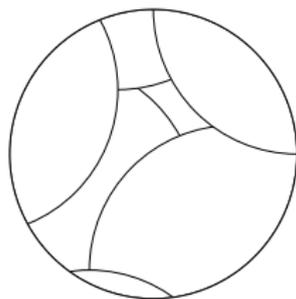
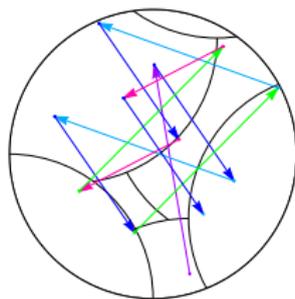
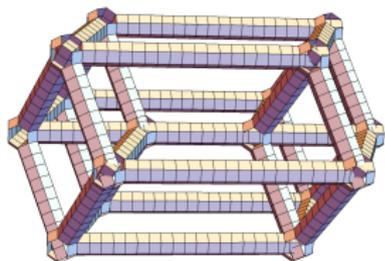


Renormalizable Rectangle Exchange Maps

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February 4, 2020



- 1 Introduction
 - Main results
 - Background
- 2 Cut-and-Project Domain Exchange Maps (DEMs)
- 3 PV DEMs
- 4 Renormalization scheme for PV REMs
- 5 Multistage REMs
- 6 Further Work on REMs



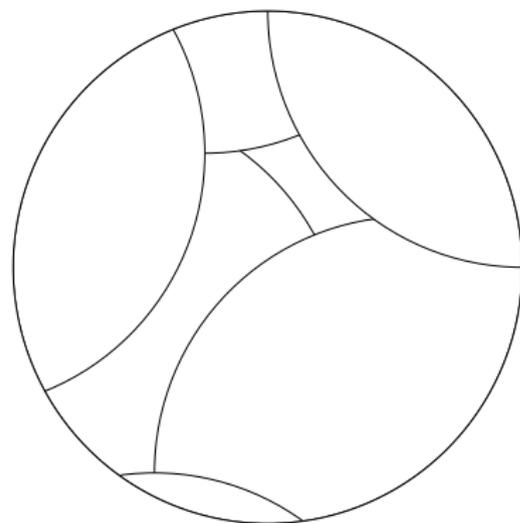
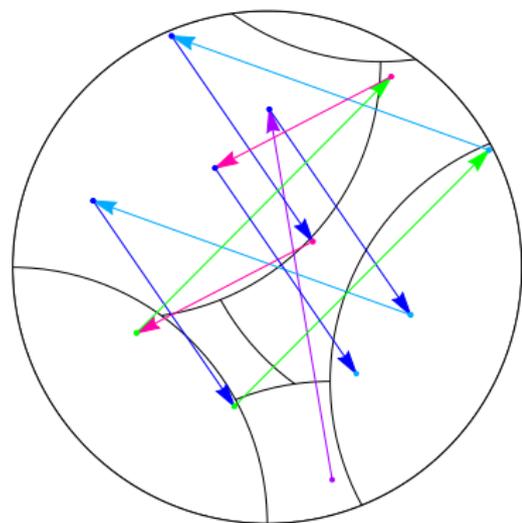
I. Alevy, R. Kenyon and R. Yi, *A Family of Minimal and Renormalizable Rectangle Exchange Maps*,
ArXiv e-prints (March 2018), 1803.06369,
to appear in *Ergodic Theory and Dynamical Systems*.

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Domain exchange map (DEM)

- A dynamical system defined on a **smooth Jordan domain** which is a piecewise translation
- Joint work with **Richard Kenyon** and **Ren Yi**



$$T : D_1 \rightarrow D_1$$

$$T : x \mapsto x + v$$

Definition

Let X be a **Jordan domain** partitioned into smaller Jordan domains, with disjoint interiors, in two different ways

$$X = \bigcup_{k=0}^N A_k = \bigcup_{k=0}^N B_k$$

such that for each $k = 0, \dots, N$, $\exists v_k \in \mathbb{R}^2$ with

$$A_k + v_k = B_k.$$

A **domain exchange map** is the dynamical system

$$T(x) = x + v_k \quad \text{for} \quad x \in \mathring{A}_k.$$

The map is not defined for points $x \in \bigcup_{k=0}^N \partial A_k$.

Setup: $T : X \rightarrow X$ a dynamical system and $Y \subsetneq X$

Definition

A dynamical system is **minimal** if every point has a dense orbit

Definition

The **first-return map** $\hat{T}|_Y : Y \rightarrow Y$ is defined by

$$\hat{T}|_Y(p) = T^m(p) \quad \text{where} \quad m = \min\{k \in \mathbb{N} : T^k(p) \in Y\}$$

for $p \in Y$.

If $X = [0, 1]^2$ the DEM is a **Rectangle Exchange Map (REM)**

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If $X = [0, 1]^2$ the DEM is a **Rectangle Exchange Map (REM)**

Definition

A **renormalization scheme** is a proper subset $Y \subsetneq X$, a dynamical system $T' : X' \rightarrow X'$, and a homeomorphism $\phi : X \rightarrow X'$ such that

$$\widehat{T}|_Y = \phi^{-1} \circ T' \circ \phi.$$

If $T' = T$ the dynamical system is called **self-induced** or **renormalizable**.

Main Results (A., Kenyon, Yi 2018)

- Construct minimal DEMs on any domain with equidistributed orbits
- Find an infinite family of renormalizable REMs
- Compose REMs to produce **multistage** REMs with periodic renormalization schemes

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An **interval exchange transformation (IET)** $T : X \rightarrow X$ is a 1-dimensional DEM defined on an interval

- 1 Each probability vector and permutation (of matching length) defines an IET on $[0, 1]$
- 2 IETs are important examples in ergodic theory
- 3 Keane's minimality criterion ('75)
- 4 T is **uniquely ergodic** if the only invariant probability measure is a multiple of Lebesgue measure
 - 1 A measure μ is **invariant** with respect to T if
$$\mu(T^{-1}(A)) = \mu(A) \quad \forall A$$
 - 2 Unique ergodicity \implies orbits of points uniformly distributed
- 5 There exist minimal IETs ($n = 4$) which are **not** uniquely ergodic (Keane '77)
- 6 Almost every minimal IET with an irreducible permutation is uniquely ergodic (Masur/Veech '82)

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- The Hausdorff dimension of the set of non-uniquely ergodic IETs with n pieces is $n - 1 - 1/2$ (Chaika-Masur '18)
 - Proof uses Rauzy Induction to construct large sets of non-uniquely ergodic IETs
 - **Rauzy Induction** is a renormalization scheme for general IETs ('79)
- Almost every minimal IET with an irreducible permutation that isn't a rotation is weak mixing (Avila & Forni '04)

Open Questions for DEMs

- 1 Find examples of minimal DEMs
- 2 Develop a general renormalization theory
- 3 Understand ergodic properties

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Previous Work on DEMs

- Keane's minimality condition generalized to REMs (Haller '81)
 - Difficult to verify in practice
- Piecewise isometries in any dimension have zero topological entropy (Buzzi '01)
- Hooper found a 2-dimensional family of renormalizable REMs with **periodic points** ('13)
- Schwartz used multigraphs to construct polytope exchange transformations (PETs) in every dimension and developed a renormalization theory for the **Octagonal PETs** ('14)
- Yi constructed renormalizable triple lattice PETs ('17)

Our Goal

Find a large family of **minimal** DEMs and develop their **renormalization theory**

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Cut-and-Project Sets

- L a full-rank lattice in \mathbb{R}^3
- X a domain in the xy -plane

Define:

$$\Lambda(X, L) = \{x \in L : \pi_{xy}(x) \in X\}$$

$$P = \{\pi_z(p) : p \in L \text{ and } \pi_{xy}(p) \in X\}.$$

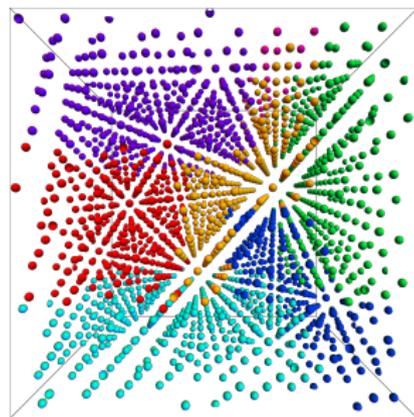


Figure: Lattice points $\Lambda(X, L)$

Definition

P is a **cut-and-project set** if

- 1 $\pi_z|_L$ is injective
- 2 $\pi_{xy}(L)$ is dense in \mathbb{R}^2 .

- $\Lambda(X, L)$ has a natural ordering: $\{\dots, x_{-1}, x_0, x_1, \dots\}$ where

$$\pi_z(x_i) < \pi_z(x_j) \quad \text{for } i < j$$

- Define $\tilde{T} : \Lambda(X, L) \rightarrow \Lambda(X, L)$ by $\tilde{T}(x_i) = x_{i+1}$

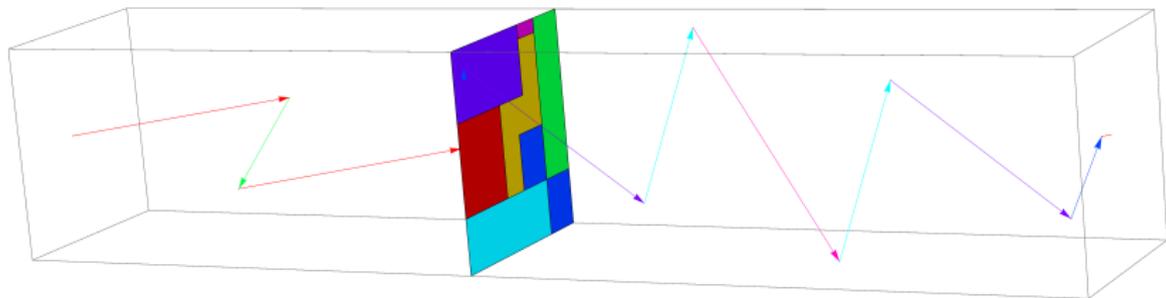


Figure: \tilde{T} and the partition associated to the induced DEM T

- \tilde{T} has **finitely** many translation vectors $\mathcal{E} = \{\eta_i\}_{i=0}^N$
- $\pi_{xy} \circ \tilde{T}$ induces a DEM $T : X \rightarrow X$ with translations $v_i = \pi_{xy}(\eta_i)$, $i = 0, \dots, N$ with **inherited** ordering

Proposition

T is a DEM on X

Proof.

Partition X greedily into finitely many sets on which $\pi_{xy} \circ \tilde{T}$ is constant □

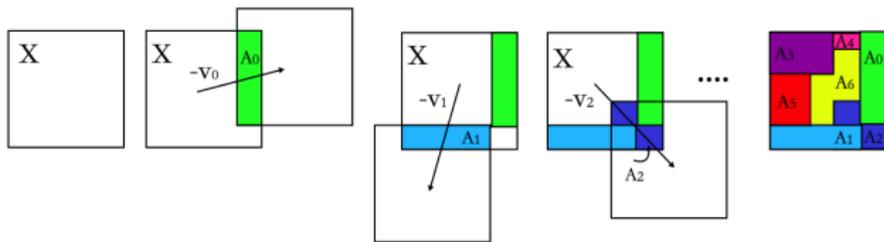


Figure: Constructing the partition induced by $\pi_{xy} \circ \tilde{T}$

Let $f_v(x) = x + v$ for $x \in \mathbb{R}^2$ denote translation by $v \in \mathbb{R}^2$

$$A_0 = f_{v_0}^{-1}(X) \cap X \quad \text{and} \quad A_k = (f_{v_k}^{-1}(X) \cap X) \setminus \bigcup_{j=0}^{k-1} A_j \quad \text{for } k = 1, \dots, N$$

Theorem

Every well-defined orbit is *dense* and *equidistributed* in X

Proof:

$$i : X \rightarrow \mathbb{R}^3/L$$

$$\Phi_t(x, y, z) = (x, y, z + t) \pmod L$$

$$\tau_p = \inf\{t > 0 \mid \Phi_t(i(p)) \in i(X)\}$$

- T is conjugate to the first return map to X of the vertical linear flow on \mathbb{R}^3/L :

$$(i \circ T)(p) = (\Phi_{\tau_p} \circ i)(p)$$

- Orbits of vertical linear flow are dense and equidistributed by Weyl's Equidistribution Theorem

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Constructing **renormalizable** DEMs

- **Idea:** use the algebraic structure of the lattice to find renormalizable cut-and-project DEMs

Definition

A **Pisot-Vijayaraghavan or PV number** is a real algebraic integer with modulus larger than 1 whose Galois conjugates have modulus strictly less than one.

For $n \geq 1$ the leading root of

$$x^3 - (n+1)x^2 + nx - 1 = 0$$

is a PV number

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- $\lambda = \lambda_3$ a PV number with Galois conjugates $\lambda_1, \lambda_2 \in \mathbb{R}$
- Let L be the Galois embedding $\mathbb{Z}[\lambda] \hookrightarrow \mathbb{R}^3$

$$L = \langle (1, 1, 1), (\lambda_1, \lambda_2, \lambda_3), (\lambda_1^2, \lambda_2^2, \lambda_3^2) \rangle$$

$\implies \Lambda(X, L)$ is a cut-and-project set

- $\mathbb{Z}[\lambda]$ can be identified with \mathbb{Z}^3

$$(a, b, c) \mapsto a + b\lambda + c\lambda^2.$$

$$\pi_{xy}(a + b\lambda + c\lambda^2) = (a + b\lambda_1 + c\lambda_1^2, a + b\lambda_2 + c\lambda_2^2)$$

$$\pi_z(a + b\lambda + c\lambda^2) = a + b\lambda_3 + c\lambda_3^2$$

Definition

A **PV DEM** is a cut-and-project DEM associated to the Galois embedding of a PV number with real Galois conjugates

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Definition

A **PV DEM** is a cut-and-project DEM associated to the Galois embedding of a PV number with real Galois conjugates

- Choose the domain $X = [0, 1] \times [0, 1] \implies$ DEMs are **REMs** with rectilinear tiles

$$\mathcal{S} = \left\{ M_n = \begin{bmatrix} 0 & 1 & 0 \\ 0 & 0 & 1 \\ 1 & -n & n+1 \end{bmatrix}, n \geq 6 \right\}$$

$$\det(\lambda I - M_n) = \lambda^3 - (n+1)\lambda^2 + n\lambda - 1$$

Fact: $0 < \lambda_1(M_n) < \lambda_2(M_n) < 1 < \lambda_3(M_n)$

$\lambda_3(M_n)$ is a PV number and determines a PV REM T_{M_n}

Theorem

The PV REMs $\{T_{M_n}\}_{n \geq 6}$ all have the same *combinatorics*

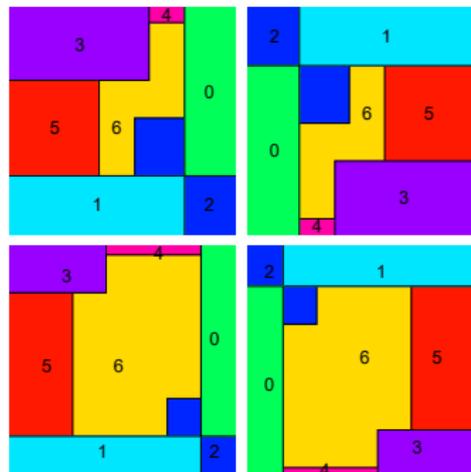


Figure: Two REMs with the same combinatorics

Coordinates of the tiles for the PV REM T_{M_n} , $\lambda_i = \lambda_i(M_n)$

$$A_0 = [1 - \lambda_1, 1] \times [1 - \lambda_2, 1]$$

$$A_1 = [0, 1 - \lambda_1] \times [0, 1 - \lambda_2]$$

$$A_2 = ([1 - 2\lambda_1, 1 - \lambda_1] \times [1 - \lambda_2, 2 - 2\lambda_2]) \cup ([1 - \lambda_1, 1] \times [0, 1 - \lambda_2])$$

$$A_3 = [0, 3\lambda_1 - \lambda_1^2] \times [-1 + 3\lambda_2 - \lambda_2^2, 1]$$

$$A_4 = [3\lambda_1 - \lambda_1^2, 1 - \lambda_1] \times [2\lambda_2 - \lambda_2^2, 1]$$

$$A_5 = [0, 2\lambda_1 - \lambda_1^2] \times [1 - \lambda_2, -1 + 3\lambda_2 - \lambda_2^2]$$

$$A_6 = ([1 - 2\lambda_1, 3\lambda_1 - \lambda_1^2] \times [2 - 2\lambda_2, -1 + 3\lambda_2 - \lambda_2^2])$$

$$\cup ([2\lambda_1 - \lambda_1^2, 1 - 2\lambda_1] \times [1 - \lambda_2, -1 + 3\lambda_2 - \lambda_2^2])$$

$$\cup ([3\lambda_1 - \lambda_1^2, 1 - \lambda_1] \times [2 - 2\lambda_2, 2\lambda_2 - \lambda_2^2]).$$

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Renormalization scheme

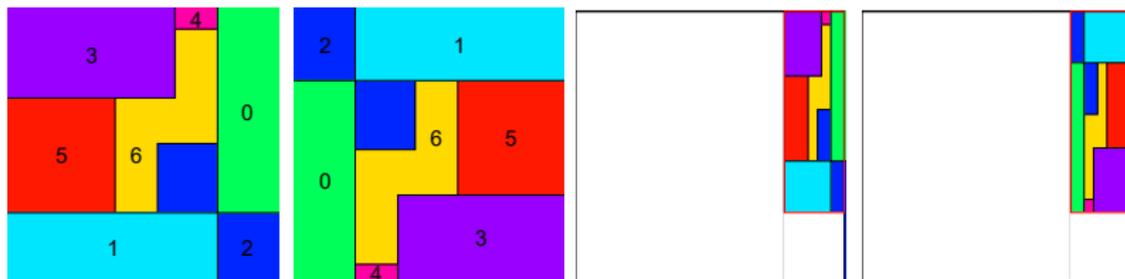


Figure: PV REM T_{M_6} and the partition induced by the first return map $\hat{T}_{M_6}|_Y$ to $Y = A_0$

Theorem

Let

- $M \in \mathcal{S}$ a matrix with eigenvalues $0 < \lambda_1 < \lambda_2 < 1 < \lambda_3$
- T_M the associated PV REM
- $Y \subset X$ the tile in the partition corresponding to the rectangle $[1 - \lambda_1, 1] \times [1 - \lambda_2, 1]$.

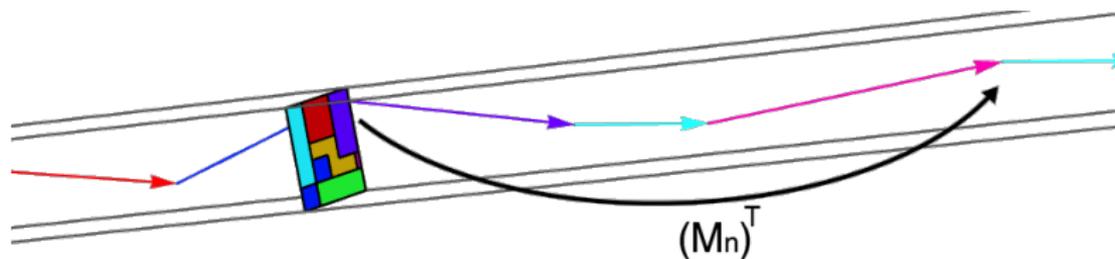
T_M is **renormalizable** with

$$\widehat{T}_M|_Y = \phi^{-1} \circ T_M \circ \phi$$

where $\phi : X \rightarrow Y$ is the affine map

$$\phi : (x, y) \mapsto \left(\frac{x + \lambda_1 - 1}{\lambda_1}, \frac{y + \lambda_2 - 1}{\lambda_2} \right).$$

Proof of the renormalization scheme



$$\Lambda(X, L) = \{(x, y, z) \in \mathbb{Z}^3 \mid \pi_{xy}(x, y, z) \in X\}$$

$$\Lambda_Y = \{(x, y, z) \in \mathbb{Z}^3 \mid \pi_{xy}(x, y, z) \in Y\}$$

Define a **bijection** $\Psi : \Lambda(X, L) \rightarrow \Lambda_Y$

$$\Psi : \begin{bmatrix} a \\ b \\ c \end{bmatrix} \mapsto (M_n)^T \begin{bmatrix} a \\ b \\ c \end{bmatrix} + \begin{bmatrix} 1 \\ -1 \\ 0 \end{bmatrix}$$

which **preserves** the ordering of $\Lambda(X, L)$

$$\pi_z(\omega_i) < \pi_z(\omega_j) \quad \text{if and only if} \quad \pi_z \circ \Psi(\omega_i) < \pi_z \circ \Psi(\omega_j).$$

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Multi-stage REMs

Combine PV REMs to form a **multistage** REM whose renormalization scheme has multiple stages

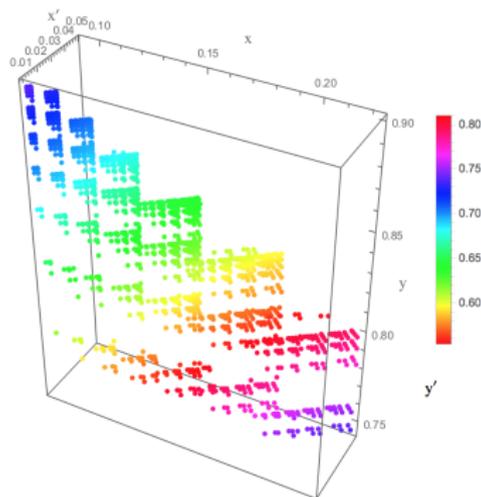


Figure: The 4-dimensional parameter space of multi-stage REMs

Conjecture

The closure of the parameter space of all renormalizable multistage REMs is a Cantor set in \mathbb{R}^4 .

Key lemma

As before let $\mathcal{S} = \left\{ M_n = \begin{bmatrix} 0 & 1 & 0 \\ 0 & 0 & 1 \\ 1 & -n & n+1 \end{bmatrix}, n \geq 6 \right\}$

Define the monoid $\mathcal{M} = \langle \mathcal{S}, \cdot \rangle$

Lemma

If $W \in \mathcal{M}$ then its eigenvalues λ_1, λ_2 and λ_3 are real and satisfy the inequalities

$$0 < \lambda_1 < \lambda_2 < 1 < \lambda_3.$$

\mathcal{M} is a **Pisot monoid** of **Pisot matrices**

Proof

- Find a change of basis S so that $S^{-1}M_nS$ is primitive (has a positive power with positive entries)
- Perron-Frobenius theorem $\implies \lambda_3 > 1$
- Find a change of basis Q so that $Q^{-1}M_n^{-1}Q$ is primitive
- Perron-Frobenius theorem $\implies \lambda_1 > 0$
- Let $P \in \mathcal{M}$ with characteristic polynomial

$$q_P(x) = x^3 - \text{Tr}(P)x^2 + b(P)x - 1$$

- Use induction on the length of the product and Cramer's rule to show $b(P) < \text{Tr}(P)$
- Conclude $\lambda_2 < 1$

Admissible REMs

- A REM with the same combinatorics as the family of PV REMs associated to \mathcal{S}
- Let L be the Galois embedding of the eigenvalues of $M_n \in \mathcal{S}$
- Let $\mathcal{E} = \{\eta_i\}_{i=0}^6$ be the translation vectors associated to the dynamical system $\tilde{T}_{M_n} : \Lambda(X, L) \rightarrow \Lambda(X, L)$
- Let $W \in \mathcal{M}$ with normalized eigenvectors

$$\xi_1 = (1, x, x') \quad \text{and} \quad \xi_2 = (1, y, y'),$$

associated to eigenvalues λ_1 and λ_2 respectively

The REM T_W defined by the translation vectors

$$V = \{v_i = \pi_{xy}(\eta_i), \text{ for } i = 0, 1, \dots, 6\}$$

where $\pi_{xy} : x \mapsto (x \cdot \xi_1, x \cdot \xi_2)$ is **admissible** if it has the same combinatorics as T_{M_n}

The tiles in the partition are given by

$$\textcircled{0} A_0 = [1 - x, 1] \times [1 - y, 1]$$

$$\textcircled{1} A_1 = [0, 1 - x] \times [0, 1 - y]$$

$$\textcircled{2} A_2 =$$

$$([1 - 2x, 1 - x] \times [1 - y, 2 - 2y]) \cup ([1 - x, 1] \times [0, 1 - y])$$

$$\textcircled{3} A_3 = [0, 3x - x'] \times [-1 + 3y - y', 1]$$

$$\textcircled{4} A_4 = [3x - x', 1 - x] \times [2y - y', 1]$$

$$\textcircled{5} A_5 = [0, 2x - x'] \times [1 - y, -1 + 3y - y']$$

$$\textcircled{6} A_6 = ([1 - 2x, 3x - x'] \times [2 - 2y, -1 + 3y - y']) \\ \cup ([2x - x', 1 - 2x] \times [1 - y, -1 + 3y - y']) \\ \cup ([3x - x', 1 - x] \times [2 - 2y, 2y - y']).$$

where

$$\xi_1 = (1, x, x') \quad \text{and} \quad \xi_2 = (1, y, y').$$

Theorem

Admissible REMs are minimal.

Proof.

Let $T : X \rightarrow X$ be an admissible REM

- Let ξ_3 be the eigenvector with eigenvalue λ_3 . Define

$$\pi_z : X \mapsto X \cdot \xi_3 \text{ and } P = \{\pi_z(p) : p \in L \text{ and } \pi_{xy}(p) \in X\}$$

- P is a cut-and-project set
- T defines the same REM as the cut-and-project REM constructed using $\Lambda(X, L)$
- Apply proof of minimality for cut-and-project REMs



- Let $W = M_{n_L} \cdots M_{n_1} \in \mathcal{M}$ and T_W be an admissible REM
- ξ_1, ξ_2 be appropriately normalized eigenvectors of W
- Define $W_1 = M_{n_1}, W_2 = M_{n_2} M_{n_1}, \dots, W = W_L = M_{n_L} \cdots M_{n_1}$
- $\xi_i^k = W_k \xi_i$, for $i = 1, 2$
- Consider projections $\pi_{xy}^k : x \mapsto (x \cdot \xi_1^k, x \cdot \xi_2^k)$

For each k , $V_k = \{v_i^k = \pi_{xy}^k(\eta_i), \text{ for } i = 0, 1, \dots, 6\}$ defines a REM T_k

Definition

An admissible REM T_W is a **multistage REM** if the induced REMs $T_1, T_2, \dots, T_{L-1}, T_L$ all have the same combinatorics

Let T_W be a multi-stage REM with $W = M_{n_L} \cdots M_{n_2} M_{n_1}$.

Theorem

The multistage REM T_W is renormalizable, i.e., for each k there exists $Y_k \subset X$ and an affine map $\phi_k : Y_k \rightarrow X$ such that

$$\widehat{T}_k|_{Y_k} = \phi_k^{-1} \circ T_{k+1} \circ \phi_k.$$

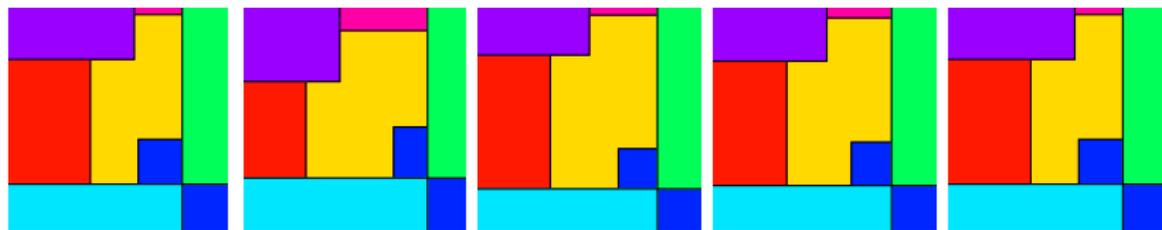


Figure: The multistage REM T_W and associated REMs T_{W_1} , T_{W_2} , T_{W_3} and $T_{W_4} = T_W$ with $W = M_7 M_7 M_8 M_6$.

Each affine map has the form

$$\phi_k : (x, y) \mapsto \left(\frac{x + x_k - 1}{x_k}, \frac{y + y_k - 1}{y_k} \right)$$

where x_k and y_k are the dimensions of the tile in the partition corresponding to the rectangle $[1 - x_k, 1] \times [1 - y_k, 1]$.

$$W_1 = M_{n_1}, W_2 = M_{n_2} M_{n_1}, \dots, W = W_L = M_{n_L} \cdots M_{n_1}$$

$$\xi_i^k = W_k \xi_i, \text{ for } i = 1, 2$$

$$\xi_i^k = (1, x_k, x'_k) \text{ and } \xi_2^k = (1, y_k, y'_k)$$

Outline

- 1 Introduction
 - Main results
 - Background
- 2 Cut-and-Project Domain Exchange Maps (DEMs)
- 3 PV DEMs
- 4 Renormalization scheme for PV REMs
- 5 Multistage REMs
- 6 Further Work on REMs

Extend cut-and-project DEMs to rank 4 lattices and degree 4 Perron numbers

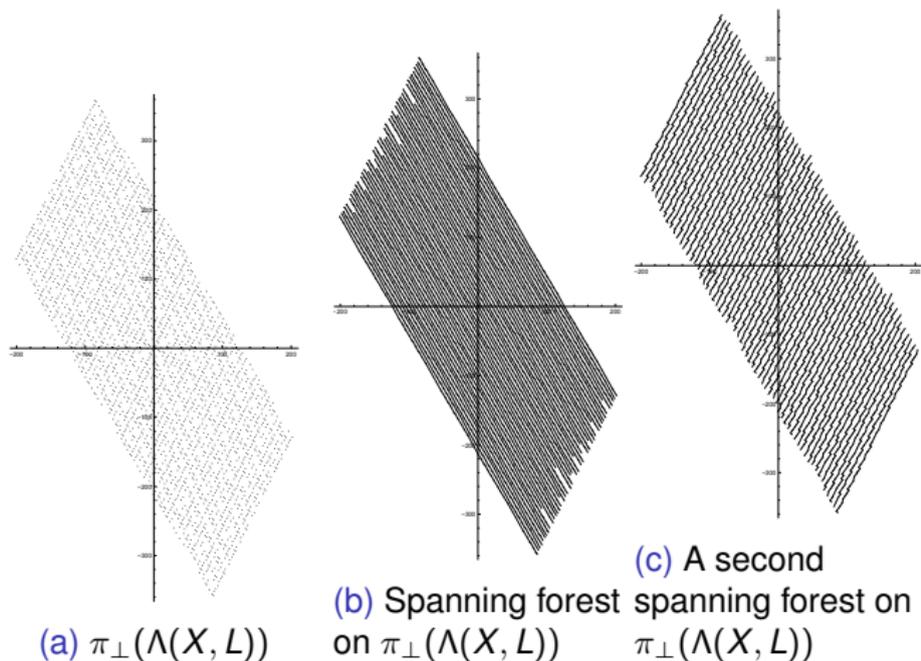
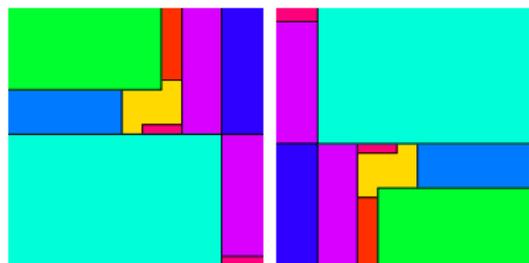
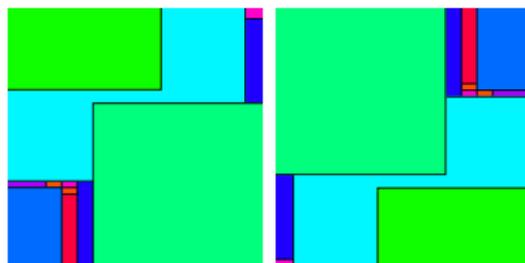


Figure: Lattice determined by roots of $x^4 - 4x^2 + x + 1$



(a) REM induced by previous figure (b)



(b) REM induced by previous figure (c)

Figure: Two REMs associated to $x^4 - 4x^2 + x + 1$

- Study the full parameter space of REMs associated to matrices in \mathcal{M}
- Find a renormalization scheme for REMs associated to rank 4 lattices
- Use the renormalization scheme to construct minimal but non-uniquely ergodic REMs

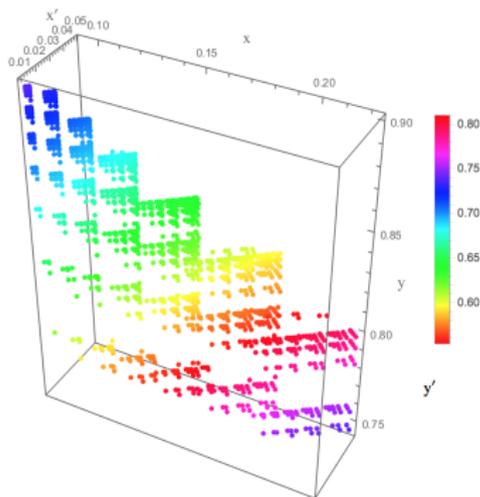


Figure: The 4-dimensional parameter space of multi-stage REMs

Thank you!