

SAMPLE UNT DISSERTATION WITH

A TWO LINE TITLE

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# CHAPTER 1

## IT'S EASY AS 1 2 3

In this chapter root systems and Chevalley bases for specific matrix representations of some of the classical, simple, complex Lie algebras are constructed. Each classical, simple, complex Lie algebra is a Lie subalgebra of  $\mathfrak{gl}_m(\mathbb{C})$  for some  $m$ . The subalgebra of diagonal matrices in such a Lie algebra will be denoted by  $H$ . It turns out that for the matrix representations considered,  $H$  is a maximal toral subalgebra.

It's possible to refer to displayed equations at any time, even before they appear. For example (1.1) is defined somewhere below. This is not good form, but sometimes it's handy.

For positive integers  $i, j$ , and  $n$  with  $1 \leq i, j \leq n$ , let  $e_{i,j}$  denotes the square matrix whose only non-zero entry is a 1 in row  $i$  and column  $j$ . Denote the  $n \times n$  diagonal matrix with entries  $a_1, \dots, a_n$  by  $\text{diag}(a_1, \dots, a_n)$ . Then

$$\text{diag}(a_1, \dots, a_n) = \begin{bmatrix} a_1 & 0 & \dots & 0 \\ 0 & a_2 & \dots & 0 \\ \vdots & & \ddots & \vdots \\ 0 & \dots & a_{n-1} & \\ 0 & \dots & 0 & a_n \end{bmatrix} = \sum_{i=1}^n a_i e_{i,i}.$$

Clearly the set  $\{e_{i,i} \mid 1 \leq i \leq n\}$  is a basis of the vector space of diagonal matrices. Suppose  $h = \text{diag}(a_1, \dots, a_n)$  and  $1 \leq i, j \leq n$ , then

$$\begin{aligned} [h, e_{i,j}] &= h e_{i,j} - e_{i,j} h \\ &= \sum_{k=1}^n a_k e_{k,k} e_{i,j} - \sum_{k=1}^n a_k e_{i,j} e_{k,k} \\ &= \sum_{k=1}^n a_k \delta_{k,i} e_{k,j} - \sum_{k=1}^n a_k \delta_{j,k} e_{i,k} \\ &= a_i e_{i,j} - a_j e_{i,j} \\ &= (a_i - a_j) e_{i,j}. \end{aligned}$$

### 1.1. Type $B_n$ , the Odd-dimensional, Orthogonal Lie Algebras

The odd-dimensional, orthogonal Lie algebra  $\mathfrak{so}_{2n+1}(\mathbb{C})$ , or simply  $\mathfrak{so}_{2n+1}$ , is the set of all matrices  $X$  in  $\mathfrak{gl}_{2n}(\mathbb{C})$  such that

$$JX = -X^t J$$

where  $J = \begin{bmatrix} 1 & 0 & 0 \\ 0 & 0 & I_n \\ 0 & I_n & 0 \end{bmatrix}$ .

Suppose  $X = \begin{bmatrix} a & s & t \\ u & A & B \\ v & C & D \end{bmatrix}$ , where  $a$  is a complex number,  $s, t, u, v$  are vectors with  $n$  components, and  $A, B, C, D$  are  $n \times n$  matrices. Then  $JX = -X^t J$  if and only if

$$\begin{bmatrix} 1 & 0 & 0 \\ 0 & 0 & I_n \\ 0 & I_n & 0 \end{bmatrix} \begin{bmatrix} a & s & t \\ u & A & B \\ v & C & D \end{bmatrix} = \begin{bmatrix} -a & -u^t & -v^t \\ -s^t & -A^t & -C^t \\ -t^t & -B^t & -D^t \end{bmatrix} \begin{bmatrix} 1 & 0 & 0 \\ 0 & 0 & I_n \\ 0 & I_n & 0 \end{bmatrix},$$

which is if and only if

$$a = 0 \quad u = -t^t \quad v = -s^t \quad D = -A^t, \quad B = -B^t, \quad \text{and} \quad C = -C^t.$$

If the  $i^{\text{th}}$  entry of  $s$  is  $s_i$ ,  $i^{\text{th}}$  entry of  $t$  is  $t_i$ , the  $(i, j)$  entry of  $A$  is  $a_{i,j}$ , the  $(i, j)$  entry of  $B$  is  $b_{i,j}$ , and the  $(i, j)$  entry of  $C$  is  $c_{i,j}$ , then  $\begin{bmatrix} a & s & t \\ u & A & B \\ v & C & D \end{bmatrix}$  is in  $\mathfrak{so}_{2n+1}$  if and only if

$$(1.1) \quad \begin{bmatrix} a & s & t \\ u & A & B \\ v & C & D \end{bmatrix} = \begin{bmatrix} 0 & s_1 & s_2 & \dots & s_n & t_1 & t_2 & \dots & t_n \\ -t_1 & a_{1,1} & a_{1,2} & \dots & a_{1,n} & 0 & b_{1,2} & \dots & b_{1,n} \\ -t_2 & a_{2,1} & a_{2,2} & \dots & a_{2,n} & -b_{2,1} & 0 & \dots & b_{2,n} \\ \vdots & \vdots & \vdots & \ddots & \vdots & \vdots & \vdots & \ddots & \vdots \\ -t_n & a_{n,1} & a_{n,2} & \dots & a_{n,n} & -b_{n,1} & -b_{n,2} & \dots & 0 \\ -s_1 & 0 & c_{1,2} & \dots & c_{1,n} & -a_{1,1} & -a_{n,2} & \dots & -a_{n,1} \\ -s_2 & -c_{2,1} & 0 & \dots & c_{1,n} & -a_{2,1} & -a_{2,2} & \dots & -a_{2,n} \\ \vdots & \vdots & \vdots & \ddots & \vdots & \vdots & \vdots & \ddots & \vdots \\ -s_n & -c_{n,1} & -c_{n,2} & \dots & 0 & -a_{1,n} & -a_{n,2} & \dots & -a_{n,n} \end{bmatrix}.$$

For  $1 \leq i \leq n$ , define  $x_i$  in  $H^*$  by

$$x_i(h) = a_i \quad \text{when} \quad h = \text{diag}(0, a_1, \dots, a_n, -a_1, \dots, -a_n).$$

Then  $x_i(h)$  is the coefficient of  $d_i$  when  $h$  is expressed as a linear combination of vectors in  $\mathcal{B}_H$ .

The set

$$\begin{aligned}\mathcal{B} = & \mathcal{B}_H \cup \{e_{1,j+1} - e_{n+j+1,1} \mid 1 \leq j \leq n\} \cup \{e_{1,n+j+1} - e_{j+1,1} \mid 1 \leq j \leq n\} \\ & \cup \{e_{i+1,j+1} - e_{n+j+1,n+i+1} \mid 1 \leq i \neq j \leq n\} \cup \{e_{i+1,n+j+1} - e_{j+1,n+i+1} \mid 1 \leq i < j \leq n\} \\ & \cup \{e_{n+i+1,j+1} - e_{n+j+1,i+1} \mid 1 \leq i < j \leq n\}\end{aligned}$$

is a basis of  $\mathfrak{so}_{2n+1}$ . In particular,  $\dim \mathfrak{so}_{2n+1} = 3n + n^2 - n + 2\binom{n}{2} = 2n^2 + n$ .

PROPOSITION 1.2. *The set  $\mathcal{B} \setminus \mathcal{B}_H$  consists of root vectors.*

PROOF. This is proved by direct computation. There are five cases.

Suppose that  $h = \text{diag}(0, a_1, \dots, a_n, -a_1, \dots, -a_n)$  is in  $H$ .

Consider  $e_{1,j+1} - e_{n+j+1,1}$  where  $1 \leq j \leq n$ . Then

$$\begin{aligned}[h, e_{1,j+1} - e_{n+j+1,1}] &= [h, e_{1,j+1}] - [h, e_{n+j+1,1}] \\ &= -a_j e_{1,j+1} - a_j e_{n+j+1,1} \\ &= (-a_j)(e_{1,j+1} - e_{n+j+1,1}) \\ &= (-x_j)(h)(e_{1,j+1} - e_{n+j+1,1}).\end{aligned}$$

Thus,  $e_{1,j+1} - e_{n+j+1,1}$  is a root vector. The corresponding root is the linear function  $-x_j$  in  $H^*$ .

Consider  $e_{i+1,j+1} - e_{n+j+1,n+i+1}$  where  $1 \leq i \neq j \leq n$ . Then

$$\begin{aligned}[h, e_{i+1,j+1} - e_{n+j+1,n+i+1}] &= [h, e_{i+1,j+1}] - [h, e_{n+j+1,n+i+1}] \\ &= (a_i - a_j)e_{i+1,j+1} - (-a_j + a_i)e_{n+j+1,n+i+1} \\ &= (a_i - a_j)(e_{i+1,j+1} - e_{n+j+1,n+i+1}) \\ &= (x_i - x_j)(h)(e_{i+1,j+1} - e_{n+j+1,n+i+1}).\end{aligned}$$

Thus,  $e_{i+1,j+1} - e_{n+j+1,n+i+1}$  is a root vector. The corresponding root is the linear function  $x_i - x_j$  in  $H^*$ .

The other two cases are similar:  $e_{1,n+j+1} - e_{j+1,1}$  is a root vector and the corresponding root is the linear function  $x_j$  in  $H^*$ ;  $e_{n+i+1,j+1} - e_{j+1,n+i+1}$  is a root vector and the corresponding root is the linear function  $-x_i - x_j$  in  $H^*$ .

The computations above are summarized in Table 1.1 and Table 1.2.

This table is typeset as a float that is strongly encouraged to come next if at all possible. □

$i, j$	$\alpha$	$e_\alpha$
$1 \leq j \leq n$	$-x_j$	$e_{1,j+1} - e_{n+j+1,1}$
$1 \leq j \leq n$	$x_j$	$e_{1,n+j+1} - e_{j+1,1}$
$1 \leq i \neq j \leq n$	$x_i - x_j$	$e_{i+1,j+1} - e_{n+j+1,n+i+1}$
$1 \leq i < j \leq n$	$x_i + x_j$	$e_{i+1,n+j+1} - e_{j+1,n+i+1}$
$1 \leq i < j \leq n$	$-x_i - x_j$	$e_{n+i+1,j+1} - e_{j+1,n+i+1}$

TABLE 1.1. An ad hoc table not set as a float

Here is another reference to Table 1.2.

COROLLARY 1.3. *The the subalgebra  $H$  is a maximal toral subalgebra and the root system of  $(\mathfrak{so}_{2n+1}, H)$  is*

$$\Phi = \{\pm(x_i \pm x_j) \mid 1 \leq i < j \leq n\} \cup \{2x_i \mid 1 \leq i \leq n\}.$$

PROOF. By the proposition,  $\mathfrak{so}_{2n+1}$  has a root space decomposition. Suppose that  $H'$  is a toral subalgebra containing  $H$ . Just suppose that  $H'$  properly contains  $H$ . Then  $H'$  is abelian and there is an element  $h'$  in  $H'$  that is a linear combination of the basis elements in  $\mathcal{B} \setminus \mathcal{B}_H$ . Write  $h' = v_\alpha + h''$  where  $v_\alpha$  is a non-zero vector in the  $\alpha$  root space. Then  $v_\alpha$  is



$Z_X$	$C'_X$	$\mathcal{A}$	$C_X$	exp
$A_0$	$G_{33}$	$Y$	$Y$	$Y$
$A_1$	$D_4$	$N$	$N$	$N$
$A_1^2$	$B_3$	$N$	$Y$	$N$
$A_2$	$G_{3,1,2}$	$N$	$N$	$N$
$A_1^3$	$G_{6,3,2}$	$Y$	$Y$	$Y$
$G_{33}$	$A_0$	$Y$	$Y$	$Y$

TABLE 1.2. A professional table set as a float

a non-zero multiple of the root vector  $e_\alpha$  in  $\mathcal{B} \setminus \mathcal{B}_H$ . Fix  $h$  in  $H$  such that  $h$  is not in  $\ker \alpha$ , then  $[h, h'] = [h, v_\alpha + h''] = \alpha(h)v_\alpha + [h, h'']$ . Then  $\alpha(h)v_\alpha \neq 0$  and  $[h, h'']$  is in the span of  $\mathcal{B} \setminus (\mathcal{B}_H \cup \{e_\alpha\})$ . Therefore,  $[h, h'] \neq 0$ . This contradicts the fact that  $H'$  is abelian. Thus,  $H' = H$  and so  $H$  is maximal.  $\square$

For  $1 \leq i \leq n$  define  $\alpha_i$  in  $H^*$  by

$$\alpha_i = x_i - x_{i+1} \quad (1 \leq i \leq n-1),$$

$$\alpha_n = x_n.$$

Set  $\Pi = \{\alpha_i \mid 1 \leq i \leq n\}$ . It's easy to see that  $\Pi$  is a basis of  $H^*$ . Notice that the roots  $x_i - x_j$  with  $i \neq j$  from Table 1.2 are split into two subsets depending on whether or not  $i < j$ .

## 1.2. Adding a Section to Have More Sections

The usual Euclidean metric on  $H^*$  is defined by

$$d\left(\sum_{i=1}^n a_i x_i, \sum_{i=1}^n b_i x_i\right) = \sqrt{\sum_{i=1}^n |a_i - b_i|^2}.$$

With respect to this metric, the roots  $\pm(x_i \pm x_j)$  with  $i \neq j$  have length  $\sqrt{2}$  and the roots  $\pm x_i$  have length 1. Thus, there are two root lengths. Roots with minimum length are called

*short roots* and roots with maximum length are called *long roots*. The highest root is a long root.

By direct inspection, there is a unique highest short root,  $x_1 = \alpha_1 + \cdots + \alpha_n$ , with height  $n$ .

Notice that if  $\alpha = \sum_{i=1}^n m_i \alpha_i$ , then the coefficients  $m_i$  are either all non-negative or all non-positive. Define

$$\Phi^+ = \left\{ \alpha = \sum_{i=1}^n m_i \alpha_i \mid m_i \geq 0 \forall 1 \leq i \leq n \right\}$$

and

$$\Phi^- = \left\{ \alpha = \sum_{i=1}^n m_i \alpha_i \mid m_i \leq 0 \forall 1 \leq i \leq n \right\}.$$

Then  $\Phi^- = -\Phi^+$  and  $\Phi = \Phi^+ \amalg \Phi^-$ .

We next compute the elements  $t_{\alpha_i}$  in  $H$  for  $1 \leq i \leq n$ . Using the basis  $\mathcal{B}$  of  $\mathfrak{so}_{2n+1}$  it is straightforward to compute the restriction of the Killing form to  $H$  by computing the matrices of  $\text{ad } h$  and  $\text{ad } h'$ , and then  $\text{tr}(\text{ad } h \circ \text{ad } h')$  for  $h$  and  $h'$  in  $H$ . The result is

$$\kappa(h, h') = \sum_{\alpha \in \Phi} \alpha(h) \alpha(h').$$

If  $h = \text{diag}(0, a_1, \dots, a_n, -a_1, \dots, -a_n)$  and  $h' = \text{diag}(0, a'_1, \dots, a'_n, -a'_1, \dots, -a'_n)$ , then  $\alpha(h)\alpha(h')$  is given in Table 1.3.

The Killing form  $\kappa(h, h')$  can be computed in terms of the coefficients of  $h$  and  $h'$  when  $h$  and  $h'$  are expressed as linear combinations of  $\{x_1, \dots, x_n\}$  as follows.

$$\begin{aligned} \kappa(h, h') &= \sum_{1 \leq i < j \leq n} 2 \left( (a_i - a_j)(a'_i - a'_j) + (a_i + a_j)(a'_i + a'_j) \right) + 2 \sum_{i=1}^n (a_i a'_i) \\ &= \sum_{1 \leq i < j \leq n} (4a_i a'_i + 4a_j a'_j) + \sum_{i=1}^n 2a_i a'_i \\ (1.4) \quad &= \sum_{i=1}^n a_i a'_i (2 + 4(n - i) + 4(i - 1)) \\ &= (4n - 2) \sum_{i=1}^n a_i a'_i. \end{aligned}$$

$\alpha$	$\alpha(h)\alpha(h')$
$x_i - x_j$	$(a_i - a_j)(a'_i - a'_j)$
$x_i$	$(a_i)(a'_i) = a_i a'_i$
$x_i + x_j$	$(a_i + a_j)(a'_i + a'_j)$
$-x_i + x_j$	$(-a_i + a_j)(-a'_i + a'_j) = (a_i - a_j)(a'_i - a'_j)$
$-x_i$	$(-a_i)(-a'_i) = a_i a'_i$
$-x_i - x_j$	$= (-a_i - a_j)(-a'_i - a'_j) = (a_i + a_j)(a'_i + a'_j)$

TABLE 1.3.  $\alpha(h)\alpha(h')$  when  $h = \text{diag}(a_1, \dots, a_n)$  and  $h' = \text{diag}(a'_1, \dots, a'_n)$

The penultimate equality in (1.4) is most easily seen by arranging the summands in an  $n \times n$  array.

$$\begin{array}{ccccccc}
2a_1a'_1 & 4a_1a'_1 + 4a_2a'_2 & 4a_1a'_1 + 4a_3a'_3 & \dots & \dots & \dots & 4a_1a'_1 + 4a_na'_n \\
& 2a_2a'_2 & 4a_2a'_2 + 4a_3a'_3 & & & & 4a_2a'_2 + 4a_na'_n \\
& & 2a_3a'_3 & & & & 4a_3a'_3 + 4a_na'_n \\
& & & & & & \vdots \\
& & & \ddots & & & \vdots \\
& & & & & & 4a_{n-2}a'_{n-2} + 4a_na'_n \\
& & & & & & 2a_na'_n
\end{array}$$

### 1.3. Type $D_n$ : Even dimensional, Orthogonal Lie Algebras

For  $1 \leq i \leq n$ . Then the element  $t_{\alpha_i}$  in  $H$  is defined by the condition that

$$\kappa(h, t_{\alpha_i}) = \alpha_i(h) \quad \text{for all } h \text{ in } H.$$

Fix  $1 \leq i \leq n - 1$  and suppose  $t_{\alpha_i} = \text{diag}(0, t_1, \dots, t_n, -t_1, \dots, -t_n)$ . Then

$$a_i - a_{i+1} = (4n - 2)(a_1t_1 + \dots + a_it_i + a_{i+1}t_{i+1} + \dots + a_nt_n)$$

when  $h = \text{diag}(0, a_1, \dots, a_n, -a_1, \dots, -a_n)$ . Thus,  $t_1, \dots, t_n$  are such that

$$a_1 t_1 + \dots + a_i \left( t_i - \frac{1}{4n-2} \right) + a_{i+1} \left( t_{i+1} + \frac{1}{4n-2} \right) + \dots + a_n t_n = 0$$

for all  $a_1, \dots, a_n$  in  $\mathbb{C}$ . Taking  $a_j = 1$  and  $a_k = 0$  for  $k \neq j$  we see that

$$t_j = \begin{cases} \frac{1}{4n-2} & j = i \\ -\frac{1}{4n-2} & j = i + 1 \\ 0 & j \neq i, i + 1. \end{cases}$$

Therefore, for  $1 \leq i \leq n - 1$ ,  $t_{\alpha_i} = \frac{1}{4n-2}(d_i - d_{i+1})$ .

Now consider  $t_{\alpha_n}$ . Say  $t_{\alpha_i} = \text{diag}(0, t_1, \dots, t_n, -t_1, \dots, -t_n)$ . Then

$$a_n = (4n - 2)(a_1 t_1 + \dots + a_i t_i + a_{i+1} t_{i+1} + \dots + a_n t_n)$$

when  $h = \text{diag}(0, a_1, \dots, a_n, -a_1, \dots, -a_n)$ . Thus,  $t_1, \dots, t_n$  are such that

$$a_1 t_1 + \dots + a_{n-1} t_{n-1} + a_n \left( t_n - \frac{1}{4n-2} \right) = 0$$

for all  $a_1, \dots, a_n$  in  $\mathbb{C}$ . Taking  $a_j = 1$  and  $a_k = 0$  for  $k \neq j$  we see that

$$t_j = \begin{cases} \frac{1}{4n-2} & j = n \\ 0 & j \neq n. \end{cases}$$

Therefore,  $t_{\alpha_n} = \frac{1}{4n-2}d_n$ .

## CHAPTER 2

### AS SIMPLE AS DO RE MI

#### 2.1. Definition of $\mathcal{H}$ and the Uniformly Expanding Property

In this section we define the family  $\mathcal{H}$  and we establish basic dynamical properties of a map  $f_a \in \mathcal{H}$ . Then we prove the important Lemma 2.4.

$i, j$	$\alpha$	$=$	$\sum_{i=1}^n m_i \alpha_i$	$\text{ht}(\alpha)$
$1 \leq i < j \leq n$	$x_i - x_j$	$=$	$\alpha_i + \cdots + \alpha_{j-1}$	$j - i$
$1 \leq i \leq n$	$x_i$	$=$	$\alpha_i + \cdots + \alpha_{n-1} + \alpha_n$	$n - i + 1$
$1 \leq i < j \leq n$	$x_i + x_j$	$=$	$\alpha_i + \cdots + \alpha_{j-1} + 2\alpha_j + \cdots + 2\alpha_{n-1} + 2\alpha_n$	$2n - i - j + 2$
$1 \leq i < j \leq n$	$-x_i + x_j$	$=$	$-\alpha_i - \cdots - \alpha_{j-1}$	$-j + i$
$1 \leq i \leq n$	$-x_i$	$=$	$-\alpha_i - \cdots - \alpha_{n-1} - \alpha_n$	$-n + i - 1$
$1 \leq i < j \leq n$	$-x_i - x_j$	$=$	$-\alpha_i - \cdots - \alpha_{j-1} - 2\alpha_j - \cdots - 2\alpha_{n-1} - 2\alpha_n$	$-2n + i + j - 2$

TABLE 2.1. Roots expressed as linear combinations of vectors in  $\Pi$

##### 2.1.1. Definition of $\mathcal{H}$

We define the family  $\mathcal{H}$  as a family of maps in the Speiser class of transcendental entire functions of finite singular type.

Let  $a = (a_0, a_1, \dots, a_n) \in \mathbb{C}^{n+1}$  be a vector such that  $a_0 \neq 0$ ,  $a_n \neq 0$ ,

$$P_a(z) = a_n z^n + \cdots + a_1 z + a_0 \in \mathbb{C}[z]$$

and

$$g_a(z) = \frac{P_a(z)}{z^k}$$

where  $k$  is a positive integer strictly less than  $n = \deg(P_a) \geq 2$ . Define

$$f_a(z) = g_a \circ \exp(z) = \frac{a_n e^{nz} + a_{n-1} e^{(n-1)z} + \cdots + a_1 e^z + a_0}{e^{zk}} = \sum_{j=0}^n a_j e^{(j-k)z}$$

Observe that maps of this form do not have any finite asymptotic values. This is the reason why we restricted ourselves to integers  $k$  satisfying condition  $0 < k < n$ . As it was mentioned in Chapter 1, the most well known examples of this type of maps are maps from the *cosine* family.

We denote by  $\text{Crit}(f_a)$  the set  $\{z : f'_a(z) = 0\}$ . Observe that

$$f'_a(z) = \sum_{j=0}^n a_j(j-k)e^{(j-k)z}$$

and that  $g'_a(z) = 0$  if and only if  $zP'_a(z) - kP_a(z) = 0$ , which is equivalent to

$$\sum_{j=0}^n a_j(j-k)z^j = 0.$$

Therefore, there exist  $n$  non-zero complex numbers (counting multiplicities)  $s_1, s_2, \dots, s_n$  such that  $z \in \text{Crit}(f_a)$  if and only if  $e^z = s_k$  for some  $k = 1, 2, \dots, n$  i.e.

$$\{z_k = \log s_k + 2\pi im : m \in \mathbb{Z}, k = 1, \dots, n\}$$

is the set of critical points and observe that the set of critical values of a map  $f_a$  is finite.

Denote by  $\mathcal{H}$  the family of functions

$$\mathcal{H} = \left\{ f_a(z) = \frac{P_a(e^z)}{e^{kz}} : \deg P_a > k > 0 \text{ and } \delta_a > 0 \right\},$$

where by  $\mathcal{P}_{f_a}$  we denote the post-critical set of  $f_a$ , that is, the set

$$\mathcal{P}_{f_a} = \overline{\bigcup_{n \geq 0} f_a^n(\text{Crit}(f_a))}$$

and

$$\delta_a = \frac{1}{2} \min \left\{ \frac{1}{2}, \text{dist}(J_{f_a}, \mathcal{P}_{f_a}) \right\},$$

where

$$\text{dist}(J_{f_a}, \mathcal{P}_{f_a}) = \inf\{|z_1 - z_2| : z_1 \in J_{f_a}, z_2 \in \mathcal{P}_{f_a}\}$$

is the Euclidean distance between the Julia set of  $f_a$ ,  $J_{f_a}$ , and the post-critical set of  $f_a$ ,  $\mathcal{P}_{f_a}$ .

The reason we define  $\delta_a$  in such a way will be more visible later on, starting with Chapter 3, and is due to the application (we shall need) of the Koebe Distortion Theorem

since one can observe that, for every  $y \in J_{f_a}$  and for every  $n \geq 1$ , there exists a unique holomorphic inverse branch

$$(f_a^n)_y^{-1} : B(f_a^n(y), 2\delta_a) \rightarrow \mathbb{C}$$

such that  $(f_a^n)_y^{-1} \circ (f_a^n)(y) = y$ .

Then there exists a numerical constant  $K$  such that, for  $z_1, z_2 \in J_{f_a}$  with  $|z_1 - z_2| < \delta_a$  and for  $y \in f_a^{-n}(z_1)$ ,

$$(2.1) \quad \frac{1}{K} \leq \frac{|((f_a^n)_y^{-1})'(z_1)|}{|((f_a^n)_y^{-1})'(z_2)|} \leq K.$$

Observe that  $\text{Crit}(f_a) \subset F_{f_a}$ , where  $F_{f_a}$  is the Fatou set of  $f_a$ . Consequently, maps in the family  $\mathcal{H}$  do not have neither parabolic domains nor Herman rings nor Siegel disks. Moreover, as was written in Chapter 1 they do not have neither wandering nor Baker domains. Also for every point  $z$  in the Fatou set there exists (super)attracting cycle such that the trajectory of  $z$  converges to this cycle.

### 2.1.2. The Cylinder and the Definition of $J_{F_a}^r$

Since the map  $f_a \in \mathcal{H}$  is periodic with period  $2\pi i$ , we consider it on the quotient space  $P = \mathbb{C}/\sim$  (the cylinder) where

$$z_1 \sim z_2 \text{ iff } z_1 - z_2 = 2k\pi i \text{ for some } k \in \mathbb{Z}.$$

If  $\pi : \mathbb{C} \rightarrow P$  is the natural projection, then, since the map  $\pi \circ f_a : \mathbb{C} \rightarrow P$  is constant on equivalence classes of relation  $\sim$ , it induces a holomorphic map

$$F_a : P \rightarrow P.$$

The cylinder  $P$  is endowed with Euclidean metric which will be denoted in what follows by the same symbol  $|w - z|$  for all  $z, w \in P$ . The Julia set of  $F_a$  is defined to be

$$J_{F_a} = \pi(J_{f_a})$$

and observe that

$$F_a(J_{F_a}) = J_{F_a} = F_a^{-1}(J_{F_a}).$$

We shall study the set  $J_{f_a}^r$  consisting of those points of  $J_{f_a}$  that do not escape to infinity under positive iterates of  $f_a$ . In other words, if

$$I_\infty(f_a) = \{z \in \mathbb{C} : \lim_{n \rightarrow \infty} f_a^n(z) = \infty\},$$

then

$$J_{f_a}^r = J_{f_a} \setminus I_\infty(f_a)$$

and, if

$$I_\infty(F_a) = \{z \in P : \lim_{n \rightarrow \infty} F^n(z) = \infty\},$$

then

$$J_{F_a}^r = J_{F_a} \setminus I_\infty(F_a).$$

In what follows we fix  $a \in \mathbb{C}^{n+1}$  and we denote for simplicity  $f_a \in \mathcal{H}$  by  $f$ . The following Lemma reveals some background information for a better understanding of the dynamical behavior of maps in our family  $\mathcal{H}$ . This lemma will be used several times and it will be a key technical ingredient for many proofs.

Observe first that, if we consider  $a = (a_0, \dots, a_n) \in \mathbb{C}^{n+1}$ , since

$$(2.2) \quad f_a(z) = \sum_{j=0}^n a_j e^{(j-k)z}$$

we have

$$(2.3) \quad f'_a(z) = \sum_{j=0}^n a_j (j-k) e^{(j-k)z}.$$

LEMMA 2.4. *Let  $f_a$  be a function of form (2.2). Then there exist  $M_1, M_2, M_3 > 0$  such that, for every  $z$  with  $|\operatorname{Re} z| \geq M_3$ , the following inequalities hold.*

$$(1) \quad M_1 e^{q|\operatorname{Re} z|} \leq |f_a(z)| \leq M_2 e^{q|\operatorname{Re} z|}$$

$$(2) \quad M_1 e^{q|\operatorname{Re} z|} \leq |f'_a(z)| \leq M_2 e^{q|\operatorname{Re} z|}$$

$$(3) \quad \frac{M_1}{M_2} |f'_a(z)| \leq |f_a(z)| \leq \frac{M_2}{M_1} |f'_a(z)|$$

$$\text{where } q = \begin{cases} k & \text{if } \operatorname{Re} z < 0 \\ n-k & \text{if } \operatorname{Re} z > 0. \end{cases}$$



PROOF. Note that (iii) follows from (i) and (ii). The proof of (i) and (ii) follows from the fact that

$$|f_a(z)| = |a_n|e^{(n-k)\operatorname{Re} z} + o(e^{(n-k)\operatorname{Re} z}) \text{ as } \operatorname{Re} z \rightarrow \infty$$

$$|f_a(z)| = |a_0|e^{-k\operatorname{Re} z} + o(e^{-k\operatorname{Re} z}) \text{ as } \operatorname{Re} z \rightarrow -\infty$$

and from the observation that  $f'_a$  is a function of the same (algebraic) type as  $f_a$  (see (2.3)).

□

## 2.2. Bounded Orbits and Classical Conformal Repellers.

We fix again  $a \in \mathbb{C}^{n+1}$  and we denote  $f_a$  by  $f$ ,  $F_a$  by  $F$  and the Julia set of  $F$  by  $J_F$ . Our goal in this section is to prove Proposition 2.8. In order to prove this proposition we apply the thermodynamic formalism for compact repellers.

DEFINITION 2.5. Let  $f$  be a holomorphic function from an open subset  $V$  of  $\mathbb{C}$  into  $\mathbb{C}$  and  $J$  a compact subset of  $V$ . The triplet  $(J, V, f)$  is a conformal repeller if

- (1) there are  $C > 0$  and  $\alpha > 1$  such that  $|(f^n)'(z)| \geq C\alpha^n$  for every  $z \in J$  and  $n \geq 1$ .
- (2)  $f^{-1}(V)$  is relatively compact in  $V$  with

$$J = \bigcap_{n \geq 1} f^{-n}(V).$$

- (3) for any open set  $U$  with  $U \cap J$  not empty, there is  $n > 0$  such that

$$J \subset f^n(U \cap J).$$

It is worth noting that there are no critical points of  $f$  in  $J$ .

### 2.2.1. Conformal Repellers

Let  $(J, V, g)$  be a (mixing) conformal expanding repeller( see for example [1] for more properties). In the proof of Proposition 2.8,  $J = J_1(M)$  is a compact subset of  $\mathbb{C}$ , limit of a finite conformal iterated function system,  $g = F$ , is a holomorphic function for which  $J$

is invariant and for which there exist  $\gamma > 1$  and  $c > 0$  such that, for all  $n \in \mathbb{N}$  and for all  $z \in J$ ,  $|(g^n)'(z)| \geq c\gamma^n$ . For  $t \in \mathbb{R}$  we consider the topological pressure defined by

$$P_z(t) = \lim_{n \rightarrow \infty} \frac{1}{n} \log P_z(n, t),$$

where

$$P_z(n, t) = \sum_{y \in g^{-n}(z)} |(g^n)'(y)|^{-t}.$$

The function  $P(t) = P_z(t)$  as a function of  $t$  is independent of  $z$ , continuous, strictly decreasing,  $\lim_{t \rightarrow -\infty} P(t) = +\infty$  and the following remarkable theorem holds.

**THEOREM 2.6** (Bowen's Formula). *Hausdorff dimension of  $J$  is the unique zero of  $P(t)$ .*

For more details and definitions concerning the thermodynamic formalism of conformal expanding repellers (initiated by Bowen and Ruelle) we refer the reader to [1].

In order to prove Proposition 2.8, i.e. to show that  $\text{HD}(J) > 1$ , we use Bowen's formula and we observe that, from the definition of  $P_z(n, t)$ , it is enough to find a constant  $C > 1$  such that, for all  $z \in J$ ,

$$(2.7) \quad P_z(1, 1) \geq C.$$

**PROPOSITION 2.8.** *Let  $f \in \mathcal{H}$ . Then the Hausdorff dimension of the set of points in Julia set of  $f$  having bounded orbit is strictly greater than 1.*

**PROOF.** Let  $N$  be a large number,  $H = \{z \in \mathbb{C} : \text{Re } z > N\}$ . Observe that there exists  $U$  such that  $\overline{U} \subset \{z : s - \pi < \text{Im } z < s + \pi\}$  for some  $s \in (-\pi, \pi]$ ,  $\text{Re } U > 0$ ,  $f|_U$  is univalent and  $f(U) = H$ . Note that, since  $N$  is large, by Lemma 2.4 there exists  $\gamma_N > 1$  such that, if  $\text{Re } z \geq N$ , then

$$(2.9) \quad |F'(z)| = |f'(z)| > \gamma_N.$$

For every  $M > N$  define

$$P(M) = \{z \in \overline{U} : N \leq \text{Re } z \leq M\}.$$

Then, for  $j \in \mathbb{Z}$ , let  $L_j : H \rightarrow U$  be defined by the formula

$$L_j(z) = (f|_U)^{-1}(z + 2\pi ij),$$

and let

$$(2.10) \quad Q_j(M) = L_j(P(M)).$$

The set  $P(M)$  and the family of functions

$$\{L_j\}_{j \in \mathcal{K}_M}$$

with

$$\mathcal{K}_M = \{j \in \mathbb{Z} : Q_j(M) \subset \text{Int}P(M)\},$$

define a finite conformal iterated function system. By  $J_1(M)$  we denote its limit set. The set  $J_1(M)$  is forward  $F$ -invariant. From (2.9) and from the fact that the Julia set is the closure of the set of repelling periodic points it follows that

$$(2.11) \quad J_1(M) \subset J_F.$$

Next we need a condition for  $j$  which guarantees that  $Q_j(M) \subset \text{Int}P(M)$  (equivalently  $j \in \mathcal{K}_M$ ) for all  $M$  large enough. Observe that

$$(2.12) \quad \mathcal{K}_M \subset \mathcal{K}_{M+1}$$

for all  $M$  large enough. To prove (2.12), let  $j \in \mathcal{K}_M$  and let  $z \in Q_j(M+1) \setminus Q_j(M)$ . Note that, if we assume that  $M > M_2 e^{(n-k)(N+1)}$ , then we can be sure that  $\text{Re } z > N+1$  ( $n$  and  $k$  are defined in section 2.1.1). Therefore, to get (2.12), it is enough to prove that  $\text{Re } z < M+1$ . Since

$$F(Q_j(M+1) \setminus Q_j(M)) = P(M+1) \setminus P(M),$$

it follows from Lemma 2.4 that  $|F'(z)| \geq \frac{M_1}{M_2} |f(z)| \geq M$  and, then,

$$Q_j(M+1) \setminus Q_j(M) \subset B\left(z, \frac{M_2 2\pi}{M_1 M}\right) \subset B(z, 1).$$

But we know, that, for  $y \in Q_j(M)$ ,  $\text{Re } y \leq M$ . This proves (2.12).  $\square$

## REFERENCES

- [1] M. Zinsmeister, *Thermodynamic formalism and holomorphic dynamical systems*, SMF/AMS Texts and Monographs, vol. 2, American Mathematical Society, Providence, RI, 2000, Translated from the 1996 French original by C. Greg Anderson.