THE PSEUDO-ORBIT TRACING PROPERTY
AND EXPANSIVENESS ON THE CANTOR SET

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Abstract. The set of all the expansive homeomorphisms with the pseudo-orbit tracing property is dense in the space of all the homeomorphisms of the Cantor set with the topology of uniform convergence. Moreover a topologically transitive (resp. mixing) homeomorphism of the Cantor set is approximated uniformly by topologically transitive (resp. mixing) expansive homeomorphisms with the pseudo-orbit tracing property.

1. Introduction

Let \( \mathcal{H} \) be the space of all the homeomorphisms of the Cantor set \( C \) in \([0,1]\) with the topology of uniform convergence. It was shown by M. Sears [3] that the set \( \mathcal{E} \) of all the expansive homeomorphisms of \( C \) is dense in \( \mathcal{H} \). And M. Dateyama [2] showed that the set \( \mathcal{P} \) of all the homeomorphisms of \( C \) with the pseudo-orbit tracing property (abbrev. POTP) is dense in \( \mathcal{H} \). The purpose of this paper is to show that the set \( \mathcal{P} \) of all the homeomorphisms which are topologically conjugate to subshifts of finite type is also dense in \( \mathcal{H} \). Since \( \mathcal{S} = \mathcal{E} \cap \mathcal{P} \) as being shown later, it is a generalization of the results above.

Given an integer \( r \geq 1 \), we call \([i 3^{-r} + 1, (i + 1) 3^{-r} + 1] \cap C \) \( (i = 0,1, \ldots, 3^{-r} - 1) \) a Cantor subinterval of rank \( r \) if \( (i \cdot 3^{-r} + 1) 3^{-r} \neq 0 \). Order the subintervals of rank \( r \) by the usual ordering of their left-hand endpoints and denote the \( k \) th in this order by \( I(k,r) \) \( (k = 1,2, \ldots, 2^{r}) \). Note that \( \text{diam} I(k,r) = 3^{-r} \). A Cantor subinterval is homeomorphic to \( C \). More generally, a compact metrizable totally disconnected perfect space is homeomorphic to \( C \).

Let \( n \) be a positive integer and let \( S_n = \{1,2, \ldots, n\} \) with the discrete topology. We put

\[ \Sigma_n = \{x; x = (x_i)_{i \in \mathbb{Z}}, x_i \in S_n (i \in \mathbb{Z})\} \]
with the product topology. Then $\Sigma_n$ is a compact metrizable totally disconnected perfect space. The shift map $\sigma_n : \Sigma_n \to \Sigma_n$ is defined by $(\sigma_n(x))_i = x_{i+1}$ $(i \in \mathbb{Z})$, where $x = (x_i)_{i \in \mathbb{Z}} \in \Sigma_n$. Then $\sigma_n$ is a homeomorphism and the pair $(\Sigma_n, \sigma_n)$ is called a full shift of $n$ symbols. Let $\Lambda \subset \Sigma_n$ be a closed $\sigma_n$-invariant set, i.e., $\sigma_n(\Lambda) = \Lambda$. Then the restriction $(\Lambda, \sigma_n|_{\Lambda})$ of $\sigma_n$ on $\Lambda$ is called a subshift. Let $A$ be an $n \times n$ matrix of 0's and 1's. We put

$$
\Sigma_A = \{x \in \Sigma_n : x = (x_i)_{i \in \mathbb{Z}}, A_{x_i, x_{i+1}} = 1, \quad i \in \mathbb{Z}\}
$$

and $\sigma_A = \sigma_n|_{\Sigma_A}$. Then $(\Sigma_A, \sigma_A)$ is a subshift. A subshift $(\Lambda, \sigma_m|_{\Lambda})$ $(m \geq 1)$ is said to be of finite type if it is topologically conjugate to $(\Sigma_A, \sigma_A)$ for some $n \times n$ matrix $A$ of 0's and 1's $(n \geq 1)$.

A homeomorphism $f \in H$ is topologically transitive if given nonempty open sets $U$ and $V$ of $C$, $U \cap f^n(V) \neq \emptyset$ for some integer $n$. An $f \in H$ is topologically mixing if given nonempty open sets $U$ and $V$ of $C$, there is an $L > 0$ such that $U \cap f^l(V) \neq \emptyset$ for all $l \geq L$. An $f \in H$ is topologically transitive if and only if it has a dense orbit $\sigma_f(x) \ (x \in C)$.

Theorem. $\mathcal{H}$ is dense in $H$. Moreover, if $f \in \mathcal{H}$ is topologically transitive (resp. mixing), then $f$ is approximated uniformly by elements of $\mathcal{H}$ which are also topologically transitive (resp. mixing).

2. Preliminaries

For a homeomorphism of a compact space, the expansiveness and POTP is independent of the metric used. A homeomorphism of a Cantor set is expansive if and only if it is topologically conjugate to a subshift. And a subshift is of finite type if and only if it has POTP (Theorem 1. of P. Walters [4]). Therefore, we get the following

Proposition 1. $\mathcal{F} \cap \mathcal{P} = \mathcal{P}$.

Definition. An $n \times n$ matrix $A$ of 0's and 1's is irreducible if, for every $a, b$ $(1 \leq a, b \leq n)$, there is an $l > 0$ such that $A_{a,b}^l > 0$, where $A_{a,b}^l$ is the $(a,b)$ component of the matrix $A^l = A \times \cdots \times A$ ($l$-times).

Remark. If $A$ is an irreducible $n \times n$ matrix, then, for every $L > 0$ and $1 \leq a, b \leq n$, there is an $l \geq L$ such that $A_{a,b}^l > 0$.

The following Lemma 2 is well known, so we omit a proof.

Lemma 2. Let $A$ be an irreducible $n \times n$ matrix (of 0's and 1's). Then for any nonempty open sets $U$ and $V$ of $\Sigma_A$, there is an arbitrarily large $m > 0$ such that $\sigma_A^m(U) \cap V \neq \emptyset$.

Lemma 3. Let $A$ be a nondegenerate $n \times n$ matrix of 0's and 1's. Then $(\Sigma_A, \sigma_A)$ is topologically mixing if and only if there is an $m > 0$ such that $A_{a,b}^m > 0$ (i.e., $A_{a,b}^m > 0$ for all $1 \leq a, b \leq n$).

Proof. Lemma 1.3 of R. Bowen [1].
3. A PROOF OF THE MAIN RESULT

The following is a proof of our main result. Let \( f \in \mathcal{H} \) and \( \epsilon > 0 \). Fix an integer \( r > 0 \) with \( 3^{-r} < \epsilon/2 \) such that \( |x - y| < 3^{-r} \) \((x, y \in C)\) implies \( |f(x) - f(y)| < \epsilon/2 \) \((x, y \in C)\). Let \( n = 2^r \). Define an \( n \times n \) matrix \( A = A_f \) as follows. For \( 1 \leq a, b \leq n \),

\[
A_{a,b} = \begin{cases} 
1 & \text{if } f(I(a,r)) \cap I(b,r) \neq \emptyset, \\
0 & \text{otherwise}.
\end{cases}
\]

Then for each \( a \) \((1 \leq a \leq n)\), there exists \( b \) and \( c \) \((1 \leq b, c \leq n)\) such that \( A_{b,a} = A_{a,c} = 1 \). Thus if we put

\[
(a)_A = \{ x \in \Sigma_A ; x_0 = a \} \quad (1 \leq a \leq n),
\]

then each \( (a)_A \) \((1 \leq a \leq n)\) is not empty.

First suppose that each \( (a)_A \) \((1 \leq a \leq n)\) is perfect. Then there is a homeomorphism \( \phi \) from \( \Sigma_A \) onto \( C \) such that \( \phi((a)_A) = I(a,r) \) \((1 \leq a \leq n)\). Put \( g = \phi \circ \sigma_A \circ \phi^{-1} \). We shall show that \( |f(x) - g(x)| < \epsilon \) \((x \in C)\). Let \( x \in C \). Suppose that \( x \in I(a,r) \) and that \( g(x) \in I(b,r) \). Then since

\[
\sigma_A(\phi^{-1}(x)) = \phi^{-1}(g(x)) \in \sigma_A((a)_A) \cap (b)_A \neq \emptyset,
\]

we get \( A_{a,b} = 1 \). Hence there is a \( y \in I(a,r) \) such that \( f(y) \in I(b,r) \). Thus we get

\[
|f(x) - g(x)| \leq |f(x) - f(y)| + |f(y) - g(x)| < \epsilon/2 + 3^{-r} < \epsilon.
\]

In the general case, we shall use a product \((\Sigma_A \times \Sigma_2, \sigma_A \times \sigma_2)\), which is naturally topologically conjugate to a subshift of finite type. Since each \((a)_A \times \Sigma_2 \) \((1 \leq a \leq n)\) is perfect, we get a homeomorphism \( \phi \) from \( \Sigma_A \times \Sigma_2 \) to \( C \) such that

\[
\phi((a)_A \times \Sigma_2) = I(a,r) \quad (1 \leq a \leq n).
\]

Putting \( g = \phi \circ (\sigma_A \times \sigma_2) \circ \phi^{-1} \) we proceed as before to get an inequality;

\[
|f(x) - g(x)| < \epsilon \quad (x \in C).\]

Thus we have proved the first half of the Theorem.

We shall show that \( g \) is topologically transitive (resp. mixing) when \( f \) is topologically transitive (resp. mixing). Suppose that \( f \) is topologically transitive. Then there is a dense orbit \( o_f(x) \) \((x \in C)\). Since each point of \( C \) is not isolated, \( o_f(x) \) is a set of first category. Thus \( C - o_f(x) \) is also dense in \( C \). Since each point of \( C - o_f(x) \) is a limit point of \( o_f(x) \), we get \( C = \alpha_f(x) \cup \omega_f(x) \), where \( \alpha_f(x) \) (resp. \( \omega_f(x) \)) is the \( \alpha \) (resp. \( \omega \)) limit set of \( x \) by \( f \). Since both \( \alpha_f(x) \) and \( \omega_f(x) \) are closed \( f \)-invariant sets, \( U = C - \alpha_f(x) \) and \( V = C - \omega_f(x) \) are disjoint open \( f \)-invariant sets. Thus, by topological transitivity, either \( U \) or \( V \) must be empty. Hence either \( \alpha_f(x) = C \) or \( \omega_f(x) = C \) holds. In either case, for any \( 1 \leq a, b \leq n \), there
is an $l_{a,b} > 0$ such that $f^l_{a,b}(I(a,r)) \cap I(b,r) \neq \emptyset$. Then it is easy to check that $A^{l_{a,b}}_{a,b} > 0$ $(1 \leq a, b \leq n)$, where $A = A_f$. Thus $A$ $(= A_f)$ is irreducible. Since $(\Sigma_2, \sigma_2)$ is topologically mixing, both $(\Sigma_A, \sigma_A)$ and $(\Sigma_A \times \Sigma_2, \sigma_A \times \sigma_2)$ are topologically transitive by Lemma 2. Hence $g$ is topologically transitive in either case. Next suppose that $f$ is topologically mixing. It is enough to show that $(\Sigma_A, \sigma_A)$ is topologically mixing and that $\Sigma_A$ is perfect. For any $1 \leq a, b \leq n$, there is an $L_{a,b} > 0$ such that $f^l(I(a,r)) \cap I(b,r) \neq \emptyset$ for all $l \geq L_{a,b}$. Thus $A^{l_{a,b}}_{a,b} > 0$ for all $l \geq L_{a,b}$ $(1 \leq a, b \leq n)$. Hence $(\Sigma_A, \sigma_A)$ is topologically mixing, by Lemma 3. Suppose that $\Sigma_A$ has an isolated point $p$. Then, since $\{p\}$ is an open set, there is an $L > 0$ such that $p = f^l(p)$ for all $l \geq L$. Thus $p$ is a fixed point. This contradicts the fact that $(\Sigma_A, \sigma_A)$ is topologically mixing, for $\Sigma_A - \{p\}$ is also open and $f$-invariant.

Remark. In the above proof, one could use another perfect subshift say $(\Sigma, \sigma)$ in place of $(\Sigma_2, \sigma_2)$. If a property of $(\Sigma, \sigma)$ is not lost by taking a product with any subshift of finite type $(\Sigma_A, \sigma_A)$, then elements of $\mathcal{H}$ will be approximated uniformly by subshifts with this property.

After I finished writing this paper, I accepted T. Kimura [4], where the density of $\mathcal{H} \cap \mathcal{P}$ in $\mathcal{H}$ is proved independently.

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References


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