_2 are equivalent. By Lemma 1 there is u_d of classes of nets, so there are u_d classes of functions with a given critical set c . \square

7. Proof of Theorem 1

In this Section we derive Theorem 1 from Theorems A and 2. The vector space of non-zero polynomials of degree at most d with complex coefficients is naturally identified with $\mathbb{C}^{d+1} =: \text{Poly}_d$. Every pair (r, q) of non-proportional polynomials spans a 2-dimensional subspace in Poly_d .

To parametrize the equivalence classes of rational functions of degree d , we consider the Grassmanian $G(2, d+1)$, which is the set of all 2-dimensional subspaces in Poly_d , and the locus $D_1 \subset G(2, d+1)$ of those pairs of polynomials (r, q) , for which $\deg r/q < d$. Then D_1 is an algebraic subvariety of $G(2, d+1)$ of codimension 1. Two pairs (r_i, q_i) , $i = 1, 2$, represent the same point in $G(2, d+1) \setminus D_1$ if and only if the rational functions r_1/q_1 and r_2/q_2 are equivalent. Thus classes of rational functions of degree d are parametrized by $G(2, d+1) \setminus D_1$.

The Wronskian determinant of two non-proportional polynomials

$$W(r, q) = \begin{vmatrix} r & q \\ r' & q' \end{vmatrix}$$

is a non-zero polynomial of degree at most $2d - 2$, whose zeros are finite critical points of $f = r/q$, counting multiplicities, and common zeros of r and q . The common zeros of r and q are multiple zeros of $W(r, q)$. If two pairs of polynomials define the same point in $G(2, d+1)$, then the Wronskians of these pairs differ by a constant multiple. The set of all non-zero polynomials of degree at most $2d - 2$, modulo proportionality, is parametrized by \mathbb{CP}^{2d-2} . Thus we have a regular map $\widetilde{W} : G(2, d+1) \rightarrow \mathbb{CP}^{2d-2}$, defined by taking the proportionality class of the Wronskian determinant.

We show that \widetilde{W} is a finite map [10, p. 177]. This fact is known, [5, 9] but we include a short proof. We normalize our Wronskians, so that the

coefficient of the monomial of the smallest degree equals 1. Notice that each monomial z^n , where $0 \leq n \leq 2d - 2$, has only finitely many preimages under \widetilde{W} , namely the 2-subspaces, generated by pairs (z^k, z^m) , where $k + m = n + 1$ and $k \neq m$. If (r, q) represents a point in $G(2, d + 1)$, we consider the one-parametric family of points represented by (r_λ, q_λ) , $\lambda \in \mathbb{C}^*$, where $r_\lambda(z) = r(\lambda z)$ and $q_\lambda(z) = q(\lambda z)$. Putting $w_\lambda = \widetilde{W}(r_\lambda, q_\lambda)$, we obtain $W(r_\lambda, q_\lambda)(z) = \lambda W(r, q)(\lambda z)$, and after normalization $w_\lambda(z) = \lambda^{-n-1} W(r, q)(\lambda z)$, where $n \in [0, 2d - 2]$ is the smallest degree of monomials in $W(r, q)$. So $\dim \widetilde{W}^{-1}(w_\lambda) = \dim \widetilde{W}^{-1}(w_1)$ for $\lambda \in \mathbb{C}^*$, and

$$w_0 := \lim_{\lambda \rightarrow 0} w_\lambda \quad \text{is} \quad w_0(z) = z^n.$$

As the dimension of preimage is an upper semi-continuous function of the point [10, p. 138], for regular mappings into compact spaces, that is

$$\limsup_{\lambda \rightarrow 0} \dim \widetilde{W}^{-1}(w_\lambda) \leq \dim \widetilde{W}^{-1}(w_0) = 0,$$

we conclude that $\dim \widetilde{W}^{-1}(w_1) = 0$ for every $w_1 \in \mathbb{CP}^{2d-1}$, so the preimages are finite, and the map \widetilde{W} is finite.

Let $D_2 \subset \mathbb{CP}^{d-2}$ be the locus of polynomials with multiple roots, or having smaller degree than $2d - 2$. Notice that $\widetilde{W}(D_1) \subset D_2$. According to Theorem A, for every point w in $\mathbb{CP}^{2d-2} \setminus D_2$ we have $|\widetilde{W}^{-1}(w)| \leq u_d$. On the other hand, our Theorem 1 implies that for every point w in $\mathbb{RP}^{2d-2} \setminus D_2 \subset \mathbb{CP}^{2d-2} \setminus D_2$ the cardinality of $\widetilde{W}^{-1}(w) \cap G_{\mathbb{R}}(2, d + 1) \subset G(2, d + 1)$ is at least u_d . Here $G_{\mathbb{R}}(2, d + 1)$ stands for the ‘real part’ of the Grassmanian, that is the collection of those 2-dimensional subspaces which can be generated by pairs of real polynomials. This means that

$$\widetilde{W}^{-1}(\mathbb{RP}^{2d-2} \setminus D_2) \subset G_{\mathbb{R}}(2, d + 1).$$

On the other hand, for finite maps we have $\widetilde{W}^{-1}(w) = \lim_{w' \rightarrow w} \widetilde{W}^{-1}(w')$, so $\widetilde{W}^{-1}(\mathbb{RP}^{2d-2}) \subset G_{\mathbb{R}}(2, d + 1)$. \square

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