

On the Distribution of Zeros of a Ruelle Zeta-Function

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Abstract: We study the limit distribution of zeros of a Ruelle ζ -function for the dynamical system $z \mapsto z^2 + c$ when c is real and $c \rightarrow -2 - 0$ and apply the results to the correlation functions of this dynamical system.

Consider the dynamical system defined by the complex polynomial map $f_c: z \mapsto z^2 + c$, where $c < -2$. We use the notions and results of the iteration theory of rational functions (see for example [5]). Denote by f_c^{*n} the n^{th} iterate of the function f_c . The Julia set $J(f_c)$ is a Cantor set on the real line. So in particular all finite periodic points are real. This system is expanding (hyperbolic) on its Julia set. When $c = -2$ the Julia set is the segment $[-2, 2]$ and the map $P = f_{-2}$ is not expanding anymore. We have the conjugation

$$P \circ \phi = \phi \circ Q, \quad (1)$$

where $\phi: [0, 1] \rightarrow [-2, 2]$, $t \mapsto 2 \cos \pi t$ and

$$Q = \begin{cases} t \mapsto 2t & 0 \leq t \leq 1/2, \\ t \mapsto 2 - 2t, & 1/2 \leq t \leq 1. \end{cases}$$

Remark that the chaotic dynamic of P on $[-2, 2]$ was investigated by J. von Neuman and S. Ulam on one of the first computers.

We are going to study the dynamics of f_c , $c < -2$ when $c \rightarrow -2$ and then compare it with the behavior of the limit system P . The chaotic dynamics of f_c has to be described in probabilistic terms. This can be done by introducing an appropriate invariant probability measure σ_c on the Julia set. We will show that the rate of asymptotic decrease of correlation functions of the system (f_c, ν_c) changes dramatically when we pass to the limit system as $c \rightarrow -2$.

Our tool is the Thermodynamic Formalism [12–15]. Let us introduce the main objects of this theory in our particular case. Consider the Fréchet space $C^\infty(U)$ of

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infinitely differentiable functions defined in some real neighborhood U of the Julia set, such that $f_c^{-1}(U) \subset U$ and U does not contain the critical point of f_c . We define the Ruelle operator L_c acting on $C^\infty(U)$ by the formula

$$L_c g(x) = \sum_{\{y: f_c(y)=x\}} \frac{g(y)}{[f'_c(y)]^2}.$$

The weight $(f'_c)^{-2}$ is strictly positive on U . According to Ruelle’s extension of the Perron–Frobenius theorem L_c has a simple maximal positive eigenvalue $\lambda_0^{-1}(c)$ such that the moduli of all other eigenvalues are strictly less than $|\lambda_0^{-1}(c)|$. Let h_c and v_c denote the eigenvectors of L_c and the adjoint operator L_c^* respectively, corresponding to the eigenvalue $\lambda_0^{-1}(c)$ (h_c is a positive continuous function and v_c is a Borel measure). Then $\sigma_c = h_c v_c$ is an f_c -invariant ergodic probability measure on the Julia set, called “the Gibbs state, corresponding to the weight $(f'_c)^{-2}$.” The operator L_c can be also considered on the space A of functions analytic in a complex neighborhood of the Julia set. Namely, for every complex neighbourhood W of the Julia set such that $U \subset W, f_c^{-1}(W) \subset W$ and W does not contain the critical point of f_c , consider the Banach space $A(W)$ of functions analytic in W with the supremum norm. Then A is the union of all such $A(W)$. As the weight $(f'_c)^{-2}$ is analytic, the spectrum and eigenfunctions of L_c in A are the same as in $C^\infty(U)$ (see [14], Corollary 3.3(i)). This fact allows us to use the explicit expressions for eigenfunctions found in [10] with the help of complex analysis. The following particular form of Ruelle’s zeta-function is connected to the operator L_c :

$$\zeta_c(\lambda) = \exp\left(\sum_{m=1}^{\infty} \frac{\lambda^m}{m} \sum_{x \in \text{Fix}(f_c^{*m})} \frac{1}{(f_c^{*m})'(x)}\right),$$

where $\text{Fix}(f_c^{*m})$ is the set of fixed points of f_c^{*m} . (We choose the weight $\phi = (f'_c)^{-1}$ in the definition of Ruelle ζ -function. See Sect. 8 of [14] and formula (3.3) with $\sigma = \infty$ in [10].) The function ζ_c can be expressed in terms of generalized Fredholm determinants ([14, Corollary 8.1]). In our particular case it coincides with the Fredholm determinant D_c of L_c [10]; this is an entire function of order zero and its zeros are reciprocal to the eigenvalues of L_c . There is an explicit formula found in [10] (see also [11]):

$$\zeta_c(\lambda) = D_c(\lambda) = 1 + \sum_{n=1}^{\infty} \frac{\lambda^n}{2^n f_c(0) \cdots f_c^{*n}(0)}.$$

In the appendix we will give a short direct proof of the fact that the eigenvalues of L_c are reciprocal to the zeros of D_c .

Remark. Let us consider another extension of the operator $L_c: C^\infty(U) \rightarrow C^\infty(U)$ to the Fréchet space $C^\infty(W)$ of the C^∞ -functions of two real variables u and v , $u + iv \in W$, given by the formula

$$L_c^{\mathbf{R}^2} g(x) = \sum_{\{y: f_c(y)=x\}} \frac{g(y)}{|f'_c(y)|^2}.$$

(Note that $|f'_c(x)|^2$ is the Jacobian of the map $f'_c: \mathbf{R}^2 \rightarrow \mathbf{R}^2$ at the point x .) Then the eigenvalues and eigenfunctions of $L_c^{\mathbf{R}^2}$ coincide with those for L_c . Really, every eigenfunction of $L_c^{\mathbf{R}^2}$ restricted to $U = W \cap \mathbf{R}$ is an eigenfunction of L_c . Conversely, the eigenfunctions of L_c are analytic and, hence, belong to $C^\infty(W)$. In particular,

$(\lambda_0(c))^{-1}$ is the leading eigenvalue of the operator $L_c^{\mathbb{R}^2}$ and the value $\log \lambda_0(c)$ is the so-called “escape rate” [8].

One of the reasons why the study of eigenvalues of L_c is important is their connection to correlation functions. For any two continuous A and B on the Julia set define the correlation function $\rho_{c,A,B}$ by

$$\rho_{c,A,B}(m) = \sigma_c(A(f_c^{*m}) \cdot B) - \sigma_c(A) \cdot \sigma_c(B),$$

where $\sigma(A) = \int A d\sigma$. Let

$$S_{c,A,B}(z) = \sum_{m=0}^{\infty} \rho_{c,A,B}(m) z^m$$

be the corresponding generating function. *If A and B are infinitely differentiable on the Julia set then $S_{c,A,B}$ is meromorphic in \mathbb{C} and its poles can be located only at the points $\lambda \lambda_0^{-1}$, where λ^{-1} runs over the eigenvalues of L_c other than λ_0 [14, Proposition 5.3].*

1. First we investigate the limit distribution of eigenvalues of L_c or, which is equivalent, zeros of D_c . The following facts about distribution of zeros of D_c were established in [9]. For all $c < -2$ the zeros with moduli greater than 1000 are negative, and simple. There exists a constant $c_0 = -2.85 \dots$ such that for $c \leq c_0$ all zeros of D_c are real. If $c < -2$ is close to -2 then there are non-real zeros and their number tends to infinity as c tends to -2 .

To study the asymptotic distribution of complex zeros we introduce the probability measures μ_c which charge equally every zero whose modulus is less than 1000.

Theorem 1. *The measures μ_c tend weakly to the uniform distribution on the circle $\{\lambda: |\lambda| = 4\}$.*

Remarks. Notice that 4 is the radius of convergence of the series $D_{-2} = (4 - 2\lambda)/(4 - \lambda)$. Our proof is also applicable to the family of entire functions

$$H_a(z) = \sum_{n=0}^{\infty} \frac{z^n}{a^{2^n-1}}, \quad a > 1,$$

whose distribution of zeros was studied by G.H. Hardy [6]. He proved that for fixed a all zeros with moduli greater than $r_0(a)$ are negative. (In fact $r_0(a)$ can be replaced by an absolute constant [9]). Our argument shows that the limit distribution of zeros of H_a when $a \rightarrow 1$ is the uniform distribution on the circle $\{z: |z| = 1\}$. Theorem 1 should be compared with the following theorem of Jentzsch and Szegő: *The limit distribution of zeros of partial sums of a power series $\sum a_k z^k$ is the uniform distribution on $\{z: |z| = 1\}$, provided that $|a_k|^{1/k} \rightarrow 1$.* Our proof is based on the same idea as Beurling’s proof of the Jentzsch–Szegő theorem [3].

Proof. We assume that $-3 < c < -2$. It is convenient to introduce the variable $z = \lambda/2$ and set $F_c(z) = D_c(2z)$ and $r_n(c) = f_c^{*n}(0)$. Thus

$$F_c(z) = 1 + \sum_{n=1}^{\infty} \frac{z^n}{r_1(c) \dots r_n(c)}$$

and

$$r_{n+1}(c) = r_n^2(c) + c, \quad r_1(c) = c, \quad c < -2. \tag{2}$$

It is easy to see that all r_n , except r_1 , are positive, the sequence (r_n) is increasing and $r_{n+1}(c)/r_n(c) \rightarrow \infty, n \rightarrow \infty, c < -2$. Denote by $k = k(c)$ the smallest natural k such that

$$\frac{r_{k+1}(c)}{r_k(c)} \geq 36. \tag{3}$$

It was proved in [9] that the number of zeros of F_c in any fixed disk $\{z: |z| < R\}$, $R > 1000$ is asymptotically equivalent to $k(c)$ when $c \rightarrow -2$. This fact also follows from the estimates below (formula (7) plus Rouché theorem).

Lemma 1. *If $k = k(c)$ is as defined above, then*

- (i) $36 \leq |r_k(c)| \leq 1521 = 39^2$.
- (ii) $k(c) \sim (\log|c + 2|^{-1})/\log 4, c \rightarrow -2$.
- (iii) $(1/k(c)) \log|r_1(c) \dots r_{k(c)}(c)| \rightarrow \log 2, c \rightarrow -2$.

Proof. (i) From (3) we conclude that $k = k(c) > 1$. If $r_k(c) < 36$ then by (2) $r_{k+1}(c)/r_k(c) = r_k(c) + c/r_k(c) < r_k(c) < 36$, which contradicts the definition of k . This proves the left inequality in (i). Now assume that $|r_k| > 39^2$. Then in view of (2) we have $|r_{k-1}| > 39$ and we obtain $|r_k| = |r_{k-1}|^2 + c > |r_{k-1}|^2 - 3$ and $|r_k|/|r_{k-1}| > 36$, which contradicts the definition of k . This proves the right inequality in (i).

(ii) Set $c = -2 - t, t > 0$. An easy induction gives

$$|r_n(c)| \geq 2 + (4^{n-1} - 1)t, \quad n = 1, 2, \dots \tag{4}$$

To prove an inequality in the opposite direction we remark that $r_{n+1}(c) = [r_n(c)]^2 - 2 - t \leq [r_n(c)]^2 - 2 = P(r_n(c))$, so

$$r_n(c) \leq P^{*(n-1)}(r_1(c)) \leq P^{*(n-1)}(2 + t).$$

Using the semiconjugacy

$$2 \cosh 2z = [2 \cosh z]^2 - 2 = P(2 \cosh z),$$

(it is more convenient to use \cosh rather than \cos here) we obtain $r_n(c) \leq 2 \cosh(2^{n-1}y)$, where y is the smallest positive solution of the equation $2 \cosh y = 2 + t$. There exists an absolute constant $C_0 = 30$ such that $2 \cosh x \leq C_0 x^2 + 2$ whenever $2 \cosh x \leq 1521, x \in \mathbf{R}$. Thus we obtain

$$r_n(c) \leq 2 + 4^{n-1} C_0 t, \quad n = 1, 2, \dots, k(c). \tag{5}$$

The statement (ii) follows from (4) and (5).

(iii) From (ii) follows

$$t \leq C_1 4^{-k}. \tag{6}$$

In view of (4), (5) and (6) we have

$$\left| \left(\frac{1}{k} \sum_{n=1}^k \log |r_n(c)| \right) - \log 2 \right| \leq \frac{1}{k} \sum_{n=1}^k \log(1 + 4^{n-1} C_0 t)$$

$$\leq \frac{1}{k} \sum_{n=1}^k C_0 C_1 4^{n-k} \leq \frac{1}{k} \sum_{n=0}^{\infty} C_0 C_1 4^{-n} \rightarrow 0, \quad k \rightarrow \infty.$$

This finishes the proof of Lemma 1.

Denote by $A(t_1, t_2)$ the annulus $\{z: t_1 < |z| < t_2\}$ and set $A(c) = A(4r_k(c), 9r_k(c))$, where $k = k(c)$. Put $M_c(z) = z^k / (r_1(c) \dots r_k(c))$. If $z \in A(c)$ we have

$$\left| 1 - \frac{F_c(z)}{M_c(z)} \right| \leq \sum_{j=1}^k \frac{r_k \dots r_{k-j+1}}{|z|^j} + \sum_{j=1}^{\infty} \frac{|z|^j}{r_{k+1} \dots r_{k+j}}$$

$$\leq \sum_{j=1}^{\infty} 4^{-j} + \sum_{j=1}^{\infty} 4^{-j} = \frac{2}{3}.$$
(7)

Thus if we denote $u_c(z) = (k(c))^{-1} \log |F_c(z)|$ then by (iii) of Lemma 1,

$$u_c(z) = (k(c)^{-1}) \log |M_c(z)| + o(1) = \log |z/2| + o(1), \quad c \rightarrow -2, \tag{8}$$

uniformly when $z \in A(c)$. We are going to prove that

$$u_c(z) \rightarrow \log^+ |z/2|, \quad |z| \leq 324, \tag{9}$$

where the convergence holds in L^1 with respect to the Lebesgue measure (area) in $\{z: |z| \leq 324\}$.

From the definition of $A(c)$ and Lemma 1, (i) follows that $A_c \subset A(144, 13689)$. So from any sequence $c_m \rightarrow -2, c_m < -2$ we can choose a subsequence (which we again denote by c_m) such that the annuli $A(c_m)$ contain a fixed annulus $A(q_1, q_2)$, $q_1 < q_2, q_2 > 324$. Then in view of (8) we have

$$u_{c_m}(z) \rightarrow \log |z/2| \quad \text{uniformly in } \bar{A}(q_1, q_2). \tag{10}$$

Furthermore we have

$$u_{c_m}(z) \rightarrow 0, \quad |z| < 2, \tag{11}$$

(convergence in L^1 on compacts in $\{z: |z| < 2\}$), because $F_c(z) \rightarrow F_{-2}(z) = 1 - z/(2 - z), c \rightarrow -2$ uniformly on compacts in $\{z: |z| < 2\}$. Now we use the following fact (see for example [7], Theorem 4.1.9): *if a sequence of subharmonic functions u_m is bounded from above on $\{z: |z| = R\}$ and their values at the point 0 are bounded from below then there is a subsequence which converges in L^1 on every compact in $\{z: |z| < R\}$ to a subharmonic function u . Applying this statement to our functions u_{c_m} and $R = q_2$, we obtain a subsequence (which we again denote by u_{c_m}) which converges to a subharmonic function u . This function u has the properties:*

$$u(z) = 0, \quad |z| < 2 \tag{12}$$

and

$$u(z) = \log |z/2|, \quad q_1 < |z| < q_2, \tag{13}$$

which follows from (11) and (10) respectively. Remark that $u(z) \leq 0, |z| = 2$. This follows from (12) and the following theorem of M. Brelot [4]: *if u is a subharmonic*

function and $u(z_0) = a$ then for every $\varepsilon > 0$ there exists a sequence of circles centered at z_0 and radii tending to zero such that $u(z) \geq a - \varepsilon$ on these circles. (It follows from the upper semi-continuity of u that $u(z) \geq 0, |z| = 2$, but we do not need this.) Now $\log |z/2|$ is a harmonic majorant of u in the annulus $A(2, q_2)$, but $u(z) = \log |z/2|$ at some points in this annulus, for example for $|z| = q_1$. It follows from the Maximum Principle that $u(z) = \log^+ |z/2|, |z| < q_2$.

Thus we have proved that from every sequence u_{c_m} we can select a subsequence tending to $\log^+ |z/2|$. This means that (9) is true. In fact our proof shows that u_c converge to $\log^+ |z/2|$ in L^1 on every compact in the plane. Now we conclude from the general results on convergence of subharmonic functions [1, 2, 7] that the Riesz measures μ_c of u_c converge weakly to the Riesz measure of u , which is the uniform measure on the circle $|\lambda| = 2|z| = 4$. This proves the theorem.

2. Now we consider the application of Theorem 1 to the dynamical system (f_c, σ_c) , where σ_c is the Gibbs state defined in the introduction. We have

$$\zeta_c(\lambda) \rightarrow 1 - \frac{\lambda}{4 - \lambda}, \quad c \rightarrow -2,$$

uniformly on compacts in $\{\lambda: |\lambda| < 4\}$. So $\lambda_0(c) \rightarrow 2$ and

$$\inf\{\lambda: \zeta_c(\lambda) = 0, \lambda \neq \lambda_0\} \rightarrow 4, \quad c \rightarrow -2.$$

Thus by Theorem 1 and by Ruelle’s theorem mentioned in the introduction we have the following asymptotic behavior of correlation functions:

$$\limsup_{m \rightarrow \infty} |\rho_{c,A,B}(m)|^{1/m} = r(c),$$

where $r(c) \rightarrow 1/2$ as $c \rightarrow -2$.

We want to compare this result with the behavior of the limiting dynamical system when $c \rightarrow -2$. First we have to understand what the limit invariant measure is. Recall the conjugation (1). The Lebesgue measure l_1 on $[0, 1]$ is invariant with respect to Q thus its image $\sigma_{-2} = \phi_* l_1$ is invariant with respect to $P = f_{-2}$. The measure σ_{-2} is absolutely continuous with the density

$$\frac{1}{\pi\sqrt{4 - x^2}}$$

on the interval $[-2, 2]$.

Proposition 1. $\sigma_c \rightarrow \sigma_{-2}$ weakly as $c \rightarrow -2$.

Proof. We will use the explicit expressions for the eigenfunction h_c of L_c and for the Cauchy transform

$$H_c(z) = \int \frac{dv_c(x)}{x - z}$$

of the eigenmeasure v_c of L_c^* , corresponding to the greatest eigenvalue λ_0^{-1} (see [16, 10]). Using the notation $r_n(c) = f_c^{*n}(0)$ we have

$$h_c(x) = \sum_{n=0}^{\infty} \frac{\lambda_0^n(c)}{2^n r_1(c) \dots r_n(c) [r_{n+1}(c) - x]}$$

and

$$H_c(z) = \sum_{n=0}^{\infty} \frac{\lambda_0^n(c)}{2^n z f_c(z) \dots f_c^{*n}(z)} .$$

The function $z \mapsto H_c(z)$ is holomorphic in the complement of the Julia set $J(f_c)$. We have

$$h_c(x) \rightarrow -\left(\frac{1}{2+x} + \frac{1}{2-x}\right), \quad c \rightarrow -2$$

in $\bar{\mathbb{C}} \setminus ((-\infty, -2] \cup [2, \infty))$ and

$$H_c(z) \rightarrow H_{-2}(z) = \sum_{n=0}^{\infty} \frac{1}{z P(z) \dots P^{*n}(z)}, \quad c \rightarrow -2$$

in $\bar{\mathbb{C}} \setminus [-2, 2]$.

Consider the measure ν_{-2} on $[-2, 2]$ with the density $\sqrt{4-x^2}$. We claim that $H_{-2}(z)$ is proportional to the Cauchy transform of ν_{-2} . This follows from the fact that they both satisfy the same functional equation

$$H(z) - \frac{H(P(z))}{z} = \frac{\text{const}}{z}, \quad z \in \bar{\mathbb{C}} \setminus [-2, 2] .$$

Now Proposition 1 follows from the identity

$$\left(\frac{1}{2+x} + \frac{1}{2-x}\right) \sqrt{4-x^2} = \frac{4}{\sqrt{4-x^2}} .$$

So the dynamical system (P, σ_{-2}) is the limit of (f_c, σ_c) when $c \rightarrow -2$. We will show that the asymptotic behavior of correlations changes drastically when we pass to the limit as $c \rightarrow -2$.

Proposition 2. *Let A and B be holomorphic functions on $[-2, 2]$. Then there exists a constant $a = a(A, B) > 1$ such that*

$$\rho_{-2, A, B}(m) \sim a^{-2m}, \quad m \rightarrow \infty .$$

Proof. In view of Cauchy formula is enough to prove the proposition for the set of functions

$$A_z(x) = \frac{1}{z-x}, \quad x \in [-2, 2], \quad z \in \bar{\mathbb{C}} \setminus [-2, 2] .$$

After the pullback to the segment $[0, 1]$ via the conjugation (1) we have to consider the correlations

$$\rho_{A, B}(m) = l_1(A(Q^m) \cdot B) - l_1(A) \cdot l_1(B)$$

with A and B of the form

$$\frac{1}{z - 2 \cos \pi t} .$$

If we introduce the operator

$$G: g(t) \mapsto \frac{1}{2} \sum_{y: Q(y)=t} g(y) = \frac{1}{2}(g(t/2) + g(1 - t/2)), \tag{14}$$

then

$$\rho_{A,B}(m) = l_1(A \cdot G^m(B)) - l_1(A) \cdot l_1(B). \tag{15}$$

Now we notice that

$$G\left(\frac{1}{z - 2 \cos \pi t}\right) = \frac{P'(z)}{2(P(z) - 2 \cos \pi t)},$$

which implies

$$G^m\left(\frac{1}{z - 2 \cos \pi t}\right) = \frac{(P^{*m})'(z)}{2^m(P^{*m}(z) - 2 \cos \pi t)} = S(z) + \frac{\cos \pi t + o(1)}{2^{m-1}(P^{*m}(z))^2}, \tag{16}$$

where S is a function depending only on z . Combining (15) and (16) we get the statement of Proposition 2.

Remark. The analyticity assumption in Proposition 2 is crucial. Indeed consider the operator G defined in (14) in the space of infinitely differentiable functions on $[0,1]$. Its eigenvalues are 4^{-m} $m = 0, 1, 2, \dots$, and to each eigenvalue 4^{-m} corresponds one (up to a constant multiple) eigenfunction p_m which is a polynomial of degree $2m$. Now if A and B belong to the subspace of $L^2([0,1], l_1)$ generated by $\{p_m: m = 0, 1, 2, \dots\}$ then we have

$$\rho_{A,B}(m) \sim \text{const} \cdot 4^{-km}, \quad m \rightarrow \infty,$$

where $\text{const} \neq 0$ and k depend on A and B .

Appendix. Here we indicate a direct proof of the fact that the eigenvalues of L_c are reciprocal to the zeros of D_c , $c < -2$ (see also [11]). Let us look at the eigenvalues of the adjoint operator L_c^* . The dual space A^* is the space of functions g analytic in the complement of the Julia set $J(f_c)$ and equal to zero at infinity. To every such function corresponds a linear functional given by

$$h \mapsto \frac{1}{2\pi i} \int gh,$$

where the integral is taken along some contour surrounding $J(f_c)$. Now a change of the variable in this integral shows that λ^{-1} is an eigenvalue iff for every function h holomorphic in a neighborhood of $J(f_c)$,

$$\int \left(g - \lambda \frac{g \circ f_c}{f_c'} \right) h = 0.$$

Thus $w = g - \lambda g \circ f_c / f_c'$ is holomorphic on J_c . It is also holomorphic in $\bar{C} \setminus (J(f_c) \cup \{0\})$ because $f_c'(z) = 2z$. We conclude that $w(z) = \text{const}/z$ and after the normalization of g we get the functional equation

$$g(z) = \frac{\lambda}{2z} g(f_c(z)) + \frac{1}{z},$$

from which follows that

$$g(z) = \frac{1}{z} + \sum_{n=1}^{\infty} \frac{\lambda^n}{2^n z f_c(z) \cdots f_c^{*n}(z)}.$$

Now g is holomorphic at 0 so the residue of the series in the right side should vanish, that is

$$D_c(\lambda) = 1 + \sum_{n=1}^{\infty} \frac{\lambda^n}{2^n f_c(0) \cdots f_c^{*n}(0)} = 0.$$

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