

## Chaos and semiconjugacy arguments

Piotr Oprocha

Departamento de Matemáticas  
Universidad de Murcia, Murcia, Spain

and

Faculty of Applied Mathematics  
AGH University of Science and Technology, Kraków, Poland

Będlewo, Poland, June 2009

# Factor maps

## 1 Factor map

- 1  $(X, f), (Y, g)$  - continuous self-maps of compact metric spaces
- 2  $\pi: X \rightarrow Y$  - onto,  $\pi \circ f = g \circ \pi$

## 2 Some possible properties of $\pi$ :

- 1  $\pi$  is a homeomorphism (some special situations...)
- 2  $\pi$  is almost one to one, i.e.  $Y_1 = \{y : \#\pi^{-1}(\{y\}) = 1\}$  is residual (horseshoes in dimension one, Toeplitz shifts, extensions over co-cycles...)
- 3 one point  $y_0 \in Y$  has unique preimage, possibly with some extra knowledge about  $y_0$  (snap back repellers, isolating segments, covering relations, horseshoes)
- 4  $\pi$  is finite to one (horseshoes in dimension one, hyperbolic maps, ...)
- 5 ...

## 3 Some possible $Y$ :

- 1 full shift on  $n \geq 2$  symbols
- 2 shift of finite type
- 3 minimal system (e.g. Odometer, rotation, ...)
- 4 other well studied spaces/maps

# Factor maps

## 1 Factor map

- 1  $(X, f), (Y, g)$  - continuous self-maps of compact metric spaces
- 2  $\pi: X \rightarrow Y$  - onto,  $\pi \circ f = g \circ \pi$

## 2 Some possible properties of $\pi$ :

- 1  $\pi$  is a homeomorphism (some special situations...)
- 2  $\pi$  is almost one to one, i.e.  $Y_1 = \{y : \#\pi^{-1}(\{y\}) = 1\}$  is residual (horseshoes in dimension one, Toeplitz shifts, extensions over co-cycles...)
- 3 one point  $y_0 \in Y$  has unique preimage, possibly with some extra knowledge about  $y_0$  (snap back repellers, isolating segments, covering relations, horseshoes)
- 4  $\pi$  is finite to one (horseshoes in dimension one, hyperbolic maps, ...)
- 5 ...

## 3 Some possible $Y$ :

- 1 full shift on  $n \geq 2$  symbols
- 2 shift of finite type
- 3 minimal system (e.g. Odometer, rotation, ...)
- 4 other well studied spaces/maps

# Factor maps

## 1 Factor map

- 1  $(X, f), (Y, g)$  - continuous self-maps of compact metric spaces
- 2  $\pi: X \rightarrow Y$  - onto,  $\pi \circ f = g \circ \pi$

## 2 Some possible properties of $\pi$ :

- 1  $\pi$  is a homeomorphism (some special situations...)
- 2  $\pi$  is almost one to one, i.e.  $Y_1 = \{y : \#\pi^{-1}(\{y\}) = 1\}$  is residual (horseshoes in dimension one, Toeplitz shifts, extensions over co-cycles...)
- 3 one point  $y_0 \in Y$  has unique preimage, possibly with some extra knowledge about  $y_0$  (snap back repellers, isolating segments, covering relations, horseshoes)
- 4  $\pi$  is finite to one (horseshoes in dimension one, hyperbolic maps, ...)
- 5 ...

## 3 Some possible $Y$ :

- 1 full shift on  $n \geq 2$  symbols
- 2 shift of finite type
- 3 minimal system (e.g. Odometer, rotation, ...)
- 4 other well studied spaces/maps

# Factor maps

## 1 Factor map

- 1  $(X, f), (Y, g)$  - continuous self-maps of compact metric spaces
- 2  $\pi: X \rightarrow Y$  - onto,  $\pi \circ f = g \circ \pi$

## 2 Some possible properties of $\pi$ :

- 1  $\pi$  is a homeomorphism (some special situations...)
- 2  $\pi$  is almost one to one, i.e.  $Y_1 = \{y : \#\pi^{-1}(\{y\}) = 1\}$  is residual (horseshoes in dimension one, Toeplitz shifts, extensions over co-cycles...)
- 3 one point  $y_0 \in Y$  has unique preimage, possibly with some extra knowledge about  $y_0$  (snap back repellers, isolating segments, covering relations, horseshoes)
- 4  $\pi$  is finite to one (horseshoes in dimension one, hyperbolic maps, ...)
- 5 ...

## 3 Some possible $Y$ :

- 1 full shift on  $n \geq 2$  symbols
- 2 shift of finite type
- 3 minimal system (e.g. Odometer, rotation, ...)
- 4 other well studied spaces/maps

# Factor maps

## 1 Factor map

- 1  $(X, f), (Y, g)$  - continuous self-maps of compact metric spaces
- 2  $\pi: X \rightarrow Y$  - onto,  $\pi \circ f = g \circ \pi$

## 2 Some possible properties of $\pi$ :

- 1  $\pi$  is a homeomorphism (some special situations...)
- 2  $\pi$  is almost one to one, i.e.  $Y_1 = \{y : \#\pi^{-1}(\{y\}) = 1\}$  is residual (horseshoes in dimension one, Toeplitz shifts, extensions over co-cycles...)
- 3 one point  $y_0 \in Y$  has unique preimage, possibly with some extra knowledge about  $y_0$  (snap back repellers, isolating segments, covering relations, horseshoes)
- 4  $\pi$  is finite to one (horseshoes in dimension one, hyperbolic maps, ...)
- 5 ...

## 3 Some possible $Y$ :

- 1 full shift on  $n \geq 2$  symbols
- 2 shift of finite type
- 3 minimal system (e.g. Odometer, rotation, ...)
- 4 other well studied spaces/maps

# Factor maps

## 1 Factor map

- 1  $(X, f), (Y, g)$  - continuous self-maps of compact metric spaces
- 2  $\pi: X \rightarrow Y$  - onto,  $\pi \circ f = g \circ \pi$

## 2 Some possible properties of $\pi$ :

- 1  $\pi$  is a homeomorphism (some special situations...)
- 2  $\pi$  is almost one to one, i.e.  $Y_1 = \{y : \#\pi^{-1}(\{y\}) = 1\}$  is residual (horseshoes in dimension one, Toeplitz shifts, extensions over co-cycles...)
- 3 one point  $y_0 \in Y$  has unique preimage, possibly with some extra knowledge about  $y_0$  (snap back repellers, isolating segments, covering relations, horseshoes)
- 4  $\pi$  is finite to one (horseshoes in dimension one, hyperbolic maps, ...)
- 5 ...

## 3 Some possible $Y$ :

- 1 full shift on  $n \geq 2$  symbols
- 2 shift of finite type
- 3 minimal system (e.g. Odometer, rotation, ...)
- 4 other well studied spaces/maps

# Factor maps and entropy

$$\pi: (X, f) \rightarrow (Y, g)$$

1 Topological entropy:  $h_{top}(f) \in [0, +\infty]$ ,

2  $h_{top}(f) > 0 \implies$  chaos,

3 Positive topological entropy:

1  $h_{top}(f) \geq h_{top}(g)$ .

2 if  $\pi$  is at most  $k$ -to-1 for some  $k > 0$  then  $h_{top}(f) = h_{top}(g)$ .

4 Chaos in the sense of Li and Yorke:

1 there is an uncountable set  $S \subset X$  such that for any  $x \neq y, x, y \in S$ :

$$\liminf_{n \rightarrow \infty} d(f^n(x), f^n(y)) = 0 \quad , \quad \limsup_{n \rightarrow \infty} d(f^n(x), f^n(y)) > 0 \quad (> \varepsilon).$$

2 In  $h_{top}(f) > 0$  then  $f$  is LY-chaotic.

Blanchard, Glasner, Kolyada, Maass, *J. Reine Angew. Math.* 547 (2002) 5168



# Factor maps and entropy

$$\pi: (X, f) \rightarrow (Y, g)$$

- 1 Topological entropy:  $h_{top}(f) \in [0, +\infty]$ ,
- 2  $h_{top}(f) > 0 \implies$  chaos,
- 3 Positive topological entropy:
  - 1  $h_{top}(f) \geq h_{top}(g)$ .
  - 2 if  $\pi$  is at most  $k$ -to-1 for some  $k > 0$  then  $h_{top}(f) = h_{top}(g)$ .
- 4 Chaos in the sense of Li and Yorke:
  - 1 there is an uncountable set  $S \subset X$  such that for any  $x \neq y, x, y \in S$ :

$$\liminf_{n \rightarrow \infty} d(f^n(x), f^n(y)) = 0 \quad , \quad \limsup_{n \rightarrow \infty} d(f^n(x), f^n(y)) > 0 \quad (> \varepsilon).$$

- 2 In  $h_{top}(f) > 0$  then  $f$  is LY-chaotic.

Blanchard, Glasner, Kolyada, Maass, *J. Reine Angew. Math.* 547 (2002) 5168

# Factor maps and entropy

$$\pi: (X, f) \rightarrow (Y, g)$$

- 1 Topological entropy:  $h_{top}(f) \in [0, +\infty]$ ,
- 2  $h_{top}(f) > 0 \implies$  chaos,
- 3 Positive topological entropy:
  - 1  $h_{top}(f) \geq h_{top}(g)$ .
  - 2 if  $\pi$  is at most  $k$ -to-1 for some  $k > 0$  then  $h_{top}(f) = h_{top}(g)$ .
- 4 Chaos in the sense of Li and Yorke:
  - 1 there is an uncountable set  $S \subset X$  such that for any  $x \neq y, x, y \in S$ :

$$\liminf_{n \rightarrow \infty} d(f^n(x), f^n(y)) = 0 \quad , \quad \limsup_{n \rightarrow \infty} d(f^n(x), f^n(y)) > 0 \quad (> \varepsilon).$$

- 2 In  $h_{top}(f) > 0$  then  $f$  is LY-chaotic.

Blanchard, Glasner, Kolyada, Maass, *J. Reine Angew. Math.* 547 (2002) 5168

# Factor maps and entropy

$$\pi: (X, f) \rightarrow (Y, g)$$

- 1 Topological entropy:  $h_{top}(f) \in [0, +\infty]$ ,
- 2  $h_{top}(f) > 0 \implies$  chaos,
- 3 Positive topological entropy:
  - 1  $h_{top}(f) \geq h_{top}(g)$ .
  - 2 if  $\pi$  is at most  $k$ -to-1 for some  $k > 0$  then  $h_{top}(f) = h_{top}(g)$ .
- 4 Chaos in the sense of Li and Yorke:
  - 1 there is an uncountable set  $S \subset X$  such that for any  $x \neq y, x, y \in S$ :
$$\liminf_{n \rightarrow \infty} d(f^n(x), f^n(y)) = 0 \quad , \quad \limsup_{n \rightarrow \infty} d(f^n(x), f^n(y)) > 0 \quad (> \varepsilon).$$
  - 2 In  $h_{top}(f) > 0$  then  $f$  is LY-chaotic.

Blanchard, Glasner, Kolyada, Maass, *J. Reine Angew. Math.* 547 (2002) 5168

# Extensions of L-Y definition

$$\pi: (X, f) \rightarrow (Y, g)$$

## 1 distributionally chaotic pair:

- 1  $\Phi_{xy}^{(n)}(t) = \frac{1}{n} \# \{i : d(f^i(x), f^i(y)) < t, 0 \leq i < n\}$ ,
- 2  $\Phi_{xy}(t) = \liminf_{n \rightarrow \infty} \Phi_{xy}^{(n)}(t)$
- 3  $\Phi_{xy}^*(t) = \limsup_{n \rightarrow \infty} \Phi_{xy}^{(n)}(t)$
- 4 a pair is DC if
  - $\Phi_{xy}^*(t) = 1$ , for all  $t > 0$ ,
  - $\Phi_{xy}(s) = 0$  for some  $s > 0$ .

## 2 $\omega$ -chaotic pair

- 1  $\omega_f(x) \setminus \omega_f(y)$  is uncountable,
- 2  $\omega_f(x) \cap \omega_f(y) \neq \emptyset$  and
- 3  $\omega_f(x) \setminus Per(f) \neq \emptyset$ .

## 3 The above properties are independent of PTE and of each other...

# Extensions of L-Y definition

$$\pi: (X, f) \rightarrow (Y, g)$$

## 1 distributionally chaotic pair:

- 1  $\Phi_{xy}^{(n)}(t) = \frac{1}{n} \# \{i : d(f^i(x), f^i(y)) < t, 0 \leq i < n\}$ ,
- 2  $\Phi_{xy}(t) = \liminf_{n \rightarrow \infty} \Phi_{xy}^{(n)}(t)$
- 3  $\Phi_{xy}^*(t) = \limsup_{n \rightarrow \infty} \Phi_{xy}^{(n)}(t)$
- 4 a pair is DC if
  - $\Phi_{xy}^*(t) = 1$ , for all  $t > 0$ ,
  - $\Phi_{xy}(s) = 0$  for some  $s > 0$ .

## 2 $\omega$ -chaotic pair

- 1  $\omega_f(x) \setminus \omega_f(y)$  is uncountable,
- 2  $\omega_f(x) \cap \omega_f(y) \neq \emptyset$  and
- 3  $\omega_f(x) \setminus Per(f) \neq \emptyset$ .

## 3 The above properties are independent of PTE and of each other...

# Extensions of L-Y definition

$$\pi: (X, f) \rightarrow (Y, g)$$

## 1 distributionally chaotic pair:

1  $\Phi_{xy}^{(n)}(t) = \frac{1}{n} \# \{i : d(f^i(x), f^i(y)) < t, 0 \leq i < n\},$

2  $\Phi_{xy}(t) = \liminf_{n \rightarrow \infty} \Phi_{xy}^{(n)}(t)$

3  $\Phi_{xy}^*(t) = \limsup_{n \rightarrow \infty} \Phi_{xy}^{(n)}(t)$

4 a pair is DC if

- $\Phi_{xy}^*(t) = 1$ , for all  $t > 0$ ,

- $\Phi_{xy}(s) = 0$  for some  $s > 0$ .

## 2 $\omega$ -chaotic pair

1  $\omega_f(x) \setminus \omega_f(y)$  is uncountable,

2  $\omega_f(x) \cap \omega_f(y) \neq \emptyset$  and

3  $\omega_f(x) \setminus Per(f) \neq \emptyset$ .

3 The above properties are **independent of PTE** and of each other...

# How to get $\pi$ ? A cookbook...

$$\pi: (\Lambda, f|_{\Lambda}) \rightarrow (\Sigma_2^+, \sigma)$$

- 1 Fix two disjoint closed sets  $N_0, N_1$ .
- 2 For every sequence  $\alpha = \{a_0, a_1, \dots, a_{n-1}\}$ ,  $a_i \in \{0, 1\}$  construct  $p_{\alpha}$  (periodic ?) such that  $f^j(p_{\alpha}) \in N_{a_j \pmod n}$ ,
- 3  $\Lambda = \overline{\{f^j(p_{\alpha}) : \alpha \in \{0, 1\}^+, j \in \mathbb{N}\}}$ ,
- 4 Assign  $\pi(f^j(p_{\alpha})) = \sigma^j(\alpha\alpha\dots)$  and extend continuously on  $\Lambda$

# How to get $\pi$ ? A cookbook...

$$\pi: (\Lambda, f|_{\Lambda}) \rightarrow (\Sigma_2^+, \sigma)$$

- 1 Fix two disjoint closed sets  $N_0, N_1$ .
- 2 For every sequence  $\alpha = \{a_0, a_1, \dots, a_{n-1}\}$ ,  $a_i \in \{0, 1\}$  construct  $p_{\alpha}$  (periodic ?) such that  $f^j(p_{\alpha}) \in N_{a_j(\bmod n)}$ ,
- 3  $\Lambda = \overline{\{f^j(p_{\alpha}) : \alpha \in \{0, 1\}^+, j \in \mathbb{N}\}}$ ,
- 4 Assign  $\pi(f^j(p_{\alpha})) = \sigma^j(\alpha\alpha\dots)$  and extend continuously on  $\Lambda$



# How to get $\pi$ ? A cookbook...

$$\pi: (\Lambda, f|_{\Lambda}) \rightarrow (\Sigma_2^+, \sigma)$$

- 1 Fix two disjoint closed sets  $N_0, N_1$ .
- 2 For every sequence  $\alpha = \{a_0, a_1, \dots, a_{n-1}\}$ ,  $a_i \in \{0, 1\}$  construct  $p_{\alpha}$  (periodic ?) such that  $f^j(p_{\alpha}) \in N_{a_j \pmod n}$ ,
- 3  $\Lambda = \overline{\{f^j(p_{\alpha}) : \alpha \in \{0, 1\}^+, j \in \mathbb{N}\}}$ ,
- 4 Assign  $\pi(f^j(p_{\alpha})) = \sigma^j(\alpha\alpha\dots)$  and extend continuously on  $\Lambda$

# How to get $\pi$ ? A cookbook...

$$\pi: (\Lambda, f|_{\Lambda}) \rightarrow (\Sigma_2^+, \sigma)$$

- 1 Fix two disjoint closed sets  $N_0, N_1$ .
- 2 For every sequence  $\alpha = \{a_0, a_1, \dots, a_{n-1}\}$ ,  $a_i \in \{0, 1\}$  construct  $p_{\alpha}$  (periodic ?) such that  $f^j(p_{\alpha}) \in N_{a_j \pmod n}$ ,
- 3  $\Lambda = \overline{\{f^j(p_{\alpha}) : \alpha \in \{0, 1\}^+, j \in \mathbb{N}\}}$ ,
- 4 Assign  $\pi(f^j(p_{\alpha})) = \sigma^j(\alpha\alpha\dots)$  and extend continuously on  $\Lambda$

# One-to-one covering

$$\pi: (\Lambda, f^p|_\Lambda) \rightarrow (\Sigma_2^+, \sigma)$$

- 1  $z \in X$  is a **repelling fixed point** for  $f$  in  $U$  if
  - $U \subset f(U)$
  - $\bigcap_{n=0}^{\infty} f^{-n}(U) = \{z\}$
- 2  $z$  is a **snap-back repeller** for  $f$  in  $U$  if
  - $z$  is a repelling fixed point
  - there is  $y \in U \setminus \{z\}$  such that  $f^m(y) = z$  for some  $m > 0$  and  $f^m$  is open at  $y$ .

(Boyarski, Góra, Lioubimov, *Nonlinear Analysis*, 43 (2001) 591–604)

(Marotto, *J. Math. Anal. Appl.* 63 (1978) 199–223)

## A little more on $\pi$ ...

$$\pi: (X, f) \rightarrow (\Sigma_2^+, \sigma)$$

① if there is  $y \in \Sigma_2^+$  such that:

- $\overline{\text{Orb}^+(y)} \neq \Sigma_2^+$
- $\#\Phi^{-1}(\{y\}) = 1$  (2, more...?)

then  $f$  is distributionally chaotic

(joint work with P. Wilczyński)

② if there is  $y \in \Sigma_2^+$  ( $\overline{\text{Orb}^+(y)} \neq \Sigma_2^+$ ) such that:

- $\pi^{-1}(\{y\})$  is at most countable

or

- $\Omega = \bigcup_{x \in \pi^{-1}(\{y\})} \overline{\omega_f(x)}$  contains at most countably many minimal subsets

then  $f$  is  $\omega$ -chaotic

(joint work with M. Lampart)

## Problems with thick fibers...

$$\pi: (\Lambda, f|_{\Lambda}) \rightarrow (\Sigma_2^+, \sigma)$$

$$\Lambda = \overline{\{f^j(p_{\alpha}) : \alpha \in \{0,1\}^+, j \in \mathbb{N}\}}$$

- 1 is there  $x \in \Lambda$  such that periodic points are dense in  $\overline{\text{Orb}^+(x)}$ ?  
(chaos in the sense of Devaney)