

Usable hyperbolicity and SRB measures

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Joint work with Dmitry Dolgopyat and Yakov Pesin

The talk in one slide

- Behaviour of dissipative maps described by a **physical measure**.
- **SRB measures** are physical, have non-zero exponents.
- Want a condition to check at Lebesgue-typical points:
non-zero Lyapunov exponent does not seem to be enough.
- Need to control geometric structures (**local manifolds**).

New result: non-zero **usable hyperbolicity** \Rightarrow SRB measure

Key tool: new version of **Hadamard–Perron theorem** on existence of local stable and unstable manifolds.

Applications: use this to study maps on boundary of Axiom A – dissipative Katok example; **neutral fixed point with shear** (stable and unstable directions become degenerate at the fixed point).

Describing statistics of orbits

- M a compact Riemannian manifold
- $f: M \rightarrow M$ a $C^{1+\varepsilon}$ diffeomorphism

Goal: Study case when f is **chaotic** – trajectories of f appear “random” over long time scales.

Describe statistical properties of orbits using appropriate measures.

- \mathcal{M} = the space of finite Borel measures on M
- $\mathcal{M}(f) = \{\mu \in \mathcal{M} \mid \mu \text{ is } f\text{-invariant}\}$

Definition

x is **generic** for $\mu \in \mathcal{M}(f)$ if $\lim_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \varphi(f^k(x)) = \int \varphi d\mu$ for every continuous $\varphi: M \rightarrow \mathbb{R}$. The set of generic points for μ is its **basin of attraction**, denoted G_μ .

Physically meaningful measures

- An ergodic measure $\mu \in \mathcal{M}(f)$ describes the statistics of μ -a.e. trajectory: $\mu(G_\mu) = 1$.
- To be “physically meaningful”, a measure should describe the statistics of *Lebesgue*-a.e. trajectory.

Definition

$\mu \in \mathcal{M}(f)$ is a **physical measure** if $\text{Leb}(G_\mu) > 0$.

- Smooth or absolutely continuous invariant measures ($\mu(E) = \int_E \rho(x) \cdot d \text{Leb}(x)$) are physical

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- Smooth or absolutely continuous invariant measures ($\mu(E) = \int_E \rho(x) \cdot d \text{Leb}(x)$) are physical, but may not exist. . .
- . . . interesting dynamics often happen on a set of Lebesgue measure zero. (Solenoid, etc.)

Lyapunov exponents

“chaotic” \rightsquigarrow **hyperbolic** \approx “has stable and unstable directions”

- Don't need absolute continuity in stable directions – a δ -measure on a stable fixed point is a physical measure.
- Only need absolute continuity in unstable directions.

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Theorem (Oseledec)

If $\mu \in \mathcal{M}(f)$ is ergodic, then there exist

- **Lyapunov exponents** $\lambda_1 < \lambda_2 < \dots < \lambda_p$,
- an f -invariant decomposition $TM = E_1 \oplus E_2 \oplus \dots \oplus E_p$, and
- a set Z_μ with $\mu(Z_\mu) = 1$

s.t. $\lim_{n \rightarrow \infty} \frac{1}{n} \log \|Df^n(x)(v)\| = \lambda_i$ for all $x \in Z_\mu$, $v \in E_i(x)$.

Definition

μ is **hyperbolic** if all its Lyapunov exponents are non-zero.

SRB measures as physical measures

If μ is hyperbolic and $x \in Z_\mu$, then $T_x M = E^s(x) \oplus E^u(x)$, where

$$v \in E^s(x) \Rightarrow \lambda(v) < 0 \quad \text{and} \quad v \in E^u(x) \Rightarrow \lambda(v) > 0.$$

Pesin theory: For hyperbolic μ , then f has stable and unstable manifolds at μ -a.e. point, tangent to $E^s(x)$ and $E^u(x)$.

Definition

$\mu \in \mathcal{M}(f)$ is an SRB measure if it is hyperbolic and has absolutely continuous conditional measures on unstable manifolds.

Ergodic SRB measures are physical measures.

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Ergodic SRB measures are physical measures.

- If μ is an SRB measure, then $\text{Leb}\{x \mid \lambda \neq 0\} > 0$.
- **Is the converse true?** Does $\text{Leb}\{x \mid \lambda \neq 0\} > 0$ imply existence of an SRB measure?

Uniform geometric structure

SRB measures are known to exist in the following settings.

- Uniformly hyperbolic f (Sinai, Ruelle, Bowen)
- Partially hyperbolic f with positive/negative central exponents (Alves–Bonatti–Viana, Burns–Dolgopyat–Pesin–Pollicott)

Key tool is a **dominated splitting** $T_x M = E^s(x) \oplus E^u(x)$.

- 1 E^s, E^u depend continuously on x .
- 2 $\angle(E^s, E^u)$ is bounded away from 0.
- 3 $\|Df(x)(v_u)\| > \|Df(x)(v_s)\|$.

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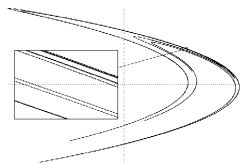
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(Dominated splitting) + (Leb $\{x \mid \lambda \neq 0\} > 0$) \Rightarrow SRB measure

For non-uniformly hyperbolic f , the splitting is not dominated.

Non-uniformly hyperbolic maps

The Hénon maps $f_{a,b}(x, y) = (a - x^2 - by, x)$ are a perturbation of the family of logistic maps $g_a(x) = a - x^2$.



- ① g_a has an absolutely continuous invariant measure for “many” values of a . (Jakobson)
- ② For b small, $f_{a,b}$ has an SRB measure for “many” values of a . (Benedicks–Carleson, Benedicks–Young)
- ③ Similar results for “rank one attractors” – small perturbations of one-dimensional maps with non-recurrent critical points. (Wang–Young)

Genuine non-uniform hyperbolicity, but only one unstable direction, and stable direction must be strongly contracting.

Other non-uniformly hyperbolic maps

Other examples:

- 1 Hénon $f_{a,b}(x, y) = (a - x^2 - by, x)$ for $b \gg 0$.
- 2 Generalised Hénon $f_{a,b}(x, y, z) = (a - y^2 - bz, x, y)$: expect to have two unstable directions, so not rank one.
- 3 Large perturbations of Axiom A maps: Katok construction (slowdown near hyperbolic fixed point), no dominated splitting; slowdown + shear, no continuous splitting.
- 4 Small perturbations of maps with SRB measures: either local or global.

Goal: Develop a method for establishing the existence of an SRB measure that can be applied to these and other examples.

Cone families

SRB measures for diffeomorphisms with **usable hyperbolicity**

$(x \in M) + (\text{subspace } E \subset T_x M) + (\text{angle } \theta) \rightsquigarrow \text{cone}$

$$K(x, E, \theta) = \{v \in T_x M \mid \angle(v, E) < \theta\}.$$

E, θ depend measurably on $x \rightsquigarrow$ **measurable cone family**.

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Cone families $K^s(x), K^u(x)$ are **invariant** and **transverse** if

- 1 $\overline{Df(K^u(x))} \subset K^u(f(x))$
- 2 $\overline{Df^{-1}(K^s(f(x)))} \subset K^s(x)$
- 3 $T_x M = E^s(x) \oplus E^u(x)$

Usable hyperbolicity

Consider invariant transverse cone families $K^s(x), K^u(x) \subset T_x M$.

$$\lambda^u(x) = \inf\{\log \|Df(v)\| \mid v \in K^u(x), \|v\| = 1\},$$

$$\lambda^s(x) = \sup\{\log \|Df(v)\| \mid v \in K^s(x), \|v\| = 1\}.$$

Defect: $d(x) = \max(0, \frac{1}{\varepsilon}(\lambda^s(x) - \lambda^u(x)))$

Usable hyperbolicity = expansion – defect

Definition

The **usable hyperbolicity** at x is $\lambda(x) = \lambda^u(x) - d(x)$.

Let $\alpha(x) = \angle(K^s(x), K^u(x))$. Fix $\bar{\alpha} > 0$ and consider

$$\rho_{\bar{\alpha}}(x) = \lim_{n \rightarrow \infty} \frac{1}{n} \#\{0 \leq k < n \mid \alpha(f^k(x)) < \bar{\alpha}\}.$$

An existence result

“non-zero exponents” \rightsquigarrow “non-zero usable hyperbolicity”

$$S = \left\{ x \mid \overline{\lim}_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \lambda(f^k(x)) > 0 \text{ and } \lim_{\bar{\alpha} \rightarrow 0} \rho_{\bar{\alpha}}(x) = 0 \right.$$

$$\left. \text{and } \overline{\lim}_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \lambda^s(f^k(x)) < 0 \right\}$$

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Theorem (C.–Dolgopyat–Pesin 2011)

If $\text{Leb } S > 0$, then f has an SRB measure.

Remark: Same result holds if S has positive Lebesgue measure along some manifold tangent to the unstable cones $K^u(x)$.

Large perturbations: an indifferent fixed point

f an Axiom A diffeomorphism.

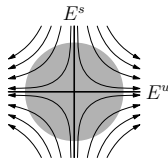
- f has an SRB measure.
- Small perturbations of f are Axiom A.
- Consider perturbation on boundary of “small”.

Maps on the boundary of Axiom A: Slowdown, no shear

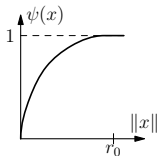
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Near a fixed point p , f is the time-1 map of $\dot{x} = Ax$.



Slow down dynamics of f near p : let $g =$ time-1 map for $\dot{x} = \psi(x)Ax$, with $g = f$ outside of $V = B(p, r_0)$.

Theorem (C.–Dolgopyat–Pesin 2011)

g has an SRB measure.

Usable hyperbolicity for g

- If f has a smooth invariant measure μ , then $\psi(x)^{-1}d\mu$ defines a smooth invariant measure for g .
- If the SRB measure for f is not smooth, then the attractor for f is not g -invariant.

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- $K^u(x)$ and $K^s(x)$ are g -invariant.
- $\lambda^u(x) \geq 0 \geq \lambda^s(x)$ and $\alpha(x) \gg 0$ for every x .
- $\lambda(x) = \lambda^u(x) \geq \chi > 0$ for every $x \notin V$.

$$\frac{1}{n} \sum_{k=0}^{n-1} \lambda(g^k(x)) \geq \chi \cdot \frac{1}{n} \#\{0 \leq k < n \mid g^k(x) \notin V\}$$

$$\left(\text{usable hyperbolicity} \right) \geq \chi \cdot \left(\text{time spent outside } V \right)$$

Average sojourn times

- $\tau(x) = \min\{t \mid g^t(x) \notin V\}$ sojourn time spent in V
- $G(x) = g^{\tau(x)}(x)$ first return map to outside of V
- $\tau_n(x) = \tau(G^{n-1}(x))$ sojourn time after n returns

Claim: $\exists R > 0$ such that $\overline{\lim} \frac{1}{n} \sum_{k=1}^n \tau_k(x) \leq R$ for Leb-a.e. x .

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Average sojourn time is bounded for Lebesgue typical trajectories.

- $\Omega(t_1, \dots, t_n) = \{x \mid \tau_k(x) = t_k \text{ for } 1 \leq k \leq n\}$
- $\text{Leb} \Omega(\vec{t}) \leq C^n \prod_{k=1}^n t_k^{-\gamma}$ with $\gamma > 2$
- Model (τ_k) with i.i.d. (T_k) such that $P(T_k = t) = Ct^{-\gamma}$
- Claim holds using fact that $E(T_k) < \infty$

An indifferent fixed point with a shear

Let f be Axiom A with $\dim E^u = 1$. Slow down f near $p = f(p)$ as before, **then add shear**.

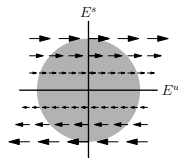
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Let $N: \mathbb{R}^d \rightarrow \mathbb{R}^d$ be linear such that

- $N(\mathbb{R}^d) \subset E^u \subset \ker N$,

and ξ a bump function near p .



Near p , let $g = \text{time-1 map for } \dot{x} = (\psi(x)A + \xi(x)N)x$, with $g = f$ outside of $V = B(p, r_0)$.

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Stable cones for g

Shear \Rightarrow stable cone for f is no longer g -invariant. Need to

- 1 establish existence of stable invariant cones $K^s(x)$ for g ;
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Claim: This boils down to estimating average sojourn times.

- $A = V \setminus g(V)$ (just entered neighbourhood of p)
- $B = g(V) \setminus V$ (just left the neighbourhood of p)
- Let $G: A \rightarrow B$ and $F: B \rightarrow A$ be the induced maps

Need to understand action of DG and DF on the space of s -dimensional subspaces of \mathbb{R}^d transverse to E^u .

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Need to understand action of DG and DF on the space of s -dimensional subspaces of \mathbb{R}^d transverse to E^u .

- Identify with \mathbb{R}^s (intersections with translations of E^u)
- DG acts as a translation (parabolically)
- DF acts as multiplication (hyperbolically)

Stable cones for g (ctd.)

$$\begin{aligned} \{E \subset \mathbb{R}^d \mid E \text{ transverse to } E^u\} &\leftrightarrow \mathbb{R}^s \\ E \rightarrow E^u &\leftrightarrow \vec{v} \rightarrow \infty \end{aligned}$$

Goal: \vec{v} such that

$$\vec{v}, DG(\vec{v}), DF \circ DG(\vec{v}), DG \circ DF \circ DG(\vec{v}), \dots$$

does not go to ∞ . This corresponds to $E \subset \mathbb{R}^d$ such that

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does not go to E^u . Given $\vec{v} \in \mathbb{R}^s$, we have

- $|DG_x(\vec{v})_j| \geq |v_j| - C\tau(x)$, (translation)
- $|DF_x(\vec{v})_j| \geq \lambda|v_j|$, where $\lambda > 1$. (multiplication)

Usable hyperbolicity

Let $R_n(x) := \sum_{k=0}^{\infty} C\lambda^{-k}\tau_{n+k+1}(x)$, so $R_n = \lambda(R_{n-1} - C\tau_n)$.

- Then $(DF \circ DG)B(R_{n-1}(x)) \supset B(R_n(F \circ G(x)))$.

If $\tau_n(x)$ is bounded in average, then $\underline{\lim} R_n(x) < \infty$, so:

- $B(R_n(x))$ contains a \vec{v} whose iterates do not go to ∞
- This shows the existence of $E^s(x)$
- $\alpha_n = \angle(E^s(g^n(x)), E^u(g^n(x)))$ is controlled by R_n
- $\{n \mid \alpha_n \leq \bar{\alpha}\}$ arbitrarily sparse when $\bar{\alpha}$ arbitrarily small

Together with the fact that $\lambda(x) = \lambda^u(x)$, we get

bounded average sojourn time

\Rightarrow positive asymptotic rate of usable hyperbolicity

$\Rightarrow g$ has an SRB measure

Constructing invariant measures

Build invariant measures using action on \mathcal{M}

- f acts on \mathcal{M} by $f_*: m \mapsto m \circ f^{-1}$.
- Fixed points of f_* are invariant measures.
- Césaro averages + weak* compactness \Rightarrow invariant measures:

$$\mu_n = \frac{1}{n} \sum_{k=0}^{n-1} f_*^k m \qquad \mu_{n_j} \rightarrow \mu \in \mathcal{M}(f)$$

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Idea: $m = \text{volume} \Rightarrow \mu$ is an SRB measure.

$$H = \{x \in M \mid \text{all Lyapunov exponents non-zero at } x\}$$

$$\mathcal{S} = \{\nu \in \mathcal{M} \mid \nu(H) = 1, \nu \text{ a.c. on unstable manifolds}\}$$

- $\mathcal{S} \cap \mathcal{M}(f) = \{\text{SRB measures}\}$
- \mathcal{S} is f_* -invariant, so $m \in \mathcal{S} \Rightarrow \mu_n \in \mathcal{S}$ for all n .
- \mathcal{S} is *not* compact. So why should μ be in \mathcal{S} ?

Non-uniform hyperbolicity in \mathcal{M}

Theme in NUH: choose between invariance and compactness.

Replace unstable manifolds with n -admissible manifolds V .

$d(f^{-k}(x), f^{-k}(y)) \leq Ce^{-\lambda k} d(x, y)$ for all $0 \leq k \leq n$ and $x, y \in V$

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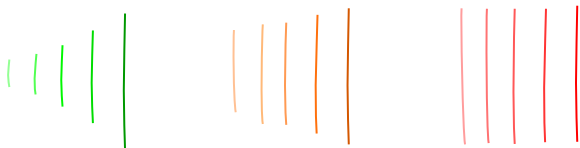
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- 1 Value of C, λ in definition of n -admissibility.



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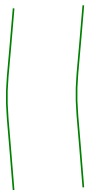
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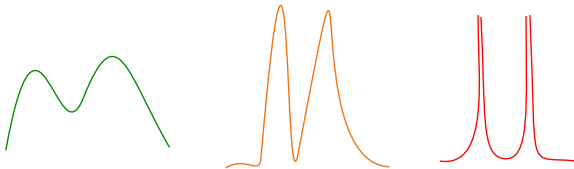
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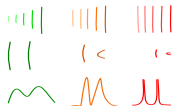
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- ① Value of C, λ in definition of n -admissibility.
- ② Size and curvature of admissible manifolds.
- ③ $\|\rho\|$, where ρ is density wrt. leaf volume.



Given $K > 0$, let $\mathcal{S}_n(K)$ be the set of measures for which these non-uniformities are all controlled by K .

large $K \Rightarrow$ worse non-uniformity

$\mathcal{S}_n(K)$ is compact, but not f_* -invariant.

Non-uniformities controlled by K

Admissible manifold V near x defined by

- decomposition $T_x M = G \oplus F$ with $\alpha = \angle(G, F)$,
- $C^{1+\varepsilon}$ function $\psi: G \cap B(0, r) \rightarrow F$ with $\|D\psi\| \leq \gamma$ and $|D\psi|_\varepsilon \leq \kappa$ such that $V = \exp_x(\text{graph } \psi)$.

Density $\rho \in C^\varepsilon(V)$ and backwards dynamics satisfy

- $L^{-1} \leq \rho(x) \leq L$ and $\|\rho\|_{C^\varepsilon} \leq L$,
- $d(f^{-k}(x), f^{-k}(y)) \leq C e^{-\lambda k} d(x, y)$.

K controls all the quantities $\alpha, r, \gamma, \kappa$ (geometry of the admissible manifold), L (density function), and C, λ (dynamics).

Conditions for existence of an SRB measure

- M be a compact Riemannian manifold, $U \subset M$ open, $f: U \rightarrow M$ a local diffeomorphism with $\overline{f(U)} \subset U$.
- Let μ_n be a sequence of measures whose limit measures are all invariant. (In applications, $\mu_n = \frac{1}{n} \sum_{k=0}^{n-1} f_*^k \text{Leb}$.)
- Fix $K > 0$, write $\mu_n = \nu_n + \zeta_n$, where $\nu_n \in \mathcal{S}_n(K)$.

Theorem (C.–Dolgopyat–Pesin 2011)

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The question now becomes: How do we obtain recurrence to the set $\mathcal{S}_n(K)$?

Coordinates in TM

We use local coordinates to write the map f along a trajectory as a sequence of local diffeomorphisms.

- $\{f^n(x) \mid n \geq 0\}$ is a trajectory of f
- $U_n \subset T_{f^n(x)}M$ is a small neighbourhood of 0
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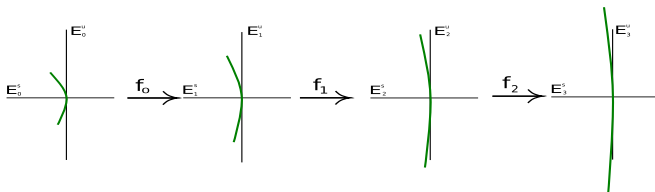
Decompose $\mathbb{R}^d = T_x M = E_0^u \oplus E_0^s$, let $E_{n+1}^{u,s} = Df_n(E_n^{u,s})$.

- Want E_n^u and E_n^s asymptotically expanding and contracting.
- Want $\overline{\lim}_n \angle(E_n^u, E_n^s) > 0$.
- ($\underline{\lim}_n \angle(E_n^u, E_n^s) > 0$ is probably unavoidable.)

Controlling hyperbolicity and regularity

$$\mathbb{R}^d = T_{f^n(x)}M = E_n^u \oplus E_n^s \quad f_n = (A_n \oplus B_n) + s_n$$

Start with an admissible manifold V_0 tangent to E_0^u at 0 and push it forward: $V_{n+1} = f_n(V_n)$.



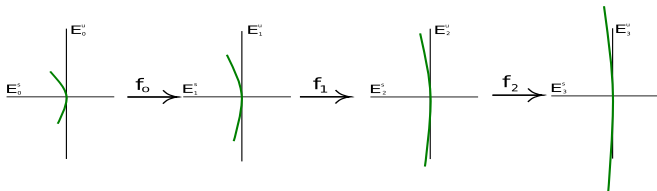
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$$V_n = \text{graph } \psi_n = \{v + \psi_n(v)\} \quad \psi_n: B(E_n^u, r_n) \rightarrow E_n^s$$

Need to control the size r_n and the regularity $\|D\psi_n\|$, $|D\psi_n|_\varepsilon$.



Controlling hyperbolicity and regularity

Consider the following quantities:

$$\lambda_n^u = \log(\|A_n^{-1}\|^{-1})$$

$$\alpha_n = \angle(E_n^u, E_n^s)$$

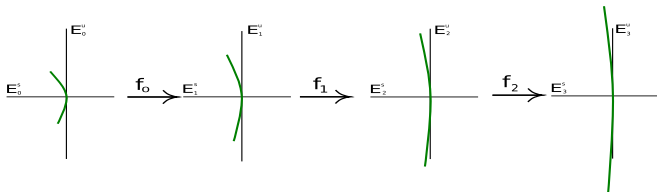
$$\lambda_n^s = \log \|B_n\|$$

$$C_n = |Ds_n|_\varepsilon$$

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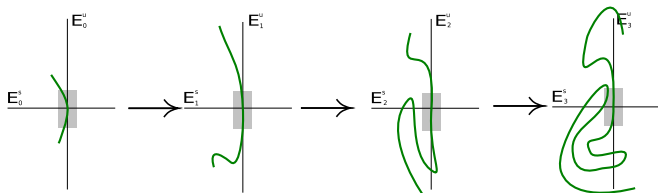


Classical Hadamard–Perron results

Uniform case: Constants such that

- $\lambda_n^s \leq \bar{\lambda}^s < 0 < \bar{\lambda}^u < \lambda_n^u$
- $\alpha_n \geq \bar{\alpha} > 0$
- $C_n \leq \bar{C} < \infty$

Then V_n has uniformly large size: $r_n \geq \bar{r} > 0$.



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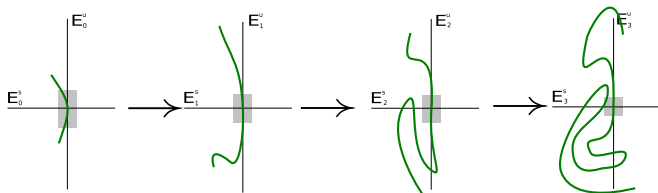
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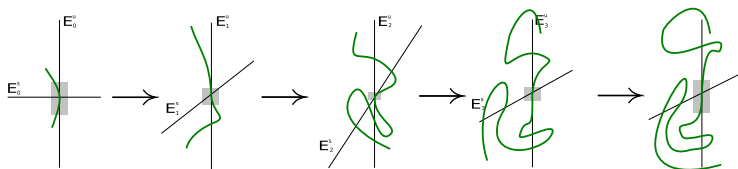
C_n grows slowly $\Rightarrow r_n$ decays slowly

We want to consider the case where

- $\lambda_n^s < 0 < \lambda_n^u$ may fail (may even have $\lambda_n^u < \lambda_n^s$)
- α_n may become arbitrarily small
- C_n may become arbitrarily large (no control on speed)

Usable hyperbolicity

In order to define ψ_{n+1} implicitly, we need control of the regularity of ψ_n . **Control $\|D\psi_n\|$ and $|D\psi_n|_\varepsilon$ by decreasing r_n if necessary.** So how do we guarantee that r_n becomes “large” again?



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Defect – splitting not dominated: $d_n = \max\left(0, \frac{1}{\varepsilon}(\lambda_n^s - \lambda_n^u)\right)$

Distortion – large nonlinearity, small angle: $\beta_n = C_n(\sin \alpha_{n+1})^{-1}$

Fix a threshold value $\bar{\beta}$ and define the **usable hyperbolicity**:

$$\lambda_n = \begin{cases} \lambda_n^u - d_n & \text{if } \beta_n \leq \bar{\beta}, \\ \min\left(\lambda_n^u - d_n, \frac{1}{\varepsilon} \log \frac{\beta_{n-1}}{\beta_n}\right) & \text{if } \beta_n > \bar{\beta}. \end{cases}$$

Continuous dominated splitting $\Rightarrow \lambda_n = \lambda_n^u$

Positive usable hyperbolicity

Key criterion is positive usable hyperbolicity:

$$\varliminf_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \lambda_k > 0 \text{ for some } \bar{\beta}$$

One way to establish this is to have both of the following:

- 1 Expansion beats defect:

$$\varliminf_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \lambda_k^u - d_k > 0$$

- 2 Distortion is almost bounded: Let $\Gamma^{\bar{\beta}} = \{n \mid \beta_n > \bar{\beta}\}$. Then $\Gamma^{\bar{\beta}}$ has arbitrarily small upper asymptotic density.

A Hadamard–Perron theorem

- $F_n = f_{n-1} \circ \cdots \circ f_1 \circ f_0: U_0 \rightarrow \mathbb{R}^d = T_{f^n(x)}M$
- $V_0 \subset \mathbb{R}^d$ a $C^{1+\varepsilon}$ manifold tangent to E_0^u at 0
- $V_n(r) =$ connected component of $F_n(V_0) \cap B(r)$ containing 0

Theorem (C.–Dolgopyat–Pesin 2011)

Suppose $\liminf \frac{1}{n} \sum_{k=0}^{n-1} \lambda_k > \bar{\chi} > 0$ for some $\bar{\beta}$. Then there exist constants $\bar{\alpha}, \bar{\gamma}, \bar{\kappa}, \bar{r} > 0$ and a set $\Gamma \subset \mathbb{N}$ with positive lower asymptotic frequency such that for every $n \in \Gamma$,

- 1 $\angle(E_n^u, E_n^s) \geq \bar{\alpha}$;
- 2 $V_n(\bar{r}) = \text{graph } \psi_n$ and $\|D\psi_n\| \leq \bar{\gamma}$, $|D\psi_n|_\varepsilon \leq \bar{\kappa}$;
- 3 if $F_n(x), F_n(y) \in V_n(\bar{r})$, then for every $0 \leq k \leq n$,

$$\|F_n(x) - F_n(y)\| \geq e^{(n-k)\bar{\chi}} \|F_k(x) - F_k(y)\|.$$

Idea of proof

Start with V_0 , study $V_n = F_n(V_0)$. Choose r_n, γ_n, κ_n such that

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Can improve γ_n, κ_n at the cost of reducing r_n , or vice versa. Give conditions on “goodness parameters” r_n, γ_n, κ_n ; inequalities in terms of λ_n^u, λ_n^s , and β_n .

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positive asymptotic rate of usable hyperbolicity

⇒ positive frequency of usable hyperbolic times (**Pliss' lemma**)

⇒ thresholded parameters spend enough time at threshold

Completion of proof

- $\mu_0 = \text{Leb} |_{V_0}$
- $\mu_n = (f_*^n \mu_0) |_{V_n(r_n)}$ (normalised)
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