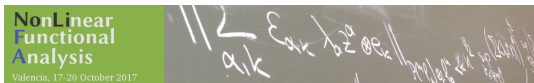


Frequently hypercyclic bilateral shifts

Karl Grosse-Erdmann

Département de Mathématique
Université de Mons, Belgium

October 19, 2017



How not to solve a problem that is not due to Bayart and Grivaux

Linear dynamics

In linear dynamics, the three central notions are those of

- hypercyclic operators
- chaotic operators
- frequently hypercyclic operators

An operator $T : X \rightarrow X$ on a separable Banach space X is **hypercyclic** if there is some $x \in X$ (called **hypercyclic vector**) such that

$$\text{orb}(x, T) = \{x, Tx, T^2x, \dots\} \quad \text{is dense in } X.$$

An operator $T : X \rightarrow X$ on a separable Banach space X is **hypercyclic** if there is some $x \in X$ (called **hypercyclic vector**) such that

$$\text{orb}(x, T) = \{x, Tx, T^2x, \dots\} \quad \text{is dense in } X.$$

By the Birkhoff transitivity theorem (1920), an operator T is hypercyclic if and only if

$$\forall U, V \neq \emptyset \text{ open}, \exists n : T^n(U) \cap V \neq \emptyset.$$

An operator $T : X \rightarrow X$ on a separable Banach space X is **hypercyclic** if there is some $x \in X$ (called **hypercyclic vector**) such that

$$\text{orb}(x, T) = \{x, Tx, T^2x, \dots\} \text{ is dense in } X.$$

By the Birkhoff transitivity theorem (1920), an operator T is hypercyclic if and only if

$$\forall U, V \neq \emptyset \text{ open}, \exists n : T^n(U) \cap V \neq \emptyset.$$

And then the set of hypercyclic vectors is residual.

An operator $T : X \rightarrow X$ on a separable Banach space X is **hypercyclic** if there is some $x \in X$ (called **hypercyclic vector**) such that

$$\text{orb}(x, T) = \{x, Tx, T^2x, \dots\} \text{ is dense in } X.$$

By the Birkhoff transitivity theorem (1920), an operator T is hypercyclic if and only if

$$\forall U, V \neq \emptyset \text{ open}, \exists n : T^n(U) \cap V \neq \emptyset.$$

And then the set of hypercyclic vectors is residual.

All of this thanks to **Baire's theorem**.

Now,

$$T^n(U) \cap V \neq \emptyset \iff U \cap T^{-n}(V) \neq \emptyset.$$

Now,

$$T^n(U) \cap V \neq \emptyset \iff U \cap T^{-n}(V) \neq \emptyset.$$

Corollary

If T is invertible, then

$$T \text{ hypercyclic} \implies T^{-1} \text{ hypercyclic.}$$

This is a consequence of **Baire**.

Now,

$$T^n(U) \cap V \neq \emptyset \iff U \cap T^{-n}(V) \neq \emptyset.$$

Corollary

If T is invertible, then

$$T \text{ hypercyclic} \implies T^{-1} \text{ hypercyclic.}$$

This is a consequence of **Baire**. In fact, the result fails for operators on **normed** spaces.

Chaos

Chaos

An operator T on a separable Banach space X is **chaotic** if it is hypercyclic and it has a dense set of periodic points.

Chaos

An operator T on a separable Banach space X is **chaotic** if it is hypercyclic and it has a dense set of periodic points.

Now, T and T^{-1} have the same periodic points.

Chaos

An operator T on a separable Banach space X is **chaotic** if it is hypercyclic and it has a dense set of periodic points.

Now, T and T^{-1} have the same periodic points.

Corollary

If T is invertible, then

$$T \text{ chaotic} \implies T^{-1} \text{ chaotic.}$$

Another triviality...

Frequent hypercyclicity

Frequent hypercyclicity

Definition (Bayart, Grivaux 2004)

An operator $T : X \rightarrow X$ is called **frequently hypercyclic** if there is some $x \in X$ (called **frequently hypercyclic vector**) such that

$$\forall U \neq \emptyset \text{ open, } \underline{\text{dens}}\{n \geq 0 ; T^n x \in U\} > 0.$$

Frequent hypercyclicity

Definition (Bayart, Grivaux 2004)

An operator $T : X \rightarrow X$ is called **frequently hypercyclic** if there is some $x \in X$ (called **frequently hypercyclic vector**) such that

$$\forall U \neq \emptyset \text{ open, } \underline{\text{dens}}\{n \geq 0 ; T^n x \in U\} > 0.$$

Recall that, for $A \subset \mathbb{N}_0$,

$$\underline{\text{dens}} A = \liminf_{N \rightarrow \infty} \frac{\#\{n \leq N : n \in A\}}{N + 1}.$$

Now things get interesting:

Now things get interesting:

The set of frequently hypercyclic vectors is **often** (Bayart-Grivaux, 2006), in fact **always** (Moothathu 2013, Bayart-Ruzsa 2015) of first Baire category, hence **non-residual**.

Now things get interesting:

The set of frequently hypercyclic vectors is **often** (Bayart-Grivaux, 2006), in fact **always** (Moothathu 2013, Bayart-Ruzsa 2015) of first Baire category, hence **non-residual**.

Thus, **Baire's theorem** is of no use for proving that an operator is frequently hypercyclic.

Now things get interesting:

The set of frequently hypercyclic vectors is **often** (Bayart-Grivaux, 2006), in fact **always** (Moothathu 2013, Bayart-Ruzsa 2015) of first Baire category, hence **non-residual**.

Thus, **Baire's theorem** is of no use for proving that an operator is frequently hypercyclic.

Problem (Bayart, Grivaux 2006)

If T is invertible, do we have

T frequently hypercyclic $\implies T^{-1}$ frequently hypercyclic?

Now things get interesting:

The set of frequently hypercyclic vectors is **often** (Bayart-Grivaux, 2006), in fact **always** (Moothathu 2013, Bayart-Ruzsa 2015) of first Baire category, hence **non-residual**.

Thus, **Baire's theorem** is of no use for proving that an operator is frequently hypercyclic.

Problem (Bayart, Grivaux 2006)

If T is invertible, do we have

$$T \text{ frequently hypercyclic} \implies T^{-1} \text{ frequently hypercyclic?}$$

This is **Problem 44** in

A. J. Guirao, V. Montesinos, V. Zizler:

Open problems in the geometry and analysis of Banach spaces
(2016).



There seems to be consensus that the problem of Bayart-Grivaux should have a negative solution.

There seems to be consensus that the problem of Bayart-Grivaux should have a negative solution.

It is natural to look for **bilateral weighted shifts** as possible candidates, that is, operators of the form

$$B_w(x_n)_{n \in \mathbb{Z}} = (w_{n+1}x_{n+1})_{n \in \mathbb{Z}}$$

with weights $w_n > 0$.

There seems to be consensus that the problem of Bayart-Grivaux should have a negative solution.

It is natural to look for **bilateral weighted shifts** as possible candidates, that is, operators of the form

$$B_w(x_n)_{n \in \mathbb{Z}} = (w_{n+1}x_{n+1})_{n \in \mathbb{Z}}$$

with weights $w_n > 0$. However:

Theorem (Bayart, Ruzsa 2015)

On $\ell^p(\mathbb{Z})$, $1 \leq p < \infty$,

B_w frequently hypercyclic $\iff B_w$ chaotic.

There seems to be consensus that the problem of Bayart-Grivaux should have a negative solution.

It is natural to look for **bilateral weighted shifts** as possible candidates, that is, operators of the form

$$B_w(x_n)_{n \in \mathbb{Z}} = (w_{n+1}x_{n+1})_{n \in \mathbb{Z}}$$

with weights $w_n > 0$. However:

Theorem (Bayart, Ruzsa 2015)

On $\ell^p(\mathbb{Z})$, $1 \leq p < \infty$,

B_w frequently hypercyclic $\iff B_w$ chaotic.

This implies that Bayart-Grivaux has a positive solution for the B_w on $\ell^p(\mathbb{Z})$.

How about B_w on $c_0(\mathbb{Z})$?

How about B_w on $c_0(\mathbb{Z})$?

Theorem (Bayart, Ruzsa 2015)

An invertible B_w is frequently hypercyclic on $c_0(\mathbb{Z}) \iff$ there is a sequence $(A_p)_{p \geq 1}$ of pairwise disjoint sets of positive lower density such that

(sym) $\forall p, q \geq 1, \min_{\substack{n \in A_p, m \in A_q \\ n \neq m}} |n - m| > p + q;$

$\forall p, q \geq 1, m \in A_q, n \in A_p:$

$$w_{n-m+1} \cdots w_0 < \frac{1}{2^{p+q}} \quad (n < m),$$

$$w_1 \cdots w_{n-m} > 2^{p+q} \quad (n < m).$$

(non-sym) $\forall p \geq 1,$
 $w_1 \cdots w_n \rightarrow \infty \quad \text{as } n \rightarrow \infty, n \in A_p.$

How about B_w on $c_0(\mathbb{Z})$?

Theorem (Bayart, Ruzsa 2015)

An invertible B_w is frequently hypercyclic on $c_0(\mathbb{Z}) \iff$ there is a sequence $(A_p)_{p \geq 1}$ of pairwise disjoint sets of positive lower density such that

$$\text{(sym)} \quad \forall p, q \geq 1, \min_{\substack{n \in A_p, m \in A_q \\ n \neq m}} |n - m| > p + q;$$

$$\forall p, q \geq 1, m \in A_q, n \in A_p:$$

$$w_{n-m+1} \cdots w_0 < \frac{1}{2^{p+q}} \quad (n < m),$$

$$w_1 \cdots w_{n-m} > 2^{p+q} \quad (n < m).$$

$$\text{(non-sym)} \quad \forall p \geq 1, \\ w_1 \cdots w_n \rightarrow \infty \quad \text{as } n \rightarrow \infty, n \in A_p.$$

So we also know when B_w^{-1} is frequently hypercyclic on $c_0(\mathbb{Z})$!

How about B_w on $c_0(\mathbb{Z})$?

Theorem (Bayart, Ruzsa 2015)

An invertible B_w is frequently hypercyclic on $c_0(\mathbb{Z}) \iff$ there is a sequence $(A_p)_{p \geq 1}$ of pairwise disjoint sets of positive lower density such that

$$\text{(sym)} \quad \forall p, q \geq 1, \min_{\substack{n \in A_p, m \in A_q \\ n \neq m}} |n - m| > p + q;$$

$$\forall p, q \geq 1, m \in A_q, n \in A_p:$$

$$w_{n-m+1} \cdots w_0 < \frac{1}{2^{p+q}} \quad (n < m),$$

$$w_1 \cdots w_{n-m} > 2^{p+q} \quad (n < m).$$

$$\text{(non-sym)} \quad \forall p \geq 1, \\ w_1 \cdots w_n \rightarrow \infty \quad \text{as } n \rightarrow \infty, n \in A_p.$$

So we also know when B_w^{-1} is frequently hypercyclic on $c_0(\mathbb{Z})$!

(my) Conjecture

There is an invertible weighted backward shift B_w on $c_0(\mathbb{Z})$ that is frequently hypercyclic, but its inverse is not.

Upper frequent hypercyclicity

There is a poor man's version of frequent hypercyclicity: replace lower by upper density.

Upper frequent hypercyclicity

There is a poor man's version of frequent hypercyclicity: replace lower by upper density.

Definition (Shkarin 2009)

An operator $T : X \rightarrow X$ is called **upper frequently hypercyclic** if there is some $x \in X$ (called **upper frequently hypercyclic vector**) such that

$$\forall U \neq \emptyset \text{ open, } \overline{\text{dens}}\{n \geq 0 ; T^n x \in U\} > 0.$$

Here, of course, $\overline{\text{dens}} A = \limsup_{N \rightarrow \infty} \frac{\#\{n \leq N : n \in A\}}{N+1}$.

Upper frequent hypercyclicity

There is a poor man's version of frequent hypercyclicity: replace lower by upper density.

Definition (Shkarin 2009)

An operator $T : X \rightarrow X$ is called **upper frequently hypercyclic** if there is some $x \in X$ (called **upper frequently hypercyclic vector**) such that

$$\forall U \neq \emptyset \text{ open, } \overline{\text{dens}}\{n \geq 0 ; T^n x \in U\} > 0.$$

Here, of course, $\overline{\text{dens}} A = \limsup_{N \rightarrow \infty} \frac{\#\{n \leq N : n \in A\}}{N+1}$.

But upper frequent hypercyclicity is more interesting than it seems!

Theorem (Bayart, Ruzsa 2015)

*If T is upper frequently hypercyclic then the set of upper frequently hypercyclic vectors for T is **residual**.*

So, **Baire** is back!

So, **Baire** is back!

Theorem (Bonilla, G-E, 2016)

Let T be an operator. The following assertions are equivalent:

- (a) T is upper frequently hypercyclic;
- (b) $\forall V \neq \emptyset$ open, $\exists \delta > 0, \forall U \neq \emptyset$ open, $\exists x \in U$

$$\overline{\text{dens}} \{n \geq 0 : T^n x \in V\} > \delta.$$

The proof uses, naturally, Baire's theorem.

So, **Baire** is back!

Theorem (Bonilla, G-E, 2016)

Let T be an operator. The following assertions are equivalent:

- (a) T is upper frequently hypercyclic;
- (b) $\forall V \neq \emptyset$ open, $\exists \delta > 0, \forall U \neq \emptyset$ open, $\exists x \in U$

$$\overline{\text{dens}} \{n \geq 0 : T^n x \in V\} > \delta.$$

The proof uses, naturally, Baire's theorem.

But the symmetry of the Birkhoff transitivity theorem is lost. So we again have the following.

Problem

If T is invertible, do we have

$$T \text{ upper frequently hypercyclic} \implies T^{-1} \text{ upper frequently hypercyclic?}$$

It is not clear (to me) if the *upper* problem should have a positive or a negative solution.

It is not clear (to me) if the *upper* problem should have a positive or a negative solution.

Again, one would first look at weighted backward shifts B_w .

Theorem (Bayart, Ruzsa 2015)

On $\ell^p(\mathbb{Z})$, $1 \leq p < \infty$,

B_w upper frequently hypercyclic $\iff B_w$ chaotic.

So the problem has a positive solution for the B_w on $\ell^p(\mathbb{Z})$.

How about $c_0(\mathbb{Z})$?

How about $c_0(\mathbb{Z})$?

Theorem (G-E 2017)

If B_w be an invertible weighted backward shift on $c_0(\mathbb{Z})$. Then

B_w upper frequently hypercyclic $\implies B_w^{-1}$ upper frequently hypercyclic.

How about $c_0(\mathbb{Z})$?

Theorem (G-E 2017)

If B_w be an invertible weighted backward shift on $c_0(\mathbb{Z})$. Then

B_w upper frequently hypercyclic $\implies B_w^{-1}$ upper frequently hypercyclic.

Thus, for upper frequent hypercyclicity one has to look for other underlying spaces or other operators to construct counter-examples (if there are any).

Idea of the proof

The proof contains a **constructive** part and a **Baire** argument.

Idea of the proof

Theorem (Bayart, Ruzsa 2015)

An invertible B_w is upper frequently hypercyclic on $c_0(\mathbb{Z}) \iff$ there is a sequence $(A_p)_{p \geq 1}$ of pairwise disjoint sets of positive upper density such that

$$\text{(sym)} \quad \forall p, q \geq 1, \min_{\substack{n \in A_p, m \in A_q \\ n \neq m}} |n - m| > p + q;$$

$$\forall p, q \geq 1, m \in A_q, n \in A_p:$$

$$w_{n-m+1} \cdots w_0 < \frac{1}{2^{p+q}} \quad (n < m),$$

$$w_1 \cdots w_{n-m} > 2^{p+q} \quad (n < m).$$

$$\text{(non-sym)} \quad \forall p \geq 1, \\ w_1 \cdots w_n \rightarrow \infty \quad \text{as } n \rightarrow \infty, n \in A_p.$$

Idea of the proof

Proposition 1

Let B_w be invertible on $c_0(\mathbb{Z})$. TFAE:

(a) there is a sequence $(A_p)_{p \geq 1}$ of pairwise disjoint sets of positive upper density such that

$$\text{(sym)} \quad \forall p, q \geq 1, \min_{\substack{n \in A_p, m \in A_q \\ n \neq m}} |n - m| > p + q;$$

$$\forall p, q \geq 1, m \in A_q, n \in A_p:$$

$$w_{n-m+1} \cdots w_0 < \frac{1}{2^{p+q}} \quad (n < m),$$

$$w_1 \cdots w_{n-m} > 2^{p+q} \quad (n < m).$$

(b) $B_w : \ell^\infty(\mathbb{Z}) \rightarrow \ell^\infty(\mathbb{Z})$ is upper frequently hypercyclic for $c_0(\mathbb{Z})$.

The proof is constructive.

Proposition 2

Let B_w be invertible on $c_0(\mathbb{Z})$. TFAE:

(b) $B_w : \ell^\infty(\mathbb{Z}) \rightarrow \ell^\infty(\mathbb{Z})$ is upper frequently hypercyclic for $c_0(\mathbb{Z})$.

(c) $B_w : c_0(\mathbb{Z}) \rightarrow c_0(\mathbb{Z})$ is upper frequently hypercyclic.

The proof uses Baire.

Proposition 2

Let B_w be invertible on $c_0(\mathbb{Z})$. TFAE:






(b) $B_w : \ell^\infty(\mathbb{Z}) \rightarrow \ell^\infty(\mathbb{Z})$ is upper frequently hypercyclic for $c_0(\mathbb{Z})$.

(c) $B_w : c_0(\mathbb{Z}) \rightarrow c_0(\mathbb{Z})$ is upper frequently hypercyclic.

The proof uses Baire.

Thus, the upper frequent hypercyclicity of B_w on $c_0(\mathbb{Z})$ is characterized by **(Sym)**, which implies that B_w^{-1} is also upper frequently hypercyclic. \square

Thank you!

-  F. Bayart and S. Grivaux, Frequently hypercyclic operators, *Trans. Amer. Math. Soc.* 358 (2006), 5083–5117.
-  F. Bayart and I. Z. Ruzsa, Difference sets and frequently hypercyclic weighted shifts, *Ergodic Theory Dynam. Systems* 35 (2015), 691–709.
-  A. Bonilla and K.-G. Grosse-Erdmann, Upper frequent hypercyclicity and related notions, arXiv:1601.07276.
-  K.-G. Grosse-Erdmann, Frequently hypercyclic bilateral shifts, arXiv:1707.03994
-  A. J. Guirao, V. Montesinos, and V. Zizler, *Open problems in the geometry and analysis of Banach spaces*, Springer, [Cham] 2016.