

Local Topological Stability for Diffeomorphisms

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Abstract

Let $f : M \to M$ be a diffeomorphism of compact smooth Riemannian manifold M, an let $\Lambda \subset M$ be a closed f-invariant set. We obtain conditions for Λ to be topologically stable which is called Λ -topologically stable. Moreover, we prove that if f is C^1 robustly Λ -topologically stable then Λ satisfies star condition for f. Then in the above, if a closed f-invariant set Λ is chain transitive (or transitive) then it is hyperbolic for f.

Keywords Locally topologically stable \cdot Local star \cdot Chain transitive set \cdot Transitive set \cdot Hyperbolic

Mathematics Subject Classification 37C50 · 37D20

1 Introduction

In this paper, we assume that M is a compact smooth Riemannian manifold with dim $M \ge 2$. Denote by Diff(M) the space of diffeomorphisms of M endowed with the C^1 -topology. Let d be the distance on M induced from a Riemannian metric $\|\cdot\|$ on the tangent bundle TM. A closed f-invariant set $\Lambda \subset M$ is *hyperbolic* for f if the tangent bundle $T_{\Lambda}M$ has a Df-invariant splitting $E^s \oplus E^u$ and there exist constants C > 0 and $0 < \lambda < 1$ such that

$$\|Df^n_{|_{E^s_x}}\| \le C\lambda^n$$
 and $\|Df^{-n}_{|_{E^u_x}}\| \le C\lambda^n$

for all $x \in \Lambda$ and $n \ge 0$. If $\Lambda = M$ then we say that f is *Anosov*. For any homeomorphisms $f, g: M \to M$, we defined by the C^0 metric

$$d_0(f,g) = \sup\{x \in M : d(f(x),g(x)), d(f^{-1}(x),g^{-1}(x))\}.$$

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Walters [17, 18] studies topologically stable, that is, a diffeomorphism f is *topologically stable* if for any $\epsilon > 0$, there is $\delta > 0$ such that for any homeomorphism $g: M \to M$ with $d_0(f, g) < \delta$ there is a continuous map $h: M \to M$ such that $h \circ g = f \circ h$ and $d(h(x), x) < \epsilon$ for any $x \in M$, where d_0 is the C^0 metric.

We say that a diffeomorphism f is *expansive* if there is $\delta > 0$ such that for any $x, y \in M$, if $d(f^i(x), f^i(y)) \le \delta$ for all $i \in \mathbb{Z}$ then x = y. Given d > 0, a sequence $\{x_i\}_{i\in\mathbb{Z}}$ of points in M is called a *d*-pseudo orbit of f if the following is satisfied

$$d(f(x_k), x_{k+1}) < d,$$

for all $k \in \mathbb{Z}$. We say that a diffeomorphism f has the *shadowing property* if for any $\epsilon > 0$ there is d > 0 such that any d-pseudo orbit $\{x_i\}_{i \in \mathbb{Z}}$ of points in M of f there is a point $y \in M$ such that

$$d(f^i(y), x_i) < \epsilon$$

for all $i \in \mathbb{Z}$.

Walters [18] proved that if an expansive diffeomorphism f has the shadowing property then f is topologically stable. Also, he [17] proved that if a diffeomorphism f is Anosov then f is topologically stable. Denote by P(f) the set of all periodic points of f. We say that a diffeomorphism f satisfies *Axiom A* if the non-wandering set $\Omega(f)$ is hyperbolic and it is the closure of P(f). For any diffeomorphisms $f, g : M \to M$, we defined by the C^1 metric

$$d_1(f,g) = d_0(f,g) + \max_{x \in M} \max(\|Df(x) - Dg(x)\|, \|Df^{-1}(x) - Dg^{-1}(x)\|).$$

A diffeomorphism f is Ω -stable if there is a C^1 neighborhood \mathcal{U} of f such that for any $g \in \mathcal{U}$ there is a homeomorphism $h : \Omega(f) \to \Omega(g)$ such that $f \circ h = h \circ g$, where $\Omega(g)$ is the non-wandering set of g. Smale [16] and Palis [13] proved that a diffeomorphism f satisfies Axiom A and the no-cycle condition if and only if f is Ω -stable. The following notion was introduced by Gan and Wen [5]. We say that a diffeomorphism f is star if there is a C^1 neighborhood \mathcal{U} of f such that for any $g \in \mathcal{U}$, every $p \in P(g)$ is hyperbolic, where P(g) is the set of all periodic point of g. Denote by $\mathcal{F}(M)$ the set of all star diffeomorphisms. By Aoki [1] and Hayashi [6], if a diffeomorphism $f \in \mathcal{F}(M)$ then f is Ω -stable.

We say that a diffeomorphism f is Ω -topologically stable if for any $\epsilon > 0$ there is $\delta > 0$ such that for any homeomorphism $g : M \to M$ with $d_0(f, g) < \delta$ there is a continuous map $h : \Omega(g) \to \Omega(f)$ such that

- (a) $f \circ h = h \circ g$ on $\Omega(g)$, and
- (b) $d(h(x), x) < \epsilon$ for $x \in \Omega(g)$.

Moriyasu [10] proved that if a diffeomorphism f belongs to the C^1 interior of the set of all topologically stable then it is structurally stable. Moreover, he proved that if a diffeomorphism f belongs to the C^1 interior of the set of all Ω -topologically stable then it satisfies Axiom A and the no-cycle condition.

In this paper we generalize Moriyasu result. We say that $\Lambda \subseteq M$ is *locally maximal* with respect to some $f : M \to M$ if there is a compact neighborhood U (called *an isolating block*) such that

$$\Lambda = U_f = \bigcap_{n \in \mathbb{Z}} f^n(U).$$

Every locally maximal invariant set is clearly a compact invariant set of f.

Definition 1.1 Let $f : M \to M$ be a diffeomorphism and Λ be a locally maximal invariant set of f. We say that f is Λ -topologically stable if for any $\epsilon > 0$ there are an isolating block U of Λ and a C^0 neighborhood \mathcal{U} of f such that for any $g \in \mathcal{U}$ there is a continuous map $h : U_g \to \Lambda$ such that $d(h(x), x) \leq \epsilon$ for every $x \in U_g$ and $f \circ h = h \circ g$ on U_g , where $U_g = \bigcap_{n \in \mathbb{Z}} g^n(U)$ is the continuation of Λ .

Note that we introduce another definition of the topological stability of a set Λ which is corresponding to the notion of the C^0 lower semistability of the germ of Λ (see [11]).

Definition 1.2 Let $f : M \to M$ be a diffeomorphism and Λ be a locally maximal invariant set of f. We say that f is C^1 robustly Λ -topologically stable if there are an isolated block U of Λ and a C^1 neighborhood \mathcal{U} of f such that g is U_g -topologically stable, for every $g \in \mathcal{U}$.

A closed f-invariant set $\Lambda \subset M$ satisfies a *local star condition* for f (or f is *local star* on Λ) if there are an isolated block U of Λ and a C^1 neighborhood U of f such that for any $g \in U$, every $p \in U_g \cap P(g)$ is hyperbolic, where P(g) is the set of all periodic points of g. The notion is a generalization of star diffeomorpisms, because if $\Lambda = M$ then it satisfies star condition. For the notion, a remarkable result is Lee [8]. In [8], the author showed that if a transitive set Λ satisfies a local star condition for f then Λ is hyperbolic for f. From the local star condition, we will show the following Theorem.

Theorem A Let $\Lambda \subset M$ be a closed f-invariant set for f. If a diffeomorphism f is C^1 robustly Λ -topologically stable, then Λ satisfies a local star condition for f.

A closed *f*-invariant set C is called *chain transitive* if for any $\delta > 0$ and $x, y \in C$, there is a δ -pseudo orbit $\{x_i\}_{i=0}^n (n \ge 1) \subset C$ such that $x_0 = x$ and $x_n = y$. For any hyperbolic periodic point p, we denote index $(p) = \dim W^s(p)$, where $W^s(p) =$ $\{x \in M : f^i(x) \to p \text{ for } i \to \infty\}$ which is called the stable manifold of x. A closed f-invariant set Λ with index $(p) = i(p \in \Lambda \cap P(f))$ is *robustly homogenous index* if there are an isolating block U of Λ and a C^1 neighborhood \mathcal{U} of f such that for any $g \in \mathcal{U}$ every hyperbolic $q \in U_g \cap P(g)$ has index(q) = i. Lee [9] proved that if every periodic points in C is robustly homogenous index then the set is hyperbolic. In the paper, we consider the chain transitive set C under a type of a locally topological stability. We prove the following.

Theorem B Let $f : M \to M$ be a diffeomorphism and $C \subset M$ be a locally maximal chain transitive set. If f is C^1 robustly C-topologically stable, then C is a hyperbolic set of f.

2 Proof of Theorem A

Let $f: M \to M$ be a diffeomorphism. A closed f-invariant set Λ is called *transitive* if there is a point $x \in \Lambda$ such that $\omega(x) = \Lambda$. It is known that according to C^1 closing lemma, if Λ is transitive and locally maximal, then for every isolating block U there is $g C^1$ close to f such that g has a periodic point in $U_g = \bigcap_{n \in \mathbb{Z}} g^n(U)$. Then, we have the following lemma.

Lemma 2.1 Let Λ be a locally maximal invariant set of f. If a diffeomorphism f is Λ -topologically stable, then $\Lambda \cap P(f) \neq \emptyset$.

Proof Let $\epsilon > 0$ be given. For this ϵ take the isolating block U of Λ and a C^0 neighborhood \mathcal{U} of f from the Λ -topological stability of f. Take any $x \in \Lambda$. We have $\omega(x) \subset \Lambda$. By C^0 closing lemma, we can find $g \in \mathcal{U}$ and a periodic orbit $Orb(p_g)$ such that the orbit of $Orb(p_g)$ close to $\omega(x)$ (Hausdorff arbitrarily close). This implies $p_g \in U_g$. Now let $h : U_g \to \Lambda$ be the continuous map given in the definition of Λ -topological stability. It follows that $h(p_g)$ is well defined and belongs to Λ . Since $h \circ g = f \circ h$ on U_g ,

$$h(g^n(p_g)) = f^n(h(p_g))$$

for all $n \in \mathbb{Z}$. So, if k is the period of p_g with respect to g,

$$f^k(h(p_g)) = h(g^k(p_g)) = h(p_g),$$

proving that $h(p_g)$ is the periodic point of f in Λ .

The following is called Franks' lemma [4] which is a very useful lemma for the C^1 perturbation property.

Lemma 2.2 Let $\mathcal{U}(f)$ be any given C^1 neighborhood of f. Then there exist $\epsilon > 0$ and a C^1 neighborhood $\mathcal{U}_0(f) \subset \mathcal{U}(f)$ of f such that for given $g \in \mathcal{U}_0(f)$, a finite set $\{x_1, x_2, \dots, x_N\}$, a neighborhood W of $\{x_1, x_2, \dots, x_N\}$ and linear maps $L_i : T_{x_i}M \to T_{g(x_i)}M$ satisfying $||L_i - D_{x_i}g|| \le \epsilon$ for all $1 \le i \le N$, there exists $\widehat{g} \in \mathcal{U}(f)$ such that $\widehat{g}(x) = g(x)$ if $x \in \{x_1, x_2, \dots, x_N\} \cup (M \setminus W)$ and $D_{x_i}\widehat{g} = L_i$ for all $1 \le i \le N$.

According to Lemma 2.1, if f is Λ -topologically stable then there is a periodic point p which contained in Λ . From this we can see the following fact.

Proposition 2.3 Let $f : M \to M$ be a diffeomorphism and Λ be a locally maximal invariant set of f. Suppose that f is C^1 robustly Λ -topologically stable. Then, there are an isolating block U of Λ and a C^1 neighborhood U of f such that every $p \in U_g \cap P(g)$ is hyperbolic, for any $g \in U$.

Proof Let U be the isolating block of Λ and \mathcal{U} be the C^1 neighborhood of f given in the definition of C^1 robustly Λ -topological stability. Put $\mathcal{U}(f) = \mathcal{U}$ in Lemma 2.2 to get ϵ and the neighborhood $\mathcal{U}_0(f) \subset \mathcal{U}$. Suppose that there are $g \in \mathcal{U}_0(f)$ and

 $p \in P(g) \cap U_g$ such that p is not hyperbolic for g. Since $p \in P(g) \cap U_g$ is not hyperbolic, there is an eigenvalue λ of $D_p g^{\pi(p)}$ such that $|\lambda| = 1$, where $\pi(p)$ is the period of p. For simplicity, we may assume that $\pi(p) = 1$. Since p is not hyperbolic for g, we assume that $T_p M = E_p^c \oplus E_p^s \oplus E_p^u$ is the $D_p g$ -invariant splitting of $T_p M$, where E_p^σ , $\sigma = c, s, u$, are subspaces $T_p M$ corresponding to eigenvalues λ of $D_p g$ for $|\lambda| = 1$, $|\lambda| < 1$ and $|\lambda| > 1$, respectively.

If $\lambda \in \mathbb{R}$ then we consider $\lambda = 1$. In Lemma 2.2 we put $N = 1, x_1 = p, W = B_{\alpha}(p)$ in a way that $W \subseteq U$ and $L = L_1 : T_p M \to T_p M$ such that $L|_{E_p^*} = D_p g|_{E_p^*} + \epsilon I|_{E_p^*}$ for * = s, u and $L|_{E_p^c} = I$. Then, $||L - D_p g|| \le \epsilon$ and so, by Lemma 2.2, we can choose $\varphi = \widehat{g} \in \mathcal{U}(f)$ such that $\varphi(p) = g(p), \varphi(x) = g(x)$ for $x \in M \setminus W$ and $D_p \varphi = L$. We can assume that the exponential map $exp_p : T_p M \to W$ is a well defined diffeomorphisms.

Take a non-zero vector $u \in E_n^c$ such that $||u|| \le \alpha/2$. Then we have

$$\varphi(\exp_p(u)) = \exp_p \circ L \circ \exp_p^{-1}(\exp_p(u)) = \exp_p(u).$$

Denoting by $E_p^c(\alpha/4)$ the ball of radius $\alpha/4$, centered in \overrightarrow{O}_p and inside E_p^c , we have an invariant small arc $\mathfrak{I}_p \subset B_\alpha(p) \cap \exp_p(E_p^c(\alpha/4))$ with center at p which satisfies the following:

- (1) $\mathfrak{I}_p \subset U_\varphi = \bigcap_{n \in \mathbb{Z}} \varphi^n(U);$
- (2) $\varphi(\mathfrak{I}_p) = \mathfrak{I}_p;$
- (3) $\varphi|_{\mathfrak{I}_p} : \mathfrak{I}_p \to \mathfrak{I}_p$ is the identity map;

(4) \mathfrak{I}_p is a normally hyperbolic set of φ (see proof of Proposition A p. 730 in [19]).

Since f is C^1 robustly Λ -topologically stable, φ is U_{φ} -topologically stable. However, we shall prove that φ is not U_{φ} -topologically stable as follows.

Let $diam(\mathfrak{J}_p)$ be the diameter of \mathfrak{J}_p . By Item (4) above we can choose $0 < \rho < diam(\mathfrak{J}_p)$ so that

$$\mathfrak{J}_p = \bigcap_{n \in \mathbb{Z}} \varphi^n(O) \tag{1}$$

where *O* is the ρ -ball centered at \mathfrak{J}_p . Choose δ from the U_{φ} -topological stability of φ for $\rho/4$. Now take $\phi C^1 \delta$ -close to φ so that $\phi(\mathfrak{J}_p) = \mathfrak{J}_p$ and the dynamics of $\phi|_{\mathfrak{J}_p}$ is Pole North-South one namely we identify $\mathfrak{J}_p = [0, 1]$ with $\phi(0) = 0, \phi(1) = 1$ and $\phi^n(y) \to 0$ or 1 as $n \to \infty$ respectively for $y \in [0, 1[$.

It follows that there is a continuous map $h : U_{\phi} \to U_{\varphi}$ so that $d(h(y), y) < \rho/4$ and $\varphi \circ h = h \circ \phi$. Since $\phi(\mathfrak{J}_p) = \mathfrak{J}_p$, we have $\mathfrak{J}_p \subseteq U_{\phi}$. Therefore *h* is defined on \mathfrak{J}_p .

Note if $y \in \mathfrak{J}_p$ then $\varphi(h(y)) = h(\phi(y)) \in h(\mathfrak{J}_p)$ proving that $h(\mathfrak{J}_p)$ is φ -invariant. By (1) we get $h(\mathfrak{J}_p) \subseteq \mathfrak{J}_p$.

If $y \in]0, 1[$ then $\phi^n(y) \to 1$ as $n \to \infty$ thus $h(y) = \phi^n(h(y)) = h(\phi^n(y)) \to h(1)$ proving h(y) = 1 for every $y \in]0, 1[$. Then, h(y) = h(1) for every y by continuity. It follows that

$$d(y,w) \leq d(h(y),y) + d(h(y),h(w)) + d(h(w),w) < \rho/2 < diam(\mathfrak{J}_p), \quad \forall y,w \in \mathfrak{J}_p.$$

This is a contradiction proving the result.

If the eigenvalue $\lambda \in \mathbb{C}$, then to avoid notational complexity, we consider only the case g(p) = p. As in the above case, there are $\alpha > 0$ and $g_1 C^1$ close to g ($h \in U$) such that $g_1(p) = g(p) = p$ and

$$g_1(x) = \exp_p \circ D_p g \circ \exp_p^{-1}(x)$$
 if $x \in B_\alpha(p)$.

Then there is k > 0 such that $D_p g_1^k(v) = v$ for any non-zero vector $v \in E_p^c$. As in the above argument, we can get a contradiction.

Denote by $\mathcal{F}(\Lambda)$ the set of all diffeomorphisms satisfying the local star condition on Λ . To prove Theorem A, it is enough to show that a diffeomorphism $f \in \mathcal{F}(\Lambda)$.

Proof of Theorem A Since a diffeomorphism f is Λ -topologically stable, according to Lemma 2.1, $P(f) \cap \Lambda \neq \emptyset$. Since f is C^1 robustly Λ -topologically stable, by Proposition 2.3, $f \in \mathcal{F}(\Lambda)$. This ends proof of Theorem A.

3 Proof of Theorem B

Let *M* be as before and let $f \in \text{Diff}(M)$.

Lemma 3.1 Let $f : M \to M$ be a diffeomorphism and let $\Lambda \subset M$ be a closed finvariant set. Let k > 0 be an integer and $\epsilon > 0, \eta > 0$ be given. Then for any sequence $\{x_0, x_1, \ldots, x_k\} \subset \Lambda$ with $d(f(x_i), x_{i+1}) < \epsilon$ for $i \in \{0, 1, \ldots, k-1\}$, there exists a sequence $\{y_0, y_1, \ldots, y_k\} \subset \Lambda$ such that

(i) $d(x_i, y_i) < \eta$, for $i \in \{0, 1, ..., k\}$, (ii) $d(f(y_i), y_{i+1}) < 2\epsilon$, for $i \in \{0, 1, ..., k-1\}$, and (iii) $y_i \neq y_j (i \neq j)$, for $0 \le i, j \le k$.

Proof The proof is similar to [2, Lemma 2.4.10].

For any $\delta > 0$, a sequence $\{x_i\}_{i \in \mathbb{Z}}$ is said to be δ pseudo orbit of f if $d(f(x_i), x_{i+1}) < \delta$ for all $i \in \mathbb{Z}$. We say that a diffeomorphism f has the shadowing property on Λ if for any $\epsilon > 0$ there is $\delta > 0$ such that for any δ pseudo orbit $\{x_i\}_{i \in \mathbb{Z}} \subset \Lambda$ we can take a point $z \in M$ satisfying $d(f^i(z), x_i) < \epsilon$ for all $i \in \mathbb{Z}$.

Theorem 3.2 Let $\Lambda \subset M$ be a closed f-invariant set. If a diffeomorphism f is Λ -topological stable then f has the shadowing property on Λ .

Proof For any $\epsilon > 0$, let U be a locally maximal neighborhood of Λ and let $\delta > 0$ be as corresponding to the definition of Λ -topologically stable. We assume that $\{x_0, x_1, \ldots, x_k\} \subset \Lambda$ be choosen such that $d(f(x_i), x_{i+1}) < \delta/4\pi$ for $i = \{0, 1, \ldots, k-1\}$. According to Lemma 3.1, there is $\{y_0, y_1, \ldots, y_k\} \subset \Lambda$ such that

(i) $d(x_i, y_i) < \epsilon$, for $i \in \{0, 1, ..., k\}$,

(ii) $d(f(y_i), y_{i+1}) < \delta/2\pi$ for $i \in \{0, 1, \dots, k-1\}$,

(iii) $y_i \neq y_j (i \neq j)$ for $0 \le i, j \le k$, and

(iv) $f(y_i) \neq f(y_j) (i \neq j)$ for $0 \le i, j \le k$.

$$d(f^{i} \circ h(y_{0}), x_{i}) = d(h \circ g^{i}(y_{0}), x_{i})$$

= $d(h(y_{i}), x_{i}) \leq d(h(y_{i}), y_{i}) + d(y_{i}, x_{i})$
< $\epsilon + \epsilon = 2\epsilon$,

for $i \in \{0, 1, ..., k\}$. Thus for each $\{x_i\}_{i=0}^k \subset \Lambda$ with $d(f(x_i), x_{i+k}) < \delta/4\pi$ for $i \in \{0, 1, ..., k-1\}$, there is $y \in \Lambda$ such that $d(f^i(y), x_i) < 2\epsilon$, for $i \in \{0, 1, ..., k-1\}$. Since $\Lambda \subset M$ is a closed and invariant set for f, by [14, Lemma 1.1.1] f has the shadowing property on Λ .

We say that a diffeomorphism f has the C^1 robustly shadowing property on Λ if there are a C^1 neighborhood $\mathcal{U}(f)$ of f and an isolating block U of Λ such that for any $g \in \mathcal{U}(f)$, g has the shadowing property on U_g .

Proof of Theorem B Since f is C^1 robustly C-topologically stable, there are a C^1 neighborhood $\mathcal{U}(f)$ of f and an isolated block U of C such that for any $g \in \mathcal{U}$, g is U_g -topologically stable, where $U_g = \bigcap_{n \in \mathbb{Z}} g^n(U)$ is the continuation of Λ . Since f is C-topologically stable, f has the shadowing property on C. Thus if f has the C^1 robustly C-topologically stable then it exactly is the notion of the C^1 robustly shadowing property on C. Thus as in the result of Sakai [15], C is hyperbolic.

We know that Diff(M) is a Baire space in the C^1 topology. A residual subset of Diff(M) is a countable intersection of open dense subsets. According to the Baire category theorem, a residual set is dense. We say that a property holds for the C^1 generic diffeomorphism f if it holds on a residual subset of Diff(M).

Theorem 3.3 There is a residual set $\mathcal{G} \subset \text{Diff}(M)$ such that for any $f \in \mathcal{G}$ and a chain transitive set \mathcal{C} for f, if f is \mathcal{C} -topologically stable then \mathcal{C} is hyperbolic for f.

Proof By Lemma 3.2, the diffeomorphism f is a C^1 generic f having the shadowing property on a locally maximal chain transitive set C. From the result of Lee and Wen [7], we have C is hyperbolic for f.

For a chain transitive set C, it is easily show that if a diffeomorphism f has the shadowing property on C then C is transitive. According to the above theorems, we have the following results.

Corollary 3.4 Let Λ be a locally maximal transitive set of f. If a diffeomorphism f is C^1 robustly Λ -topologically stable then Λ is hyperbolic.

Proof By Theorem A, the transitive set Λ satisfies a local star condition for f. By Lee [8], Λ is hyperbolic for f.

According to Crovisier [3], a chain transitive set C is a transitive set. Thus by Theorem 3.3, we have the following.

Corollary 3.5 There is a residual set $\mathcal{G} \subset \text{Diff}(M)$ such that for any $f \in \mathcal{G}$ and Λ is transitive set for f, if f is Λ -topologically stable then Λ is hyperbolic for f.

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Author Contributions The author reviewed the manuscript.

Declarations

Conflict of interest The authors declare no competing interests.

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