

A note prepared for lectures :

Title: Transfer operator for
Anosov ~~flows~~ diffeomorphism.

Abstract We explain basic results about
'resonances' for Anosov diffeomorphism
([BT1],[BT2]). We use the method of wave
packet transform, which is developed in [FT1]
for Anosov flows.

Masato Tsujii
at Kyushu university.

0. Introduction

$F: M \rightarrow C^\infty$ Anosov diffeomorphism

\exists decomposition $TM = E^u \oplus E^s$

$\exists \lambda > 1$ s.t. $|DF^{-1}|_{E^u}| < \lambda^{-1}$, $|DF|_{E^s}| < \lambda^{-1}$.

Transfer operator $\mathcal{L} = \mathcal{L}_{F,G} : C^\infty(M) \rightarrow$

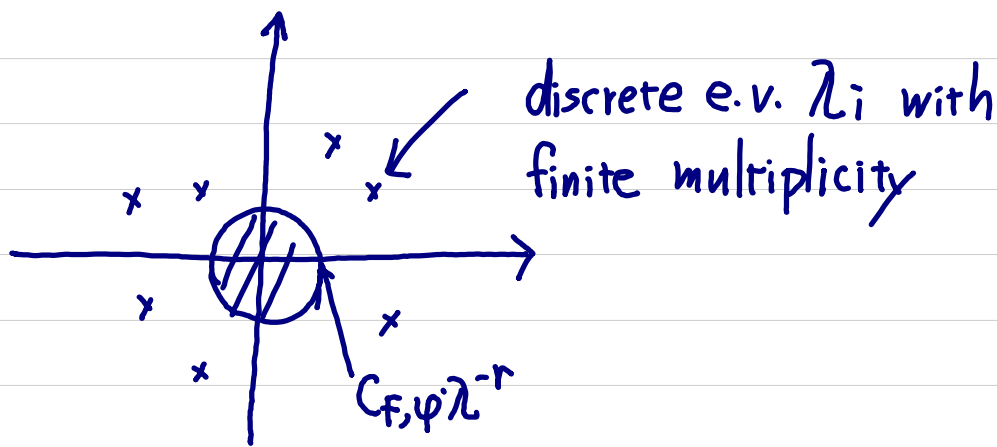
$$\mathcal{L}u(x) = (G \cdot u)(F^{-1}(x)) \quad G \in C^\infty(M).$$

Thm A ([BKL], [GL], [BT1])

For any $r > 0$, there exists a Hilbert space

$C^\infty(M) \subset \mathcal{H}^r(M) \subset (C^\infty(M))'$ s.t. $\mathcal{L} : \mathcal{H}^r(M) \rightarrow$

has discrete spectrum on $|\lambda| > C_{F,G} \lambda^{-r}$.



Thm. B ([BT2]) As $n \rightarrow \infty$, we have

$$\text{Tr } \mathcal{L}^n := \sum_{x: F^n x = x} \frac{G^{(n)}(x)}{|\det(I - DF_x^{-n})|} = \sum_{i=1}^m \lambda_i^n + \mathcal{O}((C_{F,G} \lambda^{-r})^n)$$

where $G^{(n)}(x) = \sum_{i=0}^{n-1} G(F^i x)$.

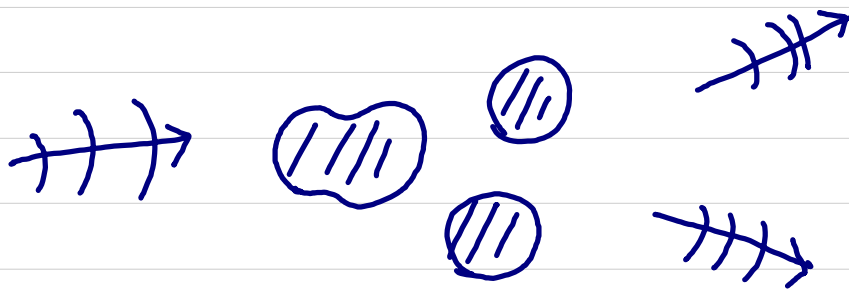
Remark 1 $\{\lambda_i\}$ is intrinsic to \mathcal{L} (or (F,G)), and called Ruelle-Pollicott resonances.

Remark 2 For a concrete (non-trivial) example of R-P resonance, See [B].

1 What is 'resonances'?

1.1 Scattering problem ([LP])

Wave equation on the outside of obstacles.



Propagation of waves is described by a one-param.

gr $U^t: X \rightarrow X$ of unitary operators.

$\exists D_+, D_- \subset X$ closed subspaces (outgoing, incoming)

s.t. 0) $D_+ \cap D_- = \{0\}$

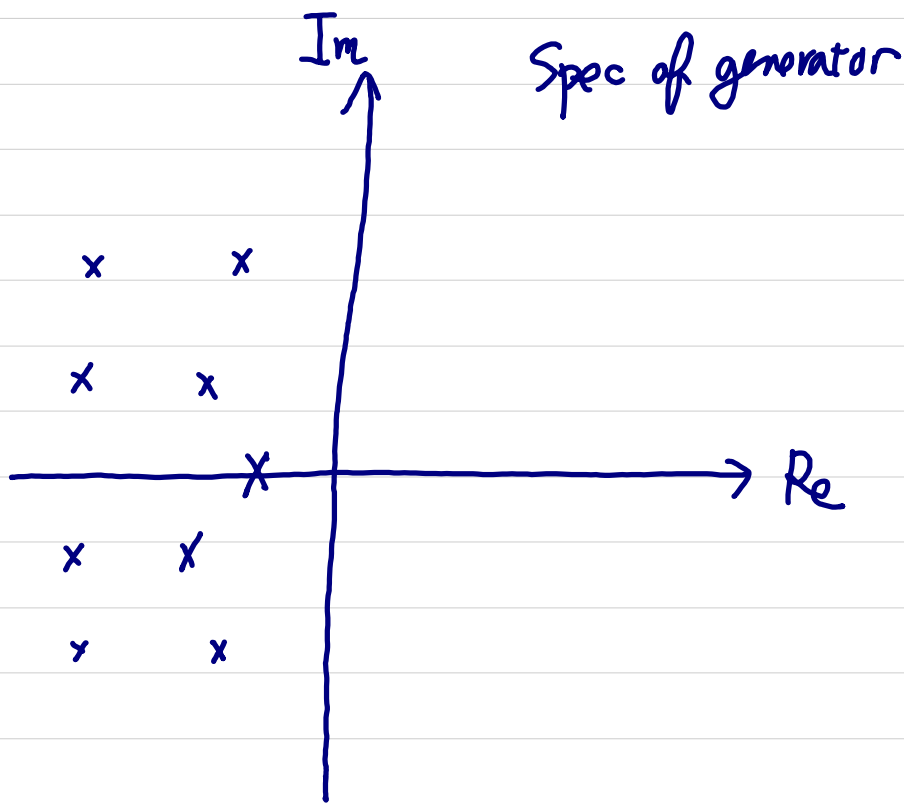
1) $U^t D_+ \subset D_+ \quad (t > 0) \quad \bigcap_{t \geq 0} U^t D_+ = \{0\}$

$U^t D_- \subset D_- \quad (t < 0) \quad \bigcap_{t \leq 0} U^t D_- = \{0\}$

2) $\overline{\bigcup_{t \in \mathbb{R}} U^t D_+} = \overline{\bigcup_{t \in \mathbb{R}} U^t D_-} = X$.

U^t induces $Z^t: (D_-)^+ / D_+ \rightarrow \mathbb{R}$.

We have $\|Z^t[u]\| \rightarrow 0$ ($t \rightarrow \infty$) and the generator has discrete spectrum (!)



1.2 A matrix model for resonances (by Faure).

Consider (infinite) matrix

$$L_0 = [a_{ij}]_{i,j \in \mathbb{Z}}, \quad K = [k_{ij}]_{i,j \in \mathbb{Z}}$$

$$a_{ij} = \begin{cases} 1 & \text{if } i=j+1 \\ 0 & \text{otherwise,} \end{cases} \quad k_{ij} = \begin{cases} \mu & \text{if } (i,j)=(0,0) \\ 0 & \text{otherwise} \end{cases}$$

and set $L = L_0 + K$

K : 'perturbation'

L_0 : 'transient'

The diagram shows a horizontal line with points labeled -3, -2, -1, 0, 1, 2, 3. Curved arrows above the line point from each integer to the next integer to its right. A larger arrow labeled λ points to the point 0. An arrow labeled K points to the point 0, and another arrow labeled L_0 points to the point 3.

Let $D_+ = \ell^2(\mathbb{Z}_{>0})$, $D_- = \ell^2(\mathbb{Z}_{<0})$. Then

$\mathbb{Z} : (D_-)^\perp / D_+ \cong \mathbb{C} \ni$ is one-dimensional
and has 'resonance' $\{\lambda\}$.

Remark We do NOT find λ as a resonance
for L^{-1} .

For $r > 0$, let

$$\mathcal{H}^r = \{u: \mathbb{Z} \rightarrow \mathbb{C} \mid \|u\|_r := \sum_{k \in \mathbb{Z}} e^{-2rk} |u(k)|^2 < +\infty\}$$

Then we see

$$\|L_0: \mathcal{H}^r \rightarrow \mathcal{H}^r\| = e^{-r}, \quad K: \mathcal{H}^r \rightarrow \mathcal{H}^r \text{ finite rank.}$$

We can observe λ as a (legal) e.v of $L: \mathcal{H}^r \rightarrow \mathcal{H}^r$.

Lemma C \mathcal{H} : Hilbert sp.

$A: \mathcal{H} \rightarrow \mathcal{H}$ bounded op $B: \mathcal{H} \rightarrow \mathcal{H}$ finite rank.

Then $(A+B)$ has discrete spectrum on $|\lambda| > \|A\|$.

Proof $zI - (A+B) = \underbrace{(zI - A)}_{\text{invertible}} \underbrace{(I - (zI - A)^{-1} B)}_{\text{analytic family of finite rank op}}$

Remark We may replace 'finite rank' by 'compact', and

$\|A\|$ by $\rho(A)$.

Remark We have (FTI)

$$\#\{e.v \text{ of } (A+B) \text{ on } |z| > \rho_0 + \varepsilon\} \leq C \|B\|_{Tr}$$

where C depends on $\rho_0, \|B\|, \varepsilon$.

Remark For $q > r$, set

$$\widehat{A}^q = \{u: \mathbb{Z} \rightarrow \mathbb{C} \mid \|u\|_q^{\sim} = \sum e^{-2qk} |u(k)|^2 < +\infty\}.$$

Then $i: A^r \rightarrow \widehat{A}^q$ is compact and

$$\begin{aligned} \|Lu\|_r &\leq \|L_0u\|_r + \|Ku\|_r \\ &\leq e^{-r} \|u\|_r + C \|u\|_q^{\sim} \end{aligned}$$

This is a Lasota-Torke type inequality.

1.3 Resonances in simple hyp. dynamics.

① Let $T: \mathbb{R} \rightarrow \mathbb{R}$ $T(x) = \lambda x$ ($\lambda > 1$).

$L: L^2(\mathbb{R}) \rightarrow L^2(\mathbb{R})$ $Lu(x) = u(T^{-1}x)$.

If we set

$$D_+ = \{u \in L^2(\mathbb{R}) \mid \text{supp } u \cap (-1, 1) = \emptyset\}$$

$$D_- = \{u \in L^2(\mathbb{R}) \mid \text{supp } \tilde{u} \cap (-1, 1) = \emptyset\}$$

then

$$Z: (D_-)^\perp / D_+ \rightarrow \mathbb{C}$$

presents resonances $\{1, \lambda^{-1}, \lambda^{-2}, \dots\}$.

eigenfunction $\begin{matrix} \downarrow & \downarrow & \downarrow & \dots \\ [1] & [x] & [x^2] & \dots \end{matrix}$

② Let $F: S^1 = \mathbb{R}/2\pi\mathbb{Z} \rightarrow \mathbb{R}$ $F(\theta) = m\theta$ ($m \geq 2$)

and set

$$L: L^2(S^1) \rightarrow L^2(S^1) \quad Lu(\theta) = \sum_{F(\theta')=\theta} u(\theta').$$

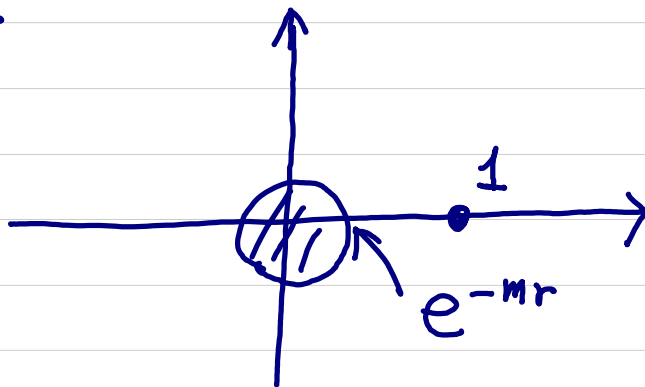
If we set $D_+ = \emptyset$, $D_- = \{u = \sum a_k e^{ik\theta} \mid a_0 = 0\}$

then $\mathbb{Z} \cdot L^2(S^1)/D_+$ presents resonance $\{1\}$.

Remark To observe this resonance as an eigenvalue we consider the Sobolev space.

$$W^r = W^{r,2}(S^1) = \left\{ u = \sum a_k e^{ik\theta} \mid \sum (k^{2r} + 1) |a_k|^2 < +\infty \right\}$$

for $r > 0$.



2. Anatomy of transfer operators via wave packet transform.

2.1 hyperbolic diffeomorphism

Fix a decomposition $\mathbb{R}^d = \mathbb{R}^{d_u} \oplus \mathbb{R}^{d_s}$

We consider transfer op.

$$L = L_{T,g} : C^\infty(\mathbb{R}^d) \rightarrow C^\infty(\mathbb{R}^d)$$

$$Lu = (g \cdot u)(T^{-1}x)$$

where $g \in C_0^\infty(\mathbb{R}^d)$ and $T: \mathbb{R}^d \rightarrow \mathbb{R}^d$

C^∞ s.t. $\|T - T_0\|_{C^1} < \varepsilon \ll 1$ where

$$T_0 = \begin{bmatrix} A & 0 \\ 0 & B \end{bmatrix} \begin{matrix} \text{)} d_u \\ \text{)} d_s \end{matrix}$$

with $\|A^{-1}\| < \lambda^{-1}$, $\|B\| < \lambda^{-1}$.

Remark We may decompose $L_{F,g}$ for an Anosov diffeo into those as above on local charts.

2.2 Wave packets

a) A metric on $T^*\mathbb{R}^d = \mathbb{R}_x^d \oplus \mathbb{R}_\xi^d$.

For $\rho = (x, \xi) \in T^*\mathbb{R}^d$, set

$$\|(v, \eta)\|_\rho^2 = (\langle \xi \rangle^\alpha |v|)^2 + (\langle \xi \rangle^{-\alpha} |\eta|)^2$$

where $\langle \xi \rangle = \sqrt{|\xi|^2 + 1}$. We assume

$$1/2 < \alpha < 1.$$

M1) $\|\cdot\|_\rho$ is compatible w.r.t the standard symplectic form $\Omega = dx \wedge d\xi$

M2) Coordinate changes in x induces a Lipschitz map w.r.t. $\|\cdot\|_\rho$. ($\Leftrightarrow \alpha > 1/2$)

M3) $\|\cdot\|_\rho$ is temperate in the sense that

$$\frac{\|w\|_{\rho'}}{\|w\|_\rho} \leq C \langle \|\rho' - \rho\|_\rho \rangle^N \quad (\forall \rho, \rho', w)$$

b) Quadratic partition of unity on $(\mathbb{R}^q)^*$

Let $\{\hat{\psi}_\xi \in C^\infty((\mathbb{R}^q)^*)\}_{\xi \in (\mathbb{R}^q)^*}$ be a family

of functions s. t.

$$P1) \int |\hat{\psi}_\xi(\xi')|^2 d\xi = 1 \quad \text{for } \forall \xi'$$

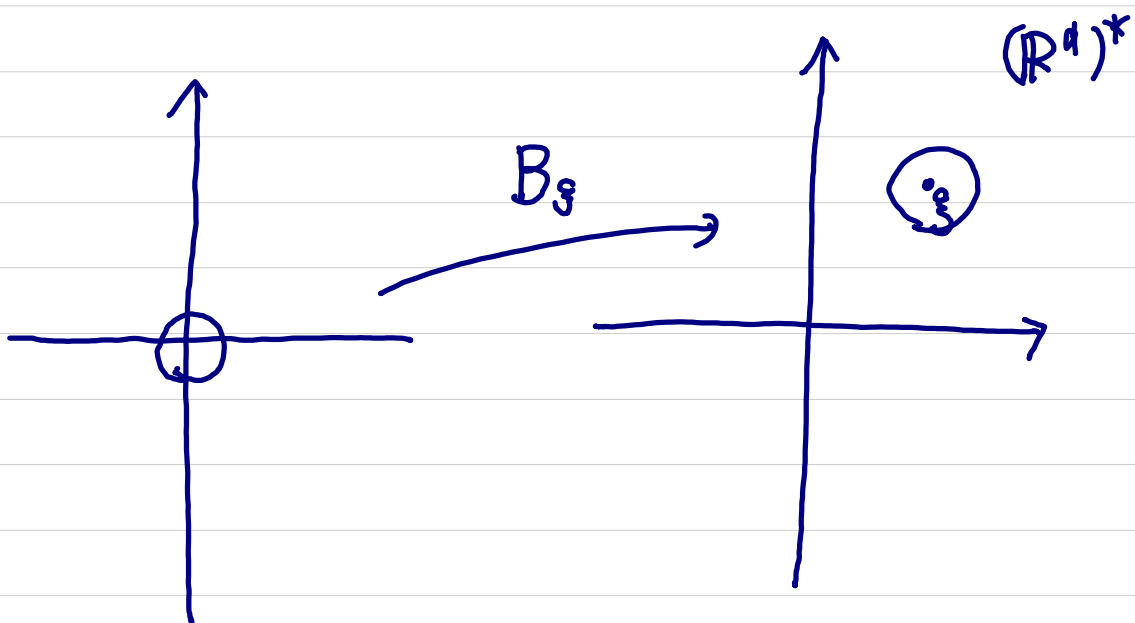
P2) For \forall isometry $B_\xi: (\mathbb{R}^q, |\cdot|) \rightarrow (\mathbb{R}^q, \|\cdot\|_{(\alpha, \beta)})$

with $B_\xi(0) = \xi$, $\hat{\psi}_\xi \circ B_\xi$ is bounded in \mathcal{S}

uniformly in ξ . i.e

$$|\xi'|^\beta |D^\alpha (\hat{\psi}_\xi \circ B_\xi)(\xi')| < C_{\alpha, \beta} \quad (\forall \alpha, \beta, \xi')$$

indep of ξ .



c) Wave packets

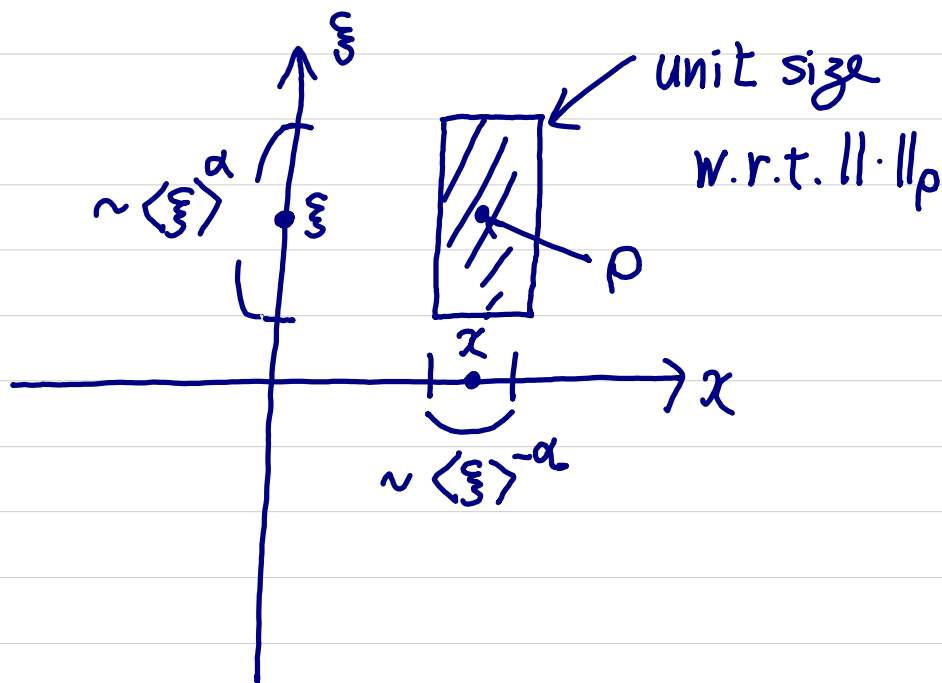
For $\rho = (x, \xi) \in T^*\mathbb{R}^d$, we set

$$\psi_\rho(y) = \mathcal{F}^{-1} \hat{\psi}_\xi(y-x) \in C^\infty(\mathbb{R}^d).$$

Then we have, for any $N > 0$,

$$|\psi_\rho(y)| < C_N \langle \|(y-x, 0)\|_\rho \rangle^{-N}$$

$$|\mathcal{F} \psi_\rho(\eta)| < C_N \langle \|(0, \eta-\xi)\|_\rho \rangle^{-N}$$



d) Wave packet transform

$$\bar{\Phi} : L^2(\mathbb{R}^d) \rightarrow L^2(T^*\mathbb{R}^d)$$

$$u \longmapsto \bar{\Phi}u(p) = \int \overline{\psi_p(y)} u(y) dy$$

$$\bar{\Phi}^* : L^2(T^*\mathbb{R}^d) \rightarrow L^2(\mathbb{R}^d)$$

$$v \longmapsto \bar{\Phi}^*v(y) = \int \psi_p(y) v(p) dy$$

Lemma $\bar{\Phi}$ is an L^2 isometric embedding

$$\bar{\Phi}^* \circ \bar{\Phi} = \text{id}.$$

$$\begin{aligned} \text{pf } \bar{\Phi}^* \circ \bar{\Phi} u(y) &= \int \psi_p(y) \overline{\psi_p(y')} u(y') dp dy' \\ &= \int \int \overline{\psi_p(y')} \psi_p(y) u(y') dp dy' \\ &= \int \delta(y-y') u(y') dy' = u(y). \end{aligned}$$

$$\langle \bar{\Phi}u, \bar{\Phi}u' \rangle_{L^2} = \langle u, \bar{\Phi}^* \circ \bar{\Phi} u' \rangle_{L^2} = \langle u, u' \rangle_{L^2}. //$$

Remark

$$U(y) = \Phi^*(\Phi u) = \int \underbrace{\Phi u(\rho) \cdot \Psi_\rho(y)}_{\text{decomposition into } \{\Psi_\rho\}} dy$$

$$L^2(\mathbb{R}^d) \begin{array}{c} \xrightarrow{\Phi \text{ decomp}} \\ \xleftarrow{\Phi^* \text{ reconstruction}} \end{array} L^2(T^*\mathbb{R}^d) = \text{Im } \Phi \oplus \text{Ker } \Phi^*$$

2.3 Lifted transfer op.

$\hat{L} = \Phi \circ L \circ \Phi^*$ satisfies

$$\begin{array}{ccc} L^2(T^*\mathbb{R}^d) & \xrightarrow{\hat{L}} & L^2(T^*\mathbb{R}^d) \\ \uparrow \Phi & & \uparrow \Phi \\ L^2(\mathbb{R}^d) & \xrightarrow{L} & L^2(\mathbb{R}^d) \end{array}$$

Remark $\hat{L} = \left(\hat{L} \Big|_{\text{Im } \Phi} \right) \oplus \left(\hat{L} \Big|_{\ker \Phi^*} \right)$

$$\begin{array}{ccc} & \text{is} & \\ & L & \text{0} \end{array}$$

Remark \hat{L} has smooth kernel (!)

$$\hat{L} v(\rho) = \int \underbrace{\left(\int \bar{\psi}_\rho \cdot L(\varphi_\rho) dy \right)}_{K_{\hat{L}}(\rho, \rho)} v(\rho) d\rho$$

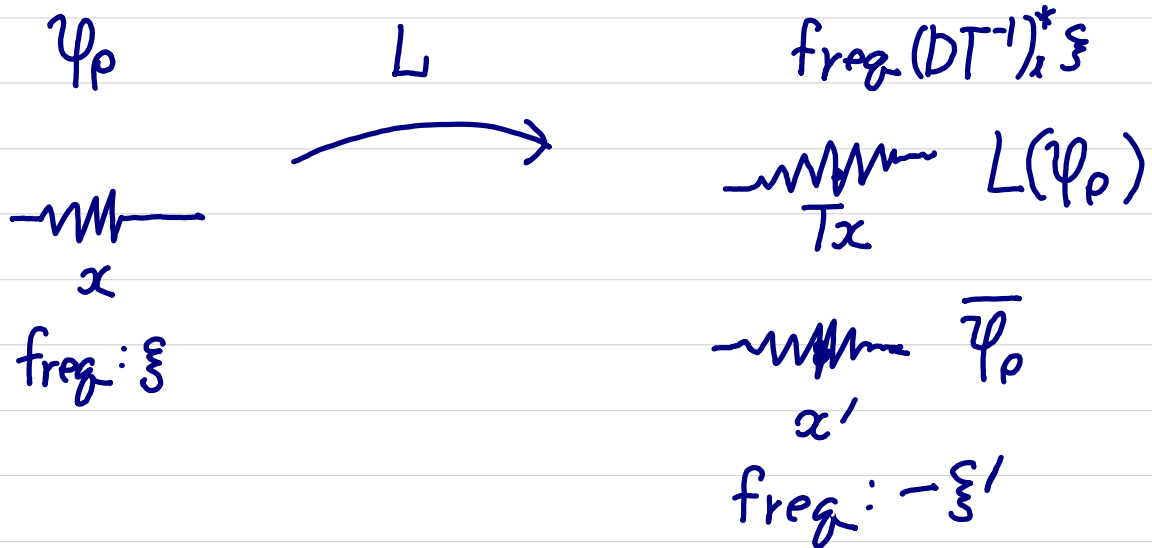
Thm (kernel estimate)

$$|K_{\hat{\rho}}(\rho', \rho)| < C_{N, T, g} \langle \|\rho - (DT^{-1})^*(\rho)\|_{\rho} \rangle^{-N}$$

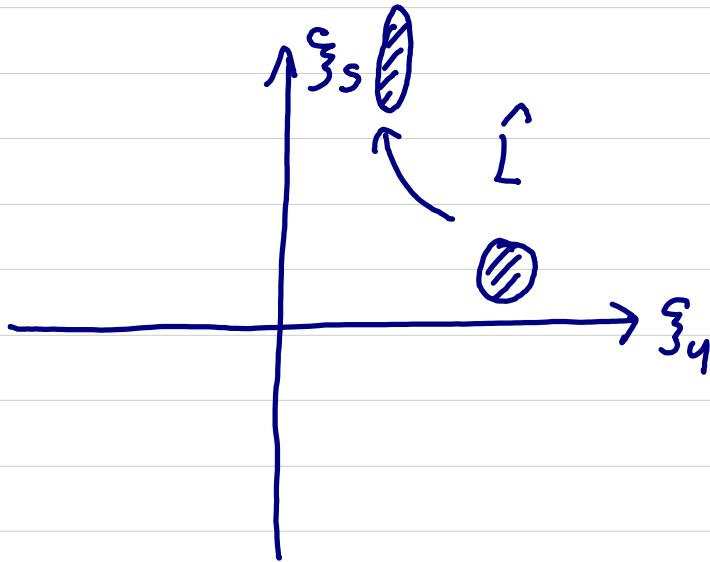
$$\left(\quad \text{"} \quad \langle C_{N, T, g} \langle \|DT^*(\rho) - \rho\|_{\rho} \rangle^{-N} \right)$$

Proof By integration by parts

$$K_{\hat{\rho}}(\rho', \rho) = \int \overline{\psi_{\rho'}(y)} \psi_{\rho}(T^{-1}y) g(T^{-1}y) dy //$$



The action of \hat{L}



Remark The kernel estimate above is coarse (but enough for our purpose).

3. Resonance for Anosov diffeomorphism

3.1 Weight function

Take a C^∞ function $W: T^*\mathbb{R}^d \rightarrow \mathbb{R}_+$ s.t

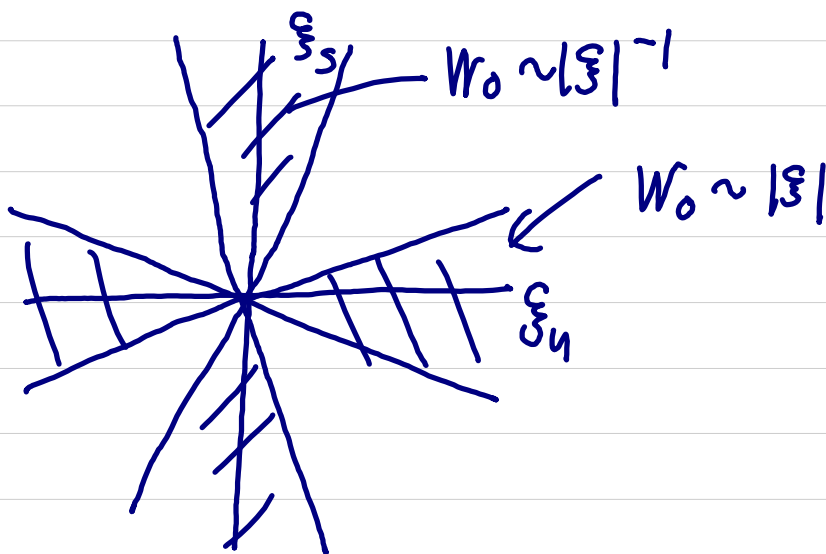
$$W1) \quad W((DF^{-1})^*(\rho)) \leq \lambda^{-1} \cdot W(\rho) \quad \text{if } |\xi| > C.$$

$$W2) \quad \exists N > 0, \forall \varepsilon > 0, \exists C_\varepsilon > 0 \text{ s.t.}$$

$$\frac{W(\rho')}{W(\rho)} \leq (1 + \varepsilon \|\rho' - \rho\|_p^N) \quad \text{if } |\xi| > C$$

where $\rho = (x, \xi)$.

Construction $W(x, \xi) = W_0(\xi)$



3.2 The anisotropic spaces.

Define

$$\| \cdot \|_{L^2(W)}$$

$$L^2(T^*\mathbb{R}^d, W^r) := \{v: T^*\mathbb{R}^d \rightarrow \mathbb{C} \mid \|W \cdot v\|_{L^2} < \infty\}$$

$$H^r(\mathbb{R}^d) := \Phi^{-1}(L^2(T^*\mathbb{R}^d, W^r))$$

Then $C_0^\infty(\mathbb{R}^d) \subset H^r(\mathbb{R}^d) \subset (C_0^\infty(\mathbb{R}^d))'$

and

$$\Phi: H^r(\mathbb{R}^d) \rightarrow L^2(T^*\mathbb{R}^d, W^r)$$

is an isometric embedding.

$$\begin{array}{ccc} L^2(T^*\mathbb{R}^d, W^r) & \xrightarrow{\hat{L}} & L^2(T^*\mathbb{R}^d, W^r) \\ \uparrow \Phi & & \uparrow \Phi \\ H^r(\mathbb{R}^d) & \xrightarrow{L} & H^r(\mathbb{R}^d) \end{array}$$

3.3 A decomposition of \hat{L}

Set

$$\Lambda = \left\{ (p', p) \in (T^*\mathbb{R}^d)^2 \mid \begin{array}{l} W(p') < C_0 \lambda^{-1} W(p) \\ |\xi| > C \quad |\xi'| > C \end{array} \right\}$$

and decompose \hat{L} as

$$\hat{L} u = \int K_{\Lambda}(p', p) u(p) dp$$

$$\left\{ \begin{array}{l} L_0 := \int \mathbb{1}_{\Lambda}(p', p) K_{\Lambda}(p', p) u(p) dp \\ + \\ K := \text{remainder} \end{array} \right.$$

Remark L_0 : 'transient'

K : decay fast as $|\xi|, |\xi'| \rightarrow \infty$.

Thm \hat{L} extends to a bounded operator on $L^2(T^*\mathbb{R}^d, W^r)$ and

$$1) \|L_0\|_{L^2(W)} \leq (C_0 \lambda^{-1})^r \cdot |\det DT|_{\infty}^{1/2}$$

2) $K : L^2(W) \rightarrow L^2(W)$ Compact (trace class)

Proof 1) follows from the kernel estimate and (W2) in the choice of W .

2) follows from the kernel estimate. //

Proof of Thm A

Take local charts $\{K: U \rightarrow V \subset \mathbb{R}^q\}$ on M and a (quadratic) partition of unity $\{\chi_i\}$ appropriately ('). Then we have

$$\begin{array}{ccc}
 C^\infty(M) & \xrightarrow{\mathcal{L}} & C^\infty(M) & u \\
 \downarrow \tilde{i} & & \downarrow \tilde{i} & \downarrow \\
 \bigoplus_i \mathcal{H}^r & \xrightarrow{(L_{ij})} & \bigoplus_i \mathcal{H}^r & (\chi_i \cdot u) \circ K^{-1} \\
 \downarrow \bigoplus \Phi & \wedge & \downarrow \bigoplus \Phi & \\
 \bigoplus_i L^2(W^r) & \xrightarrow{(L_{ij})} & \bigoplus_i L^2(W^r) &
 \end{array}$$

If we set $\mathcal{H}^r(M) = ((\bigoplus \Phi) \circ \tilde{i})^{-1}(\bigoplus L^2(W^r))$

we see $\mathcal{L}: \mathcal{H}^r(M) \ni \simeq (\hat{L}_{ij})|_{\text{Im}(\bigoplus \Phi \circ \tilde{i})}$.

Hence we get the conclusion by Lemma C and the last theorem.

3.3 Flat trace.

For \hat{L} , we define

$$\text{Tr}^b \hat{L} := \int K_{\hat{L}}(\rho, \rho) d\rho.$$

Lemma $\text{Tr}^b \hat{L} = \text{Tr}^b L = \sum_{T(y)=y} \frac{g(y)}{|\det(I - DT_y^{-1})|}$

Pr $\text{Tr}^b \hat{L} = \lim_{M \rightarrow \infty} \int_{|\xi| \leq M} K_{\hat{L}}(\rho, \rho) d\rho$

$$= \lim_{M \rightarrow \infty} \int_{|\xi| \leq M} \overline{\mathcal{F}\hat{\psi}_{\xi}(y-x)} \mathcal{F}\hat{\psi}_{\xi}(F_y^{-1}-x) g(F_y^{-1}) dy dx d\xi$$

$$= \lim_{M \rightarrow \infty} \int_{|\xi| \leq M} \overline{\mathcal{F}\hat{\psi}_{\xi}}^2(F_y^{-1}-y) g(F_y^{-1}) ds dy$$

$$= \int \delta(F_y^{-1}-y) g(y) dy = \text{Tr}^b L. //$$

Pr of Thm B We have

$$\begin{array}{ccc} \mathcal{A}^r(M) & \xrightarrow{\mathcal{L}} & \mathcal{A}^r(M) \\ \downarrow & & \downarrow \\ \bigoplus_i L^2(W) & \xrightarrow{\mathbb{L}} & \bigoplus L^2(W) \\ & \mathbb{L} = (\hat{L}_{ij}) = \mathbb{L}_0 + \mathbb{K} & \end{array}$$

Define $\text{Tr}^b \mathbb{L}^n = \sum_i \text{Tr}^b L_{ii}^n$. Then by the lemma, $\text{Tr}^b \mathbb{L}^n = \text{Tr}^b \mathcal{L}^n$.

Let $\mathbb{L} = \mathbb{P} + \mathbb{Q}$ be the spec. decomp. where \mathbb{P} corresponds to the discrete e.v's with $|\lambda| > \rho_0 > (C_0 \lambda^{-1})^r$. We show

$$\text{Tr}^b \mathbb{Q}^n = \text{Tr}^b ((\mathbb{L} - \mathbb{P})^n) < C \rho_0^n.$$

$$\therefore) \quad \mathbb{L} - \mathbb{P} = \underbrace{\mathbb{L}_0 + \mathbb{K}}_{\text{transient}} - \underbrace{\mathbb{P}}_{\text{trace class.}}$$

So

$$\mathrm{Tr}^b \mathbb{Q}^n = \mathrm{Tr}^b (\mathbb{L}_0 + (\mathbb{K} - \mathbb{P})^n) - \underbrace{\mathrm{Tr}^b \mathbb{L}_0^n}_0$$

Replacing \mathbb{L} by \mathbb{L}^n , we may suppose

$$\|\mathbb{K} - \mathbb{P}\|_{L^2(w)} = \|\mathbb{Q} - \mathbb{L}_0\|_{L^2(w)}$$

$$\leq \|\mathbb{Q}\|_{L^2(w)} + \|\mathbb{L}_0\|_{L^2(w)}$$

$$\leq \rho_0 + \rho_0 = 2\rho_0.$$

Therefore

$$|\mathrm{Tr}^b \mathbb{Q}^n| \leq C \|\mathbb{K} - \mathbb{P}\|_{\mathrm{Tr}} \cdot (\rho_0 + 2\rho_0)^n$$

$$\leq C (3\rho_0)^n. \quad //$$

Appendix 1 Geometric spaces. ([GL])

$$\|u\|_{p,q} = \sup_{|k| \leq p} \sup_{W \in \Sigma} \sup_{\substack{\psi \in C_0^{\infty+|k|} \\ \|\psi\|_{C^{\infty+|k|}} \leq 1}} \int_W \partial^k h \psi$$

where Σ is the space of 'almost' stable curves.

We define Banach spaces $B^{p,q}$ as completion of $C^{\infty}(\mathbb{R}^q)$ wr. t $\|\cdot\|_{p,q}$.

In spirit, these spaces are similar to H^r and we can prove the same results as Thm A, B for them.

Appendix B For Anosov flows, we can develop a parallel argument. For the details, see [FTI]. The main difference is that $F^t: M \rightarrow M$ is partially hyperbolic. The function

$$\omega: T^*M \rightarrow \mathbb{R}, \quad \omega(x, \xi) = \langle \xi, X(x) \rangle,$$

generating v.f.

is invariant. But if we look at the level sets of ω , we see the same dynamics as in the case of Anosov diffeomorphism.

