

ANALYTICITY OF THE SRB MEASURE  
FOR HOLOMORPHIC FAMILIES  
OF QUADRATIC-LIKE COLLET-ECKMANN MAPS

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ABSTRACT. We show that if  $f_t$  is a holomorphic family of quadratic-like maps with all periodic orbits repelling so that for each real  $t$  the map  $f_t$  is a real Collet-Eckmann  $S$ -unimodal map, then, writing  $\mu_t$  for the unique absolutely continuous invariant probability measure of  $f_t$ , the map

$$t \mapsto \int \psi d\mu_t$$

is real analytic for any real analytic function  $\psi$ .

1. INTRODUCTION AND STATEMENT OF THE THEOREM

If  $t \mapsto f_t$  is a smooth one-parameter family of dynamics  $f_t$  so that  $f_0$  admits a unique SRB measure  $\mu_0$ , it is natural to ask whether the map  $t \mapsto \mu_t$ , where  $t$  ranges over a set  $\Lambda$  of parameters such that  $f_t$  has (at least) one SRB measure  $\mu_t$ , is differentiable at 0. Differentiability should be understood in the sense of Whitney if  $\Lambda$  does not contain a neighbourhood of 0, as suggested by Ruelle [16]. Katok, Knieper, Pollicott, and Weiss [7] gave a positive answer to this differentiability question in the setting of  $C^3$  families of transitive Anosov flows, showing that  $t \mapsto \int \psi d\mu_t$  is differentiable, for all smooth  $\psi$ . If  $f_0$  is a  $C^3$  mixing Axiom A attractor and the family  $t \mapsto f_t$  is  $C^3$ , Ruelle [15] not only proved that  $t \mapsto \int \psi d\mu_t$  is differentiable, but also gave an explicit formula, the *linear response formula*, for the derivative. Of course, in the Anosov and Axiom A cases,  $\Lambda$  is a neighbourhood of 0.

Ruelle [16] suggested that this linear response formula, appropriately interpreted, should hold in much greater generality. Indeed, Dolgopyat [6] obtained the linear response formula for a class of partially hyperbolic diffeomorphisms. In a previous work [3, 4], we found that in the setting of piecewise expanding unimodal interval maps, the SRB measure is differentiable if and only if the path  $f_t$  is tangent to the

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topological class of  $f_0$ , that is, if and only if  $\partial_t f_t|_{t=0}$  is horizontal. We emphasize that this setting is not structurally stable. When differentiability holds, Ruelle's candidate for the derivative, as interpreted in [2], gives the linear response formula. (We refer to [2, 3, 4], which also contain conjectures about smooth, not necessarily analytic, Collet–Eckmann maps, for more information and additional references.) Then, Ruelle [17] proved the linear response formula for a class of nonrecurrent analytic unimodal interval maps  $f_t$ , assuming that all  $f_t$  stay in the topological class of  $f_0$ . (Recall that  $f_t$  is nonrecurrent if  $\inf_k d(f_t^k(c), c) > 0$ , where  $c$  denotes the critical point.)

In the present work, we consider holomorphic families  $f_t$  of quadratic-like holomorphic Collet–Eckmann maps. By holomorphic, we mean complex analytic. Our assumptions imply, using classical holomorphic motions, that all  $f_t$  lie in the same conjugacy class. Generalising one of the arguments in [7], we are able to show that  $t \mapsto \int \psi d\mu_t$  is real analytic for any real analytic function  $\psi$ , our main result.

Let us now state our result more precisely. Let  $I = [-1, 1]$ . A  $C^3$  map  $f : I \rightarrow I$  is an  $S$ -unimodal map if it has  $c = 0$  as a unique critical point, and  $f$  has nonpositive Schwarzian derivative, that is,  $\frac{f'''}{f'} - \frac{3}{2}\left(\frac{f''}{f'}\right)^2 \leq 0$  except at  $c$ . An  $S$ -unimodal map is called Collet–Eckmann if there exist  $C > 0$  and  $\lambda_c > 1$  so that  $|(f^n)'(f(c))| \geq C\lambda_c^n$  for all  $n \geq 1$ . In this paper, we shall only consider  $S$ -unimodal maps with  $f'''(c) \neq 0$ .

In Section 2 we shall define precisely the notion of a holomorphic (complex analytic) family of *quadratic-like maps in a neighbourhood of  $I$*  and what *all periodic orbits repelling* means for such maps, and prove the main result of this work:

**Theorem 1.1.** *Let  $t \mapsto f_t$  be a holomorphic family of quadratic-like maps in a neighbourhood of  $I$ , with all periodic orbits repelling. Assume in addition that for each small real  $t$  the map  $f_t$  restricted to  $I$  is a (real) Collet–Eckmann  $S$ -unimodal map. Then there exists  $\epsilon > 0$  so that for each real analytic  $\psi : I \rightarrow \mathbb{C}$ , the map*

$$t \mapsto \int \psi \rho_t dx,$$

where  $\rho_t$  is the invariant density of  $f_t$ , is real analytic on  $(-\epsilon, \epsilon)$ .

The quadratic-like assumption implies that  $f_t''(c) < 0$ . The fact that periodic orbits are repelling implies that  $f_t$  is topologically conjugated with  $f_0$ : see our use of Mañé–Sad–Sullivan [10] in the beginning of the proof of the theorem in Section 2. Besides Mañé–Sad–Sullivan [10], the other main ingredients of our proof are the results and constructions of Keller and Nowicki [8], which allow us to exploit dynamical zeta functions, following the argument in the work of Katok–Knieper–Pollicott–Weiss [7, first proof of Theorem 1].

The extension from quadratic-like to polynomial-like is straightforward, and we stick to the nondegenerate case  $f''(c) \neq 0$  for the sake of simplicity of exposition. As the proof uses only real-analyticity of the holomorphic motions  $t \mapsto h_t$ , it is conceivable that the conclusion of the theorem holds if  $f_t$  is a real analytic family of quadratic-like maps, using ideas of [1], but this generalisation appears to be nontrivial.

Lyubich's work [9] implies that there are *many* nontrivial families  $f_t$  satisfying the assumptions of our theorem. Constructing *examples* of such families  $f_t$  is in fact easier, and we sketch the procedure next: Start from two topologically conjugated Collet–Eckmann quadratic-like maps  $f$  and  $g$  which are not differentially conjugated. By the result of Przytycki and Rohde [14], they are quasi-conformally

conjugated. Hence, using a Beltrami path, one can construct a complex analytic family  $f_t$  of Collet-Eckmann maps containing both  $f$  and  $g$ , with  $f_0 = f$ , say. If  $f$  and  $g$  are real and conjugated in the real line, one can ensure that  $f_t$  is real for real parameters  $t$ . If  $f$  has negative Schwarzian derivative, then  $f_t$  has negative Schwarzian derivative for  $t$  close to 0. See also [5] for a specific example and numerical experiments.

## 2. PROOF OF THE THEOREM

Before we prove the theorem, let us define precisely the objects we are studying:

**Definition 2.1.** We say that  $f_t$  is a *holomorphic family of quadratic-like maps in a neighbourhood of  $I$*  if there exists a complex neighbourhood  $U$  of  $I$  so that  $t \mapsto f_t$  is a holomorphic map from a complex neighbourhood of zero to the Banach space  $B(U)$  of holomorphic functions on  $U$  extending continuously to  $\overline{U}$ , with the supremum norm, such that:

- For real  $t$ , the map  $f_t$  is real on  $U \cap \mathbb{R}$ , with  $f_t(I) \subset I$  and  $f_t(-1) = f_t(1) = -1$ .
- There exist simply connected complex domains  $W$  and  $V$ , whose boundaries are analytic Jordan curves, with  $I \subset V$ ,  $\overline{V} \subset U$ ,  $\overline{V} \subset W$ , and so that  $f_0 : V \rightarrow W$  is a degree-two ramified covering, with  $c = 0$  as a unique critical point. That is,  $f_0 : V \rightarrow W$  is a quadratic-like restriction of  $f_0$ .

If  $f_t$  is a holomorphic family of quadratic-like maps in a neighbourhood of  $I$ , then it is easy to see that for small complex  $t$ , denoting by  $V_t$  the connected component of  $f_t^{-1}(W)$  containing 0, then  $f_t : V_t \rightarrow W$  is a quadratic-like restriction of  $f_t$ : indeed,  $\partial W$  is an analytic Jordan curve, and  $f_0$  has no critical point on  $\partial V$ . If  $f_t \in B(U)$  is close to  $f_0$ , there is a simply connected domain  $V_t$  close to  $V$  such that  $f_t(V_t) = W$ , and the boundary of  $\partial V_t$  is a Jordan curve, by the implicit function theorem. Then  $f_t : V_t \rightarrow W$  is a quadratic-like extension. We may then give another definition:

**Definition 2.2.** We say that  $f_t$  is a *holomorphic family of quadratic-like maps in a neighbourhood of  $I$  with all periodic orbits repelling* if  $f_t$  is a holomorphic family of quadratic-like maps in a neighbourhood of  $I$  so that, for each small complex  $t$ , the map  $f_t$  only has repelling periodic orbits in  $V_t$ .

*Proof.* Since we assumed that all periodic points of  $f_t$  are repelling, [10, Theorem B] implies that there exists a holomorphic motion of the Julia set  $K(f_0)$  of  $f_0$ , that is, a map  $h : D \times K(f_0) \rightarrow C$ , where  $D = \{z \in \mathbb{C} \mid |z| < \epsilon_0\}$  for some  $\epsilon_0 > 0$ , such that for each  $x \in K(f_0)$  the map  $t \mapsto h_t(x)$  is holomorphic, and for every  $t \in D$  the function  $x \mapsto h_t(x)$  is continuous and injective on  $K(f_0)$ , with

$$h_t \circ f_0 = f_t \circ h_t.$$

In particular,  $h_t$  is a homeomorphism from  $K(f_0)$  to  $K(f_t)$ . Note that [10, Theorem B] is quoted for polynomial maps, but the proof immediately extends to polynomial-like. Our assumptions imply that  $[f_0^2(0), f_0(0)] = K(f_0) \cap \mathbb{R}$  and  $h_t(K(f_0) \cap \mathbb{R}) = K(f_t) \cap \mathbb{R} = [f_t^2(0), f_t(0)]$ . From now on, we only use real analyticity of  $t \mapsto f_t(x)$  and  $t \mapsto h_t(x)$  for  $x \in [f^2(0), f(0)]$ .

We next claim that our assumptions guarantee that each  $f_t$  satisfies the technical requirement needed by Keller and Nowicki [8, (1.2)]. Denoting by  $\text{var}_J \phi$  the total variation of a function  $\phi$  on an interval  $J$ , and writing  $f = f_t$ , we need to check that there is a constant  $M > 0$  such that:

- a.  $M^{-1} < \sup_I \frac{|x-c|}{|f'(x)|} + \text{var}_I \frac{|x-c|}{|f'(x)|} < M,$
- b.  $\text{var}_{J_u} \frac{|f(x)-f(u)|}{|x-u||f'(x)|} < M,$  where  $J_u = [-1, u]$  if  $u < c$  and  $= [u, 1]$  if  $u > c.$

Let  $\delta_1 > 0$  be such that  $|f''(y)| > |f''(c)|/2$  if  $|y - c| < \delta_1.$  It suffices to prove (a.) and (b.) for  $|x - c| < \delta_1$  and  $|u - c| < \delta_1,$  and we restrict to such points. Noting that for every such  $x \neq c$  there exist  $y_x, z_x,$  and  $\tilde{z}_x,$  between  $x$  and  $c,$  so that

$$\frac{|x - c|}{|f'(x)|} = -\frac{x - c}{f'(x) - f'(c)} = -\frac{1}{f''(y_x)},$$

and, using  $f''(x) = f''(c) + f^{(3)}(z_x)(x - c)$  and  $f'(x) = f'(c) + f^{(3)}(\tilde{z}_x)\frac{(x - c)^2}{2},$

$$\partial_x \frac{|x - c|}{|f'(x)|} = \frac{-f'(x) + (x - c)f''(x)}{(f'(x))^2} = \frac{(x - c)^2}{(f'(x))^2} \left( f^{(3)}(z_x) - \frac{f^{(3)}(\tilde{z}_x)}{2} \right),$$

the first two conditions hold because  $f$  is  $C^3.$  For the third condition, consider  $x \geq u > c$  (the other case is symmetric). Since

$$\frac{f(x) - f(u)}{(x - u)f'(x)} = 1 + \frac{x - u}{f'(x)} \frac{f''(z_x)}{2} = 1 + \frac{x - u}{f'(x)} \frac{f''(z_x)}{2f''(y_x)},$$

and  $0 < -\frac{x-u}{f'(x)} < -\frac{x-c}{f'(x)},$  we get that  $|\frac{f(x)-f(u)}{(x-u)f'(x)}|$  is bounded on  $[u, 1],$  uniformly in  $u.$  Finally, since

$$\partial_x \frac{x - u}{f'(x)} = \frac{f'(x) - (x - u)f''(x)}{(f'(x))^2},$$

analyticity of  $f$  implies that  $\partial_x \frac{x-u}{f'(x)}$  changes signs finitely many times, uniformly in  $u,$  proving (b.).

Also, the results of Nowicki–Sands [13] and Nowicki–Przytycki [12] ensure (see Appendix A) that there exist  $\lambda_c > 1, \lambda_{per} > 1, \lambda_\eta > 1,$  and  $\epsilon_1 > 0$  such that, for each  $|t| < \epsilon_1,$  there is  $C_t > 0$  with

$$(1) \quad |(f_t^n)'(f_t(0))| \geq C_t \lambda_c^n, \forall n \geq 1,$$

and such that for each  $x \in I$  with  $f_t^p(x) = x$  for some  $p \geq 1,$  we have

$$(2) \quad |(f_t^p)'(x)| \geq C_t \lambda_{per}^p,$$

and, finally, setting

$$\lambda_\eta(t) := \liminf_{n \rightarrow \infty} \{ |\eta|^{-1/n} \mid \eta \subset I \text{ is the largest monotonicity interval of } f_t^n \},$$

we have

$$(3) \quad \inf_{|t| < \epsilon_1} \lambda_\eta(t) > \lambda_\eta.$$

In other words, the hyperbolicity constants are uniform in  $t,$  guaranteeing uniformity when applying the results of Keller and Nowicki [8]. (We choose  $\epsilon_1 < \epsilon_0.$ )

We now adapt the strategy used in the first proof of [7, Theorem 1]. Fix  $\psi$  and, for  $x \in I$  such that  $f_0^p(x) = x$  for  $p \geq 1,$  and for small reals  $s$  and  $t,$  consider

$$(4) \quad g_{s,t}(x) = \frac{e^{s\psi(h_t(x))}}{|f_t'(h_t(x))|}.$$

Since  $\psi$  is real analytic, the analyticity of  $t \mapsto h_t$  and of  $t \mapsto f_t$  together with (2) imply that there is an  $\epsilon_2 > 0$  so that, for every periodic point  $x \in I$  of period  $p \geq 1$

for  $f$ , the function

$$(t, s) \mapsto g_{s,t}^{(p)}(x) := \frac{e^{s \sum_{k=0}^{p-1} \psi(h_t(f^k(x)))}}{|(f_t^p)'(h_t(x))|}$$

is real analytic in  $|s| < \epsilon_2$  and  $|t| < \epsilon_2$ , uniformly in  $x$ . We take  $\epsilon_2 < \epsilon_1$ .

Therefore, the dynamical zeta function defined by

$$(5) \quad \zeta(s, t, z) := \exp \sum_{p=1}^{\infty} \frac{z^p}{p} \sum_{x \in I: f_0^p(x)=x} g_{s,t}^{(p)}(x)$$

has the following property: There exists  $\delta_2 > 0$  so that for each  $|z| < \delta_2$  the function  $\zeta(s, t, z)$  is real analytic in  $|t| < \epsilon_2$ ,  $|s| < \epsilon_2$ , and so that for each  $(s, t)$  with  $|t| < \epsilon_2$ ,  $|s| < \epsilon_2$  the map  $\zeta(s, t, z)$  is holomorphic and nonvanishing in  $|z| < \delta_2$ .

Now,  $h_t \circ f_0 = f_t \circ h_t$  immediately implies

$$(6) \quad \zeta(s, t, z) = \exp \sum_{p=1}^{\infty} \frac{z^p}{p} \sum_{y \in I: f_t^p(y)=y} \frac{e^{s \sum_{k=0}^{p-1} \psi(f_t^k(y))}}{|(f_t^p)'(y)|}.$$

Before we proceed, we warn the reader that our parameter  $s$  is called  $t$  in [8], the parameter  $\beta$  in [8] is  $\beta = 1$ , and our parameter  $t$  corresponds to changing the dynamics.

Recall (1, 2, 3) and take  $\Theta \in (0, 1)$  with

$$\Theta^{-1} < \min\{\lambda_\eta, \sqrt{\min(\lambda_c, \lambda_{per})}\}.$$

Keller and Nowicki [8, Theorem 2.1] prove that if  $\epsilon_3 \in (0, \epsilon_2)$  is small enough, then for  $|s| < \epsilon_3$  and  $|t| < \epsilon_3$ , the transfer operator

$$\mathcal{L}_{s,t}\varphi(x) = \sum_{\hat{f}_t(y)=x} \frac{\omega_t(y)}{\omega_t(x)} \frac{\exp(s\psi(y))}{|\hat{f}'_t(y)|} \varphi(y),$$

acting on functions of bounded variation on a suitable Hofbauer tower extension  $\hat{f}_t : \hat{I} \rightarrow \hat{I}$  of  $f_t$  [8, Section 3], endowed with an appropriate [8, §6.2] cocycle  $\omega_t$ , is a bounded operator. Note that the cocycle embodies the singularities along the postcritical orbit of  $f_t$ .

If  $s = 0$ , then the spectral radius  $\lambda_{0,t}$  of  $\mathcal{L}_{s,t}$  is equal to 1, it is a simple eigenvalue, whose eigenvector gives the invariant density  $\rho_t$  of  $f_t$ , and the rest of the spectrum is contained in a disc of strictly smaller radius. In addition, the essential spectral radius  $\theta_{s,t}$  of  $\mathcal{L}_{s,t}$  satisfies  $\sup_{|t| < \epsilon_3, |s| < \epsilon_3} \theta_{s,t} < \Theta$ , and for each  $|t| < \epsilon_3$ , the spectral radius  $\lambda_{s,t} > \Theta$  of  $\mathcal{L}_{s,t}$  is an analytic function [8, Prop. 4.2] of  $s$ .

Note that  $\lambda_{s,t}$  is the exponential of the topological pressure of  $s\psi - \log |f'_t|$  for  $f_t$  and that  $\rho_t dx$  is the equilibrium state for  $f_t$  and  $-\log |f'_t|$ . Now, perturbation theory gives (see [8, (5.2)])

$$(7) \quad \partial_s \log \lambda_{s,t}|_{s=0} = \int \psi \rho_t dx.$$

Keller and Nowicki also show [8, Theorem 2.2] that for  $|t| < \epsilon_3$  and  $|s| < \epsilon_3$ , the power series  $\zeta(s, t, z)$  defined by (6) extends meromorphically to the disc of radius  $\Theta^{-1}$ , and its poles  $z_k$  in this disc are in bijection with the eigenvalues  $\lambda_k$  of  $\mathcal{L}_{s,t}$ , via  $\lambda_k = z_k^{-1}$ . In addition, the order of the pole coincides with the algebraic multiplicity of the eigenvalue. By [8, Prop. 4.3 and Lemma 4.5]  $\zeta(s, t, z)$  does not

vanish in the disc of radius  $\Theta^{-1}$ . It follows that  $z \mapsto \zeta(s, t, z)^{-1}$  is holomorphic in the disc of radius  $\Theta^{-1}$ . This disc contains  $\lambda_{s,t}^{-1}$ , which is a simple zero.

To end the proof, recalling (7), it suffices to see that  $(s, t) \mapsto \lambda_{s,t}$  is real analytic, but this easily follows from Shiffman's [18] real analytic Hartogs' theorem (see Appendix B or [7, Theorem, p. 589]) applied to  $d(s, t, z) = \zeta(s, t, z)^{-1}$ , which implies that for each  $(s, t) \in (-\epsilon_3, \epsilon_3) \times (-\epsilon_3, \epsilon_3)$  the map  $z \mapsto d(s, t, z)$  is holomorphic in  $|z| < \Theta^{-1}$ . Indeed, by the implicit function theorem, the simple zeroes of  $d(s, t, \cdot)$  depend real analytically on  $s$  and  $t$ .

We used the same  $\epsilon_i$  discs for the  $s$  and  $t$  variables, but a more careful analysis shows that  $\epsilon$  in the statement of the theorem may be selected independently of  $\psi$ .  $\square$

#### APPENDIX A. UNIFORMITY OF THE HYPERBOLICITY CONSTANTS

Duncan Sands' explanations were instrumental in writing this appendix, and we thank him for that.

We start with a preliminary observation: Let  $g$  be an  $S$ -unimodal Collet–Eckmann map (with  $g''(0) < 0$ , say). Denote by  $\lambda_c(g)$ ,  $\lambda_{per}(g)$ , and  $\lambda_\eta(g)$  the constants defined by (1, 2, 3) (replacing  $f_t$  by  $g$ ). Nowicki and Sands [13] proved that if  $g$  is an  $S$ -unimodal map and  $\lambda_{per}(g) > 1$ , then  $\lambda_c(g) > 1$ . A careful study of their proof shows that  $\lambda_c(g) > \lambda_{per}(g)^\alpha$ , where the exponent  $\alpha > 0$  only depends on the maximum length  $N(g)$  of “almost-parabolic funnels” of  $g$  (see [13, Lemma 6.6] for a definition of  $N(g)$ , which can be bounded by a function of  $1/\log(\lambda_{per}(g))$  and  $\sup|g'|$ ). Since  $N(g)$  is in fact invariant under topological conjugacy and  $f_t$  is topologically conjugated to  $f_0$ , we conclude that  $\lambda_c(f_t) > \lambda_{per}(f_t)^\alpha$ , with  $\alpha > 0$  uniform in small  $t$ .

Next, recall that Nowicki and Przytycki [12] proved that if  $g$  and  $\tilde{g}$  are  $S$ -unimodal maps, with  $g''(c) \neq 0$  and  $\tilde{g}''(c) \neq 0$ , say, conjugated by a homeomorphism of the interval and  $g$  is Collet–Eckmann, then  $\tilde{g}$  is Collet–Eckmann. Take  $g = f_0$  and  $\tilde{g} = f_t$ . In particular,  $f_t$  is  $C^2$  close to  $f_0$  and  $t \mapsto h_t$  is smooth. Then it is not very difficult to see that the constants  $M = M(f_t) > 0$ ,  $P_4 = P_4(f_t) > 0$ , and  $\delta_4 = \delta_4(f_t) > 0$  from the topological characterisation (“finite criticality”) of Collet–Eckmann in [12, (4), p. 35]) are uniform in small  $t$ .

Recall that our assumptions imply  $f_t''(c) \neq 0$  for all small  $t$ , so that the constant denoted  $l_c$  in [12] is  $l_c = 2$ . Section 2 of [12], and in particular the use of the Koebe principle there, implies that there exists a (universal) function  $q : \mathbb{R}_*^+ \times (0, 1) \rightarrow (0, 1)$  with  $q(M, 1/4) < 1/2$  for any  $M$  (see [12, Lemma 2.2]) so that  $\lambda_{per}(f_t) > (1 - 2q(M(f_t), 1/4))^{-1}$ . Therefore,  $\lambda_{per}(f_t) > 1$  is uniformly bounded away from 1 for small  $t$ . The preliminary observation then implies that  $\lambda_c(f_t)$  is also uniformly bounded in  $t$ . By [11, Proposition 3.2] (see also [12, p. 35]), this implies a uniform lower bound for  $\lambda_\eta(f_t)$ . Indeed, in the notation of [11, §3], we have  $\lambda_\eta = \lambda_5 = \lambda_4 \geq \lambda_3 = \lambda_1 \geq \sqrt{\lambda_c}$ .

#### APPENDIX B. SHIFFMAN'S REAL ANALYTIC HARTOGS' EXTENSION THEOREM

**Theorem B.1** ([18]). *Let  $\delta > 0$  and  $0 < r < R$ . Assume that*

$$d : (-\delta, \delta)^2 \times \{z \in \mathbb{C} \mid |z| < R\} \rightarrow \mathbb{C}$$

*satisfies the following conditions:*

- for each  $(s, t) \in (-\delta, \delta)^2$  the map  $z \mapsto d(s, t, z)$  is holomorphic in  $|z| < R$ ;

- for each  $|z| < r$  the map  $(s, t) \mapsto d(s, t, z)$  is real analytic in  $(-\delta, \delta)^2$ .

Then  $d(s, t, z)$  is real analytic on  $(-\delta, \delta)^2 \times \{|z| < R\}$ .

Note that the above theorem fails if real analyticity is replaced by  $C^k$  for  $k \leq \infty$ .

The theorem holds because  $|z| < r$  is not pluripolar in  $|z| < R$ . Shiffman's result is based on deep work of Siciak [19].

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