

# Beyond greedy and lazy beta-shifts

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Joint work with **Bing Li** and **Tony Samuel**



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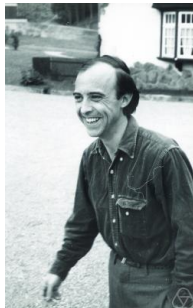
## My co-authors



- **A. Rényi:** *Representations for real numbers and their ergodic properties*, Acta Math. Acad. Sci. Hung. 8 (1957), 477–493;
- **W. Parry:** *On the  $\beta$ -expansions of real numbers*, Acta Math. Acad. Sci. Hung. 11 (1960), 401–416.



Alfréd Rényi  
20.3.1921 – 1.2.1970



William (Bill) Parry  
3.7.1934 – 30.8.2006

## Base-2 expansions

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If  $1 < \beta < 2$ , then Lebesgue a.e.  $x \in [0, \frac{1}{\beta-1}]$  has continuum  $\beta$ -expansions.

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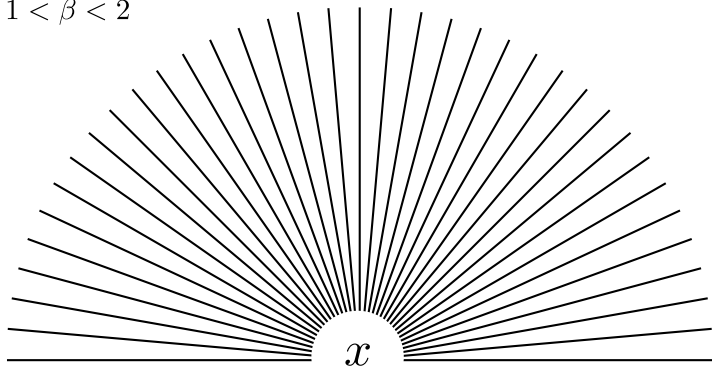
$$\beta = 2$$

$$\begin{array}{ccc} w'_1 w'_2 w'_3 \dots & x & w_1 w_2 w_3 \dots \\ \text{-----} & & \text{-----} \end{array}$$

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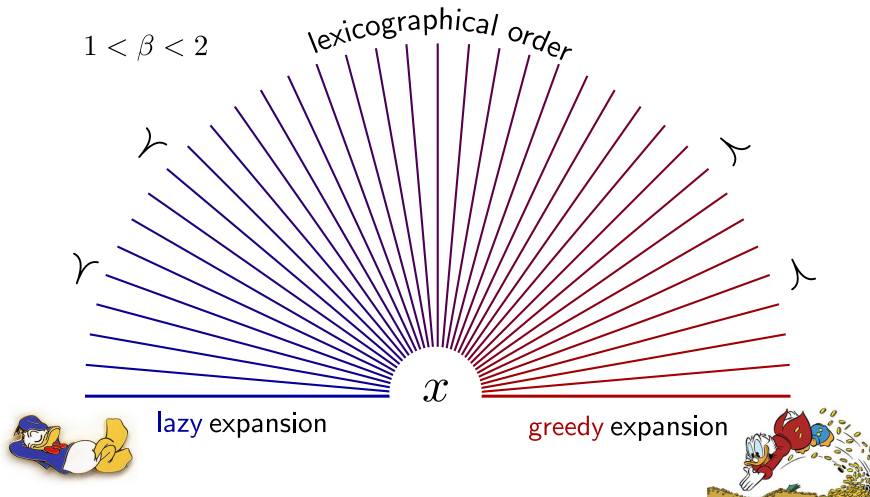
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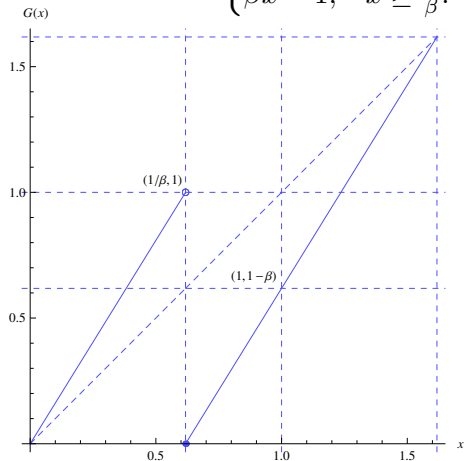


Generating greedy digits?

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- **Greedy**  $\beta$ -transformation  $G : [0, \frac{1}{\beta-1}] \rightarrow [0, \frac{1}{\beta-1}]$ ,

$$G(x) = \begin{cases} \beta x, & x < \frac{1}{\beta}; \\ \beta x - 1, & x \geq \frac{1}{\beta}. \end{cases}$$



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Then for

$$w_i(x) := \lfloor \beta G^{i-1}(x) \rfloor \in \{0, 1\}$$

the sequence  $w_1(x)w_2(x) \dots \in \{0, 1\}^{\mathbb{N}}$  is the greedy expansion of  $x \dots$

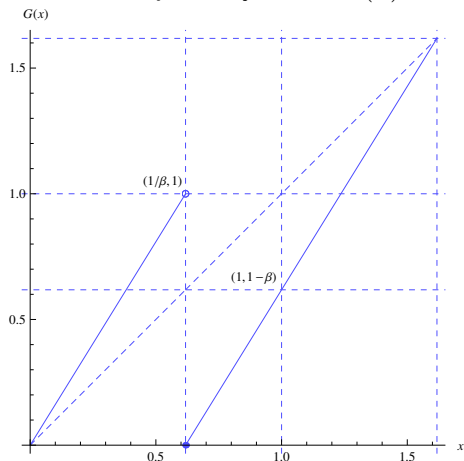
...thus we obtain the greedy expansion of  $x$  from the **orbit**  $\{G^i(x)\}_{i \in \mathbb{N}}$  under the greedy  $\beta$ -transformation!



Trapping region

## Trapping region

Region  $[0, 1]$  attracts and **traps** every orbit  $G^i(x)$  for  $x < \frac{1}{\beta-1} \dots$



... so the greedy expansions of points in  $[0, \frac{1}{\beta-1})$  can be determined from the points in  $[0, 1]$ .

Generating **other** digits?

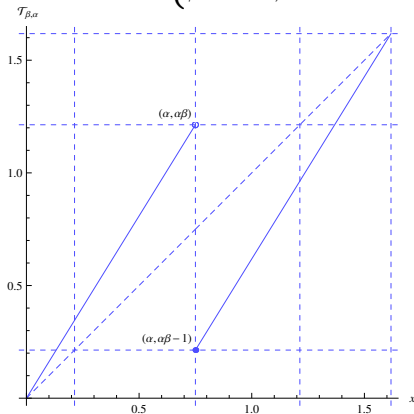
## Generating **other** digits?

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- Fix  $\alpha \in [\frac{1}{\beta}, \frac{1}{\beta(\beta-1)}]$ . Let  $\mathcal{T}_{\beta,\alpha} : [0, \frac{1}{\beta-1}] \rightarrow [0, \frac{1}{\beta-1}]$  be the map

$$\mathcal{T}_{\beta,\alpha}(x) = \begin{cases} \beta x, & x < \alpha; \\ \beta x - 1, & x \geq \alpha. \end{cases}$$



- The trapping region for orbits  $\{\mathcal{T}_{\beta,\alpha}^i(x)\}_{i \in \mathbb{N}}$  is  $[\alpha\beta - 1, \alpha\beta]$
- Then  $\mathcal{T}_{\beta, \frac{1}{\beta}} = G$  and  $\mathcal{T}_{\beta, \frac{1}{\beta(\beta-1)}} = L$ , the **lazy**  $\beta$ -transformation.

Scale  $\mathcal{T}_{\beta,\alpha}$  from  $[0, \frac{1}{\beta-1}]$  to  $[0, 1]$

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- Scale everything by  $\beta - 1$ , let  $p := \alpha(\beta - 1) \in [1 - \frac{1}{\beta}, \frac{1}{\beta}]$ .

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define  $T_{\beta,p}^{\pm} : [0, 1] \circlearrowleft$  by

$$T_{\beta,p}^{+}(x) = \begin{cases} \beta x, & x < p; \\ \beta x + 1 - \beta, & x \geq p. \end{cases}$$

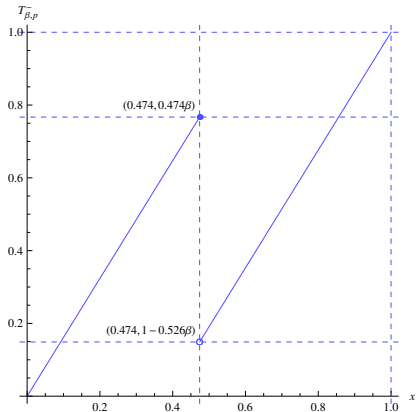
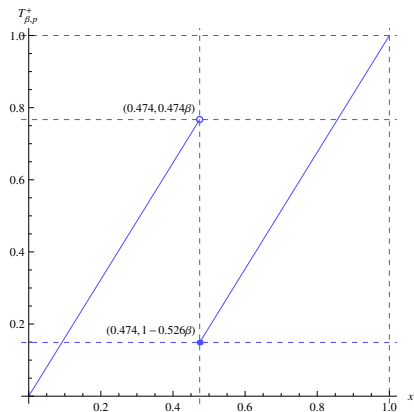
and

$$T_{\beta,p}^{-}(x) = \begin{cases} \beta x, & x \leq p; \\ \beta x + 1 - \beta, & x > p. \end{cases}$$

Scale  $\mathcal{T}_{\beta,\alpha}$  from  $[0, \frac{1}{\beta-1}]$  to  $[0, 1]$

$$T_{\beta,p}^+(x) = \begin{cases} \beta x, & x < p \\ \beta x + 1 - \beta, & x \geq p \end{cases}$$

$$T_{\beta,p}^-(x) = \begin{cases} \beta x, & x \leq p \\ \beta x + 1 - \beta, & x > p \end{cases}$$





$(\beta, p)$ -shifts

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$$[\tau_{\beta, p}^{\pm}(x)]_i := \begin{cases} 0 & \text{if } (T_{\beta, p}^+)^{i-1}(x) \leq p \text{ or resp. } (T_{\beta, p}^-)^{i-1}(x) < p, \\ 1 & \text{otherwise.} \end{cases}$$

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and the  $(\beta, p)$ -shift is  $\sigma_{\beta,p} = \sigma|_{\Omega_{\beta,p}}$ .

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## Theorem (Hubbard, Sparrow 1990)

$$\Omega_{\beta, p}^+ = \left\{ w \in \{0, 1\}^{\mathbb{N}} : \sigma^n(w) \prec \tau_{\beta, p}^-(p) \text{ or } \sigma^n(w) \succeq \tau_{\beta, p}^+(p), \text{ for all } n \in \mathbb{N} \right\}$$

$$\Omega_{\beta, p}^- = \left\{ w \in \{0, 1\}^{\mathbb{N}} : \sigma^n(w) \preceq \tau_{\beta, p}^-(p) \text{ or } \sigma^n(w) \succ \tau_{\beta, p}^+(p), \text{ for all } n \in \mathbb{N} \right\}$$

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The **greedy**  $\beta$ -shift  $(\Omega_{\beta, \frac{1}{\beta}}, \sigma_{\beta, \frac{1}{\beta}})$  is a SFT if and only if the orbit  $\{G^i(1)\}_{i \in \mathbb{N}}$  is periodic

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### Theorem

The  $(\beta, p)$ -shift  $(\Omega_{\beta, p}, \sigma_{\beta, p})$  is a SFT if and only if both the orbits  $\{(T_{\beta, p}^-)^i(p)\}_{i \in \mathbb{N}}$  and  $\{(T_{\beta, p}^+)^i(p)\}_{i \in \mathbb{N}}$  are periodic

- For  $\beta > 2$  an analogous result was proven by Wilkinson (1975)

## Idea of the proof I

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- For  $w \in \Omega_{\beta,p}^{\pm}$ , define branching numbers:

$$N_0(w) := \left| \left\{ k > 2 : w_1 w_2 \dots w_{k-1} 1 \in \Omega_{\beta,p}^-|_k \text{ and } w_k = 0 \right\} \right|$$

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### Lemma

- If  $\{(T_{\beta,p}^-)^i(p)\}_{i \in \mathbb{N}}$  is not periodic, then  $N_0(\sigma(\tau_{\beta,p}^-(p))) = +\infty$
- If  $\{(T_{\beta,p}^+)^i(p)\}_{i \in \mathbb{N}}$  is not periodic, then  $N_1(\sigma(\tau_{\beta,p}^+(p))) = +\infty$

## Idea of the proof II

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- ...but

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- Thus  $(\Omega_{\beta,p}, \sigma_{\beta,p})$  is not SFT.

For the direction  $\boxed{\implies}$  if the orbits  $\{(T_{\beta,p}^\pm)^i(p)\}_{i \in \mathbb{N}}$  are  $M^\pm$  periodic,  $M^\pm \in \mathbb{N}$ , then  $(\Omega_{\beta,p}, \sigma_{\beta,p})$  is SFT with step  $M := M^- M^+$ .

Where are SFTs?

## Where are SFTs?

- Define the **parameter space**

$$\Delta = \{(\beta, p) \in (1, 2) \times (0, 1) : p \in [1 - \frac{1}{\beta}, \frac{1}{\beta}]\}$$

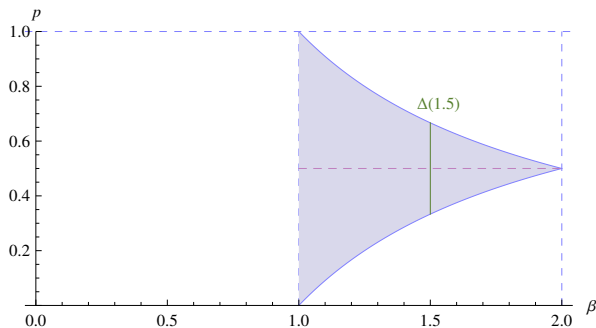
## Where are SFTs?

- Define the **parameter space**

$$\Delta = \{(\beta, p) \in (1, 2) \times (0, 1) : p \in [1 - \frac{1}{\beta}, \frac{1}{\beta}]\}$$

and vertical **fibres**

$$\Delta(\beta) = \{\beta\} \times [1 - \frac{1}{\beta}, \frac{1}{\beta}]$$



## Where are SFTs?

Theorem (Parry 1960)

The collection  $\{\beta \in (1, 2) : \text{greedy } \beta\text{-shift is SFT}\}$  is dense in  $(1, 2)$



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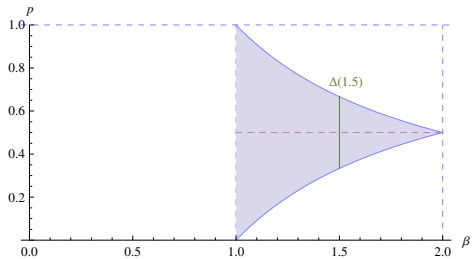
## Theorem (Palmer 1979)

The set  $\{(\beta, p) \in \Delta : (\beta, p)\text{-shift is transitive}\}$  is **not** dense in  $\Delta$

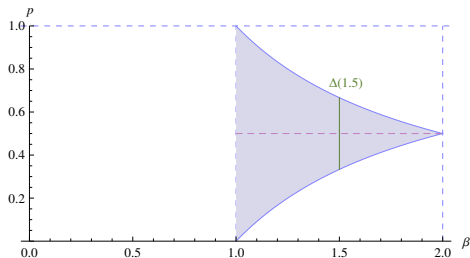
- Is there a  $(\beta, p)$ -shift which is SFT but **not** transitive?

Where are SFTs: **vertical** fibres

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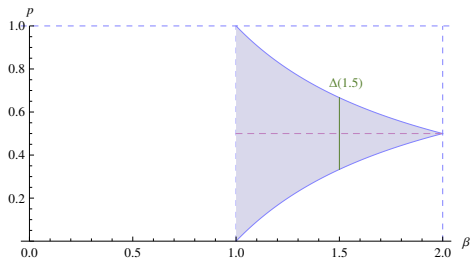
### Theorem

If  $\beta$  is transcendental, then

$$\Delta(\beta) \cap \Delta_{\text{SFT}} = \emptyset.$$

Actually, it's enough that  $\beta$  is not algebraic with coefficients in  $\{-1, 0, 1\}$ .

## Where are SFTs: **vertical** fibres



### Theorem

If  $\beta$  is transcendental, then

$$\Delta(\beta) \cap \Delta_{\text{SFT}} = \emptyset.$$

Actually, it's enough that  $\beta$  is not algebraic with coefficients in  $\{-1, 0, 1\}$ .

### Conjecture

If the greedy  $\beta$ -shift is not SFT, then  $\Delta(\beta) \cap \Delta_{\text{SFT}} = \emptyset$ .

Where are SFTs: **vertical** fibres

Heuristics?

If  $\beta$  is the Golden mean, then  $\Delta(\beta) \cap \Delta_{\text{SFT}}$  is dense on the fibre  $\Delta(\beta)$ .



## Where are SFTs: **vertical** fibres

### Heuristics?

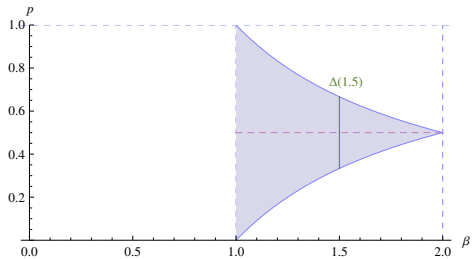
If  $\beta$  is the Golden mean, then  $\Delta(\beta) \cap \Delta_{\text{SFT}}$  is dense on the fibre  $\Delta(\beta)$ .

### Conjecture

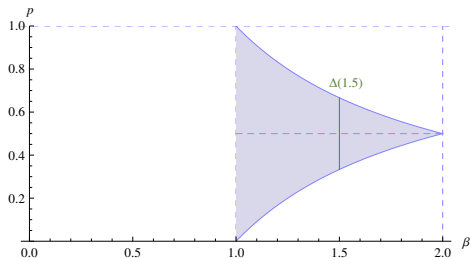
If the greedy  $\beta$ -shift is SFT, then  $\Delta(\beta) \cap \Delta_{\text{SFT}}$  is dense on the fibre  $\Delta(\beta)$ .

Where are SFTs: **horizontal** fibres

# Where are SFTs: **horizontal** fibres



## Where are SFTs: **horizontal** fibres

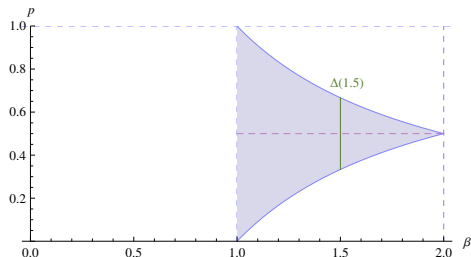


### Theorem

If  $p = 1/2$  and  $\beta$  is multinacci, i.e.  $\beta^{-M} + \dots + \beta^{-1} = 1$ , then both the orbits  $\{(T_{\beta,p}^{\pm})^i(p)\}_{i \in \mathbb{N}}$  are  $M + 1$  periodic.

In particular,  $(\beta, p)$ -shift is an SFT.

## Where are SFTs: **horizontal** fibres



### Theorem

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### Conjecture

If  $p = 1/2$  and the greedy  $\beta$ -shift is SFT, then  $(\beta, p)$ -shift is an SFT.

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