

NOBUO AOKI

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Isomorphic to Bernoulli Shifts**

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ERGODIC AUTOMORPHISMS OF COMPACT METRIC GROUPS
ARE ISOMORPHIC TO BERNOULLI SHIFTS

NOBUO AOKI

I wish to discuss its title. Let X be a compact metric group and μ be its normalized Haar measure. Then (X, μ) is a Lebesgue space. Let σ be an automorphism of X , then σ is an invertible measure preserving transformation of X onto itself. Our problem is concerned with measure theoretic properties of σ .

Throughout this given a transformation of any group, a restriction on a subgroup and an induced transformation on a factor space will be denoted by the same symbol as that of the original transformation, if there is no danger of confusion.

Today we will outline a proof of the following

Theorem 1. An ergodic automorphism of a compact metric abelian group is a Bernoulli shift.

The result has received the most attention in the literature. In a two-dimensional torus, Adler and Weiss [1] proved the result using Ornstein's Theorems. In recently, Katznelson [4] showed the result in an n -dimensional torus. Lind [5] gave a proof for the case of an infinite-dimensional torus. The proof which Totoki and the author [2] proved was done independently of Lind's work. The techniques I use are due to Katznelson [4] and Totoki and the author [2].

In order to outline Theorem 1, we prepare the following

Proposition 1. Let X be a compact metric abelian group and σ be an ergodic automorphism of X . Then there exist subgroups X_D , X_A and X_B such that X_D is a σ -invariant totally disconnected subgroup, X_A and X_B are σ -invariant connected subgroups of X and dynamical systems (X_D, σ) , (X_A, σ) , (X_B, σ) are ergodic, and further (X, σ) is an algebraic factor of $(X_D \otimes X_A \otimes X_B, \sigma \otimes \sigma \otimes \sigma)$.

The proof uses the results of Entropy Theory together with the results of Group Theory.

Proposition 2. The dynamical systems (X_B, σ) and (X_D, σ)

have the Bernoulli properties.

We can prove that X_B is locally connected and so by [2] we have (X_B, σ) has the Bernoulli properties. The Bernoulli properties of (X_D, σ) is an indirect application of the results of Yuzvinskii [12].

To show the dynamical system (X_A, σ) has the Bernoulli properties, let G_A be the character group of X_A and U be the dual automorphism of G_A induced by $(Ug)(x) = g(\sigma^{-1}x)$ for $g \in G_A$. Each $g \in G_A$ satisfies the following condition

(A) There exist integers $k > 0$, n_0, n_1, \dots, n_k such that $(n_0, n_1, \dots, n_k) \neq (0, 0, \dots, 0)$ and

$$g^{n_0} U g^{n_1} \dots U^k g^{n_k} = 1.$$

We denote by \bar{G}_A the minimal divisible extension of G_A and by \bar{U} the automorphism of \bar{G}_A extended by U . If \bar{X}_A is the dual group of \bar{G}_A , then \bar{X}_A is a compact connected metric abelian group. If $\bar{\sigma}$ is the dual automorphism of \bar{X}_A induced by \bar{U}^{-1} , then as (X_A, σ) has the ergodic properties, it is not hard to see that $(\bar{X}_A, \bar{\sigma})$ has the ergodic properties. Since $G_A \subset \bar{G}_A$, let us define $X'_1 = \text{ann}(G_A, \bar{X}_A)$, then the dynamical system $(\bar{X}_A/X'_1, \bar{\sigma})$ and (X_A, σ) are isomorphic. And so if $(\bar{X}_A, \bar{\sigma})$ has the Bernoulli properties, then Ornstein's theorems imply that (X_A, σ) has the Bernoulli properties. Therefore, using Propositions 1 and 2 it follows that (X, σ) has the Bernoulli properties.

We resolve this difficult with some lemmas.

Let $\bar{G}_A = \{f_1, f_2, \dots\}$. We denote by G_n the subgroup of \bar{G}_A generated by $\{\bar{U}^j f_k : -\infty < j < \infty, k = 1, 2, \dots, n\}$ for $n \geq 1$. Then we have $\text{rank}(G_n) < \infty$ for $n \geq 1$. Let $X_n = \text{ann}(G_n, \bar{X}_A)$ for $n \geq 1$, then we have $\bar{\sigma} X_n = X_n$, $n \geq 1$ and $X_1 \supset X_2 \supset \dots \supset \bigcap_{n=1}^{\infty} X_n = \{e\}$. Since each f_k satisfies the condition (A), we have for

each $k \geq 1$

$$f_k^{l_k} = \bar{U}^{m_1(k)} f_k \dots \bar{U}^{p_k} f_k^{m_{p_k}(k)}$$

for some $p_k > 0$, $l_k > 0$ and some $(m_1(k), \dots, m_{p_k}(k)) \neq (0, \dots, 0)$.

From now on, we fix l_1, \dots, l_n and put

$$(1) \quad n_0 = \ell_1 \dots \ell_n, \quad k_0 = \max_{1 \leq k \leq n} p_k.$$

H denotes the subgroup of G_n generated by $\{f_k, \dots, \bar{U}^{k_0} f_k : 1 \leq k \leq n\}$. Then H is finitely generated, torsionfree, $\bar{H} = \bar{G}_n$ and $\prod_{j=-\infty}^{\infty} \bar{U}^j H = G_n$. Let $X(H) = \text{ann}(H, \bar{X}_A)$, then the character group of $\bar{X}_A/X(H)$ is H and so $\bar{X}_A/X(H)$ is a finite-dimensional torus.

Lemma 1. If $n_0 = 1$, then $(\bar{X}_A/X_n, \bar{\sigma})$ has the Bernoulli properties.

The proof is a direct application of the result of Katznelson [4].

Lemma 2. If $n_0 > 1$, then $\eta(x) = x^{n_0}$, $x \in \bar{X}_A$, is an automorphism of \bar{X}_A such that $\eta \bar{\sigma} X(H) \subset X(H)$, and the induced factor $\eta \bar{\sigma}$ on \bar{X}_A/X_n is ergodic.

The details of the proof are found in Chapter 1 of [13].

This lemma is essentially utilized in the proof of Lemma 13.

To obtain $(\bar{X}_A/X_n, \bar{\sigma})$ has the Bernoulli properties whenever $n_0 > 1$, we construct a sequence $\{p_n\}$ of weak Bernoulli partitions for the dynamical system $(\bar{X}_A/X_n, \bar{\sigma})$ such that $p_n < p_{n+1}$ for $n \geq 1$ and $\bigvee_n p_n$ is the partition of \bar{X}_A/X_n into single points.

Let M be a positive integer and let p be a partition of the interval $[0, 2\pi)$ into subintervals of the same lengths $2\pi/M$. The elements of p will denote successively from the left by $p_j = [a_j, a_{j+1})$, $j = 1, \dots, M$. Let K be an arbitrarily fixed positive integer and set $N_K = n_0^{K-1} + K$ (n_0 is the integer satisfying the (1)) For $k > 0$ $K_k(t)$ will denote the Fejér kernel defined on $[0, 2\pi)$.

Lemma 3. Let M be a fixed positive integer. Then there exists a positive integer $\ell = \ell(M)$ such that for each $m \geq 2$ there is a positive number $\delta_m = \delta(m, M)$ satisfying the following :

$$(1 + m^{-2}) \left(1 - \frac{8}{(m^2 - 1) \delta_m^2} \right) \geq 1,$$

$$3^{M+1} M^2 \delta_m < 1/m^2.$$

The proof is elementary.

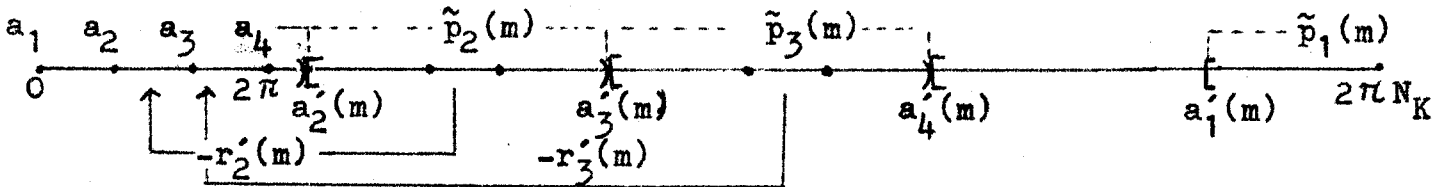
Lemma 4. Let M and δ_m be as in Lemma 3. Then

$$2\pi + 2M(N_K - 1)\delta_m < 2\pi N_K \quad (2 \leq m \leq K).$$

The proof is clear from Lemma 3.

From Lemma 4 we can manipulate as follows. For an arbitrary m such that $2 \leq m \leq K$, set $p_j(m) = [b_j, c_j), \text{ mod } 2\pi N_K$, where $b_j = a_j - (N_K - 1)\delta_m$, $c_j = a_{j+1} + (N_K - 1)\delta_m$ ($1 \leq j \leq M$). We translate each $p_j(m)$ by $r'_j(m)$ ($r'_1(m) = 0$) to the right so that $c_j + r'_j(m) = b_{j+1} + r'_{j+1}(m)$ and denote the translated $p_j(m)$ by $\tilde{p}_j(m)$. Then $\tilde{p}_1(m), \dots, \tilde{p}_M(m)$ are disjoint and each $\tilde{p}_{j+1}(m)$ borders on $\tilde{p}_j(m)$ from the right and hence we may set $\tilde{p}_j(m) = [a'_j(m), a'_{j+1}(m))$ for $j = 1, 2, \dots, M$.

In the case $M = 3$ we have for instance following figure.



Noting $N_K > 2$, we have clearly

$$(2) \quad 2\delta_m < r'_j(m) < 2(j-1)(N_K - 1)\delta_m + 2\pi j/M \quad (2 \leq m \leq K, \quad 2 \leq j \leq M).$$

Lemma 5. Let M and δ_m be as in Lemma 3. Then there exists a positive integer $K_0 = K_0(M)$ such that for $K > K_0$

$$2\pi + 2M(N_K - 1)\delta_m + 3^{M+1}Mr'_M(m) < 2\pi N_K \quad (2 \leq m \leq K).$$

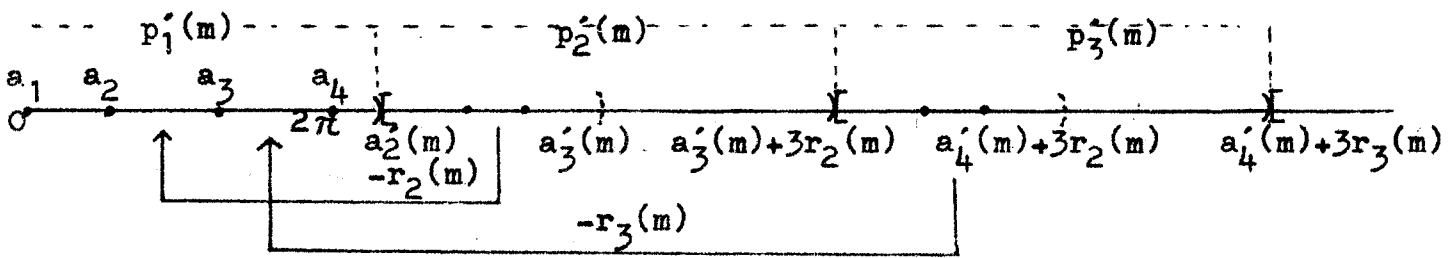
The proof is elementary.

We set for m such that $2 \leq m \leq K$ for $K > K_0$

$$(3) \quad \begin{cases} r_1(m) & = & r'_1(m) & = & 0, \\ r_j(m) & = & r'_j(m) + 3r_{j-1}(m) & & (2 \leq j \leq M) \\ p_1(m) & = & \tilde{p}_1(m), \\ p'_j(m) & = & [a'_j(m) + 3r_{j-1}(m), a'_{j+1}(m) + 3r_j(m)) & (2 \leq j \leq M) \end{cases}$$

Then $p'_1(m), \dots, p'_M(m)$ are disjoint and each $p'_{j+1}(m)$ borders on $p'_j(m)$ from the right.

In the case $M = 3$ we have for instance the following figure.



We have for m with $2 \leq m \leq K$ for $K > K_0$

$$3(r_2(m) + \dots + r_M(m)) < 3^{M+1} M r_M'(m).$$

Hence by Lemma 5 we have for $K > K_0$

$$\bigcup_{j=1}^M p_j'(m) \subset [0, 2\pi N_K) \quad (2 \leq m \leq K).$$

Lemma 6. Let M and δ_m be as in Lemma 3. Then there exists a positive integer $K_1 = K_1(M) > K_0$ such that for $K > K_1$

$$\delta_m + r_j(m)/N_K < 2\pi \quad (2 \leq m \leq K, \quad 1 \leq j \leq M).$$

The proof uses (2), (3) and Lemma 3.

Lemma 7. Let δ_m be as in Lemma 3. Then for m satisfying $m > \max(2, \sqrt{M/\pi})$ and $p_j = [a_j, a_{j+1}) \in \mathcal{P}$, $j = 1, 2, \dots, M$,

$$[a_j + \delta_m, a_{j+1} - \delta_m) \neq \emptyset.$$

The proof is elementary.

Lemma 8. We consider the characteristic function $\chi_{p_j'(m)}$ of $p_j'(m)$ as a $2\pi N_K$ -cyclic function on \mathbb{R}^1 . Then for $K > \max(2, K_1, \sqrt{M/\pi})$ and $N_K t \in [a_j + \delta_m, a_{j+1} - \delta_m)$ for $t \in [0, 2\pi)$,

$$\chi_{p_j'(m)}(N_K t + r_j(m) - s) = 1 \quad (\max(2, \sqrt{M/\pi}) < m \leq K, \quad 1 \leq j \leq M)$$

if $0 < s < N_K \delta_m$ or $2\pi N_K - N_K \delta_m - 2r_j(m) < s < 2\pi N_K$.

The lemma follows from (2), (3) and Lemma 7.

Lemma 9. Let l and δ_m be as in Lemma 3 and let K_1 be as in Lemma 6. Then if $K > \max(2, K_1, \sqrt{M/\pi})$, for each m ($\max(2, \sqrt{M/\pi}) < m \leq K$) and each $p_j \in \mathcal{P}$ there exists a non-negative function $\tilde{f}_{mp_j}(t)$ on $[0, 2\pi)$ satisfying the following :

$$\tilde{f}_{mp_j}(t) \geq 1 \quad t \in [a_j + \delta_m, a_{j+1} - \delta_m),$$

for some constants c_0, c_k, c_k' ($k = 1, 2, \dots, m^l$)

$$\tilde{f}_{mp_j}(t) = c_0 + \sum_{k=1}^{m^l} c_k \tilde{e}^{i(k/N_K, t)} + \sum_{k=1}^{m^l} c_k' \tilde{e}^{-i(k/N_K, t)},$$

where $\tilde{e}^{i(k/N_K, t)} = e^{ik(t/N_K)}$ and $\tilde{e}^{-i(k/N_K, t)} = e^{-ik(t/N_K)}$ for k ,

$$\sum_{j=1}^M \tilde{f}_{mp_j}(t) \leq 1 + m^{-2} \quad t \in [0, 2\pi).$$

The proof uses the results of Lemmas 3 ~ 8 .

We denote by $e^{i(m,t)}$ an exponential function e^{mti} for m .

Lemma 10. Let ℓ and δ_m be as in Lemma 3. For each $p_j \in \mathcal{P}$ and $K > \max(2, \sqrt{M/\pi})$ we define for $t \in [0, 2\pi)$

$$f_{mp_j}(t) = (1 + m^{-2}) \hat{f}_{mp_j}(t) \quad (\max(2, \sqrt{M/\pi}) < m \leq K)$$

where

$$\hat{f}_{mp_j}(t) = 1/\pi \int_0^{2\pi} \chi_{p_j}(t-s) K_{m^\ell}(s) ds .$$

Then $f_{mp_j}(t)$ is a non-negative function on $[0, 2\pi)$ and we have the following :

$$f_{mp_j}(t) \geq 1 \quad t \in [a_j + \delta_m, a_{j+1} - \delta_m) ,$$

for some constants d_0, d_k, d'_k ($k = 1, 2, \dots, m$)

$$f_{mp_j}(t) = d_0 + \sum_{k=1}^{m^\ell} d_k e^{i(k,t)} + \sum_{k=1}^{m^\ell} d'_k e^{-i(k,t)} ,$$

$$\sum_{j=1}^M f_{mp_j}(t) \leq 1 + m^{-2} \quad t \in [0, 2\pi) .$$

The proof is direct from Katznelson [4].

We can generalize easily Lemmas 9 and 10 on a finite-dimensional torus

We assume that $\bar{X}_A/X(H)$ is r -dimensional. $\bar{X}_A/X(H)$ is algebraically isomorphic to $T^r = [0, 2\pi)^r$ whose character group is the discrete group

$$H_r = \{ e^{i(m, \cdot)} : m \in Z^r \}^1)$$

which is algebraically isomorphic to H . \bar{H}_r denotes a multiplicative group $\{ e^{i(q, \cdot)} : q \in Q^r \}^2)$ which is a minimal divisible extension of H_r . Now let Y^r denote the dual group of \bar{H}_r , and we denote by $(e^{i(q, \cdot)})(y)$, $y \in Y^r$ each character $e^{i(q, \cdot)}$ of Y^r . We note that for $m \in Z^r$

$$(e^{i(m, \cdot)})(Py) = e^{i(m, Py)}$$

where P is the projection from Y^r onto T^r .

From the definitions of G_n and H , we have $\bar{G}_n = \bar{H}$. Thus as H_r and H are algebraically isomorphic, we have the diagram

-
- 1) Z^r is the set of all r -dimensional integer vectors.
 - 2) Q^r is the set of all r -dimensional rational vectors.

$$\begin{array}{ccc} \bar{X}_A / \bar{X}_n^{(3)} & \cong & Y^r \\ & \searrow & \swarrow P \\ & T^r & \end{array}$$

Let τ and ξ be automorphisms of Y^r isomorphic to $\bar{\tau}$ and η of \bar{X}_A / \bar{X}_n respectively. Then $\tau\xi$ induces the endomorphism of T^r (written by the same symbol $\tau\xi$) because $\eta\bar{\tau}$ induces the endomorphism of $\bar{X}_A / X(H)$ and $\tau\xi$ is given by an $r \times r$ matrix with integer entries.

U_P denotes the linear operator from $\mathcal{C}(T^r)$ into $\mathcal{C}(Y^r)$ defined by $(U_P g)(y) = g(Py)$ for $g \in \mathcal{C}(T^r)$. The adjoint operator $\tau\xi$ on Z^r of the endomorphism $\tau\xi$ on T^r is defined by

$$e^{i(m, \tau\xi Py)} = e^{i(\tau\xi m, Py)}, \quad m \in Z^r.$$

We have for $\lambda \in Z^r$

$$(4) \quad U_P^{-1} (U_P e^{i(\lambda/N_K, \cdot)})(y) = (U_P e^{i(\tau\lambda/N_K, \cdot)})(y), \quad y \in Y^r.$$

Now the eigenvalue of ξ is n_0 with multiplicity r . Let the eigenvalues of τ be $\lambda_1, \dots, \lambda_k$ ($k \leq r$), then the eigenvalues of $\tau\xi$ are $n_0\lambda_1, \dots, n_0\lambda_k$.

We may consider the matrix τ as operating on R^r and so we decompose

$$R^r = V_{-k} \oplus \dots \oplus V_0 \oplus \dots \oplus V_q$$

such that each V_j is the τ -invariant subspace of R^r corresponding to the eigenvalues of τ of modulus ρ_j where $\rho_{-k} < \dots < 1 = \rho_0 < \dots < \rho_q$. Let $\rho_j = n_0 \rho'_j$ and let $V_0 = V_{-k} \oplus \dots \oplus V_{-k'}$ ($k' \geq 0$) be the direct sum of V_j 's corresponding to ρ'_j such that $\rho'_j \leq 1$.

Then as V_j is $\tau\xi$ -invariant and $\tau\xi$ is ergodic on T^r , we have

$$\tilde{V}_0 \cap Z^r = \{0\}.$$

Let M be an arbitrarily fixed positive integer. Now let ρ be a partition of $T^r (= [0, 2\pi)^r)$ such that $\rho = \bigotimes_{k=1}^r \rho^{(k)}$, each $\rho^{(k)}$ being a partition of $[0, 2\pi)$ into subintervals of the same lengths $2\pi/M$.

For arbitrarily fixed $K > 0$ and $N > 0$ we set

$$\alpha(K) = \bigvee_{m=1}^{K^2} \tau^{-mp^{-1}}(\rho), \quad \beta(K, N) = \bigvee_{m=K^2+K}^{K^2+K+N} \tau^{-mp^{-1}}(\rho).$$

Lemma 11. For a sufficiently large $l = l(\rho)$ there exists

3) \bar{X}_n is the annihilator of \bar{G}_n in \bar{X}_A .

a measurable set E_m with measure $< 1/m^2$ for each $m > \max(2, \sqrt{M/\pi})$ such that for each $p \in \beta$ there are non-negative functions \tilde{f}_{mp}, f_{mp} on T^r satisfying:

(a) there is a positive integer $K_1 = K_1(\beta)$ such that if $K > K_1$ and $K \gg m$, then

$$\tilde{f}_{mp}(t) \geq 1 \text{ on } p - E_m,$$

$$\tilde{f}_{mp}(t) = C_0 + \sum_{\substack{1 \leq k_j \leq m^2 \\ k: 1 \leq j \leq r}} [C_k e^{i(k/N_K, t)} + C'_k e^{-i(k/N_K, t)}], t \in T^r,$$

where $k = (k_1, \dots, k_r)$ are vectors of positive integers, C_0, C_k, C'_k are some constants and $e^{\pm i(k/N_K, t)} = e^{\pm ik(t/N_K)}$,

$$\sum_{p \in \beta} \tilde{f}_{mp}(t) \leq 1 + m^{-2} \quad t \in T^r,$$

(b) $f_{mp}(t) \geq 1$ on $p - E_m$,

$$f_{mp}(t) = D_0 + \sum_{\substack{1 \leq k_j \leq m^2 \\ k: 1 \leq j \leq r}} [D_k e^{i(k, t)} + D'_k e^{-i(k, t)}], t \in T^r,$$

where k are as in (a) and D_0, D_k, D'_k are constants,

$$\sum_{p \in \beta} f_{mp}(t) \leq 1 + m^{-2} \quad t \in T^r.$$

This lemma is a generalization of Lemmas 9 and 10.

Define the following functions ϕ_A and ϕ_B on Y^r for $A \in \mathcal{A}(K)$ and $B \in \beta(K, N)$ where $K > K_1$,

$$\phi_A = \prod_{m=1}^{K^2} U_7^{-m} U_P \tilde{f}_{Kp_m}(A), \quad \phi_B = \prod_{m=K^2+K}^{K^2+K+N} U_7^{-m} U_P f_{mp_m}(B).$$

We denote by μ the normalized Haar measure on Y^r . Then we have the following

Lemma 12. Let $\varepsilon > 0$. Then there exists a positive integer $K_2 = K_2(\beta, \varepsilon) > \max(2, K_1, \sqrt{M/\pi})$ and a measurable set E in Y^r such that $\mu(E) < \varepsilon^2$ and for every $K > K_2$ and arbitrary $N > 0$

$$\phi_A \geq 1 \text{ on } A - E, \quad \sum_{A \in \mathcal{A}(K)} \int \phi_A d\mu \leq 1 + \varepsilon^2$$

and

$$\phi_B \geq 1 \quad \text{on } B - E, \quad \sum_{B \in \mathcal{B}(K,N)} \left(\phi_B d\mu \leq 1 + \varepsilon^2 \right).$$

The lemma follows from Lemma 11.

Let ℓ be as in Lemma 11. For arbitrary fixed $K > K_3$ and $N > 0$ we denote by \tilde{Z}^r and \tilde{Q}^r sets of all r -dimensional vectors consisting of $\{1, 2, \dots, (K^2 + K + N)^\ell\}$ and $\{1/N_K, 2/N_K, \dots, K^\ell/N_K\}$ respectively.

Now we define an automorphism κ of Y^r by

$$\kappa y = n_0^{K^2 + K + N} N_K y, \quad y \in Y^r.$$

Since for $\lambda \in Z^r$ (4) holds, we have that

$$\begin{aligned} & \left\{ (U_P e^{i(\sum_{m=1}^{K^2} \tau^m \lambda_m, \cdot)}) (\kappa y) : \lambda_m \in \tilde{Q}^r \cup [-\tilde{Q}^r] \right\} \\ \cup & \left\{ (U_P e^{i(\sum_{m=K^2+K}^{K^2+K+N} \tau^m \lambda_m, \cdot)}) (\kappa y) : \lambda_m \in \tilde{Z}^r \cup [-\tilde{Z}^r] \right\} \end{aligned}$$

is a set of characters of Y^r . Further we can prove that the frequency which is common to ϕ_A and ϕ_B is zero for sufficiently large K . From those facts we have

Lemma 13. There exists a positive integer $K_3 > K_1$ such that for $K > K_3$ and $N > 0$

$$\int \phi_A \phi_B d\mu = \int \phi_A d\mu \int \phi_B d\mu.$$

Using results of Katznelson [4] and Lemmas 12 and 13, we have

Lemma 14. For $\varepsilon > 0$ there exists $\tilde{K} > \max(K_3, K_2)$ such that $\mathcal{U}(K)$ and $\mathcal{B}(K, N)$ are 11ε -independent for $K > \tilde{K}$ and $N > 0$.

Consequently $P^{-1}(\rho)$ is an weak Bernoulli partition on Y^r for τ . Let ρ' be the partition of $\bar{X}_A/X(H)$ corresponding to the partition ρ of T^r and P' be the projection of \bar{X}_A onto $\bar{X}_A/X(H)$, then $P'^{-1}(\rho')$ is an weak Bernoulli partition on \bar{X}_A for $\bar{\sigma}$. Because we have $\bigcap_{j \in \mathbb{Z}} \bar{\sigma}^j X(H) = X_n$, $\bigvee_{\rho} \bigvee_{j \in \mathbb{Z}} \bar{\sigma}^j P'^{-1}(\rho')$ is the partition of \bar{X}_A into cosets of X_n . By Ornstein's theorem $(\bar{X}_A/X_n, \bar{\sigma})$ has the Bernoulli partitions.

Therefore, for $n \geq 1$ we have showed that $(\bar{X}_A/X_n, \bar{\sigma})$ has the Bernoulli properties. Since we have

$$X_1 \supset X_2 \supset \dots \supset \bigcap_{n=1}^{\infty} X_n = \{e\},$$

Ornstein's theorem implies that σ on \bar{X}_A is Bernoullian. (X_A, σ) has the Bernoulli properties.

We can conclude that (X, σ) has the Bernoulli properties.

Using Theorem 1, I can prove the result for the case of non-abelian. Today I do not discuss it here, but the proof of it is found in [13].

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