

Lecture 3 and 4: Entropy of C^r smooth systems via semi-algebraic tools

David Burguet

17th February 2017

Set, maps, degrees. Set and functional version with polynomial bound. General case, curve case with given derivative, action on

the tangent bundle.

M compact smooth manifold,
 $\mathcal{H} := \{f \in \text{Diff}^1(M) \text{ admits an homoclinic tangency}\}$.

*Any $f \in \text{Diff}^1(M) \setminus \overline{\mathcal{H}}$ is h -expansive
and thus has a principal symbolic extension.*

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M of dimension d , $f \in C^r(M)$, $r \geq 1$

Growth rate of the derivative :

$$R(f) := \lim_n \frac{1}{n} \sup_x \log^+ \|D_x f^n\|.$$

Tail entropy of C^r maps :

Theorem

$$h^*(f) = \frac{dR(f)}{r}.$$

In particular for $r = \infty$,

$$h^*(f) = 0.$$

Any C^∞ dynamical system has a measure of maximal entropy.

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Assume f is real analytic then there exists a constant $C > 0$ such that for any $\epsilon > 0$

$$h^*(f, \epsilon) \leq C \frac{\log(|\log \epsilon|)}{|\log \epsilon|}.$$

Explicit rate of convergence in ultradifferentiable classes which are sharp in many case.

But for the real analytic classe we conjecture that the optimal rate is in $1/|\log \epsilon|$. Surface real-analytic example with such a rate (non degenerate homoclinic tangency).

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$f \in \text{Diff}^1(M)$, $\mu \in \mathcal{M}(M, f)$,

Lyapunov exponents :

$$\forall 0 < k \leq d, \chi^+ := \sum_{0 < i \leq k} \chi_i^+(\mu) = \int \lim_n \frac{1}{n} \log^+ \|\Lambda^k D_x f^n\| d\mu(x)$$

Upper semi-continuity

$$\begin{aligned} \mathcal{M}(M, F) &\rightarrow \mathbb{R}, \\ \mu &\mapsto \sum_{0 < i \leq d} \chi_i^+(\mu) \end{aligned}$$

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Theorem

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For $\delta > 0$,

$$Per_n^\delta := \{p \in Per_n, \chi_1(p) > \delta > -\delta > \chi_2(p)\}$$

$$p_\delta^*(f) := \limsup_n \frac{1}{n} \log \sup_x \#B(x, n, \epsilon) \cap Per_n^\delta.$$

a. δ -expansiveness for $r = \infty$:

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Semi-algebraic set :

$$A = \bigcup_{\text{finite}} \{P_1 > 0, \dots, P_r > 0, P_{r+1} = 0\}.$$

Degree of A : $\text{deg}(A) = \sum_i \text{deg}(P_i)$.

For $\phi :]0, 1[^d \rightarrow \mathbb{R}^d$ we let

$$\|\phi\|_r := \max_{\alpha, |\alpha| \leq r} \sup_{x \in]0, 1[^d} \|\partial^\alpha \phi(x)\|$$

Theorem

Let $A \subset [0, 1]^d$ be a semi algebraic set. There exists a collection of finite maps $(\phi_i :]0, 1[^d \rightarrow A)_{i \in I}$ s.t.

- $A = \bigcup_{i \in I} \phi_i(]0, 1[^d)$,
- $\|\phi_i\|_r \leq 1$,
- $\#I \leq C(\text{deg}(P), d)$.

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Theorem

Let $\sigma :]0, 1[^d \rightarrow \mathbb{R}^d$ be a C^r map. Then there exists a collection of finite maps $(\phi_i :]0, 1[^d \rightarrow \mathbb{R}^d)_{i \in I}$ s.t.

- $\sigma^{-1}(B(0, 1)) \subset \bigcup_{i \in I} \phi_i(]0, 1[^d)$,
- $\|\sigma \circ \phi_i\|_r \leq 1$,
- $\#I \leq C(\deg(P), d) \|\sigma\|_r^{d/r}$.

Newhouse local entropy and local volume growth

$\sigma : [0, 1]^k \rightarrow M$ of class C^r with $1 \leq k \leq d$, $\epsilon > 0$ and $F \subset M$,

$$v(\sigma, \epsilon, F) := \limsup_n \frac{1}{n} \ln^+ \sup_{x \in F} \int_{\sigma^{-1}B(x, n, \epsilon)} \|\Lambda^k D_y(T^n \circ \sigma)\|_k d\lambda(y)$$

$\nu \in \mathcal{M}_e(M, T)$,

$$v(\nu, \epsilon) := \lim_{\alpha \rightarrow 1} \inf_{\nu(F_\alpha) > \alpha} \sup_{\substack{\sigma: [0, 1]^k \rightarrow M \\ \max_{k=1, \dots, r} \|D^k \sigma\|_\infty \leq 1}} v(\sigma, \epsilon, F_\alpha)$$

Theorem (New)

$\forall \epsilon > 0, \forall \nu \in \mathcal{M}_e(M, T)$,

$$h^{\text{New}}(\nu, \epsilon) \leq v(\nu, \epsilon)$$

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Proposition

Let $(\epsilon_k)_k$ be a sequence of positive numbers decreasing to 0. Then the sequence of functions $h - h^{\text{New}}(\cdot, \epsilon_k)$ defines an entropy structure.

To prove the Main Proposition for $l_\nu = 1$ it is enough to prove the following one

Proposition

$\forall \mu \in \mathcal{M}(M, T) \exists \delta_\mu > 0 \exists \epsilon_\mu \in \mathbb{N}$
 $\forall \nu \in \mathcal{M}_\epsilon(M, T)$ with $\text{dist}(\nu, \mu) < \delta_\mu$ and $l_\nu = 1$

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Reparametrization Lemma

Lemma

Let $T : M \rightarrow M$ be a C^r map with $r > 1$, then $\exists \epsilon > 0$ s.t.

$\forall \sigma : [0, 1] \rightarrow M$ with $\max_{1 \leq k \leq r} \|D^k \sigma\| \leq 1$

$\forall \chi > 0 \forall n \in \mathbb{N} \forall x \in M$

$\exists \mathcal{F}_n = (\phi_n : [0, 1] \rightarrow [0, 1])$ a family of affine maps satisfying

- $\|(T^n \circ \sigma \circ \phi_n)'\|_\infty \leq 1$;
- $\bigcup_{\phi_n \in \mathcal{F}_n} \phi_n([0, 1]) \supset \sigma^{-1}(B(x, n, \epsilon) \cap \{\frac{1}{n} \log \|(T^n \circ \sigma)'\| \simeq \chi\})$;
- $\frac{\log \#\mathcal{F}_n}{n} \lesssim \frac{1}{r-1} \left(\frac{1}{n} \sum_{k=0}^{n-1} \log^+ \|D_{T^k x} T\| - \chi \right)$.

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Proof of the Main Proposition assuming the Reparametrization Lemma

Let $\mu \in \mathcal{M}(M, T)$, we want to prove there exist $\delta_\mu > 0$ and $\epsilon_\mu > 0$ s.t. for ergodic measure ν δ_μ -close to μ

$$\nu(\nu, \epsilon_\mu) \lesssim \frac{1}{r-1} \left(\overline{\chi_1^+}(\mu) - \chi_1^+(\nu) \right)$$

- Choice of δ_μ :

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- Conclusion : We get finally for ergodic measures ν δ_μ -close to μ ,

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Sketch of Proof of the Reparametrization Lemma

For a C^r curve $\sigma : [0, 1] \rightarrow \mathbb{R}^d$, we want estimate the local length, i.e the length of $\sigma|_{\sigma^{-1}(B(0,1))}$.

1. Yomdin's approach

Lemma (Gromov-Yomdin)

Assume $\|(\sigma)^{(r)}\|_\infty \leq 1$ then $\exists \mathcal{F} = (\phi : [0, 1] \rightarrow [0, 1])$ a family of smooth semi-algebraic maps s.t.

- $\|(\sigma \circ \phi)^{(k)}\|_\infty \leq 1$ for $k = 1, \dots, r$;
- $\bigcup_{\phi \in \mathcal{F}} \phi([0, 1]) \supset \sigma^{-1}(B(0, 1))$;
- $\#\mathcal{F} \leq C(r, d)$.

To estimate the local length of a C^r general curve, we proceed as follows. Cut the interval $[0, 1]$ into $\lceil \|D^r \sigma\|^{1/r} \rceil + 1$ subintervals of size less than $\frac{1}{\|D^r \sigma\|^{1/r}}$. Reparametrize these intervals by affine

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We are working in local small charts along the orbit of x :

$$T_n = \exp_{T^n x}^{-1}(\epsilon^{-1} \cdot) \circ T \circ \exp_{T^{n-1} x}(\epsilon \cdot)$$

One can choose ϵ small enough $\|D^s T_n\|_\infty \leq 1$ for all $2 \leq s \leq r$.

We put $T^n = T_n \circ T_{n-1} \circ \dots \circ T_1$. Then compute the r -derivative of $T^n \circ \sigma$.

Painful ! It involves in particular the s -derivative of $T^{n-1} \circ \sigma$ of order less than r , but they are related with the r derivative by using Landau-Kolmogorov type inequalities.

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