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► **To cite this version:**

Clemens Müllner, Reem Yassawi. Automorphisms of automatic shifts. *Ergodic Theory and Dynamical Systems*, 2021, 41 (5), pp.1530-1559. 10.1017/etds.2020.13 . hal-02093714

HAL Id: hal-02093714

<https://hal.science/hal-02093714>

Submitted on 9 Apr 2019

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AUTOMORPHISMS OF AUTOMATIC SHIFTS

CLEMENS MÜLLNER AND REEM YASSAWI

ABSTRACT. In this article we continue the study of automorphism groups of constant length substitution shifts and also their topological factors. We show that up to conjugacy, all roots of the identity map are letter exchanging maps, and all other nontrivial automorphisms arise from *twisted* compressions of another constant length substitution. We characterise the group of roots of the identity. Finally, we show that any topological factor of a constant length substitution shift is topologically conjugate to a constant length substitution shift.

1. INTRODUCTION

In this article we continue the study of the automorphism groups of constant length substitution shifts and complete some of our work in [5]. In particular, there we gave an algorithm for the computation of an automorphism group $\text{Aut}(X_\theta, \sigma)$ of a constant length substitutional shift. Here, we ask what are the possible elements of this group, and also, what kinds of factors these shifts can have. In both cases, the answer is a form of rigidity.

Our strategy in [5] was to attach a rational number $\kappa(\Phi)$ to each automorphism Φ , which signifies by how much points are being shifted while being acted on by Φ (Theorem 6). In particular, a simple example of an automorphism whose κ -value equals zero is that coming from a permutation on letters which plays well with the substitution θ , by which we mean that it commutes with some power of the substitution. These automorphisms are natural and indicate that there is a symmetry in the substitution rule, up to a shuffling of letters. Now one can construct examples of substitutions with automorphisms whose κ -value

1991 *Mathematics Subject Classification*. Primary 37B10, 11B85, Secondary 37B05, 37B15.

Key words and phrases. substitution dynamical systems, automatic sequences, automorphisms.

The authors were supported by the European Research Council (ERC) under the European Union's Horizon 2020 research and innovation programme, Grant Agreement No 648132. The second author also thanks IRIF, Université Paris Diderot-Paris 7, for its hospitality and support.

is zero, but which are not of this nature. However we show, in Theorem 32, that up to conjugacy, only the natural case manifests.

What remains to consider are the automorphisms with a nonzero rational κ -value $\frac{1}{k}$. It is not difficult to create such situations. Namely, one starts with a substitution η , and one takes its k -compression. This is the process whereby we rewrite a sequence as a concatenation of words of length k , and where the shift map moves from one word to the next. Cobham [3] used this terminology, and he showed that constant length substitutions are robust under this operation: a k -compression of a length r substitution shift (X_η, σ) gives us another length r substitution shift (X_θ, σ) . By construction, $\text{Aut}(X_\theta, \sigma)$ will contain a shadow of the shift on X_η , and this manifests as a k -th root of the shift map on X_θ . Can automorphisms Φ with $\kappa(\Phi) = \frac{1}{k}$ arise in any other way? We discover, in Theorem 41, that up to conjugacy, the only other way that they can arise is if we *twist* after we compress η (Definition 40). At some level, our results say that the automorphisms of our substitution shift X_θ are only constrained by fixed points, either of θ , or of another substitution.

Can one hope that the letter exchanging maps of θ are related to those of η ? In our world, this is generally not the case; we see this in Examples 46 and 47. There is a fundamental obstruction discussed in Remark 48. Hence we fall short of a general structure theorem. We could formulate one, but it would not be succinct.

We also characterise, in Theorem 37, the letter exchanging maps that define automorphisms of X_θ , generalising results due to Lemanczyk and Mentzen in the bijective case [14]. In particular, they characterised the measurable essential centralizer of a bijective substitution as being the centraliser of the group generated by the columns of θ ; the topological statement is identical. To characterise the letter exchanging maps of an arbitrary constant length substitution, we work with *minimal sets*, a notion that was implicit in the algorithm of [5], but which was defined and used extensively by the first author in [18, Section 2].

These are our principal results, but on our trip to discovering them, we obtained some other results of interest along the way. The first, which follows from Lemma 3 and Theorem 21, tells us that any topological factor of a constant length substitution shift X_θ is, up to topological conjugacy, a constant length substitution shift. This answers a question of Durand and Leroy in [7, Section 8]. It also suggests that the question that Coven, Dekking and Keane ask in [4], namely to list all *constant-length* substitutions that are conjugate to a given constant length substitution system, is not constraining.

Finally, we investigate the relationship between $\text{Aut}(X_\theta, \sigma)$ and the existence of a uniform-to-one factor for X_θ . This has been studied by Herning [11] in the case where the factor is metrically a rotation. In Theorem 23, we show that $\text{Aut}(X_\theta, \sigma)$ contains a square root of the identity if and only if X_θ has a two-to-one factor. In Example 25, we show that there is no possibility of extending this result.

2. PRELIMINARIES

Let \mathcal{A} be a finite alphabet, with the discrete topology. We endow $\mathcal{A}^{\mathbb{Z}}$ with the product topology, and let $\sigma : \mathcal{A}^{\mathbb{Z}} \rightarrow \mathcal{A}^{\mathbb{Z}}$ denote the (left) shift map. We consider only infinite *minimal* shifts (X, σ) , i.e. those such that the σ -orbit of any point in X is dense in X . The *language* \mathcal{L}_X of a shift (X, σ) is the set of all finite words $w = w_1 \dots w_n$ that appear as a subword of some x in X , i.e. $w = x_j \dots x_{j+n-1}$ for some j .

2.0.1. *Automorphism groups.* A *factor map* from (X, σ) to (Y, σ) is a map $\Phi : X \rightarrow Y$ which is continuous and commutes with σ . If $X = Y$, Φ is called an endomorphism. If Φ is bijective, it is called a *conjugacy*, and if Φ is a self-conjugacy then it is called an *automorphism*. We say $\Phi : X \rightarrow X$ has (finite) *order* m if m is the least positive integer such that Φ^m is the identity map Id , and we say that Φ is a *k-th root of the shift* if $\Phi^k = \sigma$. Let $\text{Aut}(X, \sigma)$ denote the automorphism group of (X, σ) ; it contains the (normal) subgroup generated by the shift, denoted by $\langle \sigma \rangle$.

Let $X \subset \mathcal{A}^{\mathbb{Z}}$ and let $Y \subset \mathcal{B}^{\mathbb{Z}}$. By the Curtis–Hedlund–Lyndon theorem, for any factor map $\Phi : X \rightarrow Y$, there exist ℓ, r , and a map $f : \mathcal{A}^{\ell+r+1} \rightarrow \mathcal{B}$ with the property that $(\Phi(x))_n = f(x_{n-\ell}, \dots, x_n, \dots, x_{n+r})$ for all x and n . Let ℓ, r be the smallest possible integers so that such an f exists. We call ℓ and r the left and right radius of Φ respectively. We say Φ has radius R if its left radius and right radius are both at most R .

2.0.2. *Constant length substitutions.* A *substitution* is a map from \mathcal{A} to the set of nonempty finite words on \mathcal{A} . We use concatenation to extend θ to a map on finite and infinite words from \mathcal{A} . We say that θ is *primitive* if there is some $k \in \mathbb{N}$ such that for any $a, a' \in \mathcal{A}$, the word $\theta^k(a)$ contains at least one occurrence of a' . By iterating θ on any fixed letter in \mathcal{A} , we obtain one-sided right-infinite points $u = u_0 \dots$ such that $\theta^j(u) = u$ for some natural j . Similarly we can obtain one-sided left-infinite points $v = \dots v_{-1}$ such that $\theta^j(v) = v$. A bi-infinite periodic point for θ is a concatenation of a left-infinite periodic point $v = \dots v_{-1}$ and a right-infinite periodic point $u = u_0 \dots$ provided that

$v_{-1}u_0$ appears in some word $\theta^k(a)$. The pigeonhole principle implies that θ -periodic points always exist, and, for primitive substitutions, we define X_θ to be the shift orbit closure of any one of these bi-infinite θ -periodic points and call (X_θ, σ) a *substitution shift*. The substitution θ has (*constant*) *length* r if for each $a \in \mathcal{A}$, $\theta(a)$ is a word of length r .

Let θ be a primitive length r substitution such that X_θ is infinite. We say that θ is *recognizable* if any $x \in X_\theta$ can be written in a unique way as $x = \sigma^k(\theta(y))$ where $y \in X_\theta$ and $0 \leq k < r$. Our substitutions are recognizable, see [12] for a proof in the injective case, which is all we will need.

Let θ be a length r substitution. We write

$$\theta(a) = \theta_0(a) \dots \theta_{r-1}(a);$$

with this notation we see that for each $0 \leq i \leq r-1$, we have a map $\theta_i : \mathcal{A} \rightarrow \mathcal{A}$ where $\theta_i(a)$ is the $(i+1)$ -st letter of $\theta(a)$. Similarly, for any k we write $(\theta^k)_i$ to denote the map which sends $a \in \mathcal{A}$ to the $(i+1)$ -st letter of $\theta^k(a)$.

Let θ be a primitive length r substitution with fixed point u , and with (X_θ, σ) infinite. The *height* $h = h(\theta)$ of θ is defined as

$$h(\theta) := \max\{n \geq 1 : \gcd(n, r) = 1, n \mid \gcd\{a : u_a = u_0\}\}.$$

If $h > 1$, this means that \mathcal{A} decomposes into h disjoint subsets: $\mathcal{A}_1 \cup \dots \cup \mathcal{A}_h$, where a symbol from \mathcal{A}_i is always followed by a symbol from \mathcal{A}_{i+1} .

If θ has a nontrivial height $h \geq 2$, then the shift (X_θ, σ) is topologically conjugate to a constant height suspension of a height one substitution shift $(X_{\theta'}, \sigma')$, where θ' is called the *pure base* of θ . In this case $(X_\theta, \sigma) \cong (X_{\theta'} \times \{0, \dots, h-1\}, T)$ where

$$T(x, i) := \begin{cases} (x, i+1) & \text{if } 0 \leq i < h-1 \\ (\sigma'(x), 0) & \text{if } i = h-1 \end{cases}$$

We refer the reader to [6, Remark 9, Lemmas 17 and 19] for details.

For every $\Psi \in \text{Aut}(X_{\theta'}, \sigma')$ and $0 \leq i \leq h-1$ we can define $\Psi_i \in \text{Aut}(X_{\theta'} \times \{0, \dots, h-1\}, T)$ as

$$\Psi_i(x, j) := \begin{cases} (\Psi(x), j+i) & \text{if } j+i < h \\ (\Psi(\sigma'(x)), j+i \bmod h) & \text{if } j+i \geq h. \end{cases}$$

The following is proved in [5, Proposition 3.5].

Proposition 1. *Let θ be a primitive, length r substitution, of height h , and such that (X_θ, σ) is infinite. Let θ' be a pure base of θ . Then $\text{Aut}(X_\theta, \sigma) = \{\Psi_j : \Psi \in \text{Aut}(X_{\theta'}, \sigma') \text{ and } 0 \leq j < h\}$.*

Proposition 1 tells us that we need only study automorphism groups of shifts (X_θ, σ) where θ has height one, and henceforth this will almost always be a standing assumption.

2.0.3. *The maximal equicontinuous factor of a constant length substitution shift.* The maximal equicontinuous factor of a dynamical system (X, σ) encodes its continuous eigenvalues. For a precise definition, see [5]. The following is shown by Dekking [6], with partial results by Kamae [13] and Martin [16].

Theorem 2. *Let θ be a primitive, length r substitution, of height h , and such that (X_θ, σ) is infinite. Then the maximal equicontinuous factor of (X_θ, σ) is $(\mathbb{Z}_r \times \mathbb{Z}/h\mathbb{Z}, +(1, 1))$.*

2.0.4. *Automatic shifts and sliding block code representations.* Let $\theta : \mathcal{A} \rightarrow \mathcal{A}^r$ be a primitive constant length substitution. If $\tau : \mathcal{A} \rightarrow \mathcal{B}$ and $Y := \tau(X_\theta)$, then Y is closed and σ -invariant, and we call (Y, σ) an r -automatic shift, specifying that it is generated by (θ, τ) when necessary. We use this terminology since for u one-sided and θ -fixed, $\tau(u)$ is known as an r -automatic sequence. Note that (Y, σ) is a factor of (X_θ, σ) via a radius zero factor map.

It can happen that X_θ is infinite, but $\tau(X_\theta)$ is finite. We are not interested in this case and will always require that the automatic shifts we consider are infinite. If (X_θ, σ) is minimal and $Y = \tau(X_\theta)$, then (Y, σ) is minimal.

Given a constant length substitution $\theta : \mathcal{A} \rightarrow \mathcal{A}^r$, $\ell \in \mathbb{N}$ and $0 \leq k < r$, we define $\theta^{(\ell, k)} : \mathcal{A}^\ell \rightarrow (\mathcal{A}^{(\ell)})^r$, the k -shifted ℓ -sliding block representation of θ , which appears in [19, Section 5.4]. Namely if $(\alpha_1 \dots \alpha_\ell) \in \mathcal{A}^\ell$, and $\theta(\alpha_1 \dots \alpha_\ell) = a_1 \dots a_{\ell r}$, let

$$\theta^{(\ell)}(\alpha_1 \dots \alpha_\ell) := (a_{k+1} \dots a_{k+\ell})(a_{k+2} \dots a_{k+\ell+1}) \dots (a_{k+r} \dots a_{k+r+\ell-1}).$$

If $k = 0$ we will write $\theta^{(\ell)}$ for $\theta^{(\ell, 0)}$. It is straightforward to show that for each $\ell \geq 1$ and each $0 \leq k < r$, $(X_{\theta^{(\ell, k)}})$ is topologically conjugate to (X_θ) . The ℓ -sliding block representation is particularly useful as it allows us to change the radius of a factor map.

Lemma 3. *Let $\Phi : X_\theta \rightarrow Y$ be a shift-commuting continuous map with left radius ℓ and right radius r . Then there is a shift commuting map $\Phi^{(\ell+r+1)} : X_{\theta^{(\ell+r+1)}} \rightarrow Y$, with left and right radius zero.*

2.1. **Maximal equicontinuous factors of automatic shifts.** Let (Y, σ) be an automatic shift generated by (θ, τ) . As (Y, σ) is a topological factor of (X_θ, σ) , its maximal equicontinuous factor must be a factor of that of (X_θ, σ) , which is $(\mathbb{Z}_r \times \mathbb{Z}/h\mathbb{Z}, +(1, 1))$. In principle,

$(\mathbb{Z}_r, +1)$ may have smaller non-finite factors, in particular when r is not prime. In the next lemmas we show that as long as (Y, σ) is not finite it always has $(\mathbb{Z}_r, +1)$ as an equicontinuous factor. We briefly describe the required set up, referring the reader to [6] and [10] for more detail. Recall that a partition $\{P_1, \dots, P_k\}$ of a shift (X, σ) is *cyclic* if $\sigma(P_i) = P_{i+1 \bmod k}$. A partition is σ^n -*minimal* if each of its elements are σ^n -minimal, i.e. each (P_i, σ^n) is a minimal shift. For each n , any minimal shift has a cyclic σ^n -minimal cyclic partition, which by minimality is unique up to cyclic permutation of its members. Let $\gamma(n)$ be the cardinality of the cyclic σ^n -minimal partition. In the case that we have a substitutional shift (X_θ, σ) , Dekking [6, Lemma II.7] shows that $\gamma(r^n) = r^n$, and that if $P_0 := \theta^n(X_\theta)$, then P_0 generates a σ^{r^n} -cyclic partition.

The proof of the following lemma is very similar to that of [6, Lemma 7].

Lemma 4. *If (Y, σ) is an infinite primitive r -automatic shift, then $\gamma(r^n) = r^n$.*

Proof. First we show that there are at most $C + C^2(\gamma(r^n) - 1)$ words of length r^n in the language \mathcal{L}_Y defined by Y . If $Y = \tau(X_\theta)$, with θ defined on \mathcal{A} of cardinality C , let $v = \tau(u)$ for any u bi-infinite and θ -fixed. Now $v \in \tau(\theta^n(X_\theta))$ for each n . Therefore $\sigma^{k\gamma(r^n)}(v) \in \tau(\theta^n(X_\theta))$, so that v is composed of overlapping blocks of the form $\theta^n(a)$ spaced at intervals $\gamma(r^n)$. As there are at most C words $\theta^n(a)$, and at most C^2 words $\theta^n(a)\theta^n(b)$, this implies that there are at most $C + C^2(\gamma(r^n) - 1)$ words of length r^n in \mathcal{L}_Y . Now if $\gamma(r^n) < r^n$, then by [6, Lemma 3(vi)], we have $\frac{\gamma(r^n)}{r^n} \rightarrow 0$. This implies that for n large, \mathcal{L}_Y contains fewer than r^n words of length r^n , contradicting the assumption that Y is infinite. □

We note that for each k , $\tau(\theta^k(X_\theta))$ is a closed, minimal σ^{r^k} -invariant set. This follows from the fact $\theta^k(X_\theta)$ satisfies these properties. Also, $\tau(\theta^k(X_\theta))$ must generate a σ^{r^k} -invariant partition.

We fix the maximal equicontinuous factor map that we consider henceforth. First suppose we consider a substitutional shift (X_θ, σ) . We write $\Lambda_{r^n}(x) = i$ if $x \in \sigma^i \theta^n(X_\theta)$. Note that if $\Lambda_n(x) = i$, then $\Lambda_{n+1}(x) \equiv i \pmod{r^n}$. Using this we can define $\pi(x) := \dots x_2 x_1 x_0$ where for each $n \in \mathbb{N}$, $\Lambda_n(x) = \sum_{i=0}^{n-1} r^i x_i$.

If θ has trivial height, we have defined a maximal equicontinuous factor map. If θ has positive height h , then X_θ also has a σ^h -cyclic

partition. Here we choose an arbitrary but fixed base, and use it to extend π to a maximal equicontinuous factor map.

Finally if we consider an automatic shift (Y, σ) generated by θ , the convention we use is that we take the image of these partitions by τ .

Now by Lemma [6, Lemma 11], (X_θ, σ) has no continuous irrational eigenvalues, and so neither does (Y, σ) . Thus the maximal equicontinuous factor of (Y, σ) is generated by the σ^n -minimal cyclic partitions [8]. On the one hand, the maximal equicontinuous factor of (Y, σ) must be a factor of $(\mathbb{Z}_r \times \mathbb{Z}/h\mathbb{Z}, + (1, 1))$. On the other hand Lemma 4 tells us that each $(\mathbb{Z}/r^n\mathbb{Z}, +1)$ is a factor of (Y, σ) . We have proved

Theorem 5. *If (Y, σ) is an infinite r -automatic shift generated by (θ, τ) where θ is primitive and of height h , then $(\mathbb{Z}_r \times \mathbb{Z}/h\mathbb{Z}, + (1, 1))$ is the maximal equicontinuous factor of (Y, σ) for some \bar{h} dividing h . Furthermore, we can take the maximal equicontinuous factor maps π_X and π_Y to satisfy $\pi_X = \pi_Y \circ \tau$.*

2.2. Automorphisms of constant length substitution shifts. We recall key ingredients that will be essential in our study of automorphism groups of automatic shifts.

Let $\text{End}(X, \sigma)$ be the set of endomorphisms of (X, σ) . Given two shifts (X, σ) and (Y, σ) , and let $\text{Fac}(X, Y)$ denote the set of factor maps from (X, σ) to (Y, σ) . The following is proved in [5, Theorem 3.3].

Theorem 6. *Let (X, σ) and (Y, σ) be infinite minimal shifts. Suppose that the group rotation (G, R) is the maximal equicontinuous factor of both (X, σ) and (Y, σ) and let π_X and π_Y be the respective factor maps. Then there is a map $\kappa : \text{Fac}(X, Y) \rightarrow G$ such that*

$$\pi_Y(\Phi(x)) = \kappa(\Phi) + \pi_X(x)$$

for all $x \in X$ and $\Phi \in \text{Fac}(X, Y)$. Also

- (1) if (Z, σ) is another shift which satisfies the assumptions on (X, σ) , then $\kappa(\Psi \circ \Phi) = \kappa(\Psi) + \kappa(\Phi)$ for $\Phi \in \text{Fac}(X, Y)$, $\Psi \in \text{Fac}(Y, Z)$, and
- (2) if $\min_{g \in G} |\pi_X^{-1}(g)| = \min_{g \in G} |\pi_Y^{-1}(g)| = c < \infty$, then κ is at most c -to-one. In particular, if π_X and π_Y are somewhere one-to-one, then κ is an injection.

A constant-length substitution is called *injective* if $\theta(i) \neq \theta(j)$ for any distinct i and j in \mathcal{A} . It will be convenient to deal with injective substitutions in what follows. The following theorem of Blanchard, Durand and Maass allows us to restrict our attention to that situation.

Theorem 7 ([9]). *Let θ be a constant-length substitution such that X_θ is infinite. Then there exists an injective constant length substitution θ' such that (X_θ, σ) is topologically conjugate to $(X_{\theta'}, \sigma)$.*

We say that θ has column number c if

$$(1) \quad c = c(\theta) := \min_{0 \leq j < r^k, k \in \mathbb{N}} |\theta^k(\mathcal{A})_j|.$$

In other words, for some $k \in \mathbb{N}$, and some (i_1, \dots, i_k) , $|\theta_{i_1} \circ \dots \circ \theta_{i_k}(\mathcal{A})| = c$ and c is the least such number.

The following proposition, [5, Proposition 3.10] tells us that up to a shift, every automorphism has a small radius.

Proposition 8. *Let θ be an injective primitive, length r substitution of height one, and such that (X_θ, σ) is infinite. If $\Phi \in \text{Aut}(X_\theta, \sigma)$ has the property that $\kappa(\Phi) \in \mathbb{Z}_r \setminus \mathbb{Z}$ is periodic, then Φ has right radius zero and left radius at most 1.*

Further, if $\kappa(\Phi) = k/(1 - r^p)$ for $0 < k < r^p - 1$, one has

$$(2) \quad \theta^{-c!p} \circ \sigma^{-k(1+r^p+r^{2p}+\dots+r^{(c!-1)p})} \circ \Phi \circ \theta^{c!p} = \Phi,$$

where c is the column number.

If $\kappa(\Phi) = 0$, then Φ has left and right radius at most 1 and Φ satisfies $\theta^{-c!} \circ \Phi \circ \theta^{c!} = \Phi$.

Example 9. In this example we show that for automatic shifts, it is no longer the case that automorphisms with a zero κ -value have radius at most one, as in Proposition 8. Consider the substitution θ

$$\begin{aligned} \theta(a) &= ac \\ \theta(b) &= bd \\ \theta(c) &= ab \\ \theta(d) &= ba. \end{aligned}$$

Now X_θ has an automorphism Φ whose κ -value equals zero, given by the local rule f defined by the permutation $(ab)(cd)$. Next we consider the coding $\tau : \{a, b, c, d\} \rightarrow \{x, y, z\}$ defined by

$$\tau(a) = x, \quad \tau(b) = y, \quad \tau(c) = x \quad \text{and} \quad \tau(d) = z,$$

and let Y be the automatic shift defined by (θ, τ) . One can verify that τ is injective, so there exists an automorphism of Y that corresponds to Φ , whose local rule is given by g , partially given by

$$\begin{aligned} g(y) &= x \\ g(z) &= x. \end{aligned}$$

	x	y	z
xxxx	y	z	
xxxxy	y	y	
xyxxx	y	y	
yxxx		z	
yxxxy			z
yzxxx	y	y	
zxxx	z	z	
zxxxy			z
zyxxx	y		
zyxy			y

TABLE 1. The local rule for the factor map in Example 9.

However, the local rule is a bit more complicated when considering the image of x under g , as we need to consider the preceding and following 2 elements, and the rule is given in Table 1. This table contains all appearing blocks of length 5 such that the middle element is x . To be able to define this local rule, it is crucial that every appearance of such a block uniquely defines the preimage of the middle element.

The next result, [5, Proposition 3.21] gives us conditions to check whether a local rule defines an element of $\text{Aut}(X_\theta, \sigma)$. If Φ has local rule f , left radius ℓ and right radius r , we write $\Phi = \Phi_{\ell,r}^f$.

Proposition 10. *Let θ be an injective primitive, length r substitution on \mathcal{A} , with column number c , of height one, and such that (X_θ, σ) is infinite. Let $p \geq 1$ and $0 < k < r^p - 1$.*

Let $f: \mathcal{A}^2 \rightarrow \mathcal{A}$. Then $\Phi := \Phi_{1,0}^f$ satisfies $\Phi \in \text{Aut}(X_\theta, \sigma)$ and $\kappa(\Phi) = k/(1 - r^p)$ if and only if:

- (1) *if $x_0x_1x_2 \in \mathcal{L}_{X_\theta}$, then $f(x_0, x_1)f(x_1, x_2) \in \mathcal{L}_{X_\theta}$; and*
- (2) *For each $x_{-1}x_0x_1 \in \mathcal{L}(X_\theta)$ and $0 \leq i < r^{c1p}$*

$$f(\theta^{c1p}(x_{-1} \cdot x_0)_{i-1}, \theta^{c1p}(x_{-1} \cdot x_0)_i) = \theta^{c1p}(f(x_{-1}, x_0)f(x_0, x_1))_{N+i},$$

where $N = k(1 + r^p + \dots + r^{(c1-1)p})$ and $x_{-1} \cdot x_0$ denotes a finite segment of a bi-infinite sequence with x_{-1} in the -1 st coordinate and x_0 in the 0 -th coordinate.

3. TOPOLOGICAL FACTORS OF SUBSTITUTION SHIFTS

In this section we study automorphism groups of factors of constant-length substitution dynamical systems. We show in particular that we

can both produce new automorphisms, and lose automorphisms, when we pass to a factor. Moreover, we show that any such factor is indeed topologically conjugate to a constant length substitution dynamical system, so that we can explicitly describe the automorphism group. In the last part we consider the special case when the factor map is uniform-to-1.

3.1. Automorphism groups and factors. Our motivation for the main results in Section 3 arose as we noticed that in general there is no relationship between the automorphism group of a substitution shift (X_θ, σ) and that of one of its topological factors $(Y, \sigma) = (\tau(X_\theta), \sigma)$. We summarise this with the following two examples.

Example 11. An example where $\text{Aut}(\mathbf{X}_\theta, \sigma) \setminus \text{Aut}(\mathbf{Y}, \sigma)$ is nonempty. Define θ as

$$\begin{aligned}\theta(a) &= ad \\ \theta(b) &= bc \\ \theta(c) &= ab \\ \theta(d) &= ba.\end{aligned}$$

This substitution has column number 2 and the fixed points, namely $b.a, c.a, a.b, d.b$, comprise the only π -fibre with more than two elements, where $\pi : X_\theta \rightarrow \mathbb{Z}_2$ is the maximal equicontinuous factor map. Now X_θ has a nontrivial automorphism $\Phi \in \text{Aut}(X_\theta, \sigma)$ corresponding to the local rule given by the letter-exchanging map $(ab)(cd)$. Note that Φ has κ -value zero, and it acts by permuting elements within the fibres of X_θ .

Now consider the projection $\tau : \{a, b, c, d\} \rightarrow \{x, y\}$ given by $\tau(a) = \tau(b) = x, \tau(c) = \tau(d) = y$. We find that $Y = X_{\bar{\theta}}$ where

$$\begin{aligned}\bar{\theta}(x) &= xy \\ \bar{\theta}(y) &= xx,\end{aligned}$$

where $\bar{\theta}$ has two fixed points $x.x$ and $y.x$. Since $\bar{\theta}$ has a coincidence, i.e. $c(\bar{\theta}) = 1$, it does not have any nontrivial automorphisms with a zero κ -value. In other words, The map τ is everywhere two-to-one, and it collapses the fibres for X_θ . Note that if Φ is sent to an automorphism via τ , it must be an automorphism which also permutes within fibres. There is no non-trivial $\Phi' \in \text{Aut}(Y, \sigma)$ such that $\kappa(\Phi') = 0$ as $\bar{\theta}$ has a coincidence. In other words, here both the identity map and Φ are collapsed by τ to the identity.

It is appropriate to put the next example here, even though our claims use ideas from Section 4.

Example 12. An example where $\text{Aut}(\mathbf{Y}, \sigma) \setminus \text{Aut}(\mathbf{X}_\theta, \sigma)$ is nonempty. We consider the following primitive substitution θ

$$\begin{aligned}\theta(a) &= aac \\ \theta(b) &= bca \\ \theta(c) &= bba.\end{aligned}$$

Note that this substitution is *strongly injective* (Definition 30), and so if there exists $\Phi \in \text{Aut}(X_\theta)$ with $\kappa(\Phi) = 0$ then by Theorem 37, it must have radius 0, i.e. it must exchange letters. Now the fixed points of θ are $a.a, c.a, a.b, c.b$ and so if there is an automorphism it must send a to b and a to c , a contradiction. Thus $\Phi = \text{Id}$. However, now we consider the coding $\tau(a) = x, \tau(b) = \tau(c) = y$, and we find that $Y = X_{\bar{\theta}}$ where

$$\begin{aligned}\bar{\theta}(x) &= xxy \\ \bar{\theta}(y) &= yyx.\end{aligned}$$

One finds easily that there exists a nontrivial $\Phi \in \text{Aut}(X)$ with κ -value zero, namely (xy) .

3.2. Automatic shifts as substitution shifts. In this section we prove that any factor of a primitive constant length substitution shift is topologically conjugate to a constant length substitution shift. Note that by Lemma 3, we can assume that the factor is automatic.

Definition 13. We call $a \neq b \in \mathcal{A}$ a *periodic pair* if there exists $p = p(a, b)$ and $j < r^p$ such that $\theta^p(a)_j = a$ and $\theta^p(b)_j = b$. Note that this is equivalent to the requirement that for all $k > 0$ there exists $j < r^{kp}$ such that $\theta^{kp}(a)_j = a$ and $\theta^{kp}(b)_j = b$. We define

$$p(\theta) = \text{lcm}\{p(a, b) : a, b \text{ are a periodic pair}\},$$

and call a substitution θ with $p(\theta) = 1$ *pair-aperiodic*.

Readers who are familiar with techniques used in substitutions will be aware that one often replaces a substitution θ by an appropriate power so that, without loss of generality, one can assume that all θ -periodic points are θ -fixed. In a similar spirit, we show in the following lemma that without loss of generality we can work with pair-aperiodic substitutions.

Lemma 14. *Let θ be a substitution of constant length. Then $\theta^{p(\theta)}$ is pair-aperiodic.*

Proof. A simple computation shows that if a, b are a periodic pair for θ with period p_1 , then they are also a periodic pair for θ^n with period

$p_2 = p_1 / \gcd(p_1, n)$. Furthermore, one finds directly that any periodic pair for θ^n is also a periodic pair for θ . The result follows. \square

Definition 15. We call $a, b \in \mathcal{A}$ an *asymptotic disjoint pair* if for all $k > 0$ there exists $j_k < r^k$ such that $\theta^k(a)_{j_k} \neq \theta^k(b)_{j_k}$.

Definition 16. We call a pair $(c, d) \in \mathcal{A}^2$ k -reachable from $(a, b) \in \mathcal{A}^2$ if there exists $j < r^k$ such that $\theta^k(a)_j = c$ and $\theta^k(b)_j = d$.

It is straightforward to check that reachability is transitive, i.e. if (b_1, b_2) is k_1 -reachable from (a_1, a_2) and (c_1, c_2) is k_2 -reachable from (b_1, b_2) , then (c_1, c_2) is $(k_1 + k_2)$ -reachable from (a_1, a_2) .

Lemma 17. *Let θ be a pair-aperiodic substitution of constant length and (a, b) an asymptotic disjoint pair. Then there exists a periodic pair (a', b') such that for any $k \geq 2|\mathcal{A}|^2$, and any (c, d) that is reachable from (a', b') , it is also k -reachable from (a, b) .*

Proof. As (a, b) is an asymptotic disjoint pair, there exists for any $k \in \mathbb{N}$ some j_k such that $\theta^k(a)_{j_k} \neq \theta^k(b)_{j_k}$. We consider the finite sequence $(\theta^k(a)_{j_k}, \theta^k(b)_{j_k})_{k=0, \dots, |\mathcal{A}|^2}$. We note that we can choose the j_k such that $j_k = \lfloor j_{k+1}/r \rfloor$. (For example one first chooses $j_{|\mathcal{A}|^2}$.)

As every element in this sequence belongs to \mathcal{A}^2 and the sequence has $|\mathcal{A}|^2 + 1$ elements, there exists (a', b') and $0 \leq k_1 < k_2 \leq |\mathcal{A}|^2$ such that $\theta^{k_i}(a)_{j_{k_i}} = a'$ and $\theta^{k_i}(b)_{j_{k_i}} = b'$ for $i = 1, 2$. We claim that (a', b') are a periodic pair. For, we know that $j_{k_2} = j_{k_1} r^{k_2 - k_1} + j'$, which gives

$$\begin{aligned} a' &= \theta^{k_2}(a)_{j_{k_2}} = \theta^{k_1 + (k_2 - k_1)}(a)_{j_{k_1} r^{k_2 - k_1} + j'} = \theta^{k_2 - k_1}(\theta^{k_1}(a)_{j_{k_1}})_{j'} \\ &= \theta^{k_2 - k_1}(a')_{j'}, \end{aligned}$$

and the analogous statement for b, b' , and the claim follows. Since θ is pair-aperiodic, (a', b') is 1-reachable from (a', b') . By the transitivity of reachability it follows that (a', b') is reachable from (a, b) by k steps for any $k \geq |\mathcal{A}|^2$. Finally, if (c, d) is reachable from (a', b') , then by the pigeonhole principle, it must be k' -reachable for some $k' \leq |\mathcal{A}|^2$. The result follows by transitivity. \square

In this last proof, we used pair-aperiodicity strongly. We use it in a similar fashion in the next lemma.

Lemma 18. *Let θ be a primitive, pair-aperiodic substitution. If (a, b) is not an asymptotic disjoint pair, then $\theta^{|\mathcal{A}|^2}(a) = \theta^{|\mathcal{A}|^2}(b)$.*

Proof. Since (a, b) is not asymptotic disjoint, there exists a minimal K such that $\theta^K(a) = \theta^K(b)$. Suppose that $K > |\mathcal{A}|^2$. Then for each $0 \leq i \leq K - 1$ there is a j_i such that $\alpha_i := (\theta^i(a))_{j_i} \neq \beta_i := (\theta^i(b))_{j_i}$ and

where if $i < \bar{i}$ then $(\alpha_{\bar{i}}, \beta_{\bar{i}})$ is reachable from (α_i, β_i) . Since $K-1 \geq |\mathcal{A}|^2$, we have $(\alpha_i, \beta_i) = (\alpha_{\bar{i}}, \beta_{\bar{i}})$ for some $i < \bar{i}$. Thus (α_i, β_i) is a periodic pair. But now since θ is pair aperiodic, for each n (α_i, β_i) appears as $(\theta^n(a))_{k_n} = (\theta^n(b))_{k_n}$ for some k_n . This contradicts the fact that $\theta^K(a) = \theta^K(b)$. \square

Definition 19. Let (θ, τ) be an r -automatic pair. We call two letters $a \neq b$ *indistinguishable* (by (θ, τ)) if for any $k \geq 0$ and $0 \leq j < r^k$ we have $\tau(\theta^k(a)_j) = \tau(\theta^k(b)_j)$. We call the pair (θ, τ) *minimal* if every pair of letters is distinguishable by (θ, τ) .

Note that the letters a, b are indistinguishable if and only if for any (c, d) that is reachable from (a, b) (which includes (a, b) by 0 steps) we have $\tau(c) = \tau(d)$.

In the next lemma, a fundamental result from automata theory enables us to replace an r -automatic pair by a minimal r -automatic pair.

Lemma 20. *Let (Y, σ) be an infinite r -automatic shift generated by (θ', τ') where θ' is primitive and pair-aperiodic. Then there exists a minimal r -automatic pair (θ, τ) which generates (Y, σ) , where θ is primitive and pair-aperiodic.*

Proof. We define an equivalence relation $a \sim b$ if a, b are indistinguishable. This equivalence relation is obviously compatible with θ' , so we can define

$$\theta([a])_j := [\theta'(a)]_j$$

and it is also compatible with τ , so we set

$$\tau([a]) := \tau(a).$$

We need to check that θ is primitive and pair-aperiodic. As θ' is primitive, we know that there exists some n such that for all $a, b \in \mathcal{A}'$ we have that $(\theta')^n(a)$ contains b as a subword. Let us take $[c], [d] \in \mathcal{A}$. We know that $(\theta')^n(c)$ contains d as a subword and therefore $\theta^n([c])$ contains $[d]$ as a subword. In other words θ is primitive.

Let us now assume that $\theta^k([a])_j = [a]$ and $\theta^k([b])_j = [b]$, i.e. $([a], [b])$ is a periodic pair. This implies that $(\theta')_j^k$ is a map from $[a]$ to itself and also from $[b]$ to itself. Thus a power must have a fixed-point:

$$\begin{aligned} ((\theta')_j^k)^n(a_0) &= a_0 \\ ((\theta')_j^k)^m(b_0) &= b_0 \end{aligned}$$

for some $a_0 \in [a], b_0 \in [b]$. Therefore we have

$$\begin{aligned} ((\theta'_j)^k)^{nm}(a_0) &= a_0 \\ ((\theta'_j)^k)^{nm}(b_0) &= b_0 \end{aligned}$$

which means that (a_0, b_0) is a periodic pair for θ' . As θ' is pair-aperiodic we know that there exists j_0 such that

$$\begin{aligned} \theta'(a_0)_{j_0} &= a_0 \\ \theta'(b_0)_{j_0} &= b_0 \end{aligned}$$

and, therefore,

$$\begin{aligned} \theta([a])_{j_0} &= [a] \\ \theta([b])_{j_0} &= [b]. \end{aligned}$$

This shows that θ is pair-aperiodic.

Furthermore, by definition

$$\tau'((\theta')^k(a)) = \tau(\theta^k([a]))$$

which shows that the language of (Y, σ) is the same as the language of $(\tau(X_\theta), \sigma)$. Since shifts are uniquely determined by their language, the result follows. \square

We can now prove the main result of this section.

Theorem 21. *Let (Y, σ) be an infinite r -automatic shift, generated by (θ', τ') where θ' is primitive. Then there exists an r -automatic pair (θ, τ) that generates (Y, σ) and such that $\tau : X_\theta \rightarrow Y$ is a bijection.*

Proof. By Lemmas 14 and 20, we can assume that (Y, σ) is generated by the minimal r -automatic pair (θ, τ) where θ is pair-aperiodic.

First we suppose that there exist $x \neq \tilde{x} \in X_\theta$ such that $\tau(x) = \tau(\tilde{x})$. As X_θ is recognizable [17] we have x', \tilde{x}' such that $x = \sigma^\ell \theta^{2|\mathcal{A}|^2}(x')$ and $\tilde{x} = \sigma^{\tilde{\ell}} \theta^{2|\mathcal{A}|^2}(\tilde{x}')$. Now Theorem 5 tells us that $\ell = \tilde{\ell}$. Thus, we have x', \tilde{x}' such that $\theta^{2|\mathcal{A}|^2}(x') \neq \theta^{2|\mathcal{A}|^2}(\tilde{x}')$ and $\tau(\theta^{2|\mathcal{A}|^2}(x')) = \tau(\theta^{2|\mathcal{A}|^2}(\tilde{x}'))$.

We consider the pair $(x'_n, \tilde{x}'_n) \in \mathcal{A}^2$. Suppose that for some $n \in \mathbb{Z}$, (x'_n, \tilde{x}'_n) is an asymptotic disjoint pair. By Lemma 17 we know that there exists a periodic pair (a', b') such that for any (c, d) that is reachable from (a', b') , we have that (c, d) is $(2|\mathcal{A}|^2)$ -reachable from (a, b) . As $\tau(\theta^{2|\mathcal{A}|^2}(x'_n)) = \tau(\theta^{2|\mathcal{A}|^2}(\tilde{x}'_n))$, this gives that $\tau(c) = \tau(d)$ and therefore that a' and b' are indistinguishable. This contradicts our assumption that (θ, τ) is minimal.

Thus (x'_n, \tilde{x}'_n) is not an asymptotic disjoint pair for any $n \in \mathbb{Z}$. By Lemma 18 we know that $\theta^{2|\mathcal{A}|^2}(x'_n) = \theta^{2|\mathcal{A}|^2}(\tilde{x}'_n)$ for each $n \in \mathbb{Z}$, i.e. $x = \tilde{x}$, another contradiction. The result follows.

□

The following example tells us that starting with a pair-aperiodic substitution before we minimise is necessary in Theorem 21.

Example 22. We consider the substitution $\theta' : \{a, b, c, d\} \rightarrow \{a, b, c, d\}^3$ and $\tau' : \{a, b, c, d\} \rightarrow \{x, y, z\}$ where

$$\theta'(a) = abd$$

$$\theta'(b) = aad$$

$$\theta'(c) = add$$

$$\theta'(d) = acd$$

and

$$\tau'(a) = \tau'(c) = x, \quad \tau'(b) = y \quad \text{and} \quad \tau'(d) = z.$$

We find that (θ', τ') is minimal, as the only possible indistinguishable pair is (a, c) , but $\tau'(\theta'(a)_1) = y \neq \tau'(\theta'(c)_1) = z$.

However $\tau' : X_{\theta'} \rightarrow Y$ is not injective. For, let $x = \lim_{n \rightarrow \infty} \sigma^{(3^{2n}-1)/2} \theta'^{2n}(a)$ and let $\tilde{x} = \lim_{n \rightarrow \infty} \sigma^{(3^{2n}-1)/2} \theta'^{2n}(c)$. One can verify that $x_n = \tilde{x}_n$ for all $n \neq 0$ and $x_0 = a, \tilde{x}_0 = c$. Thus $\tau'(x) = \tau'(\tilde{x})$.

The ‘‘problem’’ here is that (a, c) is a periodic pair of period 2 and we need to actually consider θ'^2 instead of θ' .

$$\theta'^2(a) = abdaadacd$$

$$\theta'^2(b) = abdabdacd$$

$$\theta'^2(c) = abdacdacd$$

$$\theta'^2(d) = abdaddacd.$$

Here we see that (a, c) is indeed indistinguishable, so that (θ'^2, τ) is not minimal. In this case we minimise and we find the new substitution

$$\theta(x) = xyzxzxzxz$$

$$\theta(y) = xyzxyzxzxz$$

$$\theta(z) = xyzxzzxzxz$$

along with $\tau(a) = x, \tau(b) = y, \tau(d) = z$ gives us the correct representation.

3.3. Automorphism groups and uniform-to-one extensions. In this section we investigate topological factors of constant length substitution shifts where the factor map is uniform-to-one.

If there exists an automorphism Φ of (X_θ, σ) with $\Phi^k = \text{Id}$, then we can define an everywhere k -to-one factor of (X_θ, σ) , namely by identifying points that are in the same orbit. In particular, if θ has column

number c and $\Phi^c = \text{Id}$, then the factor (Y, σ) is an almost everywhere one-to-one extension of its maximal equicontinuous factor, and this is a convenient topological factor for a dynamical system to have, see for example [1], [15], or [20] for uses. It is not always the case that such a factor exists [11]. A natural question which arises is whether the automorphism group of a shift sheds any light on this question.

Theorem 23. *Let θ be a primitive, length r substitution of height one such that (X_θ, σ) is infinite. If (X_θ, σ) is an exactly two-to-one extension of a shift (Y, σ) , then there exists an automorphism Φ of (X_θ, σ) with $\Phi^2 = \text{Id}$.*

The following lemma seems to be common knowledge, but we include it for completeness, as we could not find a reference. It basically follows from the fact that for any *minimal set* M (see Definition 31) we have that $\{\theta^k(a) : a \in M\}$ are pairwise disjoint at every position, but we give a complete proof nonetheless.

Lemma 24. *Let θ be a primitive, length r substitution of height one and column number c such that (X_θ, σ) is infinite. Let $\pi : X_\theta \rightarrow \mathbb{Z}_r$ be the maximal equicontinuous factor map. If $z \in \mathbb{Z}_r$ and $|\pi^{-1}(z)| = c$, then for each distinct pair $x, x' \in \pi^{-1}(z)$, we have $x_n \neq x'_n$ for each $n \in \mathbb{Z}$.*

Proof. There is a collection \mathcal{F} of words on $\{0, 1, \dots, r-1\}$ such that if $|\theta_{w_1} \circ \dots \circ \theta_{w_k}(\mathcal{A})| = c$, then the word $w_k \dots w_1 \in \mathcal{F}$. (See [5, Lemma 3.9] for the definition of \mathcal{F} .) First suppose that $|\pi^{-1}(z)| = c$ and z does not belong to the \mathbb{Z} -orbit, under addition by 1, of $\dots 000$. By [5, Lemma 3.12], $|\pi^{-1}(z)| = c$ if and only if we see words from \mathcal{F} infinitely often in z . Say that $z_{N+k} \dots z_{N+1} \in \mathcal{F}$. Let k_N be the natural number whose base- r expansion is z_N, \dots, z_0 . Then if $x \in \pi^{-1}(z)$, we have $\sigma^{-k_N}(x) \in [\theta^N(a)]$ for some $a \in \theta_{r^{k-1}z_{N+k} + \dots + rz_{N+2} + z_{N+1}}^k(\mathcal{A})$. In this way, each of the c a 's in $\theta_{r^{k-1}z_{N+k} + \dots + rz_{N+2} + z_{N+1}}^k(\mathcal{A})$ yields an element in $\pi^{-1}(z)$. Now if for two distinct a, a' in this set, $\theta^N(a)$ were to agree with $\theta^N(a')$ somewhere, this would contradict minimality of the column number c . Hence the letters in $\theta_{z_{N+1}}(\mathcal{A})$ give us c points which are pairwise distinct along the index set $[-k_N, r^N - k_N]$. This occurs for infinitely many N , and our assumption that z is not in the orbit of the zero element in \mathbb{Z}_r implies that we get c distinct points which are pairwise distinct everywhere.

Next we deal with the case where $|\pi^{-1}(z)| = c$ and z belongs to the \mathbb{Z} -orbit, under addition by 1, of $\dots 000$; without loss of generality we assume $z = 0$. The fact that θ has column number c means that θ has

at least c right-infinite one-sided fixed points and at least c left-infinite one-sided fixed points. The assumption that $|\pi^{-1}(0)| = c$ implies that we have exactly c bi-infinite fixed points. This implies that we have c right-infinite fixed points and c left-infinite fixed points, and also that each right-infinite fixed point matches up with exactly one left-infinite fixed point to create exactly c bi-infinite fixed points. Furthermore, no two right-infinite fixed points agree on any index, and no two left-infinite points agree on any index, as otherwise again we would have a contradiction to the minimality of the column number. Thus here also, if z belongs to the \mathbb{Z} -orbit of 0 then $\pi^{-1}(z)$ consists of c points which are pairwise distinct everywhere. \square

Proof of Theorem 23. Suppose that $\pi : (X_\theta, \sigma) \rightarrow (Y, \sigma)$ is exactly two-to-one. Notice that (Y, σ) must have the same equicontinuous factor as (X_θ, σ) . Let $\pi_\theta : X_\theta \rightarrow \mathbb{Z}_r$ and $\pi_Y : Y \rightarrow \mathbb{Z}_r$ denote the maximal equicontinuous factor maps for X_θ and Y respectively. By Theorem 6, there is $\eta \in \mathbb{Z}_r$ such that $\pi_Y(\pi(x)) = \pi_\theta(x) + \eta$ for each $x \in X_\theta$. This implies that if $y \in Y$ and $\{x, \tilde{x}\} = \pi^{-1}(y)$, then the points x, \tilde{x} belong to the same π_θ -fibre. Furthermore if we choose y belonging to a regular fibre, i.e. a fibre with a minimal number of elements, then $\{x, \tilde{x}\}$ also belongs to a regular fibre.

Fix such a point $y \in Y$, belonging to a regular fibre with $\pi^{-1}(y) = \{x, \tilde{x}\}$. We claim that the application $x \mapsto \tilde{x}$ defines a sliding block code $\Phi : X_\theta \rightarrow X_\theta$ with radius some $r \geq 0$. Suppose not. Then for each r there is a word A_r of length $2r+1$, and distinct integers m_r and n_r such that $x_{[m_r, m_r+2r]} = x_{[n_r, n_r+2r]} = A_r$, but $\tilde{x}_{m_r+r} = b_r \neq c_r = \tilde{x}_{n_r+r}$. By dropping to a subsequence if necessary, we can assume that $x_{m_r+r} = a$, $b_r = b$ and $c_r = c$ for each r . Since we have chosen $\{x, \tilde{x}\}$ to belong to a regular fibre, then by Lemma 24, $a \neq b$ and $a \neq c$. Hence a, b and c are three distinct letters.

We drop to another subsequence if necessary to find $x^* := \lim_r \sigma^{m_r+r} x = \lim_r \sigma^{n_r+r} x$, $x^{**} := \lim_r \sigma^{m_r+r} \tilde{x}$ and $x^{***} := \lim_r \sigma^{n_r+r} \tilde{x}$. By construction, $x_0^* = a$, $x_0^{**} = b$ and $x_0^{***} = c$. We have

$$\begin{aligned} \pi(x^{**}) &= \lim_r \sigma^{m_r+r} \pi(\tilde{x}) = \lim_r \sigma^{m_r+r} \pi(x) = \pi(x^*) \\ &= \lim_r \sigma^{n_r+r} \pi(x) = \lim_r \sigma^{n_r+r} \pi(\tilde{x}) = \pi(x^{***}), \end{aligned}$$

and this contradicts the assumption that π is two-to-one everywhere. Thus the map that switches each pair of elements in a π -fibre is a well defined sliding block code with order two. One sees now easily that Φ is an automorphism. \square

	a	b	c
a	z	y	x
b	y	x	z
c	x	z	y

TABLE 2. The local rule for the factor map in Example 25.

Unfortunately Theorem 23 is no longer true if (X_θ, σ) is an ℓ -to-one extension with $\ell > 2$.

Example 25. Let $\theta(a) = abb$, $\theta(b) = bac$, $\theta(c) = cca$, and let $\eta(x) = yxz$, $\eta(y) = yxx$, $\eta(z) = yxy$. Then (X_η, σ) is almost automorphic, and (X_θ, σ) is an almost everywhere three-to-one extension of $(\mathbb{Z}_3, +1)$. One verifies that the left radius one, right radius zero rule in Table 2 defines an exactly three-to-one shift commuting map $\pi : X_\theta \rightarrow X_\eta$. However (X_θ, σ) has a trivial automorphism group.

4. STRONGLY INJECTIVE SUBSTITUTIONS AND LANGUAGE AUTOMORPHISMS

Definition 26. Let $\mathcal{L} \subset \mathcal{A}^*$ be a language. We say that the bijection $\Phi : \mathcal{L} \rightarrow \mathcal{L}$ is an \mathcal{L} -*automorphism* if $\Phi(w_1w_2) = \Phi(w_1)\Phi(w_2)$ whenever w_1, w_2 and w_1w_2 belong to \mathcal{L} .

We have the following proposition which links language automorphisms to automorphisms of the corresponding dynamical system. Recall that any shift space X is defined by its language, which is closed under the taking of subwords, and where every word is left and right extendable to a word in \mathcal{L} . Conversely, any language \mathcal{L} satisfying these two properties defines a shift $X_\mathcal{L}$.

Proposition 27. *Let \mathcal{L} be the language of a shift (X, σ) . Then Φ is an \mathcal{L} -automorphism if and only if $\Phi \in \text{Aut}(X, \sigma)$ has zero radius.*

Proof. Suppose that Φ is an \mathcal{L} -automorphism. Since Φ is bijective, it must map letters to letters, i.e. $\Phi|_{\mathcal{A}}$ is a bijection $\phi : \mathcal{A} \rightarrow \mathcal{A}$. Since it is a language morphism, ϕ defines Φ . We can extend Φ , via concatenation, to a map on bi-infinite sequences u in X , namely $\Phi((u_n)_{n \in \mathbb{Z}}) = (\phi(u_n))_{n \in \mathbb{Z}}$. Let $u \in X$ and let $v := \Phi(u)$. Since Φ maps \mathcal{L} to \mathcal{L} , $v \in X$ and so the image of $\Phi(X)$ is contained in X . Since Φ is defined by a local rule it is shift-commuting, and it is injective on X since it is injective on \mathcal{L} . By minimality, Φ is surjective.

The converse is straightforward. □

Remark 28. In the substitutional case, we note that if Φ has radius zero then $\kappa(\Phi) = 0$. For if Φ has radius zero, then for some n , $\Phi^n = \text{Id}$. But then $n\kappa(\Phi) = 0$, and since \mathbb{Z}_r is torsion free, our assertion follows.

In an ideal world any automorphism Φ with $\kappa(\Phi) = 0$ would have zero radius. Unfortunately this is not the case.

Example 29. Let $\theta(a) = ab$, $\theta(b) = ca$ and $\theta(c) = ba$ and define the local rule ϕ with left radius one, as $\phi(b) = a$, $\phi(c) = a$, $\phi(aa) = c$, $\phi(ba) = b$ and $\phi(ca) = b$. Then ϕ is the local rule of an involution in $\text{Aut}(X_\theta, \sigma)$.

Definition 30. We say that θ is *strongly right- (left-) injective* if θ is injective and does not have any right- (left-) infinite fixed points which differ only in their 0-th entry, and we say that θ is *strongly injective* if it is both strongly right- and left-injective.

Definition 31. Let $\theta : \mathcal{A} \rightarrow \mathcal{A}^r$ be a length r substitution with column number c . A *minimal set* (for θ) is a set of letters $\{\alpha_1, \dots, \alpha_c\} \subset \mathcal{A}$ of cardinality c such that this set appears as $(\theta^n(\mathcal{A}))_i$ for some $n \in \mathbb{N}$ and some $0 \leq i < r^n$. Let \mathcal{X} denote the collection of all minimal sets:

$$\mathcal{X} := \{M \in \mathcal{A}^{c(\theta)} : \exists k, j < r^k \text{ s.t. } \theta^k(\mathcal{A})_j = M\}.$$

Theorem 32. *Let θ be a primitive length r substitution such that X_θ is infinite. Then (X_θ, σ) is topologically conjugate to (X_η, σ) where η is a strongly injective length r substitution.*

Proof. Note that if a substitution θ has column number c , then it has at least c right-infinite and c left-infinite fixed points. We claim that if θ has exactly c right- (left-) infinite fixed points, then it must be right- (left-) strongly injective. For, in this case there is a minimal set \mathcal{A}_r (\mathcal{A}_l) of c letters that generates the c right- (left-) infinite fixed points. The fact that θ has column number c implies that these fixed points are pairwise distinct at each index $n \geq 0$, and our claim follows. (See also the proof of Lemma 24.)

Now suppose that θ is not strongly injective. By replacing θ by a power if necessary, we can assume that there are three consecutive indices $k-1, k, k+1$, with $k \in \{1, \dots, r-1\}$, where θ 's column number is achieved jointly for these indices, i.e. $|\{\theta(a)[k-1, k+1] : a \in \mathcal{A}\}| = c$. Now let $\bar{\eta} := \theta^{(2,k)}$ be the k -shifted 2-sliding block representation of θ . By construction, $\bar{\eta}$ has exactly c right-infinite fixed points and c left-infinite fixed points. If $\bar{\eta}$ is injective on letters, then by our previous claim, it is strongly injective and in this case let $\eta = \bar{\eta}$. If $\bar{\eta}$ is not injective on letters, define an equivalence relation on its alphabet where $\alpha \sim \beta$ if $\bar{\eta}(\alpha) = \bar{\eta}(\beta)$. Let \mathcal{B} be the set of equivalence classes for \sim

and define $\eta([\beta]) := \bar{\eta}(\beta)$. Then (X_η, σ) is topologically conjugate to $(X_{\bar{\eta}}, \sigma)$ via the map $\Phi((x_n)_{n \in \mathbb{Z}}) = ([x_n]_{n \in \mathbb{Z}})$. (See for example the proof of Theorem 7 in [9].) By construction η is injective on letters. Since $\kappa(\phi) = 0$, the fixed points of $\bar{\eta}$ are in one-to-one correspondence with those of η . The result follows by our claim. \square

Theorem 33. *Let θ be a strongly injective primitive length r substitution such that X_θ is infinite. If $\kappa(\Phi) = 0$, then Φ has radius 0 and so in particular it is a language automorphism.*

Proof. Suppose that Φ sends the fixed point u , whose right-infinite ray is $u_{[0, \infty)} = \lim_k \theta^k(a)$, to the fixed point v , whose right-infinite ray is $v_{[0, \infty)} = \lim_k \theta^k(b)$. If Φ does not have radius 0, then there exist letters c, d and e , with $d \neq e$, and indices $i \neq j$ such that $u_i = c = u_j$, $v_i = d$ and $v_j = e$. This implies that for all n , $\theta^n(c)$ appears starting at the indices $r^n i$ and $r^n j$ in u , $\theta^n(d)$ appears starting at index $r^n i$ in v , and $\theta^n(e)$ appears starting at index $r^n j$ in v . Let ℓ be the left radius of Φ . Then for all large n , $\theta^n(d)_{[\ell, r^n - 1]} = \theta^n(e)_{[\ell, r^n - 1]}$ and thus we have two fixed points $u' = \dots \cdot d' D' x$ and $v' = \dots \cdot e' E' x$ which disagree on their initial entries: $d' \neq e'$, where the length of D' equals that of E' , and where the suffix of D' does not equal that of E' , and finally where u' and v' agree on their right rays x starting at index at most ℓ . If $D' \neq \emptyset$, so that also $E' \neq \emptyset$, then the image of their suffixes under θ must agree, and this contradicts our assumption that θ is injective. (Here we are using the fact that r must be at least two, of course.) Thus $D' = \emptyset = E'$ and thus we have two fixed points $u' = \dots \cdot d' x$ and $v' = \dots \cdot e' x$ which disagree on their initial entry: $d' \neq e'$, and which agree on their right rays starting at index 1. This contradicts our assumption that θ is strongly injective. \square

Our next goal is to characterize the automorphisms of (X_θ, σ) which have radius 0. This is particularly interesting as, by Theorem 32 we can assume without loss of generality that θ is a strongly injective substitution. Furthermore, by Theorem 33 we know that in this situation any Φ with $\kappa(\Phi) = 0$ has radius 0. In particular the local rule is just a map from \mathcal{A} to itself.

The characterisation that we will give is inspired by the special case of bijective substitutions, and it is instructive to recall this special case first. We note that bijective substitutions are strongly injective, so any element of $\ker \kappa$ is a letter exchanging map. Lemanczyk and Mentzen [14, Theorem 5] gave a closed form for the automorphism

group of bijective substitutions in the measurable setting. In particular, they consider the group G of permutations generated by the bijections $\{\theta_i : 1 \leq i \leq r\}$ of \mathcal{A} , and they show that a permutation τ defines a shift commuting measurable bijection of (X_θ, σ) if and only if it belongs to the centralizer of G in the symmetric group $S_{|\mathcal{A}|}$. This statement is still true if we pass to the topological setting. For, first the fact that $\dots 00$ is the only singular fibre of the equicontinuous factor map tells us that the automorphisms of X_θ must have κ -value zero. Our claim can now be seen using Proposition 10, which is effectively telling us that τ must commute with G . In fact we only need a simpler version of Proposition 10, namely one that takes into account the fact that τ must have radius zero.

We recall the definition of the column number in (1), which denotes the minimal number of elements of \mathcal{A} one can see in one column when writing the words $\theta^k(a)$ for $a \in \mathcal{A}$ underneath each other. Recall that we use $\mathcal{X} \subseteq \mathcal{P}(\mathcal{A}^{c(\theta)})$ to denote the collection of all possible minimal sets for θ . The minimality of $M \in \mathcal{X}$ implies some useful properties: for any $a, b \in M$ we have that $\theta^k(a)_j \neq \theta^k(b)_j$ for all $k, j < r^k$. Otherwise, we would have a contradiction to the minimality of the column number c . This implies that θ is well-defined on \mathcal{X} and we denote it by $\tilde{\theta}$. It follows quite easily that $\tilde{\theta}$ is primitive (see [15, Proposition 6.3]).

Lemma 34. \mathcal{X} covers \mathcal{A} . In other words, every letter of \mathcal{A} belongs to a set in \mathcal{X} .

Proof. This is Equation (37) in [15], but we include the verification here for completeness. We need to show that for any $b \in \mathcal{A}$ there exists $M' \in \mathcal{X}$ with $b \in M'$. Obviously $\mathcal{X} \neq \emptyset$. Thus, there exists some M and a such that $a \in M \in \mathcal{X}$. As θ is primitive, there exist $k, j < r^k$ with $\theta^k(a)_j = b$. Now obviously $b \in \tilde{\theta}^k(M)_j =: M'$. \square

This allows us to find our first restrictions for automorphisms with radius 0.

Lemma 35. Suppose that τ is an automorphism of (X_θ, σ) with radius 0. Then, for any $M \in \mathcal{X}$ we have that $\tau|_M$ is a bijection.

Proof. We know by a modified version of Proposition 10 (see for example [2, Lemma 2]) that

$$\tau \circ \theta^{c!} = \theta^{c!} \circ \tau.$$

Thus by changing to $\theta^{c!}$ we can assume without loss of generality that

$$(3) \quad \tau \circ \theta = \theta \circ \tau.$$

By the minimality of θ it follows directly that τ is a bijection on \mathcal{A} . We know that for any $M \in \mathcal{X}$ there exists $k \in \mathbb{N}$, $j < r^k$ with $\theta^k(\mathcal{A})_j = M$. Thus, for any $a \in M$ there exists $b \in \mathcal{A}$ such that $\theta^k(b)_j = a$. This gives by (3)

$$\tau(a) = \tau \circ \theta_j^k(b) = \theta_j^k \circ \tau(b) \in M.$$

So τ maps M to itself and as τ is injective it is bijective on M . \square

So we know that τ is a bijection on every minimal set and by (3) we would expect these bijections to be compatible. Next we aim to relate elements of minimal sets to each other. Therefore we fix some $M_0 \in \mathcal{X}$ and $k_0, j_0 < r^{k_0}$ with $\theta^{k_0}(\mathcal{A})_{j_0} = M_0$. Furthermore, we can assume without loss of generality that $\theta^{k_0}(a)_{j_0} = a$ for every $a \in M_0$. This is due to the fact that $\theta_{j_0}^{k_0}$ defines a bijection on M_0 and taking a power yields the result. Now we fix an arbitrary bijection $f_0 : M_0 \rightarrow \{1, \dots, c\}$ which allows us to define $f : \mathcal{A} \rightarrow \{1, \dots, c\}$ by

$$(4) \quad f(a) = f_0(\theta^{k_0}(a)_{j_0}).$$

In particular, we have $f|_{M_0} = f_0$. Note also that the minimality of c implies that for any $M \in \mathcal{X}$ we have that $f|_M$ is a bijection between M and $\{1, \dots, c\}$.

Lemma 36. *There exists a bijection τ' on $\{1, \dots, c\}$ such that $f \circ \tau = \tau' \circ f$.*

Proof. Let us take $a_1 \neq a_2$ such that $f(a_1) = f(a_2)$. We need to show that $f(\tau(a_1)) = f(\tau(a_2))$. By the definition of f we have

$$\theta^{k_0}(a_1)_{j_0} = \theta^{k_0}(a_2)_{j_0}.$$

By (3) this gives

$$\begin{aligned} f(\tau(a_1)) &= f_0(\theta_{j_0}^{k_0} \circ \tau(a_1)) = f_0(\tau \circ \theta_{j_0}^{k_0}(a_1)) \\ &= f_0(\tau \circ \theta_{j_0}^{k_0}(a_2)) = f_0(\theta_{j_0}^{k_0} \circ \tau(a_2)) = f(\tau(a_2)). \end{aligned}$$

\square

However, there is still one more condition that τ has to satisfy. For this remaining condition we use a generalisation of Lemanczyk and Mentzen's idea for bijective substitutions to assign to a general θ a group of permutations called G . The following was presented by the first author and Lemanczyk in [15] and we follow their notation. Let us fix an arbitrary $M \in \mathcal{X}$. Then θ_j is a bijection from M to $\tilde{\theta}(M)_j$. Thus it corresponds via f to a permutation of $\{1, \dots, c\}$ which we denote by $\sigma_{M,j}$. More precisely we have $\sigma_{M,j}(m) = n$ if there exist

$a \in M, b \in \tilde{\theta}(M)_j$ with $f(a) = n, f(b) = m$ such that $\theta(a)_j = b$. Another way to define it is via the relation

$$(5) \quad \sigma_{M,j}^{-1}(f(a)) = f(\theta(a)_j).$$

Furthermore, we denote by G the group generated by all the $\sigma_{M,j}$:

$$G(\theta) := \langle \sigma_{M,j} : M \in \mathcal{X}, 0 \leq j \leq r-1 \rangle.$$

We have gathered now all the information needed for the following Theorem. In what follows the function f is that defined in Equation 4.

Theorem 37. *Let θ be a primitive and injective length r substitution of height 1 such that X_θ is infinite. Then τ is an automorphism with radius 0 if and only if*

- (i) τ is a bijection on every minimal set $M \in \mathcal{X}(\theta)$.
- (ii) τ is well-defined on $\{1, \dots, c\}$ via f , which we denote by τ' , i.e. $f \circ \tau = \tau' \circ f$.
- (iii) τ' belongs to the centralizer of $G(\theta)$.

Proof. First we still need to show that any automorphism τ with radius 0 fulfills (iii): Obviously it is sufficient to show that τ' commutes with every $\sigma_{M,j}^{-1}$. We find for any $a \in M$,

$$\begin{aligned} \tau' \circ \sigma_{M,j}^{-1}(f(a)) &= \tau' \circ f(\theta(a)_j) = f \circ \tau(\theta(a)_j) = f(\theta(\tau(a))_j) \\ &= \sigma_{M,j}^{-1} \circ f \circ \tau(a) = \sigma_{M,j}^{-1} \circ \tau'(f(a)). \end{aligned}$$

Here the first and fourth equation are due to (5), the second and fifth equation follow from (ii) and the third equation from (3).

It remains to show that any τ that satisfies (i) - (iii) indeed gives an automorphism. It is sufficient to check (3) as this implies $\tau(\theta^k(a)[j-1, j+1]) = \theta^k(\tau(a))[j-1, j+1] \in \mathcal{L}_\theta$. Let $a \in \mathcal{A}$ be an arbitrary element and $j < r$. By Lemma 34 we know that $a \in M'$ for some $M' \in \mathcal{X}$. By (i) we have that $\tau(a) \in M'$. It follows by the definition of $\tilde{\theta}$ that $\theta(a)_j, \theta(\tau(a))_j \in \tilde{\theta}(M')_j =: M$. This gives,

$$\begin{aligned} \theta(\tau(a))_j &= f|_M^{-1} \circ f(\theta(\tau(a))_j) \\ &= f|_M^{-1} \circ \sigma_{M,j}^{-1} \circ f \circ \tau(a) \\ &= f|_M^{-1} \circ \sigma_{M,j}^{-1} \circ \tau' \circ f(a) \\ &= f|_M^{-1} \circ \tau' \circ \sigma_{M,j}^{-1} \circ f(a) \\ &= f|_M^{-1} \circ \tau' \circ f(\theta(a)_j) \\ &= \tau \circ f|_M^{-1} \circ f(\theta(a)_j) \\ &= \tau(\theta(a))_j. \end{aligned}$$

Here the second and fifth equation hold by (5), the third and sixth equation by (ii) and the fourth equation by (iii). \square

Remark 38. In the case of bijective substitution we have that for any element in the centralizer of G there exists an automorphism. This is no longer the case in the general situation as the following example shows.

Example 39. We consider the substitution

$$\begin{aligned}\theta(a) &= abc \\ \theta(b) &= baa \\ \theta(c) &= caa.\end{aligned}$$

We find directly that $\mathcal{X} = \{\{a, b\}, \{a, c\}\}$. We have $\theta^2(a)_4 = a, \theta^2(b)_4 = b, \theta^2(c)_4 = b$. Thus we define $f(a) = 1, f(b) = f(c) = 2$. This gives

$$\begin{aligned}\sigma_{\{a,b\},0} &= id \\ \sigma_{\{a,b\},1} &= (12) \\ \sigma_{\{a,b\},2} &= (12) \\ \sigma_{\{a,c\},0} &= id \\ \sigma_{\{a,c\},1} &= (12) \\ \sigma_{\{a,c\},2} &= (12).\end{aligned}$$

Therefore, we have $G(\theta) = \{id, (12)\}$ and the centralizer of G is G itself. However, as $a \in \{a, b\}$ and $a \in \{a, c\}$ we know by (i) that $\tau(a) = a$ and therefore $\tau(b) = b, \tau(c) = c$. This gives an automorphism with $\tau = id$ which corresponds to $\tau' = id$, but we don't have any automorphism corresponding to $\tau' = (12)$.

5. RATIONAL ORDERS IN AN AUTOMORPHISM GROUP, TWISTED SUBSTITUTIONS AND k -COMPRESSIONS.

Theorem 32 tells us that we can assume that our substitution is strongly injective, and henceforth we do this. Theorem 33 tells us that all automorphisms whose κ -value is zero arise from alphabet permutations. In this section we investigate the structure of substitutions θ which possess other automorphisms, namely, automorphisms with a non-integer κ -value. We show in Theorem 41 that these automorphisms indicate that θ has a structure coming from some other constant length substitution.

Given a sequence $(x_n)_{n \in \mathbb{Z}} \in \mathcal{A}^{\mathbb{Z}}$, we can consider what Cobham [3] calls its k -compression, which is the sequence $(y_n)_{n \in \mathbb{Z}} \in (\mathcal{A}^k)^{\mathbb{Z}}$ where $y_n := x_{nk} \dots x_{(n+1)k-1}$. The operation of k -compression also applies to

words whose length is a multiple of k . If $\theta : \mathcal{A} \rightarrow \mathcal{A}^r$, and $\alpha_1 \dots \alpha_k \in \mathcal{A}^k$, then the k -compression of the word $\theta(\alpha_1 \dots \alpha_k)$ is a word in \mathcal{A}^k of length r ; this defines a substitution $\theta^{(k)} : \mathcal{B} \rightarrow \mathcal{B}^r$, where $\mathcal{B} \subset \mathcal{A}^k$ is the set of words $\mathcal{B} = \{u[mk, (m+1)k-1] : m \geq 0\}$ where $(u_n)_{n \in \mathbb{N}}$ is a fixed point of θ . Cobham studied the notion of k -compression and showed that if x is r -automatic and primitive, then for any k , its k -compression is also r -automatic and primitive, generated by the substitution $\theta^{(k)}$. We call $\theta^{(k)}$ (resp. $(X_{\theta^{(k)}}, \sigma)$) the k -compression of θ (resp. (X_θ, σ)). It is straightforward to see that (X_θ, σ^k) is topologically conjugate to $(X_{\theta^{(k)}}, \sigma)$.

Definition 40. Let $\theta : \mathcal{A} \rightarrow \mathcal{A}^r$ be a substitution and let $\tau \in \text{Aut}(X_\theta, \sigma)$ with radius 0 satisfying $\kappa(\tau) = 0$ and $\tau^r = \tau$. Define the substitution $\theta_\tau : \mathcal{A} \rightarrow \mathcal{A}^r$ by

$$\theta_\tau(\alpha)_j = \tau^j(\theta(\alpha)_j).$$

We call $(X_{\theta_\tau}, \sigma)$ the τ -twist of (X_θ, σ) .

Recall $\kappa_\theta : \text{Aut}(X_\theta, \sigma) \rightarrow \mathbb{Z}_r$, the group homomorphism defined in Theorem 6. By [5, Theorem 3.16 and Lemma 3.2], $\kappa(\text{Aut}(X_\theta, \sigma))$ is always cyclic and generated by $1/k$ for some k .

Theorem 41. *Let θ be a strongly injective primitive length r substitution of height one such that X_θ is infinite. If $\kappa_\theta(\text{Aut}(X_\theta, \sigma)) = \langle \frac{1}{k} \rangle$ then (X_θ, σ) is topologically conjugate to a twist of a k -compression of (X_η, σ) , with η a primitive length r substitution.*

It is often the case that $\tau = \text{Id}$, and in this case one can conclude that (X_θ, σ) is topologically conjugate to a k -compression. However, situations where τ is nontrivial do occur; see Example 45.

To prove Theorem 41 we prove some preliminary lemmas.

Lemma 42. *Let θ be a primitive length r substitution of height one such that X_θ is infinite. If $\frac{1}{k} \in \kappa(\text{Aut}(X_\theta, \sigma))$ then, by taking a power of θ if necessary, there is an automorphism Φ with $\kappa(\Phi) = \frac{1}{k}$ satisfying*

$$(6) \quad \Phi^r \circ \theta = \theta \circ \Phi,$$

and an automorphism $\tau \in \text{Aut}(X_\theta, \sigma)$ such that $\tau^r = \tau$ and

$$(7) \quad \Phi^k = \sigma \circ \tau.$$

Proof. Let Φ be any automorphism with $\kappa(\Phi) = \frac{1}{k}$. Then we have

$$\pi(\Phi^r \circ \theta(x)) = \frac{r}{k} + \pi(\theta(x)) = r \left(\frac{1}{k} + \pi(x) \right),$$

and since $\frac{1}{k} \in \mathbb{Z}_r$, this implies that $\Phi^{-1} \circ \theta^{-1} \circ \Phi^r \circ \theta : X_\theta \rightarrow X_\theta$ is a well defined bijection which also commutes with σ , i.e. is an automorphism.

We also have $\kappa(\Phi^{-1} \circ \theta^{-1} \circ \Phi^r \circ \theta) = 0$. We claim, by taking a power of θ if necessary, that there exists an automorphism Φ such that $\kappa(\Phi) = \frac{1}{k}$ and Equation (6) holds.

If κ is injective, then $\kappa(\Phi^{-1} \circ \theta^{-1} \circ \Phi^r \circ \theta) = 0$ implies that $\Phi^{-1} \circ \theta^{-1} \circ \Phi^r \circ \theta = \text{Id}$ and we are done. If κ is not injective, consider the map $f : \kappa^{-1}(\frac{1}{k}) \rightarrow \kappa^{-1}(\frac{1}{k})$ given by $\Phi \mapsto \theta^{-1}\Phi^r\theta$. For some $n \geq 1$, and for some Φ , we have $f^n(\Phi) = \Phi$. One verifies that in this case Φ satisfies $\theta^n\Phi = \Phi^{r^n}\theta^n$. As $X_{\theta^n} = X_\theta$, we can replace θ by θ^n if necessary, to assume that we started with a θ for which there exists an automorphism Φ satisfying (6).

For this Φ satisfying (6), we have that $\Phi^k = \sigma \circ \tau$ for some $\tau \in \ker \kappa$. It remains to show that $\tau^r = \tau$. Considering the power θ^{clp} instead of θ , we have by Equation (2) that $\sigma^N \circ \Phi \circ \theta = \theta \circ \Phi$ for some integer N . Using Equation (6), we have $\sigma^N \circ \Phi \circ \theta = \Phi^r \circ \theta$, so that $\sigma^N \Phi = \Phi^r$. Using Equation (7), we have

$$\sigma^r \tau^r = \Phi^{kr} = \sigma^{Nk} \Phi^k = \sigma^{Nk+1} \tau.$$

Both sides being automorphisms with necessarily equal κ -values, this implies that $Nk + 1 = r$, and the result follows. \square

Lemma 43. *Let θ be a strongly injective primitive length r substitution of height one such that X_θ is infinite. If $\Phi \in (X_\theta, \sigma)$ satisfies*

$$\kappa(\Phi) = \frac{1}{k}, \quad \Phi^r \circ \theta = \theta \circ \Phi \quad \text{and} \quad \Phi^k = \sigma \circ \tau$$

for some automorphism $\tau \in \text{Aut}(X_\theta, \sigma)$ such that $\tau^r = \tau$, then there exists a substitution η such that (X_θ, Φ) is topologically conjugate to (X_η, σ) .

Proof. By Theorem 33, τ has radius zero. If θ is defined on the alphabet \mathcal{A} , define a map $\pi : X_\theta \rightarrow \mathcal{A}^{\mathbb{Z}}$ by $\pi(x)_n = (\Phi^n x)_0$. As we assume that $k > 1$, then by an analogue of Proposition 8, Φ has left radius 0 and right radius at most 1. We notice that

$$(8) \quad \pi \circ \Phi = \sigma \circ \pi,$$

where we use σ to denote the shift on either of our spaces. Let $\bar{X} := \pi(X_\theta)$; then \bar{X} is closed and shift invariant. We have

$$\pi(x)_{nk} = (\Phi^{nk}(x))_0 = (\sigma^n \tau^n(x))_0 = (\tau^n(x))_n = \tau^n(x_n),$$

and since τ must be injective on letters, this implies that π is injective.

Since π conjugates (X_θ, Φ) to (\bar{X}, σ) , and $\Phi^k = \sigma \circ \tau$, then π conjugates $(X_\theta, \sigma \circ \tau)$ to (\bar{X}, σ^k) . Since (X_θ, σ) is minimal and τ is an

automorphism, then $(X_\theta, \sigma \circ \tau)$ is minimal and so (\bar{X}, σ^k) is minimal; hence (\bar{X}, σ) is also minimal.

We define a map on \bar{X} by $\eta = \pi \circ \theta \circ \pi^{-1}$. We have

$$(9) \quad \eta \circ \sigma = \pi \circ \theta \circ \pi^{-1} \circ \sigma = \pi \circ \theta \circ \Phi \circ \pi^{-1} = \pi \circ \Phi^r \circ \theta \circ \pi^{-1} = \sigma^r \circ \eta,$$

where the second, third and fourth equalities are by (8), (6) and (8) respectively.

We claim that η is a length r substitution. By (9), it suffices to check that if $z, z' \in \bar{X}$ satisfy $z_0 = z'_0$, then $\eta(z)_i = \eta(z')_i$ for $i = 0, \dots, r-1$. Suppose then that z and $z' \in \bar{X}$ satisfy $z_0 = z'_0$. Let $x = \pi^{-1}z$ and $x' = \pi^{-1}z'$. Notice that if $z = \pi(x)$, then $z_0 = x_0$, so that $x_0 = x'_0$. Hence $\theta(x)_i = \theta(x')_i$ for $0 \leq i < r$. As Φ has right radius at most one and left radius 0, then $\eta(z)_i = (\pi \circ \theta(x))_i = (\pi \circ \theta(x'))_i = \eta(z')_i$ for $0 \leq i \leq r-1$. It follows that η is a length r substitution map, as required.

If $x \in X_\theta$ is a fixed point of θ , then $\pi(x) \in \bar{X}$ is a fixed point of η . Furthermore, by minimality its orbit is dense in \bar{X} , so that \bar{X} is the substitution space of η . By (8), π conjugates $\Phi: X_\theta \rightarrow X_\theta$ to $\sigma: X_\eta \rightarrow X_\eta$. The result follows. \square

Proof of Theorem 41. We continue with the notations of Lemmas 42 and 43. By Lemma 42, there exist automorphisms Φ and τ , with κ values $\frac{1}{k}$ and 0 respectively, and satisfying Equations (6) and (7). Also $\tau^r = \tau$. By Lemma 43, $(X_\theta, \Phi^k) = (X_\theta, \sigma \circ \tau)$ is conjugate to the k -compression $(X_{\eta^{(k)}}, \sigma)$ of the substitution shift (X_η, σ) . Let $\bar{\pi}: (X_\theta, \sigma \circ \tau) \rightarrow (X_{\eta^{(k)}}, \sigma)$ be a conjugacy. Since τ^{-1} is an automorphism of $(X_\theta, \sigma \circ \tau)$, this implies that (X_θ, σ) is conjugate to $(X_{\eta^{(k)}}, \sigma \circ \bar{\tau})$ for some automorphism $\bar{\tau}$ of $(X_{\eta^{(k)}}, \sigma)$ with $\bar{\tau} \in \ker \kappa_{\eta^{(k)}}$.

We claim that $\bar{\tau}$ has radius zero. To see this it is sufficient to show that η is strongly injective, as this will imply that $\eta^{(k)}$ is also strongly injective and we are done by Theorem 33.

Note that the column number of η is at most the column number of θ . If θ has column number c , we can assume, by considering the rotation in the proof of Theorem 32 if necessary, where we replace θ by the appropriate k -shifted 2-sliding block representation, that θ has exactly c right-infinite fixed points and c left-infinite fixed points. The map Φ has left radius zero and right radius one, and each right-infinite θ -fixed point is mapped to a right-infinite η -fixed point. Furthermore any right-infinite η -fixed point is the image under π , of a right-infinite θ -fixed point. Thus η has c right-fixed points and hence its column number must also be c . Now since $\kappa(\Phi^{-1}) = -\kappa(\Phi^{-1})$, Φ^{-1} has left

radius one and right radius 0. Working with Φ^{-1} (i.e. moving up this spacetime diagram, instead of down it), we see as above that η has exactly c left fixed points. By the discussion in the proof of Theorem 32, η is strongly injective.

Thus $\bar{\tau}$ has radius zero. Suppose that $\eta^{(k)}$ is defined on an alphabet \mathcal{B} . Define a map $p : X_{\eta^{(k)}} \rightarrow \mathcal{B}^{\mathbb{Z}}$ by $p(x)_n = ((\sigma \circ \bar{\tau})^n(x))_0$. One verifies that if $x \in X_{\eta^{(k)}}$ is a fixed point for $\eta^{(k)}$, then $p(x)_n = \bar{\tau}^n(x_n)$, i.e. $p(x)$ is a $(\eta^{(k)})_{\bar{\tau}}$ -fixed point. Now p is an injection, since $\bar{\tau}$ is an automorphism with radius zero. Furthermore $p \circ \sigma \circ \bar{\tau} = \sigma \circ p$, i.e. p is a conjugacy between $(X_{\eta^{(k)}}, \sigma \circ \bar{\tau})$ and $(X_{(\eta^{(k)})_{\bar{\tau}}}, \sigma)$. We have shown that (X_{θ}, σ) is conjugate to $(X_{\eta^{(k)}}, \sigma \circ \bar{\tau})$, which is conjugate to $(X_{(\eta^{(k)})_{\bar{\tau}}}, \sigma)$, i.e. that (X_{θ}, σ) is conjugate to the twist of a k -compression. \square

We specialise to the following case, which includes the case when $\text{Aut}(X_{\theta}, \sigma)$ is cyclic, generated by an automorphism whose κ -value is $\frac{1}{k}$. This happens, for instance, if θ has a coincidence, and more generally if κ is injective and θ has height coprime to k [5, Corollary 3.7]. Then we can restate our result as follows.

Corollary 44. *Let θ be a primitive length r substitution such that X_{θ} is infinite. If $\Phi \in \text{Aut}(X_{\theta}, \sigma)$ and $\Phi^k = \sigma$ then (X_{θ}, σ) is topologically conjugate to the k -compression of a substitution shift (X_{η}, σ) .*

The following example shows that the twist in Theorem 41 is indeed necessary.

Example 45. Consider the substitution

$$\begin{aligned} \theta(a) &= afbcb \\ \theta(b) &= ahfgf \\ \theta(c) &= afbdf \\ \theta(d) &= ahfhh \\ \theta(e) &= ebfgf \\ \theta(f) &= edbcb \\ \theta(g) &= ebfhh \\ \theta(h) &= edbdf. \end{aligned}$$

It has an automorphism Φ with κ -value $\frac{1}{3}$, and whose local rule ϕ is given in Table 45.

Let

	a	b	c	d	e	f	g	h
a						b		b
b	f		f	f	h	h		
c		a						
d		g				e		
e		f		f				
f	d	d			b		b	b
g						e		
h		a				c		

TABLE 3. Local rule table for ϕ , Example 45. The entry in the row labelled with α and in the column labelled with β is $\phi(\alpha\beta)$. The map ϕ need only be defined on the language of θ .

$$\begin{aligned}
 \eta(a) &= abfbh \\
 \eta(b) &= abfdg \\
 \eta(c) &= abfbh \\
 \eta(d) &= abfdg \\
 \eta(e) &= efbfd \\
 \eta(f) &= efbhc \\
 \eta(g) &= efbfd \\
 \eta(h) &= efbhc,
 \end{aligned}$$

Now η has an order two automorphism τ defined by the permutation $(ae)(bf)(cg)(dh)$, (X_θ, Φ) is conjugate to (X_η, σ) , and (X_θ, σ) is conjugate to a twist (by τ) of the 3-compression of (X_η, σ) .

In general, what can one say about the κ -kernel of the substitution θ versus that of the substitution η in the statement of Theorem 41? The following examples tell us that in general, there is no elegant statement. In this next example, we were still able to cling to a sense that we could set things up so that the κ -kernels of the relevant maps are isomorphic.

	A	B	C	D	E	F	G	H	I	J	K	L
A	J	J		F								
B			I		I						L	
C	H	H						D				
D					C		E				E	
E						B				B		A
F			C		C		E					
G	J			F				F				
H									G	K		G
I		H		D				D				
J						K			G	K		
K			I				L				L	
L						B			A			A

TABLE 4. The local rule for the square root Φ of the shift in Example 46.

Example 46. Consider the substitution θ on the alphabet \mathcal{A} :

$$\theta(A) = ABC$$

$$\theta(B) = AAD$$

$$\theta(C) = EFG$$

$$\theta(D) = HIB$$

$$\theta(E) = EJJ$$

$$\theta(F) = FCB$$

$$\theta(G) = KKC$$

$$\theta(H) = HLL$$

$$\theta(I) = IDG$$

$$\theta(J) = FEL$$

$$\theta(K) = KGD$$

$$\theta(L) = IHJ.$$

Then θ has one nontrivial automorphism τ belonging to $\ker \kappa_\theta$, defined by the permutation $(AK)(BG)(CD)(EH)(FI)(JL)$. It also has two square roots of the shift, one of which has local rule in Table 46 and which we call Φ , the other of which is $\tau \circ \Phi$. Now using Φ , and working through the proof of Lemma 43, we can show that (X_θ, Φ) is

topologically conjugate to (X_η, σ) where

$$\theta(a) = acb$$

$$\theta(a) = bda$$

$$\theta(c) = cef$$

$$\theta(d) = dfe$$

$$\theta(e) = ead$$

$$\theta(f) = fbc.$$

So θ is the twist of a compression of η , but $\ker \kappa_\eta$ is isomorphic to S_3 , so here it is not the case that the κ -kernels of the two maps θ and η are the same. However, note that if we use $\tau \circ \Phi$ in Lemma 43, we obtain that $(X_\theta, \tau \circ \Phi)$ is topologically conjugate to (X_{η_τ}, σ) , and that $\ker \kappa_{\eta_\tau}$ is isomorphic to $\ker \kappa_\theta$.

However, whatever hope we clung to with Example 46 was dashed with this next example.

Example 47. Consider

$$\theta(A) = ABC$$

$$\theta(B) = DEC$$

$$\theta(C) = AFG$$

$$\theta(D) = DGB$$

$$\theta(E) = HAC$$

$$\theta(F) = DHG$$

$$\theta(G) = HIB$$

$$\theta(H) = HCG$$

$$\theta(I) = ADB.$$

which is a two-compression of (X_{η_1}, σ) where

$$\eta_1(a) = abb,$$

$$\eta_1(b) = bac,$$

$$\eta_1(c) = cca.$$

Note that θ has a nontrivial kernel automorphism τ given by the permutation $(ADH)(BGC)(EIF)$, and so, since it is a two-compression, it also has three automorphisms with κ value $1/2$, Φ_1 , $\Phi_2 = \tau \circ \Phi_1$ and $\Phi_3 = \tau^2 \circ \Phi_1$. Note also that τ and Φ_1 do not commute. Finally, $\Phi_1^2 = \Phi_2^2 = \Phi_3^2 = \sigma$, and using Φ_i in Lemma 43, we get that (X_θ, Φ_i) is conjugate to a two-compression of (X_{η_i}, σ) where

$$\begin{array}{lll} \eta_1(a) = abb, & \eta_2(a) = acb & \eta_3(a) = aab \\ \eta_1(b) = bac & \eta_2(b) = bbc & \eta_3(b) = bcc \\ \eta_1(c) = cca & \eta_2(c) = cba & \eta_3(c) = cba \end{array}$$

all three of whose automorphism groups are trivial.

Remark 48. What causes this breakdown? We have seen in Theorem 37 that the automorphisms of η with κ -value 0 can be characterized in terms of the minimal sets and the group

$$G(\eta) := \langle \sigma_{M,j} : M \in \mathcal{X}, 0 \leq j \leq r-1 \rangle .$$

Let us now consider the k -compression $\eta^{(k)}$ of η for some $k \mid r-1$. One can then show that

$$G(\eta^{(k)}) = \langle \sigma_{M,j} : M \in \mathcal{X}, 0 \leq j \leq r-1, k \mid j \rangle .$$

Thus, we might be in the situation where $G(\eta^{(k)})$ is strictly smaller than $G(\eta)$, or one where the centralizer of $G(\eta^{(k)})$ is strictly larger than the centralizer of $G(\eta)$.

This is precisely what happens in this last example, where $G(\eta_i) = S_3$, so that η_i has a trivial automorphism group, but $G(\eta_i^{(2)}) = A_3 = \{id, (123), (132)\} = C(G(\eta_i^{(2)}))$, so that we have non-trivial automorphisms with κ value 0.

Acknowledgements. We thank Anthony Quas for the key insights in Corollary 44.

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