# Hausdorff Dimension of Kuperberg Minimal Sets

#### Daniel Ingebretson

University of Illinois at Chicago

March 25, 2017

## Introduction

• Kuperberg's flow is the flow of a  $C^{\infty}$  aperiodic vector field on a three-manifold called a *plug*.

## Introduction

- Kuperberg's flow is the flow of a  $C^{\infty}$  aperiodic vector field on a three-manifold called a *plug*.
- This flow preserves a nontrivial minimal set with a fractal structure.

## Introduction

- Kuperberg's flow is the flow of a  $C^{\infty}$  aperiodic vector field on a three-manifold called a *plug*.
- This flow preserves a nontrivial minimal set with a fractal structure.
- We use tools from conformal iterated function systems and thermodynamic formalism to calculate the Hausdorff dimension of this minimal set.

Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^{\infty}$  vector field with only 2 periodic orbits.

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^\infty$  vector field with only 2 periodic orbits.
  - These orbits are contained inside a *plug*.

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^\infty$  vector field with only 2 periodic orbits.
  - These orbits are contained inside a *plug*.
  - The plug is inserted to break periodic orbits outside the plug.

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^{\infty}$  vector field with only 2 periodic orbits.
  - These orbits are contained inside a *plug*.
  - The plug is inserted to break periodic orbits outside the plug.
- Schweitzer 1974: There exists an aperiodic  $C^1$  vector field on  $S^3$ .

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^{\infty}$  vector field with only 2 periodic orbits.
  - These orbits are contained inside a *plug*.
  - The plug is inserted to break periodic orbits outside the plug.
- Schweitzer 1974: There exists an aperiodic  $C^1$  vector field on  $S^3$ .
- Harrison 1988: Constructed a  $C^2$  counterexample.

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^{\infty}$  vector field with only 2 periodic orbits.
  - These orbits are contained inside a *plug*.
  - The plug is inserted to break periodic orbits outside the plug.
- Schweitzer 1974: There exists an aperiodic  $C^1$  vector field on  $S^3$ .

- Harrison 1988: Constructed a  $C^2$  counterexample.
- Kuperberg 1994: Constructed a  $C^{\infty}$  counterexample.

- Seifert 1950: Does every nonsingular vector field on the three-sphere  $S^3$  have a periodic orbit?
- Wilson 1966: On any three-manifold there exists a nonsingular  $C^{\infty}$  vector field with only 2 periodic orbits.
  - These orbits are contained inside a *plug*.
  - The plug is inserted to break periodic orbits outside the plug.
- Schweitzer 1974: There exists an aperiodic  $C^1$  vector field on  $S^3$ .

- Harrison 1988: Constructed a  $C^2$  counterexample.
- Kuperberg 1994: Constructed a  $C^{\infty}$  counterexample.
  - Modified Wilson's plug by self-insertion

# Wilson's minimal set



Two periodic orbits

▲ロト ▲圖ト ▲温ト ▲温ト 三温

4 / 17





 Hurder and Rechtman 2015: Kuperberg's minimal set is a surface lamination with a Cantor transversal.

・ロト ・ 日 ・ ・ ヨ ・ ・ ヨ ・



- Hurder and Rechtman 2015: Kuperberg's minimal set is a surface lamination with a Cantor transversal.
- Question: What is the Hausdorff dimension of this minimal set?



- Hurder and Rechtman 2015: Kuperberg's minimal set is a surface lamination with a Cantor transversal.
- Question: What is the Hausdorff dimension of this minimal set?
- Approach: Modeling the transverse Cantor set as the attractor of an *iterated function* system (IFS).

・ロン ・回 と ・ ヨ と ・ ヨ と



- Hurder and Rechtman 2015: Kuperberg's minimal set is a surface lamination with a Cantor transversal.
- Question: What is the Hausdorff dimension of this minimal set?
- Approach: Modeling the transverse Cantor set as the attractor of an *iterated function* system (IFS).
- This IFS is defined in terms of a *pseudogroup* of first-return maps to a section of the flow.

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*.

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

6/17

Then  $J = \bigcap_{n=1}^{\infty} \bigcup_{\omega \in I^n} \phi_{\omega}(X)$  is the *limit set* of S.

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

Then  $J = \bigcap_{n=1}^{\infty} \bigcup_{\omega \in I^n} \phi_{\omega}(X)$  is the *limit set* of S. J is invariant under S.

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

Then  $J = \bigcap_{n=1}^{\infty} \bigcup_{\omega \in I^n} \phi_{\omega}(X)$  is the *limit set* of S.

- $\blacksquare$  J is invariant under S.
- If S satisfies the open set condition and the bounded distortion property, then J is a Cantor set.

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

Then  $J = \bigcap_{n=1}^{\infty} \bigcup_{\omega \in I^n} \phi_{\omega}(X)$  is the *limit set* of S.

- J is invariant under S.
- If S satisfies the open set condition and the bounded distortion property, then J is a Cantor set.

(ロ) (同) (E) (E) (E)

• Nesting condition:  $\phi_{\omega,i}(X) \subset \phi_{\omega}(X)$ .

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

Then  $J = \bigcap_{n=1}^{\infty} \bigcup_{\omega \in I^n} \phi_{\omega}(X)$  is the *limit set* of S.

- J is invariant under S.
- If S satisfies the open set condition and the bounded distortion property, then J is a Cantor set.
- Nesting condition:  $\phi_{\omega,i}(X) \subset \phi_{\omega}(X)$ .
- If X is a manifold and  $\phi_i$  are  $C^{1+\alpha}$ , then S has bounded distortion.

A collection  $S = \{\phi_i : X \to X\}_{i \in I}$  of injective contractions of a compact metric space X is an *IFS*. For  $\omega \in I^n$ , denote

$$\phi_{\omega} = \omega_1 \circ \cdots \circ \omega_n$$

Then  $J = \bigcap_{n=1}^{\infty} \bigcup_{\omega \in I^n} \phi_{\omega}(X)$  is the *limit set* of S.

- J is invariant under S.
- If S satisfies the open set condition and the bounded distortion property, then J is a Cantor set.
- Nesting condition:  $\phi_{\omega,i}(X) \subset \phi_{\omega}(X)$ .
- If X is a manifold and  $\phi_i$  are  $C^{1+\alpha}$ , then S has bounded distortion.
- Necessary to assume that  $\phi_i$  are conformal (CIFS).

Each CIFS S has an associated topological pressure:

$$P(t) = \lim_{n \to \infty} \frac{1}{n} \log \sum_{\omega \in I^n} \|\phi'_{\omega}\|^t$$

Each CIFS S has an associated topological pressure:

$$P(t) = \lim_{n \to \infty} \frac{1}{n} \log \sum_{\omega \in I^n} \|\phi'_{\omega}\|^t$$

The limit exists by bounded distortion.

Each CIFS S has an associated topological pressure:

$$P(t) = \lim_{n \to \infty} \frac{1}{n} \log \sum_{\omega \in I^n} \|\phi'_{\omega}\|^t$$

The limit exists by bounded distortion.

•  $P: [0,\infty) \to \mathbb{R}$  is continuous, convex, and strictly decreasing.

Each CIFS S has an associated topological pressure:

$$P(t) = \lim_{n \to \infty} \frac{1}{n} \log \sum_{\omega \in I^n} \|\phi'_{\omega}\|^t$$

The limit exists by bounded distortion.

•  $P: [0,\infty) \to \mathbb{R}$  is continuous, convex, and strictly decreasing.

Theorem (Bowen 1979):

Let  $s = \dim_H(J)$ . Then s is the unique solution of P(s) = 0.

Each CIFS S has an associated topological pressure:

$$P(t) = \lim_{n \to \infty} \frac{1}{n} \log \sum_{\omega \in I^n} \|\phi'_{\omega}\|^t$$

- The limit exists by bounded distortion.
- $P: [0, \infty) \to \mathbb{R}$  is continuous, convex, and strictly decreasing.

Theorem (Bowen 1979):

Let  $s = \dim_H(J)$ . Then s is the unique solution of P(s) = 0.

The proof uses thermodynamic formalism of Sinai and Ruelle: conformal measures with good ergodic properties supported on J.

Each CIFS S has an associated topological pressure:

$$P(t) = \lim_{n \to \infty} \frac{1}{n} \log \sum_{\omega \in I^n} \|\phi'_{\omega}\|^t$$

The limit exists by bounded distortion.

•  $P: [0,\infty) \to \mathbb{R}$  is continuous, convex, and strictly decreasing.

Theorem (Bowen 1979):

Let  $s = \dim_H(J)$ . Then s is the unique solution of P(s) = 0.

- The proof uses thermodynamic formalism of Sinai and Ruelle: conformal measures with good ergodic properties supported on J.
- Mauldin and Urbański (1996) extended this formalism to countable alphabets I.

Wilson's plug W is the product of a rectangle E in coordinates (r,z) and circle with coordinate  $\theta.$ 

Wilson's plug W is the product of a rectangle E in coordinates (r,z) and circle with coordinate  $\theta.$ 



・ロト ・ 日 ・ ・ ヨ ・ ・ ヨ ・

Wilson's plug W is the product of a rectangle E in coordinates (r, z) and circle with coordinate  $\theta$ .



On the plug, we define the Wilson vector field  $\mathcal{W} = f \frac{\partial}{\partial \theta} + g \frac{\partial}{\partial z}$ , with  $f, g: E \to \mathbb{R}$ .

Wilson's plug W is the product of a rectangle E in coordinates (r, z) and circle with coordinate  $\theta$ .



On the plug, we define the Wilson vector field  $\mathcal{W} = f \frac{\partial}{\partial \theta} + g \frac{\partial}{\partial z}$ , with  $f, g: E \to \mathbb{R}$ .

• f is odd about z = 0

Wilson's plug W is the product of a rectangle E in coordinates (r, z) and circle with coordinate  $\theta$ .



On the plug, we define the Wilson vector field  $\mathcal{W} = f \frac{\partial}{\partial \theta} + g \frac{\partial}{\partial z}$ , with  $f, g: E \to \mathbb{R}$ .

- f is odd about z = 0
- g decays to zero inside each  $B_i$ , at r = 2.

8/17

・ロ と ・ 日 と ・ 日 と ・ 日 と ・ 日

Let  $\phi_t$  be the flow of  $\mathcal{W}$ . There are three orbit types for  $\phi_t$ .

Let  $\phi_t$  be the flow of  $\mathcal{W}$ . There are three orbit types for  $\phi_t$ .

• Disjoint from  $B_i$ 's



・ロン ・回 と ・ ヨ と ・ ヨ と

9/17

Let  $\phi_t$  be the flow of  $\mathcal{W}$ . There are three orbit types for  $\phi_t$ .

• Disjoint from  $B_i$ 's



• Intersecting  $B_i$ 's with  $r \neq 2$ 



Let  $\phi_t$  be the flow of  $\mathcal{W}$ . There are three orbit types for  $\phi_t$ .



• Intersecting  $B_i$ 's with r=2

Let  $\Phi: E \to E$  be the first return map of  $\phi_t$  to E.





< □ > < 部 > < 書 > < 書 > 差 > う Q (~ 10 / 17

Let  $\Phi: E \to E$  be the first return map of  $\phi_t$  to E.





・ロン ・回 と ・ ヨ と ・ ヨ と

10/17

• E is not a global section for  $\phi_t$ .

Let  $\Phi: E \to E$  be the first return map of  $\phi_t$  to E.





・ロン ・回 と ・ ヨ と ・ ヨ と

10/17

- E is not a global section for  $\phi_t$ .
- $\Phi$  is not defined on all of E.

Let  $\Phi: E \to E$  be the first return map of  $\phi_t$  to E.





・ロト ・回ト ・ヨト ・ヨト

- E is not a global section for  $\phi_t$ .
- $\Phi$  is not defined on all of E.
- $\hfill \Phi$  is not continuous everywhere it is defined.

Let  $\Phi: E \to E$  be the first return map of  $\phi_t$  to E.





- E is not a global section for  $\phi_t$ .
- $\Phi$  is not defined on all of E.
- $\hfill \Phi$  is not continuous everywhere it is defined.
- $\Phi^n$  is not defined for every n, even when  $\Phi$  is defined.

Let  $\Phi: E \to E$  be the first return map of  $\phi_t$  to E.





イロン 不良 とくほど 不良 とうほ

- E is not a global section for  $\phi_t$ .
- $\Phi$  is not defined on all of E.
- $\hfill\blacksquare\Phi$  is not continuous everywhere it is defined.
- $\Phi^n$  is not defined for every n, even when  $\Phi$  is defined.
- $\Phi$  generates a *pseudogroup* which reflects dynamics of  $\phi_t$ .

# Kuperberg's plug

To construct a plug with no periodic orbits, Kuperberg inserted the Wilson plug into itself. The resulting plug K inherits a vector field  $\mathcal{K}$  with flow  $\psi_t$ .



11/17

# Dynamics of the Kuperberg flow

Kuperberg (1994):

The  $C^\infty$  vector field  ${\mathcal K}$  has no closed orbits.



# Dynamics of the Kuperberg flow

#### Kuperberg (1994):

The  $C^{\infty}$  vector field  $\mathcal{K}$  has no closed orbits.



As with Wilson pseudogroup  $\Phi$ , we obtain the Kuperberg pseudogroup generated by  $\Psi : \mathbf{R}_0 \to \mathbf{R}_0$ .

# Dynamics of the Kuperberg flow

#### Kuperberg (1994):

The  $C^\infty$  vector field  ${\mathcal K}$  has no closed orbits.



- As with Wilson pseudogroup  $\Phi$ , we obtain the Kuperberg pseudogroup generated by  $\Psi : \mathbf{R}_0 \to \mathbf{R}_0$ .
- $\Psi$  is generated by three maps: the Wilson return map  $\Phi$ , as well as the insertion maps  $\sigma_1$  and  $\sigma_2$ .

Ghys 1995: conjectured that the Kuperberg flow has a unique minimal set *M* with topological dimension 2.

- Ghys 1995: conjectured that the Kuperberg flow has a unique minimal set *M* with topological dimension 2.
- Hurder and Rechtman 2015: *M* has the structure of a zippered lamination by surfaces with radial Cantor transversal.

- Ghys 1995: conjectured that the Kuperberg flow has a unique minimal set *M* with topological dimension 2.
- Hurder and Rechtman 2015: *M* has the structure of a zippered lamination by surfaces with radial Cantor transversal.
  - Let  $\Sigma_i \subset K$  be the special orbits for i = 1, 2. Then  $\mathcal{M} = \overline{\Sigma_1} = \overline{\Sigma_2}$ .

- Ghys 1995: conjectured that the Kuperberg flow has a unique minimal set *M* with topological dimension 2.
- Hurder and Rechtman 2015: *M* has the structure of a zippered lamination by surfaces with radial Cantor transversal.
  - Let  $\Sigma_i \subset K$  be the special orbits for i = 1, 2. Then  $\mathcal{M} = \overline{\Sigma_1} = \overline{\Sigma_2}$ .
  - We may choose a curve  $\gamma$  in the cylinder  $\{r = 2\} \subset K$  so that

$$\mathcal{M} = \bigcup_{-\infty < t < \infty} \psi_t(\gamma).$$

(ロ) (同) (E) (E) (E)

- Ghys 1995: conjectured that the Kuperberg flow has a unique minimal set *M* with topological dimension 2.
- Hurder and Rechtman 2015: *M* has the structure of a zippered lamination by surfaces with radial Cantor transversal.
  - Let  $\Sigma_i \subset K$  be the special orbits for i = 1, 2. Then  $\mathcal{M} = \overline{\Sigma_1} = \overline{\Sigma_2}$ .
  - We may choose a curve  $\gamma$  in the cylinder  $\{r = 2\} \subset K$  so that

$$\mathcal{M} = \bigcup_{-\infty < t < \infty} \psi_t(\gamma).$$

The second characterization allows us to stratify the minimal set into propellers corresponding to each level of insertion.

$$\mathcal{M} = \bigcup_{n=1}^{\infty} \mathcal{M}_n$$





 Curves are images under powers of Φ, the generator of the Wilson pseudogroup

・ロン ・回 と ・ ヨ と ・ ヨ と

14/17



- Curves are images under powers of Φ, the generator of the Wilson pseudogroup
- Propeller P<sub>1</sub> bounds a closed region A<sub>1</sub>.

イロン 不同と 不同と 不同と

14/17



- Curves are images under powers of Φ, the generator of the Wilson pseudogroup
- Propeller P<sub>1</sub> bounds a closed region A<sub>1</sub>.
- The pseudogroup Ψ contracts
  P<sub>1</sub> in the radial direction.

14/17

Cross-section of  $P_1$ 



- Curves are images under powers of Φ, the generator of the Wilson pseudogroup
- Propeller P<sub>1</sub> bounds a closed region A<sub>1</sub>.
- The pseudogroup  $\Psi$  contracts  $P_1$  in the radial direction.
- Infinite returns of the propeller implies symbolic dynamics on an infinite alphabet.

14/17





 Curves are images under one insertion σ of powers of Φ.

・ロト ・回ト ・ヨト ・ヨト

15/17



- Curves are images under one insertion σ of powers of Φ.
- Propeller P<sub>2</sub> bounds a family of closed regions A<sub>2,i</sub>.

・ロン ・回 と ・ ヨ と ・ ヨ と

15/17



- Curves are images under one insertion σ of powers of Φ.
- Propeller P<sub>2</sub> bounds a family of closed regions A<sub>2,i</sub>.
- Nesting property:  $A_{2,i} \subset A_i$

・ロト ・回ト ・ヨト ・ヨト

## Dimension estimates on $\mathcal{M}$

#### Theorem (I.)

- Let  $C \subset [0,1]$  be the transverse Cantor set of  $\mathcal{M}$ .
  - There exists a CIFS on [0,1] with limit set C.
  - $s = \dim_H(C)$  is the unique root of a dynamically defined pressure function.
  - $0.5877 \le \dim_H(C) \le 0.8643.$

## Dimension estimates on $\mathcal{M}$

#### Theorem (I.)

Let  $C \subset [0,1]$  be the transverse Cantor set of  $\mathcal{M}$ .

- There exists a CIFS on [0,1] with limit set C.
- $s = \dim_H(C)$  is the unique root of a dynamically defined pressure function.

16/17

■  $0.5877 \le \dim_H(C) \le 0.8643.$ 

Corollary:  $2.5877 \leq \dim_H(\mathcal{M}) \leq 2.8643$ .

#### References

- Ghys, È. Construction de champs de vecteurs sans orbite périodique. Séminaire Bourbaki No. 785 (1994), 283-307.
- Hurder, S. and Rechtman, A. The dynamics of generic Kuperberg flows. Asterisque 377 (2016), 1-250.
- Kuperberg, K. A smooth counterexample to the Seifert conjecture in dimension three. Ann. Math. 140, 2 (1994), 723-732.
- Matsumoto, S. K. Kuperberg's counterexample to the Seifert conjecture. Sugaku Expositions 11 (1998)

Mauldin, R. D. and Urbański, M. Dimensions and measures in infinite iterated function systems. Proc. London. Math. Soc. 73, 1 (1996), 105-154.