

## AXIOM A+NO CYCLES $\Rightarrow$ $\zeta_f(t)$ RATIONAL

BY JOHN GUCKENHEIMER

Communicated by Richard Palais, December 1, 1969

Throughout,  $f: M \rightarrow M$  is a smooth diffeomorphism of a compact  $C^\infty$  manifold without boundary.

Let  $N_i$  denote the number of fixed points of  $f^i$ . Then

DEFINITION.  $\zeta_f(t) = \exp \sum_{i=1}^{\infty} N_i t^i / i$  (as a formal power series in  $t$ ). This definition, due to Artin-Mazur [1], is inspired by Weil's zeta function for a variety defined over a finite field [6]. For the connection of Weil's zeta function with the Riemann zeta function, see [3].

Recall the following definitions from *Differentiable dynamical systems* [4].

DEFINITION.  $x \in M$  is *nonwandering* if for every neighborhood  $U$  of  $x$ , there is an  $n > 0$  such that  $f^n(U) \cap U \neq \emptyset$ .  $\Omega(f) = \Omega$  is the set of nonwandering points of  $f$ .  $\Omega$  is closed.

DEFINITION.  $f$  satisfies Axiom A if  $T_\Omega(M)$  has a continuous splitting  $T_\Omega(M) = E^s + E^u$ , invariant under  $Tf$ , such that there exist positive constants  $c, \lambda, \lambda < 1$  satisfying the inequalities

$$\begin{aligned} \|Tf^n v\| &\leq c\lambda^n \|v\| & \text{if } n > 0 \text{ and } v \in E^s, \\ \|Tf^n v\| &\geq c\lambda^{-n} \|v\| & \text{if } n > 0 \text{ and } v \in E^u. \end{aligned}$$

Furthermore, it is assumed that the periodic points of  $f$  are dense in  $\Omega$ .

If  $f$  satisfies Axiom A, then  $\Omega = \Omega_1 \cup \dots \cup \Omega_k$  where  $\Omega_i$  is invariant under  $f$  and  $f|_{\Omega_i}$  is topologically transitive. Define the relation  $\geq$  by  $\Omega_i \geq \Omega_j$  if  $W^u(\Omega_i) \cap W^s(\Omega_j) \neq \emptyset$ . Here  $W^u(\Omega_i)$  is the set of points tending toward  $\Omega_i$  under negative iteration;  $W^s(\Omega; )$  is the set of points tending toward  $\Omega_j$  under iteration.

DEFINITION. If  $f$  satisfies Axiom A and the relation  $\geq$  defined above is a partial ordering, then  $f$  is said to have the *No Cycle Property*.

The purpose of this paper is to prove the following:

THEOREM. *If  $f$  satisfies Axiom A and the No Cycle Property, then  $\zeta_f(t)$  is rational.*

The basic idea of the proof is due to Williams [7]. As a preliminary,

---

*AMS Subject Classifications.* Primary 3465, 5536, 5750.

*Key Words and Phrases.* Dynamical systems, periodic points, zeta functions for diffeomorphisms.