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DYNAMICAL GREEN FUNCTIONS AND DISCRETE SCHRÖDINGER OPERATORS WITH POTENTIALS GENERATED BY PRIMITIVE INVERTIBLE SUBSTITUTION

ARNAUD GIRAND

ABSTRACT. In this paper, we set up a "dictionary" between discrete Schrödinger operators and the holomorphic dynamics on certain affine cubic surfaces, building on previous work by Cantat, Damanik and Gorodetski.

CONTENTS

1.	Set-up and Main Results	1
2.	Dynamical Green Functions	9
3.	From Holomorphic Dynamics to Schrödinger Operators	14
4.	Acknowledgements	17
	References	17

1. SET-UP AND MAIN RESULTS

The goal of this paper is to add on previous work by Cantat [6], Damanik and Gorodetski [14, 15] (see also [9, 28] for instance) to establish a correspondence between the study of certain discrete Schrödinger operators and the holomorphic dynamics of automorphisms on certain affine cubic surfaces.

1.1. Discrete Schrödinger Operators.

1.1.1. *Left shift dynamics.* Consider the free group on two generators $\mathbf{F}_2 := \langle a, b \mid \emptyset \rangle$ and let $\varphi \in \text{Aut}(\mathbf{F}_2)$ be a positive automorphism, *i.e.* such that the images $\varphi(a)$ and $\varphi(b)$ are words in a and b — and thus do not involve the inverse a^{-1} and b^{-1} .

Using the action of $\text{Aut}(\mathbf{F}_2)$ on the abelianized group $\text{Ab}(\mathbf{F}_2) = \mathbb{Z}^2$, one can associate a matrix $M_\varphi \in GL_2(\mathbb{Z})$ to φ . Assume M_φ to be hyperbolic, *i.e.*:

- either $\det(M_\varphi) = 1$ and $\text{Tr}(M_\varphi) > 2$;
- or $\det(M_\varphi) = -1$ and $\text{Tr}(M_\varphi) \neq 0$.

By replacing φ with $\varphi^2 := \varphi \circ \varphi$, which is still positive, we can restrict ourselves to the first case; this means that the spectrum of M_φ is of the form $\{\lambda, \lambda^{-1}\}$ where λ denotes a quadratic integer greater than one.

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Let Ω be the set of finite words on the generators a and b , endowed with the topology pertaining to the following distance:

$$d : (u, v) \mapsto \frac{1}{\inf\{|n| \mid u_n \neq v_n\} + 1}.$$

The initial automorphism φ extends to a substitution ι over the letters a and b which has a unique "positively infinite" invariant word $u_+ \in \{a, b\}^{\mathbb{N}}$.

Example 1.1. Let ζ be the Fibonacci substitution, given by $a \mapsto ab$ and $b \mapsto a$; its associated matrix M_ζ is given by:

$$M_\zeta := \begin{pmatrix} 1 & 1 \\ 1 & 0 \end{pmatrix} \in GL_2(\mathbb{Z})$$

and it fixes the infinite word beginning with $abaababaabaababaababaabaabaabaab\dots$

Now consider the left shift on $\{a, b\}^{\mathbb{Z}}$:

$$\begin{aligned} T : \{a, b\}^{\mathbb{Z}} &\rightarrow \{a, b\}^{\mathbb{Z}} \\ u &\mapsto (u_{n+1})_{n \in \mathbb{Z}} \end{aligned}$$

and let W be the set of all adherent values for the sequence $(T^p u_+)_{p \geq 0}$ — in other words, it is the ω -limit set W of the T -orbit of u_+ . It is well known (see for instance [12]) that there exists a unique T -invariant probability measure ν on the topological set W and that the left shift T is ergodic with respect to ν — see [23, p.58] for an outlook on uniquely ergodic maps.

1.1.2. *Discrete Schrödinger operators.* Given any word $w \in W$, one can define the following potential function:

$$\begin{aligned} v_w : \mathbb{Z} &\rightarrow \{0, 1\} \\ n &\mapsto \begin{cases} 1 & \text{if } w_n = a \\ 0 & \text{else} \end{cases}. \end{aligned}$$

Consider for any fixed $\kappa \in \mathbb{R}$ and $w \in W$ the following operator, defined on the space $\ell^2(\mathbb{Z})$ of complex-valued square-summable sequences:

$$\begin{aligned} H_{\kappa, w} : \ell^2(\mathbb{Z}) &\rightarrow \ell^2(\mathbb{Z}) \\ \xi &\mapsto (\xi_{n+1} + \xi_{n-1} + \kappa v_w(n) \xi_n)_{n \in \mathbb{Z}}. \end{aligned}$$

Remark that this operator is self-adjoint and $\|H_{\kappa, w}\| \leq 2 + |\kappa|$; therefore its spectrum $\Sigma_{\kappa, w}$ is a subset of the real interval $[-2 - |\kappa|, 2 + |\kappa|]$.

Since $H_{\kappa, w}$ is uniquely ergodic, we can apply the following result due to Kotani and Pastur [25].

Theorem 1.2 (Kotani – Pastur).

There exists a compact set $\Sigma_\kappa \subset [-2 - |\kappa|, 2 + |\kappa|]$ such that $\Sigma_{\kappa, w} = \Sigma_\kappa$ for all $w \in W$.

We call the set Σ_κ the **almost-sure spectrum** of the operator $H_{\kappa, w}$ with respect to the measure ν .

Remark 1.3. If $H_{\kappa, w}$ was ergodic — non-uniquely —, one would have $\Sigma_{\kappa, w} = \Sigma_\kappa$ for ν -almost every $w \in W$, hence the colloquial name of "almost-sure spectrum".

1.1.3. *Density of states.* Let $H_{\kappa,w}^N$ be the restricted operator $H_{\kappa,w}$ to the set $\mathbb{C}^{\{-N,\dots,N\}}$ with Dirichlet boundary conditions, meaning we only consider sequences $(\xi)_n$ with $-N \leq n \leq N$ such that:

- $\xi_n = 0$ for $n \leq -N - 1$;
- $\xi_n = 0$ for $n \geq N + 1$.

This gives a self-adjoint endomorphism of \mathbb{C}^{2N+1} ; as such it has real eigenvalues $\lambda_0^N, \dots, \lambda_{2N}^N$. Define the following probability measure:

$$\mu_N^\kappa := \frac{1}{2N+1} \sum_{j=0}^{2N} \delta_{\lambda_j^N}.$$

Theorem 1.4 (Avron – Simon [1]).

- (i) For ν -almost every $w \in W$ the sequence $(\mu_N^\kappa)_N$ weakly converges to a probability measure dk_κ on \mathbb{C} , called *density of states*;
- (ii) for any continuous function $g : \mathbb{C} \rightarrow \mathbb{C}$:

$$\int_{\mathbb{C}} g(E) dk_\kappa(E) = \int_{w \in W} \langle g(H_{\kappa,w}) \cdot \delta_0 \mid \delta_0 \rangle d\nu(w);$$

- (iii) $\text{supp}(dk_\kappa) = \Sigma_\kappa$.

Remark 1.5. It is standard to then define the **integrated density of states** as the repartition function of the probability measure dk_κ :

$$k_\kappa : (E \in \mathbb{R}) \mapsto \int_{-\infty}^E dk_\kappa.$$

1.1.4. *Lyapunov exponent.* A hypothetical eigenvalue–eigenvector pair (E, ξ) for $H_{\kappa,w}$ should satisfy the equation:

$$(1.1) \quad \forall n \in \mathbb{Z}, \quad \xi_{n+1} + \xi_{n-1} + \kappa v_w(n) \xi_n = E \xi_n,$$

that is:

$$(1.2) \quad \forall n \in \mathbb{Z}, \quad \begin{pmatrix} \xi_{n+1} \\ \xi_n \end{pmatrix} = M_{n,\kappa,w}^E \begin{pmatrix} \xi_n \\ \xi_{n-1} \end{pmatrix}$$

where:

$$M_{n,\kappa,w}^E := \begin{pmatrix} E - \kappa v_w(n) & -1 \\ 1 & 0 \end{pmatrix} \in SL_2(\mathbb{C}),$$

i.e. $M_{n,\kappa,w}^E$ is equal to one of the two matrices:

$$M_\kappa^E(a) := \begin{pmatrix} E - \kappa & -1 \\ 1 & 0 \end{pmatrix}, \quad M_\kappa^E(b) := \begin{pmatrix} E & -1 \\ 1 & 0 \end{pmatrix}.$$

Consider the **Lyapunov exponent**:

$$\gamma_\kappa(E) := \limsup_{N \rightarrow \infty} \frac{1}{N} \int_W \log \left\| \prod_{n=0}^N M_{n,\kappa,w}^E \right\| d\nu(w).$$

By Osseledet's Theorem, this quantity is well defined and:

$$\limsup_{N \rightarrow \infty} \log \left\| \prod_{n=0}^N M_{n,\kappa,w}^E \right\|$$

is ν -almost surely constant equal to $\gamma_\kappa(E)$.

Theorem 1.6 (see [12] and [8]).

The Lyapunov exponent is a non-negative function such that :

$$(i) \quad \gamma_\kappa(E) = \int_{\Sigma_\kappa} \log |E - E'| dk_\kappa(E');$$

$$(ii) \quad dd^c \gamma_\kappa = 2\pi dk_\kappa;$$

$$(iii) \quad \text{the almost-sure spectrum satisfies } \Sigma_\kappa = \{\gamma_\kappa = 0\}.$$

Proof. The first item is the Thouless formula — see [8, p.340] — and thus, since $dd^c \log |z - z_0| = 2\pi \delta_{z_0}$, one obtains property (ii). The third result is a theorem due to Ishii, Kotani and Pastur — see [12] for an overview.

□

1.1.5. *Green function for the almost-sure spectrum.* First, recall the following definition. Let U be an open set in \mathbb{C} such that its complement $\mathbb{C} \setminus U$ is a compact set. A function $g_U : U \rightarrow (0, \infty)$ is a **Green function** for the domain U — alternatively, for the compact $\mathbb{C} \setminus U$ — if:

- (G1) g_U is harmonic;
- (G2) the following limit exists:

$$\lim_{z \rightarrow \infty} (g_U(z) - \log |z|);$$

- (G3) for all $\xi \in \partial U$, one has:

$$\lim_{z \rightarrow \xi} g_U(z) = 0.$$

Remark 1.7.

- (1) If U is such an open subset of \mathbb{C} then its Green function, if it exists, is unique — see [22, p.182]. Moreover, one can replace (G2) with $g_U(z) - \log |z| = O(1)$ at infinity.
- (2) If U as a Green function, there exists a positive real number C such that

$$g_U(z) = \log |z| - \log(C) + o(1) \text{ as } z \text{ goes to infinity.}$$

C is called the **capacity** of the compact set $\mathbb{C} \setminus U$. For more details on set capacities, see [26, p.132].

- (3) The measure $dd^c g_U$ is called the **equilibrium measure** of the compact set $\mathbb{C} \setminus U$.

Consider the open set $U := \mathbb{C} \setminus \Sigma_\kappa$; it satisfies $\partial U = \Sigma_\kappa$. We then have the following result, which is well known to experts — see for example [15, p.979], remark (g).

Proposition 1.8.

- (i) The Lyapunov exponent γ_κ is the Green's function for the domain U .
- (ii) The density of states is the equilibrium measure of Σ_κ .
- (iii) The capacity $\text{Cap}(\Sigma_\kappa)$ of the almost-sure spectrum is one.

Proof. The Thouless formula shows that $\gamma_\kappa : U \rightarrow (0, \infty)$ satisfies condition (G1); moreover, for $E \in \mathbb{C}$:

$$\begin{aligned} \gamma_\kappa(E) - \log |E| &= \int_{\Sigma_\kappa} \log |E - E'| dk_\kappa(E') - \log |E| \\ &= \int_{\Sigma_\kappa} \log \left| 1 - \frac{E'}{E} \right| dk_\kappa(E') \\ &\xrightarrow{E \rightarrow \infty} 0, \end{aligned}$$

where the final line follows from the preceding because the function $\log |1 - E'/E|$ converges uniformly towards zero on the compact support Σ_κ of dk_κ . Therefore condition (G2) holds. Finally, one checks (G3) using Theorem 1.6. Thus (i) and (ii) hold, using 1.3 and since $\gamma_\kappa(E) - \log |E| \xrightarrow{E \rightarrow \infty} 0$, one immediately gets (iii). \square

1.2. Holomorphic Dynamics.

1.2.1. *Character variety of the free group on two generators.* Let us fix a generating set $\{a, b\}$ of the free group \mathbf{F}_2 and consider the algebraic quotient $\chi(\mathbf{F}_2)$ of:

$$\text{Rep}(\mathbf{F}_2) := \text{Hom}(\mathbf{F}_2, SL_2(\mathbb{C})) \cong SL_2(\mathbb{C}) \times SL_2(\mathbb{C})$$

under $SL_2(\mathbb{C})$ -conjugacy. The variety $\chi(\mathbf{F}_2)$ is isomorphic to \mathbb{C}^3 with the following projection map:

$$\begin{aligned} \chi : \text{Rep}(\mathbf{F}_2) &\mapsto \mathbb{C}^3 \\ \rho &\mapsto (x, y, z) = (\text{Tr}(\rho(a)), \text{Tr}(\rho(b)), \text{Tr}(\rho(ab))). \end{aligned}$$

Moreover, if one enforces the condition $\text{Tr}([\rho(a), \rho(b)]) = D - 2 \in \mathbb{C}$ one obtains an affine cubic surface \mathcal{S}_D , the equation of which is (see [6, 7] for details):

$$x^2 + y^2 + z^2 = xyz + D.$$

Let φ be an element of $\text{Aut}(\mathbf{F}_2)$; then the following defines an automorphism of the surface \mathcal{S}_D :

$$f : \chi(\rho) \mapsto \chi(\rho \circ \varphi^{-1}).$$

Since the group $\text{Aut}(\mathbf{F}_2)$ acts on $\text{Ab}(\mathbf{F}_2) = \mathbb{Z}^2$ one can set

$$M_f = \begin{pmatrix} p & q \\ r & s \end{pmatrix} \in GL_2(\mathbb{Z})$$

to be the matrix corresponding to φ^{-1} and if $A := \rho(a)$, $B := \rho(b)$ for some $\rho \in \text{Rep}(\mathbb{T}_1^2)$ then:

$$(1.4) \quad f(\chi(\rho)) = ((\text{Tr}(A^p B^q), \text{Tr}(A^r B^s), \text{Tr}(A^p B^q A^r B^s))).$$

This gives us an action of $GL_2(\mathbb{Z})$ on \mathcal{S}_D whose kernel contains $\pm I_2$; therefore $PGL_2(\mathbb{Z})$ acts on the surface \mathcal{S}_D .

Using (1.4) and Fricke–Klein’s formulas, one sees that f is a polynomial automorphism of \mathcal{S}_D ; in the following, we will denote by \mathcal{B} be the subgroup of $\text{Aut}(\mathcal{S}_D)$ formed by such mappings f . We will say that an automorphism $f \in \mathcal{B}$ is hyperbolic if one of the next two conditions holds:

- either $\det(M_f) = 1$ and $\text{Tr}(M_f) > 2$;
- or $\det(M_f) = -1$ and $\text{Tr}(M_f) \neq 0$.

Example 1.9. For the Fibonacci substitution ζ , consider the automorphism f associated with ζ . Then:

$$M_f = M_{\zeta^{-1}} = \begin{pmatrix} 0 & 1 \\ 1 & -1 \end{pmatrix}.$$

Since $\det(M_f) = -1$ and $\text{Tr}(M_f) = -1 \neq 0$ the morphism f is in fact hyperbolic. It is given by:

$$f(x, y, z) = (y, xy - z, x).$$

Denote by $\overline{\mathcal{S}_D}$ the compactified surface:

$$w(x^2 + y^2 + z^2) = xyz + w^3 D,$$

where $[x : y : z : w]$ are homogeneous coordinates on the projective space \mathbb{P}^3 . Its intersection with the plane at infinity $\{w = 0\}$ is equal to the "triangle at infinity" $\Delta = \{xyz = 0\}$. Thus $\text{Aut}(\mathcal{S}_D)$ embeds into the birational transformations of $\overline{\mathcal{S}_D}$. The dynamics at infinity of the hyperbolic elements in \mathcal{B} is quite rich, as we will see throughout this paper; first, we have the following result.

Proposition 1.10 (see [6, 7, 18]).

Let $f \in \mathcal{B}$ be a hyperbolic automorphism. Then f extends to a birational transformation of $\overline{\mathcal{S}_D}$ and:

- (i) f has a unique indeterminacy point v_- which is either $[1 : 0 : 0 : 0]$, $[0 : 1 : 0 : 0]$ or $[0 : 0 : 1 : 0]$;
- (ii) the mapping f contracts $\Delta \setminus \{v_-\}$ onto the indeterminacy point v_+ of f^{-1} ;
- (iii) up to conjugacy by an element of \mathcal{B} , one can assume v_+ to be distinct from v_- .

Remark 1.11. Èl'Huti [18] gave a detailed description of the automorphism group $\text{Aut}(\mathcal{S}_D)$; in particular, he proved that \mathcal{B} has finite index in $\text{Aut}(\mathcal{S}_D)$.

1.2.2. *Main theorem on dynamical Green functions.* Fix a hyperbolic automorphism $f \in \mathcal{B}$ for which $v_+ \neq v_-$ and denote by λ the spectral radius of M_f . We now try to understand the escape rate at infinity in the unbounded orbits under f . First, a theorem by Dloussky [17] combined with work by Cantat [6] — see also [19] — yields the following result, which will be essential to our study of the dynamics of f at infinity.

Proposition 1.12 ([6]).

There exists a matrix $N_f \in GL_2(\mathbb{Z})$ with non-negative entries which is conjugate to M_f in $PGL_2(\mathbb{Z})$, an open neighbourhood U of v_+ in $\overline{\mathcal{S}_D}$ and a biholomorphism $\psi_f^+ : \mathbb{D} \times \mathbb{D} \rightarrow U$ such that:

- (i) $\psi_f^+(0, 0) = v_+$;
- (ii) for all $(u, v) \in \mathbb{D}^* \times \mathbb{D}^*$ one has:

$$\psi_f^+((u, v)^{N_f}) = f(\psi_f^+(u, v)),$$

where $(u, v)^{N_f}$ denotes the monomial action of N_f on the pair (u, v) , i.e if

$$N_f = \begin{pmatrix} p & q \\ r & s \end{pmatrix}$$

then $(u, v)^{N_f} = (u^p v^q, u^r v^s)$.

As a consequence, if $m \in \mathcal{S}_D$ has unbounded forward orbit under f , then $f^n(m)$ goes to v_+ at infinity.

Before stating our main result regarding dynamical Green functions, let us set a few conventions:

- define the **filled Julia set** $K^+(f)$ as follows:

$$K^+(f) := \{m \in \mathcal{S}_D \mid \exists M > 0, \forall n \geq 0, \|f^n(m)\| \leq M\},$$

where $\|\cdot\|$ denotes the standard euclidean norm on \mathbb{C}^3 ;

- set $\alpha, \beta \in \mathbb{R}_+$ to be the coordinates of the projection of the vector $\begin{pmatrix} 1 \\ 1 \end{pmatrix}$ on the eigenline for N_f associated with the maximal eigenvalue of M_f — and so of N_f —.

Theorem A (Dynamical Green function).

Let $f \in \mathcal{B}$ be a hyperbolic element and let $m \in \mathcal{S}_D$. Then the following quantity is well defined:

$$G_f^+ : m \mapsto \lim_{n \rightarrow \infty} \frac{1}{\lambda^n} \log^+ \|f^n(m)\|,$$

and:

- (i) the function G_f^+ is pluriharmonic (resp. plurisubharmonic) on the complement of the filled Julia set $K^+(f)$ in \mathcal{S}_D (resp. on \mathcal{S}_D) and takes non-negative values;
- (ii) the zero set of G_f^+ is $K^+(f)$;
- (iii) the following relation holds:

$$(1.5) \quad G_f^+ \circ f = \lambda G_f^+;$$

- (iv) if $m = \psi_f^+(u, v) \in \psi_f^+(\mathbb{D}^* \times \mathbb{D}^*)$, then:

$$(1.6) \quad G_f^+(m) = -\alpha \log |u| - \beta \log |v|$$

- (v) the function G_f^+ is locally Hölder-continuous.

Example 1.13. In the Fibonacci case, M_f is conjugate to

$$N_f = \begin{pmatrix} 1 & 1 \\ 1 & 0 \end{pmatrix} \text{ in } PGL_2(\mathbb{Z}).$$

The eigenvalues of M_f — and so of N_f — are

$$\phi := \frac{1 + \sqrt{5}}{2} \quad \text{and} \quad \bar{\phi} := \frac{1 - \sqrt{5}}{2}.$$

and the corresponding eigenlines for N_f are spanned by $\begin{pmatrix} \phi \\ 1 \end{pmatrix}$ and $\begin{pmatrix} \bar{\phi} \\ 1 \end{pmatrix}$. Thus, since:

$$\begin{pmatrix} 1 \\ 1 \end{pmatrix} = \frac{1 - \bar{\phi}}{\sqrt{5}} \begin{pmatrix} \phi \\ 1 \end{pmatrix} + \frac{\phi - 1}{\sqrt{5}} \begin{pmatrix} \bar{\phi} \\ 1 \end{pmatrix},$$

one has $\alpha = \frac{1 - \bar{\phi}}{\sqrt{5}} \phi = \frac{\phi - 1}{\sqrt{5}}$ and $\beta = \frac{\phi - 1}{\sqrt{5}}$. Moreover, we have in this case $v_+ = [0 : 1 : 0 : 0]$.

1.3. Applications to Discrete Schrödinger Operators.

1.3.1. *Schrödinger curve.* Consider the following cubic surface in \mathbb{C}^3 , for some fixed $\kappa \in \mathbb{R}$:

$$(\mathcal{S}_{4+\kappa^2}) \quad x^2 + y^2 + z^2 = xyz + 4 + \kappa^2 \quad ;$$

this is a connected smooth — *if* $\kappa \neq 0$ — affine surface, containing what we call its Schrödinger curve:

$$\begin{aligned} s : \mathbb{C} &\rightarrow \mathcal{S}_{4+\kappa^2} \\ E &\mapsto (E - \kappa, E, E(E - \kappa) - 2). \end{aligned}$$

Remark 1.14. The function s is in fact the trace map associated with the matrices $M_{n,\kappa,w}^E$. Namely, one has $s(E) = (\text{Tr}(M_\kappa^E(a)), \text{Tr}(M_\kappa^E(b)), \text{tr}(M_\kappa^E(b)M_\kappa^E(a)))$.

Starting from our automorphism $\varphi \in \text{Aut}(\mathbf{F}_2)$ (cf. 1.1.1) with associated substitution ι , we obtain a polynomial automorphism f of $\mathcal{S}_{4+\kappa^2}$ associated with φ^{-1} (cf. 1.2.1); one can then explicitly compute it using the formula $f(\chi(\rho)) = \chi(\rho \circ \varphi)$ and so its restriction to the Schrödinger curve is:

$$\forall E \in \mathbb{C}, \quad f(s(E)) = (\text{Tr}(M_\kappa^E(\iota(a))), \text{Tr}(M_\kappa^E(\iota(b))), \text{Tr}(M_\kappa^E(\iota(ab)))) ,$$

where, if $u = (u_1, \dots, u_n) \in \{a, b\}^n$, then:

$$M_\kappa^E(u) := \prod_{i=0}^{n-1} M_\kappa^E(u_{n-i}).$$

Since φ is hyperbolic, f is a hyperbolic automorphism of $\mathcal{S}_{4+\kappa^2}$. We then have the following result [11] — see also some earlier work by Sütő [28, 29].

Proposition 1.15 (Damanik [11]).

If f is the polynomial automorphism of $\mathcal{S}_{4+\kappa^2}$ associated with a positive hyperbolic substitution ι on two letters, then the almost-sure spectrum Σ_κ satisfies:

$$\Sigma_\kappa = s^{-1}(K^+(f)).$$

1.3.2. *"Dictionary" Between Holomorphic Dynamics and Schrödinger Operators.*

We now move on to our second result. Since the subgroup \mathcal{B} has finite index in $\text{Aut}(\mathcal{S}_{4+\kappa^2})$ (cf. remark 1.11) and f has infinite order we can suppose, up to replacing it with some iterate f^{n_0} that $f \in \mathcal{B}$; thus, we will be able to exploit theorem A to obtain the following result.

Theorem B.

Let ι be a positive hyperbolic substitution over the letters a and b and let $f \in \mathcal{B}$ be the associated automorphism of $\mathcal{S}_{4+\kappa^2}$. Then for $E \in \mathbb{C}$:

$$\gamma_\kappa(E) = \frac{1}{\alpha + \beta} G_f^+(s(E)),$$

where $\alpha, \beta \in \mathbb{R}_+^*$ are the same as in Theorem A.

Remark 1.16. Proposition 1.15 was mostly a qualitative one, concerning the boundedness of the orbit alone. Here, using our Theorem A, we get tools to estimate the escape rate at infinity thus obtaining a more quantitative result.

This, combined with previous work by Cantat, Damanik and Gorodetski, allows us to work out the following "dictionary".

Discrete Schrödinger operators	Holomorphic dynamics on $\mathcal{S}_{4+\kappa^2}$
Almost-sure spectrum Σ_κ	Julia set $K^+(f)$
Lyapunov exponent γ_κ	Dynamical Green's function G_f^+
Density of states dk_κ	Green's current T_f^+
Thouless formula	$T_f^+ = dd^c G_f^+$
γ_κ and k_κ Hölder-continuous near Σ_κ	G_f^+ locally Hölder-continuous
Avron & Simon Theorem 1.4	Convergence to T_f^+

More precisely, one goes from the right-hand side of this table to the left by taking pull-backs with the Schrödinger curve $s: \mathbb{C} \rightarrow \mathcal{S}_{4+\kappa^2}$; for instance, the first line is Damanik's Proposition 1.15, and the second is our Theorem B. Similarly, the Hölder continuity of γ_κ corresponds to the Hölder continuity of G_f^+ —obtained in Theorem A; we shall see in Section 3.2.1 that it implies directly Hölder continuity of the integrated density of states. The last line of this table is less precise: this is explained in paragraph 3.2.3.

2. DYNAMICAL GREEN FUNCTIONS

2.1. Preliminary Computations.

2.1.1. *Geometry of \mathcal{S}_D at infinity.* In order to measure the escape rate at infinity of a point with unbounded orbit, we will now study the behaviour of $\log \|m\|$ when $m = (x, y, z) \in \mathcal{S}_D$ goes to v_+ , where $\|\cdot\|$ denotes the euclidean norm on \mathbb{C}^3 . For the sake of clarity, suppose — our problem being symmetric with respect to x, y and z — that v_+ is the point $[0 : 0 : 1 : 0]$; in a neighbourhood of v_+ , \mathcal{S}_D can be seen, using the chart $\{z \neq 0\}$, as the surface:

$$(2.1) \quad (X^2 + Y^2 + 1)W = XY + DW^3,$$

where $X := x/z$, $Y := y/z$ and $W := w/z$. Equivalently, this can be written as follows:

$$(2.2) \quad W = XY + DW^3 + W^2(AX + BY + C) + W(X^2 + Y^2).$$

Using these new coordinates (X, Y, W) , v_+ corresponds to the point at origin $(0, 0, 0)$ and one has:

$$\begin{aligned} \log \|m\| &= \frac{1}{2} \log \left(\left| \frac{X}{W} \right|^2 + \left| \frac{Y}{W} \right|^2 + \frac{1}{|W|^2} \right) \\ &= -\frac{1}{2} \log(|W|^2) + \frac{1}{2} \log(|X|^2 + |Y|^2 + 1) \\ &= -\frac{1}{2} \log(|XY + DW^3 + W^2(AX + BY + C) + W(X^2 + Y^2)|^2) \\ &\quad + \frac{1}{2} \log(|X|^2 + |Y|^2 + 1). \end{aligned}$$

Using Taylor's approximation one gets:

$$\log \|m\| = -\log(|XY|) + g(X, Y, W),$$

where g is bounded in a neighbourhood of $(0, 0, 0)$. Now, for m close enough to v_+ one can apply the biholomorphism ψ_f^+ to get $(u, v) := \psi_f^{+^{-1}}(m)$ and use the following lemma.

Lemma 2.1.

There exists a germ of bounded function h such that for all $(u, v) \in \mathbb{D}^* \times \mathbb{D}^*$:

$$\log \|\psi_f^+(u, v)\| = -\log |uv| + h(u, v).$$

Proof. Using Taylor's theorem at the origin one gets:

$$\psi_f^+(u, v) = v_+ + L(u, v) + R(u, v),$$

where L is the linear part of ψ_f^+ at the origin and R is a smooth bounded function on $\mathbb{D} \times \mathbb{D}$ such that $R(u, v) = O(\|(u, v)\|^2)$. Since ψ_f^+ is a conjugacy between the dynamics of f and N_f and since f (resp. N_f) only contracts the axes $\{X = 0\}$ and $\{Y = 0\}$ (resp. $\{u = 0\}$ and $\{v = 0\}$) on the origin then $L = d\psi_f^+(0, 0)$ must be of the form

$$\begin{pmatrix} r_1 & 0 \\ 0 & r_2 \end{pmatrix} \text{ or } \begin{pmatrix} 0 & r_1 \\ r_2 & 0 \end{pmatrix}.$$

Therefore, there exists a bounded function h on $\mathbb{D} \times \mathbb{D}$ such that:

$$(2.3) \quad \log \|\psi_f^+(u, v)\| = -\log(|uv|) + h(u, v),$$

□

2.1.2. *Estimate at infinity.* Since M_f is hyperbolic, one can assume — replacing M_f with $M_{f^2} = M_f^2$ — that it has eigenvalues λ and λ^{-1} , with λ a real number greater than one. Now consider the following quantity, for $n \geq 0$ and m with unbounded forward orbit, chosen sufficiently close to v_+ — i.e in $\psi_f^{+^{-1}}(\mathbb{D} \times \mathbb{D})$:

$$\frac{1}{\lambda^n} \log \|f^n(m)\|.$$

Let $(u_n, v_n) := (u, v)^{N_f^n}$; using the previous lemma one gets:

$$\frac{1}{\lambda^n} \log \|f^n(m)\| = -\frac{1}{\lambda^n} \log(|u_n v_n|) + \frac{1}{\lambda^n} h(u_n, v_n).$$

Since $\frac{1}{\lambda^n} h(u_n, v_n) \xrightarrow{n \rightarrow \infty} 0$, we want to understand the behaviour at infinity of the following quantity:

$$-\frac{1}{\lambda^n} \log(|u_n v_n|).$$

Lemma 2.2.

The following estimate holds, as n goes to infinity:

$$(2.4) \quad \frac{1}{\lambda^n} \log |u_n v_n| \xrightarrow{n \rightarrow \infty} (\alpha \log |u| + \beta \log |v|),$$

where $\alpha, \beta \in \mathbb{R}_+^*$ are the coordinates of the projection of the vector $\begin{pmatrix} 1 \\ 1 \end{pmatrix}$ on the eigenline for N_f associated with λ .

Proof. Since $(u, v) \in \mathbb{D}^* \times \mathbb{D}^*$ one can set $(e^s, e^t) := (u, v)$ with:

$$s, t \in \{z \in \mathbb{C} \mid \Re(z) < 0, \Im(z) \in (-\pi, \pi]\}.$$

Then it is just a matter of describing the behaviour of $|uv| = |e^{s+t}| = e^{\Re(s+t)}$ under N_f , which acts linearly on the coordinates (s, t) . A computation thus yields:

$$\frac{1}{\lambda^n} \log |u_n v_n| \xrightarrow{n \rightarrow \infty} (\alpha \Re(s) + \beta \Re(t)) = (\alpha \log |u| + \beta \log |v|).$$

□

Using lemmas 2.1 and 2.2, one gets the following estimate:

$$(2.5) \quad \frac{1}{\lambda^n} \log \|f^n(m)\| \xrightarrow{n \rightarrow \infty} -(\alpha \log |u| + \beta \log |v|).$$

Note that this only holds for m sufficiently near v_+ , *i.e.* for (u, v) in $\mathbb{D}^* \times \mathbb{D}^*$.

2.2. Proof of Theorem A. First remark that if $m \in K^+(f)$ then it is clear that $G_f^+(m)$ is well defined and equal to 0.

Now consider $m \notin K^+(f)$; up to replacing m with some $f^{n_0}(m)$, one can assume that m is sufficiently near v_+ so that one can set $(u, v) := \psi_f^{+1}(m)$ and $(u_n, v_n) := (u, v)^{N_f^n}$. Since $f^n(m) \xrightarrow{n \rightarrow \infty} v_+$, for n large enough $\log^+ \|f^n(m)\| = \log \|f^n(m)\|$. Applying the estimate (2.5) then yields, using the same notations as before:

$$\frac{1}{\lambda^n} \log \|f^n(m)\| \xrightarrow{n \rightarrow \infty} -(\alpha \log |u| + \beta \log |v|)$$

We have thus proved that G_f^+ is well defined and that (ii) and (iv) hold. Moreover, the estimate (2.5) implies that:

$$(2.6) \quad \forall (u, v) \in \mathbb{D}^* \times \mathbb{D}^*, \quad G_f^+ \circ \psi_f^+(u, v) = -\alpha \log |u| - \beta \log |v|.$$

(i) Let H be a compact set in \mathcal{S}_D , $m \in H$ and $n, p \geq 0$. If $m \in K^+(f)$ then we clearly have uniform boundedness. Else, $f^n(m) \xrightarrow{n \rightarrow \infty} v_+$ and so for n large enough $m = \psi_f^+(u, v)$ with $(u, v) \in \mathbb{D}^* \times \mathbb{D}^*$ and $\|f^n(m)\| > 1$, *ergo* $\log^+ \|f^n(m)\| = \log \|f^n(m)\|$ and:

$$\left| \frac{1}{\lambda^{n+p}} \log^+ \|f^{n+p}(m)\| - \frac{1}{\lambda^n} \log^+ \|f^n(m)\| \right| = \frac{1}{\lambda^{n+p}} |\log \|f^{n+p}(m)\| - \lambda^p \log \|f^n(m)\||$$

Since we just proved that there exists a constant $C_m = (\alpha \log |u| + \beta \log |v|)$ depending only on the orbit of m such that $\log \|f^n(m)\| = C_m \lambda^n + \lambda^n \varepsilon_m(n)$, with $\varepsilon_m(n) \xrightarrow{n \rightarrow \infty} 0$ so:

$$\left| \frac{1}{\lambda^{n+p}} \log^+ \|f^{n+p}(m)\| - \frac{1}{\lambda^n} \log^+ \|f^n(m)\| \right| = \frac{1}{\lambda^{n+p}} |\varepsilon_m(n+p) - \varepsilon_m(n)|.$$

As $|\varepsilon_m(n)| \xrightarrow{n \rightarrow \infty} 0$, then for all positive η and $m \in H$, there exists $N_m \in \mathbb{N}$ such that:

$$\forall n \geq N_m, \quad |\varepsilon_m(n)| \leq |\varepsilon_m(N_m)| < \eta$$

hence:

$$\left| \frac{1}{\lambda^{n+p}} \log^+ \|f^{n+p}(m)\| - \frac{1}{\lambda^n} \log^+ \|f^n(m)\| \right| \leq 2|\varepsilon_m(N_m)|.$$

Since C_m and $\log \|f^n(m)\|$ are continuous with respect to m (cf. (iv)),

$$m \mapsto \varepsilon_m(N_m) = \lambda^{-N_m} (\log \|f^{N_m}(m)\| - C_m)$$

is continuous. Using the compactness of H , there exists $m_0 \in H$ such that:

$$\sup_{m \in H} \varepsilon_m(N_m) = \varepsilon_{m_0}(N_{m_0})$$

where:

$$0 \leq 2|\varepsilon_m(N_m)| \leq 2|\varepsilon_{m_0}(N_{m_0})| < 2\eta.$$

The sequence defining G_f^+ thus converges uniformly on all compact subsets in \mathcal{S}_D and so the limit function inherits the pluri(sub)harmonic properties of its terms. (iii) This stems from the fact that if $m \in \mathcal{S}$ then:

$$\frac{1}{\lambda^n} \log^+ \|f^n(f(m))\| = \frac{1}{\lambda^n} \log^+ \|f^{n+1}(m)\| = \lambda \left(\frac{1}{\lambda^{n+1}} \log^+ \|f^{n+1}(m)\| \right).$$

(v) Here we adapt work by Forneaess and Sibony [20]. Since G_f^+ is \mathcal{C}^1 outside any neighbourhood of $K^+(f)$ it is Hölder-continuous there. Now let $z_1 \in \mathcal{S}_D$ and $z_0 \in K^+(f)$ be such that:

$$d(z_1, K^+(f)) = \|z_1 - z_0\|.$$

If $z_1 \in K^+(f)$, there is nothing to show. Else, note that by definition of the filled Julia set there exists $R_0 > 0$ such that:

$$\forall n \in \mathbb{N}, \quad \|f^n(z_0)\| \leq R_0.$$

Let us consider a positive real number $R \geq R_0 + 1$ and set:

$$N := \min\{n \geq 0 \mid \|f^n(z_1)\| > R\} < \infty;$$

thus:

$$\begin{aligned} |\|f^N(z_1)\| - \|f^N(z_0)\|| &\leq \|f^N(z_1) - f^N(z_0)\| \\ &\leq \sup_{\|z\| \leq R} \|df(z)\| \|f^{N-1}(z_1) - f^{N-1}(z_0)\| \text{ car } \|f^{N-1}(z_1)\| \leq R \\ &\quad \vdots \\ &\leq \left(\sup_{\|z\| \leq R} \|df(z)\| \right)^N \|z_1 - z_0\| \\ &\leq \left(\sup_{\|z\| \leq R} \|df(z)\| \right)^N d(z_1, K^+(f)). \end{aligned}$$

Hence, if one sets:

$$H(R) := \sup_{\|z\| \leq R} \|df(z)\|$$

one gets:

$$\begin{aligned} 1 \leq R - R_0 &\leq |\|f^N(z_1)\| - \|f^N(z_0)\|| \\ &\leq H(R)^N d(z_1, K^+(f)) \end{aligned}$$

thus $H(R)^N d(z_1, K^+(f)) \geq 1$. Setting $\gamma := \frac{\log(\lambda)}{\log(H(R))}$ one has:

$$(2.7) \quad \frac{1}{\lambda^N} \leq d(z_1, K)^{\gamma}.$$

Using (iii) one gets:

$$\begin{aligned} G_f^+(z_1) &= \frac{1}{\lambda^N} G_f^+ \circ f^N(z_1) \\ &\leq \frac{1}{\lambda^N} \sup_{\|z\| \leq R} G_f^+ \circ f(z) \text{ car } \|f^{N-1}(z_1)\| \leq R \\ &\leq d(z_1, K^+(f))^{\gamma} \sup_{\|z\| \leq R} G_f^+ \circ f(z) \text{ par (2.7)}. \end{aligned}$$

Let:

$$C := \sup_{\|z\| \leq R} G_f^+ \circ f(z)$$

one then has, *in fine*:

$$(2.8) \quad G_f^+(z_1) \leq Cd(z_1, K^+(f))^\gamma$$

for any point $z_1 \in \mathcal{S}_D$. □

Remark 2.3. Using the notations of paragraph 2.1.2, we can estimate the local coordinates (X, Y) around v_+ as follows (up to a permutation of u and v in the linear part):

$$(X, Y) = (r_1 u, r_2 v) + R(u, v).$$

Therefore, we have, as m goes to v_+ :

$$(2.9) \quad G_f^+(m) = -\alpha \log |X| - \beta \log |Y| - \log |r_1^\alpha r_2^\beta| + o(1).$$

Remark 2.4. Replacing f with its inverse f^{-1} , one can define the negative dynamical Green function:

$$G_f^- := \lim_{n \rightarrow \infty} \frac{1}{\lambda^n} \log^+ \|f^{-n}(m)\|.$$

Our main result extends to this function.

2.3. Corollaries. We can now consider the closed positive current [6] associated with G_f^+ , namely:

$$T_f^+ := dd^c G_f^+ = 2i\partial\bar{\partial}G_f^+$$

which satisfies the following:

$$f^* T_f^+ = \lambda T_f^+$$

and has support in the Julia set $J^+(f) := \partial K^+(f)$.

Corollary A.1.

Let $f \in \mathcal{B}$ be a hyperbolic element and $m \in \mathcal{S}_D$. Then there exists a neighbourhood U of v_+ in $\overline{\mathcal{S}_D}$ such that:

$$dd^c G_f^+|_U = -2\pi \left(\alpha \int_{X=0} + \beta \int_{Y=0} \right),$$

where $\alpha, \beta \in \mathbb{R}_+^*$ and (v_+, X, Y) are the same as in Theorem A.

Proof. Let $U := \psi_f^{+^{-1}}(\mathbb{D}^* \times \mathbb{D}^*)$; then using (2.6) and (2.9) one gets:

$$dd^c G_f^+|_U = dd^c(-\alpha \log |u| - \beta \log |v|) = dd^c(-\alpha \log |X| - \beta \log |Y|).$$

The result then follows from the Lelong–Poincaré lemma. □

3. FROM HOLOMORPHIC DYNAMICS TO SCHRÖDINGER OPERATORS

3.1. Proof of Theorem B. Consider the function:

$$\begin{aligned} g : \mathbb{C} \setminus \Sigma_\kappa &\rightarrow (0, \infty) \\ E &\mapsto G_f^+(s(E)) \quad ; \end{aligned}$$

our aim is to show that it is — up to a multiplicative constant — the Green's function of the domain $U := \mathbb{C} \setminus \Sigma_\kappa$, thus proving the theorem. Since G_f^+ is psh, condition (G1) holds and (G3) is a direct consequence of Damanik's result (Proposition 1.15).

Using Fricke–Klein's formulas and relation (1.4), one shows using induction that f contracts the triangle at infinity Δ on the point $v_+ = [0 : 0 : 1 : 0]$. Using (2.9), one then gets

$$g(E) = \alpha \log |x| - \beta \log |y| - \log |C| + o(1) \text{ as } E \text{ goes to infinity,}$$

where $C \in \mathbb{C}$ and $s(E) = [x : y : 1 : 1]$. One also has:

$$s([E : t]) = [Et - t^2\kappa : Et : E^2 - Et\kappa - 2t^2 : t^2],$$

hence, using the chart $\{z \neq 0\}$:

$$\begin{aligned} s(E) &= s([E : 1]) \\ &= \left(\frac{E - \kappa}{E^2 - E\kappa - 2}, \frac{E}{E^2 - E\kappa - 2}, \frac{1}{E^2 - E\kappa - 2} \right) \\ &= \left(\frac{1}{E} \left(\frac{1 - \kappa/E}{1 - \kappa/E - 2/E^2} \right), \frac{1}{E} \left(\frac{1}{1 - \kappa/E - 2/E^2} \right), \frac{1}{E^2 - E\kappa - 2} \right) \end{aligned}$$

Thus the following limit exists:

$$\lim_{E \rightarrow \infty} g(E) - (\alpha + \beta) \log |E|.$$

□

Remark 3.1. Using Proposition 1.8, one has:

$$\lim_{E \rightarrow \infty} g(E) - (\alpha + \beta) \log |E| = -\log \text{Cap}(\Sigma_\kappa) = 0.$$

3.2. Consequences. Theorem B yields a few interesting corollaries, further detailing the entwining between certain dynamical invariants and discrete Schrödinger operators.

3.2.1. Hölder continuity — see also [10, 16].

Corollary B.2.

One has the following results:

- (i) $s^*(dd^c G_f^+) = 2\pi(\alpha + \beta)dk_\kappa$;
- (ii) the functions γ_κ and k_κ are Hölder-continuous near Σ_κ , with the same Hölder exponent τ ;
- (iii) the density of states does not charge sets with Hausdorff dimension less than τ . In particular, the Hausdorff dimension of the almost-sure spectrum is strictly positive.

Proof. The first assertion follows from (1.3). To prove property (ii), we reproduce an argument from [27]. Using Theorem A, G_f^+ is locally Hölder-continuous near $K^+(f)$; since $s(\mathbb{C}) \cap K^+(f) = \Sigma_\kappa$ is a compact set, that property is global near the almost-sure spectrum and so γ_κ is Hölder-continuous near Σ_κ . Denote by τ the exponent of Hölder continuity.

To show that k_κ is Hölder continuous, consider two real numbers $E_2 > E_1$. Let M be the middle point of the segment $[E_1, E_2]$ and $R = |E_2 - E_1|/2$ be the distance from M to E_1 . Denote by $D(r) \subset \mathbb{C}$ the disk of radius r centred at M . Let $\psi: \mathbb{C} \rightarrow \mathbb{R}_+$ be a smooth function which is equal to 1 on $D(R)$ and equal to 0 on $\mathbb{C} \setminus D(2R)$, and whose partial derivatives of order 1 and 2 are bounded from above by $100R^{-2}$ (such a function exists, see [21]). Then,

$$\begin{aligned} |k_\kappa(E_2) - k_\kappa(E_1)| &= \int_{[E_2, E_1]} dk_\kappa(E) \\ &\leq \int_{D(R)} dd^c(\gamma_\kappa - \gamma_\kappa(M)) \\ &\leq \int_{D(3R)} \psi \cdot dd^c(\gamma_\kappa - \gamma_\kappa(M)) \\ &\leq \int_{D(3R)} dd^c\psi \cdot (\gamma_\kappa - \gamma_\kappa(M)) \\ &\leq C^{st} R^\tau \text{Area}(D(3R)) R^{-2} \\ &\leq 9\pi C^{st} |E_2 - E_1|^\tau \end{aligned}$$

for some uniform constant C^{st} because γ_κ is Hölder continuous (with exponent τ) on a neighbourhood of Σ_κ .

The same proof shows that dk_κ does not charge any closed subset of \mathbb{C} whose Hausdorff dimension is less than τ (see [27]).

□

3.2.2. Hausdorff dimension of the density of states. Once we know that γ_κ is equal to $(\alpha + \beta)^{-1} G_f^+ \circ s$, we can generalize the first results of Damanik and Gorodetski concerning the Hausdorff dimension of the density of states — proved in [15] for the Fibonacci substitution. Doing this, we obtain an alternative (but almost equal) proof of some of the results of May Mei (see [24]).

Theorem 3.2 (Damanik, Gorodetski, Mei). *Let φ be a positive and hyperbolic automorphism of the free group \mathbf{F}_2 . Let $H_{\kappa, w}$ be the corresponding family of discrete Schrödinger operators. For small coupling factors $0 < \kappa < \kappa_0$, the density of states dk_κ is of exact dimension $\dim(\kappa)$, i.e. for dk_κ -almost every real number E ,*

$$\lim_{\epsilon \rightarrow 0} \frac{\log dk_\kappa[E - \epsilon, E + \epsilon]}{|\log(\epsilon)|} = \dim(\kappa).$$

Moreover,

- (1) $\dim(\kappa)$ is a \mathcal{C}^∞ -smooth function of $\kappa \in (0, \kappa_0)$;
- (2) $\lim_{\kappa \rightarrow 0} \dim(\kappa) = 1$;
- (3) $\dim(\kappa) < \text{Haus} - \text{Dim}(\Sigma_\kappa) < 1$ for $\kappa \in (0, \kappa_0)$;
- (4) $\dim(\kappa)$ coincides with the infimum of the Hausdorff dimension $\text{Haus} - \text{Dim}(S)$ of all measurable sets S such that $dk_\kappa(S) = 1$.

The proof is due to Damanik, Gorodetski, and Mei. Let us explain how one can relate its proof to Theorem A and Theorem B:

a.— The dynamics of f on the intersection of its filled Julia sets $K^+(f) \cap K^+(f^{-1})$ is *uniformly hyperbolic*, the filled Julia set $K^+(f)$ is the support of a lamination by holomorphic curves, and the current T_f^+ is a current of integration on this lamination with respect to a transverse measure μ_f^+ — see [6].

b.— The Schrödinger curve s is *transverse to the lamination* of $K^+(f)$ if the coupling factor is sufficiently small. This is proved in [14]; it follows from the transversality for $\kappa = 0$ and a study of the bifurcation from $\kappa = 0$ to $\kappa > 0$.

c.— There exists κ'_0 such that, for $0 < \kappa < \kappa'_0$, *there are two saddle periodic points $p(\kappa)$ and $q(\kappa)$ of f on $\mathcal{S}_{4+\kappa^2}$ with distinct multipliers.*

To prove this, take a periodic point p on \mathcal{S}_4 which is not a singular point of \mathcal{S}_4 . Deform it into a family of periodic points $p(\kappa)$ for $-\kappa_1(p) \leq \kappa \leq \kappa_1(p)$. Do the same for a second periodic point q : it can be deformed into $q(\kappa)$ for $\kappa_1(q) < q < \kappa_1(q)$. If the multipliers of $p(\kappa)$ and $q(\kappa)$ are equal for a sequence of parameters $\kappa_n > 0$ converging to 0, they are equal for all κ because they are analytic functions of κ . In particular, q can be analytically deformed along the interval $[-\kappa_1(p), 0]$. Thus, if the assertion was not satisfied, there would exist $\kappa_1 > 0$ such that all periodic points of f on \mathcal{S}_4 (distinct from the singularities) could be analytically deformed to saddle periodic points of the same period for $\kappa_1(p) < \kappa < 0$. This would contradict the fact that the topological entropy of f on $\mathcal{S}_{4-\epsilon}(\mathbb{R})$ is strictly less than $\log(\lambda)$ for $\epsilon > 0$, a property that implies that most periodic points of f on $\mathcal{S}_{4-\epsilon}(\mathbb{C})$ are not real — see [6].

With these three remarks in hand, one can then copy the proof given by Damanik and Gorodetski in [15].

3.2.3. Convergence theorems. From [6] and [4] (see also [27], [3]) one gets the following convergence theorem. *Let f be a hyperbolic automorphism of the surface \mathcal{S}_D . Let T be a positive current and ψ a smooth non-negative function with compact support which vanishes in a neighbourhood of the support of ∂T . Then, the sequence of currents*

$$\frac{1}{\lambda^n} (f^n)^*(\psi T)$$

converges towards a multiple cT_f^+ , with $c = \langle T_f^- | \psi T \rangle$. For instance, T can be the current of integration on an algebraic curve $C \subset \mathcal{S}_D$.

Our goal is to explain, heuristically, why this result is similar to Avron-Simon convergence theorem for the density of states (see Theorem 1.4).

Consider the restriction $H_{\kappa,w}^N$ of the Schrödinger operator to some interval $[0, N] \subset \mathbb{Z}$. If $(u(0), \dots, u(N))$ is an eigenfunction of $H_{\kappa,w}^N$ with eigenvalue E , then $(u(2), u(1))$ is obtained from $(u(1), u(0))$ by the linear action of the matrix $M_\kappa^E(w(0))$, \dots , and $(u(N), u(N-1))$ is obtained from $(u(1), u(0))$ by the action of the product $M_\kappa^E(w(N-2)) \dots M_\kappa^E(w(0))$.

Now, restrict the study to $w = u_+$, the infinite ι -invariant word, and to intervals $[0, \ell(n)]$, where $\ell(n)$ is the length of the word $\iota^n(a)$. When n goes to infinity, $\ell(n)$ behaves approximately like λ^n . With such a choice, the trace of the product

$M_\kappa^E(w(\ell(n) - 2)) \dots M_\kappa^E(w(0))$ is equal to the first coordinate of $f^n(s(E))$. Thus, if

$$\Lambda := \{E \mid \text{Tr}(M_\kappa^E(u^n(a))) = 2\},$$

then

$$\Lambda = \{E \mid s(E) \in (f^n)^{-1}(C_2)\}$$

where C_2 is the algebraic curve $C_2 = \{(x, y, z) \in \mathcal{S}_D \mid x = 2\}$. In other words, Λ corresponds to the intersection of the algebraic curve $s(\mathbb{C})$ with the algebraic curve $f^{-n}(C_2)$; it contains approximately λ^n points, and the convergence theorem for currents tells us, roughly, that the average measure on these λ^n points converges towards $s^*(T_f^+)$, up to some multiplicative factor.

On the other hand, the trace of a matrix $M \in SL(2, \mathbb{R})$ is 2 if and only if 1 is an eigenvalue of M . Thus, a complex number E is in Λ if and only if there is an eigenvector $(u(0), \dots, u(\ell(n)))$ of $H_{\kappa, w}^{\ell(n)}$ with eigenvalue E such that

$$(\star) \quad \begin{pmatrix} u(\ell(n)) \\ u(\ell(n) - 1) \end{pmatrix} = \begin{pmatrix} u(\ell(1)) \\ u(0) \end{pmatrix};$$

these are mixed boundary conditions — not the usual Dirichlet conditions, as in [1]. Thus, the convergence theorem for currents implies a convergence theorem for the density of states of $H_{\kappa, w}^N$ with the boundary conditions (\star) . Changing the curve C_2 into another algebraic curve — for instance $x = 3$ —, one gets different boundary conditions.

To sum up, Avron-Simon convergence theorem corresponds to the convergence theorem towards T_f^+ , with the following differences: One only gets convergence along subsequences (one has to take $N = \ell(n)$), the boundary conditions are not the classical ones, but one gets convergence theorems which are valid in \mathcal{S}_D (not only along the Schrödinger curve) and work for all positive currents.

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