

# LOGARITHMIC BOUNDS FOR ERGODIC AVERAGES OF CONSTANT TYPE ROTATION NUMBER FLOWS ON THE TORUS: A SHORT PROOF

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ABSTRACT. We give a short proof that the ergodic averages of  $\mathcal{C}^1$  observables for a  $\mathcal{C}^1$  flow on  $\mathbb{T}^2$  admitting a closed transversal curve whose Poincaré map has constant type rotation number have growth deviating at most logarithmically from a linear one. For this, we relate the latter integral to the Birkhoff sum of a well-chosen observable on the circle and use the Denjoy-Koksma inequality. We also give an example of a nonminimal flow satisfying the above assumptions.

## 1. INTRODUCTION

This work is motivated by the construction by Giulietti and Liverani [8] of the “horocycle flow” associated to an Anosov diffeomorphism. Fix  $r > 1$  and let  $F : \mathbb{T}^2 \rightarrow \mathbb{T}^2$  be a  $\mathcal{C}^r$  Anosov diffeomorphism on the two-torus. Fixing an orientation of the stable bundle  $E^s$  and assuming that  $DF$  preserves this orientation,  $E^s$  can be parametrized by an unitary speed flow  $h^t$ , called the Giulietti–Liverani (stable horocycle) flow (of  $F$ ). Giulietti and Liverani proved that this flow is uniquely ergodic, minimal and that it admits a closed transverse curve such that the rotation number of the first return map to this curve is of constant type. For more basic facts about this flow, see [2, Appendix A].

For any continuous function  $f : \mathbb{T}^2 \rightarrow \mathbb{C}$ , any  $T > 0$  and any  $x \in \mathbb{T}^2$ , define the horocycle average  $H_{x,T}(f) = \int_0^T f(h^t(x)) dt$ . By unique ergodicity, we have for any such  $x$  and  $f$ ,

$$\lim_{T \rightarrow \infty} \frac{H_{x,T}(f)}{T} = \mu^s(f) := \int_{\mathbb{T}^2} f d\mu^s,$$

where  $\mu^s$  is the unique invariant probability measure of the flow  $h^t$ .

For large enough  $r$ , Giulietti and Liverani associate a transfer operator to  $F$  on some suitable Banach space. Using eigenvectors of the dual operator associated to eigenvalues with modulus larger than the essential spectral radius (Ruelle resonances), they give an asymptotic expansion of  $H_{x,T}(f)$  [8, Theorem 2.8]. The dominant term is the term  $T\mu^s(f)$ , corresponding to the trivial resonance  $\lambda_0 = e^{h_{top}}$ , where  $h_{top}$  is the topological entropy of  $F$ . This expansion also involves a negative power law error term. A simpler asymptotic expansion, in the case where all Ruelle resonances of the transfer operator have trivial Jordan blocks, can be found in [2, Equation (1.2)]

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In their recent works, V. Baladi [2] and G. Forni [7] independently proved that horocycle averages do not have deviations, in other words the expansion is limited to the linear term with a bounded remainder. Their proofs are quite different: V. Baladi proves the strong result that the map  $F$  does not have non-trivial Ruelle resonance, while G. Forni uses the action of the (pseudo-)Anosov diffeomorphism on the first cohomology – in the more general setting of surfaces of genus at least one.

In this note we give a new, much shorter, proof of the absence of deviations for horocycle averages by considering a slightly more general setting: we no longer assume that the flow can be obtained from the stable bundle of an Anosov diffeomorphism. Instead, we only assume that the flow can be recovered from the suspension of a circle diffeomorphism whose rotation number is of constant type. In particular, these flows are uniquely ergodic. For clarity issues, we call “ergodic average” for this type of flows the same quantity we defined as “horocycle average” for Giulietti–Liverani flows.

We give an elementary proof that the ergodic average of a  $C^1$  observable along the trajectory of such a flow on the two-torus grows at most logarithmically if the observable has zero average with respect to the unique invariant measure of the flow. This is the content of our main theorem (Theorem 2.2).

When comparing this estimate to the asymptotic expansion given by Giulietti and Liverani [8, Theorem 2.8], this result gives a new proof of the absence of deviation for the horocycle average.

Finally, we prove that the class of flows we consider here is strictly larger than the class of Giulietti–Liverani flows by constructing a flow satisfying our assumptions but which is not minimal – in contrast to all Giulietti–Liverani flows. This is the content of Theorem 3.1.

## 2. MAIN RESULT

Given a flow  $h_t$  on the two-torus, we call *ergodic average* of an observable  $f : \mathbb{T}^2 \rightarrow \mathbb{C}$  at  $x \in \mathbb{T}^2$  and  $T > 0$  the quantity  $H_{x,T}(f) := \int_0^T f \circ h_t(x) dt$ .

Recall the following classical theorem – we give a short proof of this fact using results from [10] in order to introduce notations for the proof of our main result. In particular it gives a simple sufficient condition for a flow to be written as the suspension of a circle diffeomorphism.

**Theorem 2.1.** *If  $h_t$  is a  $C^1$  flow on the torus  $\mathbb{T}^2$  without critical point nor periodic orbit, then there exists a closed curve  $\gamma$  transverse to  $h_t$  such that  $h_t$  is smoothly conjugated to the suspension of the first return map  $R : \gamma \rightarrow \gamma$ . Moreover, the flow  $h_t$  is uniquely ergodic, with a unique invariant measure  $\mu$ .*

Recall that an irrational number is of constant type if the sequence  $(a_k)_k$  of its coefficients in its continued fraction expansion is bounded. We can now state our main result, using notations from the previous theorem.

**Theorem 2.2.** *If  $h_t$  is a  $C^1$  flow on the torus  $\mathbb{T}^2$  without critical point nor periodic orbit, and if the rotation number of the Poincaré first return map  $R$  is of constant type, then there exist constants  $K_1$  and  $K_2$  such that for any  $C^1$  observable  $f$  with  $\int f d\mu = 0$ , any  $x$  and any  $T > 0$ ,*

$$|H_{x,T}(f)| \leq K_1 \|f\|_\infty \log^+ T + K_2 \|f\|_\infty.$$

More precise versions of that estimate in the case of Giulietti–Liverani flows can be found in [2] and in [7]. The bound obtained by V.Baladi [2] is much tighter – but the proof is longer – while the estimate given by G.Forni [7] applies to flows on higher genus surfaces.

*Proof of Theorem 2.1.* By the theorem of Krylov–Bogolyobov, there exists a probability measure  $\mu$  invariant by the flow. We can apply the Poincaré recurrence theorem to a non-zero time of the flow to get recurrent points. It follows that the flow  $h_t$  has recurrent orbits. By hypothesis on the flow, these orbits cannot be periodic. Hence, by [10, Propositions 14.2.1 and 14.2.3] there exists a smooth closed curve  $\gamma$  transverse to  $h_t$  and parametrised by  $\mathbb{S}^1$  such that every orbit of  $h_t$  intersects  $\gamma$ . We can therefore apply [10, Corollary 14.2.3] to get that  $h_t$  is smoothly conjugated to the suspension flow of the first return map  $R$  to  $\gamma$ . The conjugation is  $\mathcal{C}^1$ , since the change of coordinates is  $(\theta, t) \mapsto h_t(\theta)$ .

The map  $R : \mathbb{S}^1 \rightarrow \mathbb{S}^1$  is a  $\mathcal{C}^1$  diffeomorphism of the circle which has no periodic point. It is a classical result – see [4, Theorem 3.3.5] – that  $R$  is uniquely ergodic, of invariant measure  $\nu$ , and that its rotation number is irrational. From this, we deduce that  $h_t$  is uniquely ergodic, with a unique invariant measure  $\mu$ .  $\square$

We can now give the proof of our main result.

*Proof of Theorem 2.2.* Suppose that the rotation number  $\omega$  of  $R$  is of constant type. In order to prove the estimate, we will compare the ergodic average to the Birkhoff sum of an appropriate function.

Let us call  $u : \mathbb{S}^1 \rightarrow \mathbb{R}_+$  the time of first return to  $\gamma$ , and let  $f : \mathbb{T}^2 \rightarrow \mathbb{R}$  be a  $\mathcal{C}^1$ -observable such that  $\int_{\mathbb{T}^2} f \, d\mu = 0$ . The function  $u$  is of class  $\mathcal{C}^1$ . Define the  $\mathcal{C}^1$  observable  $g$  on  $\gamma$  by the formula

$$g(x) = \int_0^{u(x)} f \circ h_t(x) \, dt.$$

To estimate the ergodic average of  $f$  by the Birkhoff sum of  $g$  under the map  $R$ , we use the following lemma.

**Lemma 2.3.** *For all  $x \in \gamma$  and  $T > 0$  there exists  $n$  satisfying  $\frac{T}{\sup(u)} \leq n \leq \frac{T}{\inf(u)}$  and such that*

$$\left| H_{x,T}(f) - \sum_{k=0}^{n-1} g \circ R^k(x) \right| \leq \sup(u) \sup |f|.$$

*For all  $y \in \mathbb{T}^2$  there is  $0 \leq \tau < \sup u$  and  $x \in \gamma$  such that  $y = h_\tau(x)$  and*

$$|H_{x,T+\tau}(f) - H_{y,T}(f)| \leq \sup(u) \sup |f|.$$

*Proof.* We only prove the estimate on  $n$ . Since  $\inf u > 0$ , there exists  $n$  such that  $\sum_{k=0}^{n-1} u \circ R^k(x) \leq T < \sum_{k=0}^n u \circ R^k(x)$ . Hence  $n \inf u \leq T$  and  $n \sup u \geq T$ .  $\square$

In order to conclude by applying the Denjoy–Koksma theorem (see [9, Theorem VI.3.1]), we also need the following lemma.

**Lemma 2.4.** *If  $\omega = [0, a_1, \dots, a_k, \dots]$  is of constant type, then for any integer  $n > 1$  there exists integers  $N$  and  $(n_1, \dots, n_N)$  such that  $n - 1 = \sum_{k=0}^N n_k q_k$ , where  $\frac{p_k}{q_k} = [0, a_1, \dots, a_k]$ .*

Furthermore, we can choose  $N < 4\log(n)/\log(2)$  and  $n_k \leq B$  for all  $k$ , where  $B$  is a bound on the coefficients  $(a_k)_{k \geq 1}$ .

*Proof.* Since the sequence  $(q_k)_k$  satisfies the recursion formula  $q_{k+1} = a_k q_k + q_{k-1}$  with  $q_0 = 1$  and  $q_1 = a_1$ , we get by induction that  $2^{\frac{k-1}{2}} \leq q_k$ . Therefore, there exists  $N$  such that  $q_N \leq n-1 < q_{N+1}$  with the estimate  $N < 4\log(n)/\log(2)$ .

Define inductively the sequences  $(r_k)_{0 \leq k \leq N+1}$  and  $(n_k)_{0 \leq k \leq N}$  by  $r_{N+1} := n-1$  and the Euclidean division  $r_{k+1} = n_k q_k + r_k$ , with  $0 \leq r_k < q_k$ . Clearly, we get that  $n-1 = \sum_{k=0}^N n_k q_k$  (because  $q_0 = 1$ ). By contradiction, suppose there exists  $k$  such that  $n_k > B+1$ . Then

$$r_{k+1} = n_k q_k + r_k > (B+1)q_k + r_k > a_{k+1}q_k + q_{k-1} + r_k = q_{k+1} + r_k.$$

Therefore  $r_{k+1} \geq q_{k+1}$ , which is a contradiction. Hence  $n_k \leq B$  for all  $k$ .  $\square$

Since  $g$  is  $\mathcal{C}^1$ , it is of bounded variation. In addition, the denominators  $(q_k)_k$  associated to  $\omega$  satisfy the assumption  $|q_k \omega - p| < 1/q_k$  for all integers  $p$ . We can therefore apply the Denjoy–Koksma theorem to  $g$ ,  $R$  and any  $q_k$ . Furthermore notice that, by construction,  $g$  is of  $\nu$ -average 0.

Fix  $x \in \mathbb{T}^2$  and  $T > 0$ . By Lemma 2.3, there exist a point  $y \in \gamma$  and an integer  $n$  from which we can estimate the ergodic average of  $f$  at  $x$  with the Birkhoff sum of  $R$  at  $y$ . By Lemma 2.4 we can decompose  $n-1$  in a sum from which we deduce the equality

$$\sum_{k=0}^{n-1} g \circ R^k(y) = \sum_{l=0}^N \sum_{m=0}^{n_l-1} \sum_{k=0}^{q_l-1} g \circ R^k \left( R^{mq_l + \sum_{i=0}^{l-1} n_i q_i} y \right).$$

From the Denjoy–Koksma inequality, for all  $0 \leq l \leq N$ , all  $0 \leq m < n_l$  and all  $y$  in  $\gamma$ ,

$$\left| \sum_{k=0}^{q_l-1} g \circ R^k \left( R^{mq_l + \sum_{i=0}^{l-1} n_i q_i} y \right) \right| < \text{Var}(g),$$

we deduce the estimate

$$\left| \sum_{k=0}^{n-1} g \circ R^k(y) \right| \leq NB \text{Var}(g) \leq \frac{4B \text{Var}(g)}{\log 2} \log n \leq \frac{4B \text{Var}(g)}{\log 2} \log \frac{T}{\sup(u)}.$$

Hence the result,

$$\begin{aligned} |H_{x,T}(f)| &\leq |H_{x,T}(f) - H_{y,T-\tau}| + \left| H_{y,T-\tau} - \sum_{k=0}^{n-1} g \circ R^k(y) \right| + \left| \sum_{k=0}^{n-1} g \circ R^k(y) \right|, \\ &\leq \frac{4B \text{Var}(g)}{\log 2} \log \frac{T}{\sup(u)} + 2 \sup(u) \sup |f| =: \tilde{K}_1 \log T + \tilde{K}_2. \end{aligned}$$

We can bound  $\text{Var}(g)$  by the product of the length of  $\gamma$  with  $\sup_\gamma |g'|$ . By the definition of  $g$ , we get  $\sup_\gamma |g'| \leq \sup_\gamma |u'| \|f\|_\infty$ . Notice that  $\sup_\gamma |u'|$  only depends on the flow  $h_t$  and on  $\gamma$ . Hence there exist constants  $K_1$  and  $K_2$  that depend only on  $h_t$  such that  $\tilde{K}_1 \leq K_1 \|f\|_\infty$  and  $\tilde{K}_2 \leq K_2 \|f\|_\infty$ .  $\square$

Finally, remark that in order to get a rotation number of constant type, the condition for the flow to not have periodic orbit is necessary: otherwise the existence

of a transverse curve  $\gamma$  is no longer guaranteed, but if such a curve exists then the first return map  $R$  has a periodic point, hence has a rational rotation number.

### 3. A NONMINIMAL FLOW SATISFYING THE ASSUMPTIONS OF THEOREM 2.2

We finish this note by proving that the class of flows we are working with is strictly larger than the class of Giulietti–Liverani flows which are necessarily minimal.

**Theorem 3.1.** *There exists a flow on  $\mathbb{T}^2$  satisfying the assumptions of Theorem 2.2 that is not minimal. Furthermore, the flow can be chosen to be renormalized by an Axiom A diffeomorphism.*

Without the last condition of renormalization, we can simply construct such a flow by taking the suspension of a Denjoy counter-example whose rotation number is of constant type. Such circle diffeomorphisms exist by the original construction of Denjoy, which works for any irrational rotation number. For an expository on the construction of Denjoy counter-examples, see for example<sup>1</sup> [1]. However, there is no reason for the flow obtained by suspending a Denjoy counter-example to be renormalized by an Axiom A diffeomorphism.

In order to build a flow satisfying this last condition, consider the derived from Anosov transformation on the two-torus studied in [6, Chapter 9] and [5]. Recall some notation. Let  $f_\beta : [-\frac{1}{2}, \frac{1}{2}]^2 \rightarrow \mathbb{R}^2$  be as follow

$$f_\beta \begin{pmatrix} x \\ y \end{pmatrix} := \frac{1}{1+\lambda^2} \begin{pmatrix} \lambda & -1 \\ 1 & \lambda \end{pmatrix} \begin{pmatrix} \lambda^2 + \beta k \left( \frac{\sqrt{x^2+y^2}}{2} \right) & 0 \\ 0 & \lambda^{-2} \end{pmatrix} \begin{pmatrix} \lambda & 1 \\ -1 & \lambda \end{pmatrix} \begin{pmatrix} x \\ y \end{pmatrix},$$

where  $\lambda = \frac{1+\sqrt{5}}{2}$ ,  $-\lambda^2 < \beta < 0$  and e.g.  $k(r) = (1-r^2)^2 \mathbb{1}_{[-1,1]}(r)$  so that the map  $f_\beta$  is invariant by the action of  $\mathbb{Z}^2$  and induces the map, also called  $f_\beta$ , on the torus  $\mathbb{T}^2$ . It is shown in [6, Chapter 9] that  $f_\beta$  is a diffeomorphism of class  $C^1$  of the torus and if  $-\lambda^2 < \beta < -\lambda^2 + 1$  then the origin is an attractive hyperbolic fixed point. This map is an explicit example of Smale's derived from Anosov transformation as introduced in [11, Section I.9], here obtained by perturbing Arnold's *cat map*.

Let  $e_u = \frac{1}{\sqrt{1+\lambda^2}} \begin{pmatrix} \lambda \\ 1 \end{pmatrix}$  and  $e_s = \frac{1}{\sqrt{1+\lambda^2}} \begin{pmatrix} -1 \\ \lambda \end{pmatrix}$  be unitary eigenvectors of the matrix  $A := \begin{pmatrix} 2 & 1 \\ 1 & 1 \end{pmatrix}$  respectively associated to eigenvalues  $\lambda^2$  and  $\lambda^{-2}$ . Since  $A$  is symmetric, notice that  $(e_u, e_s)$  is an orthonormal basis. In this basis the Jacobian matrix of  $f_\beta$  is

$$\text{Jac}(f_\beta)(x) = \begin{pmatrix} a_\beta(x) & b_\beta(x) \\ 0 & \lambda^{-2} \end{pmatrix}.$$

It is shown in [3, §3.4 and §3.6] – in a slightly more general context – that the following vector field is well defined and Lipschitz continuous

$$v_\beta^s(x) = e_s - \sum_{i=0}^{\infty} \lambda^{2i} b_\beta(f^i(x)) \prod_{j=0}^i \frac{1}{a_\beta(f^j(x))} e_u, \quad x \in \mathbb{T}^2$$

<sup>1</sup>I thank Selim Ghazouani for indicating me this reference.

for any fixed  $\beta$  in  $]-\lambda^2 + \lambda^{-4}, 0]$  and that the map  $(x, \beta) \mapsto v_\beta^s(x)$  is continuous on  $\mathbb{T}^2 \times ]-\lambda^2 + \lambda^{-4}, 0]$ . Let  $h_t$  be the flow generated by  $v_{\beta_0}^s$  for some fixed  $-\lambda^2 + \lambda^{-4} < \beta_0 < -\lambda^2$ . In fact, if we choose for the function  $k$  any  $\mathcal{C}^2$  unimodal and even function supported in  $[-1, 1]$ , equal to 1 at 0, the induced vector field  $v^s$  enjoys the same properties as before, but it is also  $C^1$  – see the discussion in [3, Appendix A] – hence the flow  $h_t$  is also  $C^1$ . We make such a choice for  $k$ . We claim that this flow satisfies the condition of Theorem 2.2 and that it is not minimal.

In order to prove this result, we first construct a closed transversal curve  $\gamma$ . We then construct a particular homotopy between the first return map and a rigid rotation, where none of the in-between map has a periodic point. From the continuity of the rotation number, it is enough to compute the rotation number of the rigid rotation, which happens to be a quadratic integer. The nonminimality follows from the invariance of a proper closed set  $K$  by the flow  $h_t$ . First we need the following lemma.

**Lemma 3.2.** *The flow  $h_t$  does not have periodic orbit. This is also true for the flow generated by  $v_\beta^s$  for any  $-\lambda^2 + \lambda^{-4} < \beta \leq 0$ .*

*Proof.* By design, each vector field  $v_\beta^s$  satisfies  $d_x f_\beta(v_\beta^s(x)) = \lambda^{-2} v_\beta^s(f_\beta(x))$ . By differentiating according to  $t$  and since  $v_\beta^s$  is Lipschitz continuous, the relation  $f_{\beta_0} \circ h_t = h_{\lambda^{-2}t} \circ f_{\beta_0}$  holds. Therefore, if by contradiction  $h_t$  has a periodic orbit, by applying  $f_{\beta_0}^n$ , for  $n$  large enough, we get an arbitrarily short periodic orbit for the flow. This contradicts the fact that the component along  $e_s$  in the basis  $(e_u, e_s)$  of  $v_{\beta_0}^s$  is constant equal to 1.  $\square$

*Proof of Theorem 3.1.* Since the map  $(x, \beta) \mapsto v_\beta^s(x)$  is continuous on the compact set  $\mathbb{T}^2 \times [\beta_0, 0]$ , the component of these vector fields in the basis  $(e_u, e_s)$  along  $e_u$  is uniformly bounded and along  $e_s$  is equal to 1, by definition. Therefore, there exists a vector  $w$  of rational slope, say  $w = \frac{1}{\sqrt{p^2+q^2}} \begin{pmatrix} q \\ p \end{pmatrix}$ , where  $p$  and  $q$  are coprimes. Define  $\gamma$  to be the closed curve passing through  $(0, 0)$  and with slope  $p/q$ . By choice of  $w$ , the curve  $\gamma$  is transverse to  $v_\beta^s$  and so for every  $\beta$  in  $[\beta_0, 0]$ . We can naturally parametrize  $\gamma$  by  $\mathbb{S}_1$ .

Let  $R : \mathbb{S}_1 \rightarrow \mathbb{S}_1$  be the map of first return to  $\gamma$  of  $h_t$ . Notice that performing a time change on this flow does not affect the first return map  $R$ , but only the time of first return function  $u$ . In order to simplify computations, renormalize the vector fields as following

$$w_\beta^s = \frac{1}{\langle v_\beta^s, w^\perp \rangle} v_\beta^s$$

so that, for each  $\beta$ , the flow  $\phi_t^{(\beta)}$  generated by  $w_\beta^s$  has a constant time of first return function  $u_\beta \equiv \tau_\beta$ , where  $w^\perp$  is the unitary vector equal to  $w$  rotated by an angle  $\pi/2$ . These time of first return functions do not depend on  $\beta$ , in other words  $\tau_\beta \equiv \tau$ . Since  $b_0 \equiv 0$ , notice that  $w_0^s$  is a constant vector field, hence its map of first return to  $\gamma$  is a rigid translation  $R_\alpha : x \mapsto x + \alpha$ . Introduce also the notation  $R^{(\beta)}$  for the first return map to  $\gamma$  of  $\phi_t^{(\beta)}$ .

By [3, Section 3.6], the map  $\beta \mapsto v_\beta^s$  is continuous for the  $\mathcal{C}^0$ -topology on the space of vector fields. From a Gronwall type argument, we get that  $\beta \mapsto R^{(\beta)}$  is continuous for the  $\mathcal{C}^0$ -topology. Now, by [9, Proposition II.2.7], the map  $\beta \mapsto \rho(R^{(\beta)})$  is

continuous, where  $\rho(R^{(\beta)})$  stands for the rotation number of  $R^{(\beta)}$ . In order to prove that  $\rho(R) = \alpha$ , we prove that  $\rho(R^{(\beta)})$  cannot be rational, but this directly follows from Lemma 3.2. Hence  $\beta \mapsto \rho(R^{(\beta)})$  is a constant map and  $\rho(R) = \alpha$ .

We now compute the value of  $\alpha$ . Consider lifts  $\tilde{w}_{(0)}^s$ ,  $\tilde{\gamma}$  and  $\tilde{\phi}_t^{(0)}$  to  $\mathbb{R}^2$  of respectively  $w_0^s$ ,  $\gamma$  and  $\phi_t^{(0)}$ . Let  $(\partial_x, \partial_y)$  be the canonical basis of  $\mathbb{R}^2$ . Notice that the arc  $\{\tilde{\phi}_t^{(0)}((0, 1)) \mid -q\tau \leq t \leq 0\}$  starts at the point  $(0, 1)$  and ends on the branch of  $\tilde{\gamma}$  containing  $(0, 0)$  at some point  $cw$ , for some  $c > 0$ . The coordinates of this intersection point satisfy the system of equations

$$\begin{cases} -q\tau \langle w_{(0)}^s, \partial_x \rangle = cq(p^2 + q^2)^{-2} \\ 1 - q\tau \langle w_{(0)}^s, \partial_y \rangle = cp(p^2 + q^2)^{-2}, \end{cases}$$

where  $\langle \cdot, \cdot \rangle$  denotes the usual scalar product. Now, notice that  $c/|\gamma| = -q\alpha$ , where  $|\gamma|$  is the length of the closed curve  $\gamma$ . We can solve these equations for  $\alpha$  and get

$$\alpha = \frac{1}{q^2} \frac{1}{\lambda + \frac{p}{q}}$$

which clearly is a quadratic integer, since  $\lambda$  is. Therefore  $\alpha$  is of constant type.

The nonminimality of  $h_t$  is ensured by properties proven in [6, Chapter 9]. More precisely, let  $U$  be the basin of attraction of  $(0, 0)$  for  $f_{\beta_0}$  and  $K$  be its complement in the torus. In [6, Chapter 9], Coudène proved that the set  $K$  is nonempty and that  $U$  and  $K$  are invariant by  $f_{\beta_0}$ . Now, since  $f_{\beta_0} \circ h_t = h_{\lambda^{-2}t} \circ f_{\beta_0}$ , the sets  $U$  and  $K$  are invariant by the flow  $h_t$ .

Finally, the map  $f$  is an Axiom A diffeomorphism since  $f$  is transitive [6, Chapter 9] on the hyperbolic set  $K$  [3, Section 3.2]. Therefore, by the shadowing lemma, periodic points are dense in the compact invariant set  $K$  which coincides with the nonwandering set of  $f$ .  $\square$

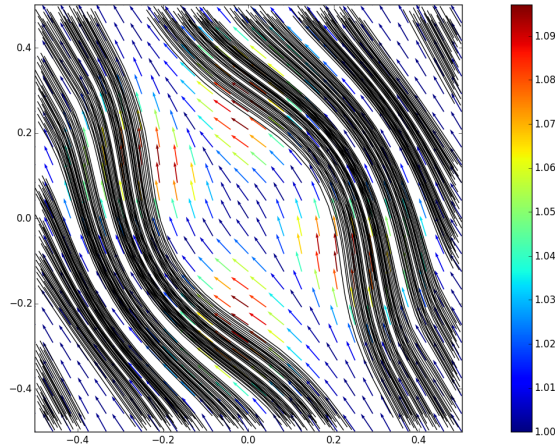


FIGURE 1. Representation of the minimal component  $K$  of the flow  $(h_t)$ . Underneath is the vector field  $v^s$  generating the flow.

Finally, we give in Figure 1 a representation of the set  $K$ . In [6, Chapter 9], it is proven that  $K$  is the closure of the stable leaf  $W^s(p)$  of a hyperbolic fixed point  $p$  for  $f_{\beta_0}$ . From the relation  $f_{\beta_0} \circ h_t = h_{\lambda^{-2}t} \circ f_{\beta_0}$  and the Hartman-Grobman theorem, it follows that this stable leaf is equal to the orbit of  $p$  by the flow  $h_t$ . From [4, Theorem 3.3.4], the set  $K \cap \gamma$  coincides with any  $\omega$ -limit set and any  $\alpha$ -limit set of  $R$ . Therefore, the set  $K$  is the minimal component of  $h_t$  and is also an attractor for both positive and negative times. Moreover,  $K$  is also the support of the unique invariant measure  $\mu$  of  $h_t$ .

Notice however that flows obtained by suspending circle diffeomorphisms of irrational rotation number are minimal on the support of their unique invariant measure.

#### APPENDIX A. ALTERNATIVE PROOF OF THEOREM 3.1 FROM SEMI-CONJUGACY

We give an alternative proof of Theorem 3.1. More precisely, we use the same example, but we compute the rotation number in a different way: we construct a semi-conjugacy map  $h$  so that  $h \circ R = R_\alpha \circ h$ . It will follow that the rotation number of  $R$  is  $\alpha$ . The construction of  $h$  is inspired from the one in the proof of [12, Proposition 7].

*Proof.* Exactly as in the first proof of Theorem 3.1, we construct the closed transversal curve  $\gamma$  and we renormalize the vector fields  $v_\beta^s$  so that the time of first return function to  $\gamma$  of their associated flows is constant. The computation of  $\alpha$  remains the same, and we get that  $\alpha$  is a quadratic integer, hence  $\alpha$  is of constant type. In particular, the rotation  $R_\alpha$  is minimal.

We now prove that the first return map  $R$  of  $h_t$  is semi-conjugated to  $R_\alpha$ . To this end, we construct a surjective and continuous function  $h$  of the circle as follow.

Let  $h(R^n(0)) := R_\alpha^n(0)$  for all  $n \in \mathbb{Z}$ . This map is well defined since  $h_t$  has no periodic orbit by Lemma 3.2, so does  $R$ . In order to extend  $h$  into a continuous map, we first prove that it preserves order of triplets. Fix an orientation of  $\mathbb{S}^1$  – and therefore of  $\gamma$  – seen as  $\mathbb{R}/\mathbb{Z}$ . Let  $x_1 := R^{n_1}(0)$ ,  $x_2 := R^{n_2}(0)$  and  $x_3 := R^{n_3}(0)$  be so that  $(x_1, x_2, x_3)$  is an ordered triplet of  $\mathbb{S}^1$  – we can assume that  $n_1, n_2$  and  $n_3$  are distinct. We prove that the triplet  $(x'_1, x'_2, x'_3) = (h(x_1), h(x_2), h(x_3))$  is also ordered. Consider the family of curves  $\varphi_\beta := \{\phi_t^{(\beta)}(0) \mid \min(n_1, n_2, n_3)\tau \leq t \leq \max(n_1, n_2, n_3)\tau\}$ . By continuity of  $(x, \beta) \mapsto w_\beta^s(x)$ , this family of curves depends on  $\beta$  in a continuous fashion.

Notice that points  $x_1, x_2$  and  $x_3$  correspond to some intersection points between  $\varphi_{\beta_0}$  and  $\gamma$ , and that points  $x'_1, x'_2$ , and  $x'_3$  correspond to some intersection points between  $\varphi_0$  and  $\gamma$ . Furthermore, we can connect  $x_1$  to  $x'_1$  (respectively  $x_2$  to  $x'_2$ , and  $x_3$  to  $x'_3$ ) with intersection points between  $\gamma$  and  $\varphi_\beta$  when varying the value of  $\beta$ . Therefore we can track the evolution of  $(x_1, x_2, x_3)$  with continuous functions  $(x_1(\beta), x_2(\beta), x_3(\beta))$  of  $\beta$  such that  $x_1(\beta_0) = x_1$  and  $x_1(0) = x'_1$  – and similarly for  $x_2(\beta)$  and  $x_3(\beta)$ .

By contradiction, suppose that the triplet  $(x'_1, x'_2, x'_3)$  is not ordered. By continuity, this means that for some value of  $\beta_1$  in  $[\beta_0, 0]$  and without loss of generality  $x_1(\beta_1) = x_2(\beta_1)$ . In other words, this means that the first return map to  $\gamma$  of  $\phi_t^{(\beta_1)}$  has a periodic point, which contradicts Lemma 3.2.

Therefore, the map  $h$  can be lifted into a “degree” one, increasing, function  $\tilde{h} : \pi^{-1}\{R^n(0) \mid n \in \mathbb{Z}\} \rightarrow \pi^{-1}\{R_\alpha^n(0) \mid n \in \mathbb{Z}\}$ , where  $\pi : \mathbb{R} \rightarrow \mathbb{R}/\mathbb{Z}$  is the



canonical projection. In other words,  $\pi \circ \tilde{h} = h \circ \pi$  and  $\tilde{h}(x+1) - \tilde{h}(x) = 1$  for all  $x$  where  $\tilde{h}$  is defined. By minimality of  $R_\alpha$ , the range of  $\tilde{h}$  is dense in  $\mathbb{R}$ . Hence, we can uniquely extend  $\tilde{h}$  by a continuous, increasing and surjective function  $\tilde{h} : \mathbb{R} \rightarrow \mathbb{R}$ . Its projection on the circle, still noted  $h$ , is also continuous and extends  $h$  into a degree one map of the circle. By continuity of  $R$  and of  $R_\alpha$ , we get that  $h \circ R = R_\alpha \circ h$ . Therefore, by [9, Proposition II.2.10], the number of rotation of  $R$  is  $\alpha$ , a quadratic integer.

The nonminimality of  $h_t$  is ensured by properties proven in [6, Chapter 9].  $\square$

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