

## EFFECTIVITY OF DYNATOMIC CYCLES FOR MORPHISMS OF PROJECTIVE VARIETIES USING DEFORMATION THEORY

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ABSTRACT. Given an endomorphism of a projective variety, by intersecting the graph and the diagonal varieties we can determine the set of periodic points. In an effort to determine the periodic points of a given minimal period, we follow a construction similar to cyclotomic polynomials. The resulting zero-cycle is called a dynatomic cycle, and the points in its support are called formal periodic points. This article gives a proof of the effectivity of dynatomic cycles for morphisms of projective varieties using methods from deformation theory.

### 1. INTRODUCTION

Consider an analytic function  $\phi : \mathbb{C}^N \rightarrow \mathbb{C}^N$  given by

$$[z_1, \dots, z_N] \mapsto [\phi_1(z_1, \dots, z_N), \dots, \phi_N(z_1, \dots, z_N)].$$

We can iterate the function  $\phi$  to create a (discrete) dynamical system and denote the  $n^{\text{th}}$  iterate as  $\phi^n = \phi(\phi^{n-1})$ . The *periodic points* of  $\phi$  are the points  $P \in \mathbb{C}^N$  such that  $\phi^n(P) = P$  for some integer  $n$ . We call  $n$  the *period* of  $P$  and the least such  $n$  the *minimal period* of  $P$ . Denote the coordinate functions of the  $n^{\text{th}}$  iterate as  $\phi^n = [\phi_1^n, \dots, \phi_N^n]$ . The set of periodic points of period  $n$ , but not necessarily minimal period  $n$ , for  $\phi$  is the set of solutions to the system of equations

$$\phi_i^n(z_1, \dots, z_N) = z_i \quad \text{for } 1 \leq i \leq N.$$

To find the points of minimal period  $n$ , we could attempt to remove the points of period strictly less than  $n$  from this set. In the case of  $\phi(z) \in \mathbb{C}[z]$ , we can do this through division, as with cyclotomic polynomials. Consider the zeros of

$$(1) \quad \prod_{d|n} (\phi^d(z) - z)^{\mu\left(\frac{n}{d}\right)}$$

where  $\mu$  is the Möbius function defined as  $\mu(1) = 1$  and

$$\mu(n) = \begin{cases} (-1)^\omega, & n \text{ is square-free with } \omega \text{ distinct prime factors,} \\ 0, & n \text{ is not square-free.} \end{cases}$$

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Two fundamental questions come to mind. First, are the zeros of the resulting function exactly the set of periodic points of minimal period  $n$ ? Unfortunately, the answer is no. For example for  $\phi(z) = z^2 - \frac{3}{4}$  and  $n = 2$  we have

$$\frac{\phi^2(z) - z}{\phi(z) - z} = \left(z + \frac{1}{2}\right)^2$$

but that  $-\frac{1}{2}$  is a fixed point. However, it is true that all of the points of minimal period  $n$  are among the zeros, demonstrated for single variables polynomials in [8, Theorem 2.4] and for morphisms of projective varieties by the author in [5, Proposition 4.1]. Secondly, does the resulting function have poles as well as zeros? Fortunately, the answer is no, demonstrated in the single variable polynomial case in [8, Theorem 2.5], for automorphisms of curves and automorphisms of  $\mathbb{P}^N$  in [9], and for morphisms of projective varieties by the author in [5]. The purpose of this article is to give a new proof of the nonexistence of poles. The deformation argument used here leads to a simplified proof compared to [5] but lacks the detailed multiplicity information that allowed for the additional results presented there.

We now state the problem precisely. Let  $K$  be an algebraically closed field and  $X/K$  a projective variety of dimension  $b$ . Let  $\phi : X/K \rightarrow X/K$  be a morphism defined over  $K$ . We can iterate the morphism  $\phi$  and consider the resulting dynamical system. As we will require tools from both dynamical systems and algebraic geometry in which the word *cycle* has two different meanings, we adopt the terminology *periodic cycle* to be the points in the orbit of a periodic point and *algebraic zero-cycle* as a formal sum of points with integer multiplicities (only finitely many non-zero). If all of the multiplicities of an algebraic zero-cycle are nonnegative, we call it *effective*. For example, for  $\phi \in K[z]$ , if the algebraic zero-cycle of periodic points of period  $n$  is effective, then the function  $\phi^n(z) - z$  has no poles. To generalize construction (1) we follow [9] and consider the graph of  $\phi^n$  in the product variety  $X \times X$  defined as

$$\Gamma_n = \{(x, \phi^n(x)) : x \in X\}$$

and the diagonal in  $X \times X$  defined as

$$\Delta = \{(x, x) : x \in X\}.$$

Their intersection is precisely the periodic points of period  $n$ , and we can determine the multiplicity of points as the multiplicity of the intersection. Denote the intersection multiplicity of  $\Gamma_n$  and  $\Delta$  at a point  $(P, P) \in X \times X$  to be  $a_P(n)$  and, when the intersection is proper, the algebraic zero-cycle of periodic points of period  $n$  as

$$\Phi_n(\phi) = \sum_{P \in X} a_P(n)(P).$$

Following construction (1), define

$$a_P^*(n) = \sum_{d|n} \mu\left(\frac{n}{d}\right) a_P(d)$$

and

$$\Phi_n^*(\phi) = \sum_{d|n} \mu\left(\frac{n}{d}\right) \Phi_d(\phi) = \sum_{P \in X} a_P^*(n)(P),$$

where  $\mu$  is the Möbius function defined above.

**Definition 1.** We call  $\Phi_n^*(\phi)$  the  $n^{\text{th}}$  *dynatomic cycle*<sup>1</sup> and  $a_P^*(n)$  the *multiplicity* of  $P$  in  $\Phi_n^*(\phi)$ . If  $a_P^*(n) > 0$ , then we call  $P$  a periodic point of *formal period*  $n$ .

*Remark.* In the one variable polynomial case,  $\Phi_n^*$  is called a *dynatomic polynomial* and has been studied extensively such as in [7, 8, 11]. For a more complete background and additional references in this area, see [12].

**Definition 2.** For  $n \geq 1$ , we say that  $\phi^n$  is *nondegenerate* if  $\Delta$  and  $\Gamma_n$  intersect properly, in other words, if  $\Delta \cap \Gamma_n$  is a finite set of points.

*Remark.* If  $\phi^n$  is nondegenerate, then  $\phi^d$  is nondegenerate for all  $d \mid n$  since  $\Delta \cap \Gamma_d \subseteq \Delta \cap \Gamma_n$ . Conversely,  $\phi$  may be nondegenerate with  $\phi^n$  degenerate, such as when  $\phi$  is a nontrivial automorphism of a curve with finite order.

We prove the following theorem.

**Theorem 3.** *Let  $X \subset \mathbb{P}_K^N$  be a nonsingular, irreducible, projective variety defined over an algebraically closed field  $K$  and let  $\phi : X \rightarrow X$  be a morphism defined over  $K$ . Let  $P$  be a point in  $X(K)$ . For all  $n \geq 1$  such that  $\phi^n$  is nondegenerate,  $a_P^*(n) \geq 0$ .*

Recall that we have defined  $K$  to be an algebraically closed field,  $X/K$  a projective variety of dimension  $b$ , and  $\phi : X \rightarrow X$  a morphism defined over  $K$ . Let  $P \in X(K)$  and let  $R_P$  be the local ring of  $X \times X$  at  $(P, P)$ , and let  $I_\Delta, I_{\Gamma_n} \subset R_P$  be the ideals of the diagonal  $\Delta$  and the graph of  $\phi^n$   $\Gamma_n$ , respectively. We use Serre’s definition of intersection multiplicity [4, Appendix A],

$$a_P(n) = i(\Delta, \Gamma_n; P) = \sum_{i=0}^{b-1} (-1)^i \dim_K(\text{Tor}_i(R_P/I_\Delta, R_P/I_{\Gamma_n})).$$

In [5] we first showed that  $\text{Tor}_i(R_P/I_\Delta, R_P/I_{\Gamma_n}) = 0$  for  $i \geq 1$  and then performed a detailed analysis of  $\dim_K(\text{Tor}_0(R_P/I_\Delta, R_P/I_{\Gamma_n}))$  which is the codimension of the ideal

$$\dim_K(\text{Tor}_0(R_P/I_\Delta, R_P/I_{\Gamma_n})) \cong \dim_K(R_P/I_\Delta \otimes R_P/I_{\Gamma_n}) \cong \dim_K(R_P/(I_\Delta + I_{\Gamma_n})).$$

The analysis included a detailed description of the coefficients under iteration of a system of multivariate power series. In the present article, we instead deform a local representation of the map  $\phi$  at each point  $P \in \Delta \cap \Gamma_n$  and take the limit of the resulting algebraic zero-cycles. Since effectivity is a local property, we need not consider the existence of a global deformation and are able to take quite simple deformations locally. In the case  $X = \mathbb{P}^N$ , we could take a similarly simple global deformation since the deformed map will still be an endomorphism of the space. The example in Section 3 is such a case.

To keep this article self-contained, before examining  $\text{Tor}_0(R_P/I_\Delta, R_P/I_{\Gamma_n})$  we first repeat the proofs from [5] that  $\Phi_n^*(\phi)$  is an algebraic zero-cycle, that  $\text{Tor}_i(R_P/I_\Delta, R_P/I_{\Gamma_n}) = 0$  for  $i \geq 1$ , and that  $a_P(n) \geq a_P(1)$  for all  $n \in \mathbb{N}$ .

## 2. HIGHER tor-MODULES

Since  $\phi^n$  is nondegenerate,  $\Delta$  and  $\Gamma_n$  intersect properly. We also know  $X \times X$  has dimension  $2b$ ,  $\Delta$  has dimension  $b$ , and  $\Gamma_n$  has dimension  $b$ . Consequently,  $\Phi_n(\phi)$  is an algebraic zero-cycle. Thus,  $\Phi_n^*(\phi)$  is also an algebraic zero-cycle.

<sup>1</sup>This term is inspired by “cyclotomic”, much like “Tribonacci” was inspired by “Fibonacci”.

**Lemma 4** ([10, Corollary to Theorem V.B.4]). *Let  $(R, \mathfrak{m})$  be a regular local ring of dimension  $b$ , and let  $M$  and  $N$  be two nonzero finitely generated  $R$ -modules such that  $M \otimes N$  is of finite length. Then  $\mathrm{Tor}_i(M, N) = 0$  for all  $i > 0$  if and only if  $M$  and  $N$  are Cohen-Macaulay modules and  $\dim M + \dim N = b$ .*

**Theorem 5.** *Let  $X$  be a nonsingular, irreducible, projective variety defined over a field  $K$  and let  $\phi : X \rightarrow X$  be a morphism defined over  $K$  such that  $\phi^n$  is nondegenerate. Let  $P \in X(K)$ . Then  $\mathrm{Tor}_i(R_P/I_\Delta, R_P/I_{\Gamma_n}) = 0$  for all  $i > 0$ .*

*Proof.* Let  $b = \dim X$ . Then we have  $\dim X \times X = 2b$  and  $\dim \Delta = \dim \Gamma_n = b$ . The ideals  $I_\Delta$  and  $I_{\Gamma_n}$  are each generated by  $b$  elements and  $\Delta$  and  $\Gamma_n$  intersect properly. Therefore,

$$\dim_K(R_P/(I_\Delta + I_{\Gamma_n})) = \mathrm{length}(R_P/I_\Delta \otimes R_P/I_{\Gamma_n}) < \infty.$$

Thus, the union of the generators of  $I_\Delta$  and the generators of  $I_{\Gamma_n}$  are a system of parameters for  $R_P$  [10, Proposition III.B.6]. Consequently, since the local ring  $R_P$  is Cohen-Macaulay, we can conclude that  $R_P/I_\Delta$  is Cohen-Macaulay of dimension  $b$  [10, corollary to Theorem IV.B.2], and similarly with  $I_{\Gamma_n}$ , to conclude that  $R_P/I_{\Gamma_n}$  is Cohen-Macaulay of dimension  $b$ .

We have fulfilled the hypotheses of Lemma 4 and can conclude the result.  $\square$

Recall that we can compute the codimension of an ideal from its leading term ideal:

$$K[[X_1, \dots, X_b]]/I \cong_K \mathrm{Span}(X^v \mid X^v \notin LT(I)).$$

**Lemma 6.** *Assume  $\phi^n$  is nondegenerate. Then  $a_P(n) \geq a_P(1)$  for all  $n \in \mathbb{N}$ .*

*Proof.* If  $P$  is not a fixed point of  $\phi$ , then the statement is trivial, so assume that  $\phi(P) = P$ . It is clear that

$$\Delta \cap \Gamma_1 \subseteq \Delta \cap \Gamma_n$$

and we have a local representation of  $\phi = [\phi_1, \dots, \phi_b]$  at the fixed point  $P$ . Iterating this representation involves taking combinations of the  $\phi_i$ , and hence these combinations are all elements of the original ideal  $I_{\Gamma_1}$ . Hence, we have

$$I_{\Gamma_n} + I_\Delta \subseteq I_{\Gamma_1} + I_\Delta.$$

Therefore,

$$LT(I_{\Gamma_n} + I_\Delta) \subseteq LT(I_{\Gamma_1} + I_\Delta),$$

which implies  $a_P(n) \geq a_P(1)$ .  $\square$

### 3. PROOF OF THEOREM 3

The method is to deform the local intersection at  $P$  into a flat family of algebraic zero-cycles whose generic member is a transverse intersection. Then we take the limit of these algebraic zero-cycles to conclude the theorem. The main references are flat families [2, §6], families of algebraic cycles [3, §§10–11], and basic analytic geometry in several complex variables [1, §1.4].

Effectivity is a local property, so consider a point  $P \in X(K)$ . In what follows, we work over the completion  $\widehat{R}_P \cong K[[x_1, \dots, x_b, y_1, \dots, y_b]] = K[[\mathbf{x}, \mathbf{y}]]$  so that we may consider our problem over a local power series ring. Locally at  $P$  we may write  $\phi(\mathbf{x})$  as a system of power series denoted  $[\phi_1(\mathbf{x}), \dots, \phi_b(\mathbf{x})]$ . We wish to deform an algebraic zero-cycle, so we consider  $Z_{n,P}$  to be the algebraic zero-cycle obtained by intersecting the local equations for the diagonal  $(x_1 - y_1, \dots, x_b - y_b)$  and the

graph  $(y_1 - \phi_1^n(\mathbf{x}), \dots, y_b - \phi_b^n(\mathbf{x}))$  as analytic varieties. We have now reduced the problem to a multiplicity question on an analytic variety  $Z_{n,P}$  and we can deform in this situation without concern for the global structure on  $X$ . We deform  $Z_{n,P}$  by considering the iterates of

$$\phi(\mathbf{x}, t) = [\phi_1(\mathbf{x}) + t, \dots, \phi_b(\mathbf{x}) + t]$$

for a parameter  $t \in \mathbb{A}_K^1$  and their graphs denoted  $\Gamma_n(t)$ . Note that  $\phi^n(\mathbf{x}, 0) = \phi^n(\mathbf{x})$ . We denote the deformed family as  $Z_{n,P}(t)$ . Notice that we are deforming and then iterating so that  $Z_{n,P}(t)$  is associated to  $(\phi(\mathbf{x}, t))^n$ . It is important that  $P$  be a fixed point so that a local representation of  $\phi^n$  at  $P$  is given by the iterate of the local representation of  $\phi$  at  $P$ . Before beginning the proof, we illustrate the method with the one-dimensional polynomial example mentioned in the introduction.

**Example.** Consider  $\phi(x) = x^2 - 3/4$ . The fixed points are determined as

$$\phi(x) - x = (x + 1/2)(x - 3/2) = 0$$

and are both of multiplicity one:  $a_{-1/2}(1) = a_{3/2}(1) = 1$ . After deforming, the fixed points as functions of  $t$  are determined as

$$\phi(x, t) - x = x^2 - x - 3/4 + t = 0$$

with two distinct multiplicity one solutions, unless  $t = 1$ :

$$P_1(t) = \frac{1}{2}(1 + 2\sqrt{1-t}) \quad \text{and} \quad P_2(t) = \frac{1}{2}(1 - 2\sqrt{1-t}).$$

The 2-periodic points are determined as

$$(2) \quad \phi^2(x) - x = (x + 1/2)^3(x - 3/2) = 0.$$

The solutions are not distinct and they are both fixed points. In particular,  $a_{-1/2}(2) = 3$  and  $a_{3/2}(2) = 1$ . This causes  $a_{-1/2}^*(2) = 2$  even though  $-1/2$  is a fixed point. It is this higher multiplicity counting that makes the statement of effectivity interesting and the complication that this deformation argument seeks to circumvent. After deforming, the 2-periodic points are determined as

$$\phi^2(x, t) - x = x^4 + (2t - 3/2)x^2 - x + (t^2 - 1/2t - 3/16) = 0$$

with four distinct multiplicity one solutions, unless  $t = 1$  or  $t = 0$ :

$$\begin{aligned} P_1(t) &= \frac{1}{2}(1 + 2\sqrt{1-t}), & P_2(t) &= \frac{1}{2}(1 - 2\sqrt{1-t}), \\ P_3(t) &= -\frac{1}{2}(1 - 2\sqrt{-t}), & P_4(t) &= -\frac{1}{2}(1 + 2\sqrt{-t}). \end{aligned}$$

There are two main facts to notice about these four points. First, as  $t \rightarrow 0$ , the points correspond in multiplicity to the undeformed system (2):

$$P_1(0) = \frac{3}{2}, \quad P_2(0) = P_3(0) = P_4(0) = -\frac{1}{2}.$$

Secondly,  $P_1(t)$  and  $P_2(t)$  are fixed points, while  $P_3(t)$  and  $P_4(t)$  are periodic points with minimal period 2 and all four occur with multiplicity one. Examining the dynatomic multiplicities we have

$$\begin{aligned} a_{P_1(t)}^*(2) &= a_{P_2(t)}^*(2) = 0, \\ a_{P_3(t)}^*(2) &= a_{P_4(t)}^*(2) = 1 \end{aligned}$$

for a total of

$$a_{-1/2}^*(2) = a_{P_2(t)}^*(2) + a_{P_3(t)}^*(2) + a_{P_4(t)}^*(2) = 2$$

as computed directly above.

We start by showing that  $Z_{n,P}(t)$  is a flat family using the following local criteria for flatness.

**Lemma 7** ([2, Corollary 6.9]). *Suppose that  $(R, \mathfrak{m})$  is a local Noetherian ring. Let  $x \in R$  be a nonzero divisor on  $R$  and let  $M$  be a finitely generated  $R$ -module. If  $x$  is a nonzero divisor on  $M$ , then  $M$  is flat over  $R$  if and only if  $M/xM$  is flat over  $R/(x)$ .*

**Proposition 8.** *Let  $n \in \mathbb{N}$  be such that  $\phi^n$  is nondegenerate and let  $P \in X(K)$ . The family  $Z_{n,P}(t)$  is flat over  $K[[t]]$ .*

*Proof.* Recall that  $Z_{n,P} = a_P(n)(P)$  with  $a_P(n) = \dim_K \widehat{R}_P / (I_{\Gamma_n} + I_\Delta)$ . Thus, to show flatness for  $Z_{n,P}(t)$ , we need to show flatness for  $\widehat{R}_P[[t]] / (I_{\Gamma_n(t)} + I_\Delta)$ .

We apply Lemma 7 with  $M = \widehat{R}_P[[t]] / (I_{\Gamma_n(t)} + I_\Delta)$ ,  $R = K[[t]]$ , and  $x = t$ .

We see that  $M/tM \cong \widehat{R}_P / (I_{\Gamma_n} + I_\Delta)$  from our choice of deformation and  $K[[t]]/(t) \cong K$ . Thus,  $M/tM$  is a flat  $K$ -module since it is a finite dimensional  $K$ -vector space by the nondegeneracy of  $\phi^n$ . Now, we just need to show that  $t$  is not a zero divisor on  $M$ .

Assume that  $t$  is a zero divisor. Then there exists an  $m \in M$  with  $m \neq 0$  such that  $tm = 0$ . In particular there exist  $a_i \in K[[t]]$  such that

$$tm = \sum_{i=1}^{2b} a_i m_i,$$

where the  $m_i$  are the generators of  $(I_{\Gamma_n(t)} + I_\Delta)$ . Specializing to  $t = 0$ , we must have

$$\left( \sum_{i=1}^{2b} a_i m_i \right)_{t=0} = 0,$$

with  $(m_i)_{t=0} \neq 0$  for all  $i$ . Assume that  $(a_i)_{t=0} = 0$  for all  $i$ . Then we have

$$\sum_{i=1}^{2b} \frac{a_i}{t} m_i = m$$

with  $\frac{a_i}{t} \in K[[t]]$ . This contradicts  $m \notin (I_{\Gamma_n(t)} + I_\Delta)$ . So we have at least one  $(a_i)_{t=0} \neq 0$  and, hence, there is a relation among the  $(m_i)_{t=0}$ , which contradicts the assumption that  $\phi^n$  is nondegenerate.  $\square$

Recall that  $P$  is a (possibly high multiplicity) solution to the set of equations  $\phi_i(\mathbf{x}) = x_i$ . We have perturbed this system to obtain the set of equations  $\phi_i(\mathbf{x}, t) = x_i$  for  $i = 1, \dots, b$ . We will use the Weierstrass Preparation Theorem to obtain distinct solutions  $P_j(t)$  as power series in  $t$  for some set of  $j = 1, \dots, a_P(n)$ .

*Proof of Theorem 3.* We fix  $n$  and consider each point  $P \in X(K)$ . If  $P$  is not periodic of period  $n$ , then we have  $a_d(P) = 0$  for all  $d \mid n$  and hence  $a_P^*(n) = 0$ . So we may assume that  $P$  is periodic of some minimal period  $m \mid n$ . Replacing  $P$  with  $\phi^m(P)$ ,  $\phi$  with  $\phi^m$ , and  $n$  with  $n/m$ , we may assume that  $P$  is a fixed point of

$\phi$ . Working locally, we consider the family of algebraic zero-cycles  $Z_{n,P}(t)$  defined above. By Proposition 8 this is a flat family and, thus, by [6] we have that

$$\lim_{t \rightarrow 0} Z_{n,P}(t) = Z_{n,P}(0) = Z_{n,P}.$$

In particular, if the  $P_j(t)$  are the points in the support of  $Z_{n,P}(t)$  which go to  $P$  as  $t \rightarrow 0$ , then if we write the algebraic zero-cycle as

$$Z_{n,P}(t) = \sum_j a_{P_j(t)}(n)(P_j(t)),$$

we have that

$$a_P(n) = \sum_j a_{P_j(t)}(n) \quad \text{and} \quad a_P^*(n) = \sum_j a_{P_j(t)}^*(n).$$

Note that each  $P_j(t)$  is periodic with minimal period dividing  $n$  and there are finitely many such  $P_j(t)$ ; in fact by flatness, there are  $a_P(n)$  of them counted with multiplicity. From standard results in the theory of analytic varieties in several complex variables concerning the Weierstrass Preparation Theorem and multiple roots of Weierstrass polynomials [1, §1.4], we know that the set of  $t$  values for which there is a solution  $P_j(t)$  with multiplicity greater than one is a thin set. In particular, generically there are  $a_P(n)$  distinct  $P_j(t)$  which satisfy  $P_j(0) = P$ . Finally,  $a_P(d) \leq a_P(n)$  for  $1 \leq d \leq n$  by Lemma 6. Thus, by avoiding a thin set of  $t$ , for each  $d \mid n$  each  $P_j(t)$  occurs with multiplicity 1 in  $Z_{d,P}(t)$  if it has minimal period dividing  $d$  and multiplicity 0 otherwise. Using properties of the Möbius function, we compute for  $P_j(t)$  with minimal period  $m < n$

$$a_{P_j(t)}^*(n) = \sum_{d \mid n} \mu\left(\frac{n}{d}\right) a_{P_j(t)}(d) = \sum_{d \mid \frac{n}{m}} \mu\left(\frac{n}{dm}\right) a_{P_j(t)}(d) = \sum_{d \mid \frac{n}{m}} \mu\left(\frac{n}{dm}\right) = 0.$$

For  $P_j(t)$  with minimal period  $n$  we compute

$$a_{P_j(t)}^*(n) = \sum_{d \mid n} \mu\left(\frac{n}{d}\right) a_{P_j(t)}(d) = a_{P_j(t)}(n) = 1.$$

Thus, any  $P_j(t)$  with minimal period strictly less than  $n$  must contribute 0 to  $a_P^*(n)$  and any  $P_j(t)$  with minimal period  $n$  must contribute positively. In particular,  $a_P^*(n) \geq 0$ . □

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