

# Shadowing in Dynamical Systems

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17th Galway Topology Colloquium  
June 30th-July 2nd, 2014

# Outline

- ① What is Shadowing?
- ② Shadowing and Symbolic Dynamics
- ③ Shadowing and  $\omega$ -limit sets

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## ① What is Shadowing?

Preliminary Definitions

Shadowing as Stability

Shadowing and Computation

## ② Shadowing and Symbolic Dynamics

## ③ Shadowing and $\omega$ -limit sets

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- An  $\epsilon$ -chain from  $x$  to  $y$  is a finite sequence  $x_0, x_1, \dots, x_n$  with  $x_0 = x$  and  $x_n = y$  satisfying  $d(f(x_i), x_{i+1}) < \epsilon$  for  $0 \leq i < n$ .

# Shadowing

## Shadowing

A map  $f : X \rightarrow X$  has *shadowing* provided that for all  $\epsilon > 0$  there exists a  $\delta > 0$  such that for every  $\delta$ -pseudo-orbit  $\langle x_i \rangle_{i \in \mathbb{N}}$  there exists an orbit  $\langle f^i(z) \rangle_{i \in \mathbb{N}}$  satisfying  $d(x_i, f^i(z)) < \epsilon$ .



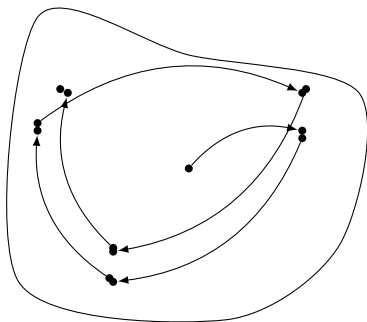
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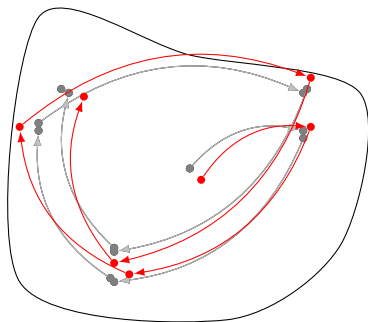
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- We say that the orbit  $\langle f^i(z) \rangle_{i \in \mathbb{N}}$   $\epsilon$ -shadows the  $\delta$ -pseudo-orbit  $\langle x_i \rangle_{i \in \mathbb{N}}$ .

# Shadowing



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# Perturbation and Pseudo-orbits

## An Observation

Let  $f, g$  be maps on  $X$  with  $d(f(x), g(x)) < \delta$  for all  $x \in X$ . Then  $\langle g^i(x) \rangle_{i \in \mathbb{N}}$  is a  $\delta$ -pseudo-orbit for  $f$ .

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- Anosov (1969) and Bowen (1975) used this observation to address stability of orbits under perturbation in hyperbolic systems

# Perturbation and Shadowing

## Lemma

Let  $f$  be a map with shadowing. Then for all  $\epsilon > 0$  there exists  $\delta > 0$  such that for any map  $g$  with  $d(f(x), g(x)) < \delta$ , and any point  $x \in X$ , there exists a point  $z \in X$  such that  $d(f^i(z), g^i(x)) < \epsilon$  for all  $i \in \mathbb{N}$ .

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- In this sense maps with shadowing exhibit stability of orbits under perturbation.

# Finite Precision and Pseudo-orbits

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Since computers have only finite precision, any computed orbit (or orbit segment) is necessarily a pseudo-orbit.



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Since computers have only finite precision, any computed orbit (or orbit segment) is necessarily a pseudo-orbit.

- In a chaotic system, a computed orbit diverges rapidly from a true orbit.
- In a chaotic system with shadowing, the computed orbit is still representative of the true orbit of a (possibly) different point.

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  - Shift Spaces
  - Self-similar Dendrites
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# Definitions

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- Let for  $a, b \in \Sigma^{\mathbb{N}}$ , defined  $d(a, b) = 2^{-N}$  where  $N$  is maximal so that  $a \upharpoonright_N = b \upharpoonright_N$  (or zero if  $a = b$ ).

# Definitions

- A *shift space* is a compact subset of  $\Sigma^{\mathbb{N}}$  which is invariant under the shift map  $\sigma$

$$\langle a_i \rangle_{i \in \mathbb{N}} \mapsto \langle a_{i+1} \rangle_{i \in \mathbb{N}}$$

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- Without loss of generality, each element of  $\mathcal{F}$  has the same length.

# Pseudo-orbits in Shift Spaces

## Observation

Let  $\sigma : X \rightarrow X$  be a shift space. Then  $\langle a_i \rangle_{i \in \mathbb{N}}$  is a  $2^{-N}$ -pseudo-orbit if and only if  $\sigma(a_i) \upharpoonright_N = a_{i+1} \upharpoonright_N$ .

```

0 1 1 0 0 1 1 1 1 0 0 0 0 0 0 ...
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$N$

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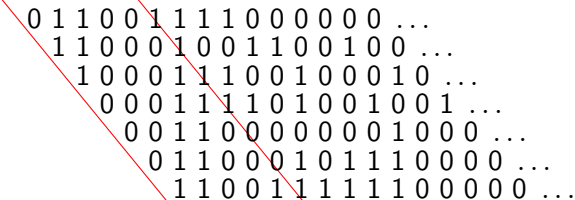
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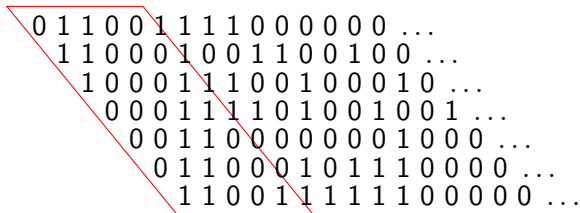
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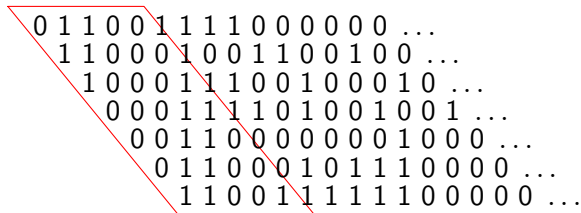
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# Shadowing in Shift Spaces

## Observation

In fact this is the *unique* element  $c$  of  $\Sigma^{\mathbb{N}}$  which could *possibly*  $\epsilon$ -shadow the pseudo-orbit for *any*  $\epsilon < 1$ .



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# Shadowing in Shift Spaces

## Question

Does  $c$  belong to the shift space  $X$ ?

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- Let  $\langle a_i \rangle_{i \in \mathbb{N}}$  be a  $2^{-N}$ -pseudo-orbit in  $X$ .
- Construct  $c \in \Sigma^{\mathbb{N}}$  as above.
- Observe that for all  $i \in \mathbb{N}$ ,  $\sigma^i(c)|_N = a_i|_N \notin \mathcal{F}$  and therefore  $c \in X$ .

# Symbolics in Continua

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- A significant issue with this approach is that itinerary spaces are naturally totally disconnected.

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- The topology of a dendrite is compatible with a *taxicab metric*  $d$ , i.e.
- Given two points  $x, y$  and a third point  $z$  on the arc connecting  $x$  and  $z$ , we have

$$d(x, y) = d(x, z) + d(z, y)$$

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- Let  $X$  be a dendrite and  $f : X \rightarrow X$  such that  $f$  has a single turning point  $t$  and  $f$  is expanding by a factor  $\lambda > 1$  on components of  $X \setminus \{t\}$ .



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- Furthermore, suppose that  $f$  is *self-similar* in the sense that for each component  $M$  of  $X \setminus \{t\}$ ,  $f(M \cup \{t\}) = X$ .

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- Then  $f : X \rightarrow X$  is conjugate to a map in the collection we will now describe.

# Baldwin's symbolics

## Itinerary Space

Give  $\{0, 1, \dots, n, *\}$  with topology generated by the basis

$$\{\{0\}, \{1\}, \dots, \{n\}, \{0, 1, \dots, n, *\}\}.$$

Let  $\Lambda = \{0, 1, \dots, n, *\}^{\mathbb{N}}$  with the induced product topology.

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Let  $\Lambda = \{0, 1, \dots, n, *\}^{\mathbb{N}}$  with the induced product topology.

- The topology on  $\Lambda$  is not Hausdorff.
- There are many shift invariant Hausdorff subspaces.

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- A sequence  $\tau = \langle \tau_n \rangle \in \Lambda$  is called *acceptable* if
  - $\tau_n = *$  if and only if  $\sigma^{n+1}(\tau) = \tau$
  - If  $\sigma^n(\tau) \neq \tau$ , then  $\sigma^n(\tau)$  and  $\tau$  are distinguishable in  $\Lambda$

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- A sequence  $\alpha \in \Lambda$  is  $\tau$ -*consistent* provided that if  $\alpha_n = *$ , then  $\sigma^{n+1}(\alpha) = \tau$ .

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- A sequence  $\alpha \in \Lambda$  is  $\tau$ -consistent provided that if  $\alpha_n = *$ , then  $\sigma^{n+1}(\alpha) = \tau$ .
- A  $\tau$ -consistent sequence  $\alpha$  is  $\tau$ -admissible provided that if  $\sigma^n(\alpha) \neq *\tau$ , then  $\sigma^n(\alpha)$  and  $*\tau$  are distinguishable in  $\Lambda$



## Baldwin's symbolics

The dendrite  $D_\tau$

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- $D_\tau$  is a dendrite
- $\sigma(D_\tau) = D_\tau$
- $*\tau$  is the only turning point of  $\sigma|_{D_\tau}$ .
- $\sigma|_{D_\tau}$  is self-similar in the earlier sense.

# Baldwin's symbolics

## Theorem (Baldwin)

Let  $X$  be a dendrite and let  $f : X \rightarrow X$  be a self-similar piecewise expanding dendrite map with a single turning point (as described earlier). Then there exists  $n \in \mathbb{N}$  and  $\tau \in \{1, 2, \dots, n, *\}^{\mathbb{N}}$  such that  $f$  is conjugate to the shift map restricted to  $D_\tau$ .

# Distance in $D_\tau$

## Definition

Let  $x, y \in D_\tau$  and let  $N \in \mathbb{N}$ . We say  $x|_N \simeq y|_N$  provided that there exists  $z \in D_\tau$  for which  $z|_N$  is indistinguishable from both  $x|_N$  and  $y|_N$  (in  $\{0, 1, *\}^N$ ).

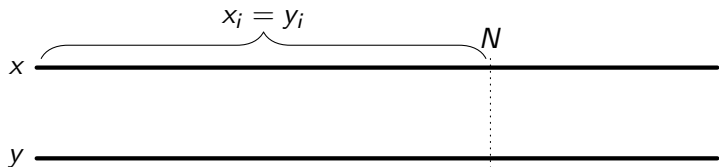
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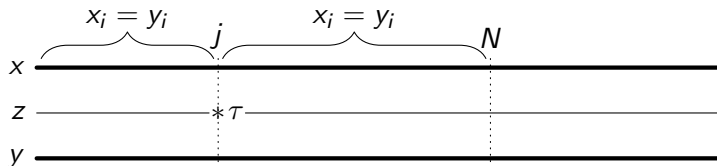
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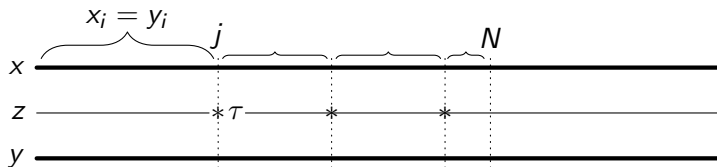
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- $x|_N \simeq y|_N$  provided that
  - $x_i = y_i$  for all  $i \leq N$ , or
  - there exists  $z = z_1 z_2 \dots z_j * \tau$  with  $j \leq N$  such that for all  $i \leq N$  either  $x_i = y_i = z_i$  or  $z_i = *$



Distance in  $D_T$ 

Distance in  $D_\tau$ 

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## Theorem

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- For each  $N \in \mathbb{N}$  there exists  $\delta_N > 0$  such that for  $x, y \in D_\tau$ ,  $d(x, y) < \delta_N$  implies  $x \upharpoonright_N \simeq y \upharpoonright_N$ .

# Pseudo-orbits in $D_\tau$

## Observation

Let  $\sigma : D_\tau \rightarrow D_\tau$ . Then  $\langle a_i \rangle_{i \in \mathbb{N}}$  is a  $\delta$ -pseudo-orbit only if  $\sigma(a_i) \upharpoonright_{N_\delta} \simeq a_{i+1} \upharpoonright_{N_\delta}$ .

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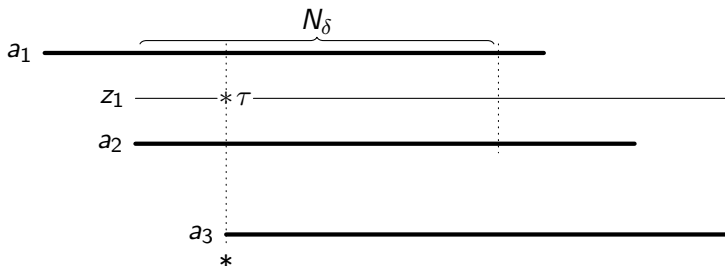
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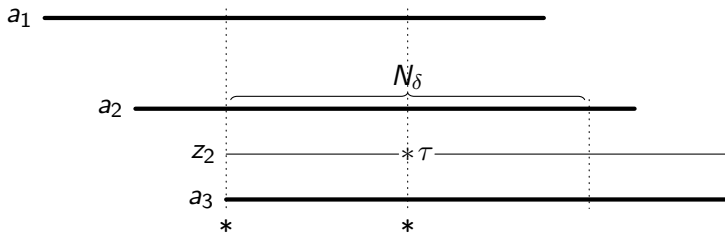
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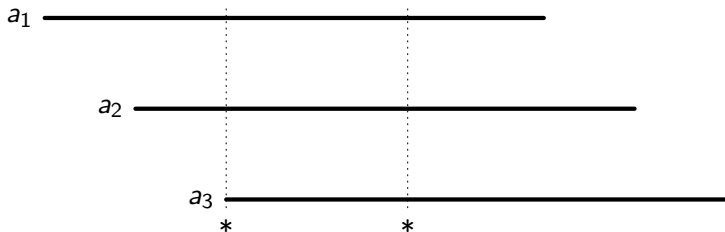
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Let  $\epsilon > 0$ . How do we choose  $\delta > 0$  such that every  $\delta$ -pseudo-orbit is  $\epsilon$  shadowed?

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- In particular, we might run into trouble when two such columns are within  $N_\epsilon$  of one another.

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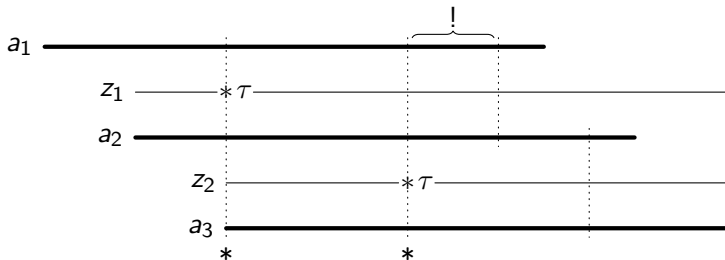
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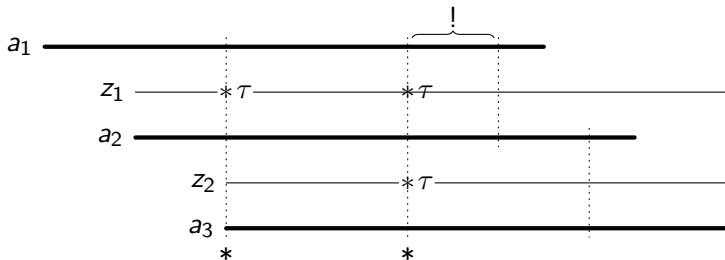
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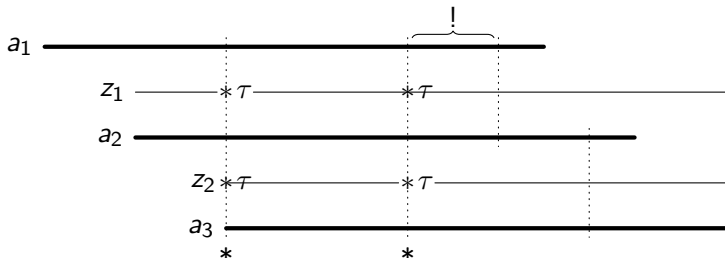
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- Any  $N_\epsilon$  length piece of the constructed itinerary either
  - misses all such columns, or
  - all corresponding pieces of the  $a_i$  are indistinguishable from the appropriate shifts of each other (and hence from  $c$ ).

# Shadowing in $D_\tau$

## Theorem

*For each acceptable  $\tau$  in  $\{0, 1, \dots, n, *\}^{\mathbb{N}}$ ,  $\sigma : D_\tau \rightarrow D_\tau$  has shadowing.*

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- In particular, unimodal, self-similar dendrite maps have shadowing
- As a corollary it follows (with some work) that Julia sets of quadratic polynomials that are dendrites all have shadowing.

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- In particular, consider the set  $\Gamma = \{0, 1, *, \#\}^{\mathbb{N}}$  and for  $\alpha \in \Gamma$  and  $i \in \{0, 1\}$ , define  $s_i(\alpha)$  to be the sequence replacing each  $*$  with  $i$  and each  $\#$  with  $1 - i$

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- Define a topology on  $\Gamma$  by taking as basis the collection

$$\{\{\alpha \upharpoonright_N, s_0(\alpha) \upharpoonright_N, s_1(\alpha) \upharpoonright_N\} : \alpha \in \Gamma, N \in \mathbb{N}\}$$

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- For an acceptable sequence  $\tau$ , the space  $E_\tau$  of  $\tau$ -admissible sequences is well-structured and exhibits shadowing.

# Shadowing in Quadratic Julia sets

## Theorem

*Let  $c \in \mathbb{C}$  and suppose that  $f_c$  defined by  $z \mapsto z^2 + c$  has an attracting or parabolic periodic point. If the associated kneading sequence  $\tau$  is not an  $n$ -tupling, then  $\tau$  is an acceptable sequence in  $\Gamma$  and  $f_c$  restricted to its Julia set is conjugate to  $\sigma$  on  $E_\tau$ .*

# Shadowing in Quadratic Julia sets

## Corollary

*Let  $c \in \mathbb{C}$  and suppose that  $f_c$  defined by  $z \mapsto z^2 + c$  has an attracting or parabolic periodic point. If the associated kneading sequence  $\tau$  is not an  $n$ -tupling, then  $f_c$  restricted to its Julia set has shadowing.*



# Asymptotic Shadowing

- In all of these settings, once we fix  $\epsilon > 0$  and find the  $\delta > 0$  such that every  $\delta$ -pseudo-orbit  $\langle a_i \rangle$  is  $\epsilon$ -shadowed by some  $x \in X$ , we can actually say a bit more.

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- If the sequence  $\langle a_i \rangle$  also has the property that for every  $\eta > 0$  there is an  $N \in \mathbb{N}$  such that  $\langle a_i \rangle_{i \geq N}$  is an  $\eta$ -pseudo-orbit, then the constructed shadowing point will have the property that for all  $\gamma > 0$  there exists  $M \in \mathbb{N}$  such that  $f^M(x)$   $\gamma$  shadows  $\langle a_i \rangle_{i \geq M}$ .

# Asymptotic Shadowing

## Theorem

*Let  $X$  be a shift of finite type or either  $D_\tau$  or  $E_\tau$  for an acceptable  $\tau$ . Then  $\sigma : X \rightarrow X$  has asymptotic shadowing.*

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- Can these techniques be extended to handle higher degree polynomial Julia sets?
- Can shadowing be classified in the category of dendrite maps?

# Outline

- ① What is Shadowing?
- ② Shadowing and Symbolic Dynamics
- ③ Shadowing and  $\omega$ -limit sets
  - Definitions
  - Connection with Shadowing



## $\omega$ -limit sets

- For a map  $f : X \rightarrow X$ , the  $\omega$ -limit set of a point  $x \in X$  is the set

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- In particular, for an Axiom A diffeomorphism  $f$ , the  $\omega$ -limit sets of  $f$  are precisely those sets which are 'abstract  $\omega$ -limit sets.'

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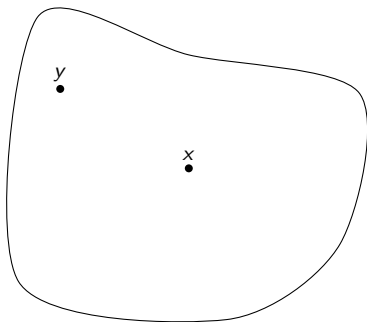
### Internal Chain Transitivity

A set  $A \subseteq X$  is internally chain transitive with respect to  $f$  provided that for all  $x, y \in A$  and all  $\epsilon > 0$ , there exists an  $\epsilon$ -chain in  $A$  from  $x$  to  $y$ .

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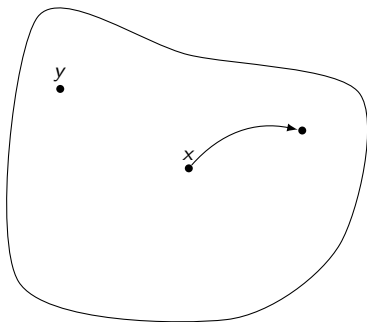
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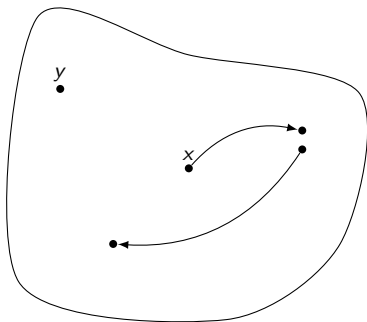
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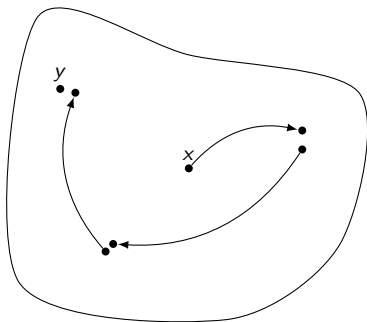
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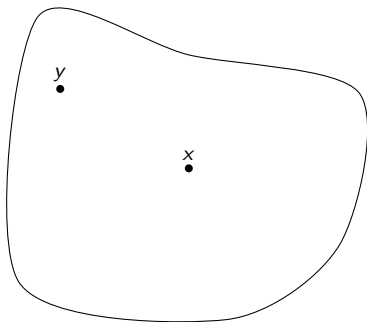




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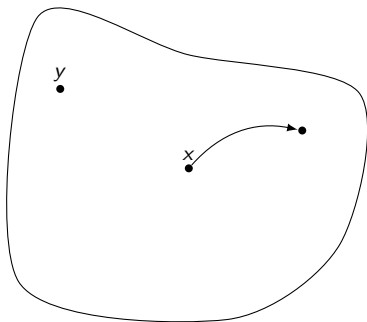
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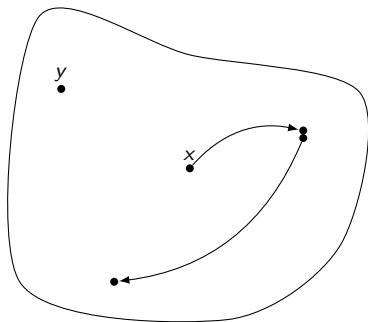
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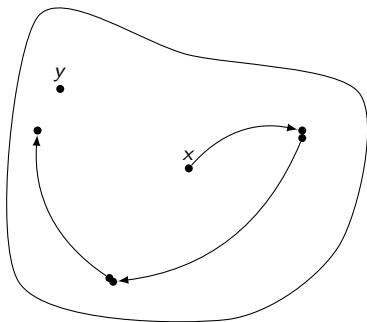
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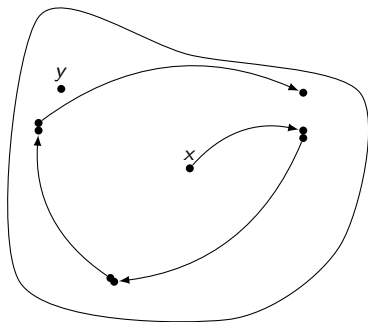
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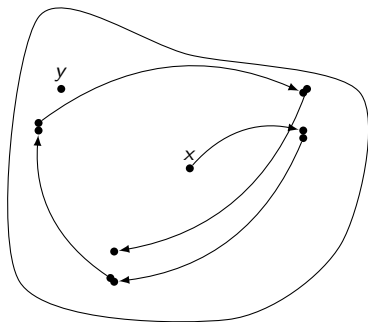
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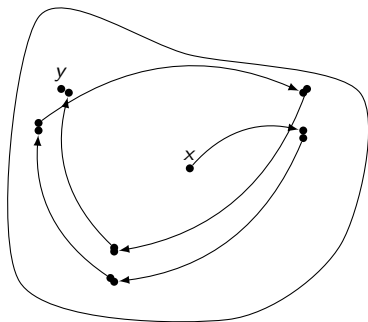
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# Asymptotic Pseudo-Orbits

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## Theorem (Barwell, Good, Oprocha, Raines)

A nonempty closed set  $A \subseteq X$  is internally chain transitive if and only if it is the  $\omega$ -limit of some asymptotic pseudo-orbit  $\langle x_i \rangle_{i \in \mathbb{N}}$  in  $X$ .

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- $\omega(f) \subseteq ICT(f) \subseteq 2^X$ .



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- There are many systems in which every nonempty closed internally chain transitive set is an  $\omega$ -limit set—shifts of finite type, certain interval maps, etc.
- However, there are also many systems where this is not the case.

## Internal chain transitivity and $\omega$ -limit sets

- There are many systems in which every nonempty closed internally chain transitive set is an  $\omega$ -limit set—shifts of finite type, certain interval maps, etc.
- However, there are also many systems where this is not the case.

### Question

Can we characterize those systems for which the collection of nonempty closed internally chain transitive sets is equal to the collection of  $\omega$ -limit sets?

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- This led to the conjecture that in systems with shadowing,  $\omega(f)$  and  $ICT(f)$  are equal.
- Recently, a counterexample was discovered (Puljiz 2013).
- However, there still seemed to be a strong connection to shadowing.

# Main Theorem

## Theorem

*If  $f : X \rightarrow X$  has shadowing, then  $\omega(f) = ICT(f)$  if and only if  $\omega(f)$  is closed with respect to the Hausdorff metric.*



# Outline of Proof

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- Choose  $k$  such that  $d_H(C_k, C) < \delta$ .



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- Then  $\langle x_i \rangle$  is an  $\epsilon$ -chain in  $C$  from  $a$  to  $b$ :

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- Thus  $C \in ICT(f)$  and  $ICT(f)$  is closed.

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- For all  $\delta > 0$  there exists  $M_\delta \in \mathbb{N}$  such that  $\langle x_{i+M_\delta} \rangle$  is a  $\delta$ -pseudo-orbit.



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- In particular, choose  $z \in X$  such that  $\langle f^i(z) \rangle$   $\epsilon/2$ -shadows  $\langle x_{i+M_\delta} \rangle$ .

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- Then  $d(a, b) = \lim d(f^{n_i}(z), x_{n_i+M}) \leq \epsilon/2$  and so

$$\sup_{a \in \omega(z)} \inf_{b \in C} d(a, b) \leq \epsilon/2 < \epsilon.$$

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- In particular,  $d_H(\omega(z), C) < \epsilon$ .
- This holds for all  $\epsilon > 0$ , and so  $C \in \overline{\omega(f)}$ .

# Interval Maps

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## Corollary

*If  $f : I \rightarrow I$  has shadowing, then  $\omega(f) = ICT(f)$ .*

# Shifts of finite type

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### Corollary

*In shifts of finite type,  $\omega(\sigma)$  is closed.*

## Quadratic Julia sets

- The complex map  $f_c(z) = z^2 + c$  restricted to its Julia set exhibits both shadowing and  $\omega(f) = ICT(f)$  for certain parameters  $c$  [Barwell, M, Raines]



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### Corollary

*For parameters  $c$  such that either  $J_c$  is a dendrite, or  $f_c$  has an attracting or parabolic periodic point, and kneading sequence  $\tau$  which is not an  $n$ -tupling,  $\omega(f_c|_{J_c})$  is closed.*

# Thank you

Thank you!