

# IRREGULAR BEHAVIOR FOR SEMIGROUP ACTIONS

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## PLAN OF THE TALK

1. Ergodic theorems for (semi)group actions  
(‘quenched and annealed averaging’)
2. Irregular points
3. Main results and application to linear cocycles
4. Some ideas in the proofs

ERGODIC THEOREM ( $\mathbb{N}$  AND  $\mathbb{Z}$  ACTIONS)

## ► Birkhoff (1931)

If  $f: (X, \mu) \rightarrow (X, \mu)$  is a measure preserving map and  $\varphi \in L^1(\mu)$  then

$$\tilde{\varphi}(x) := \lim_{n \rightarrow \infty} \frac{1}{n} \sum_{j=0}^{n-1} \varphi(f^j(x))$$

exists for  $\mu$ -a.e.  $x$ , and

$$\int \tilde{\varphi} d\mu = \int \varphi d\mu.$$

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► Assume  $f$  is continuous and  $X$  is a compact metric space. The **basin of attraction** of  $\mu \in \mathcal{M}_{erg}(f)$

$$B(\mu) := \left\{ x \in X : \frac{1}{n} \sum_{j=0}^{n-1} \delta_{f^j(x)} \xrightarrow{w^*} \mu \right\}$$

is a full  $\mu$ -measure set.

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► RMK: The ergodic theorem holds non-stationary identically distributed dynamical systems:

• if  $(f_t)_{t \in T}$  preserve  $(X, \mu)$  and  $\varphi \in L^1(\mu)$  then

$$\varphi_{\underline{t}} := \varphi(f_{t_n} \circ \dots \circ f_{t_2} \circ f_{t_1})$$

are identically distributed r.v. (depending on  $\underline{t} = (t_1, t_2, \dots)$ )

• if  $\nu$  is a probability measure on  $T$  then, for  $\nu^{\mathbb{N}}$  a.e.  $\underline{t} = (t_1, t_2, \dots)$

$$\lim_{n \rightarrow \infty} \frac{1}{n} \sum_{j=0}^{n-1} \varphi_{\underline{t}}^j(x) \text{ exists } \mu\text{-a.e.}$$

# ERGODIC THEOREMS

RMK:

- The skew-product

$$F: \quad T^{\mathbb{N}} \times X \quad \rightarrow \quad T^{\mathbb{N}} \times X \\ ((t_1, t_2, \dots), x) \mapsto (\sigma(t_1, t_2, \dots), f_{t_1}(x))$$

preserves  $\nu^{\mathbb{N}} \times \mu$

- Take  $\hat{\varphi}(\underline{t}, x) = \varphi(x)$ . By the ergodic and Fubini theorems, for  $\nu^{\mathbb{N}}$ -a.e.  $\underline{t}$  there exists  $X_{\underline{t}} \subset X$  of full  $\mu$ -measure so that

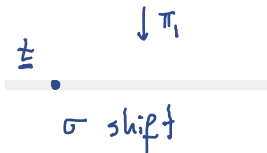
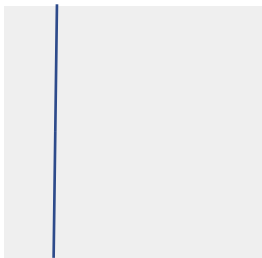
$$\frac{1}{n} \sum_{j=0}^{n-1} \varphi_n^{\underline{t}}(x) = \frac{1}{n} \sum_{j=0}^{n-1} \hat{\varphi}(F^j(\underline{t}, x))$$

exists for every  $x \in X_{\underline{t}}$ .

## ERGODIC THEOREMS

$$X_{\underline{t}} \subseteq T^{\mathbb{N}} \times X$$

skew-product


 $\downarrow$   
 $(\pi_1)_* \eta$ 
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- If  $\zeta$  is  $F$ -invariant and  $\hat{\varphi} \in L^1(\zeta)$  then

$$\lim_{n \rightarrow \infty} \frac{1}{n} \sum_{j=0}^{n-1} \hat{\varphi}(F^j(\underline{t}, x)) \text{ exists}$$

for  $(\pi_1)_* \zeta$ -a.e.  $\underline{t}$  and for every  $x \in X_{\underline{t}}$ , where  $X_{\underline{t}} \subset X$  is a full  $\mu_{\underline{t}}$ -measure set



# ERGODIC THEOREMS (MORE GENERAL GROUP ACTIONS)

$G$  finitely generated (semi)group

$G_1 = \{g_1, g_2, \dots, g_\kappa\}$  generating set (or  $G_1 = \{g_1^{\pm 1}, g_2^{\pm 1}, \dots, g_\kappa^{\pm 1}\}$ )

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- (i) for every  $g \in G$ , the map  $S_g := S(g, \cdot) : X \rightarrow X$  is continuous,
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## ► Templeman (1967) Lindenstrauss (2001)

If  $G$  is an amenable group acting by measure preserving maps,  $\varphi \in L^1(\mu)$  and  $(F_n)_{n \geq 1}$  is a tempered Følner sequence then

$$\lim_{n \rightarrow \infty} \frac{1}{|F_n|} \sum_{g \in F_n} \varphi(g(x))$$

exists for  $\mu$ -a.e.  $x$

A Følner sequence is tempered if  $\exists C > 0$  s.t.

$$\left| \bigcup_{1 \leq k < n} F_k^{-1} F_n \right| \leq C |F_n| \quad \forall n \in \mathbb{N}.$$

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► Guivarch (1969), Nevo & Stein (1994), Bufetov (2002)

If the free group  $G = \mathbb{F}_\kappa$  acts by measure preserving maps and  $\varphi \in L^p(\mu)$  ( $p > 1$ ) then

$$\lim_{n \rightarrow \infty} \frac{1}{2\kappa(2\kappa - 1)^n} \sum_{|g|=n} \varphi(g(x))$$

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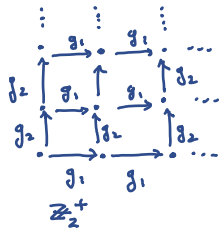
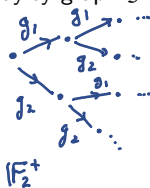
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## ► Pathwise ergodic theorem

Cayley graph  $\mathcal{G}$



Coding of infinite paths:

$\mathbb{F}_\kappa \rightarrow \mathcal{G}$  (or  $\{1, 2, \dots, \kappa\}^{\mathbb{Z}} \rightarrow \mathcal{G}$ )

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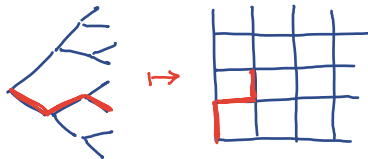
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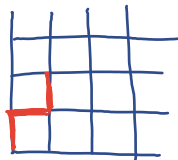
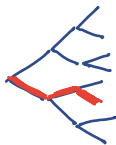
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If  $G$  acts by measure preserving maps and  $\varphi \in L^1(\mu)$  then 'almost all' infinite paths in the Cayley graph  $\mathcal{G}$  are so that

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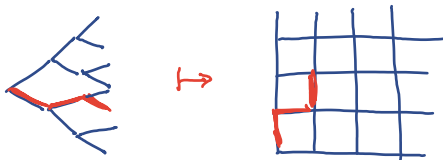
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► RMK: Ghys (2001) proved that a Baire generic pair  $(f, g) \in \text{Homeo}(M)$  generates a free group

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## IRREGULAR BEHAVIOR (a.k.a. non-typical or historical behavior)

- $x \in X$  is  $\varphi$ -irregular if

$$\lim_{n \rightarrow \infty} \frac{1}{n} \sum_{j=0}^{n-1} \varphi(f^j(x)) \text{ does not exist}$$

- $I_\varphi(f)$  is the set of  $\varphi$ -irregular points
- $I_\Phi$  is the set of  $\Phi$ -irregular points, for  $\Phi = (\varphi_n)_{n \geq 1} \in C(X)^\mathbb{N}$

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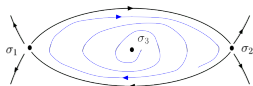


Figure: Irregular behavior on Bowen's eye

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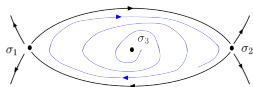


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► **A dichotomy** (Takens 94', 08', Barreira, Schmeling 00', Chen, K\"upper, Shu 05', Li, Wu 13',... )

If  $f : \mathbb{S}^1 \rightarrow \mathbb{S}^1$  is  $C^{1+\alpha}$ -expanding map and  $\varphi : \mathbb{S}^1 \rightarrow \mathbb{R}$  is H\"older then

(a)  $I_\varphi(f) = \emptyset$ ,

or

(b)  $I_\varphi(f)$  is Baire generic, has full topological entropy and full Hausdorff dimension

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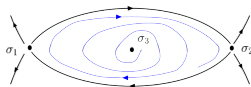


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### Questions:

1. Are there simple criteria to detect when  $I_\varphi(f)$  is Baire generic?
2. Can one expect such dichotomies in the context of group actions?
3. Can one describe the irregular sets of typical group actions (Birkhoff and group averaging)?

MAIN RESULTS ( $\mathbb{N}$  AND  $\mathbb{R}_+$  CONTINUOUS ACTIONS)

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Let  $f$  be a continuous map on a compact metric space  $X$ . Given  $\varphi \in C(X)$ , consider the first integral

$$L_\varphi(x) := \limsup_{n \rightarrow \infty} \frac{1}{n} \sum_{j=0}^{n-1} \varphi(f^j(x))$$

Assume there exist  $\alpha, \beta \in \mathbb{R}$  and dense sets  $X_\alpha, X_\beta \subset X$  so that  $L_\varphi(x) = \alpha < \beta = L_\varphi(y)$  for every  $x \in X_\alpha$  and  $y \in X_\beta$ . Then  $I_\varphi(f)$  is a Baire generic subset of  $X$ .



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RMK: The assumptions are verified whenever there exist two distinct ergodic measures whose basins are dense in  $X$  (even if these are not fully supported)

**Examples:** Hyperbolic sets, continuous maps with specification, homoclinic classes, minimal non-uniquely ergodic maps, Lorenz attractors, singular hyperbolic flows, ...

## MAIN RESULTS (GROUP AVERAGING)

**Theorem 2** (Carvalho, Coelho, Salgado, V., preprint 2021')

Let  $X$  be a Baire metric space,  $\Phi = (\varphi_n)_{n \geq 1} \in C(X)^{\mathbb{N}}$  and

$$\mathcal{W}_\Phi(x) = \text{acc}(\varphi_n(x))_{n \geq 1}$$

Assume there exist dense subsets  $\mathcal{D}_1, \mathcal{D}_2 \subset X$  and  $\varepsilon > 0$  such that

$$\sup_{x \in \mathcal{D}_1, y \in \mathcal{D}_2} \sup_{a \in \mathcal{W}_\Phi(x), b \in \mathcal{W}_\Phi(y)} |a - b| > \varepsilon.$$

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Example:

$$g_1, g_2 : \mathbb{S}^1 \rightarrow \mathbb{S}^1$$

$$g_1(x) = 2x \pmod{1}$$

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$$\varphi \in C(\mathbb{S}^1) \text{ s.t. } \int \varphi d\mu_p \neq \int \varphi d\mu_q$$

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If  $x \in \mathcal{O}^-(p)$  then

$$\frac{1}{n^2} \sum_{i,j=0}^n \varphi(g_1^i g_2^j(x))$$

and

$$\frac{1}{2^n} \sum_{|g|=n} \varphi(g(x)) = \frac{1}{2^n} \sum_{i=0}^n \binom{n}{i} \varphi(g_1^i g_2^{n-i}(x))$$

converge to  $\int \varphi d\mu_p$

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**Corollary:** The sets

$$\left\{ x \in \mathbb{S}^1 : \frac{1}{n^2} \sum_{i,j=0}^n \varphi(g_1^i g_2^j(x)) \text{ diverges} \right\}$$

$$\left\{ x \in \mathbb{S}^1 : \frac{1}{2^n} \sum_{|g|=n} \varphi(g(x)) \text{ diverges} \right\}$$

are Baire residual subsets of  $\mathbb{S}^1$ .

# MAIN RESULTS (AVERAGING ALONG PATHS)

## MAIN RESULTS (AVERAGING ALONG PATHS)

$X$  compact metric space

$G_1 = \{id, f_1, f_2, \dots, f_\kappa\}$  generators

$G$  (semi)group generated by  $G_1$

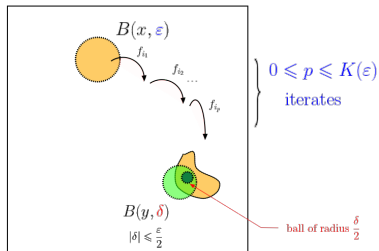
$S : G \times X \rightarrow X$  continuous semigroup action

$S$  has **frequent hitting times** if  $\forall \varepsilon > 0 \exists K(\varepsilon) > 0$   
so that the following holds:

given  $B_1, B_2 \subset X$  balls of radius  $\varepsilon$  and

$0 < \delta \leq \frac{\varepsilon}{2}$ , respectively, there exists

$0 \leq p \leq K(\varepsilon)$ ,  $\underline{\omega} \in \Sigma_\kappa := \{1, 2, \dots, \kappa\}^{\mathbb{N}}$  and a  
ball  $B'_2 \subset B_2$  of radius  $\delta/2$  so that  $f_{\underline{\omega}}^p(B_1) \supset B'_2$ .







# MAIN RESULTS (AVERAGING ALONG PATHS)

## Theorem 3 (Ferreira, V., 2021')

Let  $X$  be a compact metric space and  $S : G \times X \rightarrow X$  be a semigroup action generated by bi-Lipschitz homeomorphisms  $G_1 = \{f_1, f_2, \dots, f_\kappa\}$ . If  $S$  has frequent hitting times and  $\varphi \in C(X)$  is not a co-boundary for some  $f_i$  then the set

$$I_\varphi(\mathbb{S}) := \left\{ x \in X : \frac{1}{n} \sum_{j=0}^{n-1} \varphi(g_\omega^j(x)) \text{ diverges} \right. \\ \left. \text{along some infinite path in } G \right\}$$

is **Baire generic** in  $X$ . Moreover:

- (i)  $h^{GLW}(\mathbb{S}, I_\mathbb{S}(\varphi)) \geq H^{\text{Pinsker}}(\varphi)$
- (ii)  $h^B(\mathbb{S}, I_\mathbb{S}(\varphi)) \geq h_*(\varphi) - \log \kappa$

$h^{GLW}(\mathbb{S}, \cdot)$  = Ghys-Langevin-Walczak's entropy (1988)

$h^B(\mathbb{S}, \cdot)$  = Bufetov's entropy (1999)

$H^{\text{Pinsker}}(\varphi) = c$  if  $\forall \varepsilon > 0 \exists \mu_1, \mu_2 \in \mathcal{M}_{\text{erg}}(F)$  that distinguish  $\varphi$  and  $h_{\mu_i}(F | \sigma) > c - \varepsilon$

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## SOME NOTIONS OF ENTROPY:

 $X$  compact metric space $G_1 = \{id, g_1, g_2, \dots, g_\kappa\}$  continuous,  $G = \bigcup_{n \geq 1} G_n$  semigroup

- $x, y \in X$  are  $(n, \varepsilon)$ -separated along the path  $g_{\omega_n} \circ \dots \circ g_{\omega_2} \circ g_{\omega_1}$  if there exists  $1 \leq j \leq n$  s.t.  $d(g_\omega^j(x), g_\omega^j(y)) > \varepsilon$

- Entropy of infinite path**  $\mathcal{F}_\omega = (g_\omega^j)_j$  in  $G$  (Kolyada-Snoha 96'):

$$h(\mathcal{F}_\omega) = \lim_{\varepsilon \rightarrow 0} \limsup_{n \rightarrow \infty} \frac{1}{n} \log s(\omega, n, \varepsilon)$$

where  $s(\omega, n, \varepsilon) = \max.$  card. of  $(n, \varepsilon)$ -separated points along path

- GLW-entropy of semigroup action** (Ghys-Langevin-Walczak 88'):

$$h^{GLW}(\mathbb{S}) = \lim_{\varepsilon \rightarrow 0} \limsup_{n \rightarrow \infty} \frac{1}{n} \log s(G, n, \varepsilon)$$

where  $s(G, n, \varepsilon) = \max.$  card. of points separated by  $G_n$  elements

- B-entropy of free semigroup action** (Bufetov 99'):

$$h^B(\mathbb{S}) = \lim_{\varepsilon \rightarrow 0} \limsup_{n \rightarrow \infty} \frac{1}{n} \log \left( \frac{1}{\kappa^n} \sum_{g \in G_n} s(\omega, n, \varepsilon) \right)$$

# MAIN RESULTS (AVERAGING ALONG PATHS)

## Theorem 4 (Ferreira, V., 2021')

Let  $X$  be a compact metric space and  $S : G \times X \rightarrow X$  be a semigroup action generated by bi-Lipschitz homeomorphisms  $G_1 = \{f_1, f_2, \dots, f_\kappa\}$ . If  $S$  has frequent hitting times, **some  $f_i$  is minimal** and  $\varphi \in C(X)$  is not a coboundary for some  $f_i$  then

$$I_\omega(\varphi) := \left\{ x \in X : \frac{1}{n} \sum_{j=0}^{n-1} \varphi(g_\omega^j(x)) \text{ diverges} \right\}$$

satisfies:

- (i)  $\{\omega \in \Sigma_\kappa : I_\omega(\varphi) \text{ Baire generic in } X\}$  is Baire generic in  $\Sigma_\kappa$
- (ii)  $\sup_{\omega \in \Sigma_\kappa} h_{I_\omega(\varphi)}(\mathcal{F}_\omega) \geq H^{\text{Pinsker}}(\psi)$
- (iii)  $\{\omega \in \Sigma_\kappa : h_{I_\omega(\varphi)}(\mathcal{F}_\omega) \geq H^{\text{Pinsker}}(\psi)\}$  has entropy  $\geq H_\sigma^{\text{Pinsker}}(\psi)$

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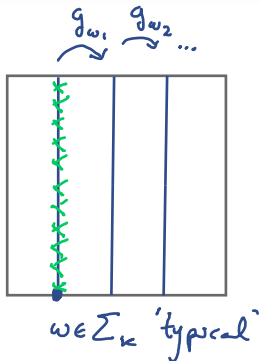
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RMK: Item (i) still holds without the minimality assumption. Previous results by Nakano (2017) on random circle expanding maps.

## APPLICATION: LYAPUNOV IRREGULAR BEHAVIOR

Given  $A_1, A_2, \dots, A_\kappa \in SL(d, \mathbb{R})$  and  $\omega \in \Sigma_\kappa$  set  $A^{(n)}(\omega) := A_{\omega_n} \dots A_{\omega_2} A_{\omega_1}$

► **Furstenberg-Kesten (1960)** if  $\mu = \nu^{\mathbb{Z}}$  the top Lyapunov exponent is ( $\mu$ -a.e.)

$$\lambda_+(A, \nu) = \lim_{n \rightarrow \infty} \frac{1}{n} \log \|A^{(n)}(\omega)\|$$

► **Furstenberg (1963)** if  $\mu = \nu^{\mathbb{Z}}$ , the semigroup generated by matrices is *non-compact* and *strongly irreducible* on  $\text{supp } \nu$  then  $\lambda_+(A, \nu) > 0$ .

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► Skew-product

$$F_A: \begin{array}{ccc} \Sigma_\kappa \times \mathbb{R}^d & \longrightarrow & \Sigma_\kappa \times \mathbb{R}^d \\ (x, v) & \longmapsto & (f(x), A(x) \cdot v) \end{array}$$

► Projective cocycle

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► **Sumi-V.-Yamamoto (2016)**

these skew-products do not satisfy the specification property



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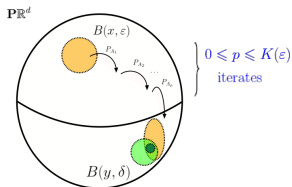
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▶ In low dimension the linear cocycle is 'often' **strongly projectively accessible** (i.e. the projective semigroup action on  $X = \mathbb{P}\mathbb{R}^d$  has frequent hitting times)



**Example:**  $SO(3, \mathbb{R})$  matrices ( $\alpha, \beta \notin \mathbb{Q}$ )

$$\begin{pmatrix} \cos \alpha & -\sin \alpha & 0 \\ \sin \alpha & \cos \alpha & 0 \\ 0 & 0 & 1 \end{pmatrix}, \begin{pmatrix} 1 & 0 & 0 \\ 0 & \cos \beta & -\sin \beta \\ 0 & \sin \beta & \cos \beta \end{pmatrix}$$

## APPLICATION (LYAPUNOV IRREGULAR BEHAVIOR)

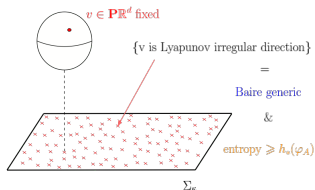
**Theorem 5** (Ferreira, V., 2021')

If  $A_1, A_2, \dots, A_\kappa \in SL(d, \mathbb{R})$  generate a non-compact and strongly projectively accessible semigroup then:

- for each  $v \in \mathbf{P}\mathbb{R}^d$  there exists  $\mathcal{R}_v \subset \Sigma_\kappa$  Baire generic, with entropy at least  $h_*(\varphi_A)$  s.t. for every  $\omega \in \mathcal{R}_v$ ,

$$\liminf_{n \rightarrow \infty} \frac{1}{n} \log \|A^n(\omega)v\| < \limsup_{n \rightarrow \infty} \frac{1}{n} \log \|A^n(\omega)v\| \quad (*)$$

- there exists a Baire residual subset  $\mathcal{R} \subset \Sigma_\kappa$  and a dense subset  $\mathcal{D} \subset \mathbf{P}\mathbb{R}^d$  so that (\*) holds for every  $\omega \in \mathcal{R}$  and every  $v \in \mathcal{D}$ .



## APPLICATION (LYAPUNOV IRREGULAR BEHAVIOR)

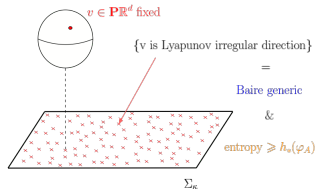
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RMK: Previous results on irregular behavior for the *top Lyapunov exponent* of Hölder continuous cocycles: Herman (1981), Furman (1997), Tian (2015, 2017) These rely on very different techniques: (i) u.s.c. of  $\mu \mapsto \lambda_+(A, f, \mu)$ , (ii) bounded distortion for linear cocycles by Kalinin (2011)

## APPLICATION (LYAPUNOV IRREGULAR BEHAVIOR)

**Corollary** (Ferreira, V., 2021')

Let  $\mathcal{H} \subset C_{\text{loc}}^0(\Sigma_\kappa, SL(3, \mathbb{R}))$  be the set of hyperbolic cocycles. There exist  $C^0$ -open sets  $\mathcal{U}_1$  and  $\mathcal{U}_2$  so that  $\mathcal{U}_1 \cup \mathcal{U}_2$  is dense in  $\mathcal{H}$  and:

1. if  $B \in \mathcal{U}_1$  then the set of Lyapunov irregular points in  $\Sigma_\kappa$  is Baire generic and has full entropy
2. there exists  $\mathcal{R} \subset \mathcal{U}_2$   $C^0$ -Baire residual and full Haar measure s.t. if  $B \in \mathcal{R}$  then

$$\liminf_{n \rightarrow \infty} \frac{1}{n} \log \|B^n(\omega)v\| < \limsup_{n \rightarrow \infty} \frac{1}{n} \log \|B^n(\omega)v\|.$$

for generic  $\omega \in \Sigma_\kappa$  and a dense set of vectors  $\mathcal{D}_\omega \subset E_\omega^s$ .

# A BASIC STRATEGY ( = quantitative control on recurrence)

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- take  $\mu_1, \mu_2$  ergodic so that  $\int \psi d\mu_1 \neq \int \psi d\mu_2$
- pick  $x_1, x_2$  so that  $\frac{1}{n} \sum_{j=0}^{n-1} \psi(f^j(x_i)) \rightarrow \int \psi d\mu_i$  ( $i = 1, 2$ )
- $n_1 \ll n_2 \ll n_3 \ll n_4 \ll \dots$  (arbitrary choice)
- *uniform continuity + specification*  $\Rightarrow$  there exists  $z_k$  which approximates well the finite orbits of  $x_1$  and  $x_2$  alternatively

## A BASIC STRATEGY (= quantitative control on recurrence)

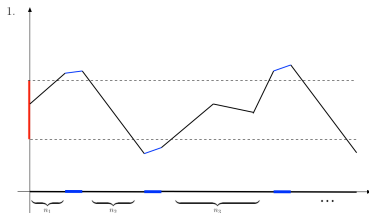
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$$\underbrace{00 \dots 0}_{n_1} * \dots * \underbrace{111 \dots 1}_{n_2} * \dots * \underbrace{0000 \dots 0}_{n_3} * \dots * \dots \underbrace{11111 \dots 1}_{n_k}$$

$\leq p$                        $\leq p$                        $\leq p$

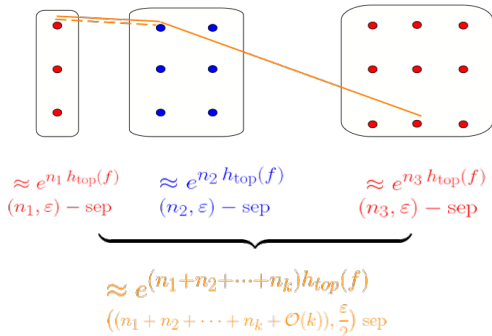
$z_{k+1}$  is a point that  $1/2^k$ -shadows  $z_k$  and the next finite piece of orbit.

- $z = \lim_{k \rightarrow \infty} z_k$  is  $\varphi$ -irregular



## A BASIC STRATEGY (= quantitative control on recurrence)

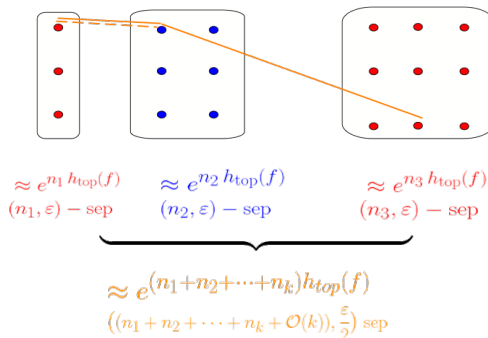
- if  $\mu_1, \mu_2$  ergodic **large entropy** s.t.  $\int \psi d\mu_1 \neq \int \psi d\mu_2$
- find **many** points  $x_i$  so that  $\frac{1}{n} \sum_{j=0}^{n-1} \psi(f^j(x_i)) \rightarrow \int \psi d\mu_i$
- *uniform continuity* + *specification*  $\Rightarrow$  there exist **many** irregular points  $z = \lim_n z_n$  as before





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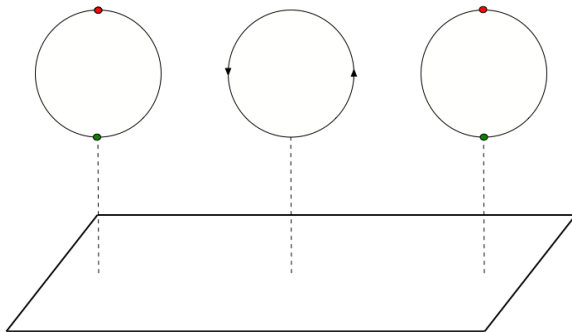
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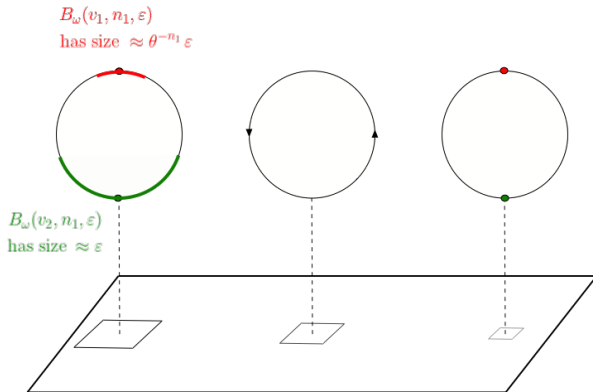
- Similar reasoning yields a Baire generic set

**HOWEVER:** *This argument requires bounded transitions!*

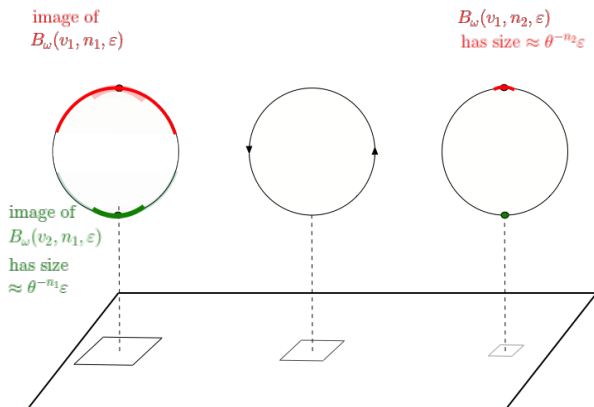
# TOY MODEL



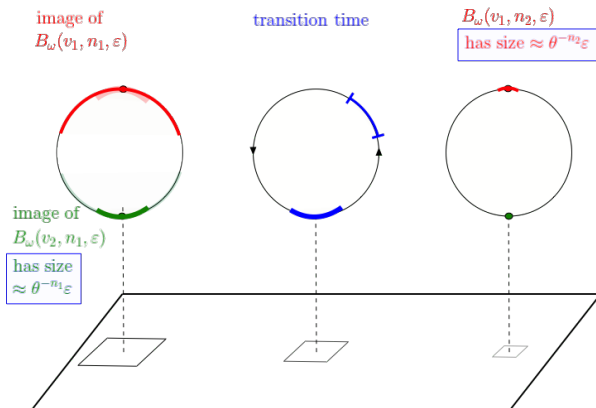
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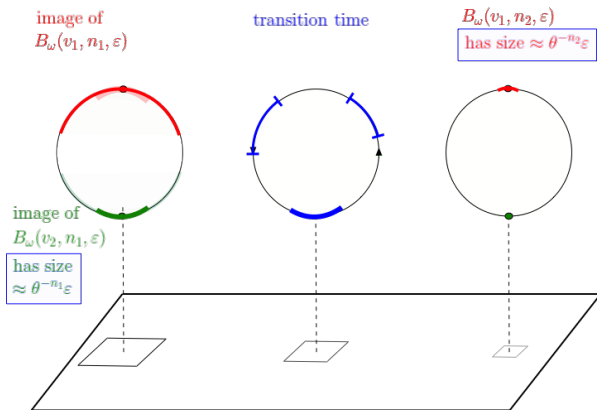
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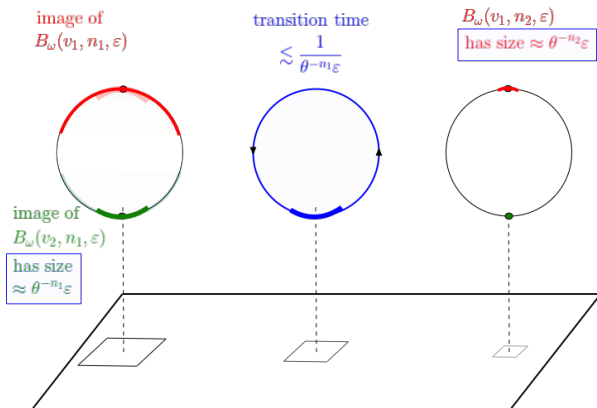
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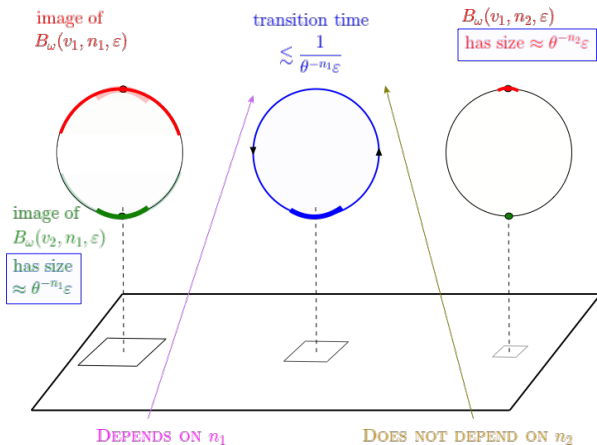
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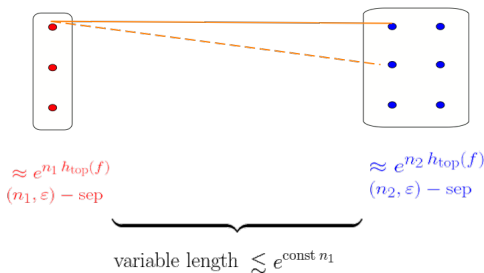
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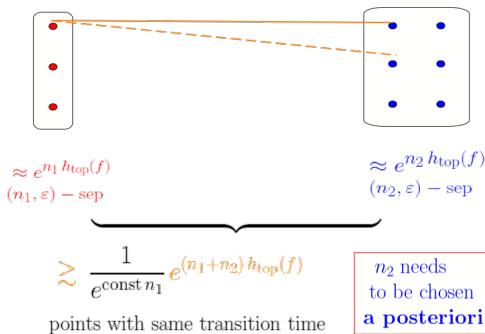
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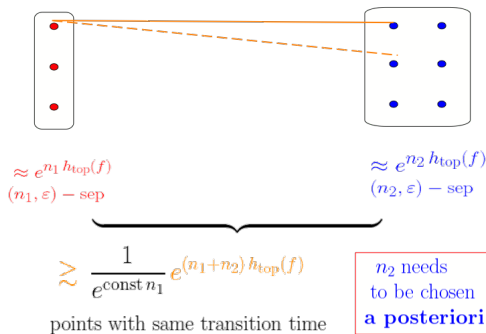
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- $n_1 \ll n_2 \ll n_3 \ll n_4 \ll \dots$  (properly chosen)
- bridge between linear cocycles and projective dynamics, build Moran sets with large entropy, ...

# References



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Thank you