



Dynamical Systems/Ordinary Differential Equations

Invariant manifold theory via generating maps

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Abstract

We present a synthetic approach to invariant manifold theorems, based upon the notion of a generating map. **To cite this article:** *M. Chaperon, C. R. Acad. Sci. Paris, Ser. I 346 (2008).*

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Résumé

Applications génératrices et variétés invariantes. Nous présentons une approche synthétique de la théorie des variétés invariantes, fondée sur la notion d'application génératrice. **Pour citer cet article :** *M. Chaperon, C. R. Acad. Sci. Paris, Ser. I 346 (2008).*

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Une *correspondance* d'un ensemble Z dans lui-même est une application h de Z dans l'ensemble $\mathcal{P}(Z)$ des parties de Z . Elle est déterminée par son *graphe* $\text{graph}(h) := \{(z, z') \in Z^2 : z' \in h(z)\}$, qui peut être *n'importe quelle* partie de Z^2 (formellement, une correspondance est donc une relation binaire). Bien sûr, une application $f : Z \rightarrow Z$ s'identifie à la correspondance $z \mapsto \{f(z)\}$.

Une *orbite de longueur* $n \in \mathbb{N}$ de h est une suite finie $(z_0, \dots, z_n) \in Z^{n+1}$ vérifiant (1). L'*itérée* n -ième h^n de h est la correspondance de Z dans lui-même dont le graphe est l'ensemble des $(z, z') \in Z^2$ tels qu'il existe une orbite (z_0, \dots, z_n) de longueur n de h avec $z_0 = z$ et $z_n = z'$. En particulier, h^0 est l'identité et $h^1 = h$. Une *orbite* de h est une suite $(z_k)_{k \in \mathbb{N}}$ dans Z vérifiant (1) pour tout $n \in \mathbb{N}$.

L'*inverse* de h est la correspondance h^{-1} de Z dans lui-même dont le graphe est l'image de $\text{graph}(h)$ par l'involution $(z, z') \mapsto (z', z)$ de Z^2 . Autrement dit, $h^{-1}(z') := \{z : z' \in h(z)\}$ (la correspondance inverse d'une application non bijective de Z dans lui-même n'est donc pas une application). Pour tout $n \in \mathbb{N}$, on pose $h^{-n} := (h^{-1})^n$.

Lorsque Z est un produit $X \times Y$, nous dirons que la correspondance h admet l'*application génératrice* $H = (F, G) : Z \rightarrow Z$ quand le graphe de h est l'ensemble des $(x, y, x', y') \in Z^2$ vérifiant (2). Cela revient à dire que, pour tout $(x, y') \in Z$, il existe une unique orbite (z_0, z_1) de longueur 1 de h telle que la première composante de z_0 soit x

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et que la seconde composante de z_1 soit y' . On explique ci-après comment les quatre théorèmes suivants se prouvent, en renvoyant à [2,1] pour les exemples et les applications :

Théorème 1. *Étant donnés deux espaces métriques non vides X, Y , on munit Z de sa distance d'espace produit $d((x, y), (x', y')) := \max\{d(x, x'), d(y, y')\}$. Soit h une correspondance de Z dans lui-même, admettant une application génératrice lipschitzienne $H = (F, G)$ vérifiant (3). Si Y est complet, alors, pour tout entier $n > 0$, la correspondance h^n a une application génératrice $H_n = (F_n, G_n)$ et, quels que soient $z = (x, y)$ et $z' = (x', y')$ dans Z , les inégalités (4)–(5) sont vérifiées. Pour chaque $z = (x, y) \in Z$, il existe une seule orbite (z_0, \dots, z_n) de longueur n de h telle que x soit la première composante de z_0 et y la seconde composante de z_n ; en particulier, la seconde composante de z_{n-1} s'écrit $y_{n-1} = A_{n-1}(z)$, ce qui définit une application $A_{n-1} : Z \rightarrow Y$ vérifiant (6).*

Théorème 2. *Sous les hypothèses du Théorème 1, on suppose Y complet et $\mu < 1$. Alors, pour tout $x \in X$ et $1 \leq \kappa < \mu^{-1}$, il existe une unique orbite $(x_n, y_n)_{n \in \mathbb{N}}$ de h telle que $x_0 = x$ et que $(y_n)_{n \in \mathbb{N}}$ appartienne à l'espace \mathcal{Y}_κ des suites $(y_n)_{n \in \mathbb{N}}$ dans Y vérifiant $\sup_n \kappa^{-n} d(y_n, y) < \infty$ pour un (et donc tout) $y \in Y$. Si Y est borné, comme $\mathcal{Y}_\kappa = Y^{\mathbb{N}}$, c'est l'unique orbite $(x_n, y_n)_{n \in \mathbb{N}}$ de h telle que $x_0 = x$. En désignant y_0 par $\varphi(x)$, l'application $\varphi : X \rightarrow Y$ vérifie $\varphi(x) = \lim_{n \rightarrow \infty} G_n(x, y)$ pour chaque $y \in Y$ et tout $x \in X$, d'où $\text{Lip } \varphi \leq \mu$ d'après (5). Son graphe W_s est invariant par h en ce sens que $h^{-1}(W_s) = W_s$, et $W_s \ni z \mapsto h(z) \cap W_s$ est une application lipschitzienne $h_s : W_s \rightarrow W_s$, telle que $\text{Lip } h_s \leq \lambda$. Quand Y est borné, W_s est l'ensemble (12) des $z \in Z$ tels qu'il existe une orbite (z_n) de h avec $z_0 = z$.*

Théorème 3. *Étant données deux variétés de Finsler à coins X, Y de classe C^r , $r \geq 1$, soit h une correspondance de $Z := X \times Y$ dans lui-même, admettant une application génératrice $H = (F, G)$ de classe C^r telle qu'il existe des constantes positives λ, μ vérifiant (14) et des fonctions $\alpha, \beta : Z \rightarrow \mathbf{R}_+$ satisfaisant à (15), (16) et (17) pour tout $z = (x, y) \in Z$ et tout $\delta z = (\delta x, \delta y) \in T_z Z$. Si Y est complète, alors, pour tout entier $n > 0$, la correspondance h^n a une application génératrice $H_n = (F_n, G_n)$ de classe C^r . Pour tout $z = (x, y) \in Z$, il existe une unique orbite (z_0, \dots, z_n) de longueur n de h telle que, en posant $z_j = (x_j, y_j)$, on ait $x_0 = x$ et $y_n = y$; en particulier, $y_{n-1} = A_{n-1}(z)$ et l'application $A_{n-1} : Z \rightarrow Y$ ainsi définie est C^r . Pour tout $\delta z = (\delta x, \delta y) \in T_z Z$, en posant $v_j := (x_j, y_{j+1})$ pour $0 \leq j \leq n-1$, les inégalités (18), (19) et¹ (20) sont vérifiées.*

Théorème 4. *Sous les hypothèses du Théorème 3, on suppose Y complète et $\beta_1 := \sup \beta(Z) < 1$. Alors, pour tout $x \in X$ et $1 \leq \kappa < \beta_1^{-1}$, il existe une unique orbite $(x_n, y_n)_{n \in \mathbb{N}}$ de h telle que $x_0 = x$ et que $(y_n)_{n \in \mathbb{N}}$ appartienne à l'espace \mathcal{Y}_κ du Théorème 1. Si Y est borné, c'est donc l'unique orbite $(x_n, y_n)_{n \in \mathbb{N}}$ de h telle que $x_0 = x$. En désignant y_0 par $\varphi(x)$, on définit une application $\varphi : X \rightarrow Y$ telle que $\varphi(x) = \lim_{n \rightarrow \infty} G_n(x, y)$ pour chaque $y \in Y$ et tout $x \in X$, donc $\text{Lip } \varphi \leq \mu$ par (19). Le graphe W_s de φ est invariant par h en ce sens que $h^{-1}(W_s) = W_s$, et $W_s \ni z \mapsto h(z) \cap W_s$ est une application localement lipschitzienne $h_s : W_s \rightarrow W_s$, globalement Lipschitzienne pour $\sup \alpha(Z) < \infty$. Quand Y est borné, W_s est l'ensemble (12) des $z \in Z$ tels qu'il existe une orbite (z_n) de h vérifiant $z_0 = z$.*

Les Théorèmes 1 et 2 reprennent pour l'essentiel la situation considérée dans l'article [2], dont les autres résultats sont justiciables du même traitement. Les Théorèmes 3 et 4 contiennent la théorie de l'hyperbolicité normale [4,6], la différentiabilité de φ s'établissant par exemple comme dans [1] pour $\sup_{z \in Z} \alpha(z)\beta(z) < 1$.

1. Introduction and definitions

A correspondence of a set Z into itself is a map h of Z into the set $\mathcal{P}(Z)$ of subsets of Z . It is determined by its graph $\text{graph}(h) := \{(z, z') \in Z^2 : z' \in h(z)\}$, which can be any subset of Z^2 (thus, a correspondence is just a binary relation). Of course, a map $f : Z \rightarrow Z$ is identified to the correspondence $z \mapsto \{f(z)\}$.

An orbit of length $n \in \mathbf{N}$ of h is a finite sequence $(z_0, \dots, z_n) \in Z^{n+1}$ satisfying

$$z_{k+1} \in h(z_k) \quad \text{for } 0 \leq k < n. \quad (1)$$

¹ En convenant que $\alpha(v_{n-2}) \cdots \alpha(v_0) = 1$ si $n = 1$.

The n -th iterate h^n of h is the correspondence of Z into itself whose graph is the set of those $(z, z') \in Z^2$ such that there exists an orbit (z_0, \dots, z_n) of length n of h with $z_0 = z$ and $z_n = z'$. In particular, h^0 is the identity map and $h^1 = h$. An orbit of h is a sequence $(z_k)_{k \in \mathbb{N}}$ in Z satisfying (1) for all $n \in \mathbb{N}$.

The inverse of h is the correspondence h^{-1} of Z into itself whose graph is the image of $\text{graph}(h)$ by the involution $(z, z') \mapsto (z', z)$ of Z^2 . In other words, $h^{-1}(z') := \{z : z' \in h(z)\}$ (the inverse correspondence of a nonbijective map of Z into itself is not a map). For every $n \in \mathbb{N}$, we let $h^{-n} := (h^{-1})^n$.

If Z is a product $X \times Y$, the correspondence h admits the generating map $H = (F, G) : Z \rightarrow Z$ when the graph of h is the set of those $(x, y, x', y') \in Z^2$ which satisfy

$$x' = F(x, y') \quad \text{and} \quad y = G(x, y'). \tag{2}$$

This means exactly that, for each $(x, y') \in Z$, there exists a unique orbit (z_0, z_1) of length one of h such that the first component of z_0 is x and the second component of z_1 is y' .

Hypothesis. Throughout the sequel, X, Y are nonempty metric spaces and h is a correspondence of $Z := X \times Y$ into itself, admitting a generating map $H = (F, G)$.

2. The “absolute” case in the Lipschitz category²

Hypothesis. (See [2].) Endowing Z with the distance $d((x, y), (x', y')) := \max\{d(x, x'), d(y, y')\}$, we assume that F, G are Lipschitzian and

$$\lambda\mu < 1, \quad \lambda := \text{Lip } F, \quad \mu := \text{Lip } G. \tag{3}$$

Theorem 1. *If Y is complete, then, for every positive integer n , the correspondence h^n has a generating map $H_n = (F_n, G_n)$ such that, for all $z = (x, y)$ and $z' = (x', y')$ in Z ,*

$$d(F_n(z), F_n(z')) \leq \max\{\lambda^n d(x, x'), \lambda d(y, y')\}, \tag{4}$$

$$d(G_n(z), G_n(z')) \leq \max\{\mu d(x, x'), \mu^n d(y, y')\}. \tag{5}$$

For each $z = (x, y) \in Z$, there is only one orbit (z_0, \dots, z_n) of length n of h such that x is the first component of z_0 and y the second component of z_n ; in particular, the second component of z_{n-1} writes $y_{n-1} = A_{n-1}(z)$, defining a map $A_{n-1} : Z \rightarrow Y$ such that

$$d(A_{n-1}(z), A_{n-1}(z')) \leq \mu \max\{\lambda^{n-1} d(x, x'), d(y, y')\}. \tag{6}$$

Idea of the proof. If $n = 1$, this is true with $A_0 = G_1 = G$ and $F_1 = F$. Assuming it true for some $n \geq 1$, the sequence (z_0, \dots, z_{n+1}) is an orbit of length $n + 1$ of h if and only if, setting $z_j = (x_j, y_j)$ and $x_0 = x$, one has

$$x_n = F_n(x, y_n), \tag{7}$$

$$y_0 = G_n(x, y_n) \tag{8}$$

and, moreover, setting $y := y_{n+1}$,

$$\begin{aligned} x_{n+1} &= F(x_n, y), \\ y_n &= G(x_n, y). \end{aligned} \tag{9}$$

By (7), the last relation reads $y_n = G(F_n(x, y_n), y)$. For fixed (x, y) , the Lipschitz constant of the right-hand side with respect to y_n is at most $\mu\lambda$ and therefore less than 1; hence, (9) is equivalent to

$$y_n = A_n(x, y) \tag{10}$$

² This title refers to the fact that the results of this section imply [1,2] the standard facts about *absolutely* normally hyperbolic invariant submanifolds. Examples and applications that we have no room to give here can be found in [2,1].

for a map $A_n : Z \rightarrow Y$, which is readily seen to satisfy (6) as required. The rest follows with

$$G_{n+1}(x, y) := G_n(x, A_n(x, y)) \quad \text{and} \quad F_{n+1}(x, y) := F(F_n(x, A_n(x, y)), y). \quad \square \tag{11}$$

Corollary 1. *Under the hypotheses of Theorem 1, if Y is compact, then the set W_s of those $z \in Z$ such that there exists an orbit (z_n) of h with $z_0 = z$, namely*

$$W_s = \bigcap_{n \in \mathbb{N}} h^{-n}(Z), \tag{12}$$

is nonempty and has at least one point in $Z_x := \{x\} \times Y$ for every $x \in X$.

Proof. For each $x \in X$, Theorem 1 implies that $h^{-n}(Z) \cap Z_x$ is the nonempty compact subset consisting of all pairs $(x, G_n(x, y))$ with $y \in Y$. As $h^{-n}(Z)$ consists of those $z \in Z$ such that there exists an orbit (z_0, \dots, z_n) of h with $z_0 = z$, the subsets $h^{-n}(Z) \cap Z_x$ form a nonincreasing sequence of nonempty compact subsets, implying that their intersection $W_s \cap Z_x$ is nonempty. \square

From (11), we deduce at once

Corollary 2. *Under the hypotheses of Theorem 1, setting $A_{j,x}(y) := A_j(x, y)$, the maps G_n are obtained from the maps A_n by the formula*

$$G_n(x, y) = A_{0,x} \circ A_{1,x} \circ \dots \circ A_{n-1,x}(y). \tag{13}$$

A sequence $(z_n)_{n \in \mathbb{N}}$ in Z is an orbit of h if and only if, setting $(z_n) = (x_n, y_n)$ and $x := x_0$, the relations (7)–(8) or, equivalently, (7)–(10) hold for all n .

Theorem 2. *Assume Y complete and $\mu < 1$. Then, for every $x \in X$ and $1 \leq \kappa < \mu^{-1}$, there exists a unique orbit $(x_n, y_n)_{n \in \mathbb{N}}$ of h such that $x_0 = x$ and that $(y_n)_{n \in \mathbb{N}}$ lies in the space \mathcal{Y}_κ of those sequences $(y_n)_{n \in \mathbb{N}}$ in Y which satisfy $\sup_n \kappa^{-n} d(y_n, y) < \infty$ for some (and therefore all) $y \in Y$. For bounded Y , as $\mathcal{Y}_\kappa = Y^\mathbb{N}$, this is the unique orbit $(x_n, y_n)_{n \in \mathbb{N}}$ of h such that $x_0 = x$. Denoting y_0 by $\varphi(x)$, the map $\varphi : X \rightarrow Y$ has the following properties:*

- (i) $\varphi(x) = \lim_{n \rightarrow \infty} G_n(x, y)$ for every $y \in Y$ and all $x \in X$, hence $\text{Lip } \varphi \leq \mu$ by (5);
- (ii) the graph W_s of φ is invariant by h in the sense that $h^{-1}(W_s) = W_s$, and $W_s \ni z \mapsto h(z) \cap W_s$ is a Lipschitzian map $h_s : W_s \rightarrow W_s$ with $\text{Lip } h_s \leq \lambda$. When Y is bounded, W_s is the set (12) of those $z \in Z$ such that there exists an orbit (z_n) of h with $z_0 = z$.

Proof. By Corollary 2, a sequence $(z_n)_{n \in \mathbb{N}} = (x_n, y_n)_{n \in \mathbb{N}}$ in Z with $x_0 = x$ is an orbit of h if and only if (7) holds for all n and the sequence $\mathbf{y} := (y_n)_{n \in \mathbb{N}}$ is a fixed point of the map $\mathcal{B}_x : \mathbf{y} \mapsto (A_n(x, y_{n+1}))_{n \in \mathbb{N}}$. Now, \mathcal{B}_x is a strict contraction of \mathcal{Y}_κ for the complete distance $d_\kappa(\mathbf{y}, \mathbf{y}') := \sup_n \kappa^{-n} d(y_n, y'_n)$, with $\text{Lip } \mathcal{B}_x \leq \mu\kappa < 1$. It follows that \mathcal{B}_x has a unique fixed point in \mathcal{Y}_κ , which is the first assertion of the theorem since (7) provides a definition of (x_n) from x and (y_n) .

Proof of (i). For all $x \in X$ and $\mathbf{y} = (y_n) \in \mathcal{Y}_\kappa$, the y_0 component $\varphi(x)$ of the unique fixed point of $\mathcal{B}_x : \mathcal{Y}_\kappa \rightarrow \mathcal{Y}_\kappa$ is the y_0 component of $\lim_{n \rightarrow \infty} \mathcal{B}_x^{n+1}(\mathbf{y})$, namely, by (13), $\varphi(x) = \lim_{n \rightarrow \infty} G_n(x, y_n)$. Taking constant sequences, we get (i).

Proof of (ii). The identity $h^{-1}(W_s) = W_s$ is proved in [2]. Clearly, h_s is the map which associates to each $z = (x, \varphi(x)) \in W_s$ the z_1 term of the unique orbit (z_n) of h with $(y_n) \in \mathcal{Y}_\kappa$ such that $z_0 = z$. As the relation $z_1 \in W_s$ reads $y_1 = \varphi(x_1)$, the map h_s is of the form $h_s(x, \varphi(x)) = (\bar{h}_s(x), \varphi(\bar{h}_s(x)))$ and the inequality $\text{Lip } \varphi < 1$ implies that $\text{Lip } h_s = \text{Lip } \bar{h}_s$. Now, the relation $(\bar{h}_s(x), \varphi(\bar{h}_s(x))) \in h(x, \varphi(x))$ yields $\bar{h}_s(x) = F(x, \varphi(\bar{h}_s(x)))$, hence, by (i) and since $\lambda = \text{Lip } F$,

$$\begin{aligned} d(\bar{h}_s(x), \bar{h}_s(x')) &\leq \lambda \max\{d(x, x'), d(\varphi(\bar{h}_s(x)), \varphi(\bar{h}_s(x')))\} \leq \max\{\lambda d(x, x'), \lambda \mu d(\bar{h}_s(x), \bar{h}_s(x'))\} \\ &\leq \lambda d(x, x') \end{aligned}$$

since $0 < (1 - \lambda\mu)d(\bar{h}_s(x), \bar{h}_s(x')) \leq 0$ is impossible, proving that $\text{Lip } h_s \leq \lambda$. \square

Note. Generating maps, introduced by McGehee and Sander [7] to prove the stable manifold theorem, are used in [2], where the proof *à la Irwin* of (most of) Theorem 2³ is a little more involved analytically but avoids the combinatorics of Theorem 1. The advantage of the approach via Theorem 1 is that it works under the general (relative) normal hyperbolicity hypothesis of [4,6], as we shall now see.

3. The “relative” case in the C^r category

Hypothesis. We assume that X, Y are C^r Finsler manifolds with corners,⁴ $r \geq 1$, that F, G are C^r and that there exist nonnegative constants λ, μ with

$$\lambda\mu < 1 \tag{14}$$

and functions $\alpha, \beta : Z \rightarrow [0, \infty)$ such that, for all $z = (x, y) \in Z$ and $\delta z = (\delta x, \delta y) \in T_z Z$,

$$|DF(z)\delta z| \leq \max\{\alpha(z)|\delta x|, \lambda|\delta y|\}, \tag{15}$$

$$|DG(z)\delta z| \leq \max\{\mu|\delta x|, \beta(z)|\delta y|\}, \tag{16}$$

$$\alpha(z)\beta(z) \leq 1. \tag{17}$$

The following analogue of Theorem 1 is proved exactly along the same lines:⁵

Theorem 3. *If Y is complete, then, for every positive integer n , the correspondence h^n has a C^r generating map $H_n = (F_n, G_n)$. Moreover, for all $z = (x, y) \in Z$,*

- (i) *there exists a unique orbit (z_0, \dots, z_n) of length n of h such that, setting $z_j = (x_j, y_j)$, one has $x_0 = x$ and $y_n = y$;*
- (ii) *in particular, $y_{n-1} = A_{n-1}(z)$, defining a C^r map $A_{n-1} : Z \rightarrow Y$;*
- (iii) *for all $\delta z = (\delta x, \delta y) \in T_z Z$, setting $v_j := (x_j, y_{j+1})$ for $0 \leq j \leq n - 1$, one has⁶*

$$|DF_n(z)\delta z| \leq \max\{\alpha(v_{n-1}) \cdots \alpha(v_0)|\delta x|, \lambda|\delta y|\}, \tag{18}$$

$$|DG_n(z)\delta z| \leq \max\{\mu|\delta x|, \beta(v_0) \cdots \beta(v_{n-1})|\delta y|\}, \tag{19}$$

$$|DA_{n-1}(z)\delta z| \leq \max\{\mu\alpha(v_{n-2}) \cdots \alpha(v_0)|\delta x|, \beta(v_{n-1})|\delta y|\}. \tag{20}$$

Corollary 1 and Corollary 2 clearly hold in this new situation. Here is the analogue of Theorem 2:

Theorem 4. *Assume Y complete and $\beta_1 := \sup \beta(Z) < 1$. Then, for every $x \in X$ and $1 \leq \kappa < \beta_1^{-1}$, there exists a unique orbit $(x_n, y_n)_{n \in \mathbb{N}}$ of h such that $x_0 = x$ and that $(y_n)_{n \in \mathbb{N}}$ lies in the space \mathcal{Y}_κ of those sequences $(y_n)_{n \in \mathbb{N}}$ in Y which satisfy $\sup_n \kappa^{-n} d(y_n, y) < \infty$ for some (and therefore all) $y \in Y$. For bounded Y , as $\mathcal{Y}_\kappa = Y^{\mathbb{N}}$, this is the unique orbit $(x_n, y_n)_{n \in \mathbb{N}}$ of h such that $x_0 = x$. Denoting y_0 by $\varphi(x)$, the map $\varphi : X \rightarrow Y$ has the following properties:*

- (i) *$\varphi(x) = \lim_{n \rightarrow \infty} G_n(x, y)$ for every $y \in Y$ and all $x \in X$, hence $\text{Lip } \varphi \leq \mu$ by (19);*
- (ii) *the graph W_s of φ is invariant by h in the sense that $h^{-1}(W_s) = W_s$, and $W_s \ni z \mapsto h(z) \cap W_s$ is a locally Lipschitzian map $h_s : W_s \rightarrow W_s$, globally Lipschitzian for $\sup \alpha(Z) < \infty$. When Y is bounded, W_s is the set (12) of those $z \in Z$ such that there exists an orbit (z_n) of h with $z_0 = z$.*

The proof is analogous to that of Theorem 2. Smoothness of φ can be established for example as in [1] for $\sup_{z \in Z} \alpha(z)\beta(z) < 1$. As before, the analogues of almost all the results of [2] can be obtained in this more general setting. All this will be explained in a forthcoming article and in the book [3].

³ Given as a sample: almost all the results of [2] can be revisited in the same spirit.
⁴ The Lipschitzian part of the theory obviously holds in the setting of Gromov’s length structures [5].
⁵ The existence of the implicit function A_n follows from hypothesis (14), which clearly is satisfied in normal hyperbolicity results (the link is explained in [1,2]) since they deal with C^1 -small perturbations of situations in which $\lambda = 0$.
⁶ Letting $\alpha(v_{n-2}) \cdots \alpha(v_0) = 1$ if $n = 1$.

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