

NUMBERTHEORETICAL ENDOMORPHISMS WITH σ -FINITE INVARIANT MEASURE

BY
F. SCHWEIGER

ABSTRACT

A class of measurable transformations which serves as a model for several f -expansions is discussed. Sufficient conditions for ergodicity and the existence of a σ -finite invariant measure are given.

1. Introduction

Various models have been proposed which cover almost all known continued fraction-like expansions possessing a finite invariant measure equivalent to Lebesgue measure (Rényi [7], Schweiger [8], Fischer [4]). However, there are interesting examples of simple algorithms which do not exhibit a finite invariant measure. In this note an ergodic theory is given and some examples are worked out in detail.

2. A class of numbertheoretical endomorphisms

Let $(B, \mathcal{F}, \lambda)$ be a probability space. We consider transformations $T: B \rightarrow B$ subject to the following conditions.

- (a) T is measurable and nonsingular.
- (b) There is a partition $\{B(k) \mid k \in I\}$ the fibres $B(k)$ of which are measurable. The index set I is finite or countable.
- (c) There is a family of measurable and nonsingular mappings $V(k): B \rightarrow B(k)$, $k \in I$, such that $V(k)T = 1_{B(k)}$ and $TV(k) = 1_B$.
- (d) We define

$$V(k_1, \dots, k_n) = V(k_1, \dots, k_{n-1}) V(k_n)$$

$$B(k_1, \dots, k_n) = V(k_1, \dots, k_{n-1}) B(k_n)$$

and $\mathcal{L}^{(n)}$ denotes the family of all cylinders $B(k_1, \dots, k_n)$ of order n . Then we

suppose that $\mathcal{X} = \bigcup_{n=1}^{\infty} \mathcal{X}^{(n)}$ generates \mathcal{F} . In our examples this will follow from

$$\lim_{n \rightarrow \infty} \left(\sup_{Z \in \mathcal{X}^{(n)}} \text{diam } Z \right) = 0.$$

(e) We put

$$\Delta(k_1, \dots, k_n)(x) = \frac{d\lambda V(k_1, \dots, k_n)}{d\lambda}(x)$$

Given a constant $C \geq 1$ we call a cylinder $B(k_1, \dots, k_n)$ an R-cylinder if it satisfies "Rényi's condition"

(e.1)

$$\text{ess sup}_{x \in B} \Delta(k_1, \dots, k_n)(x) \leq C \text{ ess inf}_{x \in B} \Delta(k_1, \dots, k_n)(x).$$

The set of all R-cylinders with constant C is denoted by $\mathcal{G}(C, T)$. The ideal case is that we can find a constant $C \geq 1$ such that $\mathcal{G}(C, T) = \mathcal{X}$. In this case (Lemma 4) one can show the existence of a finite invariant measure $\mu \sim \lambda$.

In the examples we want to cover the case $\mathcal{G}(C, T)$ is a proper subclass of \mathcal{X} for all $C \geq 1$. The examples suggest to impose the following weaker condition

(e.2) There can be found a constant $C \geq 1$ and a class $\mathcal{R}(C, T) \subseteq \mathcal{G}(C, T)$

(f.1) If $B(k_1, \dots, k_n) \in \mathcal{R}(C, T)$ then $B(a_1, \dots, a_s, k_1, \dots, k_n) \in \mathcal{R}(C, T)$ for any choice of the sequence a_1, \dots, a_s .

This is a kind of Markov property.

(f.2) Let

$$\mathcal{D}_n := \{B(k_1, \dots, k_n) \in \mathcal{X}^{(n)} \mid B(k_1, \dots, k_s) \in \mathcal{X} \setminus \mathcal{R}(C, T), 1 \leq s \leq n\},$$

then

$$\lim_{n \rightarrow \infty} \sum_{\mathcal{D}_n} \lambda(B(k_1, \dots, k_n)) = 0.$$

Note that we do not assume

$$\sum_{n=1}^{\infty} \sum_{\mathcal{D}_n} \lambda(B(k_1, \dots, k_n)) < \infty.$$

This condition would again imply the existence of a finite invariant measure $\mu \sim \lambda$.

In Section 3 we will prove some general results (ergodicity of T , existence of a σ -finite invariant measure $\mu \sim \lambda$). In Section 4 we will work out some examples.

3. Some general results

LEMMA 1. For any $B(k_1, \dots, k_n) \in \mathcal{X}^{(n)} \cap \mathcal{R}(C, T)$ we have

$$\lambda(T^{-n}E \cap B(k_1, \dots, k_n)) \cong C^{-1}\lambda(E)\lambda(B(k_1, \dots, k_n)).$$

PROOF.

$$\begin{aligned} \lambda(T^{-n}E \cap B(k_1, \dots, k_n)) &= \int_{B(k_1, \dots, k_n)} c_E(T^n x) d\lambda(x) \\ &= \int_B c_E(y) \Delta(k_1, \dots, k_n)(y) d\lambda(y) \\ &\cong C^{-1}\lambda(E)\lambda(B(k_1, \dots, k_n)). \end{aligned}$$

We now introduce the class

$$\mathcal{B}_n = \{B(k_1, \dots, k_n) \in \mathcal{X}^{(n)} \mid B(k_1, \dots, k_n) \in \mathcal{R}(C, T), B(k_1, \dots, k_{n-1}) \in \mathcal{D}_{n-1}\}.$$

We remark that $\bigcup_{j=1}^n \mathcal{B}_j \cup \mathcal{D}_n$ is a disjoint covering of B .

LEMMA 2. Any cylinder is within a set of λ -measure zero a disjoint union of R -cylinders.

PROOF. We may assume $B(k_1, \dots, k_n) \in \mathcal{X} \setminus \mathcal{R}(C, T)$. Then we form the disjoint union representation

$$\begin{aligned} B(k_1, \dots, k_n) &= \bigcup_{t=1}^m \bigcup_{B(a_1, \dots, a_t) \in \mathcal{A}_t} B(k_1, \dots, k_n, a_1, \dots, a_t) \\ &\quad \cup \bigcup_{B(b_1, \dots, b_m) \in \mathcal{B}_m} B(k_1, \dots, k_n, b_1, \dots, b_m). \end{aligned}$$

Here we use (f.1). Then we have

$$\lambda\left(\bigcup_{B(b_1, \dots, b_m) \in \mathcal{B}_m} B(k_1, \dots, k_n, b_1, \dots, b_m)\right) = \sum_{\mathcal{B}_m} \lambda(V(k_1, \dots, k_n)B(b_1, \dots, b_m)).$$

Using (f.2) and the fact that $\lambda(A) = 0$ implies $\lambda(V(k_1, \dots, k_n)A) = 0$,

we are done.

THEOREM 1. T is ergodic with respect to λ .

PROOF. Let $T^{-1}E = E$, then we have

$$\lambda(E \cap Z) \cong C^{-1}\lambda(E)\lambda(Z)$$

for any R -cylinder Z . Lemma 2 implies that this is sufficient to conclude $c_E \cong 1$ a.e.

LEMMA 3. *T admits a σ -finite invariant measure $\mu \sim \lambda$ iff there exists a measurable function f such that*

$$f(x) = \sum_{k \in I} f(V(k)x)\Delta(k)(x) \quad \text{a.e.}$$

PROOF. We take $\mu(A) = \int_A f(x)d\lambda(x)$ and consider the defining equation

$$\mu(T^{-1}A) = \sum_{k \in I} \mu(V(k)A) = \mu(A).$$

LEMMA 4. *If there is a constant D such that $\mathcal{G}(D, T) = \mathcal{L}$, then T admits even a finite invariant measure $\nu \sim \lambda$ and $D^{-1} \leq f \leq D$ a.e.*

PROOF. In this case

$$\begin{aligned} \lambda(T^{-m}B(k_1, \dots, k_n)) &= \sum \lambda(B(a_1, \dots, a_m, k_1, \dots, k_n)) \\ &= \sum \int_B \Delta(a_1, \dots, a_m)(V(k_1, \dots, k_n)x)\Delta(k_1, \dots, k_n)(x) d\lambda(x). \end{aligned}$$

Therefore, using (e.1) which condition now applies to all cylinders, we obtain

$$D^{-1}\lambda(B(k_1, \dots, k_n)) \leq \lambda(T^{-m}B(k_1, \dots, k_n)) \leq D\lambda(B(k_1, \dots, k_n)).$$

From known theorems in ergodic theory (see e.g. Friedman [5]) the lemma follows.

Now we define an auxiliary transformation $T^*: B \rightarrow B$ as follows:

$$T^*x = T^n x \quad \text{iff} \quad x \in B(k_1, \dots, k_n), \quad B(k_1, \dots, k_n) \in \mathcal{B}_n.$$

As can be checked easily, the following lemma is true:

LEMMA 5. *T^* is a numbertheoretical endomorphism in the sense of Section 2. The fibres of the time-one-partition are the cylinders $B(k_1, \dots, k_n) \in \mathcal{B}_n$, $n = 1, 2, \dots$.*

Furthermore, we have

$$\mathcal{G}(C, T^*) = \mathcal{L}^*$$

and there exists a finite T^* -invariant measure $\mu^* \sim \lambda$.

PROOF. The assertion on the time-one-partition follows from the very definition. Using (f.1) we see that all cylinders (with respect to T^*) are

R -cylinders (with respect to T) and therefore satisfy (e.1). We can apply Lemma 4 with $D = C, T$ replaced by $T^*, \nu = \mu^*$.

If we put $\mu^*(A) = \int_A f^*(x) d\lambda(x)$, we note that Lemma 3 implies

$$f^*(x) = \sum_{n=1}^{\infty} \sum_{\mathcal{D}_n} f^*(V(k_1, \dots, k_n)x) \Delta(k_1, \dots, k_n)(x).$$

LEMMA 6. $\sum_{n=1}^{\infty} \sum_{\mathcal{D}_n} \Delta(k_1, \dots, k_n)(x) < \infty$ a.e.

PROOF. Let $B(a_1, \dots, a_m) \in \mathcal{R}(C, T)$. Then

$$\begin{aligned} & \int_{B(a_1, \dots, a_m)} \sum_{n=1}^{\infty} \sum_{\mathcal{D}_n} \Delta(k_1, \dots, k_n)(x) d\lambda(x) \\ &= \sum_{n=1}^{\infty} \left(\sum_{B(k_1, \dots, k_n) \in \mathcal{D}_n} \lambda(B(k_1, \dots, k_n, a_1, \dots, a_m)) \right) \\ &\leq \sum_{n=1}^{\infty} \left(\sum_{\mathcal{D}_n} \lambda(B(k_1, \dots, k_n)) - \sum_{\mathcal{D}_{n+m}} \lambda(B(k_1, \dots, k_n, k_{n+1}, \dots, k_{n+m})) \right) \\ &= \sum_{n=1}^m \sum_{\mathcal{D}_n} \lambda(B(k_1, \dots, k_n)) - \lim_{N \rightarrow \infty} \sum_{j=1}^m \sum_{\mathcal{D}_{n+j}} \lambda(B(k_1, \dots, k_{N+j})) \\ &= \sum_{n=1}^m \sum_{\mathcal{D}_n} \lambda(B(k_1, \dots, k_n)). \end{aligned}$$

Here we have used (f.2) to obtain the convergence of the majorant and the fact that (f.1) implies: Let $B(a_1, \dots, a_m) \in \mathcal{R}(C, T)$ and $B(k_1, \dots, k_n) \in \mathcal{D}_n$, then $B(k_1, \dots, k_n, a_1, \dots, a_m) \notin \mathcal{D}_{n+m}$. By Lemma 2, Lemma 6 is proved.

THEOREM 2. T admits a σ -finite invariant measure $\mu \sim \lambda$.

PROOF. The measurable function

$$f(x) = f^*(x) + \sum_{n=1}^{\infty} \sum_{\mathcal{D}_n} f^*(V(b_1, \dots, b_n)x) \Delta(b_1, \dots, b_n)(x)$$

is finite a.e. by Lemma 6. We will show that f is the density of an invariant measure:

$$\begin{aligned} \sum_{k \in I} f(V(k)x) \Delta(k)(x) &= \sum_{k \in I} \left[f^*(V(k)x) \Delta(k)(x) \right. \\ &\quad + \sum_{n=1}^{\infty} \sum_{\mathcal{D}_n} f^*(V(a_1, \dots, a_n) \\ &\quad \cdot V(k)x) \Delta(a_1, \dots, a_n)(V(k)x) \Delta(k)(x) \left. \right] \end{aligned}$$

$$\begin{aligned}
 &= \sum_{k \in I} \left[f^*(V(k)x)\Delta(k)(x) + \sum_{n=1}^{\infty} \sum_{B(a_1, \dots, a_n) \in \mathcal{L}_n} f^*(V(a_1, \dots, a_n, k)x) \right. \\
 &\quad \left. \cdot \Delta(a_1, \dots, a_n, k)(x) \right] \\
 &= \sum_{n=1}^{\infty} \sum_{B(a_1, \dots, a_n, k) \in \mathcal{B}_n} f^*(V(a_1, \dots, a_{n-1}, k))\Delta(a_1, \dots, a_{n-1}, k)(x) \\
 &\quad + \sum_{n=1}^{\infty} \sum_{B(a_1, \dots, a_n, k) \in \mathcal{L}_n} f^*(V(a_1, \dots, a_{n-1}, k))\Delta(a_1, \dots, a_{n-1}, k)(x) \\
 &= f^*(x) + \sum_{n=1}^{\infty} \sum_{\mathcal{L}_n} f^*(V(a_1, \dots, a_{n-1}, k))\Delta(a_1, \dots, a_{n-1}, k)(x) = f(x).
 \end{aligned}$$

Note that we have used $B(a_1, \dots, a_{n-1}, k) \in \mathcal{B}_n$ iff $B(a_1, \dots, a_{n-1}) \in \mathcal{D}_{n-1}$ and $B(a_1, \dots, a_{n-1}, k) \in \mathcal{R}(C, T)$.

REMARK. f is integrable (and μ is a finite measure iff $\sum_{n=1}^{\infty} \sum_{\mathcal{L}_n} \lambda(B(k_1, \dots, k_n)) < \infty$.

4. Examples

All examples given are on the probability space $B = [0, 1] \text{ mod } 0$, $\mathcal{F} = \sigma$ -algebra of Borel sets, λ Lebesgue measure. We first prove

LEMMA 7. Suppose that all $V(k)$ are continuously differentiable and there is a point $y \in [0, 1]$ such that $Ty = y$ and $T'y = 1$, then for every $C \geq 1$ the class $\mathcal{G}(C, T)$ is a proper subclass of \mathcal{L} .

PROOF. From $Ty = y$ we see that y has a purely periodic expansion $k_s(y) = b, s = 1, 2, \dots$. Therefore for every $n \geq 1$ by the chain rule we obtain

$$\underbrace{\Delta(b, \dots, b)}_n(y) = \underbrace{\Delta(b, \dots, b)}_n(T^n y) = \left[\frac{dT^n}{dx}(y) \right]^{-1} = 1.$$

Hence,

$$\sup_{x \in B} \underbrace{\Delta(b, \dots, b)}_n(x) \geq 1.$$

On the other hand,

$$\lambda(\underbrace{B(b, \dots, b)}_n) = \int_B \underbrace{\Delta(b, \dots, b)}_n(x) d\lambda(x).$$

Therefore

$$\inf_{x \in B} \Delta(b, \dots, b)(x) \leq \varepsilon(n),$$

where $\lim_{n \rightarrow \infty} \varepsilon(n) = 0$.

COROLLARY. *In such a point y we clearly have $f(y) = +\infty$.*

PROOF. Insert y in the formula given by Theorem 2 and observe $V(b, \dots, b)y = y$.

Now we discuss several examples.

(1) This example is due to Rényi (Adler [1]). It is also discussed in Rudolfer [8].

$$I = \{0, 1, 2, \dots, \cdot\}$$

$$B(k) = \left[\frac{k}{k+1}, \frac{k+1}{k+2} \right]$$

$$V(k)(x) = \frac{x+k}{x+k+1}$$

$$Tx = \frac{x}{1-x} \pmod{1}$$

$$\Delta(k_1, \dots, k_s)(x) = \frac{1}{(C_s + D_s x)^2}$$

$$C_1 = k_1 + 1, \quad D_1 = 1$$

$$C_{s+1} = (C_s + D_s)k_{s+1} + C_s, \quad D_{s+1} = C_s + D_s.$$

Therefore $C_s \geq D_s$ iff $k_s \geq 1$.

We take $C = 4$ and we take

$$\mathcal{R}(4, T) = \{B(k_1, \dots, k_s) \mid k_s \geq 1\}$$

$$\mathcal{D}_s = \{B(\underbrace{0, \dots, 0}_s)\}.$$

We remark that $T0 = 0$ and $T'0 = 1$. In fact,

$$\Delta(\underbrace{0, \dots, 0}_s)(x) = \frac{1}{(1 + sx)^2}$$

$$\lambda(B(\underbrace{0, \dots, 0}_s)) = \frac{1}{1+s}.$$

The density of the invariant measure is known:

$$f(x) = \frac{1}{x}.$$

Now take

$$E = B(\underbrace{0, 0, \dots, 0}_s) = \left[0, \frac{1}{1+s} \right].$$

Since the indicator function of $[0, 1] \setminus E$ is integrable with respect to μ , the ergodic theorem implies

$$\lim_{N \rightarrow \infty} \frac{1}{N} \sum_{j=0}^{N-1} c_E(T^j x) = 1.$$

This result states that the frequency of a block $\underbrace{0 \dots 0}_s$ in the sequence of digits is a.e. one.

Put $\Psi(x) = 1 - x$, then the transformation $\Psi T \Psi$ gives a continued fraction-like algorithm which has been useful in algebraic geometry (Hirzebruch [6], Cohn [3]).

(2) This algorithm is mentioned in Adler [1].

$$I = \{0, 1\}$$

$$B(k) = \left[\frac{k}{2}, \frac{k+1}{2} \right]$$

$$V(k)x = \frac{1}{2\pi} \arctan \left(2 \tan \pi x \right) + \frac{k}{2}$$

$$Tx = \frac{1}{\pi} \arctan \frac{\tan 2\pi x}{2}.$$

A direct calculation of $\Delta(k_1, \dots, k_s)$ seems to be complicated, but Fischer was able to prove

LEMMA 8 (Fischer). *Rényi's condition (e.1) is satisfied for the class*

$$\mathcal{R}(e^{6\pi}, T) = \{B(k_1, \dots, k_s) \mid k_{s-1} = 0, k_s = 1 \text{ or } k_{s-1} = 1, k_s = 0\}.$$

PROOF. We note

$$T'x = \frac{4}{1 + 3 \cos^2 2\pi x}, \quad T''x = \frac{24\pi \sin 4\pi x}{(1 + 3 \cos^2 2\pi x)^2}.$$

Therefore,

$$|T''z/T'z| \leq 6\pi \quad \text{for all } z \in B.$$

Clearly

$$\sup_{x,y \in B} \left| \frac{\Delta(k_1, \dots, k_s)(x)}{\Delta(k_1, \dots, k_s)(y)} \right| = \sup_{n,v \in B(k_1, \dots, k_s)} \left| \frac{(T^s)'n}{(T^s)'v} \right|.$$

Then we estimate

$$\begin{aligned} \log \left| \frac{(T^s)'n}{(T^s)'v} \right| & \left| \sum_{i=0}^{s-1} \log T'(T^i n) - \log T'(T^i v) \right| \\ & \leq 6\pi \sum_{i=0}^{s-1} |T^i n - T^i v| \\ & \leq 6\pi \sum_{i=0}^{s-1} \lambda(B(k_{i+1}, \dots, k_s)). \end{aligned}$$

We will only discuss the case $k_{s-1} = 0, k_s = 1$. Then we will show

$$(*) \quad \lambda(B(a_1, \dots, a_n, 0, 1)) \leq \lambda(B(\underbrace{0, \dots, 0}_n, 0, 1))$$

for any choice of (a_1, \dots, a_n) .

If we take this result as granted, we conclude

$$\begin{aligned} & \sum_{i=0}^{s-2} \lambda(B(k_{i+1}, \dots, k_{s-2}, 0, 1)) + \lambda(B(1)) \\ & \leq \sum_{i=0}^{s-1} \lambda(B(\underbrace{0, \dots, 0}_i, 0, 1)) \leq 1. \end{aligned}$$

Now we will prove (*) by induction on n . The case $n = 0$ is clear. Using

$$\Delta(k)(x) = \frac{2}{5 - 3 \cos 2\pi x}$$

$$\cos 2\pi V(0)x = -\cos 2\pi V(1)x,$$

one verifies (by induction on t)

$$\Delta(k)(V(\underbrace{0, \dots, 0}_t, 0, 1)1) = \Delta(k)(V(\underbrace{1, \dots, 1}_t, 0, 1)1).$$

Now let us assume $(a_2, \dots, a_n) \neq (0, \dots, 0)$. Then we have

$$\begin{aligned} V(\underbrace{0, \dots, 0}_{n-1}, 0, 1)1 & \leq V(a_2, \dots, a_n, 0, 1)x \\ & \leq V(\underbrace{1, \dots, 1}_{n-1}, 0, 1)1. \end{aligned}$$

Now we calculate

$$\begin{aligned}
 & \lambda(B(a_1, \dots, a_n, 0, 1)) \\
 &= \int_0^1 \Delta(a_1, \dots, a_n, 0, 1)(x) d\lambda(x) \\
 &= \int_0^1 \Delta(a_1)(V(a_2, \dots, a_n, 0, 1)x) \Delta(a_2, \dots, a_n, 0, 1)(x) d\lambda(x) \\
 &\cong \Delta(a_1)(\underbrace{V(0, \dots, 0, 0, 1)}_{n-1}) \lambda(B(a_2, \dots, a_n, 0, 1)) \\
 &\cong \Delta(a_1)(\underbrace{V(0, \dots, 0, 0, 1)}_{n-1}) \lambda(B(\underbrace{0, \dots, 0, 0, 1}_{n-1})) \\
 &\cong \int_0^1 \Delta(a_1)(\underbrace{V(0, \dots, 0, 0, 1)}_{n-1})x \Delta(\underbrace{0, \dots, 0, 0, 1}_{n-1})(x) d\lambda(x) \\
 &= \lambda(B(\underbrace{0, \dots, 0, 0, 1}_n)).
 \end{aligned}$$

Here we used that $\Delta(k)$ is independent of k . Similarly one calculates

$$\lambda(B(\underbrace{1, 0, \dots, 0, 0, 1}_{n-1})) = \lambda(B(\underbrace{0, 0, \dots, 0, 0, 1}_{n-1})).$$

Now we have seen that we can choose $C = e^{6\pi}$ and $\mathcal{R}(e^{6\pi}, T)$ according to the preceding lemma.

$$\mathcal{D}_s = \{ \underbrace{B(0, \dots, 0)}_s, \underbrace{B(1, \dots, 1)}_s \}.$$

In this case $T0 = 0, T1 = 1$ and $T'0 = T'1 = 1$. Using

$$\cos^2 2\pi V(k)x = \frac{1 + \cos 2\pi x}{5 - 3 \cos 2\pi x},$$

one can prove

$$\lim_{n \rightarrow \infty} \cos 2\pi V(\underbrace{0, \dots, 0}_n)x = \lim_{n \rightarrow \infty} \cos 2\pi V(\underbrace{1, \dots, 1}_n)x = 1.$$

From this condition (f.2) follows. The density of the invariant measure is known:

$$f(x) = \frac{1}{1 - \cos 2\pi x}.$$

NOTE. The transformation $S: \mathcal{R} \rightarrow \mathcal{R}$ defined by $Sx = x - 1/x$ a.e. preserves Lebesgue measure. We define

$$\psi: [0, 1] \rightarrow \mathcal{R}, \quad x \rightarrow \tan\left(x\pi - \frac{\pi}{2}\right) \text{ a.e.},$$

then easily that

$$S\psi = \psi T$$

and

$$\lambda(\psi E) = \int_E \frac{2}{1 - \cos 2\pi x} dx.$$

Hence we can deduce from Theorem 1 the main theorem of the paper by Adler and Weiss [2]: S is ergodic.

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DEPARTMENT OF MATHEMATICS
MICHIGAN STATE UNIVERSITY
EAST LANSING, MICHIGAN, U.S.A.