

Packing dimensions and cartesian products

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Hausdorff measure

Lebesgue measure:

$$\mathcal{L}(E) = \sup_{\delta > 0} \inf \left\{ \sum_i \text{diam } I_i : \{I_i\} \text{ a cover of } E \text{ by intervals of length } \leq \delta \right\}$$

s -dimensional Hausdorff measure ($s > 0$):

$$\mathcal{H}^s(E) = \sup_{\delta > 0} \inf \left\{ \sum_i (\text{diam } E_i)^s : \{E_i\} \text{ is a } \delta\text{-cover of } E \right\}$$

Hausdorff dimension:

$$\dim_{\text{H}} E = \inf \{s : \mathcal{H}^s E = 0\} = \sup \{s : \mathcal{H}^s E = \infty\}$$

Koch curve – heuristic calculation:

- n -th stage: 4^n many intervals of length $\left(\frac{1}{3}\right)^n$
- s should satisfy $0 < 4^n \left(\frac{1}{3}\right)^{ns} < \infty$ for all n
- hence $\dim_{\text{H}} K = \log 4 / \log 3$

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- Packing of $E \subseteq X$: Disjoint collection of balls $B(x, r)$ with $x \in E$.
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$$\mathcal{P}_0^s(E) = \inf_{\delta > 0} \sup \left\{ \sum_i (2r_i)^s : \{B(x_i, r_i)\} \text{ is a } \delta\text{-packing of } E \right\}$$

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Cartesian product inequalities

X, Y separable metric spaces.

Provide $X \times Y$ with a maximum metric: Balls are squares.

Theorem (Marstrand, Tricot, Howroyd...)

$$\begin{aligned} \dim_{\text{H}} X + \dim_{\text{H}} Y &\leq \dim_{\text{H}} X \times Y \\ &\leq \dim_{\text{H}} X + \dim_{\text{P}} Y \leq \dim_{\text{P}} X \times Y \leq \dim_{\text{P}} X + \dim_{\text{P}} Y \end{aligned}$$

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Hu & Taylor's question

- $\dim_{\text{H}} X + \dim_{\text{P}} Y \leq \dim_{\text{P}} X \times Y$
- $\dim_{\text{H}} X \leq \dim_{\text{P}} X \times Y - \dim_{\text{P}} Y$
- $\dim_{\text{H}} X \leq \inf_Y \{ \dim_{\text{P}} X \times Y - \dim_{\text{P}} Y \}$

Question (Hu & Taylor '94)

Given $X \subseteq \mathbb{R}^n$, what does the value $\text{aDim } X = \inf \{ \dim_{\text{P}} X \times Y - \dim_{\text{P}} Y : Y \subseteq \mathbb{R}^n \text{ Borel} \}$ equal to?

- We know: $\dim_{\text{H}} X \leq \text{aDim } X$
- Question (Hu & Taylor): **Is $\dim_{\text{H}} X = \text{aDim } X$?**
- Answer (Bishop & Peres, Xiao '96): **No, it is not.**

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- Upper box-counting dimension:

$$\overline{\dim}_B E = \limsup_{\delta \rightarrow 0} \frac{\log N_E(\delta)}{|\log \delta|}$$

- Upper packing dimension:

$$\overline{\dim}_P E = \inf_{\bigcup E_n = X} \sup_n \overline{\dim}_B E_n$$

Theorem (Tricot '82)

$$\overline{\dim}_P X = \dim_P X$$

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Theorem (Tricot '82)

$\underline{\dim}_P X \geq \dim_H X$ (but *not* $\underline{\dim}_P X = \dim_H X$).

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Improving $\dim_H X \leq a\text{Dim } X$

Theorem (Bishop & Peres, Xiao '96)

If $X \subseteq \mathbb{R}^n$ is **compact** and $Y \subseteq \mathbb{R}^n$ is **Borel**, then

- $\underline{\dim}_P X + \overline{\dim}_P Y \leq \overline{\dim}_P X \times Y$
- hence $\underline{\dim}_P X \leq a\text{Dim } X$

But *not* $\underline{\dim}_P X = a\text{Dim } X$.

Limitations of the proofs:

- B&P: Rather special representation of compact sets in \mathbb{R}^n
- Xiao: Baire category theorem
- Both about dimension rather than measures

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Goals

- Define **lower packing measure** so that

$$\underline{\dim}_P X = \inf\{s : \underline{\mathcal{P}}^s(X) = 0\} = \sup\{s : \underline{\mathcal{P}}^s(X) = \infty\}$$

- Show, for arbitrary metric spaces,

$$\underline{\mathcal{P}}^s(X) \cdot \overline{\mathcal{P}}^t(Y) \leq \overline{\mathcal{P}}^{s+t}(X \times Y)$$

It would follow that $\underline{\dim}_P X + \overline{\dim}_P Y \leq \overline{\dim}_P X \times Y$.

- Modify $\underline{\dim}_P$ so that

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Packing measures revisited

Joyce & Preiss '95, Edgar '01, '07:

- Packing revised: $\{B(x_i, r_i)\}$ s.t. $x_j \notin B(x_i, r_i)$
- Hausdorff function: $g : [0, \infty) \rightarrow [0, \infty)$
 - nondecreasing
 - $g(r) = 0$ iff $r = 0$
 - no continuity required

Notation:

- $\Delta \rightsquigarrow 0$ (a **cluster**) means: $\Delta \subseteq (0, \infty)$, $0 \in \bar{\Delta}$
We think of a cluster as of the set of admissible radii.
- A packing $\pi = \{B(x_i, r_i)\}$ is Δ -valued if $r_i \in \Delta$
- $g(\pi) = \sum_i g(r_i)$

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Packing pre-measures

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Method I construction

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$$\widehat{\tau}(E) = \inf \left\{ \sum_n \tau(E_n) : E \subseteq \bigcup_n E_n \right\}$$

- Directed variation:

$$\overrightarrow{\tau}(E) = \liminf_{E_n \nearrow E} \tau(E_n) = \inf \{ \sup_n \tau(E_n) : E_n \nearrow E \}$$

Lemma

Assume $\tau(A) + \tau(B) \leq \tau(A \cup B)$ whenever $\text{dist}(A, B) > 0$ (**metric pre-measure**)

- $\widehat{\tau}$ is a Borel measure
- If τ is Borel regular, then $\widehat{\tau} \leq \overrightarrow{\tau}$
- If τ is finitely subadditive, then $\widehat{\tau} = \overrightarrow{\tau}$

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Facts

- $\mathcal{P}_{\Delta,0}^g(E) = \mathcal{P}_{\Delta,0}^g(\overline{E})$; the same for $\overline{\mathcal{P}}_0^g$ and $\underline{\mathcal{P}}_0^g$
- $\mathcal{P}_\Delta^g(E)$ is a Borel regular measure; the same for $\overline{\mathcal{P}}^g$ and $\underline{\mathcal{P}}^g$

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- Δ -box pre-measure: [uniform \equiv radii are constant]
 $\mathcal{B}_{\Delta,0}^g(E) = \inf_{\delta > 0} \sup \{g(\pi) : \pi \text{ is a **uniform** } \Delta\text{-valued } \delta\text{-packing of } E\}$
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Product formula for measures

- X, Y separable metric spaces
- Cross sections of $E \subseteq X \times Y$: $E_x = \{y \in Y : (x, y) \in E\}$

Theorem

Let $E \subseteq X \times Y$. Then

$$\int^* \mathcal{B}_{\rightarrow}^g(E_x) d\mathcal{P}_{\Delta}^h(x) \leq \mathcal{P}_{\Delta}^{gh}(E)$$

for any $\Delta \rightsquigarrow 0$ and any Hausdorff functions g, h .

- **Main issue:** \int^* versus \int_*
- Is $x \mapsto \mathcal{B}_{\rightarrow}^g(E_x)$ measurable? (cf. Falconer & Mauldin 2000)

Lemma

If E is compact, then $x \mapsto \mathcal{B}_0^g(E_x)$ is Borel measurable.

Product formula for measures

- X, Y separable metric spaces
- Cross sections of $E \subseteq X \times Y$: $E_x = \{y \in Y : (x, y) \in E\}$

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- 1 $\inf_{x \in X} \underline{\mathcal{B}}_0^g(E_x) \cdot \mathcal{P}_\Delta^h(X) \leq \mathcal{P}_{\Delta,0}^{gh}(E)$
- 2 $\int \underline{\mathcal{B}}_0^g(E_x) d\mathcal{P}_\Delta^h(x) \leq \mathcal{P}_{\Delta,0}^{gh}(E)$ if E is **compact**
 - May assume: $\mathcal{P}_\Delta^h\{x : \underline{\mathcal{B}}_0^g(E_x) > 0\} < \infty$
 - A simple function $s = \sum_{i=1}^m c_i \chi_{A_i} \leq \underline{\mathcal{B}}_0^g(E_x)$
 - A_i 's may be approximated by compact sets K_i
 - K_i 's are disjoint, hence separated
 - $\tau = \underline{\mathcal{B}}_0^g$ is a metric pre-measure
- 3 $\int^* \underline{\mathcal{B}}_0^g(E_x) d\mathcal{P}_\Delta^h(x) \leq \mathcal{P}_{\Delta,0}^{gh}(E)$ for **any** E
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More product formulas for measures

Lebesgue's thm, Lévy's monotone convergence thm, Fatou lemma...

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Product formulas for dimension

Recall:

- $\overline{\dim}_{\mathbb{P}} X = \inf\{s : \overline{\mathcal{P}}^s(X) = 0\} = \inf_{\bigcup E_n = X} \sup_n \overline{\dim}_{\mathbb{B}} E_n$
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A compact set $X \subseteq \mathbb{R}$ s.t. $\underline{\dim}_{\mathbb{P}} X < \underline{\dim}_{\mathbb{P}} X < \underline{\dim}_{\mathbb{B}} X$.

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- $\underline{\dim}_{\mathbb{P}} X + \overline{\dim}_{\mathbb{P}} Y \leq \overline{\dim}_{\mathbb{P}} X \times Y$
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Hu & Taylor's question revisited

Theorem

- For any X, Y

$$\underline{\dim}_{\mathbb{P}} X \leq \overline{\dim}_{\mathbb{P}} X \times Y - \overline{\dim}_{\mathbb{P}} Y$$

- If X is finite-dimensional by Larman, then there is Y compact s.t.

$$\underline{\dim}_{\mathbb{P}} X = \overline{\dim}_{\mathbb{P}} X \times Y - \overline{\dim}_{\mathbb{P}} Y$$

- If $X \subseteq \mathbb{R}^n$, then

$$\underline{\dim}_{\mathbb{P}} X = \text{aDim } X$$

Finite-dimensional: There is K s.t. any ball is covered by at most K balls of halved radii.

Sets with small dimension are thin

Thin Sets

A set $X \subseteq \mathbb{R}$ is **thin** if $X + T \neq \mathbb{R}$ whenever $|T| < c$.

Question (Mauldin)

Is a compact set with $\dim_{\text{H}} X < 1$ thin?

Theorem (Gruenhage, Darji & Keléti '03, OZ '05)

If $\dim_{\text{H}} X^{2008} < 2007$, then X is thin.

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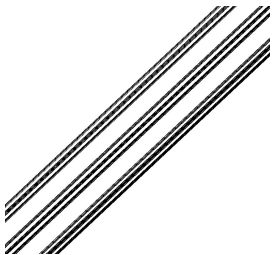
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A proof

X ... middle three-fifths set.

- $\dim_{\text{H}} X^2 = \ln 4 / \ln 5 < 1$. Hence $\dim_{\text{H}} X^2 \times \mathbb{R} < 2$.
- Set $Y = \{(x+t, y+t) : x, y \in X, t \in \mathbb{R}\} \subseteq \mathbb{R}^2$.

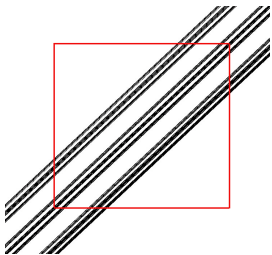


- Y is a Lipschitz image of $X^2 \times \mathbb{R}$. Hence Y is Lebesgue null.
- *Mycielski Thm*: There is $C \subseteq \mathbb{R}$ perfect s.t. $C \times C \cap Y \subseteq \Delta$.
- Hence $|(X+t) \cap C| \leq 1$ for all $t \in \mathbb{R}$
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Wishful thinking: If $\dim_{\text{H}} X \times Y \leq \dim_{\text{H}} X + \dim_{\text{H}} Y \dots$
 $\dots \dim_{\text{H}} X < 1$ would imply X be thin.

Howroyd: $\dim_{\text{H}} X \times Y \geq \dim_{\text{H}} X + \dim_{\text{H}} Y$

Example: $X \subseteq \mathbb{R}$ compact s.t.

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Find a simple **intrinsic** characterization of

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There is a large cover \mathcal{E} s.t.

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Nets and measure zero

- **Partial cover:** A finite family \mathcal{E} of subsets of X
- **Net:** A sequence $\mathcal{E} = \{\mathcal{E}_n\}$ of partial covers.

$$J_x(\mathcal{E}) = \{n : x \in \bigcup \mathcal{E}_n\} \subseteq \mathbb{N}$$

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- ... $\mathcal{J}(\mathcal{E})$ has an infinite intersection **iff** $\underline{\mathcal{B}}_0^s(X) = 0$

Nets and dimensions

Dyadic net $\mathcal{E} = \{\mathcal{E}_n\}$: $\text{diam } \mathcal{E}_n \leq 2^{-n}$

$$\dim \mathcal{E} = \limsup \frac{\log_2 |\mathcal{E}_n|}{n}$$

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$\mathcal{J}(\mathcal{E})$ is a union of countably many sets with infinite intersections

Productive dimensions

Definition

- $\dim_{\pi H} X = \lim \frac{1}{n} \dim_H X^n$
- $\dim_{\sigma \pi H} X = \inf_{\bigcup E_k = X} \sup_k \dim_{\pi H} E_k$

Theorem (on thin sets)

Let $A \subseteq X + T$ be analytic. If $|T| < \mathfrak{c}$, then

- $\underline{\dim}_P A \leq \underline{\dim}_P X$
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Theorem (on thin sets)

Let $A \subseteq X + T$ be analytic. If $|T| < c$, then

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Nets and productive dimensions

Theorem

Let $\mathcal{E} = \{\mathcal{E}_n\}$ be a dyadic net.

- If $\mathcal{J}(\mathcal{E})$ is centered, then $\dim_{\pi\text{H}} X \leq \dim \mathcal{E}$
- If $\mathcal{J}(\mathcal{E})$ is σ -centered, then $\dim_{\sigma\pi\text{H}} X \leq \dim \mathcal{E}$

Corollary

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Productive dimension zero

Theorem

TFAE

- $\dim_{\pi H} X = 0$
- *There is a dyadic net \mathcal{E} s.t. $\mathcal{J}(\mathcal{E})$ is centered and $\dim \mathcal{E} = 0$.*

Strong measure zero

Strong measure zero – SMZ

For each sequence of $\varepsilon_n > 0$ there is a cover $\{E_n\}$ s.t. $\text{diam } E_n < \varepsilon_n$

Theorem

For each sequence of $\varepsilon_n > 0$ there is a net $\mathcal{E} = \{\mathcal{E}_n\}$ s.t. $|\mathcal{E}_n| \leq n$ and $\text{diam } \mathcal{E}_n < \varepsilon_n$ and...

- ... $\mathcal{J}(\mathcal{E})$ consists of infinite sets **iff** X has SMZ
- ... $\mathcal{J}(\mathcal{E})$ is centered **iff** X^n has SMZ for all n

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Enlargement theorem for $\dim_{\sigma\pi H}$ fails

Enlargement Theorem

For each set E there is $G \supseteq E$ such that $\dim_H G = \dim_H E$.

Proposition (Assume $\text{non } \mathcal{M} < \mathfrak{c}$)

If $G \subseteq \mathbb{R}$ is G_δ dense, then $\dim_{\sigma\pi H} G = 1$.

Proof:

- If G is comeager and T nonmeager, then $G + T = \mathbb{R}$.
- Hence G is not thin.
- Hence $\dim_{\sigma\pi H} G = 1$.

Example (Assume $\text{non } \mathcal{M} < \mathfrak{c}$)

- There is a countable set $D \subseteq \mathbb{R}$ s.t. $\dim_{\sigma\pi H} G = 1$ for each G_δ set $G \supseteq D$.
- There is a G_δ set $G \subseteq \mathbb{R}$ s.t. $\dim_H G = 0 < 1 = \dim_{\sigma\pi H} G$.

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Examples of strict inequalities

Recall: $\dim_{\mathbb{H}} X \leq \dim_{\sigma\pi\mathbb{H}} X \leq \underline{\dim}_{\mathbb{P}} X$

Examples we have mentioned:

- $\underline{\dim}_{\mathbb{P}} X < \dim_{\pi\mathbb{H}} X$ ($X \subseteq \mathbb{R}$ compact)
- $\dim_{\mathbb{H}} X < \dim_{\sigma\pi\mathbb{H}} X$ ($X \subseteq \mathbb{R}$ G_δ , only consistency)

Examples we shall see:

- $\dim_{\mathbb{H}} X < \underline{\dim}_{\mathbb{P}} X$ ($X \subseteq \mathbb{R}$ compact)
- $\dim_{\pi\mathbb{H}} X < \underline{\dim}_{\mathbb{P}} X$ ($X \subseteq \mathbb{R}$)

Example

The space X :

- For $p \in 2^{<\mathbb{N}}$ put
 - $\iota(p) = \max\{j < |p| : p(j) = 1\}$
 - $\chi(p) = \frac{1}{|p|\iota(p)!}$
- For $f, g \in 2^{\mathbb{N}}$ put $\rho(f, g) = \chi(f \wedge g)$

The net \mathcal{E} :

- $\mathcal{E}_n = \{U_p : |p| = \iota(p) + 1 = n\}$
- $|\mathcal{E}_n| = 2^{n-1}$
- $\text{diam } \mathcal{E}_n = \frac{1}{n!}$
- $\sum_n |\mathcal{E}_n| (\text{diam } \mathcal{E}_n)^s < \infty$ for each $s > 0$

Example

Claim

- $J_f(\mathcal{E}) = f$ for all $f \in 2^{\mathbb{N}}$
- $\mathcal{J}(\mathcal{E}|A) = A$ for all $A \subseteq 2^{\mathbb{N}}$.

Theorem

- $\dim_{\text{H}} X = 0$
- If $E \subseteq 2^{\mathbb{N}}$ is a filter, then $\dim_{\tau\text{H}} E = 0$
- If $E \subseteq 2^{\mathbb{N}}$ is nonmeager, then $\underline{\dim}_{\text{P}} E \geq 1$
- If $E \subseteq 2^{\mathbb{N}}$ is an ultrafilter, then $\dim_{\tau\text{H}} E < \underline{\dim}_{\text{P}} E$

The Lipschitz mapping $f \mapsto \sum_n f(n)\chi(f \upharpoonright \widehat{n} \setminus 0)$ maps X onto the set

$$\left\{ \sum_n \frac{1}{n_k!(n_{k+1} + 1)} : (n_k) \in \mathbb{N}^{\mathbb{N}} \text{ increasing} \right\} \subseteq \mathbb{R}$$

Problems

- Are the measures $\mathcal{P}_\Delta^g, \underline{\mathcal{P}}^g$ and $\mathcal{B}_\Delta^g, \underline{\mathcal{B}}^g$ semifinite? ($\overline{\mathcal{P}}^g$ is (Joyce & Preiss))
 - Is $\underline{\mathcal{P}}^g = \inf_{\Delta \rightsquigarrow 0} \mathcal{P}_\Delta^g$? (It is true that $\underline{\mathcal{B}}^g = \inf_{\Delta \rightsquigarrow 0} \mathcal{B}_\Delta^g$)
 - Is $\underline{\mathcal{P}}_0^g = \underline{\mathcal{B}}_0^g$? $\underline{\mathcal{P}}^g = \underline{\mathcal{B}}^g$? $\overline{\mathcal{P}}^g = \overline{\mathcal{B}}^g$?
 - Do $\underline{\mathcal{P}}^g$ and $\underline{\mathcal{B}}^g$ have the same null sets?
-
- Does $\dim_{\pi_H} X \leq s$ imply a net with $\dim \mathcal{E} \leq s$ and $\mathcal{J}(\mathcal{E})$ centered?
-
- Is there a (compact) set with $\dim_H X < \dim_{\sigma\pi_H} X$?
 - Is there a compact set with $\dim_{\pi_H} X < \underline{\dim}_P X$?

Does $\dim_{\pi_H} X \leq s$ imply a rich net?

Logarithmic density of Hausdorff measure

$$\underline{\alpha}_s(x) = \liminf_{r \rightarrow 0} \frac{\log \mathcal{H}^s B(x, r)}{\log r}$$

Fact

If $0 < \mathcal{H}^s(X) < \infty$, then $\underline{\alpha}_s(x) = s$ \mathcal{H}^s -almost everywhere.

Hence: If $0 < \mathcal{H}^{ns}(X^n) < \infty$, then $\underline{\alpha}_{ns} \equiv ns$ \mathcal{H}^{sn} -a.e. in X^n .

Theorem

If $\underline{\alpha}_{ns} \equiv ns$ everywhere in X^n for all n , then there is a dyadic net s.t.

- $\mathcal{J}(\mathcal{E})$ is centered
- $\dim \mathcal{E} = s$

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Density inequality

Density: Let μ be a finite Borel measure in X and $E \subseteq X$.

$$\Theta_{\Delta}^s(\mu, x) = \liminf_{r \in \Delta, r \downarrow 0} \frac{\mu B(x, r)}{r^s}$$

Proposition (cf. Edgar '07)

$$2^{-s} \mathcal{P}_{\Delta}^g(E) \cdot \inf_{x \in E} \Theta_{\Delta}^s(\mu, x) \leq \mu(E) \leq \mathcal{P}_{\Delta}^g(E) \cdot \sup_{x \in E} \Theta_{\Delta}^s(\mu, x)$$

if the rightmost product is not $0 \cdot \infty$.

Dimensions of multifractals

Multifractal: A finite Borel measure on a (separable) metric space.

- **Hausdorff dimension** of μ :

$$\dim_{\text{H}} \mu = \inf \{ \dim_{\text{H}} E : \mu(E) > 0 \}$$

- **(upper) packing dimension** of μ :

$$\overline{\dim}_{\text{P}} \mu = \inf \{ \overline{\dim}_{\text{P}} E : \mu(E) > 0 \}$$

$$= \inf \{ \overline{\dim}_{\text{B}} E : \mu(E) > 0 \}$$

- **lower packing dimension** of μ :

$$\underline{\dim}_{\text{P}} \mu = \inf \{ \underline{\dim}_{\text{P}} E : \mu(E) > 0 \}$$

$$= \inf \{ \underline{\dim}_{\text{B}} E : \mu(E) > 0 \}$$

$$= \inf \{ \underline{\dim}_{\text{P}} E : \mu(E) > 0 \}$$

Product formula for multifractals

Theorem

Let μ, ν be multifractals on X and Y , respectively.



$$\underline{\dim}_P \mu \leq \overline{\dim}_P \mu \times \nu - \overline{\dim}_P \nu$$

- If X is finite-dimensional by Larman, then there is Y compact and a multifractal ν on Y s.t.

$$\underline{\dim}_P \mu = \overline{\dim}_P \mu \times \nu - \overline{\dim}_P \nu$$

- If $X \subseteq \mathbb{R}^n$, then

$$\dim_P \mu = \text{aDim } \mu (= \inf \{ \overline{\dim}_P \mu \times \nu - \overline{\dim}_P \nu : \nu \prec \mathbb{R}^n \})$$