

TOPOLOGICAL CONJUGACY OF AFFINE TRANSFORMATIONS OF COMPACT ABELIAN GROUPS

BY
PETER WALTERS

0. Introduction. We consider the following problem. If X and Y are compact connected metric abelian groups, $T=a+A$ an affine transformation of X and $S=b+B$ an affine transformation of Y , what are necessary and sufficient conditions for every continuous mapping g of X onto Y satisfying $gT=Sg$ to be affine? Sufficient conditions are obtained in Theorem 3 in the case when the character group \hat{Y} of Y is polynomially annihilated by B (see Definition 1). In Theorem 6 we show that these conditions are also necessary when Y is a finite-dimensional group and in Theorem 8 we state (without proof) that this is also true in a more general setting. An example is given to show the assumption that \hat{Y} be polynomially annihilated by B cannot be dropped from Theorem 3. We also give an example which shows Theorem 6 to be false if Y is not finite-dimensional but \hat{Y} is polynomially annihilated by B .

Theorem 7 deals with the case when T and S are endomorphisms of an n -dimensional group. A conjugacy property of affine transformations with quasi-discrete spectrum is given in Theorem 4, and Theorem 5 gives information on continuous roots of affine transformations.

The results of this paper were proved in [10] for the cases when X and Y are finite-dimensional tori. The idea of using Theorem 1 was obtained from the paper [2].

1. Definitions and notations. Let Y be a compact connected metric abelian (c.c.m.a.) group. We shall use additive notation in such groups. \hat{Y} will denote the discrete torsion-free countable abelian character group of Y , and multiplicative notation will be used in \hat{Y} . Y can be written as an inverse limit $\text{inv lim } (Y_m, \sigma_m)$, where each Y_m ($m \geq 1$) is a finite-dimensional torus and σ_m is a homomorphism of Y_{m+1} onto Y_m . If Y is n -dimensional then each Y_m can be chosen to be an n -dimensional torus.

An affine transformation S of a c.c.m.a. group Y is a transformation of the form $S(y)=b+B(y)$, $y \in Y$, where $b \in Y$ and B is an endomorphism of Y onto Y . We write $S=b+B$. Every affine transformation of Y is continuous and preserves Haar measure. An endomorphism B of Y onto Y induces a one-to-one dual endomorphism, which we also denote by B , of \hat{Y} into \hat{Y} defined by $(By)(y)=\gamma(By)$, $y \in Y$, $\gamma \in \hat{Y}$.

Received by the editors March 28, 1968.

The affine transformation $S = b + B$ of Y is ergodic if and only if $B^n \gamma = \gamma$, $\gamma \in \hat{Y}$, $n > 0$, implies $B\gamma = \gamma$, and $[b, (B - I)Y] = Y$ where $[b, (B - I)Y]$ denotes the smallest closed subgroup of Y containing b and $(B - I)Y$. (I is the identity mapping of Y [6].) Also, $S = b + B$ is ergodic if and only if there exists $y_0 \in Y$ such that $\{S^n(y_0) \mid n \geq 0\}$ is dense in Y [10]. From the first condition it follows that an endomorphism B of Y onto Y is ergodic if and only if $B^n \gamma = \gamma$, $\gamma \in \hat{Y}$, $n > 0$, implies $\gamma = 1$ (see also [5]). Also from the first condition we have that $S = b + B$ is strong mixing if and only if B is ergodic (see also [3]).

\mathbf{R}^n will denote real Euclidean n -space, \mathbf{Z}^n the subgroup of \mathbf{R}^n of points with integer coordinates and $\mathbf{K}^n = \mathbf{R}^n / \mathbf{Z}^n$ the n -dimensional torus. $\mathcal{R}(\mu)$ and $\mathcal{I}(\mu)$ will denote the real and imaginary parts of the complex number μ , and if $P(x) = (P_1(x), P_2(x), \dots, P_n(x))$ is a transformation from a set X to complex n -space \mathbf{C}^n , then $\mathcal{R}P$ and $\mathcal{I}P$ will denote the transformations of X to \mathbf{R}^n defined by $(\mathcal{R}P)(x) = (\mathcal{R}P_1(x), \dots, \mathcal{R}P_n(x))$ and $(\mathcal{I}P)(x) = (\mathcal{I}P_1(x), \dots, \mathcal{I}P_n(x))$ respectively.

\mathbf{Q} will denote the field of rational numbers and $\mathbf{Q}[\theta]$ the algebra of all polynomials in θ with coefficients from \mathbf{Q} .

2. Preliminary results.

THEOREM 1 (VAN KAMPEN). *Let Y be a c.c.m.a. group and f be a continuous function from Y to the set of complex numbers of unit modulus. Then f can be expressed in the form $f(y) = \alpha(y)e^{i\phi(y)}$, $y \in Y$, where $\alpha \in \hat{Y}$ is uniquely determined by f , $\phi: Y \rightarrow \mathbf{R}$ is continuous and is uniquely determined up to an additive constant.*

Proofs of this theorem can be found in [9] and [2]. The following is immediate from Theorem 1.

COROLLARY 1.1. *Let X and Y be c.c.m.a. groups and $g: X \rightarrow Y$ a continuous mapping. For each $\gamma \in \hat{Y}$ there exists a unique $\alpha_\gamma \in \hat{X}$ and a continuous mapping $\phi_\gamma: X \rightarrow \mathbf{R}$ unique up to an additive constant, such that $(\gamma \circ g)(x) = \alpha_\gamma(x) \exp [i\phi_\gamma(x)]$, $x \in X$. Furthermore $\exp [i\phi_{\gamma\gamma^1}(x)] = \exp [i\phi_\gamma(x)] \cdot \exp [i\phi_{\gamma^1}(x)]$, $x \in X$, $\gamma, \gamma^1 \in \hat{Y}$.*

THEOREM 2. *Let X and Y be c.c.m.a. groups and suppose that for every $\gamma \in \hat{Y}$ there exists a continuous mapping $\phi_\gamma: X \rightarrow \mathbf{R}$ such that $\phi_{\gamma\gamma^1} = \phi_\gamma + \phi_{\gamma^1}$, $\gamma, \gamma^1 \in \hat{Y}$. Then there exists a continuous mapping $u: X \rightarrow Y$ such that $\gamma \circ u(x) = \exp [i\phi_\gamma(x)]$, $x \in X$, $\gamma \in \hat{Y}$, and u is homotopic to a constant.*

Proof. For each $x \in X$ the mapping $\gamma \rightarrow \exp [i\phi_\gamma(x)]$ is a character of \hat{Y} and therefore there exists $y_x \in Y$ such that $\gamma(y_x) = \exp [i\phi_\gamma(x)]$. Define $u: X \rightarrow Y$ by $u(x) = y_x$. u is clearly continuous.

For each $x \in X$ and each $t \in [0, 1]$ the mapping $\gamma \rightarrow \exp [it\phi_\gamma(x)]$ is a character of \hat{Y} and, as above in the case $t = 1$, there exists a continuous mapping $u_t: X \rightarrow Y$ such that $\gamma(u_t(x)) = \exp [it\phi_\gamma(x)]$, $x \in X$, $\gamma \in \hat{Y}$. u_t is a homotopy between u and a constant.

3. Topological conjugacy and groups with polynomially annihilated character groups. Let Y be a c.c.m.a. group and B an endomorphism of Y onto Y . Let $p(\theta) = n_0 + n_1\theta + \dots + n_k\theta^k$ be a polynomial over \mathbf{Z} . We shall say that p is an annihilating polynomial of $\gamma \in \hat{Y}$ with respect to B if $\gamma^{n_0} \cdot B\gamma^{n_1} \cdot \dots \cdot B^k\gamma^{n_k} = 1$.

Suppose $\gamma \in \hat{Y}$ has a nontrivial annihilating polynomial with respect to B . Let M_γ denote the set of all polynomials over \mathbf{Q} some integral multiple of which is an annihilating polynomial of γ with respect to B . M_γ is an ideal in $\mathbf{Q}[\theta]$ and therefore there exists a unique monic polynomial $q_\gamma \in \mathbf{Q}[\theta]$ such that M_γ is the principal ideal generated by q_γ [8, p. 121]. If $q_\gamma(\theta) = s_0 + s_1\theta + \dots + s_{l-1}\theta^{l-1} + \theta^l$ then $s_0 \neq 0$ for otherwise $q_\gamma^*(\theta) = s_1 + s_2\theta + \dots + s_{l-1}\theta^{l-2} + \theta^{l-1}$ would be a monic polynomial generating M_γ . If n_q is the lowest common denominator of the nonzero members of s_0, s_1, \dots, s_{l-1} then $p_\gamma(\theta) = n_qs_0 + n_qs_1\theta + \dots + n_q\theta^l$ is a polynomial over \mathbf{Z} which will be called the minimal annihilating polynomial of γ with respect to B .

DEFINITION 1. Let Y be a c.c.m.a. group and B an endomorphism of Y onto Y . We say that \hat{Y} is polynomially annihilated by B if every element of \hat{Y} has a nontrivial annihilating polynomial with respect to B .

If Y is an n -dimensional c.c.m.a. group then \hat{Y} is polynomially annihilated by any endomorphism B of Y onto Y . This follows because \hat{Y} is isomorphic to a subgroup of the additive group \mathbf{Q}^n (the direct sum of n copies of \mathbf{Q}) and therefore the one-to-one endomorphism B of \hat{Y} corresponds to an $n \times n$ matrix with rational entries and nonzero determinant. The Cayley-Hamilton theorem shows that some integral multiple of the characteristic polynomial of this matrix is an annihilating polynomial, with respect to B , of every element of \hat{Y} . If $q(\theta) = s_0 + s_1\theta + \dots + \theta^n$ is the characteristic polynomial of some matrix representation of B and if n_q is the lowest common denominator of the nonzero members of s_0, s_1, \dots, s_{n-1} , then the polynomial $p(\theta) = n_qs_0 + n_qs_1\theta + \dots + n_q\theta^n$ is a polynomial over \mathbf{Z} , which will be called the annihilating polynomial of \hat{Y} with respect to B . This polynomial is independent of the matrix representation of B .

The following lemma will be used in the proof of Theorem 3.

LEMMA 1. *Let X be a c.c.m.a. group and $T = a + A$ an affine transformation of X . Suppose $\Phi: X \rightarrow \mathbf{R}^n$ is a nonconstant continuous function and M is a linear transformation of \mathbf{R}^n such that $\Phi(Tx) = M\Phi(x) + d, x \in X$, where $d \in \mathbf{R}^n$. Then there exists $\delta \in \hat{X}, \delta \neq 1$, and a root λ , with $|\lambda| = 1$, of the characteristic equation of M such that $A^p\delta = \delta$ for some $p \geq 1$ and $\delta(a + A(a) + \dots + A^{p-1}(a)) = \lambda^p$ for all such p .*

Proof. We consider \mathbf{R}^n as a subset of \mathbf{C}^n (complex n -space) in the usual way and complexify M . There exists an invertible linear transformation U of \mathbf{C}^n such that $U^{-1}MU = D_M$, the Jordan normal form of the linear transformation M . Therefore $U^{-1}\Phi(Tx) = D_M U^{-1}\Phi(x) + U^{-1}d, x \in X$. If w_1, w_2, \dots, w_n denotes the fixed basis of \mathbf{R}^n then w_1, w_2, \dots, w_n is also a basis, using complex coefficients for \mathbf{C}^n . Suppose $U^{-1}\Phi(x) = \sum_{i=1}^n f_i(x)w_i$. Each $f_i: X \rightarrow \mathbf{C}$ is continuous, and if i_0 is the least positive integer for which f_{i_0} is nonconstant then $f_{i_0}(Tx) = \lambda f_{i_0}(x) + e, x \in X$, where $e \in \mathbf{C}$

and λ is an eigenvalue of M . If $l: X \rightarrow \mathbf{C}$ is defined by $l(x) = f_{i_0}(x) - \int_X f_{i_0}(x) dm$, where m denotes Haar measure on X , then $l(Tx) = \lambda l(x)$ and l is nonconstant and continuous. Since T maps X onto X , $\sup_X |l(Tx)| = |\lambda| \sup_X |l(x)|$ implies $|\lambda| = 1$. But $l \in L^2(X)$ and therefore $l(x) = \sum_i b_i \delta_i(x)$ (L^2 convergence) where $\delta_i \in \hat{X}$ and $\sum_i |b_i|^2 < \infty$. From the equation $l(T^p x) = \lambda^p l(x)$, $p \geq 1$, we have

$$\sum_i b_i \delta_i(a + Aa + \dots + A^{p-1}a) \delta_i(A^p x) = \lambda^p \sum_i b_i \delta_i(x) \quad (L^2 \text{ convergence}).$$

If $\delta_i, A\delta_i, A^2\delta_i, \dots$ are all distinct then $b_i = 0$ for otherwise the condition $\sum_i |b_i|^2 < \infty$ is violated. Therefore $b_i \neq 0$ implies $A^p \delta_i = \delta_i$ for some $p \geq 1$ and when this occurs $\delta_i(a + Aa + \dots + A^{p-1}a) = \lambda^p$. Since $l(x)$ is nonconstant there must be some $\delta_i \in \hat{X}$, $\delta_i \neq 1$, with this property.

THEOREM 3. *Let X and Y be c.c.m.a. groups. Let $T = a + A$ be an affine transformation of X and $S = b + B$ an affine transformation of Y . Suppose further that \hat{Y} is polynomially annihilated by B . If there exists a nonaffine continuous mapping $g: X \rightarrow Y$ such that $gT = Sg$ then there exists $\delta \in \hat{X}$, $\delta \neq 1$, and a root λ , with $|\lambda| = 1$, of the minimal annihilating polynomial with respect to B of some element of \hat{Y} , such that $A^p \delta = \delta$ for some $p \geq 1$ and $\delta(a + Aa + \dots + A^{p-1}a) = \lambda^p$ for all such p .*

Proof. Using the notation of Corollary 1.1, for $\gamma \in \hat{Y}$ let

$$(\gamma \circ g)(x) = \alpha_\gamma(x) \exp [i\phi_\gamma(x)],$$

where $\alpha_\gamma \in \hat{X}$ and $\phi_\gamma: X \rightarrow \mathbf{R}$ is continuous. Since g is nonaffine there exists $\gamma_0 \in \hat{Y}$ such that ϕ_{γ_0} is nonconstant. Applying $\gamma \in \hat{Y}$ to the equation $gT = Sg$ and using the uniqueness asserted in Corollary 1.1 we have $\alpha_\gamma(a) \exp [i\phi_\gamma(Tx)] = \gamma(b) \exp [i\phi_{B\gamma}(x)]$. Since X is connected this implies

$$\phi_\gamma(Tx) = \phi_{B\gamma}(x) + c_\gamma, \quad x \in X,$$

where $c_\gamma \in \mathbf{R}$. Suppose that p_{γ_0} , the minimal annihilating polynomial of γ_0 with respect to B , is of degree n . Define $\Phi: X \rightarrow \mathbf{R}^n$ by

$$\Phi(x) = \begin{bmatrix} \phi_{\gamma_0}(x) \\ \phi_{B\gamma_0}(x) \\ \vdots \\ \phi_{B^{n-1}\gamma_0}(x) \end{bmatrix}, \quad x \in X.$$

Φ is nonconstant and continuous. If $p_{\gamma_0}(\theta) = m_0 + m_1\theta + \dots + m_n\theta^n$, $m_i \in \mathbf{Z}$ ($1 \leq i \leq n$), $m_n \neq 0$, then using the connectedness of X we have that $m_n \phi_{B^n \gamma_0}(x) + m_{n-1} \phi_{B^{n-1} \gamma_0}(x) + \dots + m_0 \phi_{\gamma_0}(x)$ is a constant mapping. Let M denote the linear transformation of \mathbf{R}^n given by the matrix

$$\begin{bmatrix} 0 & 1 & \cdots & 0 & 0 \\ 0 & 0 & \cdots & 0 & 0 \\ \vdots & \vdots & & \vdots & \vdots \\ 0 & 0 & & 1 & 0 \\ 0 & 0 & \cdots & 0 & 1 \\ -m_0/m_n & -m_1/m_n & \cdots & -m_{n-2}/m_n & -m_{n-1}/m_n \end{bmatrix}.$$

Then $\Phi(Tx) = M\Phi(x) + d$, $x \in X$, where $d \in \mathbf{R}^n$, and the result follows from Lemma 1 since p_{γ_0} is the characteristic polynomial of M .

COROLLARY 3.1. *Let X, Y, T, S be as in Theorem 3 with the additional assumption that T is ergodic. If there is a nonaffine continuous mapping $g: X \rightarrow Y$ such that $gT = Sg$ then there exists $\delta \in \hat{X}$, $\delta \neq 1$, and a root λ , with $|\lambda| = 1$, of the minimal annihilating polynomial with respect to B of some element of \hat{Y} , such that λ is not a root of unity, $A\delta = \delta$ and $\delta(a) = \lambda$.*

Hence if T is strong mixing, all continuous mappings $g: X \rightarrow Y$ such that $gT = Sg$ are affine.

Proof. Let δ be the element of \hat{X} and λ the complex number which are determined by Theorem 3. Since $A^p\delta = \delta$ for some $p \geq 1$, the ergodicity of T implies $A\delta = \delta$ and hence $\delta(a) = \lambda$. If λ were a root of unity then since $[a, (A-I)X] = X$, δ would only assume a finite number of values on X and would have to be the identity character.

Lastly, if T is strong mixing then A is ergodic and there is no $\delta \in \hat{X}$, $\delta \neq 1$, with $A\delta = \delta$.

Theorem 2 of Arov [2] follows from Corollary 3.1.

The notion of a measure-preserving transformation with quasi-discrete spectrum has been defined by Abramov [1], and the notion of a homeomorphism with quasi-discrete spectrum has been defined by Hahn and Parry [4]. An ergodic affine transformation $S = b + B$ of a c.c.m.a. group Y has quasi-discrete spectrum as a (Haar) measure-preserving transformation if and only if it has quasi-discrete spectrum as a homeomorphism. In fact $S = b + B$, assumed to be ergodic, has quasi-discrete spectrum in either sense if and only if $\bigcap_{n=0}^{\infty} (B-I)^n Y = \{0\}$, where I denotes the identity mapping of Y [7]. The following result extends Theorem 6 of the paper [4].

THEOREM 4. *Let X and Y be c.c.m.a. groups and let $T = a + A$ be an ergodic affine transformation of X and $S = b + B$ an ergodic affine transformation of Y . If S has quasi-discrete spectrum then all continuous mappings $g: X \rightarrow Y$ satisfying $gT = Sg$ are affine.*

Proof. Let $\gamma \in \hat{Y}$. There exists $n \geq 1$ such that $(\theta - 1)^n$ is an annihilating polynomial of γ with respect to B . It follows that the roots of the minimal annihilating

polynomial of γ with respect to B are equal to 1. The result follows from Corollary 3.1.

THEOREM 5. *Let Y be a c.c.m.a. group and $S=b+B$ a strong mixing affine transformation of Y such that \hat{Y} is polynomially annihilated by B . Then every continuous p th root ($p \geq 1$) of S is an affine transformation and S has a continuous p th root if and only if there is an endomorphism C of Y onto Y with $C^p=B$.*

Proof. Suppose g is a continuous p th root of S . Then $gS=Sg$ and g is affine by Corollary 3.1. Since S is strong mixing B is ergodic and therefore $(B-I)Y=Y$. Choose $y_0 \in Y$ so that $(B-I)y_0=b$ and the homeomorphism $h: Y \rightarrow Y$, defined by $h(y)=y_0+y$, satisfies $hS=Bh$. Therefore S has a continuous p th root if and only if B has a continuous p th root. Any continuous p th root of B is affine and the p th power of its endomorphism part will be B . Conversely if C is an endomorphism of Y onto Y with $C^p=B$ then C is a continuous p th root of B .

As a special case of Corollary 3.1 we have the following result. If Y is a c.c.m.a. group and B is an ergodic endomorphism of Y onto Y which polynomially annihilates \hat{Y} , then every continuous mapping commuting with B is affine. The example below shows that this result is false (and therefore Theorem 3 is false) if the assumption that \hat{Y} be polynomially annihilated by B is dropped.

Let K^∞ denote the two-sided infinite-dimensional torus (i.e. the two-sided infinite direct sum of copies of K) and let B denote the shift automorphism of K^∞ defined by $(Bz)_n=z_{n+1}$ if $z=(z_n)$. No nontrivial element of K^∞ is polynomially annihilated by B . Let $f: K \rightarrow K$ be any homeomorphism and define $F: K^\infty \rightarrow K^\infty$ by $(F(z))_n=f(z_n)$, $-\infty < n < \infty$. F is a homeomorphism and $FB=BF$. Moreover F can be chosen to be nonaffine by choosing f nonaffine.

It would be interesting to know if the condition that \hat{Y} be polynomially annihilated by B follows from the fact that every continuous mapping commuting with B (B ergodic) is affine.

4. Converses of Theorem 3.

LEMMA 2. *Let X and Y be c.c.m.a. groups and let them be represented as $X=\text{inv lim } (X_q, \tau_q)$ and $Y=\text{inv lim } (Y_m, \sigma_m)$ where X_q ($q \geq 1$) and Y_m ($m \geq 1$) are finite-dimensional tori. Let C be a homomorphism of X onto Y and let $u: X \rightarrow Y$ be a continuous mapping which depends only on X_{k_0} and which is homotopic to a constant by a homotopy which depends only on X_{k_0} . Then $C+u$ maps X onto Y .*

Proof. Let C_m and u_m ($m \geq 1$) denote the mappings of X to Y_m obtained by projecting C and u onto Y_m . $C+u$ will map X onto Y if and only if C_m+u_m maps X onto Y_m for each $m \geq 1$. For each $m \geq 1$ there exists $q_m \geq 1$ such that C_m only depends on X_{q_m} . Let $k_m = \max(q_m, k_0)$. Then C_m can be considered as a homomorphism of X_{k_m} onto Y_m and u_m can be considered as a continuous mapping of X_{k_m} into Y_m which is homotopic (on X_{k_m}) to a constant. The result will follow if we can show that whenever C is a homomorphism of K^n onto K^m and $u: K^n \rightarrow K^m$ is a continuous

mapping homotopic to a constant then $C + u$ maps K^n onto K^m . However this result follows from Lemma 1 of [10].

LEMMA 3. *Let $P: \mathbf{R}^n \rightarrow \mathbf{R}^n$ be a continuous mapping such that $P(v + \tau) = P(v)$, $v \in \mathbf{R}^n$, $\tau \in \mathbf{Z}^n$ and $\|P(v) - P(v')\| < \|v - v'\|$, $v, v' \in \mathbf{R}^n$ where $\|\cdot\|$ denotes the usual norm in \mathbf{R}^n . Let $\psi: \mathbf{K}^n \rightarrow \mathbf{K}^n$ be the continuous mapping defined by $\psi\pi = \pi P$, where $\pi: \mathbf{R}^n \rightarrow \mathbf{K}^n$ is the natural projection. Then $I + \psi$ is a one-to-one mapping of \mathbf{K}^n . (I denotes the identity mapping of \mathbf{K}^n .)*

Proof. Let I' denote the identity mapping of \mathbf{R}^n . $I' + P$ is a one-to-one mapping because $v + P(v) = v' + P(v')$ implies $v - v' = P(v') - P(v)$ and hence $v = v'$. Suppose $(I + \psi)\pi(v) = (I + \psi)\pi(v')$. Then $\pi(I' + P)(v) = \pi(I' + P)(v')$ and

$$\begin{aligned} (I' + P)(v) &= (I' + P)(v') + \tau, & \tau \in \mathbf{Z}^n \\ &= (I' + P)(v' + \tau). \end{aligned}$$

Therefore $v = v' + \tau$ and $\pi(v) = \pi(v')$. This proves that $I + \psi$ is one-to-one.

The following theorem gives a converse to Theorem 3 in the cases when Y is a finite-dimensional group.

THEOREM 6. *Let X and Y be c.c.m.a. groups and suppose that Y is n -dimensional. Let $T = a + A$ be an affine transformation of X , $S = b + B$ an affine transformation of Y and suppose there exists a continuous mapping h of X onto Y such that $hT = Sh$. Suppose further there exists $\delta \in \hat{X}$, $\delta \neq 1$, and a root λ , with $|\lambda| = 1$, of the annihilating polynomial of \hat{Y} with respect to B such that $A^p \delta = \delta$ for some $p \geq 1$ and $\delta(a + A(a) + \dots + A^{p-1}(a)) = \lambda^p$ for all such p . Then there exists a nonaffine continuous mapping g of X onto Y such that $gT = Sg$. Moreover, if h is given to be a homeomorphism then g can be chosen to be a homeomorphism.*

Proof. We may as well assume that the given mapping h is affine or there is nothing to prove. Suppose $h = c + C$, where $c \in Y$ and C is a homomorphism of X onto Y . We shall use Theorem 2 and to do this we have to construct continuous mappings $\phi_\gamma: X \rightarrow R$ for each $\gamma \in \hat{Y}$.

Since Y is n -dimensional \hat{Y} is isomorphic to a subgroup \mathcal{Q}_Y^n of the additive group \mathcal{Q}^n and we can choose \mathcal{Q}_Y^n so that if $d_i = (d_{i1}, d_{i2}, \dots, d_{in})$ where

$$\begin{aligned} d_{ij} &= 1 & \text{if } i = j, \\ &= 0 & \text{if } i \neq j, \end{aligned}$$

then $d_i \in \mathcal{Q}_Y^n$ ($1 \leq i \leq n$). Let $[M]$ be the matrix (with rational entries) representing the action of B on \mathcal{Q}_Y^n , and let $\gamma_i \in \hat{Y}$ correspond under the above isomorphism to $d_i \in \mathcal{Q}_Y^n$ ($1 \leq i \leq n$). Let M denote the linear transformation of \mathbf{R}^n induced by the matrix $[M]$.

Suppose that p is the smallest positive integer such that $A^p \delta = \delta$. Define $f: X \rightarrow C$ by

$$f(x) = \sum_{j=0}^{p-1} \frac{\delta(a + A(a) + \dots + A^{j-1}(a))}{\lambda^j} \delta(A^j x), \quad x \in X,$$

f is a nonconstant continuous function satisfying $f(Tx) = \lambda f(x)$, $x \in X$. If w_1, w_2, \dots, w_n denotes the fixed basis of \mathbf{R}^n it is also a basis for \mathbf{C}^n . Let U be the invertible linear transformation of \mathbf{C}^n such that $U^{-1}MU = D_M$, the Jordan normal form of the complexified linear transformation M . Let j_0 be the largest integer for which w_{j_0} corresponds to the eigenvalue λ of D_M . Then $U(f(x)w_{j_0})$ is nonconstant and so either $\Re U(f(x)w_{j_0})$ or $\Im U(f(x)w_{j_0})$ is nonconstant. Suppose, without loss of generality, that $\Re U(f(x)w_{j_0})$ is nonconstant and define the mappings $\phi_{\gamma_i}: X \rightarrow \mathbf{R}$ by

$$\sum_{i=1}^n \phi_{\gamma_i}(x)w_i = \Re U(f(x)w_{j_0}), \quad x \in X.$$

Let $\gamma \in \hat{Y}$. If $\gamma^{m_0} = \gamma_1^{m_1} \cdot \gamma_2^{m_2} \cdot \dots \cdot \gamma_n^{m_n}$, $m_0, m_1, \dots, m_n \in \mathbf{Z}$, $m_0 \neq 0$, define $\phi_{\gamma}: X \rightarrow \mathbf{R}$ by

$$\phi_{\gamma}(x) = \frac{m_1}{m_0} \phi_{\gamma_1}(x) + \frac{m_2}{m_0} \phi_{\gamma_2}(x) + \dots + \frac{m_n}{m_0} \phi_{\gamma_n}(x), \quad x \in X.$$

Then $\phi_{\gamma\gamma^1} = \phi_{\gamma} + \phi_{\gamma^1}$, $\gamma, \gamma^1 \in \hat{Y}$. Also

$$\begin{aligned} \sum_{i=1}^n \phi_{\gamma_i}(Tx)w_i &= \Re U(f(Tx)w_{j_0}) = \Re U D_M(f(x)w_{j_0}) \\ &= M \sum_{i=1}^n \phi_{\gamma_i}(x)w_i = \sum_{i=1}^n \phi_{B\gamma_i}(x)w_i. \end{aligned}$$

Therefore $\phi_{B\gamma_i}(Tx) = \phi_{B\gamma_i}(x)$, $x \in X$, $1 \leq i \leq n$, and hence $\phi_{\gamma}(Tx) = \phi_{B\gamma}(x)$, $x \in X$, $\gamma \in \hat{Y}$. By Theorem 2 there exists a continuous mapping $u: X \rightarrow Y$ such that $\gamma(u(x)) = \exp [i\phi_{\gamma}(x)]$, $x \in X$, $\gamma \in \hat{Y}$, $u(Tx) = Bu(x)$, $x \in X$, and u is homotopic to a constant. Let $g: X \rightarrow Y$ be defined by $g(x) = c + C(x) + u(x)$, $x \in X$. $g(Tx) = c + C(Tx) + u(Tx) = S(c + C(x)) + Bu(x) = Sg(x)$, $x \in X$.

It remains to show that g maps X onto Y . Suppose $X = \text{inv lim } (X_q, \tau_q)$ and $Y = \text{inv lim } (Y_m, \sigma_m)$ where the X_q ($q \geq 1$) are finite-dimensional tori and the Y_m ($m \geq 1$) are n -dimensional tori. Suppose the given character $\delta \in \hat{X}_{k_0}$. Then each mapping $\phi_{\gamma}: X \rightarrow \mathbf{R}$ only depends on X_{k_0} and therefore u only depends on X_{k_0} and is homotopic to a constant by a homotopy depending only on X_{k_0} (Theorem 2). The fact that g maps X onto Y now follows from Lemma 2.

We now show that if h is given to be a homeomorphism then g can be chosen to be a homeomorphism. Since we are assuming $h = c + C$, C will be an isomorphism of X onto Y . Let $g_t: X \rightarrow Y$, $t \in [0, 1]$, be defined by $g_t(x) = c + C(x) + u_t(x)$, $x \in X$, where $u_t: X \rightarrow Y$ satisfies $\gamma(u_t(x)) = \exp [it\phi_{\gamma}(x)]$, $x \in X$, $\gamma \in \hat{Y}$ (Theorem 2). By Lemma 2 g_t is a continuous mapping of X onto Y and $g_t T = Sg_t$, $t \in [0, 1]$. We shall show that g_t is one-to-one for sufficiently small t .

It suffices to show that $g_t \circ C^{-1}: Y \rightarrow Y$ is one-to-one for sufficiently small t . We have $g_t \circ C^{-1}(y) = c + y + u_t \circ C^{-1}y$, $y \in Y$. Let k be the smallest integer for which $\delta \circ C^{-1} \in \hat{Y}_k$, where δ is the given element of \hat{X} . By the definition of ϕ_{γ} ,

$\gamma \in \hat{Y}$, each $\phi_\gamma \circ C^{-1}$ can be considered as a real-valued function of Y_k , and therefore induces a mapping $P_\gamma: \mathbf{R}^n \rightarrow \mathbf{R}$ defined by $P_\gamma(v) = \phi_\gamma \circ C^{-1}(y_v)$, $v \in \mathbf{R}^n$, where y_v is any point of Y which has component $v + \mathbf{Z}^n$ in Y_k . Since each P_γ is a linear combination of sines and cosines of the coordinates of \mathbf{R}^n , there exists a constant N such that if β is a generator of any \hat{Y}_m ($m \geq 1$) then

$$|P_\beta(v) - P_\beta(v')| \leq N \|v - v'\|, \quad v, v' \in \mathbf{R}^n,$$

where $\|\cdot\|$ denotes the usual norm in \mathbf{R}^n .

Choose $t_0 \in [0, 1]$ so that $nt_0N < 1$. Let $y, y' \in Y, y \neq y'$. Suppose $y = (y_1, y_2, \dots)$, $y' = (y'_1, y'_2, \dots)$ where $y_i, y'_i \in Y_i, i \geq 1$. We shall show that $g_{t_0} \circ C^{-1}(y) \neq g_{t_0} \circ C^{-1}(y')$. If $y_k = y'_k$ then $\phi_\gamma \circ C^{-1}(y) = \phi_\gamma \circ C^{-1}(y'), \gamma \in \hat{Y}$, and therefore $u_{t_0} \circ C^{-1}(y) = u_{t_0} \circ C^{-1}(y')$. Hence $g_{t_0} \circ C^{-1}(y) - g_{t_0} \circ C^{-1}(y') = y - y' \neq 0$. Now suppose $y_k \neq y'_k$. Considering Y_k as an n -torus let $\beta_1, \beta_2, \dots, \beta_n \in \hat{Y}_k$ be defined by $\beta_j(z_1, \dots, z_n) = \exp(2\pi iz_j)$. Define $G: Y_k \rightarrow Y_k$ by

$$G(z_1, \dots, z_n) = (z_1 + t_0 \phi_{\beta_1} \circ C^{-1}(y_2), \dots, z_n + t_0 \phi_{\beta_n} \circ C^{-1}(y_2)) + \mathbf{Z}^n$$

where y_2 is any point of Y having $z = (z_1, \dots, z_n)$ as its component in Y_k . By Lemma 3, since t_0 is chosen so that $nt_0N < 1$, we have that G is one-to-one. Since $y_k \neq y'_k$, $G(y_k) \neq G(y'_k)$, i.e. $\beta_j(y_k + u_{t_0} \circ C^{-1}(y)) \neq \beta_j(y'_k + u_{t_0} \circ C^{-1}(y'))$ for some j . Therefore $y + u_{t_0} \circ C^{-1}(y) \neq y' + u_{t_0} \circ C^{-1}(y')$, i.e. $g_{t_0} \circ C^{-1}(y) \neq g_{t_0} \circ C^{-1}(y')$.

The following is a direct consequence of Theorems 3 and 6.

COROLLARY 6.1. *Let X be a c.c.m.a. group and let Y be a c.c.m.a. n -dimensional group. Let $T = a + A$ be an affine transformation of X and $S = b + B$ an affine transformation of Y for which there exists a continuous mapping h of X onto Y satisfying $hT = Sh$. There exists a nonaffine continuous mapping g of X onto Y such that $gT = Sg$ if and only if there exists $\delta \in \hat{X}, \delta \neq 1$, and a root λ , with $|\lambda| = 1$, of the annihilating polynomial of \hat{Y} with respect to B such that $A^p \delta = \delta$ for some $p \geq 1$ and $\delta(a + A(a) + \dots + A^{p-1}(a)) = \lambda^p$ for all such p . If h is a homeomorphism, the above conditions are necessary and sufficient for the existence of a nonaffine homeomorphism g of Y such that $gT = Sg$.*

If B is an endomorphism of a c.c.m.a. n -dimensional group Y onto Y then it follows from the ergodicity conditions stated in §1 that B is ergodic if and only if no root of the annihilating polynomial of \hat{Y} with respect to B is a root of unity. Moreover there is an element $\gamma \in \hat{Y}, \gamma \neq 1$ such that $B^p \gamma = \gamma$ if and only if the annihilating polynomial of \hat{Y} with respect to B has a p th root of unity as a root.

THEOREM 7. *Let Y be a c.c.m.a. n -dimensional group and let A and B be endomorphisms of Y onto Y . Suppose there exists a continuous mapping h of Y onto Y such that $hA = Bh$. There exists a nonaffine continuous mapping g of Y onto Y such that $gA = Bg$ if and only if A and B are not ergodic. If h is given to be a homeomorphism then there exists a nonaffine homeomorphism g of Y such that $gA = Bg$ if and only if A and B are not ergodic.*

Proof. If there exists a nonaffine continuous mapping g of Y into Y satisfying $gA = Bg$ then Theorem 3 asserts the existence of $\delta \in \hat{Y}$, $\delta \neq 1$, and a root λ of the annihilating polynomial of \hat{Y} with respect to B such that $A^p\delta = \delta$ for some $p \geq 1$ and $\lambda^p = 1$ for all such p . Therefore A and B are not ergodic.

Conversely suppose A and B are not ergodic. Suppose h is affine or there is nothing to prove. Let $h = c + C$, where $c \in Y$ and C is an endomorphism of Y onto Y . If \hat{Y} is considered as an (additive) subgroup of \mathbb{Q}^n the nonsingular matrix representing C is a conjugacy between the matrix representing A and the matrix representing B . Hence the annihilating polynomial of \hat{Y} with respect to A is the same as the annihilating polynomial of \hat{Y} with respect to B . Let $\delta \in \hat{Y}$, $\delta \neq 1$, be such that $A^p\delta = \delta$ for some $p \geq 1$. Let p be the least positive integer for which $A^p\delta = \delta$. Then the annihilating polynomial of \hat{Y} with respect to B has a root λ which is a p th root of unity. The result now follows from Theorem 6.

We now give an example to show that Theorem 6 is false if the assumption that \hat{Y} is finite-dimensional is replaced by the assumption that \hat{Y} is polynomially annihilated by B , i.e. the converse of Theorem 3 is false.

Let E denote the automorphism of the 4-torus \mathbb{K}^4 determined by the matrix

$$[E] = \begin{bmatrix} 0 & 0 & 0 & -1 \\ 1 & 0 & 0 & 8 \\ 0 & 1 & 0 & -6 \\ 0 & 0 & 1 & 8 \end{bmatrix}.$$

The matrix $[E]$ has two eigenvalues $\lambda_1, \bar{\lambda}_1$ of unit modulus which are not roots of unity and two distinct real eigenvalues λ_2, λ_3 [10]. Let W denote the one-sided direct sum of an infinite number of copies of \mathbb{K}^4 . Let $Y = \mathbb{K} + W$. Y is an infinite-dimensional torus. Let $S = b + B: Y \rightarrow Y$ be defined by

$$S(y_0, y_1, y_2, \dots) = (b_0, 0, 0, \dots) + (y_0, Ey_1, y_1 + Ey_2, y_2 + Ey_3, \dots)$$

$y_0 \in \mathbb{K}$, $y_i \in \mathbb{K}^4$ ($i \geq 1$), where $\exp [2\pi i b_0] = \lambda_1$. It is not difficult to show that S is ergodic and \hat{Y} is polynomially annihilated by B . The characteristic polynomial of $[E]$ is the minimal annihilating polynomial with respect to B of some of the elements of \hat{Y} and λ_1 is a root of this polynomial. If $\delta \in \hat{Y}$ is defined by

$$\delta(y_0, y_1, y_2, \dots) = \exp [2\pi i y_0],$$

then $B\delta = \delta$ and $\delta(b) = \lambda_1$. Hence (with $X = Y$ and $T = S$) all the assumptions of Theorem 6 (except that Y be finite-dimensional) are satisfied by this example. However, we shall show that every continuous mapping commuting with S is affine.

Suppose $gS = Sg$ where g is continuous. Let g_n ($n \geq 0$) be the projection of g onto the n th factor in the representation $Y = \mathbb{K} + \mathbb{K}^4 + \mathbb{K}^4 + \dots$. g_0 is a continuous mapping of Y into \mathbb{K} and g_n ($n \geq 1$) are continuous mappings of Y into \mathbb{K}^4 . We shall show that each g_n ($n \geq 0$) is affine and this implies g is affine. By Theorem 1 there

exists a homomorphism $\mu_0: Y \rightarrow \mathbf{K}$ and a continuous mapping $\phi_0: Y \rightarrow \mathbf{R}$ such that $g_0(y) = \mu_0(y) + \phi_0(y) + \mathbf{Z}$. Since $g_0(Sy) = b_0 + g_0(y)$ we have

$$\phi_0(Sy) = \phi_0(y) + a, \quad y \in Y, \quad \text{where } a \in \mathbf{R}.$$

Therefore $\phi_0(y) - \int_Y \phi_0(y) dm$ (m denotes Haar measure on Y) is an invariant function under S and therefore constant. Hence ϕ_0 is constant and g_0 is affine. Suppose that some g_n ($n \geq 1$) is nonaffine. Let k be the least integer for which g_k is nonaffine. By Theorem 1 there exist homomorphisms $\mu_i: Y \rightarrow \mathbf{K}$ and continuous mappings $\phi_i: Y \rightarrow \mathbf{R}$ ($1 \leq i \leq 4$) such that

$$g_k(y) = \begin{bmatrix} \mu_1(y) + \phi_1(y) \\ \mu_2(y) + \phi_2(y) \\ \mu_3(y) + \phi_3(y) \\ \mu_4(y) + \phi_4(y) \end{bmatrix} + \mathbf{Z}^4.$$

Since $gS = Sg$ we have $g_k S = g_{k-1} + E g_k$ and $g_{k+1} S = g_k + E g_{k+1}$. Since g_{k-1} is affine the uniqueness in Theorem 1 gives

$$\begin{bmatrix} \phi_1(Sy) \\ \phi_2(Sy) \\ \phi_3(Sy) \\ \phi_4(Sy) \end{bmatrix} = E \begin{bmatrix} \phi_1(y) \\ \phi_2(y) \\ \phi_3(y) \\ \phi_4(y) \end{bmatrix} + e, \quad y \in Y, \quad \text{where } e \in \mathbf{R}^4.$$

Let D , with matrix

$$[D] = \begin{bmatrix} \lambda_1 & 0 & 0 & 0 \\ 0 & \bar{\lambda}_1 & 0 & 0 \\ 0 & 0 & \lambda_2 & 0 \\ 0 & 0 & 0 & \lambda_3 \end{bmatrix}$$

be the Jordan normal form of E and let $U: \mathbf{C}^4 \rightarrow \mathbf{C}^4$ be the linear transformation such that $U^{-1}EU = D$. By the type of argument used in the proof of Theorem 3 it follows that

$$\begin{pmatrix} \phi_1(y) \\ \phi_2(y) \\ \phi_3(y) \\ \phi_4(y) \end{pmatrix} = U \begin{pmatrix} c\delta(y) \\ d\delta^{-1}(y) \\ 0 \\ 0 \end{pmatrix} + e', \quad y \in Y,$$

where $c, d \in \mathbf{C}$ and $e' \in \mathbf{R}^4$. By Theorem 1 again

$$g_{k+1}(y) = \begin{pmatrix} \mu_5(y) + \phi_5(y) \\ \mu_6(y) + \phi_6(y) \\ \mu_7(y) + \phi_7(y) \\ \mu_8(y) + \phi_8(y) \end{pmatrix}, \quad y \in Y,$$

where $\mu_i: Y \rightarrow K$ are homomorphisms and $\phi_i: Y \rightarrow R$ are continuous ($5 \leq i \leq 8$). Since $g_{k+1}(Sy) = g_k(y) + Eg_{k+1}(y)$ we have

$$\begin{pmatrix} \phi_5(Sy) \\ \phi_6(Sy) \\ \phi_7(Sy) \\ \phi_8(Sy) \end{pmatrix} = E \begin{pmatrix} \phi_5(y) \\ \phi_6(y) \\ \phi_7(y) \\ \phi_8(y) \end{pmatrix} + U \begin{pmatrix} c\delta(y) \\ d\delta^{-1}(y) \\ 0 \\ 0 \end{pmatrix} + e'', \quad y \in Y,$$

where $e'' \in R^4$. Apply U^{-1} to this equation and set

$$\begin{pmatrix} f_1(y) \\ f_2(y) \\ f_3(y) \\ f_4(y) \end{pmatrix} = U^{-1} \begin{pmatrix} \phi_5(y) \\ \phi_6(y) \\ \phi_7(y) \\ \phi_8(y) \end{pmatrix}.$$

Then $f_1(Sy) = \lambda_1 f_1(y) + c\delta(y) + c^1$, where $c' \in C$. Since $f_1 \in L^2(Y)$ let $f_1(y) = \sum_i a_i \gamma_i(y)$ (L^2 convergence) where $\gamma_i \in \hat{Y}$ and $\sum_i |a_i|^2 < \infty$. If $\delta = \gamma_{i_0}$ then $a_{i_0} \delta(b) = \lambda_1 a_{i_0} + c$, and since $\delta(b) = \lambda_1$ this gives $c = 0$. Consideration of the equation for f_2 implies $d = 0$. Therefore $\phi_i, 1 \leq i \leq 4$, are constant and g_k is affine, a contradiction. Therefore each g_n ($n \geq 0$) is affine.

Thus we have shown that every continuous mapping commuting with S is affine.

We shall now state, without proof, a generalization of Theorem 6. If B is an endomorphism of a c.c.m.a. group Y onto Y we denote by $\hat{Y}(B, \lambda)$ the subgroup of \hat{Y} generated by those elements of \hat{Y} whose minimal annihilating polynomials with respect to B have λ as a root.

THEOREM 8. *Suppose X and Y are c.c.m.a. groups, $T = a + A$ an affine transformation of X , and $S = b + B$ an affine transformation of Y such that \hat{Y} is polynomially annihilated by B . Suppose there exists a continuous mapping h of X onto Y such that $hT = Sh$. Also assume there exists $\delta \in \hat{X}, \delta \neq 1$, and a complex number λ with $|\lambda| = 1$, such that $\hat{Y}(B, \lambda)$ is a subgroup of \hat{Y} of finite rank with the properties that $A^p \delta = \delta$ for some $p \geq 1$ and $\delta(a + A(a) + \dots + A^{p-1}(a)) = \lambda^p$ for all such p . Then there exists a nonaffine continuous mapping g of X onto Y such that $gT = Sg$. If h is a homeomorphism then g can be chosen to be a homeomorphism.*

REFERENCES

1. L. M. Abramov, *Metric automorphisms with quasi-discrete spectrum*, Izv. Akad. Nauk SSSR **26** (1962), 513-530 = Amer. Math. Soc. Transl. (2) **39** (1964), 37-56.
2. D. Z. Arov, *On topological conjugacy of automorphisms and translations of compact abelian groups*, Uspehi Mat. Nauk **18** (1963), no. 5 (113), 133-138.
3. F. J. Hahn, *On affine transformations of compact abelian groups*, Amer. J. Math. **85** (1963), 428-446.

4. F. J. Hahn and W. Parry, *Minimal dynamical systems with quasi-discrete spectrum*, J. London Math. Soc. **40** (1965), 309–323.
5. P. R. Halmos, *Lectures on ergodic theory*, Chelsea, New York, 1956.
6. A. H. M. Hoare and W. Parry, *Semi-groups of affine transformations*, Quart. J. Math. Oxford Ser. **17** (1966), 106–111.
7. ———, *Affine transformations with quasi-discrete spectrum*, J. London Math. Soc. **41** (1966), 88–96.
8. K. Hoffman and R. Kunze, *Linear algebra*, Prentice-Hall, Englewood Cliffs, N. J., 1961.
9. E. R. VanKampen, *On almost periodic functions of constant absolute value*, J. London Math. Soc. **12** (1937), 3–6.
10. P. Walters, *Topological conjugacy of affine transformations of tori*, Trans. Amer. Math. Soc. **131** (1968), 40–50.

THE UNIVERSITY OF CALIFORNIA,
BERKELEY, CALIFORNIA