Title
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Journal
Topology, 10(3)

ISSN
0040-9383

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Publication Date
1971-08-01

DOI
10.1016/0040-9383(71)90002-4

Peer reviewed

Topology Vol. 10 pp. 177–183. Pergamon Press, 1971. Printed in Great Britain.

ANOSOV MAPS, POLYCYCLIC GROUPS AND HOMOLOGY

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(*Received* 15 *September* 1970)

§1. INTRODUCTION

LET M DENOTE a compact Riemannian manifold. A C^1 map $f: M \to M$ is called *Anosov* if there exists a continuous splitting $TM = E^u \oplus E^s$ of the tangent bundle of M, and constants $C > 0$, $\lambda > 1$, such that $Tf(E^u) = E^u$, $Tf(E^s) \subset E^s$, and furthermore for all positive integers m and tangent vectors $X \in TM$:

$$|Tf^m(X)| \geq C\lambda^m |X| \qquad \text{if } X \in E^u.$$

$$|Tf^m(x)| \leq C^{-1}\lambda^{-m}|X| \qquad \text{if } X \in E^s.$$

This condition is independent of the Riemannian metric. Anosov maps have been studied in [1, 2, 7, 11], and elsewhere.

Examples of Anosov maps can be obtained from a Lie group G, a discrete subgroup Γ with G/Γ compact, and an endomorphism $\phi: G \to G$ such that $\phi(\Gamma) \subset \Gamma$; see [8]. If the derivative of ϕ at the identity of G has no eigenvalues of absolute value one, then the map $G/\Gamma \to G/\Gamma$ induced by ϕ is an Anosov map. All known Anosov maps are intimately related to maps of this type.

As an example take $G = \mathbf{R}^n$ and $\Gamma = \mathbf{Z}^n$, the integer lattice; then ϕ is defined by an $n \times n$ integer matrix A and G/Γ is the n-torus T^n. In this case we can identify A with the linear transformation

$$f_*: H_1(T^n; \mathrm{R}) \to H_1(T^n; \mathrm{R})$$

induced by f on the first homology group with real coefficients.

John Franks [2] has proved that if $f: T^n \to T^n$ is any Anosov diffeomorphism, then f_* has no root of unity among its eigenvalues.

Theorem 1 extends Franks' result to Anosov maps on a wider class of manifolds which includes all nilmanifolds. As an application, many manifolds that do not admit Anosov diffeomorphisms are constructed. For example: the Cartesian product of the Klein bottle and a torus.

† Supported in part by NSF Grant GP 22723.

§2. STATEMENT OF RESULTS

THEOREM 1. *Let $f: M \to M$ be an Anosov map of a compact manifold. Let $u \in H^1(M; \mathbf{Z})$ be a nonzero integral cohomology class of dimension 1 such that $(f^*)^n u = u$, for some $n \in \mathbf{Z}_+$. Then the infinite cyclic covering space corresponding to u has infinite dimensional rational homology.*

The proof is postponed to §3.

COROLLARY 2. *Let M be a compact manifold such that every infinite cyclic covering space has finite dimensional rational homology. Then if $f: M \to M$ is an Anosov map, the induced homomorphism*

$$f_*: H_1(M; \mathbf{R}) \to H_1(M; \mathbf{R})$$

has no root of unity for an eigenvalue.

Proof. The eigenvalues of f_* are the same as those of $f^*: H^1(M; \mathbf{R}) \to H^1(M; \mathbf{R})$, since the Kronecker index

$$H^1(M; \mathbf{R}) \times H_1(M; \mathbf{R}) \to \mathbf{R}$$

is a dual pairing under which f^* and f_* are adjoint homomorphisms. A basis for the finitely generated free abelian group $H^1(M; \mathbf{Z})$ is also a vector space basis for $H^1(M; \mathbf{R})$ under the natural inclusion

$$H^1(M; \mathbf{Z}) \to H^1(M; \mathbf{R})$$

and with this basis, f^* is defined by an integral matrix. Therefore if $f_*: H_1(M; \mathbf{R}) \to H_1(M; \mathbf{R})$ has an eigenvalue ω with $\omega^n = 1$, there exists a nonzero vector $x \in H^1(M; \mathbf{R})$ having rational coordinates in the basis defined above, such that $(f^*)^n(x) = x$. Some nonzero integer multiple u of x lies in $H^1(M; \mathbf{Z})$, and a contradiction is reached by applying Theorem 1.

Polycyclic groups are introduced to ensure the validity of the topological hypothesis on M in Corollary 2.

Definition. A group π is *polycyclic* if it is solvable and every subgroup is finitely generated.

The following lemma collects some facts about polycyclic groups; see [3, 9, 12].

LEMMA 3. *The following conditions are pairwise equivalent:*

(*a*) *π is polycyclic.*

(*b*) *π is solvable and every Abelian subgroup is finitely generated.*

(*c*) *There exists an exact sequence*

$$0 \to N \to \pi \to A \to 0$$

where N is a finitely generated nilpotent group and A is a finitely generated Abelian group.

(*d*) *π is built from cyclic groups by forming a finite number of extensions.*

(*e*) *π is isomorphic to a solvable multiplicative group of integer matrices.*

The following is our main result:

THEOREM 4. *Let M be a compact manifold such that (a) the fundamental group has a polycyclic subgroup of finite index; and (b) the universal covering M has finite dimensional rational homology*

$$H_*(\tilde{M}; \mathbf{Q}) = \bigoplus_{i \geq 0} H_i(\tilde{M}; \mathbf{Q}).$$

Then if $f: M \to M$ is an Anosov map, there is no root of unity among the eigenvalues of $f_*: H_1(M; \mathbf{R}) \to H_1(M; \mathbf{R})$.

Proof. Follows from Corollary 2 and Lemma 6, below.

A useful property of polycyclic groups is the following.

LEMMA 5. *Let $\mathbf{Q}^n$ denote a rational vector space of finite dimension n. Given a representation ρ of a polycyclic group π in the group $GL(\mathbf{Q}^n)$ of automorphisms of $\mathbf{Q}^n$, the corresponding homology group*

$$H_*(\pi; \mathbf{Q}^n, \rho)$$

is a finite dimensional vector space over $\mathbf{Q}$.

Proof. Let B_π be a classifying space for π. That is, $B_\pi = E_\pi/\pi$ where E is a contractible space on which π operates freely and B_π is its orbit space; the natural map $E_\pi \to B_\pi$ defines a covering space. Then B_π is connected, $\pi_1(B_\pi) \cong \pi$ and $\pi_i(B_\pi) = 0$ for $i > 1$; these properties characterize B_π up to weak homotopy type.

By definition,

$$H_*(\pi^n j \mathbf{Q}^n \rho) = H_*(B_\pi; \mathbf{Q}^n, \rho),$$

the total homology group of the space B_π with coefficients twisted by the homomorphism

$$\rho: \pi_1(B_\pi) \cong \pi \to \mathrm{Aut}(\mathbf{Q}^n).$$

If it is known that B_π has the homotopy type of a finite simplicial complex, the lemma follows immediately. This is not the case in general but π *has a subgroup π_0 of finite index whose classifying space B_{π_0} has the homotopy type of a finite complex.* We now show this.

It is proved in Malcev [3] that π has a subgroup π_0 of finite index such that in the exact sequence

$$0 \to N_0 \to \pi_0 \to A_0 \to 0$$

of Lemma 3(c), N_0 and A_0 are torsion free. For any exact sequence of groups $0 \to \alpha \xrightarrow{i} \beta \xrightarrow{j} \gamma \to 0$, the homomorphisms i and j determine maps $B_\alpha \to B_\beta \to B_\gamma$ which, with proper choice of classifying spaces, may be taken to be a fibration. Therefore B_{π_0} is a fibre space over B_{A_0} with fibre B_{N_0}. Now B_{A_0} can be chosen to be an n-torus, and B_{N_0} has the homotopy type of a nilmanifold [4]. It is easily proved by induction on the number of cells in B that if $F \to E \to B$ is a fibration over a finite complex B whose fibre F has the homotopy type of a finite complex, then so has the total space E. Therefore B_{π_0} has the homotopy type of a finite complex.

Now the map $p: B_{\pi_0} \to B_\pi$ corresponding to the inclusion homomorphism $\pi_0 \to \pi$ can be chosen to be a finite covering space. It is well known that the homomorphism induced by p maps $H_*(B_{\pi_0}; \mathbf{Q}^n, \rho_0)$ onto $H_*(B_\pi; Q^n, \rho)$, where ρ_0 denotes the composite homomorphism

$$\pi_0 \to \pi \xrightarrow{\rho} GL(\mathbf{Q}^n).$$

(A right inverse to p_* can be constructed by considering the inverse image by p of a chain in B_π.) Therefore $H_*(\pi; \mathbf{Q}^n, \rho)$ is finite dimensional. This proves Lemma 5.

Remark. It follows immediately from Wang [10; Corollary 2, p. 17] that a polycyclic group π has a normal subgroup π_0 of finite index such that B_{π_0} is a compact smooth manifold.

LEMMA 6. *Let X be a finite simplicial complex. Suppose (a) $\pi_1(M)$ has a polycyclic subgroup of finite index, and (b) $H_*(\tilde{X}; \mathbf{Q})$ is finite dimensional where $\tilde{X}$ is the universal covering of X. Then $H_*(\hat{X}; \mathbf{Q})$ is finite dimensional for any covering $\hat{X}$ of X.*

Proof. By passing to a finite covering of X, we may assume $\pi_1(M)$ is polycyclic. Then so is $\pi_1(\hat{X}) = \pi$. Now π acts freely on $\tilde{X}$ with orbit space $\hat{X}$. In this situation there is a spectral sequence with $E^2 = H_*(\pi; H_*(\tilde{X}; \mathbf{Q}), \rho)$, converging to $H_*(\hat{X}; \mathbf{Q})$; see MacLane [5]. Here $\rho: \pi \to \operatorname{Aut} H_*(\tilde{X}; \mathbf{Q})$ is the homomorphism determined by the action of π on $\tilde{X}$. By assumption $H_*(\tilde{X}; \mathbf{Q})$ is finite dimensional, and then by Lemma 4, E^2 is finite dimensional. Lemma 6 follows by the usual spectral sequence argument: $H_*(\hat{X}; \mathbf{Q})$ is exhibited as being obtained from E^2 by passing alternately to subspaces and quotient spaces a finite number of times. This completes the proof of Lemma 6.

§3. PROOF OF THEOREM 1

It is well known that if $f: M \to M$ is an Anosov map then some iterate f^m of f has a fixed point, $m \geq 1$; compare Proposition 1.7 of Franks [1]. Since all the fixed points of an Anosov map have the same index ± 1, this means that *every iterate f^{mk} of f^m, $k \geq 1$, has nonzero Lefschetz number $L(f^{mk})$*. It suffices to prove Theorem 1 for an iterate of f; therefore, we may suppose $L(f) \neq 0$. Theorem 1 is thus a corollary of

LEMMA 7. *Let X be a finite complex, $f: X \to X$ a continuous map, and $u \in H^1(M; \mathbf{Z})$ a nonzero class such that $f^*u = u$. Let $p: Y \to X$ be the infinite cyclic covering corresponding to u. If $H_*(Y; \mathbf{Q})$ is finite dimensional then $L(f) = 0$.*

Proof. The covering space corresponding to u is the one whose fundamental group is annihilated by the composite homomorphism

$$\pi_1(X) \xrightarrow{h} H_1(X; \mathbf{Z}) \xrightarrow{\theta} \mathbf{Z}$$

where h is the Hurewicz map and ϕ denotes the Kronecker index with u.

Since $f^*u = u$, there is a commutative diagram

$$\begin{tikzcd} Y \arrow[r, "g"] \arrow[d, "p"'] & Y \arrow[d, "p"] \\ X \arrow[r, "f"'] & X \end{tikzcd}$$

Let $t: Y \to Y$ be a generator for the group of deck transformations of Y over X; then $t \circ g = g \circ t$. Imitating Milnor [6] we consider a commutative diagram of chain complexes and chain maps:

$$\begin{tikzcd}
0 \arrow[r] & C_*(Y; Q) \arrow[r, "t-1"] \arrow[d, "g_*"] & C_*(Y; Q) \arrow[r, "p_*"] \arrow[d, "g_*"] & C_*(X; Q) \arrow[r] \arrow[d, "f_*"] & 0 \\
0 \arrow[r] & C_*(Y; Q) \arrow[r] & C_*(Y; Q) \arrow[r] & C_*(X; Q) \arrow[r] & 0
\end{tikzcd}$$

The rows are exact. There corresponds a commutative ladder of homomorphisms

$$\begin{tikzcd}
\arrow[r] & H_i(Y; Q) \arrow[r] \arrow[d, "g_*"] & H_i(Y; Q) \arrow[r] \arrow[d, "g_*"] & H_i(X; Q) \arrow[r] \arrow[d, "f_*"] & H_{i-1}(Y; Q) \arrow[r] \arrow[d] & {} \\
\arrow[r] & H_i(Y; Q) \arrow[r] & H_i(Y; Q) \arrow[r] & H_i(X; Q) \arrow[r] & H_{i-1}(Y; Q) \arrow[r] & {}
\end{tikzcd}$$

with exact rows. A well-known computation with traces shows that for such a ladder, the Lefschetz number of the middle endomorphism equals the sum of the Lefschetz numbers of the outer endomorphisms; in this case:

$$L(g) + L(f) = L(g).$$

Hence $L(f) = 0$. This proves Lemma 7 and thereby completes the proofs of Theorems 1, 2 and 4.

§4. APPLICATIONS

The following is an immediate consequence of Theorem 4:

THEOREM 8. *Suppose M is a compact manifold such that*

(a) $\pi_1(M)$ *has a polycyclic subgroup of finite index,*

(b) $H_*(\tilde{M}; \mathbf{Q})$ *is finite dimensional, and*

(c) $H^1(M; \mathbf{Z}) \cong \mathbf{Z}$.

Then M does not admit an Anosov diffeomorphism.

Proof. If $f: M \to M$ is any diffeomorphism, condition (*c*) forces f^* to have ± 1 for an eigenvalue.

Examples of such manifolds are easy to construct; for example, the Cartesian product of a simply connected manifold with a circle or Klein bottle. Another type comprises the solvmanifolds constructed as follows. Let A be an invertible $n \times n$ integer matrix acting as a diffeomorphism of the n-torus T^n in the usual way. Define $M_A = (T^n \times \mathbf{R})/\mathbf{Z}$ where the generator of $\mathbf{Z}$ acts on $T^n \times \mathbf{R}$ by $(x, y) \mapsto (A(x), y + 1)$. The fundamental group of M_A is the semidirect product $\mathbf{Z} \cdot \mathbf{Z}^n$, the generator of $\mathbf{Z}$ acting on $\mathbf{Z}^n$ by A; its commutator subgroup is the range of $A - I$ in $\mathbf{Z}$. If 1 is not an eigenvalue of A, then

$$H_1(M_A; \mathbf{Z})/\text{torsion} \cong \mathbf{Z} \cong H^1(M_A; \mathbf{Z}).$$

Clearly $\tilde{M}_A \approx \mathbf{R}^{n+1}$, and the exact sequence

$$0 \to \mathbf{Z}^n \to \pi_1(M_A) \to \mathbf{Z} \to 0$$

proves $\pi_1(M_A)$ polycyclic. Therefore by Theorem 4: *M_A does not admit an Anosov diffeomorphism if 1 is not an eigenvalue of A.*

The following theorem gives a different method of exploiting the fundamental group of M_A.

THEOREM 9. *Suppose A is an invertible integer matrix such that $A^k \neq 1$ for all $k \neq 0$. Then*:

(*a*) *$M_A \times S^1$ does not admit an Anosov diffeomorphism*;

(*b*) *If 1 is not an eigenvalue of A then $M_A \times T^m$ does not admit an Anosov diffeomorphism for any $m \geq 0$.*

Proof. The hypothesis on A implies that the center of $\pi_1(M_A) \cong \mathbf{Z} \cdot \mathbf{Z}^n$ is trivial. Therefore the center C of $\pi_1(M_A \times T^m) \cong \pi_1(M_A) \times \mathbf{Z}^m$ is $\mathbf{Z}^m$, and C meets the commutator subgroup of $Z_1(M_A \times T^m)$ only in the identity element. Therefore under the Hurewicz map C maps isomorphically onto a subgroup $C_1 \subset H_1(M_A \times T^m; \mathbf{Z})$ which is invariant under every diffeomorphism of $M_A \times T^m$. Under assumption (a), $C_1 \cong \mathbf{Z}$ and therefore the automorphism f_* of

$$H_1(M_A \times S^1; \mathbf{Z})/\text{torsion}$$

has ± 1 as an eigenvalue. Under assumption (b), $C_1 \cong \mathbf{Z}^m$ and $H_1(M_A \times S^1; \mathbf{Z}) \cong \mathbf{Z}^{m+1}$, and again f_* has an eigenvalue ± 1. Therefore Theorem 4 proves Theorem 9.

Next we consider the Klein bottle K^2. The fundamental group embeds in an exact sequence $0 \to \mathbf{Z}^2 \to \pi_1(K^2) \to \mathbf{Z}_2 \to 0$ and is therefore polycyclic.

THEOREM 10. *Let M be a compact orientable manifold such that*

(*a*) *$\pi_1(M)$ has a polycyclic subgroup of finite index*

(*b*) *$H_*(\tilde{M}; \mathbf{Q})$ is finite dimensional.*

Then $K^2 \times M$ does not admit an Anosov diffeomorphism.

Proof. Let $p : T^2 \to K^2$ be the double covering of the Klein bottle by the torus. The subgroup $p_{\#}(\pi_1(T^2)) \times \pi_1(M) \subset \pi_1(K^2 \times M)$ is represented by loops in $K^2 \times M$ that preserve local orientation; it is therefore preserved by every diffeomorphism f of $K^2 \times M$. Consequently f is covered by a diffeomorphism g of $T^2 \times M$. Now g^* preserves the subgroup $G \subset H^1(T^2 \times M; \mathbf{Z})$ that is the image of $(p \times I)^*: H^1(K^2 \times M; \mathbf{Z}) \to H^1(T^2 \times M; \mathbf{Z})$. By the Künneth theorem,

$$H^1(K^2 \times M; \mathbf{Z}) \cong \mathbf{Z} \oplus H^1(M; \mathbf{Z})$$

and

$$H^1(T^2 \times M; \mathbf{Z}) \cong \mathbf{Z}^2 \oplus H^1(M; \mathbf{Z}).$$

Thus G has corank 1, which forces $g^*: H^1(T^2 \times M; \mathbf{Z}) \to H^1(T^2 \times M; \mathbf{Z})$ to have ± 1 for an eigenvalue. By Theorem 4, g cannot be an Anosov diffeomorphism. Therefore f cannot be one either.

Acknowledgements—It is a pleasure to acknowledge the help of E. H. Spanier in working out the proof of Lemma 6. Discussions with L. Green and D. B. A. Epstein have likewise been very helpful.

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