

Takens' Last Problem and Existence of Non-trivial Wandering Domains

S. Kiriki* T. Soma†

*Tokai Univ. (Japan)

†Tokyo Metro. Univ. (Japan)

arXiv:1503.06258



GN:*25400112

†26400093

Contents

- 1 Wandering domains: trivial/non-trivial examples
- 2 Colli & Vargas' example
- 3 Existence of non-trivial wandering domain (Conjecture of Colli & Vargas)
- 4 An answer to Takens' Last Problem
- 5 An answer to van Strien's question

What is a wandering domain?

M : compact smooth manifold

Definition

D is a *wandering domain* for $f \in \text{Diff}^r(M)$ if

- D : nonempty, connected, open set of M
- $f^i(D) \cap f^j(D) = \emptyset$ for $\forall i, j \in \mathbb{Z}$ with $i \neq j$

What is a wandering domain?

M : compact smooth manifold

Definition

D is a *wandering domain* for $f \in \text{Diff}^r(M)$ if

- D : nonempty, connected, open set of M
- $f^i(D) \cap f^j(D) = \emptyset$ for $\forall i, j \in \mathbb{Z}$ with $i \neq j$

What is a wandering domain?

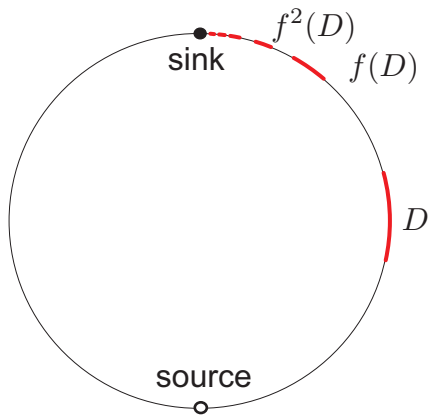
M : compact smooth manifold

Definition

D is a *wandering domain* for $f \in \text{Diff}^r(M)$ if

- D : nonempty, connected, open set of M
- $f^i(D) \cap f^j(D) = \emptyset$ for $\forall i, j \in \mathbb{Z}$ with $i \neq j$

Trivial example



Non-trivial example

[Bohl(1916), Denjoy(1932)]

$\exists f \in \text{Diff}^1(S^1), \exists \{D_i\}_{i \in \mathbb{N}} \subset S^1$ with $f(D_i) = D_{i+1}$ s.t.

Non-trivial example

[Bohl(1916), Denjoy(1932)]

$\exists f \in \text{Diff}^1(S^1)$, $\exists \{D_i\}_{i \in \mathbb{N}} \subset S^1$ with $f(D_i) = D_{i+1}$ s.t.

- rotation number of f is irrational;

Non-trivial example

[Bohl(1916), Denjoy(1932)]

$\exists f \in \text{Diff}^1(S^1)$, $\exists \{D_i\}_{i \in \mathbb{N}} \subset S^1$ with $f(D_i) = D_{i+1}$ s.t.

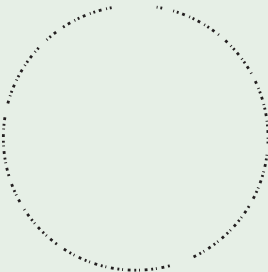
- rotation number of f is irrational;
- $D_i \cap D_j = \emptyset$ for $\forall i, j \in \mathbb{N}$ with $i \neq j$;

Non-trivial example

[Bohl(1916), Denjoy(1932)]

$\exists f \in \text{Diff}^1(S^1)$, $\exists \{D_i\}_{i \in \mathbb{N}} \subset S^1$ with $f(D_i) = D_{i+1}$ s.t.

- rotation number of f is irrational;
- $D_i \cap D_j = \emptyset$ for $\forall i, j \in \mathbb{N}$ with $i \neq j$;
- $\Lambda := S^1 \setminus \bigcup_{i \in \mathbb{N}} \text{Int}(D_n)$ is a f -invariant Cantor set satisfying $\Lambda = \omega_D$.

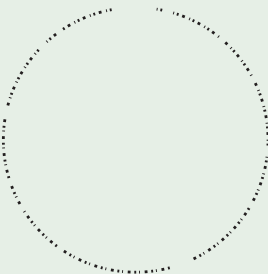


Non-trivial example

[Bohl(1916), Denjoy(1932)]

$\exists f \in \text{Diff}^1(S^1)$, $\exists \{D_i\}_{i \in \mathbb{N}} \subset S^1$ with $f(D_i) = D_{i+1}$ s.t.

- rotation number of f is irrational;
- $D_i \cap D_j = \emptyset$ for $\forall i, j \in \mathbb{N}$ with $i \neq j$;
- $\Lambda := S^1 \setminus \bigcup_{i \in \mathbb{N}} \text{Int}(D_n)$ is a f -invariant Cantor set satisfying $\Lambda = \omega_D$.



Note: $\forall f \in \text{Diff}^2(S^2)$ has no wandering domain

Definition (de Melo & van Strien)

For a circle diffeomorphism f , an open interval in S^1 is a *non-trivial wandering domain* if

- $D, f(D), f^2(D), \dots$ are pairwise disjoint;
- the ω -limit set of D is not equal to a single periodic orbit.

Definition (de Melo & van Strien)

For a circle diffeomorphism f , an open interval in S^1 is a *non-trivial wandering domain* if

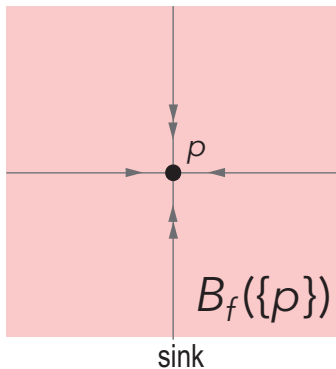
- $D, f(D), f^2(D), \dots$ are pairwise disjoint;
- the ω -limit set of D is not equal to a single periodic orbit.

Definition (de Melo & van Strien)

For a circle diffeomorphism f , an open interval in S^1 is a *non-trivial wandering domain* if

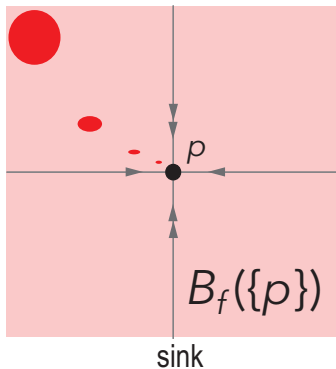
- $D, f(D), f^2(D), \dots$ are pairwise disjoint;
- the ω -limit set of D is not equal to a single periodic orbit.

In 2-dimnsion



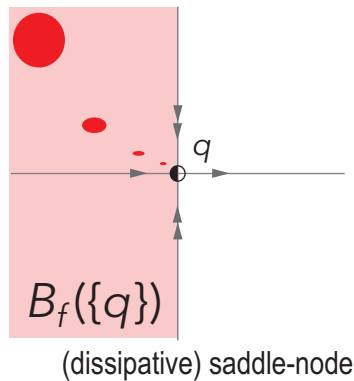
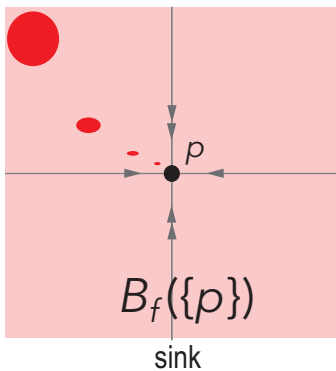
$$B_f(A) := \{x \in M; f^n(x) \rightarrow A \text{ as } n \rightarrow \infty\}$$

In 2-dimnsion



$$B_f(A) := \{x \in M; f^n(x) \rightarrow A \text{ as } n \rightarrow \infty\}$$

In 2-dimnsion



Definition ?

Let M : closed surface and $f \in \text{Diff}^r(M)$. An open set $D \subset M$ is a *non-trivial wandering domain* if

- $f^i(D) \cap f^j(D) \neq \emptyset$ if $i \neq j$;
- the ω -limit set of D is not equal to a single periodic orbit.

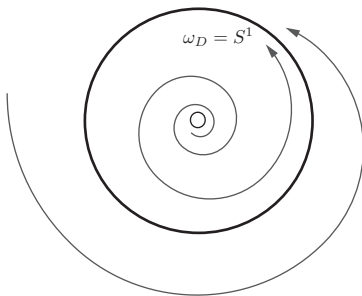
In 2-dimension

Definition ?

Let M : closed surface and $f \in \text{Diff}^r(M)$. An open set $D \subset M$ is a *non-trivial wandering domain* if

- $f^i(D) \cap f^j(D) \neq \emptyset$ if $i \neq j$;
- the ω -limit set of D is not equal to a single periodic orbit.

attracting irrational rotation



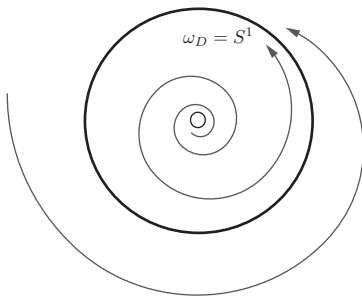
In 2-dimension

Definition—?

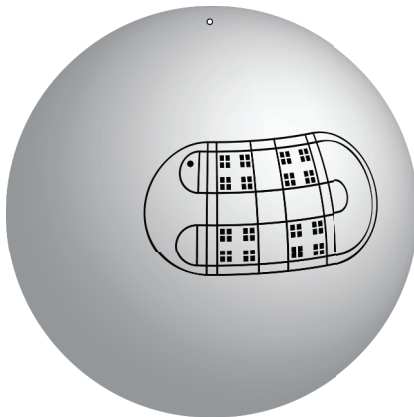
Let M : closed surface and $f \in \text{Diff}^r(M)$. An open set $D \subset M$ is a *non-trivial wandering domain* if

- $f^i(D) \cap f^j(D) \neq \emptyset$ if $i \neq j$;
- the ω -limit set of D is not equal to a single periodic orbit.

attracting irrational rotation



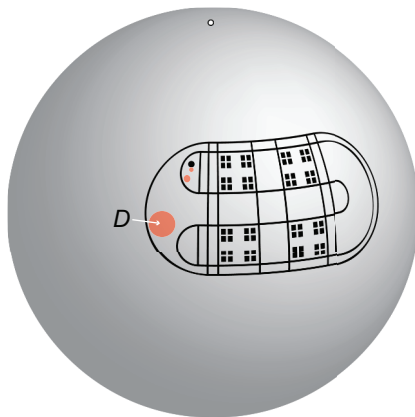
In 2-dimension



$f \in \text{Diff}^r(S^2)$ with

- sink p_0 ;
- horseshoe Λ ;
- source p_∞

In 2-dimension

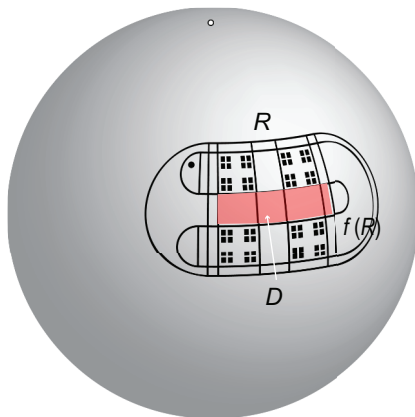


$f \in \text{Diff}^r(S^2)$ with

- sink p_0 ;
- horseshoe Λ ;
- source p_∞

$$D \subset \text{basin of } p_0 \implies \begin{aligned} &f^i(D) \cap f^j(D) = \emptyset \text{ if } i \neq j; \\ &\omega_D = \{p_0\}; \\ &\lim_{n \rightarrow \infty} \text{diam}(f^n(D)) \rightarrow 0 \end{aligned}$$

In 2-dimension



$f \in \text{Diff}^r(S^2)$ with

- sink p_0 ;
- horseshoe Λ ;
- source p_∞

$$D \subset R \setminus f(R) \implies \begin{aligned} &f^i(D) \cap f^j(D) = \emptyset \text{ if } i \neq j,; \\ &\omega_D = \{p_0\} \cup \Lambda; \\ &\lim_{n \rightarrow \infty} \text{diam}(f^n(D)) = c > 0 \end{aligned}$$

Non-trivial wandering domains in 2-dimension

M : closed surface

Definition

A nonempty connected open set D in M is a *non-trivial wandering domain* for $f \in \text{Diff}^r(M)$ if

- $f^i(D) \cap f^j(D) = \emptyset$ for any $i, j \in \mathbb{Z}$ with $i \neq j$;
- there is a non-trivial basic set Λ such that, for any $x \in D$, the ω -limit set $\omega(x)$ contains Λ .

Definition

A non-trivial wandering domain D is called *contracting* if the diameter of $f^n(D)$ converges to zero as $n \rightarrow \infty$

Non-trivial wandering domains in 2-dimension

M : closed surface

Definition

A nonempty connected open set D in M is a *non-trivial wandering domain* for $f \in \text{Diff}^r(M)$ if

- $f^i(D) \cap f^j(D) = \emptyset$ for any $i, j \in \mathbb{Z}$ with $i \neq j$;
- there is a non-trivial basic set Λ such that, for any $x \in D$, the ω -limit set $\omega(x)$ contains Λ .

Definition

A non-trivial wandering domain D is called *contracting* if the diameter of $f^n(D)$ converges to zero as $n \rightarrow \infty$

Non-trivial wandering domains in 2-dimension

M : closed surface

Definition

A nonempty connected open set D in M is a *non-trivial wandering domain* for $f \in \text{Diff}^r(M)$ if

- $f^i(D) \cap f^j(D) = \emptyset$ for any $i, j \in \mathbb{Z}$ with $i \neq j$;
- there is a non-trivial basic set Λ such that, for any $x \in D$, the ω -limit set $\omega(x)$ contains Λ .

Definition

A non-trivial wandering domain D is called *contracting* if the diameter of $f^n(D)$ converges to zero as $n \rightarrow \infty$

Non-trivial wandering domains in 2-dimension

M : closed surface

Definition

A nonempty connected open set D in M is a *non-trivial wandering domain* for $f \in \text{Diff}^r(M)$ if

- $f^i(D) \cap f^j(D) = \emptyset$ for any $i, j \in \mathbb{Z}$ with $i \neq j$;
- there is a non-trivial basic set Λ such that, for any $x \in D$, the ω -limit set $\omega(x)$ contains Λ .

Definition

A non-trivial wandering domain D is called *contracting* if the diameter of $f^n(D)$ converges to zero as $n \rightarrow \infty$

Non-trivial wandering domains in 2-dimension

M : closed surface

Definition

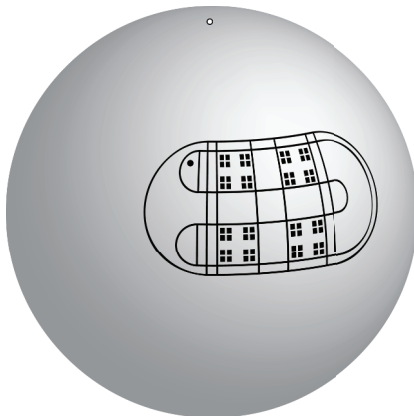
A nonempty connected open set D in M is a *non-trivial wandering domain* for $f \in \text{Diff}^r(M)$ if

- $f^i(D) \cap f^j(D) = \emptyset$ for any $i, j \in \mathbb{Z}$ with $i \neq j$;
- there is a non-trivial basic set Λ such that, for any $x \in D$, the ω -limit set $\omega(x)$ contains Λ .

Definition

A non-trivial wandering domain D is called *contracting* if the diameter of $f^n(D)$ converges to zero as $n \rightarrow \infty$

Smale horseshoe map



$f \in \text{Diff}^r(S^2)$ with

- sink p_0 ;
- horseshoe Λ ;
- source p_∞

There are trivial wandering domains **but no non-trivial ones**.

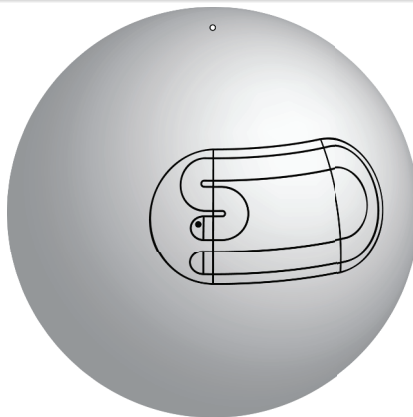
Question

Does there exist a diffeomorphism having **non-trivial** wandering domains?

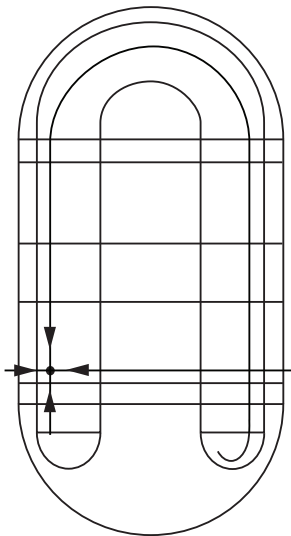
horseshoe & homoclinic tangency

Question

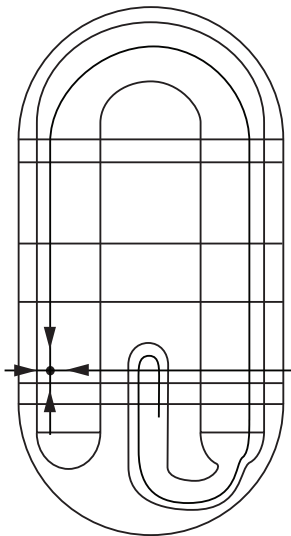
Does there exist a diffeomorphism having **non-trivial** wandering domains?



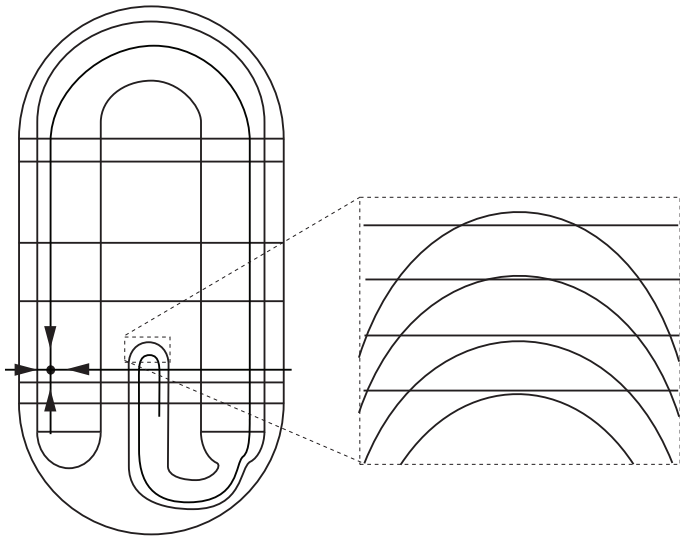
Colli-Vargas' example



Colli-Vargas' example

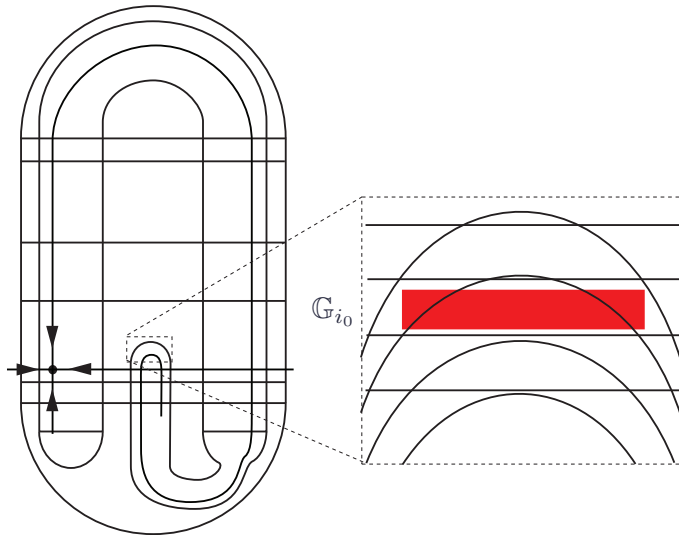


Colli-Vargas' example



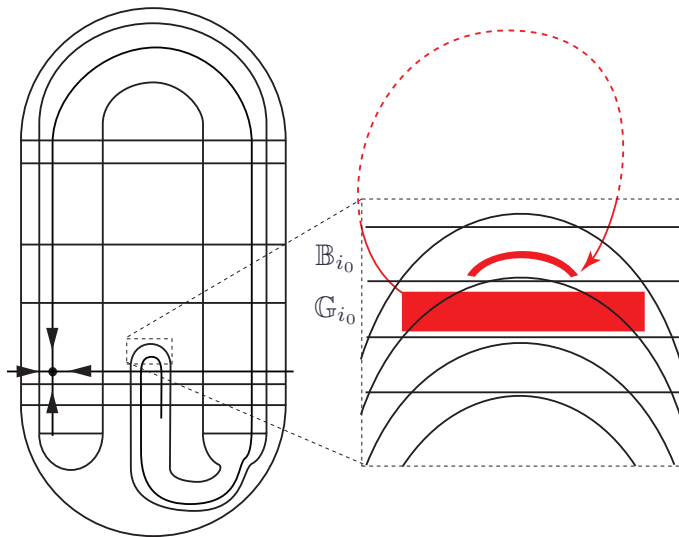
$$\tau^s \tau^u > 1$$

Colli-Vargas' example



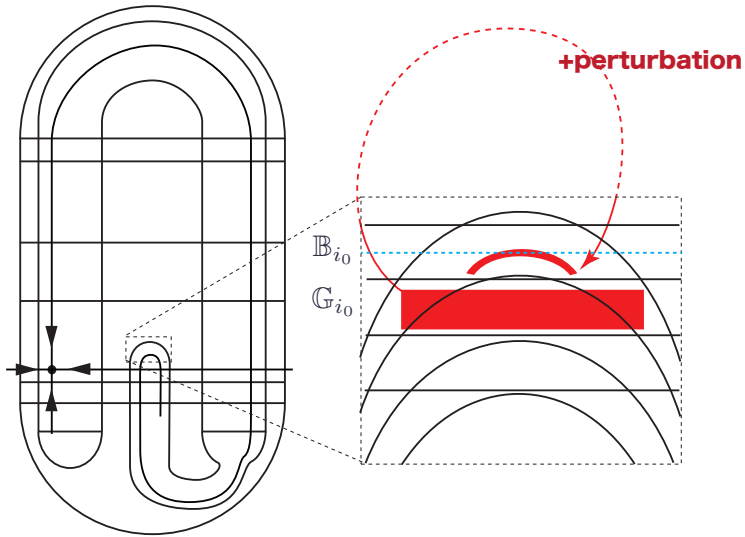
$$D_0 \subset G_{i_0}$$

Colli-Vargas' example



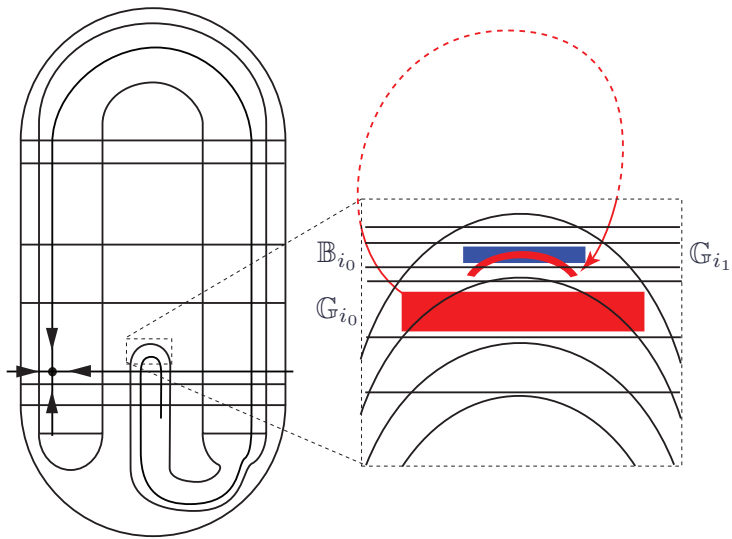
$$\exists k_0 \in \mathbb{N} \text{ s.t. } f^{k_0}(D_0) \cap \mathbb{B}_{i_0} \neq \emptyset$$

Colli-Vargas' example



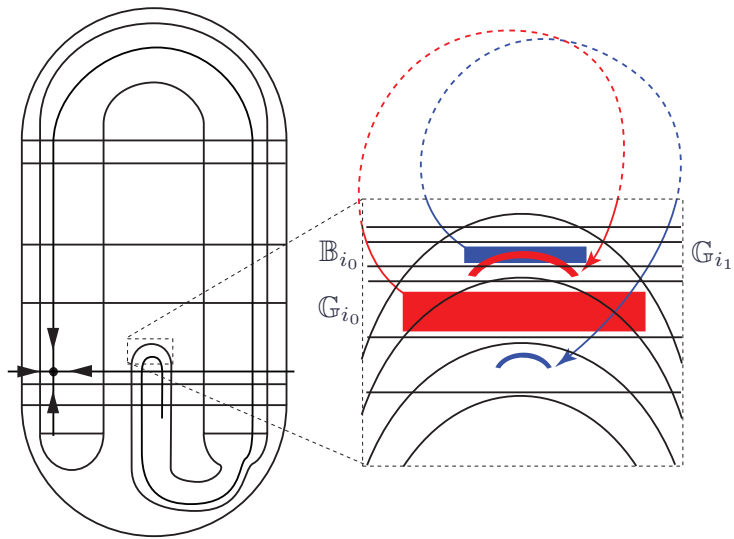
center of $f_{\delta_1}^{k_1}(D_0) = \text{center of } \mathbb{B}_{i_0}$

Colli-Vargas' example



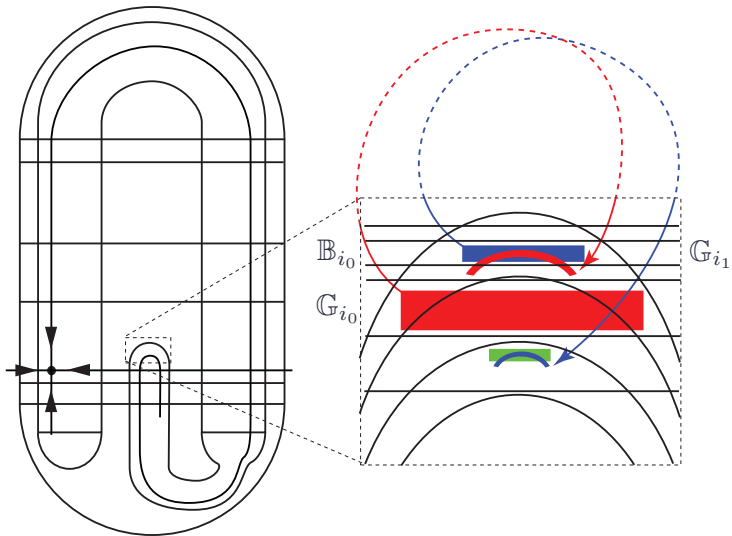
$$D_1 \subset G_{i_1}, \quad D_1 \cap f_{\delta_0}^{k_0}(D_0) \neq \emptyset$$

Colli-Vargas' example



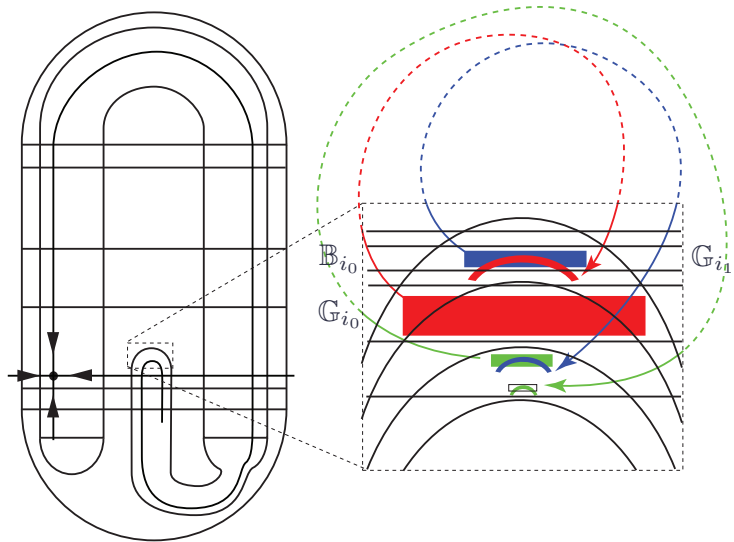
$$f_{\delta_1}^{k_1}(D_1) \cap \mathbb{B}_{i_1} \neq \emptyset$$

Colli-Vargas' example



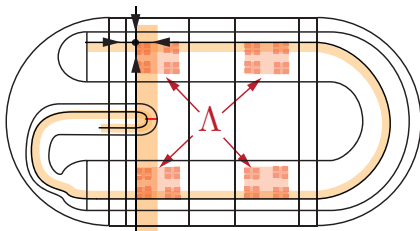
$$D_0 \xrightarrow{f_{\delta_0}^{k_0}} D_1 \xrightarrow{f_{\delta_1}^{k_1}} D_2$$

Colli-Vargas' example



$$D_0 \xrightarrow{f_{\delta_0}^{k_0}} D_1 \xrightarrow{f_{\delta_1}^{k_1}} D_2 \xrightarrow{f_{\delta_2}^{k_2}} D_3 \longrightarrow \dots$$

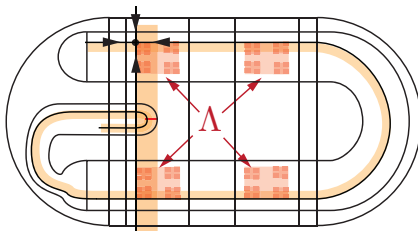
Colli-Vargas' example



[Colli-Vargas '01]

There exists a 2-dimensional C^r , $r \geq 2$, diffeomorphism having a **contracting non-trivial wandering domain** whose ω -limit set is contained in the **horseshoe Λ** with its **homoclinic tangencies**.

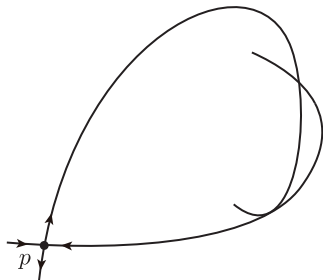
Colli-Vargas' example



[Colli-Vargas '01]

There exists a 2-dimensional C^r , $r \geq 2$, diffeomorphism having a **contracting non-trivial wandering domain** whose ω -limit set is contained in the **horseshoe Λ** with its **homoclinic tangencies**.

Main results



M : closed surface

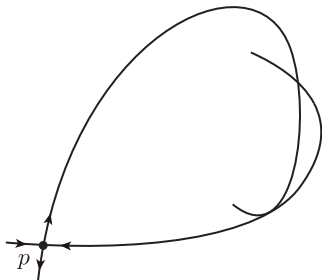
$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$
s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has
persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Main results



M : closed surface

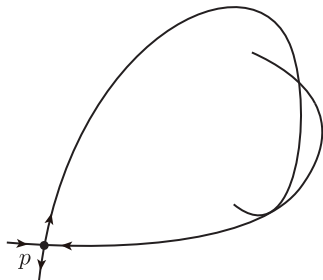
$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$
s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has
persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Main results



M : closed surface

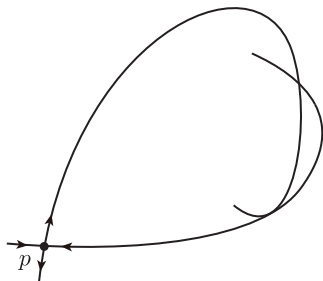
$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$
s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has
persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Main results



M : closed surface

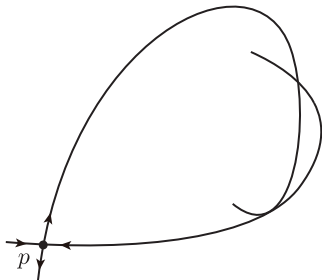
$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$
s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has
persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Main results



M : closed surface

$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$

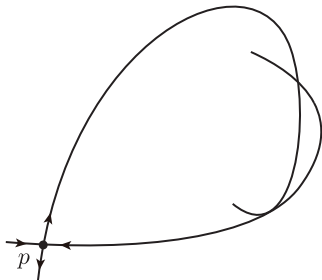
s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Theorem A (Colli-Vargas' conjecture '01)

The Newhouse open set \mathcal{N} is contained in the closure of a subset of $\text{Diff}^r(M)$, $2 \leq r < \infty$, whose any diffeomorphism has a contracting non-trivial wandering domains.

Main results



M : closed surface

$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$

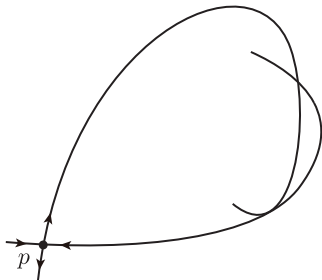
s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Theorem A (Colli-Vargas' conjecture '01)

The Newhouse open set \mathcal{N} is contained in the *closure* of a subset of $\text{Diff}^r(M)$, $2 \leq r < \infty$, whose any diffeomorphism has a contracting non-trivial wandering domains.

Main results



M : closed surface

$f \in \text{Diff}^r(M)$, $r \geq 2$, with

- saddle fixed point p ;
- homoclinic tangency for p

\exists open set $\mathcal{N}_f \subset \text{Diff}^r(M)$

s.t. $f \in \text{Cl}(\mathcal{N}_f)$ and \mathcal{N}_f has persistent tangencies.

$\mathcal{N} \stackrel{\text{def}}{=} \bigcup_f \mathcal{N}_f$: Newhouse open set

Theorem A (Colli-Vargas' conjecture '01)

The Newhouse open set \mathcal{N} is contained in the *closure* of a subset of $\text{Diff}^r(M)$, $2 \leq r < \infty$, whose any diffeomorphism has a **contracting non-trivial wandering domains**.

Takens' Last Problem

X : compact state space

$\varphi : X \rightarrow X$: continuous map

Definition

An orbit $\{x, \varphi(x), \varphi^2(x), \dots\}$ has *historic behavior* if the measure

$$\mu_{x,n} := \frac{1}{n+1} \sum_{i=0}^n \delta_{\varphi^i(x)},$$

where $\delta_{\varphi^i(x)}$ is the Dirac measure on X supported at $\varphi^i(x)$ does *not* converge in the weak topology as $n \rightarrow \infty$.

Takens' Last Problem

X : compact state space

$\varphi : X \rightarrow X$: continuous map

Definition

An orbit $\{x, \varphi(x), \varphi^2(x), \dots\}$ has *historic behavior* if the measure

$$\mu_{x,n} := \frac{1}{n+1} \sum_{i=0}^n \delta_{\varphi^i(x)},$$

where $\delta_{\varphi^i(x)}$ is the Dirac measure on X supported at $\varphi^i(x)$ does *not* converge in the weak topology as $n \rightarrow \infty$.

Takens' Last Problem

X : compact state space

$\varphi : X \rightarrow X$: continuous map

Definition

An orbit $\{x, \varphi(x), \varphi^2(x), \dots\}$ has *historic behavior* if the measure

$$\mu_{x,n} := \frac{1}{n+1} \sum_{i=0}^n \delta_{\varphi^i(x)},$$

where $\delta_{\varphi^i(x)}$ is the Dirac measure on X supported at $\varphi^i(x)$ does *not* converge in the weak topology as $n \rightarrow \infty$.

Takens' Last Problem

X : compact state space

$\varphi : X \rightarrow X$: continuous map

Definition

An orbit $\{x, \varphi(x), \varphi^2(x), \dots\}$ has *historic behavior* if the measure

$$\mu_{x,n} := \frac{1}{n+1} \sum_{i=0}^n \delta_{\varphi^i(x)},$$

where $\delta_{\varphi^i(x)}$ is the Dirac measure on X supported at $\varphi^i(x)$ does **not** converge in the weak topology as $n \rightarrow \infty$.

Answer to Takens' Last Problem

Taknes' last problem [Takens 2008]

Whether are there *persistent classes* of smooth dynamical systems such that the set of initial states which give rise to orbits with *historic behavior* has *positive Lebesgue measure*?

Theorem B (Answer to Takens' last problem)

The Newhouse open set $\mathcal{N} \subset \text{Diff}^r(M)$ has a *dense subset* where any diffeomorphism f has a contracting non-trivial *wandering domain* D such that, for any $x \in D$, the forward orbit of x under f has *historic behavior*.

Answer to Takens' Last Problem

Taknes' last problem [Takens 2008]

Whether are there *persistent classes* of smooth dynamical systems such that the set of initial states which give rise to orbits with *historic behavior* has *positive Lebesgue measure*?

Theorem B (Answer to Takens' last problem)

The Newhouse open set $\mathcal{N} \subset \text{Diff}^r(M)$ has a *dense subset* where any diffeomorphism f has a contracting non-trivial *wandering domain* D such that, for any $x \in D$, the forward orbit of x under f has *historic behavior*.

Answer to Takens' Last Problem

Taknes' last problem [Takens 2008]

Whether are there *persistent classes* of smooth dynamical systems such that the set of initial states which give rise to orbits with *historic behavior* has *positive Lebesgue measure*?

Theorem B (Answer to Takens' last problem)

The Newhouse open set $\mathcal{N} \subset \text{Diff}^r(M)$ has a *dense subset* where any diffeomorphism f has a contracting non-trivial *wandering domain* D such that, for any $x \in D$, the forward orbit of x under f has *historic behavior*.

Answer to Takens' Last Problem

Taknes' last problem [Takens 2008]

Whether are there *persistent classes* of smooth dynamical systems such that the set of initial states which give rise to orbits with *historic behavior* has *positive Lebesgue measure*?

Theorem B (Answer to Takens' last problem)

The Newhouse open set $\mathcal{N} \subset \text{Diff}^r(M)$ has a *dense subset* where any diffeomorphism f has a contracting non-trivial *wandering domain* D such that, for any $x \in D$, the forward orbit of x under f has *historic behavior*.

Answer to Takens' Last Problem

Taknes' last problem [Takens 2008]

Whether are there *persistent classes* of smooth dynamical systems such that the set of initial states which give rise to orbits with *historic behavior* has *positive Lebesgue measure*?

Theorem B (Answer to Takens' last problem)

The Newhouse open set $\mathcal{N} \subset \text{Diff}^r(M)$ has a *dense subset* where any diffeomorphism f has a contracting non-trivial *wandering domain* D such that, for any $x \in D$, the forward orbit of x under f has *historic behavior*.

An application to Hénon maps

Hénon family $f_{a,b} : \mathbb{R}^2 \rightarrow \mathbb{R}^2$

$$f_{a,b}(x, y) = (1 - ax^2 + y, bx)$$

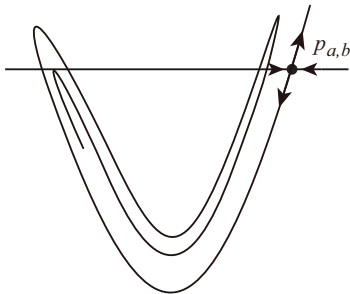
where a, b : real parameters

An application to Hénon maps

Hénon family $f_{a,b} : \mathbb{R}^2 \rightarrow \mathbb{R}^2$

$$f_{a,b}(x, y) = (1 - ax^2 + y, bx)$$

where a, b : real parameters

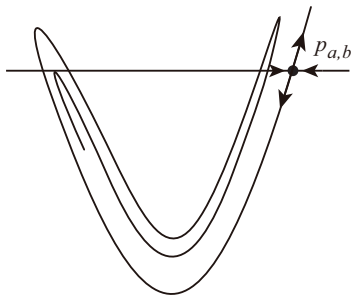


An application to Hénon maps

Hénon family $f_{a,b} : \mathbb{R}^2 \rightarrow \mathbb{R}^2$

$$f_{a,b}(x, y) = (1 - ax^2 + y, bx)$$

where a, b : real parameters



Open problem [van Strien '10], [Lyubich-Martens '11]

Does the Hénon family have a non-trivial wandering domain?

Corollary C

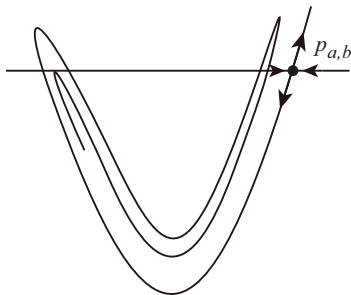
There is an open set \mathcal{O} of the parameter space of Hénon family with $\text{Cl}(\mathcal{O}) \ni (2, 0)$ such that for every $(a, b) \in \mathcal{O}$, $f_{a,b}$ is approximated by C^r diffeomorphisms, $2 \leq r < \infty$, which have historic & non-trivial wandering domains.

An application to Hénon maps

Hénon family $f_{a,b} : \mathbb{R}^2 \rightarrow \mathbb{R}^2$

$$f_{a,b}(x, y) = (1 - ax^2 + y, bx)$$

where a, b : real parameters



Open problem [van Strien '10], [Lyubich-Martens '11]

Does the Hénon family have a non-trivial wandering domain?

Corollary C

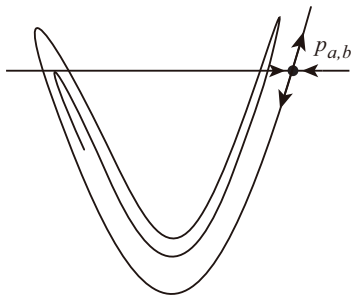
There is an open set \mathcal{O} of the parameter space of Hénon family with $\text{Cl}(\mathcal{O}) \ni (2, 0)$ such that for every $(a, b) \in \mathcal{O}$, $f_{a,b}$ is approximated by C^r diffeomorphisms, $2 \leq r < \infty$, which have historic & non-trivial wandering domains.

An application to Hénon maps

Hénon family $f_{a,b} : \mathbb{R}^2 \rightarrow \mathbb{R}^2$

$$f_{a,b}(x, y) = (1 - ax^2 + y, bx)$$

where a, b : real parameters



Open problem [van Strien '10], [Lyubich-Martens '11]

Does the Hénon family have a non-trivial wandering domain?

Corollary C

There is an open set \mathcal{O} of the parameter space of Hénon family with $\text{Cl}(\mathcal{O}) \ni (2, 0)$ such that for every $(a, b) \in \mathcal{O}$, $f_{a,b}$ is approximated by C^r diffeomorphisms, $2 \leq r < \infty$, which have historic & non-trivial wandering domains.

Thank you for your kind attention!

The paper can be downloaded from:

[arXiv:1503.06258](https://arxiv.org/abs/1503.06258)

or

[ResearchGate](#)



GN:★25400112

†26400093