

SRB measures of singular hyperbolic attractors

Scuola Normale Superiore di Pisa

Dominic Veconi

International Centre for Theoretical Physics

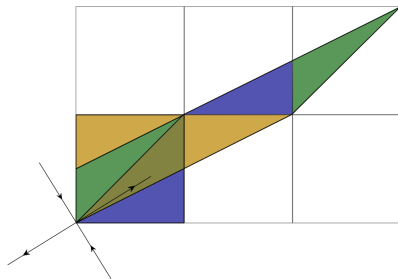
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Hyperbolic sets

- Let M be a Riemannian manifold, $U \subset M$ an open set, $f : U \rightarrow M$ a diffeomorphism onto its image.
- A compact f -invariant $\Lambda \subset M$ is a *hyperbolic set* if there exist constants $\lambda > 1$ and $c > 0$ such that each $x \in \Lambda$ admits a splitting $T_x M = E^s(x) \oplus E^u(x)$ for which
 - $(df_x)(E^s(x)) = E^s(f(x))$ and $(df_x)(E^u(x)) = E^u(f(x))$;
 - $\|df_x^n(v)\| \leq c\lambda^{-n}\|v\| \quad \forall v \in E^s(x)$;
 - $\|df_x^{-n}(v)\| \leq c\lambda^{-n}\|v\| \quad \forall v \in E^u(x)$.
- In this setting, we say f is *uniformly hyperbolic* on Λ .
- here are foliations W^s and W^u of U so that $T_x W^s(x) = E^s(x)$ and $T_x W^u(x) = E^u(x)$, and for which there is a $C > 0$, $0 < \alpha < 1$ such that for $x \in U$,
 - $f(W^s(x)) = W^s(f(x))$ and $f(W^u(x)) = W^u(f(x))$;
 - $\rho(f^n(x), f^n(y)) \leq C\alpha^n \rho(x, y) \quad \forall y \in W^s(x)$;
 - $\rho(f^{-n}(x), f^{-n}(y)) \leq C\alpha^n \rho(x, y) \quad \forall y \in W^u(x)$.
- We call $E^s(x)$, $E^u(x)$ the *stable/unstable subspaces* and $W^s(x)$, $W^u(x)$ the *stable/unstable submanifolds* at $x \in U$.

Example: Anosov diffeomorphisms

- If $\Lambda = M$ is a hyperbolic set for f , then f is an *Anosov diffeomorphism*.
- Consider the linear automorphism $A = \begin{pmatrix} 2 & 1 \\ 1 & 1 \end{pmatrix} \in \text{SL}(2, \mathbb{Z})$. Let $f : \mathbb{T}^2 \rightarrow \mathbb{T}^2$ be the induced map on $\mathbb{T}^2 = \mathbb{R}^2 / \mathbb{Z}^2$.
- A has two eigendirections corresponding to the eigenvalues $\lambda^{-1} < 1 < \lambda$. These affine eigenspaces at each point in \mathbb{R}^2 descend to stable/unstable manifolds in \mathbb{T}^2 .

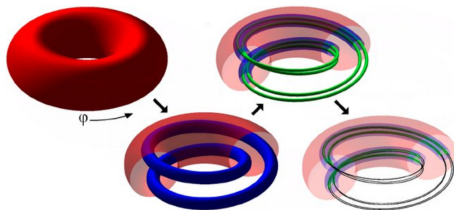


Example: Smale-Williams Solenoid

- Consider a map $F : \mathbb{S}^1 \times \mathbb{D} \rightarrow \mathbb{S}^1 \times \mathbb{D}$ of the solid torus given by

$$F(\varphi, x, y) = \left(2\varphi, \frac{1}{2} \cos(\varphi) + \frac{1}{5}x, \frac{1}{2} \sin(\varphi) + \frac{1}{5}y \right)$$

- Near the direction of \mathbb{S}^1 , this map is expanding; in the direction of \mathbb{D} , the map is contracting.



- Notice: The toral automorphism $f : \mathbb{T}^2 \rightarrow \mathbb{T}^2$ preserved Lebesgue area. The solenoid map $F : \mathbb{S}^1 \times \mathbb{D} \rightarrow \mathbb{S}^1 \times \mathbb{D}$ does not preserve volume; in fact, the solenoid map is *dissipative* with respect to volume.

Singular hyperbolic attractors

Setting:

- M Riemannian manifold, $K \subset M$ open and precompact, $N \subset K$ closed, $N^+ = N \cup \partial K$;
- $f : K \setminus N \rightarrow K$ diffeomorphism onto its image;
- $N^- =$ image of continuous extensions of f to $N^+ \subset \overline{K}$; or more formally,

$$N^- = \{y \in K : \exists z \in N^+, z_n \in K \setminus N \text{ s.t. } z_n \rightarrow z, f(z_n) \rightarrow y\}$$

- $K^+ = \{x \in K : f^n(x) \notin N^+ \forall n \geq 0\}$;
- $D = \bigcap_{n \geq 0} f^n(K^+)$, $\Lambda = \overline{D}$ (Λ is the *attractor* for f).
- Λ is a *singular hyperbolic attractor* if there is a continuous splitting $z \mapsto E^s(z) \oplus E^u(z)$ over $K \setminus N$ into *stable* and *unstable* subspaces. In particular, there are $C > 0$ and $\lambda > 1$ so that for any $z \in D$, $n \geq 0$:

$$\begin{aligned} \|df_z^n v\| &\leq C \lambda^{-n} \|v\| \quad \forall v \in E^s(z); \\ \|df_z^{-n} v\| &\leq C \lambda^{-n} \|v\| \quad \forall v \in E^u(z). \end{aligned}$$

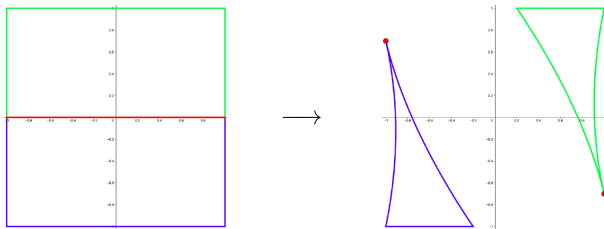
Example 1: Geometric Lorenz attractor

- $I = (-1, 1)$, $K = I \times I$, $N = I \times \{0\}$, $f : K \setminus N \rightarrow K$ given by $f(x, y) = (\varphi(x, y), \psi(x, y))$, where

$$\varphi(x, y) = (\operatorname{sgn}(y)Bx|y|^\nu - B|y|^{\nu_0} + 1)\operatorname{sgn}(y)$$

$$\psi(x, y) = ((1 + A)|y|^{\nu_0} - A)\operatorname{sgn}(y)$$

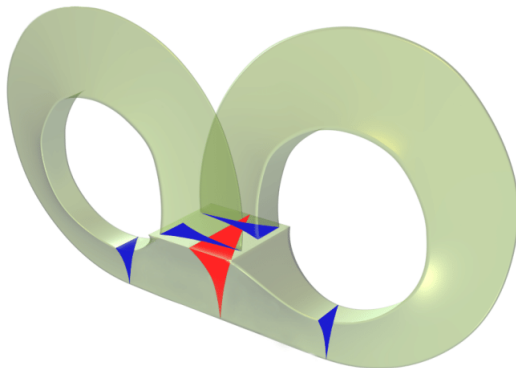
where $0 < A < 1$, $0 < B < \frac{1}{2}$, $\nu > 1$, and $1/(1 + A) < \nu_0 < 1$.



- The two dots form the set N^- , the “image” of the singular set N .

Example: Geometric Lorenz attractor

The geometric Lorenz attractor is a Poincaré first-return map for a transverse cross-section of the flow of the classical Lorenz attractor.



Example: Lorenz-type maps

More generally, a *Lorenz-type map* is a map $f : K \setminus N \rightarrow K$, $K = I \times I$, $N = I \times \{a_0, a_1, \dots, a_{q+1}\}$, where

$$-1 = a_0 < a_1 < \dots < a_q < a_{q+1} = 1$$

and, in addition to certain regularity conditions on df ,

- $\lim_{y \uparrow a_i} f(x, y) = f_i^-$, $\lim_{y \downarrow a_i} f(x, y) = f_i^+$ ($f_i^\pm \in \overline{K \setminus N}$ constant points, independent of $x \in I$);
- $f|_{I \times (a_i, a_{i+1})} : I \times (a_i, a_{i+1}) \rightarrow K$ is a diffeomorphism onto its image;
- $\|\varphi_x\|, \|\psi_y^{-1}\| < 1$, where $f(x, y) = (\varphi(x, y), \psi(x, y))$.

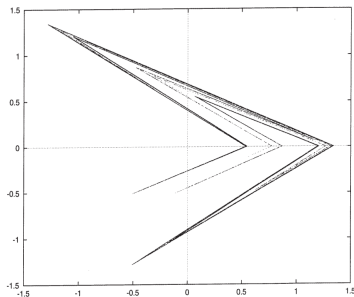
Theorem (Afraimovich, Bykov, Shilnikov '83)

If M is a compact Riemannian manifold w/ $\dim M \geq 3$, there exists a vector field X and a smooth submanifold S such that the first-return time map f induced on S by the flow given by X is a Lorenz-type map.

Example: Lozi attractor

- Lozi map: A simplified Hénon map $f : K \setminus N \rightarrow K$, $K = (-c, c)^2$, $c \in (0, 1.5)$, $N = \{0\} \times (-c, c)$, $a > 0$, $b > 0$ sufficiently small:

$$f(x, y) = (1 + by - a|x|, x)$$



- In this case, the map is continuous on N , but not differentiable.

SRB measures

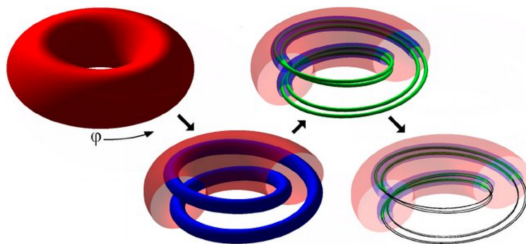
- Suppose $f : U \rightarrow M$ is a hyperbolic map on a Riemannian manifold M . An *SRB measure* is an invariant Borel probability measure μ for which:
 - f has positive Lyapunov exponents μ -a.e., and
 - μ admits absolutely continuous conditional measures on the unstable leaves $W^u(x)$ (w.r.t. Riemannian leaf volume)
- SRB measures are hyperbolic *physical measures*: $m(\mathcal{B}_\mu) > 0$, where m is the Lebesgue/Riemannian volume and \mathcal{B}_μ is the *basin* of μ :

$$\mathcal{B}_\mu := \left\{ x : \frac{1}{n} \sum_{k=0}^{n-1} (\varphi \circ f^k)(x) \xrightarrow{n \rightarrow \infty} \int_U \varphi d\mu \quad \forall \varphi \in C^0 \right\}$$

- In ergodic theory, invariant measures correspond to stationary distributions in probability theory. So SRB measures are *stationary distributions that satisfy the strong law of large numbers on a set of positive volume*.

Conservative and dissipative systems

- If $f : M \rightarrow M$ is an area-preserving diffeomorphism (e.g. Anosov map), then the Lebesgue/Riemannian volume is an SRB measure.
- What if f is dissipative? Recall the solenoid map:



- The attractor $\Omega = \bigcap_{n \geq 1} F^n(\mathbb{S}^1 \times \mathbb{D})$ is locally a product of an interval and a Cantor set. In particular, it has Lebesgue measure 0.
- The SRB measure is a product of normalized Lebesgue measure on $\mathbb{S}^1 = \mathbb{R}/2\pi\mathbb{R}$ and the Bernoulli measure on the Cantor set.

SRB measures for hyperbolic maps

Theorem (Sinai '72, Bowen, Ruelle '75, Ruelle '76)

Suppose $f : U \rightarrow M$ is $C^{1+\alpha}$ and $\Lambda = \bigcap_{n \geq 0} f^n(U)$ is uniformly hyperbolic. Then there are at most finitely many ergodic SRB measures on Λ . If, furthermore, $f|_{\Lambda}$ is topologically transitive, then there is a unique SRB measure μ on Λ , and B_{μ} has full measure in U .

Theorem (Rodriguez-Hertz, Rodriguez-Hertz, Tahzibi, Ures '10)

If $f : M \rightarrow M$ is a topologically transitive $C^{1+\alpha}$ diffeomorphism, then it admits at most one SRB measure.

Theorem (Pesin '92)

Suppose $f : K \setminus N \rightarrow K$ admits a singular hyperbolic attractor Λ . Then there are at most countably many ergodic SRB measures supported on Λ .

Stable and unstable manifolds

- We use *unstable manifolds* to construct SRB measures.
- Assume $f : K \setminus N \rightarrow K$ is singular hyperbolic with attractor Λ , and let ρ denote the Riemannian distance in $M \supset K$, m the Riemannian measure.

Theorem (Pesin '92)

For m -a.e. every $z \in K \setminus N$, there are embedded submanifolds $W_{\text{loc}}^s(z)$ and $W_{\text{loc}}^u(z)$ containing z for which $T_z W_{\text{loc}}^s(z) = E^s(z)$ and $T_z W_{\text{loc}}^u(z) = E^u(z)$. Furthermore, there is an $\alpha < 1$ and $C > 0$ for which, for all $n \geq 0$, letting ρ denote Riemannian distance,

$$\begin{aligned}\rho(f^n(x), f^n(y)) &\leq C\alpha^n \rho(x, y) \quad \text{for } x, y \in W_{\text{loc}}^s(z), \\ \rho(f^{-n}(x), f^{-n}(y)) &\leq C\alpha^n \rho(x, y) \quad \text{for } x, y \in W_{\text{loc}}^u(z).\end{aligned}$$

Additionally, for $w \in N \setminus K$ sufficiently close to z , the intersection $W_{\text{loc}}^s(z) \cap W_{\text{loc}}^u(w)$ is nonempty and contains exactly one point.

Construction of SRB measures

- Define $W^u(z) = \bigcup_{n \geq 0} f^n(W_{\text{loc}}^u(f^{-n}(z)))$ for $z \in K$ ($W^s(z)$ is defined analogously for $z \in \bar{\Lambda}$).
- Let $J^u(z) = \det(df|_{E^u(z)})$ denote the unstable Jacobian of f at a point $z \in \Lambda$. For $y \in W^u(z)$, set

$$\kappa(z, y) = \prod_{j=0}^{\infty} \frac{J^u(f^{-j}(z))}{J^u(f^{-j}(y))}$$

- Let m_z^u and ρ_z^u be the Riemannian leaf volume and leaf metric on $W^u(z)$. Let $U_0 := B^u(z, r) \subset W_{\text{loc}}^u(z)$ be the disc of ρ_z^u -radius r centered at z .
- Finally let $U_n = f(U_{n-1}) \setminus N^+$.

Construction of SRB measures (cont.)

- Define the measures $\tilde{\nu}_n$ on $U_n \subset W^u(f^n(z))$ by

$$d\tilde{\nu}_n(y) = \tilde{C}_n(z) \kappa(f^n(z), y) dm_z^u(y),$$

where $\tilde{C}_n(z)$ is a normalizing factor.

- Let ν_n be the measure on Λ given by $\nu_n(A) = \tilde{\nu}_n(A \cap U_n)$ for Borel $A \subset \Lambda$.
- Each ν_n is defined only on subsets of a particular unstable manifold $W^u(f^n(z))$.
- Define:

$$\mu_n = \frac{1}{n} \sum_{k=0}^{n-1} \nu_k$$

- The final step in the construction is to show μ_n has an f -invariant weak limit measure μ concentrated on D . (Note μ may depend on the reference point z .)

Setting of main result

Setting:

- M Riemannian manifold, $K \subset M$ open and precompact, $N \subset K$ closed;
- $f : K \setminus N \rightarrow K$ diffeomorphism onto its image;
- $N^- =$ image of continuous extensions of f to $N^+ \subset \overline{K}$; or more formally,

$$N^- = \{y \in K : \exists z \in N^+, z_n \in K \setminus N \text{ s.t. } z_n \rightarrow z, f(z_n) \rightarrow y\}$$

(for example, $N^- = \{f_i^\pm : 1 \leq i \leq q\}$ for Lorenz-type maps, where $f_i^+ = \lim_{y \downarrow a_i} f(x, y)$ and $f_i^- = \lim_{y \uparrow a_i} f(x, y)$);

- Λ a singular hyperbolic attractor, expansive constant $\lambda > 1$.

Main result

Assumptions:

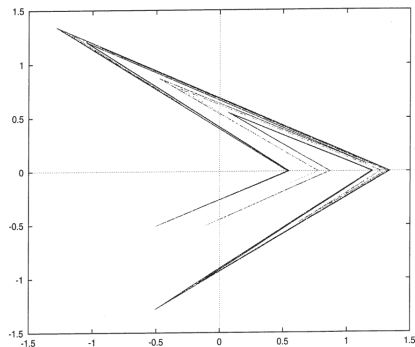
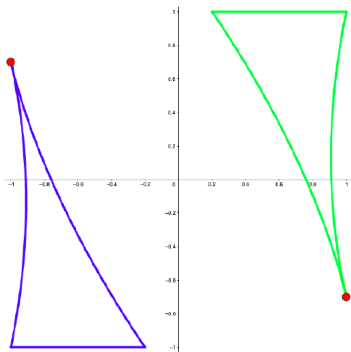
- 1 N is a disjoint union of finitely many closed submanifolds N_1, \dots, N_m with boundary, of dimension equal to the codimension of W^u ;
- 2 The local unstable manifolds $W_{\text{loc}}^u(x)$ intersect the singular set N transversally, with angle uniformly bounded away from 0;
- 3 $f^j(N^-) \cap N = \emptyset$ for $0 \leq j < k$, $\lambda^k > 2$.

Theorem (V. 2022)

If $f : K \setminus N \rightarrow K$ as above satisfies these assumptions, then the attractor Λ admits finitely many ergodic SRB measures.

Lorenz and Lozi revisited

- This implies, in particular, that the attractors for both Lorenz-type maps and the Lozi map admit finitely many SRB measures. (Observe that $W_{\text{loc}}^u(x)$ lies inside the attractor Λ for all $x \in \Lambda$ where $W_{\text{loc}}^u(x)$ is defined.)



A simple non-example

- Assumption that N is a finite union of submanifolds is required for arguments. Result may not hold if N has infinitely many components.
- Example: Take a countable number of horizontal lines in $(-1, 1)^2$.
- In each resulting section, embed a copy of the geometric Lorenz attractor.
- Each section admits its own SRB measure.
- The proof of the main result requires a lower bound on the distance between components of N , which we don't have in this example.

Local continuity of stable foliation

- Is there a connection between the number/supports of SRB measures and the topological properties of the dynamics (e.g. topological transitivity/transitive components)?
- Given $z \in K \setminus N$, there is a radius $r = r(z) > 0$ for which $W_{\text{loc}}^s(z) \cap B_r(z)$ is the graph of a C^1 function $\psi_z : U_z \rightarrow M$, $U_z \subset T_z W_{\text{loc}}^s(z)$.
- W^s is *locally continuous* if $y \mapsto \psi_y$ and $(y, u) \mapsto d(\psi_y)_u$ are continuous over $y \in (K \setminus N) \cap B_{r(x)}(x)$, $u \in U_y \subset T_y W^s(y)$. (Note ψ_y is defined μ -a.e. in $(K \setminus N) \cap B_{r(x)}(x)$, μ any SRB measure.)
- In particular, the maximal radius $z \mapsto r(z)$ in which $W_{\text{loc}}^s(z) \cap B_{r(z)}(z)$ is a C^1 curve varies continuously over Λ .

Transitivity and ergodicity

Theorem (Pesin 1992, V. 2022)

Let $f : K \setminus N \rightarrow K$ be singular hyperbolic.

- There is a countable collection of f -invariant subsets $\{U_i\}_{i \geq 1}$, open in Λ , for which $\overline{\bigcup_{i \geq 1} U_i} = \Lambda$, and each of which is supported by exactly one ergodic SRB measure.
- If N is a finite disjoint union of embedded submanifolds of dimension equal to the codimension of W^u , and if each unstable curve W^u intersects N transversally with angle uniformly bounded away from 0, then this collection is finite.
- If $f|_{\Lambda} : \Lambda \rightarrow \Lambda$ is topologically transitive, then $U_1 = \Lambda$ is the only member of this collection, and thus the ergodic SRB measure is unique.

Construction of ergodic components

- The construction of the ergodic components U_i is due to Pesin '92.
- Let μ be an SRB measure for Λ . For μ -a.e. $z \in \Lambda$, $W_{\text{loc}}^u(z) \subset \Lambda$ and the stable discs $B_{r(y)}^s(y)$ are defined for m_z^u -a.e. $y \in W_{\text{loc}}^u(z)$, i.e. on a set $A^u(z) \subset W_{\text{loc}}^u(z)$ of full m_z^u -measure. (Recall m_z^u is the Riemannian leaf volume of $W_{\text{loc}}^u(z)$.)
- Define the set

$$Q(z) = \left(\bigcup_{y \in A^u(z)} B_{r(y)}^s(y) \right) \cap \Lambda \cap B_{r(z)}(z).$$

Note $\mu(Q(z)) > 0$.

- Note $Q = \bigcup_{n \in \mathbb{Z}} f^n(Q(z))$ is f -invariant, and thus an ergodic component of μ .
- Openness of $Q \pmod{0}$ in Λ follows from the local continuity of W^s (i.e. continuity of $y \mapsto r(y)$ for $y \in W_{\text{loc}}^u(z)$).

Proof of finiteness: Preliminary constructions

- Recall $K^+ = \{x \in K : f^n(x) \notin N^+ \forall n \geq 0\}$ and $D = \bigcap_{n \geq 0} f^n(K^+)$.
- Given $\delta > 0$, let $B_\delta^- \subset D$ consist of those $x \in D$ for which $W_\delta^u(y)$ exists and contains x , for some $y \in D$.
- Suppose $\delta_1 < \delta_2$. Then $B_{\delta_2}^- \subseteq B_{\delta_1}^-$.
 - Indeed, if $x \in B_{\delta_2}^-$, then $x \in W_{\delta_2}^u(y)$ for some $y \in D$.
 - By certain regularity hypotheses, $D \cap W_{\delta_2}^u(y)$ has full measure, so can pick $y' \in W_{\delta_2}^u(y)$ that is with δ_1 -distance to x .
 - Follows that $x \in B_{\delta_1}^-$.

Lemma

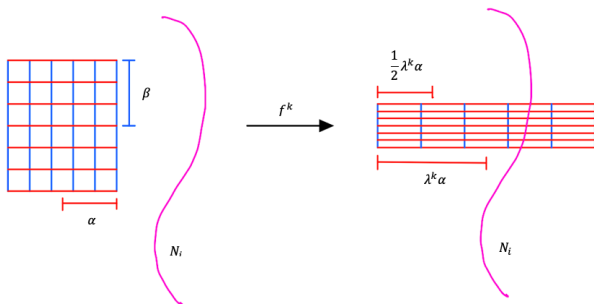
There exists a $\delta_0 > 0$ so that if μ is an ergodic SRB measure of $f : \Lambda \rightarrow \Lambda$, $\mu(B_{\delta_0}^-) > 0$.

Proving first lemma

- B_δ^- is the set of points whose local unstable leaves have radius $\delta > 0$.
- Recall $N = \bigcup_{i=1}^m N_i$, and if U is a neighborhood of N , then $f(U)$ is a neighborhood of N^- .
- Since $f^j(N^-) \cap N = \emptyset$ for $1 \leq j < k$, $\lambda^k > 2$ ($\lambda > 1$ expansive constant), and N and $f^k(N^-)$ are closed, there is a radius $Q > 0$ so that:
 - the open neighborhoods $B_Q(N_i)$, $1 \leq i \leq m$, are disjoint;
 - $f^j(B_Q(N_i)) \cap N = \emptyset$ for $1 \leq j < k$.
- We let $\delta_0 < Q$.
- Choose ergodic SRB measure μ , and μ -generic point $x \in D$. Using hyperbolic product structure, construct rectangle R of stable leaves of radius $\beta > 0$ and unstable leaves of radius $\alpha > 0$. Then $\mu(R) > 0$.
- $f(R)$ is a rectangle whose unstable leaves have length $\lambda\alpha$.

Proving first lemma (cont)

- **Idea:** Use iterates of R to extend the unstable leaves until they are of radius $\geq \delta_0$. Once this happens, $f^j(R) \subset B_{\delta_0}^-$, and $\mu(B_{\delta_0}^-) > \mu(f^j(R)) = \mu(R) > 0$.
- **Obstruction:** What if $f^j(R) \cap N \neq \emptyset$ before $\lambda^j \alpha > \delta_0$?
- Since $\delta_0 > Q$, $Q =$ radius of disjoint neighborhoods of components of N , $f^j(R)$ lies in one of these neighborhoods.
- Choose new rectangle R_1 of radius $\alpha_1 \geq \frac{1}{2} \lambda^j \alpha$.



Proving first lemma (cont)

- Iterate R_1 until either:
 - $\lambda^{j_1} \alpha_1 \geq \delta_0$ (in which case $\mu(B_{\delta_0}^-) > 0$, and we're done); or
 - $f^{j_1}(R_1) \cap N \neq \emptyset$ for some $j_1 \geq k$ (since $R_1 \subset B_Q(N_i)$).
- In latter case, take new rectangle $R_2 \subset f^{j_1}(R_1) \setminus N$ with unstable leaves of radius $\alpha_2 \geq \frac{1}{2} \lambda^{j_1} \alpha_1$.
- Repeat this process. Each time a rectangle intersects N , we take a leaf of at least half the radius, creating a sequence of rectangles $\{R_\ell\}$ with unstable leaves of radii

$$\alpha_\ell \geq \frac{1}{2^\ell} \lambda^{j_1 + \dots + j_\ell} \alpha_1 > \frac{\lambda^{k\ell}}{2^\ell} \alpha_1 = \left(\frac{\lambda^k}{2}\right)^\ell \alpha_1,$$

with each $j_\ell \geq k$ the time it takes for R_ℓ to intersect N .

- Since $\lambda^k > 2$, this will eventually exceed δ_0 , at which point $0 < \mu(R_\ell) \leq \mu(B_{\delta_0}^-)$.



Proving finiteness

- The main result is proven once we show $B_{\delta_0}^-$ is charged by at most finitely many ergodic SRB measures
- Let $\Lambda^0 \subset \Lambda$ be the points on which the limits

$$\varphi_{\pm}(x) = \lim_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \varphi|_{\Lambda} \left(f^{\pm k}(x) \right)$$

both exist for every $\varphi \in C^0(K)$. Then $\mu(\Lambda^0) = 1$ by Birkhoff ergodic theorem, w.r.t. any invariant μ .

- Partition Λ^0 into equivalence classes on which φ_+ and φ_- are constant (and equal).
- These equivalence classes are clopen in Λ . Since Λ is compact, there are at most finitely many equivalence classes.
- Any ergodic SRB measure on Λ is supported on one of these equivalence classes, and each equivalence class can support at most one SRB measure.

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