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CENTRALIZERS OF C^1-DIFFEOMORPHISMS

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ABSTRACT. In this paper we prove that $Z(f) = \{f^k | k \in Z\}$ for generic Axiom A diffeomorphisms. We also prove that generic diffeomorphisms have no k-roots.

Introduction. Let M be a compact connected C^∞-manifold without boundary. A C^r-dynamical system on M, $0 \leqslant r \leqslant \infty$, is the triple $(M, \mathfrak{C}, f)$, where $\mathfrak{C}$ is the C^r-structure of M and C is a C^r-diffeomorphism of M. We simply let f refer to it. A C^r-dynamical system naturally has the structure of C^s-dynamical system for any $0 \leqslant s \leqslant r$. Then a C^s-diffeomorphism g commuting with f, i.e., $f \circ g = g \circ f$, is a *C^s-symmetry of f* in the sense that g preserves the C^s-structure of the dynamical system f. Throughout we consider C^1-symmetries of C^1-dynamical systems. Let Diff(M) be the set of C^1-diffeomorphisms of M with uniform C^1-topology. The centralizer of f, $Z(f)$, is the set of all symmetries of f. Clearly, $f^k \in Z(f)$, for any $k \in Z$ (Z denotes the set of integers). Then $g \in Z(f)$ is said to be *trivial* if $g = f^k$ for some $k \in Z$. Given a periodic point p of f, we say that $g \in Z(f)$ is *W^s-trivial at p* if $g | W^s(p) = f^k | W^s(p)$ for some $k \in Z$, and *W^s-trivial* if g is W^s-trivial at every periodic point of f.

Using the above notations, we can state our results as follows:

THEOREM 1. *Generic diffeomorphisms have only W^s-trivial symmetries. More precisely, there exists a generic subset K^* of* Diff(M) *such that $Z(f)$ consists only of W^s-trivial symmetries for any $f \in K^*$.*

We say $g \in$ Diff(M) is *a k-root of f* $\in$ Diff(M) if $f = g^k$.

COROLLARY. *Generic diffeomorphisms have no k-root for any $k \in Z$, $k \neq \pm 1$.*

Let A be the set of Axiom A diffeomorphisms.

THEOREM 2. *There exists a generic subset A^* of A such that*

$$Z(f) = \{f^k | k \in Z\}$$

for any $f \in A^*$.

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For C^∞-centralizers of C^∞-diffeomorphisms, B. Anderson in **[1]** has proved that having discrete centralizer is C^3-open C^∞-dense property in MS. See also **[2]**, **[6]**, and **[7**, p. 809].

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1. Local symmetries. In this section, we consider local symmetries of embeddings. Let $E(D_r) = \mathrm{emb}(D_r^n, R^n) \subset C^1(D_r^n, R^n)$ be the set of embeddings with C^1-topology, where $D_r = D_r^n = \{x \in R^n |\ \|x\| \leqslant r\}$. If $f \in E(D_r)$ has a fixed point p in int D_r, *a local symmetry at* p of f means an embedding g from some neighbourhood U_p of p into R^n such that

(i) $g(p) = p$,

(ii) $g \circ f$ and $f \circ g$ are germ equivalent at p, i.e., there is a neighbourhood V_p of p such that $f \circ g$ and $g \circ f$ are defined and coincide on it.

Then g is said to be *trivial* if g and f^k are germ equivalent at p for some $k \in Z$, and W^s*-trivial* if $g | W^s(p)$ and $f^k | W^s(p)$ are germ equivalent at p.

Let $CE(D_r)$ be the set of contractions, i.e., the set of f's in $E(D_r)$ such that

(i) $f(D_r) \subset$ int D_r,

(ii) $\bigcap_{k=1}^{k=\infty} f^k(D_r)$ is just one point, and we let p_f denote it,

(iii) $Df(p_f)$ is a linear contraction.

Then $CE(D_r)$ is equipped with the topology as a subspace of $E(D_r)$.

Proposition (1.1) *There exists a C^1-generic subset $CE^*(D_r)$ of $CE(D_r)$ such that any $f \in CE^*(D_r)$ has only trivial local symmetries at p_f.*

The proof of this proposition is similar to the one of the theorem in our previous paper **[8]**, and we omit it.

Suppose that $f_0 \in E(D^n)$; fix $0 \in R^n$, and let $L = Df_0(0)$ be hyperbolic with skewness τ, where D^n denotes the unit disc. Let $R^n = R^s \oplus R^u$ be the splitting of R^n to the contracting and expanding subspace of L. Choose any $0 < \varepsilon < \frac{1}{2}(1-\tau)(1+\tau)^{-1}$, then there exists $r > 0$ such that $\|Df_0(x) - L\| < \varepsilon/2$ for any $x \in D_r^s \times D_r^u$. Choose any $0 < \delta < \min(\varepsilon^2 r\tau, \varepsilon/2)$. Let $Q(f_0)$ be the δ-neighbourhood of f_0 in $E(D^n)$, i.e.,

$$Q(f_0) = \{f \in E(D^n) |\ \|f - f_0\|_1 < \delta\},$$

where $\|\ \|_1$ denotes the C^1-norm. Notice that if $f \in Q(f_0)$, then $\|f(0)\| < \delta$ and $\mathrm{Lip}(f - L) < \varepsilon$ in $D_r^s \times D_r^u$.

Now we can apply the Stable Manifold Theorem **[4]** and get the following:

Lemma (1.1) *If $f \in Q(f_0)$, then f has unique fixed point p_f in D_r and there exists a continuous map*

$$\mathfrak{g}: Q(f_0) \to C^1(D_r^s, D_r^u), \quad f \mapsto \mathfrak{g}_r,$$

such that the graph of $\mathfrak{g}_f$ gives the stable manifold for f.

Consider the map

$$\psi: Q(f_0) \to CE(D_{r/2}^s), \quad f \mapsto p_s \circ f \circ (I_s, \mathfrak{g}_f) | D_{r/2},$$

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where $p_s: R^n \to R^s$ denotes the projection and I_s denotes the identity map of D_r^s.

LEMMA (1.2) *ψ is an open continuous map.*

PROOF. Since the composition map $\circ$ is continuous [5], so is ψ. Let $\varepsilon > 0$ and $f \in Q(f_0)$ be given. We show that if $g \in CE(D_{r/2}^s)$ is sufficiently close to $\psi(f)$, then there is a map $\tilde{f} \in Q(f_0)$ such that $\psi(\tilde{f}) = g$ and $\|\tilde{f} - f\|_1 < \varepsilon$. This implies that ψ is an open map. Let $W_f^s = (I_s, g_f)(D_r^s)$. Let U be a tubular neighbourhood of W_f^s and $\pi: U \to W_f^s$ be the projection of this bundle. Let α be a bump function on U with $\alpha | W_f^s = 1$. First we extend g to D_r^s so that g coincides with $p_s \circ f \circ (I_s, g_f)$ out of $D_{2r/3}^s$. Using the diffeomorphism $p_s | W_f^s$, we lift this extension of g to W_f^s and get a map $\tilde{g}: W_f^s \to W_f^s$. Then the required map $\tilde{f}$ is defined by

$$\tilde{f}\,|D - U = f|D - U, \quad \tilde{f}\,|U = f|U + ((\tilde{g} - f) \circ \pi)\alpha.$$

It is clear that $f \in \psi^{-1}(CE^*(D_{r/2}^s))$ has only W^s-trivial symmetries. Since ψ is an open continuous map, we can conclude that $\psi^{-1}(CE^*(D_{r/2}^s))$ is generic in $Q(f_0)$, because the inverse image of a generic subset by an open continuous map is also generic. Hence we get:

PROPOSITION (1.2) *If $f_0 \in E(D^n)$ has 0 as a hyperbolic fixed point, then there exist an r-disc D_r, a neighbourhood $Q(f_0)$ of f_0 in $E(D^n)$, and its generic subset $Q^*(f_0)$ such that any $f \in Q^*(f_0)$ has only W^s-trivial local symmetries at p_f, which is the unique fixed point of f in D_r.*

2. Proof of Theorem 1. Let per(f, m) be the set of the periodic points of f of period $m \in N$ (N denotes the set of the natural numbers). Let K_m be the set of f's $\in$ Diff(M) such that

(i) each $p \in$ per(f, m) is hyperbolic,

(ii) if $p, q \in$ per(f, m) have different orbits, then they have different eigenvalues.

Property (ii) implies that $g(O_f(p)) = O_f(p)$ for any $p \in$ per(f, m) and any $g \in Z(f)$, where $O_f(p)$ denotes the orbit of p under f. Notice that each per(f, m) is finite, each K_m is open dense, and $K = \bigcap_{m=1}^{m=\infty} K_m$ is generic in Diff(M). Let K_m^* be the set of f's $\in K_m$ such that any $g \in Z(f)$ is W^s-trivial at any $p \in$ per(f, m).

To prove Theorem 1, we have only to show that each K_m^* is generic in K_m, because this implies that $K^* = \bigcap_{m=1}^{m=\infty} K_m^*$ is generic in K and any $f \in K^*$ has only W^s-trivial symmetries. Further, because Diff(M) is second countable, it is sufficient to prove that any $f_0 \in K_m^*$ has a neighbourhood $U(f_0)$ in K_m such that $U(f_0) \cap K_m^*$ is generic in $U(f_0)$.

Choose a neighbourhood $V(p_i)$ for each $p_i \in$ per(f_0, m) such that $V(p_i) \cap$ per$(f_0, m) = \{p_i\}$. Then we can take a neighbourhood $U_1(f_0)$ of f_0 in K_m such that if $f \in U_1(f_0)$,

per$(f, m) \cap V(p_i) =$ one point $p_{f,i}$, for each $p_i \in$ per(f, m), and

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$$\operatorname{per}(f, m) \subset \bigcup V(p_i), \quad p_i \in \operatorname{per}(f_0, m).$$

LEMMA (2.1) *Using the above notations, there exist a neighbourhood* $U(f_0, p_i) \subset U_1(f_0)$ *and its generic subset* $U^*(f_0, p_i)$ *for each* p_i *such that any* $f \in U^*(f_0, p_i)$ *has only* W^s*-trivial symmetries at* $p_{f,i}$.

Let $U(f_0) = \bigcap U(f_0, p_i)$, $p_i \in \operatorname{per}(f_0, m)$. Then $U(f_0) \cap K_m^*$ contains a generic set $\bigcap U^*(f_0, p_i)$ of $U(f_0)$, hence is generic itself. So we get Theorem 1 from the above lemma.

We now prove Lemma (2.1). We can choose a neighbourhood $V_1(p_i)$ such that $f_0^j(\mathrm{Cl}(V_1(p_i))) \subset V(f_0^j(p_i))$, $0 \leqslant j \leqslant m$.

Without loss of any generality, we can assume that there exists a chart $\{\varphi_i, U(p_i)\}$ such that $\varphi_i(p_i) = 0$ and $\varphi_i(\mathrm{Cl}(V_1(p_i)))$ is the unit disc of R^n, $n = \dim(M)$. We choose a neighbourhood $U_2(f_0, p_i) \subset U_1(f_0)$ in K_m such that for any $f \in U_1(f_0)$

(i) $p_{f,i} \in V_1(p_i)$,

(ii) $f^j(\mathrm{Cl}(V_1(p_i))) \subset V(f^j(p_i))$, $0 \leqslant j \leqslant m$.

We define a map

$$\Lambda_i\colon U_2(f_0, p_i) \to E(D^n)$$

by

$$\Lambda_i(f) = \varphi_i \circ f^m \circ \varphi_i^{-1}|D.$$

Then Λ_i is open continuous. Suppose that $f \in U_2(f_0, p_i)$ and $g \in Z(f)$ is not W^s-trivial at $p_{f,i}$. Because $f^j \circ g(p_{f,i}) = p_{f,i}$ for some $0 \leqslant j < m$, and $f^j \circ g \in Z(f)$ is not W^s-trivial at $p_{f,i}$, we can suppose $g(p_{f,i}) = p_{f,i}$, without loss of any generality. Then the germ of $\varphi_i \circ g \circ \varphi_i^{-1}$ at $\varphi(p_{f,i})$ gives a germ of a local symmetry of $\Lambda_i(f)$ at $\varphi_i(p_{f,i})$ which is not W^s-trivial at $\varphi_i(p_{f,i})$. Hence $\Lambda_i^{-1}(Q(\Lambda(f_0)))$ and its generic subset $\Lambda_i^{-1}(Q^*(\Lambda(f_0)))$ give the required $U(f_0, p_i)$ and $U^*(f_0, p_i)$ of Lemma (2.1) respectively, proving Theorem 1.

3. Proof of Theorem 2. We shall prove Theorem 2. Let $K^{*-1} = \{f^{-1} | f \in K^*\}$. Then K^{*-1} is generic in $\mathrm{Diff}(M)$, and any $f \in K^{*-1}$ has only W^u*-trivial symmetries*. We shall prove that any $f \in K^* \cap K^{*-1} \cap A$ has only trivial symmetries. Let $f \in K^* \cap K^{*-1} \cap A$ and $g \in Z(f)$. Let $\Omega = \Omega_1 \cup \cdots \cup \Omega_m$ be the spectral decomposition. First we show that there is an integer $k(i)$ for each Ω_i such that $g|W^s(p) = f^{k(i)}|W^s(p)$ for any $p \in \Omega_i \cap \operatorname{per} f$. This is trivial if Ω_i is an orbit of a periodic point. So we assume that Ω_i is infinite. Let $p \in \Omega_i \cap \operatorname{per} f$, and let

$$g|W^s(p) = f^k|W^s(p), \qquad g|W^u(p) = f^j|W^u(p).$$

Since Ω_i is topological transitive and periodic points are dense in Ω_i, p is not isolated in $\Omega_i \cap \operatorname{per} f$. Since the family of stable manifolds is smooth, then $W^s(p) \cap W^u(q) \neq \varnothing$, $W^u(p) \cap W^s(q) \neq \varnothing$ for sufficiently near $q \in \Omega_i \cap \operatorname{per} f$. Using the λ-lemma, we can conclude that $W^s(p) \cap W^u(p) - \operatorname{per} f \neq \varnothing$, and this implies that $k = j$. Suppose that $p_1, p_2 \in \Omega_i \cap \operatorname{per} f$, and let

$$g|W^s(p_1) = f^k|W^s(p_1), \qquad g|W^s(p_2) = f^j|W^s(p_2).$$

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Since $W^s(p_1)$ is dense in Ω_i [7, p. 783], then $W^s(p_1) \cap W^u(p_2) \neq \varnothing$. This implies that $k = j$. Hence there is an integer $k(i)$ such that $g|W^s(p) = f^{k(i)}|W^s(p)$ for any $p \in \Omega_i \cap \operatorname{per} f$.

Since the continuity of the family of the stable manifolds on Ω_i implies that

$$\mathrm{Cl}\Big(\bigcup W^s(p), p \in \operatorname{per} f \cap \Omega_i \Big) \supset \bigcup W^s(x), \qquad x \in \Omega_i,$$

and since $W^s(\Omega_i) = \bigcup W^s(x)$, $x \in \Omega_i$ [3], then

$$g\big|\mathrm{Cl}(W^s(\Omega_i)) = f^{k(i)}\big|\mathrm{Cl}(W^s(\Omega_i)).$$

Since $M = \bigcup W^s(\Omega_i)$, connectedness of M implies that $k(1) = \cdots = k(m)$, hence g is trivial, proving the Theorem 2.

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