

Coboundaries and eigenvalues of finitary S -adic shifts.

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Framework: shift spaces

- Let \mathcal{A} be a finite set of symbols, which we call an **alphabet**.
- The set $\mathcal{A}^{\mathbb{Z}}$ with the product topology of the discrete topology on \mathcal{A} is a Cantor space.
- The **shift map** on $\mathcal{A}^{\mathbb{Z}}$ is $T : \mathcal{A}^{\mathbb{Z}} \rightarrow \mathcal{A}^{\mathbb{Z}}$ given by

$$T((x_n)_{n \in \mathbb{Z}}) := (x_{n+1})_{n \in \mathbb{Z}}$$

- **Shift space**: topological dynamical system given by the pair (X, T) , where X is a closed T -invariant subset of $\mathcal{A}^{\mathbb{Z}}$.
- For any T -invariant probability Borel measure μ on X , (X, T, μ) is a measure-theoretic dynamical system.

Framework: eigenvalues

- Let μ be an invariant probability Borel measure of a shift (X, T) .
- A complex $\lambda \in \mathbb{C}$ is an **eigenvalue** of (X, T, μ) iff $\exists f \in \mathcal{L}^2(X, \mu)$, $f \neq 0$, such that $f \circ T = \lambda f$.
- The function f is called the **eigenfunction** associated to λ .
- A complex $\lambda \in \mathbb{C}$ is a **continuous eigenvalue** of (X, T) if $\exists f \in \mathcal{C}(X)$, $f \neq 0$, such that $f \circ T = \lambda f$.
- The set of all (continuous) eigenvalues of (X, T) is called the **(continuous) spectrum** of (X, T) .
- For every $\mu \in \mathcal{M}(X, T)$, the continuous spectrum of (X, T) is included in the spectrum of (X, T, μ) .

Questions about eigenvalues

- Let (X, T) be a shift space.
- How to decide if a given $\lambda \in \mathbb{C}$ is an eigenvalue?
- If $\lambda \in \mathbb{C}$ is an eigenvalue, how to decide if it admits a continuous eigenfunction?
- Complete answers have been given in the case of **substitution** shifts and **linearly recurrent** shifts.
- We want to address these questions in the case of **finitary S -adic shifts**.

Substitution shifts

- Let \mathcal{A}, \mathcal{B} be alphabets. Consider a **non-erasing** morphism $\sigma : \mathcal{A}^* \rightarrow \mathcal{A}^*$, i.e.
 - ▶ $\sigma(ab) = \sigma(a)\sigma(b)$ for all $a, b \in \mathcal{A}$,
 - ▶ $\forall a \in \mathcal{A}$, $\sigma(a)$ is non-empty.
- When $\mathcal{A} = \mathcal{B}$, σ is called a **substitution**.
- A substitution σ extends to a map from $\mathcal{A}^{\mathbb{Z}}$ to $\mathcal{A}^{\mathbb{Z}}$ by concatenation.
- The **language** of σ is

$$\mathcal{L}_\sigma = \{w \in \mathcal{A}^* : w \prec \sigma^n(a) \text{ some } n \in \mathbb{N}, \text{ some } a \in \mathcal{A}\}.$$

- The **shift generated** by σ is the pair (X_σ, T) , where

$$X_\sigma := \{x \in \mathcal{A}^{\mathbb{Z}} : \forall w, w \prec x \Rightarrow w \in \mathcal{L}_\sigma\}.$$

- A substitution σ is **primitive** if there exists a positive integer k such that $\forall a, b \in \mathcal{A}$, b occurs in $\sigma^k(a)$.

Substitution shifts

- If σ is primitive, the shift (X_σ, T) is **minimal** and **uniquely ergodic**.
- We consider minimal and **shift-aperiodic** substitutions: every element in X_σ is T -aperiodic.
- Suppose there exist $a, b \in \mathcal{A}$ such that,
 - ▶ $\sigma(a)$ ends with a , $\sigma(b)$ starts with b ,
 - ▶ $|\sigma^n(a)|, |\sigma^n(b)|$ tend to ∞ ,
 - ▶ $ab \in \mathcal{L}_\sigma$

Then, there exists a **periodic point** for σ ,

$$u = \sigma^\infty(a) \cdot \sigma^\infty(b)$$

- If σ is primitive, for any $k \geq 1$, $(X_{\sigma^k}, T) = (X_\sigma, T)$, so we can assume that σ admits a **fix point** u .
- One notes that $X_\sigma = \overline{\mathcal{O}_T(u)}$.

Generalization: S -adic shifts

- Let $(\mathcal{A}_n)_{n \in \mathbb{N}}$ be a sequence of (possibly different) alphabets, and $\sigma_n : \mathcal{A}_{n+1}^* \rightarrow \mathcal{A}_n^*$ a non-erasing morphism.

- Denote $\sigma = (\sigma_n)_{n \in \mathbb{N}}$ and $\sigma_{[n,N]} := \sigma_n \circ \sigma_{n+1} \circ \cdots \circ \sigma_{N-1}$.

- For $n \geq 0$, the **language of order n** of σ is

$$\mathcal{L}_\sigma^{(n)} = \{w \in \mathcal{A}_n^*, \exists N > n, a \in \mathcal{A}_N, w \prec \sigma_{[n,N]}(a)\}.$$

- For $n \geq 0$, the **shift space of order n** of σ is

$$X_\sigma^{(n)} = \{x \in \mathcal{A}_n^{\mathbb{Z}}, w \prec x \Rightarrow w \in \mathcal{L}_\sigma^{(n)}\}.$$

- Set $X_\sigma := X_\sigma^{(0)} \subseteq \mathcal{A}_0^{\mathbb{Z}}$ and define (X_σ, T) the **S -adic shift space associated to the directive sequence σ** .

Substitutive

$$\mathcal{A}_n = \mathcal{A} \quad \forall n$$

$$\sigma_n = \sigma \quad \forall n$$

$$\mathcal{L}_\sigma^{(n)} = \mathcal{L}_\sigma \quad \forall n$$

$$X_\sigma^{(n)} = X_\sigma \quad \forall n$$

Primitivity.

S -adic

$$(\mathcal{A}_n)_{n \in \mathbb{N}}$$

$$\sigma_n : \mathcal{A}_{n+1}^* \rightarrow \mathcal{A}_n^*$$

$$(\mathcal{L}_\sigma^{(n)})_{n \in \mathbb{N}}.$$

$$(X_\sigma^{(n)})_{n \in \mathbb{N}}$$

Weak or strong primitivity.

- **Weak primitivity** of σ : for all $n \in \mathbb{N}$, $\exists N > n$ such that $\sigma_{[n,N]}$ is primitive. This implies that every $(X_\sigma^{(n)}, T)$ is minimal.
- **Strong primitivity** of σ : there exists $N \in \mathbb{N}$ such that for all $n \in \mathbb{N}$, $\sigma_{[n,n+N]}$ is primitive. If there exists S finite such that $\sigma_n \in S \quad \forall n$, this implies that (X_σ, T) is minimal and uniquely ergodic.

- Every substitutive shift is a stationary S -adic one and in the substitutive case weak primitivity=strong primitivity.
- Every minimal shift is S -adic.

Linearly recurrent shifts

- A shift space (X, T) is **linearly recurrent** (LR) if there exists a constant K such that $\forall w \in \mathcal{L}_X$, the length of any return word to w is bounded by $K|w|$.
- Every primitive substitution σ satisfies that (X_σ, T) is LR.
- LR shift spaces are minimal and uniquely ergodic.
- Necessary and sufficient conditions to be a measurable or continuous eigenvalue of a LR shift have been given in [Bressaud–Durand–Maass 05].
- A subshift (X, T) is LR if and only if it is a strongly primitive and proper S -adic shift [Durand 03].

Linearly recurrent shifts

- Non-uniquely ergodic systems cannot be LR.
- There exist minimal, uniquely ergodic, non-LR S -adic shifts.
- Ex.: Consider $\mathcal{A} = \{a, b, c\}$ and $S = \{\sigma, \tau\}$, where

$$a \xrightarrow{\sigma} acb \quad a \xrightarrow{\tau} abc$$

$$b \xrightarrow{\sigma} bab \quad b \xrightarrow{\tau} acb$$

$$c \xrightarrow{\sigma} cbc \quad c \xrightarrow{\tau} aac$$

- Consider the directive sequence $\sigma = \sigma, \tau, \sigma, \sigma, \tau, \sigma, \sigma, \sigma, \dots$
- The sequence σ is strongly primitive, which implies (X_σ, T) is minimal and uniquely ergodic, but is not linearly recurrent [Durand 03].

Eigenvalues of substitutive shifts

- How to characterize measurable and continuous eigenvalues? How to distinguish them?
- A complete answer has been given for substitutive subshifts.

Theorem (Host 86)

Let σ be a primitive, *recognizable* substitution on \mathcal{A} . Let (X_σ, T) be the associated shift. Let μ be the unique T -invariant probability measure on X_σ . Then,

- A complex number $\lambda \in \mathbb{S}^1$ is an eigenvalue of (X_σ, T, μ) if and only if there exists a positive integer p such that for all $a \in \mathcal{A}$, the limit

$$h(a) := \lim_{n \rightarrow \infty} \lambda^{|\sigma^{pn}(a)|}$$

exists and defines a *coboundary* of σ .

- Every eigenvalue of (X_σ, T, μ) is continuous.

Eigenvalues of substitutive shifts

- The original statement of the previous theorem is for the one-sided shift,

$$\tilde{X}_\sigma := \{x \in \mathcal{A}^{\mathbb{N}} : \forall w, w \prec x \Rightarrow \exists a \in \mathcal{A}, \exists n \in \mathbb{N} : w \prec \sigma^n(a)\}.$$

Proposition

Let (\tilde{X}, T) be a minimal one-sided shift, and let (X, T) be its natural extension. Let $\lambda \in \mathbb{S}^1$. Then,

- *λ is a continuous eigenvalue of (\tilde{X}, T) if and only if it is a continuous eigenvalue of (X, T) .*
- *Let $\tilde{\mu}$ be an invariant probability Borel measure of (\tilde{X}, T) and let μ be the corresponding measure on (X, T) . Then, λ is an eigenvalue of $(\tilde{X}, T, \tilde{\mu})$ if and only if it is an eigenvalue of (X, T, μ) .*

Recognizability

- A substitution σ on \mathcal{A} is **recognizable** if for all $y \in X_\sigma$, there exists a unique pair $(k, x) \in \mathbb{N} \times X_\sigma$ such that $y = T^k \sigma(x)$ and $0 \leq k < |\sigma(x_0)|$.
- Such a pair is called a **centered σ -representation** of y .
- If σ is primitive and aperiodic, then it is recognizable in X_σ [Mossé 96].
- If σ is aperiodic, then it is recognizable in X_σ [Bezuglyi–Kwiatkowski–Medynets 09].
- Any substitution on \mathcal{A} is recognizable at aperiodic points [Berthé–Steiner–Thuswaldner–Yassawi 19].

Recognizability

- Let σ be a substitution. Consider the following sequences of clopen covers of X_σ ,

$$\mathcal{P}_n = \{T^j \sigma^n([a]), a \in \mathcal{A}, 0 \leq j < |\sigma^n(a)|\},$$

where, for each $a \in \mathcal{A}$, $[a] = \{x \in X_\sigma : x_0 = a\}$.

- If σ is recognizable, $(\mathcal{P}_n)_{n \in \mathbb{N}}$ is a nested sequence of clopen **partitions** of X_σ .
- If σ is primitive and recognizable and μ is an invariant probability measure on X_σ , then

$$\mu\left(\bigcap_{n \geq 0} \bigcup_{a \in \mathcal{A}} \sigma^n([a])\right) = 0$$

and $(\mathcal{P}_n)_{n \geq 0}$ is generating in measure
[Berthé–Steiner–Thuswaldner–Yassawi 19].

Coboundaries

- Let (X, T) be a minimal shift space, let $w, w' \in \mathcal{L}_X$. A word $u \in \mathcal{L}_X$ is a **transition word** from w to w' if u starts with w , $uw' \in \mathcal{L}_X$ and uw' has exactly two occurrences of each w and w' .
- When $w = w'$ we say that u is a **return word** to w .
- Minimality implies that for all $w \in \mathcal{L}_X$, the following set is finite.

$$\mathcal{R}_w = \{u \in \mathcal{L}_X : u \text{ is a return word to } w\}$$

- Let σ be a primitive substitution. A map $h : \mathcal{L}_X \rightarrow \mathbb{S}^1$ is a **coboundary** if it is a morphism and for every $a \in \mathcal{A}$, $h(w) = 1$ whenever $w \in \mathcal{R}_a$.

Proposition (Host 86)

Let σ be a primitive substitution on \mathcal{A} . The map $h : \mathcal{A} \rightarrow \mathbb{S}^1$ is a coboundary if and only if there exists a function $f : \mathcal{A} \rightarrow \mathbb{S}^1$ verifying $f(b) = f(a)h(a)$ whenever ab belongs to \mathcal{L}_σ .

S -adic recognizability

- Let $\sigma = (\sigma_n : \mathcal{A}_{n+1}^* \rightarrow \mathcal{A}_n^*)_{n \in \mathbb{N}}$ be a directive sequence. It is said to be **recognizable at level n** if σ_n is recognizable in $X_\sigma^{(n+1)}$: for each $y \in X_\sigma^{(n)}$ there exists a unique pair $(k, x) \in \mathbb{N} \times X_\sigma^{(n+1)}$ such that $y = T^k \sigma_n(x)$ and $0 \leq k < |\sigma_n(x_0)|$.

- It is **recognizable** if it is recognizable at each level n .

- Consider the one-sided shift associated to each $X_\sigma^{(n)}$,

$$\tilde{X}_\sigma^{(n)} = \{x_{[0, \infty)} \in \mathcal{A}_n^{\mathbb{N}} : x \in X_\sigma^{(n)}\}.$$

- The directive sequence σ is said to be **one-sided recognizable** if for each n , each $y \in \tilde{X}_\sigma^{(n)}$ there exists a unique pair $(k, x) \in \mathbb{N} \times \tilde{X}_\sigma^{(n+1)}$ such that $y = T^k \sigma_n(x)$ and $0 \leq k < |\sigma_n(x_0)|$.

Theorem (Berthé–Steiner–Thuswaldner–Yassawi 19)

Let $\sigma = (\sigma_n)_{n \in \mathbb{N}}$ be a primitive sequence of morphisms with $\sigma_n : \mathcal{A}_{n+1}^* \rightarrow \mathcal{A}_n^*$. If each σ_n satisfies at least one of the following conditions,

- $rk(M_{\sigma_n}) = |\mathcal{A}_{n+1}|$,
 - $|\mathcal{A}_{n+1}| = 2$,
 - σ_n is (rotationally conjugate) to a left or right permutative morphism,
- then, σ is recognizable.

- M_{σ_n} : incidence matrix of σ_n .
- Left- (right-) permutative: $\forall a, b \in \mathcal{A}, a \neq b \Rightarrow \sigma_n(a)_0 = \sigma_n(b)_0$
($\sigma_n(a)_{|\sigma_n(a)|-1} = \sigma_n(b)_{|\sigma_n(n)|-1}$).
- Ex.: unimodular incidence matrices.

S -adic coboundaries

- From now on, every morphism σ_n is defined on the same alphabet: $\mathcal{A}_n = \mathcal{A}$ for all $n \in \mathbb{N}$.
- We say that $x \in \tilde{X}_\sigma$ is a **limit word** if $x = \lim_{k \rightarrow \infty} \sigma_{[0, n_k]}(a)$ for some $a \in \mathcal{A}$, some sequence $(n_k)_{k \in \mathbb{N}}$.
- If σ is everywhere growing, then compactness guarantees the existence of limit words.

- For each letter $a \in \mathcal{A}$, define

$$\mathbf{a} := \{x \in \tilde{X}_\sigma, \exists (n_k)_{k \in \mathbb{N}}, \forall k \in \mathbb{N}, x \in \sigma_{[0, n_k]}([a])\}.$$

- If σ is recognizable, each \mathbf{a} is finite.
- The directive sequence is **prefix-straight** if for each letter $a \in \mathcal{A}$, \mathbf{a} consists of a unique element, which we denote \mathbf{a} as well.

- If every σ_n in σ is left-proper, then σ is prefix-straight.
- Recall that, in the substitutive case, $h : \mathcal{A} \rightarrow \mathbb{S}^1$ is a coboundary if and only if there exists a map $f : \mathcal{A} \rightarrow \mathbb{S}^1$ verifying $f(b) = f(a)h(a)$ whenever ab belongs to \mathcal{L}_σ .
- Note that $ab \in \mathcal{L}_\sigma$ is a transition word from a to b .
- This motivates the following definition: let σ be a prefix-straight directive sequence. A map $h : \mathcal{A} \rightarrow \mathbb{S}^1$ is a **coboundary of σ** if it is a morphism and there exists a map $f : \mathcal{A} \rightarrow \mathbb{S}^1$ such that
 - ▶ $f(\mathbf{a}) = f(\mathbf{a}')$ whenever $\mathbf{a} = \mathbf{a}'$.
 - ▶ $f(b) = f(a) \lim_{k \rightarrow \infty} h(w_{n_k})$ whenever (w_{n_k}) is a sequence of transition words from a to b .

Theorem (Berthé–CB–Yassawi 22)

Let σ be a prefix-straight, primitive directive sequence on \mathcal{A} . Suppose that for each $a \in \mathcal{A}$ there exists $\ell \in \mathcal{A}$ such that $a\ell$ is a **fully essential** word. If $\lambda \in \mathbb{S}^1$ is a continuous eigenvalue of (X_σ, T) , then

$$h(a) := \lim_{n \rightarrow \infty} \lambda^{|\sigma_{[0,n]}(a)|}$$

exists and defines a coboundary.

- A word $w \in \mathcal{A}^*$ is **essential** for σ if it occurs in $\mathcal{L}_\sigma^{(n)}$ for infinitely many n .
- It is **fully essential** if it occurs in $\mathcal{L}_\sigma^{(n)}$ for each n .

Coboundaries and continuous eigenvalues

Theorem (Berthé–CB–Yassawi 22)

Let σ be a prefix-straight, one-sided recognizable, primitive directive sequence on \mathcal{A} . Suppose that each σ_n appears infinitely often in σ . Let $\lambda \in \mathbb{S}^1$ be a rational. If

$$h(a) := \lim_{n \rightarrow \infty} \lambda^{|\sigma_{[0,n)}(a)|}$$

exists and is a constant coboundary, then λ is a continuous eigenvalue of (X_σ, T) .

Theorem (Berthé–CB–Yassawi 22)

Let σ be a finitary, prefix-straight, one-sided recognizable, primitive directive sequence on \mathcal{A} . Suppose that each σ_n appears infinitely often in σ . Let $\lambda \in \mathbb{S}^1$. If h is a coboundary of σ and

$$\sum_{n \geq 1} |\lambda^{|\sigma_{[0,n)}(a)|} - h(a)| < \infty$$

for each $a \in \mathcal{A}$, then λ is a continuous eigenvalue of (X_σ, T) .

Speed of convergence

- If σ is a primitive recognizable substitution, we have the following.

Lemma (Host 86)

Let $\lambda \in \mathbb{S}^1$. If $h(a) = \lim_{n \rightarrow \infty} \lambda^{|\sigma^n(a)|}$ exists for each $a \in \mathcal{A}$, then there exist $C > 0$ and $0 < r < 1$ such that

$$|\lambda^{|\sigma^n(a)|} - h(a)| < Cr^n.$$

- This property is used in the proof of

$\lambda^{|\sigma^n(a)|}$ converges and defines a coboundary for each a

$\implies \lambda$ is a continuous eigenvalue.

- This is why we need a *fast convergence type* condition in the previous theorem.

The constant-length finitary S -adic case

- Let σ be a **constant-length** directive sequence on \mathcal{A} : for each $n \in \mathbb{N}$, σ_n is a constant-length substitution. Let $(q_n)_{n \in \mathbb{N}}$ be the sequence of lengths.
- Concerning one-sided recognizability, we have the following,

Lemma

Let σ be a primitive, constant-length directive sequence on \mathcal{A} , with length sequence $(q_n)_{n \in \mathbb{N}}$. Suppose that each σ_n is right-permutative. If σ is recognizable, then it is one-sided recognizable.

- The directive sequence is **finitary** if there is a finite set \mathcal{S} such that $\sigma_n \in \mathcal{S}$ for each n .

The constant-length finitary S -adic case

Theorem (Berthé–CB–Yassawi 22)

Let σ be a primitive, constant-length directive sequence on \mathcal{A} , with length sequence $(q_n)_{n \geq 0}$, where each $q_n \geq 2$. Suppose that σ has a fully essential word of length 2. If $\lambda \in \mathbb{S}^1$ is a continuous eigenvalue of (X_σ, T) , then $h := \lim_{n \rightarrow \infty} \lambda^{q_0 \cdots q_n}$ exists and defines a constant coboundary.

If in addition σ is finitary and prefix-straight and one-sided recognizable, then λ is a continuous eigenvalue if and only if $h := \lim_{n \rightarrow \infty} \lambda^{q_0 \cdots q_n}$ exists and defines a coboundary.

Moreover, each continuous eigenvalue λ is rational, and there exists $\tilde{h} \in \mathbb{N}$ such that

- \tilde{h} is coprime to each q_n ,
- \tilde{h} divides $p := \prod_{q \in \{q_n : n \geq 0\}} (q - 1)$, where the product is over the set of distinct values of elements in $\{q_n : n \geq 0\}$,

and the maximal equicontinuous factor of (X_σ, T) is $(\mathbb{Z}_{\tilde{h}, (q_n)}, +1)$.

The constant-length finitary S -adic case

Corollary (Cobham's type result)

Let σ and $\tilde{\sigma}$ be two finitary, primitive, constant-length directive sequences on \mathcal{A} , with length sequences $(q_n)_{n \geq 0}$ and $(\tilde{q}_n)_{n \geq 0}$, where $q_n, \tilde{q}_n \geq 2$ for each n .

Suppose that each length occurs infinitely often and each directive sequence possesses a fully essential word of length 2.

Suppose that σ and $\tilde{\sigma}$ are prefix-straight and one-sided recognizable.

If there is a prime factor of some $q \in \{q_n : n \geq 0\}$ that is not a prime factor of any $\tilde{q} \in \{\tilde{q}_n : n \geq 0\}$, and if (X_σ, T) and $(X_{\tilde{\sigma}}, T)$ have the same maximal equicontinuous factor, then they are both finite.

- In particular, if (X_σ, T) is infinite, then it cannot be both σ -adic and $\tilde{\sigma}$ -adic.

Measurable eigenvalues

- Let σ be a recognizable directive sequence on \mathcal{A} . For each $a \in \mathcal{A}$ and each n , let a_n be the first letter of $\sigma_n(a)$. Suppose that for each $a \in \mathcal{A}$ and each n , $\sigma_n(a_{n+1})$ starts with a_n . Then we say that σ is **strongly prefix-straight**.

Theorem (Berthé–CB–Yassawi 22)

Let σ be a finitary, recognizable, **strongly prefix-straight** and strongly primitive directive sequence on \mathcal{A} . Let $m\mu$ be its unique invariant measure. If $\lambda \in \mathbb{S}^1$ is a measurable eigenvalue of (X_σ, T, μ) , then

$$\sum_{n=1}^{\infty} |\lambda^{h_n(w_n(a,b))} - 1|^2 < \infty$$

for any a, b such that $\mathbf{a} = \mathbf{b}$ and any transition word from a to b $w_n(a, b) \in \mathcal{L}_\sigma^{(n)}$.

Measurable eigenvalues

- In the case of constant-length directive sequences, we can avoid the condition on strong prefix-straightness.

Theorem (Berthé–CB–Yassawi)

Let σ be a finitary, one-sided recognizable, strongly primitive constant-length directive sequence on \mathcal{A} , with length sequence $(q_n)_{n \geq 0}$. Suppose that there is a *unique right-infinite limit word* α , and $\sigma_n(\alpha)$ starts with α for each n . If $\lambda \in S^1$ is a measurable eigenvalue of (X_σ, T, μ) , then $\sum_{n=1}^{\infty} |\lambda^{q_0 \cdots q_n} - 1|^2 < \infty$.

Corollary

Let σ be a finitary, recognizable and strongly primitive constant-length directive sequence on \mathcal{A} . Suppose that either

- σ is strongly prefix-straight, or
- there is a unique right-infinite limit word α , and such that $\sigma_n(\alpha)$ starts with α for each n .

Then every measurable eigenvalue is continuous.