Lecture 12: Stability of Hyperbolic Sets 2

We continue with the proof of structural stability of hyperbolic sets: \underline{Thm} . Suppose Λ is a hyperbolic set of a C¹ diffeomorphism T, then \exists open set $\Theta \equiv \Lambda$ and $\exists e > 0$ st. for every C¹ diffeo S s.t. $dist_{C1}(T,S) < E$, \exists compact invariant $\Lambda' \subseteq \Theta$ s.t. (i) Tl_{Λ} is topologically conjugate to Sl_{Λ} , (2) Λ' is a hyperbolic set of S.

We already saw (1). Today we'll prove (2), by showing the following stability result:

Thm: Suppose T is a C^A-diffeomorphism with a hyperbolic
set
$$\Lambda$$
. There is an open set $U \ge \Lambda$ and $\varepsilon > 0$ as follows.
If $S: U \rightarrow M$ is a C^A-diffeomorphism s.f.
(a) dist $(T, S) < \varepsilon$
(b) $\Lambda \subseteq U$ is a compact invariant set for S
Then Λ is a hyperbolic set for S.

* A set Λ' is T-invariant if $\overline{T}'(\Lambda') = \Lambda'$. Necessarily (since T is invertible), $\forall x \in \Lambda'$ $T(x^2 \in \Lambda', \overline{T}'(x) \in \Lambda')$.

Tool 1: The Lyapunov Metric Suppose A is a hyperbolic set. Recall the Oseledets - Posin reduction $C_{\chi}(x): \mathbb{R}^2 \to T_x \mathcal{M}:$ $C_{\chi}(T_{\star})^{-1}(A|T)_{\chi}C_{\chi}(\chi) = \begin{pmatrix} A_{\star} & 0 \\ 0 & B_{\chi} \end{pmatrix} = \begin{pmatrix} A_{\star} & 0 \\ 0 & B$ The Lyapunov (Riemannia) metric on A is the continuous family of inner products on TxH (xEA) given by $\langle \vec{\sigma}, \vec{n} \rangle_{\mu}^{\prime} := \left(\zeta_{\mu} (x)^{-1} \vec{\sigma}, \zeta_{\mu} (x) \vec{n} \right)_{R^{2}} \quad (\vec{\sigma}, \vec{n} \in T_{\mu} A)$ Exercise: · <· , · > is Continuous on A • $E^{h}(x) \perp E^{s}(x)$ with respect to $\langle \cdot, \cdot \rangle_{x}^{\prime}$ • $\forall \vec{v} e E^{s}(x), \forall h \ge 0 \| (dT^{n})_{x} \vec{v} \|_{x}^{l} \le e^{-hX} \| \vec{v} \|_{x}^{l} \qquad (e^{-hX} \| \vec{v} \|_{x}^{l})$ • $\forall \vec{v} e E^{s}(x), \forall h \ge 0 \| (dT^{-n})_{x} \vec{v} \|_{x}^{l} \le e^{-hX} \| \vec{v} \|_{x}^{l} \qquad (not) C e^{-hX} \| \vec{v} \|_{x}^{l}$ Lemma: I glibel constart K. s.t. for all xEA, $|k_{0}^{-1}|| \cdot ||_{x} \in || \cdot ||_{x} \leq |k_{0}|| \cdot ||_{x}$ Poorf. Suppose JET, M, J=C(x)J, JER. Then $\|\vec{v}\|_{x} = \|C_{x}(x)\vec{v}\|_{x} \le \|C_{x}(x)\vec{v}\|_{x}$ $\|\vec{v}\|_{x}^{\prime} = \|C_{x}(x)^{-}\vec{v}\|_{R^{2}} \ge \|\zeta_{x}(x)\|^{-1} \|\vec{v}\|_{x}^{\prime}.$ The lemma follows with K := max (II C (w 'II + II C (x) IT) (which is finite by the continuity of Cx(x) on A).

Tool 2: Continuous Extensions

- Lemma 1: Let Λ be a compact subset of a Riemannian manifold. (1) Any continuous real function on Λ has a continuous extension to an open neighborhood of Λ
- (2) Any continuous vector field on Λ has a continuous extension to an open neighborhood of Λ
- (3) Any continuous family of independent bases of T_M (xEA) has a continuous extension to an open neighborhood of A
- (4) Any continuous family of inner products on T2M (xEA) has a continuous extension to an open neighborhood of A

Exercise: (1) Louk up "Tietze's Extension Theorem". Prove (1).

- (2) Look up "partitions of unity". Prove (2).
- (y) Prove (2) under the assumption that the manifold is embedded in enclideon space.
- (4) Prive (5)
- (5) Prove (4). (Hint: To specify an inner product, it's sufficient to specify an arthonormal basis)

Tool 3: The Core Criterion

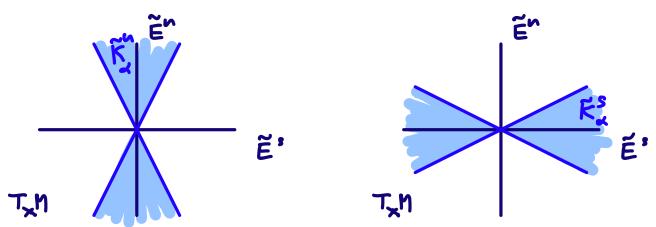
Setup:

- T: M→M C¹ diffeomophism, U ⊆ M open set
 II·II'_x is some continuous Riemannian norm on C s.d. K⁻ⁱ ≤ <u>II·II'_x</u> ≤ K_a (11-11z:= Riemamian norm on M), X ⊆ M a compact invariant set.

Terminology: Suppose TH=Ë(2) @ E(2) (20X) is some continuous splitting (possibly non-invariant). · Given vertien ve split v=v+v (ve Ev, ve Eu)

· Given de (0,1), we define the cone families:

$$\begin{split} \widetilde{\mathsf{K}}_{\mathbf{x}}^{h}(\mathbf{x}) &:= \begin{cases} \vec{v} \in \mathsf{T}_{\mathbf{x}} \mathsf{M} : \| \vec{v}^{s} \mathsf{I}_{\mathbf{x}}^{l} \leq \alpha \| \vec{v}^{s} \mathsf{I}_{\mathbf{x}}^{l} \end{cases} \\ \widetilde{\mathsf{K}}_{\mathbf{x}}^{s}(\mathbf{x}) &:= \begin{cases} \vec{v} \in \mathsf{T}_{\mathbf{x}} \mathsf{M} : \| \vec{v}^{s} \mathsf{I}_{\mathbf{x}}^{l} \leq \alpha \| \vec{v}^{s} \mathsf{I}_{\mathbf{x}}^{l} \end{cases} \end{cases} \end{split}$$



$$\frac{Cone \ (riterion \ lon \Lambda')}{T_{x}} = 0 \ (x \in \Lambda') \ s.t. \ Ahe associated a cones satisfy:
(a) Admost Invariance: For all xen'
(dT) $\frac{K'_{x}(x)}{k'_{x}(x)} = int \ K'_{x}(T(x)), \ (dT')_{x} \ K'_{x}(x) \ (d) \le int \ K'_{x}(T(x)), \ (dT')_{x} \ K'_{x}(x) \ (d) \le int \ K'_{x}(T(x)), \ (dT')_{x} \ K'_{x}(x) \ (d) \le int \ K'_{x}(T(x)), \ (dT')_{x} \ T'_{x}(x) \ (d) \le int \ K'_{x}(T(x)), \ (dT')_{x} \ T'_{x}(x) \ (d) \le int \ K'_{x}(T(x)), \ (dT')_{x} \ T'_{x}(x) \ (d) \le int \ K'_{x}(T(x)), \ (d) \ (d)$$$

 $\underline{Claim 2}: \forall \vec{v} \in E^{S}(v) \forall n \ge 0, \| (d\tau^{n})_{x} \vec{v} \|_{T^{S}_{x}} \le K^{S}_{0} \mu^{n} \| \vec{v} \|_{x}$ $\forall \vec{v} \in E^{n}(x) \quad \forall n \geq 0, \quad \| (Q(\tau^{-n}), \vec{v}) \|_{\tau^{-n}} \leq K_{0}^{2} n^{n} \| \vec{v} \|_{x}$ $\forall \vec{J} \in E^{(x)}, \forall n \ge 0, \|(dT^{n}), \vec{J}\| \ge k_{0}^{-2} \mu^{-n} \|\vec{J}\|_{1}$ Proof. If $\vec{v} \in E'(x)$, then by the previous claim, $dT_{x}^{k} \vec{J} \in E^{s}(T^{k}x) \leq \tilde{K}_{x}^{s}(T^{k}x)$ for all k By the forward contraction on $\vec{k}_{\perp}^{(.)}$, $\|dT_{T_{x}}^{n}\vec{c}\|' = \|dT_{T_{x}}(dT_{x}^{n}\vec{c})\|' \leq \mu \|dT_{x}^{n}\vec{c}\|'$ $EE^{s}(T'x) \subseteq \tilde{k}_{x}^{s}(T'x)$ $= \mu \| d T_{T_{x}} d T_{x}^{n-2} \vec{r} \| \leq \mu^{2} \| d T_{x}^{n-2} \vec{r} \|$ $\in E^{s}(\mathcal{T}_{x}^{\mathcal{T}}) \subseteq \widetilde{K}_{x}^{s} \ (\mathcal{T}_{x}^{\mathcal{T}})$ $\leq \cdots \leq \mu^{n} \| \vec{v} \|^{s}$ Since $K_0^{-1} \| \cdot \|_{x} \le \| \cdot \|_{x}^{1} \le K_0 \| \cdot \|_{x}^{1}$ $\forall h \ge 0$ $\|(d\tau^h) \vec{v}\|_{x} \le k_0^2 r^h \|\vec{v}\|_{z}$ on $\vec{E}(x)$. Similarly, theo, Ildr'), Il = Kop Ilily on E'(x), Substituting dTho for it, we get $\|\vec{G}\| = \|d\tau^{n}d\tau^{n}\vec{G}\| \ge K_{2}^{2}\mu^{-n} \|d\tau^{n}\vec{G}\|,$ whence $\|dT^{T}\vec{v}\| \leq K_{0} \tilde{\mu}^{n} \|\vec{v}\|$.

<u>Claim 3</u>. $E^{n}(x)$, $E^{s}(x)$ <u>contain</u> linear vector spaces of dimensions dim $\mathbb{H}^{n}(x)$, dim $\mathbb{H}^{s}(x)$, respectively. Morf Fix orthonormal bases W, ..., W, for GT) E"(Tx). Find a subsequence nk -> -> s.t. $\vec{W}_{i}^{(h_{k})} \xrightarrow{k \to \infty} \vec{W}_{i} \quad (i = 1, ..., p)$ The limit is an orthonormal system. Observe: $\forall n \geq N \quad \overrightarrow{W}_{1}^{(n)} \quad \dots \quad \overrightarrow{W}_{p}^{(n)} \in (dT^{n}) \quad \overleftarrow{K}_{x}^{(u)}(\overrightarrow{T}_{x}) \subseteq (dT^{n}) \quad \overleftarrow{K}_{x}^{(u)}(\overrightarrow{T}_{x})$ Thus $\vec{W}_{n}, ..., \vec{W}_{p} \in (\mathcal{A} \top^{N})_{x} \vec{K}_{x}^{n} (\tau^{-N}_{x})$ for all $N \ge 0$. Thus $\vec{W}_{n}, ..., \vec{W}_{p} \in \bigcap (\mathcal{A} \top^{N})_{x} \vec{K}_{x}^{n} (\tau^{-N}_{x}) = E^{n}(x)$. N=0Next fix some $a_{1, \dots}, a_{p} \in \mathbb{R}$. Since $\tilde{E}^{h}(\cdot)$ are vector spaces, $\forall n \geq N$ $\sum_{i=1}^{p} a_{i} \tilde{w}_{i}^{(n)} \in (dT^{n})_{X} \tilde{E}^{h}(\tilde{\tau}_{X}) \cong (dT^{n})_{X} \tilde{\kappa}^{h}(\tilde{\tau}_{X}) \cong (dT^{n})_{X} \tilde{\kappa}^{h}(\tilde{\tau}_{X})$ Again, this leads to $\sum_{N=1}^{P} \overline{W}_{i} \in \bigcap_{N=1}^{Q} \mathbb{C}(T^{N}) = E^{L}(X).$ We see that $A^{\mu} = \text{Span} \{ W_{\eta}, ..., W_{p} \}$ is inside $E^{\mu}(x)$. By construction, A^{μ} is a vector space of dimension dim $\tilde{E}^{\mu}G_{\nu}$. Sinilarly one can build a linear vector space $A^{s} \subseteq E^{s}(x)$ of diversion dim É (x). Notice that An ASSEnE= for dimAstdimAn-dimEtomé=dimn. So T, M= A DA.

<u>Clain 4</u>. Eⁿ(x), E'(x) are linear vector spaces, and $T_{x} M = E^{n}(x) \oplus E^{2}(x).$ Proof. We claim that E(x) = A(x). Indeed, pick some GEE'(x) and decompose G= a"+a" where a te At (t=us). If a =0, then $\|(d\tau')_{x}\vec{v}\| \ge \|(d\tau')_{x}\vec{a}^{*}\| - \|(d\tau')_{x}\vec{a}^{*}\|$ $A^{n} \cong E^{n} \xrightarrow{R} K_{0}^{2} \mu^{-n} \| \vec{a}^{n} \| - K_{0}^{2} \mu^{n} \| \| \vec{a}^{n} \|$ $A^{n} \cong E^{n} \xrightarrow{R} M \xrightarrow{R} M$ But ll(dT), J II = KophilJ → 0, because JEE. Neconarily a"=0. This shows: $E^{s}(x) \subseteq A^{s}(x) \implies E^{s}(w) = A^{s}(w)$ Similarly $E^{(x)} \subseteq A^{(x)} \Longrightarrow E^{(x)} = A^{(x)}$. Thus E'(x) E'(x) are linear spaces. Observe that $E^{(x)} \cap E^{(x)} = A^{(x)} \cap A^{(x)} \subseteq E^{(x)} \cap E^{(x)} = \{0\}.$ Since dim Eⁿ + dim E^s = lim Aⁿ + dim H^s $= \dim E^{\mu} + \dim E^{\nu} = \dim T_{\chi} M_{\chi}$ we have $T_X M = E^{\alpha}(x) \oplus \overline{E}^{\beta}(x)$ By claims 1,2 and 4, X is a hyperbolic set.

Stability of Hyperbolic Sets

Thm. Suppose T is a C'-diffeomorphism with a hyperbolic set A. There is an open set UZA and E>0 as follows. If S: U→M Is a Cⁿ-diffeomorphism s.f. (a) dist $(T, S) < \epsilon$ (6) X C U is a compact invariant set for S then X is a hyperbolic set for S. <u>Lemma 1</u>: T satisfios the cone criterion on A. Proof: Lot Tr M= E'(x) @E'(x) (xen) be the T-invariant splitting associated with the hyperbolic set A. Let 11.11, be the Lyapuna metric, and fix ocyca s.t. Ild Tles Il < y, Ild T'len Il < y. Fix O<2<1. The &- (nn)stable cone family is $K_{a}^{n}(x) := \begin{cases} \vec{v} \in T_{2} M : \| \vec{v}^{s} \|_{x}^{2} \leq x \| \vec{v}^{u} \|_{z}^{2} \end{cases}$ $K'_{2}(z) := \{ \vec{v} \in T_{z} M : \| \vec{v}^{M} \| \leq 2 \| \vec{v}^{M} \|_{z}^{2} \}$ T_xn E' T,N E Think of K' (2), K' (2) as of neighborhords of E' (2) E' (2).

$$\frac{(lain: For all order sufficiently small, for all xell
(A) dTx (Kbx(h) {o}) \equiv int K^b_x(T_x)
(b) (dT_x¹⁻¹ (K_x¹(x) {o})) \equiv int K^b_x(T_x)

$$\frac{Proof_{x}}{Proof_{x}} = Suppore \ U \in K^{a}_{x}(x) \cdot {o}_{y} \text{ and split } U = U^{a} \cdot U^{a}, \ U^{b} \in E^{b}(x).$$
Then $(dT)_{x} U = (dT)_{x} U^{a} + (dT)_{x} U^{s}, \ dT_{x} U^{b} \in E^{b}(T_{x}), \text{ and}$

$$\frac{11 dT_{x} U^{s} 11}{11 dT_{x}} = \frac{1}{9} \frac{10U^{s} 11}{9} = \eta^{2} \frac{10U^{s} 1}{10U^{s} 11} \leq \eta^{2} d \leq d$$
So $dT_{x} U = int K^{b}(T_{x}).$ This proof (a). Similarly, one proves (b)

$$\frac{(laim: For all ocach sufficiently small, \exists pe(a_{1}) stefn all x \in A}{(a)} \quad W \cup K^{b}_{x}(G), \ 11 dT_{x}^{-1} U^{1} \leq p ||U|^{1}$$
(b) $\forall U \in K^{b}_{x}(G), \ 11 dT_{x}^{-1} U^{1} \leq p ||U|^{1}$

$$\frac{Proof_{x}}{1} \quad U \in K^{b}_{x}(G), \ 11 dT_{x}^{-1} U^{1} \leq p ||U|^{1}$$

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$$\frac{Proof_{x}}{1} \quad U \in K^{b}_{x}(G), \ 11 dT_{x}^{-1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} = ||U|^{1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} = ||U|^{1} = ||U|^{1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} U^{1} = ||U|^{1} = |$$$$

Lemma 2: Fix d as in Lemma 1, and let $\vec{E}^{\alpha}, \vec{E}^{\beta}, \|\cdot\|'$ be continuous extensions of $\vec{E}^{\alpha}(x), \vec{E}^{\beta}(x)$, and Lyapunar's metric to some open neighborhood U of A. Then $\exists \epsilon > 0$ and an open set $\Theta = \Lambda : t \cdot \Theta = U$ and for every C^{1} differs S s.t. dirt $(T,S) < \epsilon$, S satisfies XLe come criterion on Θ with the d-comes associated to $\vec{E}^{\alpha}, \vec{e}^{\beta}$.

Proof. Let
$$\pi_{x}^{u}: T_{x}M \to \tilde{E}^{h}(x)$$
, $\pi_{x}^{s}: T_{x}M \to \tilde{E}^{s}(x)$ (xe U)
be projections associated to the splitting $T_{x}M = \tilde{E}^{u}(x) \oplus \tilde{E}^{s}(x)$.
Since $E^{t}(\cdot)$ are continuous, $x \mapsto \pi_{x}^{a,s}$ are continuous (n U).
For $x \in \Lambda$, $(dT_{x})(K_{x}^{u}(x) \setminus \{o\}) \subseteq int K_{x}^{u}(T_{x})$ and
 $\| dT_{x}^{-1} v \|' \leq \eta \| v \|'$ for $v \in K_{x}^{u}(x)$. Equivalently
 $\frac{\| (\pi_{T(x)}^{s} \circ dT_{x})(v) \|}{\| (\pi_{T(x)}^{s} \circ dT_{x})(v) \|} \leq \alpha$ for ell $x \in \Lambda$
and any unit vector $v \in K_{x}^{u}(x)$.

The set $\{(x,w): x \in \Lambda, w \in K_{\infty}^{u}(x) | | w | | = 1\}$ is compact and $y \mapsto \pi_{y}^{u}, \pi_{y}^{s}, dT_{y}$ are continuous on U. A compaction argument this shows that for some $\delta > 0$, $\frac{||(\pi_{T(x)}^{s} \circ dT_{x})(v)||}{||(\pi_{T(x)}^{s} \circ dT_{x})(v)||} \leq d-\delta \qquad \text{for ell } x \in \Lambda \text{ and}$ $any unit vector <math>v \in K_{\infty}^{u}(x)$ $||dT_{x}^{-1}v|| \leq y - \delta$

By the continuity of
$$TT_{S}^{Sh}$$
, dT_{S} in g , $\exists open neightherapy $O_{\eta} \ge \Lambda \quad s,t$.

$$\frac{\|(TT_{T(x)}^{s} \circ dT_{x})(\sigma)\|}{\|(TT_{T(x)}^{n} \circ dT_{x})(\sigma)\|} < d - \frac{s}{2} \int for ell x e O_{\eta}$$
and any unit vector $v \in K^{u}(x)$$

Now fix some Ero so small that for all S s.t.

$$dist_{C^{n}}(T,S) < \varepsilon_{n},$$

$$\frac{||(\Pi_{S(s)}^{s} \circ dS_{x})(s)||}{||(\Pi_{S(s)}^{s} \circ dS_{x})(s)||} < d$$
for all $x \in O_{n}$
and any unit vector $v \in \widetilde{K}_{x}^{u}(s),$

$$||AS_{x}^{-1} \sigma|| < \eta$$

For such $\varepsilon_{n,j}$ $dS_x(\tilde{K}_x^n G_n \times \{0\}) \in int \tilde{K}_x^n (S_x)$ $\forall x \in O_{n,j}$ and $\| dS_x^{-1} \| \leq \eta$ on $\tilde{K}_x^n (x)$.

Similarly $\exists \varepsilon_2 \text{ and } \Theta_2 = \Lambda \text{ open s.t. } dS_x(\widetilde{K}_2^s G_2 \cap \{o\}) \in int \widetilde{K}_x^s(G_2)$ $\forall x \in \Theta_2, and \| dS_x \| \leq \eta \text{ on } \widetilde{K}_x^s(x).$ The lemma follows with $\Theta := \Theta_1 \cap \Theta_2, \quad \varepsilon := \min\{\varepsilon_1, \varepsilon\}.$ Completion of the Broof of the Structural Stability Theorem : Fix O, 2 as in the previous lemma. Fix 5>0 so small that the S-reigh of A is inside O. We saw in the previous lecture that 3521 open and ∋ e'e (o, e) s.t. if dut (T, S) < e', then: S has a compact invariant sot 1 with a homeomorphism $(f: \Lambda \rightarrow \Lambda' \text{ s.t. dist}_{C})(q, id) < \delta, and$ $\wedge \xrightarrow{\top} \wedge$ 4] J4 commuter. $\wedge' \rightarrow \wedge'$ Since dist $(f, id) < \delta$, $\Lambda' = f(\Lambda) \leq \delta$ -neigh of $\Lambda \leq \delta$. By the previous lemma, S satisfies the core condition on A. It follows that A is a hyporbolic set for S.

> In summary: The hyperbolicity mechanism for exponential sensitivity to initial conditions is stable