

ON THE MIXING COEFFICIENTS OF PIECEWISE MONOTONIC MAPS

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ABSTRACT

We investigate the mixing coefficients of interval maps satisfying Rychlik's conditions. A mixing Lasota–Yorke map is reverse ϕ -mixing. If its invariant density is uniformly bounded away from 0, it is ϕ -mixing iff all images of all orders are big, in which case it is ψ -mixing. Among β -transformations, non- ϕ -mixing is generic. In this sense, the asymmetry of ϕ -mixing is natural.

0. Introduction

MIXING AND MEASURES OF DEPENDENCE BETWEEN σ -ALGEBRAS. A mixing property of a stationary stochastic process $(\dots, X_{-1}, X_0, X_1, \dots)$ reflects a decay of the statistical dependence between the past σ -algebra $\sigma(\{X_k : k \leq 0\})$ and the asymptotic future σ -algebra $\sigma(\{X_k : k \geq n\})$ as $n \rightarrow \infty$ and the various mixing properties are described by corresponding measures of dependence between σ -algebras (see [Br]).

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Let (Ω, \mathcal{F}, P) be a probability space, and let $\mathcal{A}, \mathcal{B} \subset \mathcal{F}$ be sub- σ -algebras. We consider the following measures of dependence:

$$\psi(\mathcal{A}, \mathcal{B}) := \sup\left\{\left|\frac{P(A \cap B) - P(A)P(B)}{P(A)P(B)}\right| : B \in \mathcal{B}_+, A \in \mathcal{A}_+\right\},$$

$$\phi(\mathcal{A}, \mathcal{B}) := \sup\left\{\left|\frac{P(A \cap B)}{P(A)} - P(B)\right| : B \in \mathcal{B}_+, A \in \mathcal{A}_+\right\},$$

$$\beta(\mathcal{A}, \mathcal{B}) := \sup\left\{\frac{1}{2} \sum_{a \in \zeta, b \in \xi} |P(a \cap b) - P(a)P(b)| : \zeta \subset \mathcal{A}, \xi \subset \mathcal{B} \text{ finite partitions}\right\},$$

where, for $\mathcal{C} \subset \mathcal{F}$, $\mathcal{C}_+ := \{C \in \mathcal{C} : m(C) > 0\}$.

As shown in [Br],

$$\beta(\mathcal{A}, \mathcal{B}) \leq \phi(\mathcal{A}, \mathcal{B}) \leq \frac{1}{2}\psi(\mathcal{A}, \mathcal{B}).$$

Note that $\beta(\mathcal{A}, \mathcal{B}) = \beta(\mathcal{B}, \mathcal{A})$ and $\psi(\mathcal{B}, \mathcal{A}) = \psi(\mathcal{A}, \mathcal{B})$ but it may be that $\phi(\mathcal{B}, \mathcal{A}) \neq \phi(\mathcal{A}, \mathcal{B})$ (see [Br] and below).

Accordingly, we set $\phi_+(\mathcal{A}, \mathcal{B}) := \phi(\mathcal{A}, \mathcal{B})$ and $\phi_-(\mathcal{A}, \mathcal{B}) := \phi(\mathcal{B}, \mathcal{A})$.

These measures of dependence give rise to the following **mixing coefficients** of a stationary stochastic process $(\dots, X_{-1}, X_0, X_1, \dots)$ defined on the probability space (Ω, \mathcal{F}, P) :

$$\xi(n) := \xi(\sigma(\{X_t\}_{t \leq 0}), \sigma(\{X_t\}_{t \geq n+1})) (\xi = \psi, \phi_+, \phi_-, \beta),$$

and the stationary stochastic process $(\dots, X_{-1}, X_0, X_1, \dots)$ is called **ξ -mixing** if $\xi(n) \xrightarrow[n \rightarrow \infty]{} 0$.

The property β -mixing is also known as **absolute regularity** and **weak Bernoulli**.

By stationarity, we have

$$\xi(n) = \sup_{k \geq 1} \xi(\sigma(\{X_t\}_{0 \leq t \leq k-1}), \sigma(\{X_t\}_{t \geq n+k+1})) (\xi = \psi, \phi_+, \phi_-, \beta).$$

PIECEWISE MONOTONIC MAPS. A **non-singular, piecewise monotonic map** (PM map) of the interval $X := [0, 1]$ is denoted (X, T, α) , where α is a finite or countable collection of open subintervals of X which is a partition in the sense that $\bigcup_{a \in \alpha} a = X \text{ mod } m$ (where m is Lebesgue measure) and $T: X \rightarrow X$ is a map such that $T|_A$ is absolutely continuous, strictly monotonic for each $A \in \alpha$.

Let (X, T, α) be a PM map. For each $n \geq 1$, (X, T^n, α_n) is also a PM map, where

$$\alpha_n := \{[a_0, \dots, a_{n-1}] := \bigcap_{k=0}^{n-1} T^{-k} a_k : a_0, \dots, a_{n-1} \in \alpha\}.$$

A PM map (X, T, α) satisfies $m \circ T^{-1} \ll m$, whence $f \in L^\infty(m) \Rightarrow f \circ T \in L^\infty(m)$. Let $\widehat{T}: L^1(m) \rightarrow L^1(m)$ be the preudal of $f \mapsto f \circ T$; then

$$\widehat{T}^n g = \sum_{a \in \alpha_n} v'_a 1_{T^n a} g \circ v_a$$

where $v_a: T^n a \rightarrow a$ is given by $v_a := (T^n|_a)^{-1}$. Under certain additional assumptions (see below), $\exists h \in L^1(m)$, $h \geq 0$, $\int_X h dm = 1$, so that $\widehat{T}h = h$, i.e. $dP = h dm$ is an absolutely continuous, T -invariant probability (a.c.i.p.).

MIXING COEFFICIENTS OF PM MAPS. Now let (X, T, α) be a PM map with a.c.i.p. P . We define the **mixing coefficients** with respect to the probability space $(X, \mathcal{B}(X), P)$:

$$\xi(n) := \sup_{k \geq 1} \xi(\sigma(\alpha_0^{k-1}), T^{-(n+k)}\mathcal{B}(X)) \quad (\xi = \psi, \phi_+, \phi_-, \beta)$$

and call the PM map ξ -**mixing** if $\xi(n) \xrightarrow{n \rightarrow \infty} 0$.

EXAMPLE: GAUSS' CONTINUED FRACTION MAP. This PM map (X, T, α) with $Tx = 1/x \bmod 1$ and $h(x) = 1/\ln 2(1+x)$ was one of the first considered (see [I-K]). Following Kuzmin's proof (in [Ku]) that $\|\widehat{T}^n 1 - h\|_\infty \leq M\theta^{\sqrt{n}}$ (some $M > 0, \theta \in (0, 1)$), Khinchine noted ([Kh]) that

$$\psi^*(n) := \sup_{a \in \alpha_k, k \geq 1} \|\widehat{T}^n \frac{v'_a}{m(a)} - h\|_\infty \leq M\theta^{\sqrt{n}}.$$

This estimate was improved by Lévy to $\psi^*(n) \leq M\theta^n$ (see [L]).

To see that (X, T, α) is ψ -mixing, one estimates the similar

$$\psi^\circ(n) := \sup_{a \in \alpha_k, k \geq 1} \frac{1}{m(a)} \|\widehat{T}^n(v'_a h \circ v_a) - hP(a)\|_\infty.$$

The exponential convergence to zero of $\psi^\circ(n)$ was shown in [Go]. Theorem 1(b) is a generalization of this to non-Markov situations. The connection with mixing is seen through the identity $\widehat{T}^{n+k}(1_a h) = \widehat{T}^n(v'_a h \circ v_a)$ for $k, n \geq 1$, $a \in \alpha_k$ (see below).

RU MAPS. These are PM maps satisfying the conditions (U) and (R) below. The PM map (X, T, α) is called **uniformly expanding** if

$$(U) \quad \inf_{x \in \alpha \in \alpha} |T'(x)| =: \beta > 1;$$

and is said to

- satisfy **Rychlik's condition** ([Ry], see also [ADSZ]) if

$$(R) \quad \sum_{A \in \alpha} \|1_{TA}v'_A\|_{BV} =: \mathcal{R} < \infty,$$

where $\|f\|_{BV} := \|f\|_\infty + \int_X f$ and v'_A is that version of this L_1 -function which minimizes variation.

Suppose that (X, T, α) satisfies (R) and (U); then by proposition 1 in [Ry], $\exists M_0 > 0, \theta \in (0, 1)$ such that

$$(1) \quad \sum_{\alpha \in \alpha_n} \|1_{T^n \alpha} v'_\alpha f \circ v_\alpha\|_{BV} \leq M_0(\theta^n \|f\|_{BV} + \|f\|_1) \leq 2M_0 \|f\|_{BV} \quad \forall n \geq 1.$$

It follows (see [Ry]) that the ergodic decomposition of $(X, \mathcal{B}(X), m, T)$ is finite, that each ergodic component is open mod m and that the tail $\bigcap_{n=0}^\infty T^{-n}\mathcal{B}$ is finite and cyclic on each ergodic component. Moreover, on each ergodic component $C, \exists h = h_C: C \rightarrow \mathbb{R}, h \geq 0, \int_X h dm = 1, h \in BV, [h > 0]$ open mod m so that $\widehat{T}h = h$ and $C = \bigcap_{n=0}^\infty T^{-n}[h > 0] \text{ mod } m$. The probability $dP_C = h_C dm$ is an ergodic a.c.i.p. for T . A RU map (X, T, α) which is conservative and ergodic with respect to m is called **basic**. In this case, $\exists h: X \rightarrow \mathbb{R}, h > 0, \int_X h dm = 1, h \in BV$ so that $\widehat{T}h = h$. A RU map (X, T, α) which is conservative and ergodic with respect to m is called **weakly mixing** if $(X, \mathcal{B}(X), P, T)$ is weakly mixing (where $P \sim m$ is the a.c.i.p. for T).

Let (X, T, α) be a weakly mixing RU map; then it is exact with respect to m , and $\exists C > 0, r \in (0, 1)$ so that

$$(2) \quad \|\widehat{T}^n f - \int_X f dm h\|_{BV} \leq Cr^n \|f\|_{BV} \quad \forall f \in BV, n \geq 1$$

([Ry], see also the earlier [H-K] for the case where $\#\alpha < \infty$).

AFU MAPS. The PM map (X, T, α) is called C^2 if, for all $A \in \alpha, T: \overline{A} \rightarrow T\overline{A}$ is a C^2 diffeomorphism. The C^2 PM (X, T, α) map is called an **AFU map** (as in [Z]) if it satisfies (U),

$$(F) \quad T\alpha := \{TA : A \in \alpha\} \text{ is finite;}$$

and

$$(A) \quad \sup_X \frac{|T''|}{(T')^2} < \infty.$$

A **Lasota–Yorke (LY) map** is an AFU map (X, T, α) with α finite (as in [L-Y]).

Let (X, T, α) be an AFU map; then as can be gleaned from [Z],

- (X, T, α) is a RU map whose ergodic components are finite unions of intervals,
- $1_{[h>0]}/h \in BV$ (and $1/h \in BV$ in case (X, T, α) is basic) whenever $h \in BV$, $h \geq 0, \widehat{T}h = h$,
- $\exists K > 0$ so that

$$(3) \quad |v''_a(x)| \leq K v'_a(x), \quad v'_a(x) = e^{\pm K} \frac{m(a)}{m(T^n a)} \quad \forall n \geq 1, a \in \alpha_n.$$

1. Mixing coefficients of RU maps

As shown in [Ry], if (X, T, α) is a weakly mixing RU map, then

$$\beta(n) \leq 2CM_0 \|h\|_{BV} r^n \quad (n \geq 1)$$

where M_0 is as in (1) and $C > 0, r \in (0, 1)$ are as in (2) (see the remark after Lemma 2 below).

THEOREM 1:

(a) Let (X, T, α) be a weakly mixing RU map.

If $\inf_{[h>0]} h > 0$, then $\exists B > 0$ so that $\phi_-(n) \leq Br^n$.

(b) Let (X, T, α) be a basic, weakly mixing AFU map.

If $\inf_{n \geq 1, a \in \alpha_n} m(T^n a) > 0$, then $\exists B > 0$ so that $\psi(n) \leq Br^n$.

(c) Let (X, T, α) be a PM map with a.c.i.p. $P \ll m, \#\alpha < \infty$ and so that $\sigma(\{T^{-n}\alpha : n \geq 0\}) = \mathcal{B}(X)$.

If $\inf_{n \geq 1, a \in \alpha_n} m(T^n a) = 0$, then $\phi_+(n) = 1 \forall n \geq 1$.

Remarks: (1) It follows that $\phi_-(n) \rightarrow 0$ exponentially for any weakly mixing AFU map. This result was announced in [Go] for β -transformations.

(2) Part (b) of the theorem is only established for basic maps as we do not know whether $\inf_{n \geq 1, a \in \alpha_n} m(T^n a) > 0$ implies

$$\inf\{m(T^n a \cap [h > 0]) : n \geq 1, a \in \alpha_n, m(a \cap [h > 0]) > 0\} > 0.$$

PROOF OF THEOREM 1.

LEMMA 2: Let (X, T, α) be a weakly mixing RU map; then

$$|P(A \cap T^{-(n+k)}B) - P(B)P(A)| \leq Mr^n m(B \cap [h > 0])$$

$\forall n, k \geq 1, A \in \sigma(\alpha_k), B \in \mathcal{B}(X)$, where $M := 2CM_0\|h\|_{\text{BV}}$ with M_0 as in (1) and $C > 0, r \in (0, 1)$ as in (2).

Proof: We show first that

$$(4) \quad \phi_-^\circ(n) := \sup\{\|\widehat{T}^{n+k}(1_A h) - P(A)h\|_\infty : k \geq 1, A \in \sigma(\alpha_k)\} \leq Mr^n \quad \forall n \geq 1.$$

The sequence $\phi_-^\circ(n)$ is the analogue of $\psi^\circ(n)$ for ϕ_- -mixing.

To see (4), fix $k \geq 1$ and suppose that $A \in \sigma(\alpha_k), A = \bigcup_{a \in \mathfrak{a}} a$ where $\mathfrak{a} \subseteq \alpha_k$; then

$$\begin{aligned} \widehat{T}^k(h1_A) &= \sum_{a \in \mathfrak{a}} v'_a 1_{T^k a} h \circ v_a, \\ P(A) &= \sum_{a \in \mathfrak{a}} P(a) = \sum_{a \in \mathfrak{a}} \int_{T^k a} v'_a h \circ v_a dm, \end{aligned}$$

and for $n \geq 1$,

$$\widehat{T}^{n+k}(1_A h) = \sum_{a \in \mathfrak{a}} \widehat{T}^n(v'_a 1_{T^k a} h \circ v_a).$$

Thus

$$\begin{aligned} \|\widehat{T}^{n+k}(1_A h) - P(A)h\|_\infty &\leq \sum_{a \in \mathfrak{a}} \|\widehat{T}^n(v'_a 1_{T^k a} h \circ v_a) - h \int_{T^k a} v'_a h \circ v_a dm\|_\infty \\ &\leq Cr^n \sum_{a \in \mathfrak{a}} \|v'_a 1_{T^k a} h \circ v_a\|_{\text{BV}} \quad \text{by (2)} \\ &\leq 2CM_0\|h\|_{\text{BV}}r^n \quad \text{by (1)}, \end{aligned}$$

establishing (4). Using (4), for $k \geq 1, A \in \alpha_k, B \in \mathcal{B}$,

$$\begin{aligned} |P(A \cap T^{-(n+k)}B) - P(A)P(B)| &= \left| \int_{B \cap \{h > 0\}} (\widehat{T}^{n+k}(1_A h) - P(A)h) dm \right| \\ &\leq Mr^n m(B \cap \{h > 0\}). \quad \blacksquare \end{aligned}$$

Remark: It was shown in [Ry], using a version of Lemma 2, that for a weakly mixing RU map, $\beta(n) \leq Mr^n$.

Proof of Theorem 1 (a): By Lemma 2, for $n, k \geq 1, A \in \sigma(\alpha_k), B \in \mathcal{B}(X)$,

$$\begin{aligned} |P(A \cap T^{-(n+k)}B) - P(B)P(A)| &\leq Mr^n m(B \cap \{h > 0\}) \\ &\leq M \left\| \frac{1}{h} \right\|_{L^\infty(\{h > 0\})} r^n P(B). \quad \blacksquare \end{aligned}$$

Proof of Theorem 1 (b): We show first that if $\inf_{n \geq 1, a \in \alpha_n} m(T^n a) =: \eta > 0$, then

$$(5) \quad \|\widehat{T}^{n+N}(1_a h) - P(a)h\|_\infty \leq M_1 r^n m(a) \quad \forall N, n \geq 1, a \in \alpha_N$$

where $M_1 := 4Ce^K \|h\|_{BV}/\eta$. A standard calculation shows that

$$(6) \quad \|\widehat{T}^k(1_a h)\|_{BV} = \|v'_a 1_{T^k a} h \circ v_a\|_{BV} \leq 4e^K \|h\|_{BV} \frac{m(a)}{m(T^k a)} \quad \forall k \geq 1, a \in \alpha_k.$$

To see (5), fix $N, n \geq 1, a \in \alpha_N$, and note that $\widehat{T}^N(1_a h) = 1_{T^N a} h \circ v_a v'_a$. By (2), (3) and (6),

$$\begin{aligned} \|\widehat{T}^{n+N}(1_a h) - P(a)h\|_\infty &= \|\widehat{T}^n(1_{T^N a} h \circ v_a v'_a) - P(a)h\|_\infty \\ &\leq Cr^n \|1_{T^N a} h \circ v_a v'_a\|_{BV} \\ &\leq 4Ce^K \|h\|_{BV} \frac{m(a)}{m(T^N a)} r^n \leq M_1 r^n m(a). \end{aligned}$$

Now let $N \geq 1$ and suppose that $A \in \sigma(\alpha_N)$, $A = \bigcup_{a \in \mathfrak{a}} a$ where $\mathfrak{a} \subseteq \alpha_N$. It follows from (5) that $\forall B \in \mathcal{B}, n \geq 1$,

$$\begin{aligned} |P(A \cap T^{-(n+N)} B) - P(A)P(B)| &\leq \int_B |\widehat{T}^{n+N}(1_A h) - P(A)h| dm \\ &\leq m(B) \|\widehat{T}^{n+N}(1_A h) - P(A)h\|_\infty \\ &\leq M_1 r^n m(B) \sum_{a \in \mathfrak{a}} m(a) \\ &= M_1 r^n m(A)m(B) \\ &\leq M_1 \left(\left\| \frac{1}{h} \right\|_\infty \right)^2 r^n P(A)P(B). \quad \blacksquare \end{aligned}$$

Proof of Theorem 1 (c): Since $\sigma(\{T^{-n}\alpha : n \geq 0\}) = \mathcal{B}(X)$,

$$\max\{m(a) : a \in \alpha_n\} \rightarrow 0 \quad \text{as } n \rightarrow \infty.$$

Fix $0 < \epsilon < 1$ and choose $\ell \geq 1$ so that $\max\{m(a) : a \in \alpha_\ell\} < \epsilon/2\|h\|_\infty$.

We show that $\phi_+(N) \geq 1 - \epsilon \forall N \geq 1$. Indeed, fix $N \geq 1$.

Since $\inf_{n \geq 1, a \in \alpha_n} m(T^n a) = 0$, and $\#\alpha_{N+\ell} < \infty, \exists k \geq 1, \omega \in \alpha_k$ so that $m(T^k \omega) < \min\{m(a) : a \in \alpha_{N+\ell}\}$.

Since $T^k \omega$ is an interval, $\exists b = [b_1, \dots, b_{N+\ell}], c = [c_1, \dots, c_{N+\ell}] \in \alpha_{N+\ell}$ so that $T^k \omega \subset J := b \uplus c$. Next, $T^N J \subset [b_{N+1}, \dots, b_{N+\ell}] \cup [c_{N+1}, \dots, c_{N+\ell}] \in \sigma(\alpha_\ell)$, whence $m(T^N J) \leq 2 \max\{m(a) : a \in \alpha_\ell\} < \epsilon/\|h\|_\infty$ and $\exists B \in \sigma(\alpha_\ell), B \cap T^N J = \emptyset, m(B) > 1 - \epsilon/\|h\|_\infty$. It follows that $P(B) > 1 - \epsilon$, and that

$$\phi_+(N) \geq P(B) - P(T^{-(N+k)} B|\omega) = P(B) > 1 - \epsilon. \quad \blacksquare$$

2. Examples

β -EXPANSIONS. For $\beta > 1$, consider (X, T_β, α) where $X = [0, 1]$, $T_\beta: X \rightarrow X$ is given by $T_\beta x := \{\beta x\}$ and

$$\alpha := \left\{ \left\lfloor \frac{j}{\beta}, \frac{j+1}{\beta} \right\rfloor \right\}_{j=0}^{[\beta]-1} \cup \left\{ \left\lfloor \frac{[\beta]}{\beta}, 1 \right\rfloor \right\}.$$

As shown in [Pa], (X, T_β, α) is a basic LY map. Theorem 1(a) applies and $\phi_-(n) \rightarrow 0$ exponentially. To apply Theorem 1(b), we prove:

PROPOSITION 3:

$$(7) \quad \inf_{n \geq 1, a \in \alpha_n} m(T_\beta^n a) = \inf_{n \geq 1} T_\beta^n 1.$$

Proof: Define (as in [Pa]) $\pi: X \rightarrow \{0, 1, \dots, [\beta]\}^\mathbb{N}$ by $\pi(x)_n := [\beta T_\beta^{n-1} x]$ and set $X_\beta := \overline{\pi_\beta(I)}$. Let \prec denote lexicographic order on $\{0, 1, \dots, [\beta]\}^\mathbb{N}$. Then (see [Pa]) $x < y$ implies $\pi(x) \prec \pi(y)$ and that $\pi(x) \prec \pi(y)$ implies $x \leq y$.

Let

$$\omega = \omega_\beta := \begin{cases} (\overline{a_1, a_2, \dots, a_{q-1}, a_q - 1}), & \pi_\beta(1) = (a_1, a_2, \dots, a_{q-1}, a_q, \overline{0}), \\ \pi_\beta(1) & \text{else.} \end{cases}$$

By [Pa],

$$(8) \quad X_\beta = \{y \in \{0, 1, \dots, [\beta]\}^\mathbb{N} : y_k^\infty \prec \omega \forall k \geq 1\},$$

where $y_k^\infty := (y_k, y_{k+1}, \dots)$. For $a = [a_1, \dots, a_N] \in \alpha_N$, define

$$K_N(a) := \begin{cases} 0 & \nexists 1 \leq n \leq N, a_{N-n+1}^N = \omega_1^n \\ \max\{1 \leq n \leq N, a_{N-n+1}^N = \omega_1^n\} & \text{else} \end{cases}$$

(where $a_j^k := (a_j, a_{j+1}, \dots, a_k)$). Then by (8),

$$\pi([a_1, \dots, a_N]) = \{x \in X_\beta : x \prec \omega_{K_N(a)+1}^\infty\} = \pi[0, T_\beta^{K_N(a)} 1],$$

whence $T_\beta^N [a_1, \dots, a_N] = [0, T_\beta^{K_N(a)} 1]$. The proposition follows from this. ■

Thus by Theorem 1(b), T_β is ψ -mixing iff $\inf_{n \geq 1} T_\beta^n 1 > 0$, or equivalently (see [Bl]), X_β is **specified** in the sense that $\exists L \geq 1$ so that

$$m(a \cap T_\beta^{-(i+L)} b) > 0 \quad \forall a \in \alpha_i, b \in \alpha_j.$$

As shown in [S], the set $\{\beta > 1 : X_\beta \text{ specified}\}$ is a meagre set of Lebesgue measure zero and Hausdorff dimension 1 in \mathbb{R} and so exponential ψ -mixing occurs for many $\beta > 1$ for which X_β is not sofic.

“JAPANESE” CONTINUED FRACTIONS. Fix $\alpha \in (0, 1]$ and define $T = T_\alpha : [\alpha - 1, \alpha) \cup$ by

$$T_\alpha x := \left\lfloor \frac{1}{x} \right\rfloor - \left[\left\lfloor \frac{1}{x} \right\rfloor + 1 - \alpha \right].$$

These maps generalize the well-known Gauss map T_1 . For $\alpha \in (0, 1)$, T_α is a topologically mixing, basic AFU map, whence by Theorem 1,

- exponentially reverse ϕ -mixing, and
- exponentially ψ -mixing when $\inf\{m(T^n a) : n \geq 1, a \in \alpha_n\} > 0$.

Theorem 1(c) does not apply since $\#\alpha = \infty$. However, as shown in [N-N], for Lebesgue a.e. $\frac{1}{2} < \alpha < 1$, T_α is not ϕ_+ -mixing.

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