

Non existence of convergent normal form for general germs of unipotent diffeomorphisms

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Introduction

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We say that a local diffeomorphism $\varphi \in \text{Diff}(\mathbb{C}^n, 0)$ has a convergent normal form if $\varphi \stackrel{\text{for}}{\sim} \exp(X)$ for some $X \in \mathcal{X}(\mathbb{C}^n, 0)$

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$$\varphi^q = y + \sum_{j=p+1}^{\infty} \eta_j y^j = \exp\left((\eta_{p+1} y^{p+1} + \sum_{j=p+2}^{\infty} \rho_j y^j) \frac{\partial}{\partial y}\right) \in \mathbb{C}[[y]] \frac{\partial}{\partial y}$$

Exponential operator

A formal vector field is a derivation of $\mathbb{C}[[y_1, \dots, y_n]]$

$$\hat{X}(fg) = g\hat{X}(f) + f\hat{X}(g)$$

$$\begin{array}{ccc} \hat{X} : \mathbb{C}[[y_1, \dots, y_n]] & \rightarrow & \mathbb{C}[[y_1, \dots, y_n]] \\ g & \rightarrow & \hat{X}(g) \end{array}$$

$$\hat{X} = \hat{X}(y_1) \frac{\partial}{\partial y_1} + \dots + \hat{X}(y_n) \frac{\partial}{\partial y_n}$$

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A formal diffeo is an isomorphism of the \mathbb{C} -algebra $\mathbb{C}[[y_1, \dots, y_n]]$

$$\varphi(fg) = \varphi(f)\varphi(g)$$

$$\begin{array}{ccc} \varphi : \mathbb{C}[[y_1, \dots, y_n]] & \rightarrow & \mathbb{C}[[y_1, \dots, y_n]] \\ g & \rightarrow & g \circ \varphi \end{array}$$

$$\varphi = (y_1 \circ \varphi, \dots, y_n \circ \varphi)$$

Exponential operator

Taylor's formula

$$f(\mathbf{a} + t) = f(\mathbf{a}) + \sum_{j=1}^{\infty} \frac{\partial^j f}{\partial y^j}(\mathbf{a}) \frac{t^j}{j!}$$

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Taylor's formula

$$f(a + t) = f(a) + \sum_{j=1}^{\infty} \frac{\partial^j f}{\partial y^j}(a) \frac{t^j}{j!}$$
$$f \circ \exp\left(t \frac{\partial}{\partial y}\right) = \left(\frac{\partial}{\partial y}\right)^0(f) + \sum_{j=1}^{\infty} \left(\frac{\partial}{\partial y}\right)^j(f) \frac{t^j}{j!}$$

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$$f \circ \exp(t\mathbf{X}) = \sum_{j=0}^{\infty} \mathbf{X}^j (f) \frac{t^j}{j!}$$

$$\exp(\mathbf{X}) = \left(y_1 + \sum_{j=1}^{\infty} \frac{X^j(y_1)}{j!}, \dots, y_n + \sum_{j=1}^{\infty} \frac{X^j(y_n)}{j!} \right)$$

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$$\begin{aligned}f(a+t) &= f(a) + \sum_{j=1}^{\infty} \frac{\partial^j f}{\partial y^j}(a) \frac{t^j}{j!} \\f \circ \exp\left(t \frac{\partial}{\partial y}\right) &= \left(\frac{\partial}{\partial y}\right)^0 (f) + \sum_{j=1}^{\infty} \left(\frac{\partial}{\partial y}\right)^j (f) \frac{t^j}{j!} \\f \circ \exp(tX) &= \sum_{j=0}^{\infty} X^j(f) \frac{t^j}{j!} \\\exp(X) &= \left(y_1 + \sum_{j=1}^{\infty} \frac{X^j(y_1)}{j!}, \dots, y_n + \sum_{j=1}^{\infty} \frac{X^j(y_n)}{j!}\right)\end{aligned}$$

Logarithm

$$\begin{aligned}\Theta &:= \varphi - Id \implies \Theta(g) = g \circ \varphi - g \\(\log \varphi)(g) &= \log(Id + \Theta)(g) = \sum_{j=1}^{\infty} (-1)^{j+1} \frac{\Theta^j(g)}{j}\end{aligned}$$

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$$\exp : \hat{\mathcal{X}}_2(\mathbb{C}^n, 0) \rightarrow \text{Diff}_1(\mathbb{C}^n, 0)$$

$$\log : \text{Diff}_1(\mathbb{C}^n, 0) \rightarrow \hat{\mathcal{X}}_2(\mathbb{C}^n, 0)$$

$$\exp \circ \log = Id = \log \circ \exp$$

Quasi-analytic normalizing mappings

$$\varphi = y + \eta y^{p+1} + O(y^{p+2})$$

$$\varphi = \exp\left(\hat{\alpha}(y)\frac{\partial}{\partial y}\right) \rightarrow \frac{dy}{\hat{\alpha}(y)} = d\left(\frac{-1}{p\eta y^p} + h.o.t.\right) + \mu \frac{dy}{y}$$

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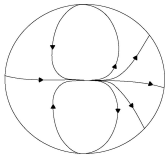
$$\varphi \stackrel{\text{for}}{\sim} \exp(X) \quad \text{with} \quad X = \frac{y^{\rho+1}}{1+\mu y^{\rho}} \frac{\partial}{\partial y}$$

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$$\exists! \hat{\sigma}_{\varphi} \in \widehat{\text{Diff}}(\mathbb{C}, 0) : \hat{\sigma}_{\varphi} \circ \varphi = \exp(X) \circ \hat{\sigma}_{\varphi} \quad \text{and} \quad \hat{\sigma}_{\varphi} = y + O(y^{\rho+2})$$

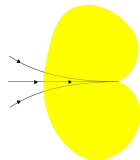
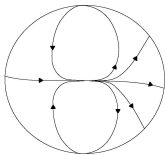
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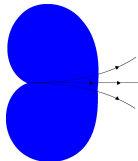
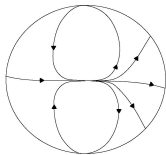
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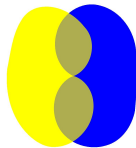
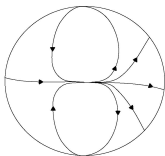
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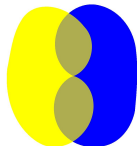
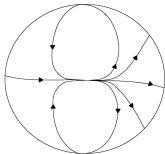
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$\exists! \hat{\sigma}_\varphi \in \widehat{\text{Diff}}(\mathbb{C}, 0) : \hat{\sigma}_\varphi \circ \varphi = \exp(X) \circ \hat{\sigma}_\varphi$ and $\hat{\sigma}_\varphi = y + O(y^{p+2})$

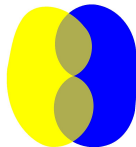
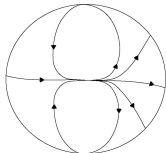
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$$\sigma_{\varphi, V} = \lim \exp(X)^{-n} \circ \varphi^n \quad \rightarrow$$

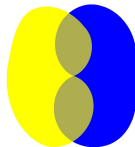
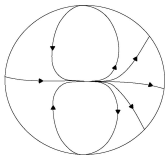
$\hat{\sigma}_\varphi$ is p -summable

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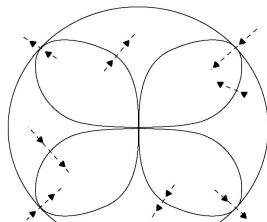
$$\sigma_{\varphi, V} = \lim \exp(X)^{-n} \circ \varphi^n \quad \rightarrow \quad \hat{\sigma}_{\varphi} \text{ is } \rho\text{-summable}$$

$$\hat{\sigma}_{\eta}^{-1} \circ \hat{\sigma}_{\varphi} \in \text{Diff}(\mathbb{C}, 0) \Leftrightarrow \sigma_{\varphi, V(+)} \circ \sigma_{\varphi, V(-)}^{-1} \equiv \sigma_{\eta, V(+)} \circ \sigma_{\eta, V(-)}^{-1}$$

Sub-stability

Unfoldings $\rightarrow \varphi(x, y) = (x, y + iy(y - x)(y + x))$

Consider the flow $Re(iX)$ for $X = iy(y - x)(y + x)\partial/\partial y$

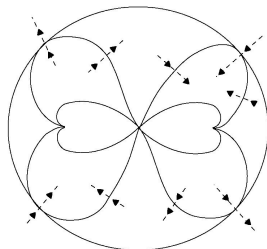


$x = 0$

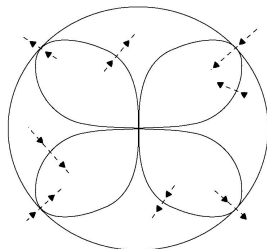
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$x_0 \in \mathbb{R}^+$

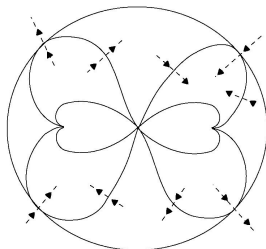


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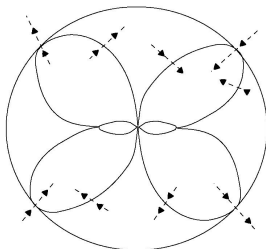
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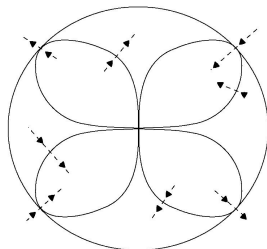
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$0 < x_1 \ll x_0$

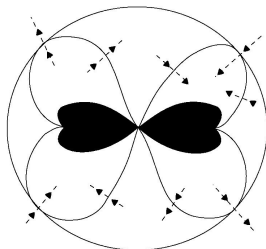


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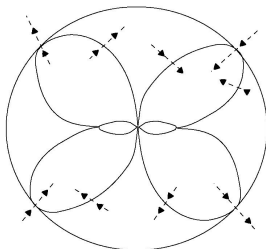
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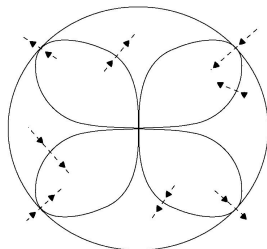
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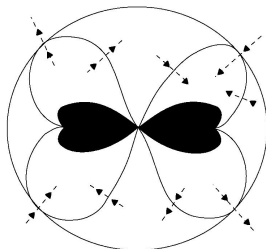


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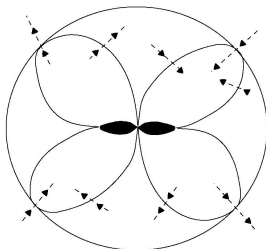
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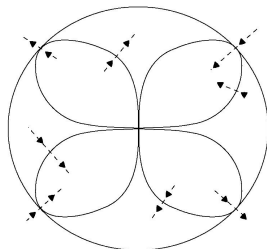
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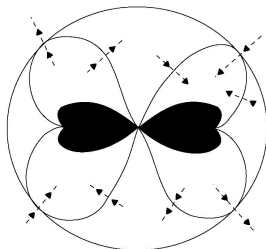


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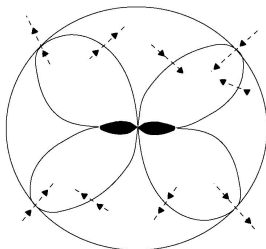
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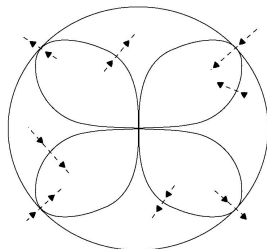
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$x = 0$

Studying the dynamics of $Re(\mu X)$ for $\mu \in \mathbb{S}^1 \setminus \{-1, 1\}$ is useful to determine the behavior of the extension of Fatou coordinates in the neighborhood of $Fix\varphi$ and $x = 0$

Normal forms for diffeomorphisms ($\varphi \stackrel{\text{for}}{\sim} \exp(X)$)

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Determining stable structures of $\varphi \rightarrow$ System of analytic invariants

Setup

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Suppose that $\Delta(0, 0) = 0$

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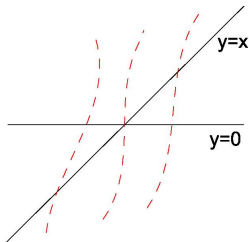
$$\begin{aligned} &\exists! \hat{X} \in \hat{\mathcal{X}}_2(\mathbb{C}^2, 0) \text{ with } \varphi = \exp(\hat{X}) \\ \text{Fix}_\varphi = \text{Sing } \hat{X} &\rightarrow \hat{X} = y(y - x) \left(\frac{\partial}{\partial y} + h.o.t. \right) \end{aligned}$$

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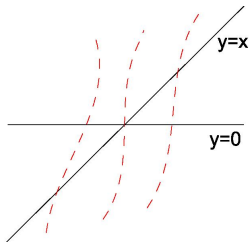
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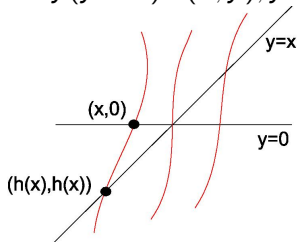
$\exists! f \in \mathbb{C}[[x, y]]$ s. t. $f(x, 0) \equiv x$ and $\hat{X}(f) \equiv 0 \implies f(x, x) = x + O(x^2)$

Transport mapping

Consider $\varphi(x, y) = (x + y(y - x)\Delta(x, y), y + y(y - x)) = \exp(\hat{X})$

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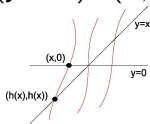
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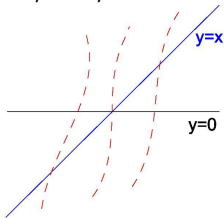
$$\begin{array}{lcl} Tr : & y = 0 & \rightarrow & y = x \\ & (x, 0) & \rightarrow & ((f(x, x))^{-1} \circ f(x, 0), (f(x, x))^{-1} \circ f(x, 0)) \end{array}$$

Transport mapping up to formal conjugacy

Consider $\varphi = (x + y(y - x)\Delta(x, y), y + y(y - x)) = \exp(\log \varphi)$
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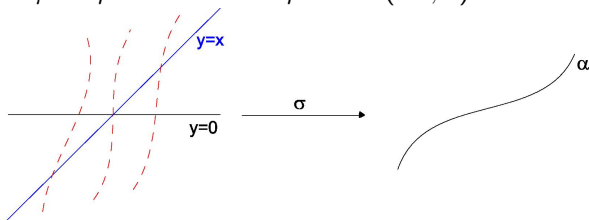
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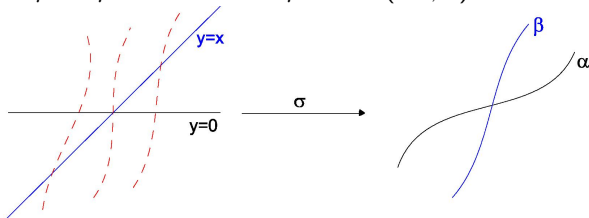
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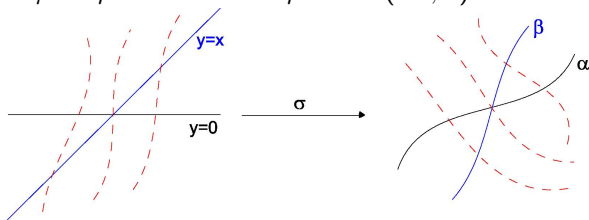
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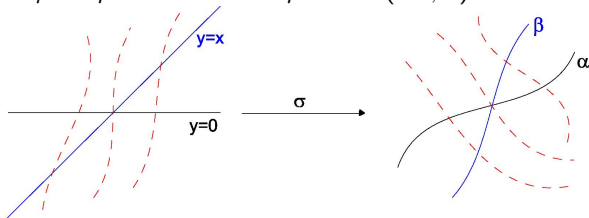


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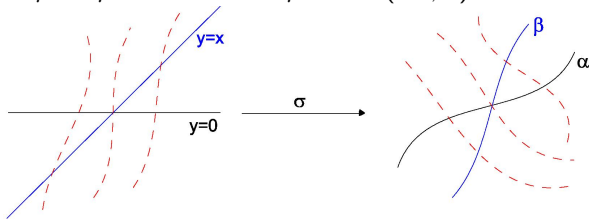
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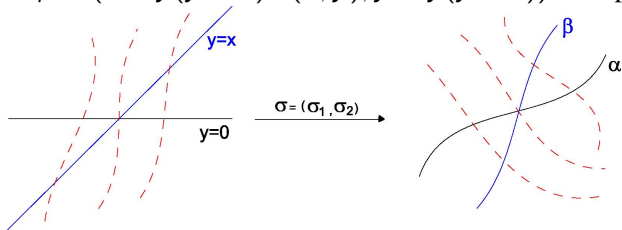
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 ((\mathcal{J}_{\sigma \circ \varphi}) \mathcal{J}_{\varphi})|_{\text{Fix} \varphi} &= ((\mathcal{J}_{\eta \circ \sigma}) \mathcal{J}_{\sigma})|_{\text{Fix} \varphi} \implies \begin{cases} (\mathcal{J}_{\varphi})|_{y=0} = (\mathcal{J}_{\eta})|_{\alpha} \circ \sigma|_{y=0} \\ (\mathcal{J}_{\varphi})|_{y=x} = (\mathcal{J}_{\eta})|_{\beta} \circ \sigma|_{y=x} \end{cases}
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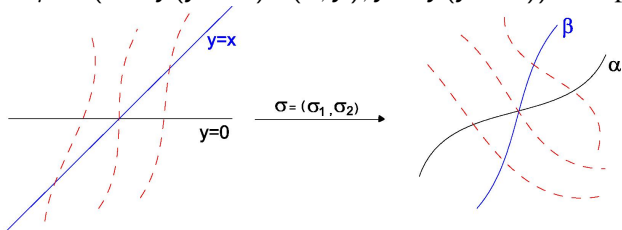
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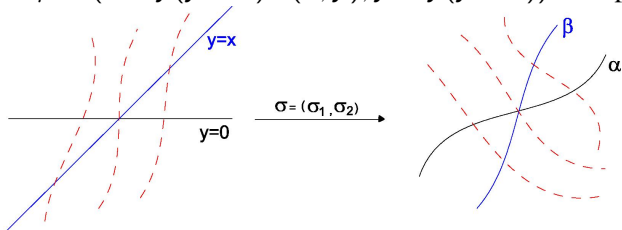
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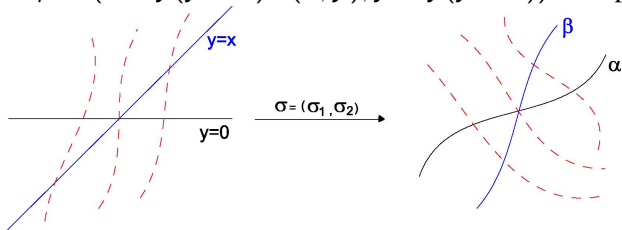
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Transport mapping up to formal conjugacy

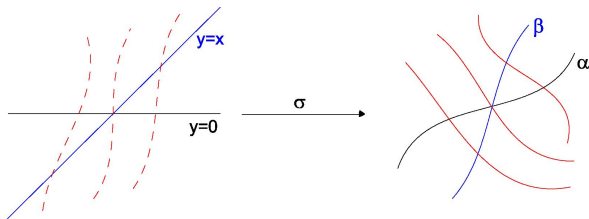
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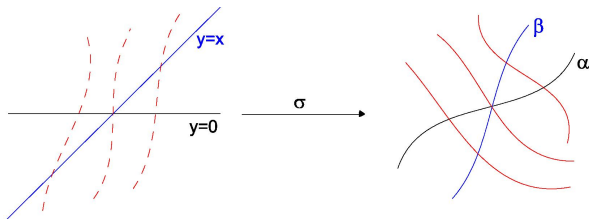
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Denote $\omega = dy/a(y)$. Then $\omega(X) = 1$ implies $\int_{y_0}^{\varphi(y_0)} \omega = 1 + K(y_0)$
 $\log \varphi$ is analytic $\Leftrightarrow \exists \epsilon \in \mathbb{C}\{y\}$ such that $\int_{y_0}^{\varphi(y_0)} (\omega + d\epsilon) = 1$
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Theorem (Pérez Marco)

Let $P = \sum_{j \geq 0} P_j(\lambda) y^j \in \mathbb{C}[\lambda][[y]]$ where $\deg P_j \leq Aj + B$ for some $A, B \in \mathbb{R}$ and all $j \in \mathbb{N}$. Then either $P(\lambda, y)$ is convergent in a neighborhood of $y = 0$ or $P(\lambda_0, x) \notin \mathbb{C}\{x\} \forall \lambda_0 \in \mathbb{C}$ outside a polar set.

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Corollary

Suppose that $\epsilon - \epsilon \circ \exp(X) = K$ has divergent solutions. Then $\log \varphi_\lambda$ is divergent for all $\lambda \in \mathbb{C}$ outside a polar set.

Calculations

$$X = \frac{\eta y^{p+1}}{1 + \lambda y^p} \frac{\partial}{\partial y}$$

Consider $\epsilon(K) - \epsilon(K) \circ \exp(X) = K$ with $\epsilon(K) = \sum_{j=1}^{\infty} \epsilon_j(K) y^j \in \mathbb{C}[[y]]$

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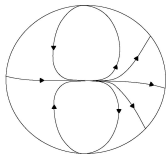
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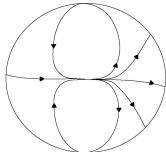
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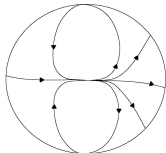
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Theorem

Let $X \in \mathcal{X}_2(\mathbb{C}, 0)$. There exists $\varphi \in \text{Diff}_1(\mathbb{C}, 0)$ in the formal class of $\exp(X)$ such that its infinitesimal generator is divergent.

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$\exists \varphi$ whose infinitesimal generator is divergent in the formal class of X

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Finite determination world \rightarrow Finite world

Towards the divergence of the transport mapping

$$\varphi_\lambda = (x + \lambda y(y - x)\Delta(x, y), y + y(y - x)) = \exp(\hat{X}_\lambda)$$

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Towards the divergence of the transport mapping

$$\begin{aligned}\varphi_\lambda &= (x + \lambda y(y - x)\Delta(x, y), y + y(y - x)) = \exp(\hat{X}_\lambda) \\ \exists! f_\lambda \in \mathbb{C}[[x, y]] \text{ such that } \hat{X}_\lambda(f_\lambda) &\equiv 0 \text{ and } f_\lambda(x, 0) \equiv x \\ \text{Tr}_{\varphi_\lambda}(x, 0) &= (f_\lambda(x, x)^{-1} \circ f_\lambda(x, 0), f_\lambda(x, x)^{-1} \circ f_\lambda(x, 0))\end{aligned}$$

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Towards the divergence of the transport mapping

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$$\exists! f_\lambda \in \mathbb{C}[[x, y]] \text{ such that } \hat{X}_\lambda(f_\lambda) \equiv 0 \text{ and } f_\lambda(x, 0) \equiv x$$

φ_λ has convergent normal form $\Leftrightarrow \text{Tr}_{\varphi_\lambda}$ is convergent $\Leftrightarrow f_\lambda(x, x) \in \mathbb{C}\{x\}$

$$f_\lambda(x, x) = x + \lambda \sum_{j=2}^{\infty} f_j(\lambda) x^j \in \mathbb{C}[[\lambda]][[x]] \text{ with } \deg f_j \leq j - 2 \text{ for all } j \in \mathbb{N}$$

The homological equation $\epsilon - \epsilon \circ \varphi_0 = y(y - x)\Delta(x, y)$

$$\hat{X}_\lambda(f_\lambda) \equiv 0 \Leftrightarrow f_\lambda \circ \varphi_\lambda \equiv f_\lambda$$

$$\frac{\partial(f_\lambda \circ \varphi_\lambda)}{\partial \lambda} \Big|_{\lambda=0} = \frac{\partial f_\lambda}{\partial \lambda} \Big|_{\lambda=0} \Leftrightarrow \frac{\partial f_\lambda}{\partial \lambda} \Big|_{\lambda=0} - \frac{\partial f_\lambda}{\partial \lambda} \Big|_{\lambda=0} \circ \varphi_0 = y(y - x)\Delta(x, y)$$

Linear transport mapping $L(\Delta)$

$$\exists! \text{ solution } \epsilon \text{ such that } \epsilon(x, 0) \equiv 0 \implies \epsilon = \frac{\partial f_\lambda}{\partial \lambda} \Big|_{\lambda=0}$$

Towards the divergence of the transport mapping

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Linear transport mapping $L(\Delta)$

$$\exists! \text{ solution } \epsilon \text{ such that } \epsilon(x, 0) \equiv 0 \implies \epsilon = \frac{\partial f_\lambda}{\partial \lambda} \Big|_{\lambda=0}$$

$L(\Delta)(x) := \epsilon(x, x)$. We will prove that $L(\Delta)$ is divergent for Δ generic

Calculations

$$\epsilon - \epsilon \circ (x, y + y(y - x)) = y(y - x)\Delta(x, y)$$

$$\epsilon(\Delta) = \sum_{j=1}^{\infty} \epsilon_j(\Delta)$$

$$L(\Delta) = \sum_{j=1}^{\infty} L_j(\Delta)x^j = \epsilon(x, x) - \epsilon(x, 0)$$

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$$\epsilon_{k+1}(y^k) = \frac{-y^{k+1}}{k+1}$$

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$$\epsilon_{k+3}(y^k) = y^{k+1} \left(\frac{-k(k+5)}{12(k+3)}y^2 + \frac{k(2k+7)}{12(k+2)}xy - \frac{k(k+2)}{12(k+1)}x^2 \right)$$

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From a difference equation to a differential equation

Action of the one parameter group

$$\varphi_0 = (x, y + y(y - x)) = \exp(\hat{X}) = \exp\left(y(y - x)(1 + h.o.t.)\frac{\partial}{\partial y}\right)$$

From a difference equation to a differential equation

Action of the one parameter group

$$\varphi_0 = (x, y + y(y - x)) = \exp(\hat{X}) = \exp\left(y(y - x)(1 + h.o.t.)\frac{\partial}{\partial y}\right)$$
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$$\begin{aligned}\varphi_0 &= (x, y + y(y - x)) = \exp(\hat{X}) = \exp\left(y(y - x)(1 + h.o.t.)\frac{\partial}{\partial y}\right) \\ \epsilon - \epsilon \circ \varphi_0 &= y(y - x)\Delta(x, y) \rightarrow L = \epsilon(x, x) - \epsilon(x, 0) \\ (\epsilon \circ \varphi_0^t) - (\epsilon \circ \varphi_0^t) \circ \varphi_0 &= (y(y - x)\Delta(x, y)) \circ \varphi_0^t\end{aligned}$$

From a difference equation to a differential equation

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has vanishing linear transport mapping

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Consider a solution $\epsilon_0 \in \mathbb{C}[[x, y]]$ of $\hat{X}(\epsilon_0) = -y(y - x)\Delta(x, y)$

From a difference equation to a differential equation

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We replace $\epsilon - \epsilon \circ \varphi_0 = y(y - x)\Delta(x, y)$ with $\hat{X}(\epsilon_0) = -y(y - x)\Delta(x, y)$

From a difference equation to a differential equation

Theorem

Let $\Delta \in \mathbb{C}\{x, y\}$ with $\Delta(0, 0) = 0$. Suppose that

$$\epsilon_0(x, x) - \epsilon_0(x, 0) \notin \mathbb{C}\{x\}$$

for a solution $\epsilon_0 \in \mathbb{C}[[x, y]]$ of $(\log \varphi_0)(\epsilon_0) = -y(y - x)\Delta(x, y)$. Then $\varphi_\lambda = (x + \lambda y(y - x)\Delta(x, y), y + y(y - x))$ has no convergent normal form for all $\lambda \in \mathbb{C}$ outside a polar set.

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The theorem above is still true if we consider

$$\varphi_\lambda = \varphi_{\lambda, u} = (x + \lambda y(y - x)\Delta, y + y(y - x)u) \text{ with } u \in \mathbb{C}\{x, y\} \setminus (x, y)$$

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$\log \varphi_{0, u}$ is analytic \implies Linear transport mapping is convergent

Divergence of linear transport mapping is not a finite determination property

The differential equation $(\log \varphi_0)(\epsilon_0) = y(y - x)\Delta$

$$\varphi_0 = (x, y + y(y - x)) = \exp\left(y(y - x)\hat{u}(x, y)\frac{\partial}{\partial y}\right), \quad \hat{u} \in \mathbb{C}[[x, y]] \setminus (x, y)$$

Linear transport mapping $\rightarrow L(\Delta) = \epsilon_0(x, x) - \epsilon_0(x, 0)$ with $\frac{\partial \epsilon_0}{\partial y} = \frac{\Delta(x, y)}{\hat{u}(x, y)}$

$$L(\Delta) = \sum_{j=1}^{\infty} L_j(\Delta)x^j$$

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Let B be the Banach space $\{\Delta = \sum \Delta_{jk}x^jy^k \in \mathbb{C}\{x, y\} : \sum |\Delta_{jk}| < \infty\}$

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Uniform boundness principle

Either $L(\Delta) \notin \mathbb{C}\{x\}$ for all Δ in a dense subset of H or

$$\limsup_{j \rightarrow \infty} \sqrt[j]{\|L_j\|} < \infty$$

The differential equation $(\log \varphi_0)(\epsilon_0) = y(y - x)\Delta$

$$\varphi_0 = (x, y + y(y - x)) = \exp\left(y(y - x)\hat{u}(x, y)\frac{\partial}{\partial y}\right), \quad \hat{u} \in \mathbb{C}[[x, y]] \setminus (x, y)$$
$$L(\Delta) = \epsilon_0(x, x) - \epsilon_0(x, 0) \text{ with } \frac{\partial \epsilon_0}{\partial y} = \frac{\Delta(x, y)}{\hat{u}(x, y)}. \text{ Denote } \frac{1}{\hat{u}(x, y)} = \sum v_{jk} x^j y^k$$

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Suppose $L(\Delta) \in \mathbb{C}\{x\}$ for all $\Delta \in \mathbb{C}\{x, y\} \implies \limsup_{j \rightarrow \infty} \sqrt[j]{\|L_j\|} < \infty$

$$\begin{pmatrix} 1 & \frac{1}{2} & \cdots & \frac{1}{k+1} \\ \frac{1}{2} & \frac{1}{3} & \cdots & \frac{1}{k+2} \\ \vdots & \vdots & \ddots & \vdots \\ \frac{1}{k+1} & \frac{1}{k+2} & \cdots & \frac{1}{2k+1} \end{pmatrix} \begin{pmatrix} v_{k,0} \\ v_{k-1,1} \\ \vdots \\ v_{0,k} \end{pmatrix} = \begin{pmatrix} L_{k+1}(1) \\ L_{k+2}(y) \\ \vdots \\ L_{2k+1}(y^k) \end{pmatrix}$$

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$$\|v_{k,0}, v_{k-1,1}, \dots, v_{0,k}\|_2 \leq \|\mathbf{Hilb}_k^{-1}\|_2 \mathcal{C}^{2(k+1)}$$

The differential equation $(\log \varphi_0)(\epsilon_0) = y(y - x)\Delta$

$$\varphi_0 = (x, y + y(y - x)) = \exp\left(y(y - x)\hat{u}(x, y)\frac{\partial}{\partial y}\right), \hat{u} \in \mathbb{C}[[x, y]] \setminus (x, y)$$

$$L(\Delta) = \epsilon_0(x, x) - \epsilon_0(x, 0) \text{ with } \frac{\partial \epsilon_0}{\partial y} = \frac{\Delta(x, y)}{\hat{u}(x, y)}. \text{ Denote } \frac{1}{\hat{u}(x, y)} = \sum v_{jk} x^j y^k$$

Suppose $L(\Delta) \in \mathbb{C}\{x\}$ for all $\Delta \in \mathbb{C}\{x, y\} \implies \limsup_{j \rightarrow \infty} \sqrt[j]{\|L_j\|} < \infty$

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log φ_0 is convergent

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↓ (Potential theory + Homological equation)

$\varphi_\lambda = (x + \lambda y(y - x)\Delta, y + y(y - x))$

does not have convergent normal form for generic $\lambda \in \mathbb{C}$

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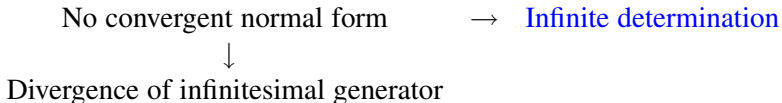
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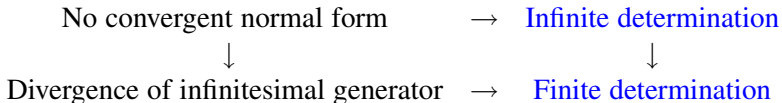
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Dicritic phenomenon

$\exists \Delta \in \mathbb{C}\{x, y\} \cap (x, y)$ such that $\varphi = (x + y^2(y - x)^2\Delta, y + y^2(y - x)^2)$ has no convergent normal form.