

Near-Parabolic renormalization; hyperbolicity and rigidity

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There are several notions of renormalization operators in holomorphic dynamics:

- Polynomial-like renormalization
- Commuting-pair renormalization
- Cylinder renormalization
- Sector renormalization
- Near-parabolic renormalization

On circle:

- renormalization of critical circle maps
- renormalization of critical circle covers
- renormalization of Henon maps

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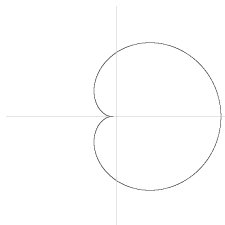
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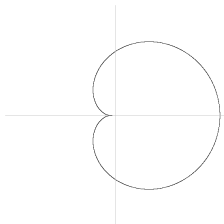
Near-parabolic renormalizations unifies several of these notions. We focus on this renormalization operator.

There is an explicit Jordan domain $U \subset \mathbb{C}$ bounded by an analytic curve:



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Let

$$P(z) = z(1+z)^2.$$

- $P(0) = 0$ and $P'(0) = 1$,
- $P'(-1) = P'(-1/3) = 0$; $P(-1) = 0$ and $P(-1/3) = -4/27 \in U$.

$P : U \rightarrow P(U)$ has a particular covering structure.

Let $\mathcal{F}$ be the set of maps

$$h = P \circ \psi^{-1}$$

where

- $\psi : U \rightarrow \mathbb{C}$ is univalent and has quasi-conformal extension onto $\mathbb{C}$,
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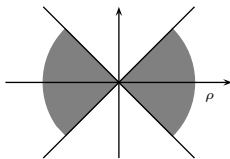
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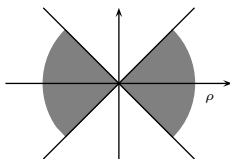
It follows that

- h is defined on $\psi(U)$,
- $h(0) = 0$, $h'(0) = 1$,
- h has a critical point at c.p. = $\psi(-1/3)$ which is mapped to $-4/27$,
- $h : \psi(U) \rightarrow P(U)$ has the same covering structure as the one of P .

Let $A_\rho = \{\alpha \in \mathbb{C} \mid 0 < |\alpha| \leq \rho, |\operatorname{Im} \alpha| \leq |\operatorname{Re} \alpha|\}$,



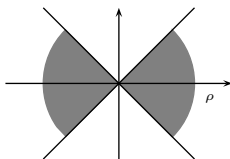
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$$(\alpha \ltimes h)(z) = h(e^{2\pi i \alpha} z).$$

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Set

$$A_\rho \ltimes \mathcal{F} = \{(\alpha \ltimes h) \mid \alpha \in A_\rho, h \in \mathcal{F}\}$$

We equip $A_\rho \times \mathcal{F}$ with the topology of uniform convergence on compact sets.

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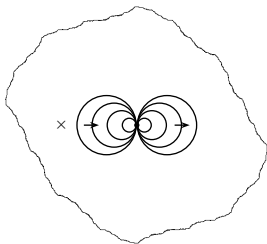
Since

$$\mathcal{F} \hookrightarrow \{\phi : \mathbb{D} \rightarrow \mathbb{C} \mid \phi(0) = 0, \phi'(0) = 1\}$$

by Koebe distortion theorem, $\mathcal{F}$ forms a pre-compact class of maps.

Dynamics of a map $h \in \mathcal{F}$;

h has a parabolic fixed point at 0; the orbit of c.p. tends to 0.



If ρ is small enough, $\alpha \times h$ has two preferred fixed points at 0 and $\sigma = \sigma(\alpha \times h)$. $|\sigma| = O(|\alpha|)$.

We have

$$(\alpha \times h)'(0) = e^{2\pi i \alpha}, \quad (\alpha \times h)'(\sigma) = e^{2\pi i \beta}$$

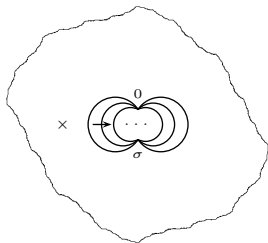
where β is a complex number with $-1/2 < \operatorname{Re} \beta \leq 1/2$.

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There is a simply connected region

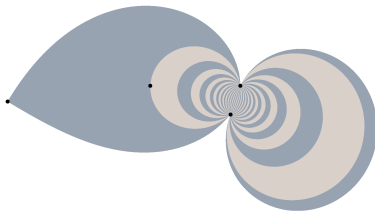
$$\mathcal{P}_{\alpha \times h} \subset \text{Dom}(h)$$

which is bounded by analytic curves landing at 0, σ , and c.p.,
as well as a univalent map

$$\Phi_{\alpha \times h} : \mathcal{P}_{\alpha \times h} \rightarrow \mathbb{C}$$

such that

$$\Phi_{\alpha \times h}((\alpha \times h)(z)) = \Phi_{\alpha \times h}(z) + 1, \text{ on } \mathcal{P}_{\alpha \times h}, \quad \Phi_{\alpha \times h}(\text{c.p.}) = 0.$$



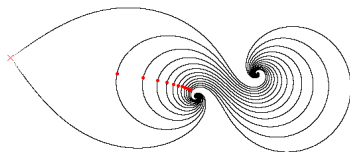
Proposition (Ch. 2009)

There is a constant k_1 independent of α and h such that one may choose $\mathcal{P}_{\alpha \times h}$ and $\Phi_{\alpha \times h}$ with

$$\Phi_{\alpha \times h}(\mathcal{P}_{\alpha \times h}) = \{z \in \mathbb{C} \mid 0 < \operatorname{Re} z \leq \operatorname{Re} \frac{1}{\alpha} - k_1\}$$

and for $y \geq 0$,

$$\arg \Phi_{\alpha \times h}^{-1}(iy) \simeq -2\pi y \operatorname{Im} \alpha + \arg \sigma + C_{\alpha \times h}.$$



We drop the subscripts $\alpha \ltimes h$ from $\mathcal{P}_{\alpha \ltimes h}$ and $\Phi_{\alpha \ltimes h}$, ...

Define

$$A = \{z \in \mathcal{P} : 1/2 \leq \operatorname{Re}(\Phi(z)) \leq 3/2, 2 \leq \operatorname{Im} \Phi(z)\}$$

$$C = \{z \in \mathcal{P} : 1/2 \leq \operatorname{Re}(\Phi(z)) \leq 3/2, -2 \leq \operatorname{Im} \Phi(z) \leq 2\}$$

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It follows from the work of [Inou-Shishikura](#) that there are chains

$$A^k \xrightarrow[1-1]{\alpha \ltimes h} A^{k-1} \xrightarrow[1-1]{\alpha \ltimes h} \dots \xrightarrow[1-1]{\alpha \ltimes h} A^1 \xrightarrow[1-1]{\alpha \ltimes h} A$$

and

$$C^k \xrightarrow[1-1]{\alpha \ltimes h} C^{k-1} \xrightarrow[1-1]{\alpha \ltimes h} \dots \xrightarrow[1-1]{\alpha \ltimes h} C^1 \xrightarrow[2-1]{\alpha \ltimes h} C$$

where A^k and C^k are contained in $\mathcal{P}$.

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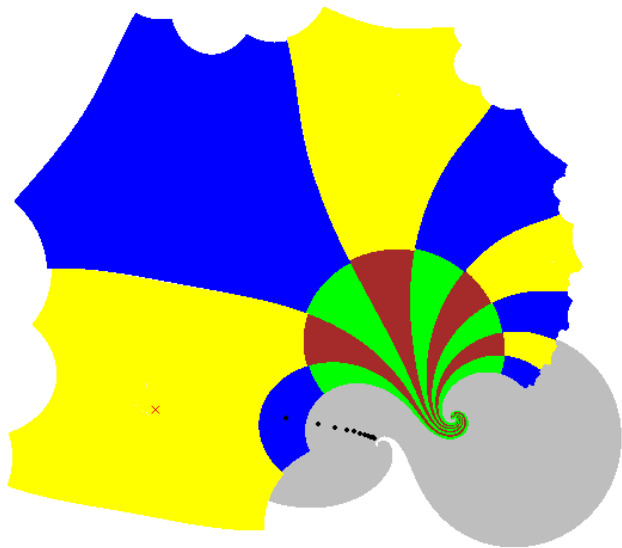
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where A^k and C^k are contained in $\mathcal{P}$.

Prop. (Ch.) k is uniformly bounded from above independent of α and h .



Let

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E projects under $\mathbb{E}xp(\zeta) = \frac{-4}{27}e^{2\pi i\zeta}$ to a holomorphic map defined on a punctured neighborhood of 0. That is, there is a map $\mathcal{R}_{\text{NP-t}}(\alpha \ltimes h)$ with

$$\mathcal{R}_{\text{NP-t}}(\alpha \ltimes h) \circ \mathbb{E}xp(\zeta) = \mathbb{E}xp \circ E(\zeta)$$

It follows that

$$\mathcal{R}_{\text{NP-t}}(\alpha \ltimes h)(z) \simeq e^{-2\pi i \frac{-1}{\alpha}} z + a_2 z^2 + \dots$$

The above map is called the top near-parabolic renormalization of $\alpha \ltimes h$.

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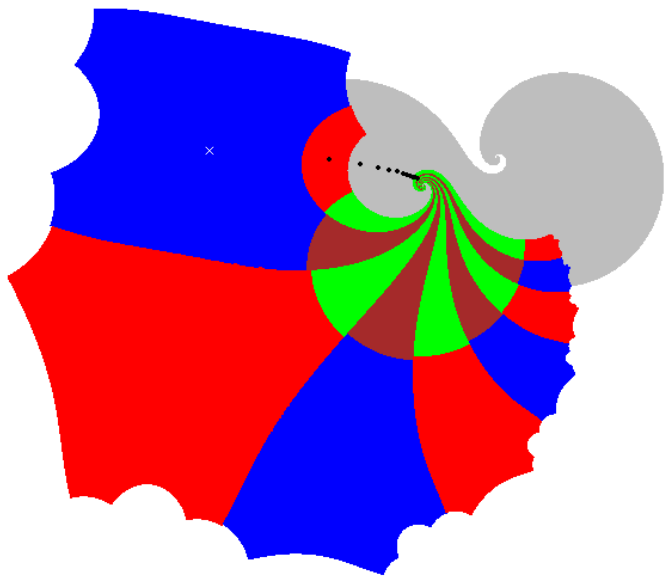
Key point: while the return map may require large number of iterates, renormalization is defined using the composition of $k + 2$ maps?

Inou-Shishikura: The above map has the same covering structure as the one of P on U ! That is,

$$\mathcal{R}_{\text{NP-t}}(\alpha \ltimes h) \in \left\{ \frac{-1}{\alpha} \bmod \mathbb{Z} \right\} \ltimes \mathcal{F}.$$

There is a similar process to define a “return map” near σ -fixed point:
It gives us

$$\mathcal{R}_{\text{NP-b}}(\alpha \ltimes h) \in \left\{ \frac{-1}{\beta} \bmod \mathbb{Z} \right\} \ltimes \mathcal{F}.$$



Let

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$\alpha \ltimes Q_0$ does not belong to $\alpha \ltimes \mathcal{F}$!

However, $\mathcal{R}_{\text{NP-t}}(\alpha \ltimes Q_0)$ and $\mathcal{R}_{\text{NP-b}}(\alpha \ltimes Q_0)$ are defined in the same fashion, and

$$\mathcal{R}_{\text{NP-t}}(\alpha \ltimes Q_0) \in \left\{ \frac{-1}{\alpha} \bmod \mathbb{Z} \right\} \ltimes \mathcal{F},$$

$$\mathcal{R}_{\text{NP-b}}(\alpha \ltimes Q_0) \in \left\{ \frac{-1}{\beta} \bmod \mathbb{Z} \right\} \ltimes \mathcal{F}.$$

Lecture II:

Hyperbolicity of the near-parabolic renormalization operators

We are interested in the dynamics of the operators

$$\mathcal{R}_{\text{NP-t}}(\alpha \ltimes h) = \hat{\alpha}(\alpha \ltimes h) \ltimes \hat{h}(\alpha \ltimes h)$$

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acting on $A(\rho) \ltimes \mathcal{F}$ with values in $\mathbb{C} \ltimes \mathcal{F}$.

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Also recall that

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$\mathcal{R}_{\text{NP-t}}$ preserves vertical fibers, while $\mathcal{R}_{\text{NP-b}}$ does not preserve them.

$\mathcal{F}$ is equipped with a Teichmüller metric:
for $f = P \circ \varphi^{-1}$ and $g = P \circ \psi^{-1}$ in $\mathcal{F}$,

$$d_{\text{Teich}}(f, g) = \inf \{ \log \text{Dil}(\hat{\psi} \circ \hat{\varphi}^{-1}) \}$$

where $\inf$ is taken over all quasi-conformal extensions $\hat{\varphi}$ and $\hat{\psi}$ of φ and ψ onto $\mathbb{C}$.

Here,

$$\text{Dil}(\eta) = \sup_{z \in \text{Dom } \eta} \frac{|\eta_z| + |\eta_{\bar{z}}|}{|\eta_z| - |\eta_{\bar{z}}|}.$$

is a measure of conformality of h .

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$A(\rho)$ is equipped with the Euclidean metric.

We wish to understand the derivatives of these operators (infinite by infinite matrices!)

$$D \mathcal{R}_{\text{NP-t}} = \begin{bmatrix} \frac{\partial \hat{\alpha}}{\partial \alpha} & \frac{\partial \hat{h}(\alpha \times h)}{\partial \alpha} \\ \frac{\partial \hat{\alpha}}{\partial h} & \frac{\partial \hat{h}(\alpha \times h)}{\partial h} \end{bmatrix}$$

$$D \mathcal{R}_{\text{NP-b}} = \begin{bmatrix} \frac{\partial \check{\alpha}}{\partial \alpha} & \frac{\partial \check{h}(\alpha \times h)}{\partial \alpha} \\ \frac{\partial \check{\alpha}}{\partial h} & \frac{\partial \check{h}(\alpha \times h)}{\partial h} \end{bmatrix}$$

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By Royden-Gardiner,

$$d_{\text{Teich}}(\hat{h}(\alpha \ltimes h_1), \hat{h}(\alpha \ltimes h_2)) \leq 1 \cdot d_{\text{Teich}}(h_1, h_2),$$

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In my symbolic notations, these mean

$$\left| \frac{\partial \hat{h}(\alpha \ltimes h)}{\partial h} \right| \leq 1, \quad \left| \frac{\partial \check{h}(\alpha \ltimes h)}{\partial h} \right| \leq 1.$$

Recall that

$$\hat{\alpha}(\alpha \ltimes h) = \frac{-1}{\alpha} \bmod \mathbb{Z}$$

Then,

$$\frac{\partial \hat{\alpha}}{\partial \alpha} = \frac{1}{\alpha^2}$$

and

$$\frac{\partial \hat{\alpha}}{\partial h} = 0.$$

Recall that

$$\check{\alpha}(\alpha \times h) = \frac{-1}{\beta(\alpha \times h)} \bmod \mathbb{Z}, \quad (\alpha \times h)'(\sigma) = e^{2\pi i \beta}.$$

we need

$$\frac{\partial \check{\alpha}(\alpha \times h)}{\partial \alpha}, \quad \frac{\partial \check{\alpha}(\alpha \times h)}{\partial h}$$

Proposition $\exists$ a Jordan domain $W \ni 0$, independence of α and h , such that every $\alpha \times h \in A_\rho \times \mathcal{F}$ has only two fixed points 0 and $\sigma(\alpha \times h)$ in W .

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Then,

$$I(\alpha \times h) := \frac{1}{2\pi i} \int_{\partial W} \frac{1}{z - (\alpha \times h)(z)} dz = \frac{1}{1 - e^{2\pi i \alpha}} + \frac{1}{1 - e^{2\pi i \beta}}.$$

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Prop. We have

$$|I(\alpha \ltimes h_1)| \leq B_1, \quad \left| \frac{\partial}{\partial \alpha} I(\alpha \ltimes h_1) \right| \leq B_2.$$

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$$B_3^{-1} |\alpha| \leq |\beta(\alpha \ltimes h_1)| \leq B_3 |\alpha|, \quad B_4^{-1} \leq \left| \frac{\partial \beta}{\partial \alpha}(\alpha \ltimes h_1) \right| \leq B_4.$$

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and hence

$$\frac{\partial \check{\alpha}(\alpha \ltimes h)}{\partial \alpha} = \frac{1}{\beta^2} \cdot \frac{\partial \beta}{\partial \alpha} \simeq \frac{1}{\alpha^2}.$$

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Hence,

$$\begin{aligned} |\check{\alpha}(\alpha \ltimes h_1) - \check{\alpha}(\alpha \ltimes h_2)| &= \left| \frac{-1}{\beta(\alpha \ltimes h_1)} + \frac{1}{\beta(\alpha \ltimes h_2)} \right| \\ &\leq \frac{B_3^2}{|\alpha|^2} |\beta(\alpha \ltimes h_1) - \beta(\alpha \ltimes h_2)| \\ &\leq \frac{B_3^2}{|\alpha|^2} B_6 |\alpha|^2 \, d_{\text{Teich}}(h_1, h_2) = B_3^2 B_6 \, d_{\text{Teich}}(h_1, h_2). \end{aligned}$$

In my symbolic notation, the previous bound means

$$\left| \frac{\partial \check{\alpha}(\alpha \ltimes h)}{\partial h} \right| \leq B_3^2 B_6$$

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Theorem (Ch. 2015)

There is $L > 0$ such that for every $h \in \mathcal{F}$ the maps

$$\alpha \mapsto \hat{h}(\alpha, h) \text{ and } \alpha \mapsto \check{h}(\alpha, h)$$

are L -Lipschitz with respect to d_{Eucl} on $A(\rho)$ and d_{Teich} on $\mathcal{F}$.

Recall

$$D\mathcal{R}_{\text{NP-t}} = \begin{bmatrix} \frac{\partial \hat{\alpha}}{\partial \alpha} & \frac{\partial \hat{h}(\alpha \times h)}{\frac{\partial \alpha}{\partial h}} \\ \frac{\partial \hat{\alpha}}{\partial h} & \frac{\partial \hat{h}(\alpha \times h)}{\partial h} \end{bmatrix}$$

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Combining the previous bounds:

$$|D \mathcal{R}_{\text{NP-t}}| \simeq \begin{bmatrix} \frac{1}{\alpha^2} & L \\ 0 & 1 \end{bmatrix}$$

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What does this imply?

Let $s \mapsto \Upsilon(s) = (\alpha(s) \ltimes h(s))$, for s in a connected set $\Delta \subseteq \mathbb{C}$, and with values in the set $A_\infty \ltimes \mathcal{F}$.

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For $k > 0$, we say that Υ is *k-horizontal*, if Υ is continuous on Δ , and for all $s_1, s_2 \in \Delta$ we have

$$d_{\text{Teich}}(h(s_1), h(s_2)) \leq k|\alpha(s_1) - \alpha(s_2)|.$$

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Theorem (Ch., Shishikura, 2015)

There are $\rho' > 0$ and $k > 0$ such that for every k -horizontal curve Υ in $A_{\rho'} \ltimes \mathcal{F}$, the curves $\mathcal{R}_{\text{NP-t}}(\Upsilon)$ and $\mathcal{R}_{\text{NP-b}}(\Upsilon)$ are k -horizontal in $A_\infty \ltimes \mathcal{F}$.

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In other words, $\mathcal{R}_{\text{NP-t}}$ and $\mathcal{R}_{\text{NP-b}}$ map cone-fields of k_1 -horizontal curves into themselves.

Let $\kappa = (\kappa_1, \kappa_2, \kappa_3, \dots) \in \{t, b\}^{\mathbb{N}}$. For $n \geq 1$, consider

$$\Lambda(\langle \kappa_i \rangle_{i=1}^n) = \{ \alpha \ltimes h \mid \mathcal{R}_{\text{NP-}\kappa_n} \circ \dots \circ \mathcal{R}_{\text{NP-}\kappa_1}(\alpha \ltimes h) \text{ is defined} \}.$$

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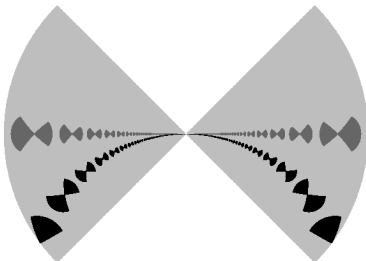
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$\Lambda(t, \kappa_2) = \text{"dark grey region"} \ltimes \mathcal{F}$; $\Lambda(b, \kappa_2) \simeq \text{"black region"} \ltimes \mathcal{F}$:



The invariance of k -horizontal curves implies that

Theorem (Ch., Shishikura 2015)

For all k -horizontal family of maps $\Upsilon : A_{\rho'} \rightarrow A_{\rho'} \times \mathcal{F}$ and all $\kappa \in \{t, b\}^{\mathbb{N}}$, every connected component of the set $\Lambda(\kappa) \cap \Upsilon(A_{\rho'})$ is a single point.

It follows from the above Theorem and some more work:

Theorem (Ch., Shishikura 2015)

The renormalizations operators $\mathcal{R}_{\text{NP-t}}$ and $\mathcal{R}_{\text{NP-b}}$ are uniformly hyperbolic on $A_{\rho'} \times \mathcal{F}_0$.

Moreover, $D\mathcal{R}_{\text{NP-t}}$ and $D\mathcal{R}_{\text{NP-b}}$ at each point in $A_{\rho'} \times \mathcal{F}_0$ have an invariant one-dimensional expanding direction and an invariant uniformly contracting co-dimension-one direction.

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- dynamics of infinitely polynomial-like renormalizable quadratic polynomials with degenerating geometries,