

# Entropy of holomorphic and rational maps: a survey

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June 3, 2006

## Abstract

We give a brief survey on the entropy of holomorphic self maps  $f$  of compact Kähler manifolds, and rational dominating self maps  $f$  of smooth projective varieties. We emphasize the connection between the entropy and the spectral radii of the induced action of  $f$  on the homology of the compact manifold. The main conjecture for the rational maps states that modulo birational isomorphism all various notions of entropy and the spectral radii are equal.

2000 Mathematics Subject Classification: 28D20, 30D05, 37F, 54H20.

Keywords and phrases: Holomorphic self maps, rational dominating self maps, dynamic spectral radius, entropy.

## 1 Introduction

The subject of the dynamics of a map  $f : X \rightarrow X$  has been studied by hundreds, or perhaps thousands, of mathematicians, physicists and other scientists in the last 150 years. One way to classify the *complexity* of the map  $f$  is to assign to it a number  $h(f) \in [0, \infty]$ , which called the *entropy* of  $f$ . The entropy of  $f$  should be an invariant with respect to certain *automorphisms* of  $X$ . The complexity of the dynamics of  $f$  should be reflected by  $h(f)$ , i.e. the larger  $h(f)$  the more complex is its dynamics.

The subject of this short survey paper is mostly concerned with the entropy of a holomorphic  $f : X \rightarrow X$ , where  $X$  is a compact Kähler manifold, and the entropy of a rational map of  $f : Y \dashrightarrow Y$ , where  $Y$  is a smooth projective variety. In the holomorphic case the author [12, 13, 14] showed that entropy of  $f$  is equal to the logarithm of the spectral radius of the finite dimensional  $f_*$  on the total homology group  $H_*(X)$  over  $\mathbb{R}$ .

Most of the paper is devoted to the rational map  $f : Y \dashrightarrow Y$  which can be assumed dominating. In this case we have some partial results and inequalities. We recall three possible definition of the entropy  $h_B(f)$ ,  $h(f)$ ,  $h_F(f)$  which are related as follows:  $h_B(f) \leq h(f) = h_F(f)$ . The analog of the *dynamical* homological spectral radius are given by  $\rho_{\text{dyn}}(f_*)$ ,  $e^{\text{lov}(f)}$  and  $e^{H(f)}$ , where the three quantities can be viewed as the volume growth. It is known that  $h_F(f) \leq \text{lov}(f) \leq H(f)$ .  $H(f)$  is a birational invariant. I.e. let  $\hat{Y}$  be a smooth projective variety such that there exists  $\iota : Y \dashrightarrow \hat{Y}$  which is a *birational* map. Then  $f : Y \dashrightarrow Y$  can be lifted to dominating

$\hat{f} := \iota f \iota^{-1} : \hat{Y} \dashrightarrow \hat{Y}$ , and  $H(f) = H(\hat{f})$ . However  $h_F(f)$  does not have to be equal to  $h_F(\hat{f})$ . The main conjecture of this paper are the equalities

$$h_B(\hat{f}) = h(\hat{f}) = h_F(\hat{f}) = \text{lov}(\hat{f}) = H(\hat{f}) = \rho_{\text{dyn}}(\hat{f}_*), \quad (1.1)$$

for some  $\hat{f}$  birationally equivalent to  $f$ . For polynomial automorphisms of  $\mathbb{C}^2$ , which are birational maps of  $\mathbb{P}^2$ , the results of the papers [16, 34, 8] prove the above conjecture for  $\hat{f} = f$ . Some other examples where this conjecture holds are given in [21, 22].

The pioneering inequality of Gromov  $h_F(f) \leq \text{lov}(f)$  [20] uses basic results in entropy theory, Riemannian geometry and complex manifolds. Author's results are using basic results in entropy theory, algebraic geometry and the results of Gromov, Yomdin [36] and Newhouse [30]. From the beginning of 90's the notion of *currents* were introduced in the study of the dynamics of holomorphic and rational maps in several complex variables. See the survey paper [33]. In fact the inequality  $\text{lov}(f) \leq H(f)$  due to [8] and [23], as well as most of the results in are derived [21, 22], are using the theory of currents.

The author believes that in dealing with the notion of the entropy solely, one can cleverly substitute the theory of currents with the right notions of algebraic geometry. All the section of this paper except the last one are not using currents. It seems to the author that to prove the conjecture (1.1) one needs to prove a correct analog of Yomdin's inequality [36].

We now survey briefly the contents of this paper. §2 deals with the entropy of  $f : X \rightarrow X$ , where first  $X$  is a compact metric space and  $f$  is continuous, and second  $X$  is compact Kähler and  $f$  is holomorphic. §3 is devoted to the study of three definitions of entropy of a continuous map  $f : X \rightarrow X$ , where  $X$  is an arbitrary subset of a compact metric space  $Y$ . In §4 we discuss rational dominating maps  $f : Y \dashrightarrow Y$ , where  $Y$  is a smooth projective variety. §5 discusses various notions and results on the entropy of rational dominating maps. In §6 we discuss briefly the recent results, in particular the inequality  $\text{lov}(f) \leq H(f)$  which uses currents.

It is impossible to mention all the relevant existing literature, and I apologize to the authors whose papers were not mentioned. It is my pleasure to thank S. Cantat, V. Guedj, J. Propp and C.-M. Viallet for pointing out related papers.

## 2 Entropy of continuous and holomorphic maps

The first rigorous definition of the entropy was introduced by Kolmogorov [26]. It assumes that  $X$  is a probability space  $(X, \mathcal{B}, \mu)$ , where  $f$  preserves the probability measure  $\mu$ . It is denoted by  $h_\mu(f)$ , and is usually referred under the following names: *metric entropy*, *Kolmogorov-Sinai entropy*, or *measure entropy*.  $h_\mu(f)$  is an invariant under measure preserving invertible automorphism  $A : X \rightarrow X$ , i.e.  $h_\mu(f) = h_\mu(A \circ f \circ A^{-1})$ .

Assume that  $X$  is a compact metric space and  $f : X \rightarrow X$  a continuous map. Then Adler, Konheim and McAndrew defined the *topological entropy*  $h(f)$  [1].  $h(f)$  has a *maximal characterization* in terms of measure entropies  $f$ . Let  $\mathcal{B}$  be the Borel sigma algebra generated by open set in  $X$ . Denote by  $\Pi(X)$  the compact space of probability measures on  $(X, \mathcal{B})$ . Let  $\Pi(f) \subseteq \Pi(X)$  be the compact set

of all  $f$ -invariant probability measures. (Krylov-Bogolyubov theorem implies that  $\Pi(f) \neq \emptyset$ .) Then the *variational principle* due to Goodwyn, Dinaburg and Goodman [18, 7, 17] states  $h(f) = \max_{\mu \in \Pi(f)} h_\mu(f)$ . Hence  $h(f)$  depends only to the topology induced by the metric on  $X$ . In particular,  $h(f)$  is invariant under any homeomorphism  $A : X \rightarrow X$ .

The next step is to consider the case where  $X$  is a compact smooth manifold and  $f : X \rightarrow X$  is a differentiable map, i.e.  $f \in C^k(X)$ , where  $k$  is usually at least 1. The most remarkable subclasses of  $f$  are strongly hyperbolic maps, and in particular axiom A diffeomorphisms [32]. The dynamics of an Axiom A diffeomorphism on the nonwandering set can be coded as a *subshift of a finite type* (SOFT), hence its entropy is given by the exponential growth of the periodic points of  $f$ . Denote by  $\text{Fix } f^k$  the number of periodic points of  $f$  of period  $k$ .  $\text{Fix } f^k$  can be estimated below by the the Lefschetz number of  $f^k$ . I.e., let  $H_*(X)$  denote the total homology group of  $X$  over  $\mathbb{R}$ , i.e. the direct sum of the homology groups of  $X$  of all dimensions with coefficients in  $\mathbb{R}$ . Then  $f$  induces the linear operator  $f_* : H(X) \rightarrow H(X)$ . Denote by  $\rho(f_*)$  the spectral radius of  $f_*$ . Recall that  $\rho(f_*) = \limsup_{k \rightarrow \infty} |\text{Trace } f_*^k|^{\frac{1}{k}}$ . The Lefschetz theorem yields  $|\text{Trace } f_*^k| \leq \text{Fix } f^k$ . Hence for Axiom A diffeomorphism one has the inequality

$$h(f) \geq \log \rho(f_*). \quad (2.1)$$

It was conjectured in [32] that the above inequality holds for any differentiable  $f$ .

Let  $\deg f$  be the *topological degree* of  $f : X \rightarrow X$ , which is the trace of  $f_*$  restricted to the highest dimensional homology group  $H_k(X)$ , where  $k := \dim_{\mathbb{R}} X$  is the dimension of  $X$  over the reals. Hence  $\rho(f_*) \geq |\deg f|$ . It was shown by Misiurewicz and Przytycki [29] that if  $f \in C^1(X)$  then  $h(f) \geq |\deg f|$ . However this inequality may fail if  $f \in C^0(X)$ . The entropy conjecture (2.1) for a smooth  $f$ , i.e.  $f \in C^\infty(X)$ , was proved by Yomdin [36]. Conversely, Newhouse [30] showed that for  $f \in C^{1+\varepsilon}(X)$  the *volume growth* of smooth submanifolds of  $f$  is an upper bound for  $h(f)$ .

This paper is devoted to study the entropy of  $f$  where  $X$  is a complex Kähler manifold and  $f$  is either holomorphic map, or  $X$  is a projective variety and  $f$  is a rational map dominating map. We first discuss the case where  $f$  is holomorphic.

Let  $\mathbb{P}$  be the complex projective space. Then  $f : \mathbb{P} \rightarrow \mathbb{P}$  is holomorphic if and only if  $f|_{\mathbb{C}}$  is a rational map. Hence  $\deg f$  is the cardinality of the set  $f^{-1}(z)$  for all but a finite number of  $z \in \mathbb{C}$ . So  $\deg f = \rho(f_*)$  in this case. Lyubich [27] showed that  $h(f) = \log \deg f$ . Gromov in preprint dated 1977, which appeared as [20], showed that if  $f : \mathbb{P}^d \rightarrow \mathbb{P}^d$  is holomorphic then  $h(f) = \log \deg f$ . It is well known in this case  $\rho(f_*) = \deg f$ .

In [12] the author showed that if  $X$  is a complex projective variety and  $f : X \rightarrow X$  is holomorphic, then  $h(f) = \log \rho(f_*)$ . Note that one can view  $f_*$  a linear operator on  $H_*(X, \mathbb{Z})$ , i.e. the total homology group with integer coefficients. Hence  $f_*$  can be represented by matrix with integer coefficients. In particular,  $\rho(f_*)$  is an algebraic integer, i.e. the entropy is the logarithm of an algebraic integer. (This fact was observed in [3] for certain rational maps.) In [14] the author extended this result to a compact Kähler manifold.

Examples of the dynamics of biholomorphic maps  $f : X \rightarrow X$ , where  $X$  is a compact K3 surface which is Kähler but not necessary a projective variety, are given in [6, 28]. In summary, the entropy of a holomorphic self map  $f$  of a compact

Kähler manifold is determined by the spectral radius of the induced action of  $f$  on the total homology of  $X$ .

### 3 Definitions of entropy

In this paper  $Y$  will be always a compact matrix space with the metric  $\text{dist}(\cdot, \cdot) : Y \times Y \rightarrow \mathbb{R}_+$ . Let  $X \subseteq Y$  be a nonempty set, and assume that  $f : X \rightarrow X$  is a continuous map with respect the topology induced by the metric  $\text{dist}$  on  $X$ . For  $x, y \in X$  and  $n \in \mathbb{N}$  let

$$\text{dist}_n(x, y) = \max_{k=0, \dots, n-1} \text{dist}(f^k(x), f^k(y)).$$

So  $\text{dist}_1(x, y) = \text{dist}(x, y)$  and the sequence  $\text{dist}_n(x, y), n \in \mathbb{N}$  is nondecreasing. Hence for each  $n \in \mathbb{N}$   $\text{dist}_n$  is a distance on  $X$ . Furthermore, each metric  $\text{dist}_n$  induces the same topology  $X$  as the metric  $\text{dist}$ . For  $\varepsilon > 0$  a set  $S \subseteq X$  is called  $(n, \varepsilon)$  separated if  $\text{dist}_n(x, y) \geq \varepsilon$  for any  $x, y \in S, x \neq y$ . For any set  $K \subseteq X$  denote by  $N(n, \varepsilon, K) \in \mathbb{N} \cup \{\infty\}$  the maximal cardinality of  $(n, \varepsilon)$  separated set  $S \subseteq K$ . Clearly,  $N(n_1, \varepsilon, K) \geq N(n_2, \varepsilon, K)$  if  $n_1 \geq n_2$ ,  $N(n, \varepsilon_1, K) \geq N(n, \varepsilon_2, K)$  if  $0 < \varepsilon_1 \leq \varepsilon_2$ , and  $N(n, \varepsilon, K_1) \geq N(n, \varepsilon, K_2)$  if  $K_1 \supseteq K_2$ .

We now discuss a few possible definitions of the entropy of  $f$ . Let  $K \subseteq X$ . Then

$$h(f, K) := \lim_{\varepsilon \searrow 0} \limsup_{n \rightarrow \infty} \frac{\log N(n, \varepsilon, K)}{n}. \quad (3.1)$$

We call  $h(f, K)$  the *topological entropy* of  $f|_K$ . (Note that  $h(f, K) = \infty$  if  $N(n, \varepsilon, K) = \infty$  for some  $n \in \mathbb{N}$  and  $\varepsilon > 0$ .) Equivalently,  $h(f, K)$  can be viewed as the *exponential growth* of the maximal number of  $(n, \varepsilon)$  separated sets (in  $n$ ).

Clearly  $h(f, K_1) \geq h(f, K_2)$  if  $X \supseteq K_1 \supseteq K_2$ . Then  $h(f) := h(f, X)$  is the *topological entropy* of  $f$ .

Bowen's definition of the entropy of  $f$ , denoted here as  $h_B(f)$ , is given as follows [35, §7.2]. Let  $K \subseteq X$  be a compact set. Then  $K$  is a compact set with respect to  $\text{dist}_n$ . Hence  $N(n, \varepsilon, K) \in \mathbb{N}$ . Then  $h_B(f, X)$  is the supremum of  $h(f, K)$  for all compact subsets  $K$  of  $X$ . I.e.

$$h_B(f, X) = \sup_{K \subseteq X} h(f, K).$$

When no ambiguity arises we let  $h_B(f) := h_B(f, X)$ . Clearly, if  $X$  is compact then  $h_B(f) = h(f)$ . (It is known that for a compact  $X$   $h(f) \in [0, \infty]$ , i.e. [35].)

Since  $N(n, \varepsilon, K) \leq N(n, \varepsilon, X)$  for any  $K \subseteq X$  it follows that  $h(f) \geq h_B(f)$ . The following example, pointed out to me by Jim Propp, shows that it is possible that  $h(f) > h_B(f)$ . Let  $Y := \{z \in \mathbb{C}, |z| \leq 1\}$ ,  $X := \{z \in \mathbb{C}, |z| < 1\}$  be the closed and the open unit disk respectively in the complex plane. Let  $2 \leq p \in \mathbb{N}$  and assume that  $f(z) := z^p$ . It is well known that  $h(f, Y) = \log p$ . It is straightforward to show that  $h(f, X) = h(f, Y)$ . Let  $K \subset X$  be a compact set. Let  $D(0, r)$  be the closed disk or radius  $r < 1$ , centered at 0, such that  $K \subseteq D(0, r)$ . Since  $f(D(0, r)) \subseteq D(0, r)$  it follows that  $h_B(f, X) \leq h(f, D(0, r)) = 0$ .

Our last definition of the entropy of  $h$ , denoted by  $h_F(f, X)$ , or simply  $h_F(f)$  is based on the notion of the orbit space. Let  $\mathcal{Y} := Y^{\mathbb{N}}$  be the space of the sequences

$\mathbf{y} = (y_i)_{i \in \mathbb{N}}$ , where each  $y_i \in Y$ . We introduce a metric on  $\mathcal{Y}$ :

$$d(\{x_i\}, \{y_i\}) := \sum_{i=1}^{\infty} \frac{\text{dist}(x_i, y_i)}{2^{i-1}}, \quad \{x_i\}_{i \in \mathbb{N}}, \{y_i\}_{i \in \mathbb{N}} \in \mathcal{Y}.$$

Then  $\mathcal{Y}$  is a compact metric space, whose diameter is twice the diameter of  $Y$ . The *shift* transformation  $\sigma : \mathcal{Y} \rightarrow \mathcal{Y}$  is given by  $\sigma(\{y_i\}_{i \in \mathbb{N}}) = \{y_{i+1}\}_{i \in \mathbb{N}}$ . Then  $d(\sigma(\mathbf{x}), \sigma(\mathbf{y})) \leq 2d(\mathbf{x}, \mathbf{y})$ , i.e.  $\sigma$  is a Lipschitz map. Given  $x \in X$  then the *f-orbit* of  $x$ , or simply the orbit of  $x$ , is the point  $\text{orb } x := \{f^{i-1}(x)\}_{i \in \mathbb{N}} \in \mathcal{Y}$ . Denote by  $\text{orb } X \subseteq \mathcal{Y}$ , the *orbit space*, the set of all *f*-orbits. Note that  $\sigma(\text{orb } x) = \text{orb } f(x)$ . Hence  $\sigma(\text{orb } X) \subseteq \text{orb } X$ .  $\sigma|_{\text{orb } X}$ , the restriction of  $\sigma$  to the orbit space, is “equivalent” to the map  $f : X \rightarrow X$ . I.e. let  $\omega : X \rightarrow \text{orb } X$  be given by  $\omega(x) := \text{orb } x$ . Clearly  $\omega$  is a homeomorphism. Then the following diagram is commutative:

$$\begin{array}{ccc} X & \xrightarrow{f} & X \\ \omega \downarrow & & \omega \downarrow \\ \mathcal{X} & \xrightarrow{\sigma} & \mathcal{X} \end{array}$$

Let  $\mathcal{X}$  be the closure of  $\text{orb } X$  with respect to the metric  $d$  defined above. Since  $\mathcal{Y}$  is compact,  $\mathcal{X}$  is compact. Clearly  $\sigma(\mathcal{X}) \subseteq \mathcal{X}$ . Following [12, §4] we define  $h_F(f, X)$  to be equal to the topological entropy of  $\sigma|_{\mathcal{X}}$ :

$$h_F(f, X) := h(\sigma|_{\mathcal{X}}) = h(\sigma, \mathcal{X}).$$

When no ambiguity arises we let  $h_F(f) := h_F(f, X)$ . Since the closure of  $\text{orb } X$  is  $\mathcal{X}$ , it is not difficult to show that  $h_F(f) = h(\sigma, \text{orb } X)$ .

Observe first that if  $X$  is a compact subset of  $Y$  then  $h_F(f)$  is the topological entropy  $h(f)$  of  $f$ . Indeed, since  $f$  is continuous and  $X$  is compact  $\mathcal{X} = \text{orb } X$ . Since  $\omega$  is a homeomorphism, the variational principle implies that  $h(f) = h_F(f)$ .

We observe next that  $h(f) \leq h_F(f)$ . Let

$$d_n(\mathbf{x}, \mathbf{y}) := \max_{k=0, \dots, n-1} d(\sigma^k(\mathbf{x}), \sigma^k(\mathbf{y})).$$

Then  $\text{dist}_n(x, y) \leq d_n(\text{orb } x, \text{orb } y)$ . Hence  $N(n, \varepsilon, X) \leq N(n, \varepsilon, \mathcal{X})$ . Hence  $h(f) \leq h_F(f)$ . The arguments of the proof [22, Lemma 1.1] show that  $h(f) = h_F(f)$ . (In [22]  $h_{\text{top}}^{\text{Bow}}(f)$  is our  $h(f)$ , and  $h_{\text{top}}^{\text{Gr}}(f)$  is the topological entropy with respect to the metric  $d'(\{x_i\}, \{y_i\}) := \sup_{i \in \mathbb{N}} \frac{\text{dist}(x_i, y_i)}{2^i}$ . Since  $d$  and  $d'$  induce the Tychonoff topology on  $Y^{\mathbb{N}}$  it follows that  $h_{\text{top}}^{\text{Gr}}(f) = h_F(f)$ .)

Our discussion of various topological entropies for  $f : X \rightarrow X$  is very close to the discussion in [24]. The notion of the entropy  $h_F(f)$  can be naturally extended to the definition of the entropy of a semigroup acting on  $X$  [15]. See [5] for other definition of the entropy of a free semigroup and [11] for an analog of Misiurewicz-Przytycki theorem [29].

## 4 Rational maps

In this section we use notions and results from algebraic geometry most of which can be found in [19]. Let  $\mathbf{z} = (z_0, z_1, \dots, z_n)$ , sometimes denotes as  $(z_0 : z_1 : \dots : z_n)$ , be

the homogeneous coordinates the  $n$ -dimensional complex projective space  $\mathbb{P}^n$ . Recall that a map  $f : \mathbb{P}^n \dashrightarrow \mathbb{P}^n$  is called a rational map if there exists  $n+1$  nonzero coprime homogeneous polynomials  $f_0(\mathbf{z}), \dots, f_n(\mathbf{z})$  of degree  $d \in \mathbb{N}$  such that  $\mathbf{z} \mapsto f_h(\mathbf{z}) := (f_0(\mathbf{z}), \dots, f_n(\mathbf{z}))$ . Equivalently  $f$  lifts to a homogeneous map  $f_h : \mathbb{C}^{n+1} \rightarrow \mathbb{C}^{n+1}$ . The set of singular points of  $f$ , denoted by  $\text{Sing } f \subset \mathbb{P}^n$ , sometimes called the *indeterminacy locus* of  $f$ , is given by the system  $f_0(\mathbf{z}) = \dots = f_n(\mathbf{z}) = 0$ .  $\text{Sing } f$  is closed subvariety of  $\mathbb{P}^n$  of codimension 2 at least.  $f$  is holomorphic if and only if  $\text{Sing } f = \emptyset$ , i.e. the above system of polynomial equations has only the solution  $\mathbf{z} = \mathbf{0}$ .

Let  $Y$  be an irreducible algebraic variety. It is well known that  $Y$  can be embedded as an irreducible subvariety of  $\mathbb{P}^n$ . For simplicity of notation we will assume that  $Y$  is an irreducible variety of  $\mathbb{P}^n$ . So  $Y$  can be viewed as a homogeneous irreducible variety  $Y_h \subset \mathbb{C}^{n+1}$ , given as the zero set of homogeneous polynomials  $p_1(\mathbf{z}) = \dots = p_m(\mathbf{z}) = 0$ .  $y \in Y$  is called *smooth* if  $Y$  is a complex compact manifold in the neighborhood of  $y$ . A nonsmooth  $y \in Y$  is called a *singular* point. The set of singular points of  $Y$ , denoted by  $\text{Sing } Y$ , is a strict subvariety of  $Y$ .  $Y$  is called *smooth* if  $\text{Sing } Y = \emptyset$ . Otherwise  $Y$  is called *singular*.

Let  $f : Y \dashrightarrow Y$  be a rational map. Then one can extend  $f$  to  $\underline{f} : \mathbb{P}^n \dashrightarrow \mathbb{P}^n$  such that  $\text{Sing } \underline{f} \cap Y$  is a strict subvariety of  $Y$  and  $\underline{f}|(Y \setminus \text{Sing } \underline{f}) = f|(Y \setminus \text{Sing } f)$ .  $\underline{f}$  is not unique, but the  $f$  can be viewed as  $\underline{f}|Y$ .  $\text{Sing } \underline{f} \subset Y$  is the set of the points where  $f$  is not holomorphic.  $\text{Sing } f$  is strict projective variety of  $X$ , ( $\text{Sing } f \subseteq \text{Sing } \underline{f} \cap Y$ ), and each irreducible component of  $\text{Sing } f$  is at least of codimension 2. The assumption  $f : Y \dashrightarrow Y$  means that  $\mathbf{w} := f_h(\mathbf{z}) \in Y_h$  for each  $\mathbf{z} \in Y_h$ . It is known that  $Y_1 := \text{Cl } f_h(Y_h)$ , the closure of  $f_h(Y_h)$ , is a homogeneous irreducible subvariety of  $Y$ . Furthermore either  $Y_1 = Y (= Y_0)$ , in this case  $f$  is called a *dominating* map, or  $\dim Y_1 < \dim Y_0$ . In the second case the dynamics of  $f_0 := f$  is reduced to the dynamics of the rational map  $f_1 : Y_1 \dashrightarrow Y_1$ . Continuing in the same manner we deduce that there exists a finite number of strictly descending irreducible subvarieties  $Y_0 := Y \supsetneq \dots \supsetneq Y_k$  such that  $f_k : Y_k \dashrightarrow Y_k$  is a rational dominating map. (Note that  $Y_k$  may be a singular variety.) Thus one needs only to study the dynamics of a rational dominating map  $f : Y \dashrightarrow Y$ , where  $Y$  may be a singular variety.

The next notion is the resolution of singularities of  $Y$  and  $f$ . An irreducible projective variety  $Z$  birationally equivalent to  $Y$  if there exists a birational map  $\iota : Z \dashrightarrow Y$ .  $Z$  is called a *blow up* of  $Y$  if there exists a birational map  $\pi : Z \rightarrow Y$  such  $\pi$  is holomorphic.  $Y$  is called a *blow down* of  $Z$ . Hironaka's result claims that any irreducible singular variety  $Y$  has a smooth blow up  $Z$ . Let  $f : Y \dashrightarrow Y$  be a rational dominating map. Let  $Z$  be a birationally equivalent to  $Y$ . Then  $f$  lifts to a rationally dominating map  $\hat{f} : Z \dashrightarrow Z$ . Hence to study the dynamics of  $f$  one can assume that  $f : Y \dashrightarrow Y$  is rational dominating map and  $Y$  is smooth. Hironaka's theorem implies that there exists a smooth blow up  $Z$  of  $Y$  such that  $f$  lifts to a holomorphic map  $\tilde{f} : Z \rightarrow Y$ . Then one has the induced dual linear maps on the homologies and the cohomologies of  $Y$  and  $Z$ :

$$\tilde{f}_* : H_*(Z) \rightarrow H_*(Y), \quad \tilde{f}^* : H^*(Y) \rightarrow H^*(Z).$$

We will view the homologies  $H_*(Y), H_*(Z)$  as homologies with coefficients in  $\mathbb{R}$ , and hence the cohomologies  $H^*(Y), H^*(Z)$ , which are dual to  $H_*(Y), H_*(Z)$ , as de Rham cohomologies of differential forms. (It is possible to consider these homologies



and cohomologies with coefficients in  $\mathbb{Z}$  [12].) Recall that the Poincaré duality isomorphism  $\eta_Y : H_*(Y) \rightarrow H^*(Y)$ , which maps a  $k$ -cycle to closed  $\dim Y - k$  form. ( $\eta_Y^* = \eta_Y$ .) Then one defines  $f^* : H^*(Y) \rightarrow H^*(Y)$  and its dual  $f_* : H_*(Y) \rightarrow H_*(Y)$  as

$$f^* := \eta_Y \pi_* \eta_Z^{-1} \tilde{f}^*, \quad f_* := \tilde{f}_* \eta_Z^{-1} \pi^* \eta_Y.$$

It can be shown that  $f_*, f^*$  do not depend on the resolution of  $f$ , i.e. on  $Z$ . Let  $\rho(f_*) = \rho(f^*)$  be the spectral radii of  $f_*, f^*$  respectively. (As noted above  $f_*, f^*$  can be represented by matrix with integer entries. Hence  $\rho(f_*)$  is an algebraic integer.) Then the *dynamical* spectral radius of  $f_*$  is defined as

$$\rho_{\text{dyn}}(f_*) = \limsup_{m \rightarrow \infty} (\rho((f^m)_*))^{\frac{1}{m}}. \quad (4.1)$$

(Note that  $\rho_{\text{dyn}}(f_*)$  is a limit of algebraic integers, so it may not be an algebraic integer.)

Assume that  $f : Y \rightarrow Y$  is holomorphic. Then  $f_*, f^*$  are the standard linear maps on homology and cohomology of  $Y$ . So  $(f^m)_* = (f_*)^m, (f^m)^* = (f^*)^m$  and  $\rho_{\text{dyn}}(f_*) = \rho(f_*)$ . It was shown by the author that  $\log \rho(f_*) = h(f)$  [12]. This equality followed from the observation that  $h(f)$  is the *volume growth* induced by  $f$ . View  $Y$  as a submanifold of  $\mathbb{P}^n$ , is endowed the induced Fubini-Study Riemannian metric and with the induced Kähler  $(1, 1)$  closed form  $\kappa$ . Let  $V \subseteq Y$  be any irreducible variety of complex dimension  $\dim V \geq 1$ . Then the volume of  $V$  is given by the Wirtinger formula  $\text{vol}(V) = \frac{1}{(\dim V)!} \int_V \kappa^{\dim V} (= \kappa^{\dim V}(V))$ . Let  $L_k \subset \mathbb{P}^n$  be a linear space of codimension  $k$ . ( $L_0 := \mathbb{P}^n$ .) Assume that  $L_k$  is in general position. Then  $L_k \cap V$  is a variety of dimension  $\dim V - k$ . For  $k < \dim V$  the variety  $L_k \cap V$  is irreducible. For  $k = \dim V$  the variety  $L_k \cap V$  consists of a fixed number of points, independent of a generic  $L_k$ , which is called the degree of  $V$ , and denoted by  $\deg V$ . It is well known that  $\deg V = \text{vol}(V)$ . The homology class of  $L_k \cap V$ , denoted by  $[L_k \cap V]$ , is independent of  $L_k$ . Since  $\text{vol}(L_k \cap V)$  can be expressed in terms of the cup product  $\langle [L_k \cap V], [\kappa^{\dim V - k}] \rangle$ , or equivalently as  $\deg L_k \cap V$ , this volume is an *integer*, which is independent of the choice of a generic  $L_k$ . Thus the  $j$ -th volume growth, of the subvariety  $L_{\dim Y - j} \cap Y$  of dimension  $j$ , induced by  $f$  is given by

$$\beta_j := \limsup_{m \rightarrow \infty} \frac{\log \langle (f^m)_* [L_{\dim Y - j} \cap Y], [\kappa^j] \rangle}{m}, \quad j = 1, \dots, \dim Y, \\ H(f) := \max_{j=1, \dots, \dim Y} \beta_j. \quad (4.2)$$

(See [12, (2)] and [13, (2.8)].) From the well known equality  $\rho(f_*) = \lim_{m \rightarrow \infty} \|f_*^m\|^{\frac{1}{m}}$ , for any norm  $\|\cdot\|$  on  $H_*(Y)$ , it follows that  $H(f) \leq \rho(f_*)$ . Newhouse's result [30] claims that  $h(f) \leq H(f)$ . Combining this inequality with Yomdin's inequality [36]  $h(f) \geq \log \rho(f_*)$  we deduced in [12]:

$$H(f) = \log \rho(f) = h(f), \quad (4.3)$$

which is a logarithm of an algebraic integer.

Let  $K \subset H_*(Y)$  be the cone generated by the homology classes  $[V]$  corresponding to all irreducible projective varieties  $V \subseteq Y$ . Note that  $f_*(K) \subseteq K$ . Let  $H_{*,a}(Y) := K - K \subset H_*(Y)$  be the subspace generated by the homology classes of projective

varieties in  $Y$ . Then  $f_* : H_{*,a}(Y) \rightarrow H_{*,a}(Y)$  and denote  $f_{*,a} := f_*|_{H_{*,a}(Y)}$ . Using the theory of nonnegative operators on finite dimensional cones  $K$ , e.g. [4], it follows that  $H(f) = \log \rho(f_{*,a})$ .

Assume again that  $f : Y \dashrightarrow Y$  is rational dominant. Then  $f_*(K) \subseteq K$  so  $f_* : H_{*,a}(Y) \rightarrow H_{*,a}(Y)$  and denote  $f_{*,a} := f_*|_{H_{*,a}(Y)}$ . Hence we can define  $H(f)$ , the volume growth induced by  $f$ , as in (4.2) [12, 13]. Similar quantities were considered in [31, 3]. It is plausible to assume that  $H(f) = \log \rho_{\text{dyn}}(f_*)$  and we conjecture a more general set of equalities in the next section.

It was shown in [12] that the results on of Friedland-Milnor [16] imply the inequalities

$$(f^m)_{*,a} \leq (f_{*,a})^m \text{ for all } m \in \mathbb{N}, \quad (4.4)$$

for certain polynomial biholomorphisms of  $\mathbb{C}^2$ , (which are birational maps of  $\mathbb{P}^2$ .)

It was claimed in [12, pp. 367] that if (4.4) holds then the sequence  $(\rho((f^m)_{*,a}))^{\frac{1}{m}}$ ,  $m \in \mathbb{N}$  converges. (This is probably wrong. One can show that under the assumption (4.4) for all rational dominant maps  $f : Y \dashrightarrow Y$  one has  $\rho((f^q)_{*,a})^p \geq \rho((f^{pq})_{*,a})$  for any  $p, q \in \mathbb{N}$ .) It was also claimed in [12, Lemma 3] that (4.4) holds in general. Unfortunately this result is false, and a counterexample is given in [23, Remark 1.4]. Note that if  $f : Y \rightarrow Y$  holomorphic then equality in (4.4) holds. Hence all the results of [12] hold for holomorphic maps.

## 5 Entropy of rational maps

Let  $f : Y \dashrightarrow Y$  be a rational dominating map. (We will assume that  $f$  is not holomorphic unless stated otherwise.) In order to define the entropy of  $f$  we need to find the largest subset  $X \subseteq Y \setminus \text{Sing } f$  such that  $f : X \rightarrow X$ . Let  $X_k$  is the collection of all  $x \in Y$  such that  $f^j(x) \in Y \setminus \text{Sing } f$  for  $j = 0, 1, \dots, k$ . Then  $X_k$  is open and  $Z_k := Y \setminus Y_k$  is a strict subvariety of  $Y$ . Clearly  $X_k \supseteq X_{k+1}$ ,  $Y_k \subseteq Y_{k+1}$  for  $k \in \mathbb{N}$ . Then  $X := \bigcap_{k=1}^{\infty} X_k$  is  $G_\delta$  set. Let  $\kappa$  the the closed  $(1, 1)$ -Kähler form on  $Y$ . Then  $\kappa^{\dim Y}$  is a canonical volume form on  $Y$ . Hence  $\kappa^{\dim Y}(X) = \kappa^{\dim Y}(Y)$ , i.e.  $X$  has the full volume.

Since  $Y$  is a compact Riemannian manifold,  $Y$  is a compact metric space. Thus we can define the three entropies  $h(f)$ ,  $h_B(f)$ ,  $h_F(f)$  in §3. So

$$h_B(f) \leq h(f) = h_F(f).$$

Assume that  $f : \mathbb{C}^n \rightarrow \mathbb{C}^n$  is a polynomial dominating map. Then  $f$  lifts to a rational dominating map  $f : \mathbb{P}^n \dashrightarrow \mathbb{P}^n$ , which may be holomorphic. Hence  $X \supseteq \mathbb{C}^n$ . Assume that  $f$  is a proper map of  $\mathbb{C}^n$ . Recall that one point compactification of  $\mathbb{C}^n$ , denoted by  $\mathbb{C}^n \cup \{\infty\}$ , is homeomorphic to the  $2n$  sphere  $S^{2n}$ . Then  $f$  lifts to a continuous map  $f_s : S^{2n} \rightarrow S^{2n}$ . Thus we can define the entropy  $h(f_s)$ . It is not hard to show that  $h(f_s) \leq h_F(f)$ .

Let  $\text{orb } X \subset Y^{\mathbb{N}}$  be the orbit space of  $f$ , and let  $\mathcal{X}$  be its closure.  $\mathcal{X}$  is closely related to the graph construction discussed in [20, 12, 13, 14, 15] as well as in other papers. Denote by  $\Gamma(f) \subset Y^2$  the closure of the set  $\{(x, f(x)), x \in Y \setminus \text{Sing } X\}$  in  $Y^2$ . Then  $\Gamma(f)$  is an irreducible variety of dimension  $\dim Y$  in  $Y^2$ . Note that the projection of  $\Gamma$  on the first or second factor of  $Y$  in  $Y^2$  is  $Y$ . Without a loss of generality we may assume that  $\Gamma(f)$  is smooth.



Otherwise let  $\pi : Z \rightarrow Y$  be a blow up of  $Y$  such that  $f : Y \dashrightarrow Y$  lifts to a holomorphic map  $\tilde{f} : Z \rightarrow Y$ . Let  $\Gamma_1(f) := \{(z, \tilde{f}(z)) : z \in Z\} \subset Z \times Y$ . Then  $\Gamma_1(f)$  is smooth variety of dimension  $\dim Y$ . Note that  $\hat{\pi} : Z^2 \rightarrow Z \times Y$  given by  $(z, w) \mapsto (z, \pi(w))$  is a blow up of  $Z \times Y$ . Lift  $\tilde{f}$  to  $\hat{f} : Z \dashrightarrow Z$ . Then  $\Gamma(\hat{f}) \subset Z^2$  is a blow up  $\Gamma_1(f)$ , hence  $\Gamma(\hat{f})$  is smooth.

Let  $\Gamma \subset Y^2$  be a closed irreducible smooth variety of dimension  $\dim Y$  such that the projection of  $\Gamma$  on the first or second component is  $Y$ . Define

$$\begin{aligned} Y^k(\Gamma) &:= \{(x_1, \dots, x_k) \in Y^k, (x_i, x_{i+1}) \in \Gamma \text{ for } i = 1, \dots, k-1\}, k = 2, \dots, \\ Y^{\mathbb{N}}(\Gamma) &:= \{(x_1, \dots, x_k, \dots) \in Y^{\mathbb{N}}, (x_i, x_{i+1}) \in \Gamma \text{ for } i \in \mathbb{N}\}. \end{aligned}$$

Note that  $Y^k(\Gamma)$  is an irreducible variety of dimension  $\dim Y$  in  $Y^k$  for  $k = 2, \dots$ . Note that  $Y^{\mathbb{N}}(\Gamma)$  is a  $\sigma$  invariant compact subset of  $Y^{\mathbb{N}}$ , i.e.  $\sigma(Y^{\mathbb{N}}(\Gamma)) \subseteq Y^{\mathbb{N}}(\Gamma)$ . Let  $h(\Gamma) = h(\sigma|Y^{\mathbb{N}}(\Gamma))$ .  $Y$ , viewed as a submanifold of  $\mathbb{P}^n$ , is endowed the induced Fubini-Study Riemannian metric and with the Kähler  $(1, 1)$  form  $\kappa$ . Then  $Y^k$  has the corresponding induced product Riemannian metric, and  $Y^k$  is Kähler, with the  $(1, 1)$  form  $\kappa_k$ . Let  $\text{vol}(Y^k(\Gamma)) = \kappa_k^{\dim Y}(Y^k(\Gamma))$  be volume of the variety  $Y^k(\Gamma)$ . Then the volume growth of  $\Gamma$  is given by

$$\text{lov}(\Gamma) := \limsup_{k \rightarrow \infty} \frac{\log \text{vol}(Y^k(\Gamma))}{k}. \quad (5.1)$$

The fundamental inequality due to Gromov [20]

$$h(\Gamma) \leq \text{lov}(\Gamma). \quad (5.2)$$

Since the paper of Gromov was not available to the general public until the appearance of [20], the author reproduced Gromov's proof of (5.2) in [13, 14]. Using the above inequality Gromov showed that  $h(f) \leq \log \deg f$  for any holomorphic  $f : \mathbb{P}^n \rightarrow \mathbb{P}^n$ .

Let  $f : Y \dashrightarrow Y$  be rational dominating. Then  $\mathcal{X} = Y^{\mathbb{N}}(\Gamma(f))$ . Hence

$$h_F(f) = h(\Gamma(f)). \quad (5.3)$$

If  $\Gamma(f)$  is smooth then Gromov's inequality yields that

$$h_F(f) \leq \text{lov}(f) := \text{lov}(\Gamma(f)). \quad (5.4)$$

**Conjecture 5.1** *Let  $Y$  be a smooth projective variety and  $f : Y \dashrightarrow Y$  be a rational dominating map. Then there exists a smooth projective variety  $\hat{Y}$  and a birational map  $\iota : Y \dashrightarrow \hat{Y}$ , such that the lifting  $\hat{f} : \hat{Y} \dashrightarrow \hat{Y}$  satisfies (1.1).*

We now review briefly certain notions, results and conjectures in [14, S3]. Let  $\Gamma \subset Y^2$  be as above, and denote by  $\pi_i(\Gamma) \rightarrow Y$  the projection of  $\Gamma$  on the  $i$ -th component of  $Y$  in  $Y \times Y$  for  $i = 1, 2$ . Since  $\dim \Gamma = \dim Y$  and  $\pi_1(\Gamma) = \pi_2(\Gamma) = Y$ , then  $\deg \pi_i$  is finite and  $\pi_i^{-1}(y)$  consists of exactly  $\deg \pi_i$  distinct points for a generic  $y \in Y$  for  $i = 1, 2$ . One can define a linear map  $\Gamma_* : H_*(Y) \rightarrow H_*(Y)$  given by  $\Gamma_* : \pi_1^* \eta_{\Gamma}^{-1} \pi_2^* \eta_Y$ . (This is an analogous definition of  $f_*$ , where  $f : Y \dashrightarrow Y$  is dominating.) One can show that  $\Gamma_*(H_{*,a}(Y)) \subseteq H_{*,a}(Y)$ . Let  $\Gamma_{*,a} := \Gamma_*|H_{*,a}(Y)$ .

$\Gamma \subset Y^2$  is called a *proper* if each  $\pi_i$  is finite to one. Assume that  $\Gamma$  is proper. Then

$$\log \rho(\Gamma_{*,a}) \geq \text{lov}(\Gamma). \quad (5.5)$$

It is conjectured that for a proper  $\Gamma$

$$\log \rho(\Gamma_{*,a}) = \text{lov}(\Gamma) = h(\Gamma). \quad (5.6)$$

Note that if  $f : Y \rightarrow Y$  is dominating and holomorphic then  $\Gamma(f)$  is proper,  $\Gamma_{*,a} = f_*|H_{*,a}(Y)$  and the above conjecture holds.

We close this section with observations and remarks which are not in [14]. Assume that  $f : Y \dashrightarrow Y$  be a rational dominating and  $Z := \Gamma(f) \subset Y^2$  smooth. Then  $\pi_1 : \Gamma(f) \rightarrow Y$  is a blow up of  $Y$ , and  $\pi_2 : \Gamma \rightarrow Y$  can be identified with  $\tilde{f} : Z \rightarrow Y$ . It is straightforward to show that  $f_* = \Gamma(f)_*$ .

It seems to the author that the arguments given in [14, Proof Thm 3.5] imply that (5.5) holds for any smooth variety  $\Gamma \subset Y^2$  of dimension  $\dim Y$  such that  $\pi_1(Y) = \pi_2(Y) = Y$ . Suppose that this result is true. Let  $f : Y \dashrightarrow Y$  be rational and dominating. Assume that  $\Gamma(f) \subset Y^2$  is smooth. Then (5.5) would imply that  $\text{lov}(f) \leq \log \rho(f_*)$ . Applying the same inequality to  $(f^k)_*$  and combining it with (5.4) one would be able to deduce:

$$h_F(f) \leq \text{lov}(f) \leq \log \rho_{\text{dyn}}(f_*). \quad (5.7)$$

## 6 Currents

Many recent advances in complex dynamics in several complex variables were achieved using the notion of a *current*. See for example the survey article [33]. Recall that on an  $m$ -dimensional manifold  $M$  a current of degree  $m - p \geq 0$  is a linear functional on all smooth  $p$ -differential forms  $\mathcal{D}^p(M)$  with a compact support, where  $p$  is a nonnegative integer.

Let  $f : Y \dashrightarrow Y$  be a meromorphic dominating self map of a compact Kähler manifold of complex dimension  $\dim Y$ , with the  $(1,1)$  Kähler form  $\kappa$ . Let  $f^*\kappa$  be a pullback of  $\kappa$ . Then  $f^*\kappa$  is a current on  $Y \setminus \text{Sing } f$ . Define the *p-dynamic degree* of  $f$  by

$$\lambda_p(f) := \limsup_{k \rightarrow \infty} \left( \int_{Y \setminus \text{Sing } f^k} (f^k)^* \kappa^p \wedge \kappa^{\dim Y - p} \right)^{\frac{1}{k}}, \quad p = 1, \dots, \dim Y.$$

It is shown in [8, 22] that the dynamical degrees are invariant with respect to a bimeromorphic map  $\iota : Y \dashrightarrow Z$ , where  $Z$  is a compact Kähler manifold. Moreover

$$\text{lov}(f) \leq \max_{p=1, \dots, \dim Y} \log \lambda_p(f). \quad (6.1)$$

Assume that  $Y$  is a projective variety. It can be shown that the dynamic degree  $\lambda_p(f)$  is equal to  $e^{\beta_{\dim Y - p}}$  for  $p = 1, \dots, \dim Y$ , which are defined in (4.2), where  $\beta_0 := \beta_{\dim Y}$ . Hence

$$H(f) = \max_{p=1, \dots, \dim Y} \log \lambda_p(f), \quad (6.2)$$

where  $H(f)$  is defined in (4.2). Thus  $H(f)$  can be viewed as the *algebraic entropy* of  $f$  [3], see also [10, 23]. Combine (5.4) with (6.1) and (6.2) to deduce the inequality  $h_F(f) \leq H(f)$ , which was conjectured in [13, Conjecture 2.9].

Consider the following example  $f : \mathbb{C}^2 \rightarrow \mathbb{C}^2, (z, w) \mapsto (z^2, w + 1)$  [22, Example 1.4]. Since  $f$  is proper we have  $f_s : S^4 \rightarrow S^4$ . Clearly  $S^4$  is the domain of attraction of the fixed point  $f_s(\infty) = \infty$ . Hence  $h(f_s) = 0$ . Lift  $f$  to  $f : \mathbb{P}^2 \dashrightarrow \mathbb{P}^2$ . Then  $f$  has a singular point  $\mathbf{a} := (0, 1, 0)$  and any other point at the line at infinity  $(1, w, 0)$  is mapped to a fixed point  $\mathbf{b} := (1, 0, 0)$ . So  $X = \mathbb{P}^2 \setminus \{a\}$ , and  $\Gamma(f) = \{(\mathbf{z}, f(\mathbf{z})) : \mathbf{z} \in \mathbb{P}^2 \setminus \{a\}\} \cup \{(\mathbf{a}, (z : w : 0)) : (z : w) \in \mathbb{P}\}$ , which is equal to the blow up of  $\mathbb{P}^2$  at  $\mathbf{a}$ . On  $(\mathbb{P}^2)^\mathbb{N}(\Gamma(f))$   $\sigma$  has two fixed points:  $(\mathbf{a}, \mathbf{a}, \dots), (\mathbf{b}, \mathbf{b}, \dots)$ . The set  $\mathcal{X}_0 := ((\mathbf{x}, f(\mathbf{x}), \dots) : \mathbf{x} \in A_0 := \{(z, w, 1), |z| \leq 1\})$  is in the domain of the attraction of  $(\mathbf{a}, \mathbf{a}, \dots)$ . The set  $(\mathbb{P}^2)^\mathbb{N}(\Gamma(f)) \setminus (\mathcal{X}_0 \cup \{(\mathbf{a}, \mathbf{a}, \dots)\})$  is in the domain of the attraction of  $(\mathbf{b}, \mathbf{b}, \dots)$ . Hence  $h(f) = 0$ . Observe that  $\hat{f} : (\mathbb{P} \times \mathbb{P}) \rightarrow (\mathbb{P} \times \mathbb{P})$ , given as  $((z : s), (w : t)) \mapsto ((z^2 : s^2), (w + t : t))$ , is the lift of  $f$  to  $(\mathbb{P} \times \mathbb{P})$ .  $\hat{f}$  is holomorphic and  $h(\hat{f}) = H(\hat{f}) = \log 2$ . Since  $\mathbb{P} \times \mathbb{P}$  is birational to  $\mathbb{P}^2$  it follows that  $H(f) = \log 2 > h_F(f) = 0$ . In particular  $h_F(f)$  is not a birational invariant [22]. Note that Conjecture 5.1 is valid for this example. Additional examples in [21, 22] support the Conjecture 5.1.

Assume now that  $f : \mathbb{C}^2 \rightarrow \mathbb{C}^2$  is a polynomial automorphism, hence  $f$  is proper. It is shown in [16] that  $h(f_s) = h(f, K)$  for some compact subset of  $\mathbb{C}^2$ . Furthermore the results of [16] and [34] imply that  $h(f, K) = H(f)$ . One easily deduce that  $H(f) = \rho_{\text{dyn}}(f_*)$ . Clearly  $h_B(f) \geq h(f, K)$ . Then the inequalities  $h_F(f) \leq \text{lov}(f) \leq H(f)$  yield Conjecture 5.1. See [2, 9, 25] for additional results on entropy of certain rational maps.

The inequality (6.1) and its suggested variant (5.7) can be viewed as Newhouse type upper bounds [30] which shows that the volume growth bounds from above the entropy of a rational dominating map. In order to prove Conjecture 5.1 one needs to prove a suitable Yomdin type lower bound for the entropy of  $f$ .

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