

NOTES ON ORBIT EQUIVALENCE OF TOPOLOGICAL MARKOV SHIFTS AND CK ALGEBRAS

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ABSTRACT. These notes were used as the basis for a series of lectures I gave as part of the Fall 2022 “Noncommutative Analysis Seminar” at University of Delaware. The main focus is on explaining semi-recent results of Matsumoto on connections between what we call a topological one-sided shift space, and certain Cuntz-Krieger algebras. The majority of the material was taken from the two Matsumoto papers referenced in the last section; I do not claim any of the proof ideas as new or novel. Indeed, the purpose of these notes is only meant to be expository, and as an educational resource; it should not be referenced.

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1. NOTATION AND PRELIMINARIES

We will use this section to lay out the basics in notation, and discuss some preliminary results that will be necessary for what follows.

We write $\mathbb{N}_+ = \mathbb{N} \cup \{0\}$. Characteristic functions of a set S are denoted as χ_S .

Definition 1.1. *A topological space is said to be totally disconnected if there are no non-trivial connected subsets.*

Remark. In what follows, it is often enough to assume the topological spaces we deal with are generated by a basis of clopen sets in order to guarantee total disconnectedness.

Definition 1.2. *A Cantor set is any compact, metrizable, totally disconnected space with no isolated points.*

Remark: Any two spaces which are compact Hausdorff, metrizable, totally disconnected and have no isolated points are homeomorphic via Brower’s Theorem; hence, any two Cantor spaces are homeomorphic.

Let $A = (A(i, j))_{i, j}^N$ be an $N \times N$ matrix with entries in $\{0, 1\}$, where $1 < N \in \mathbb{N}$. In what follows, we will assume A has no rows or columns identical to zero. Define

$$X_A := \{(x_n)_{n \in \mathbb{N}} \mid x_n \in [N], A(x_n, x_{n+1}) = 1 \text{ for all } n \in \mathbb{N}\}.$$

We note that X_A is a compact Hausdorff space inside the compact product space $[N]^{\mathbb{N}}$ (via Tychonoff's Theorem). The shift transformation σ_A on X_A is defined via

$$\sigma_A((x_n)_n) = (x_{n+1})_{n \in \mathbb{N}}.$$

Definition 1.3. *The topological dynamical system (X_A, σ_A) is called the (right) one-sided topological Markov shift for A .*

Remark: We assume A satisfies what is known as Condition (I) as defined in [1]. This is equivalent to requiring that X_A is a Cantor set.

A word $\mu = \mu_1 \cdots \mu_k$ with $\mu_i \in [N]$ is said to be admissible for X_A if μ appears at any point in an element $x \in X_A$.

Definition 1.4. *If (X_A, σ_A) is the one-sided topological Markov shift for A , the Cuntz-Krieger algebra \mathcal{O}_A is the universal C^* -algebra generated by N partial isometries S_1, \dots, S_N subject to the relations*

$$\sum_{j=1}^N S_j S_j^* = 1, \quad S_i^* S_i = \sum_{j=1}^N A(i, j) S_j S_j^*.$$

The subalgebra \mathcal{D}_A of \mathcal{O}_A is generated by elements of the form $S_\mu S_\mu^*$, where μ is an admissible word of X_A . Here, S_μ is the notation used for the product of partial isometries

$$S_\mu = S_{i_1} \cdots S_{i_k},$$

where $\mu = (i_1, \dots, i_k)$.

Remarks:

- (i) When we say \mathcal{O}_A is a "universal" C^* -algebra, (without going into too much detail) this is an algebra which can be described in terms of generators and relations- however, these generators and relations must be chosen in such a way so that we can realize them as subalgebras of $\mathcal{B}(\mathcal{H})$ for some legitimate choice of a Hilbert space \mathcal{H} (so there are norm conditions that we must take into consideration when defining a universal C^* -algebra, as compared to something like a free algebra). We don't have to worry too much though, as (we can take for granted) that \mathcal{O}_A can be concretely represented on any separable Hilbert space \mathcal{H} .
- (ii) For more explicit detail on a concrete representation of \mathcal{O}_A , let \mathcal{H}_A be a Hilbert space with complete orthonormal system $\{e_x\}$, for $x \in X_A$. Consider the partial isometries T_i for $1 \leq i \leq N$ defined by

$$T_i e_x = \begin{cases} e_{ix}, & \text{if } ix \in X_A, \\ 0, & \text{otherwise.} \end{cases}$$

These are indeed partial isometries, as $T_i T_i^* T_i = T_i$ (which can easily be seen by determining T_i^* via its action on the orthonormal system given). It is easy to check (**exercise!**) that the partial isometries T_i satisfy the relations

$$\sum_{j=1}^N T_j T_j^* = 1, \quad T_i^* T_i = \sum_{j=1}^N A(i, j) T_j T_j^* \text{ for } i = 1, \dots, N.$$

As A satisfies (I), X_A has no isolated points- therefore, there are no points $x \in X_A$ such that we can find a neighborhood $U \subseteq X_A$ surrounding x which contains no other points of X_A . Thus, $T_i \neq 0$ for each $i \in [N]$. This yields a faithful representation of \mathcal{O}_A on \mathcal{H}_A via

$$S_i \mapsto T_i.$$

(iii) The subalgebra \mathcal{D}_A is isomorphic to $C(X_A)$ via the following correspondence:

$$S_\mu S_\mu^* \in \mathcal{D}_A \iff \chi_\mu \in C(X_A),$$

where χ_μ is the characteristic function for the set

$$U_\mu := \{(x_n)_{n \in \mathbb{N}} \in X_A \mid x_1 = \mu_1, \dots, x_k = \mu_k\}.$$

Indeed, $C(X_A)$ is generated by shifts of characteristic functions on cylinder sets in X_A ; that is, sets of the form

$$Z(i) = \{x \in X_A \mid x_1 = i\}$$

(see the comments before [1, Proposition 2.5]). That the mapping above is a well-defined homomorphism is simple to check, using the product formula(s) written in [1, Lemma 2.1].

We will take the following proposition for granted, without proving it directly. For a complete proof, see [1, Remark 2.18].

Proposition 1.5. *The algebra \mathcal{D}_A is maximal abelian in \mathcal{O}_A .*

We will close this section by including a few words on short, exact, and split sequences (specifically for abelian groups).

Definition 1.6. *If G_n are abelian groups, and $\varphi_n : G_n \rightarrow G_{n+1}$ are group homomorphisms, then the sequence*

$$\dots \xrightarrow{\varphi_{n-2}} G_{n-1} \xrightarrow{\varphi_{n-1}} G_n \xrightarrow{\varphi_n} G_{n+1} \xrightarrow{\varphi_{n+1}} \dots$$

is called exact if $\text{rng}(\varphi_n) = \ker(\varphi_{n+1})$ for all $n \in \mathbb{N}$.

Definition 1.7. *An exact sequence of abelian groups (modules over \mathbb{Z}) of the form*

$$0 \rightarrow A \rightarrow B \rightarrow C \rightarrow 0$$

is called short exact.

Example: If N is a normal subgroup of abelian group G , then

$$0 \rightarrow N \xrightarrow{\iota} G \xrightarrow{q} G/N \rightarrow 0$$

is a short exact sequence, where ι is the inclusion mapping and q is the canonical quotient.

Definition 1.8. *Suppose we have a short exact sequence*

$$0 \rightarrow A \xrightarrow{\varphi} B \xrightarrow{\psi} C \rightarrow 0.$$

If there exists a homomorphism $\lambda : C \rightarrow B$ so that $\psi \circ \lambda = \text{id}_C$, then λ is called a lift of φ and the short exact sequence is called split exact.

Remark: There is an equivalent characterization of split exact sequences: we say

$$0 \rightarrow A \rightarrow B \rightarrow C \rightarrow 0$$

is split exact if there exists an isomorphism $f : B \rightarrow A \oplus C$ such that the following diagram commutes:

$$\begin{array}{ccccccc} 0 & \longrightarrow & A & \longrightarrow & B & \longrightarrow & C \longrightarrow 0 \\ & & \downarrow \text{id} & & \downarrow f & & \downarrow \text{id} \\ 0 & \longrightarrow & A & \xrightarrow{\iota} & A \oplus C & \xrightarrow{q} & C \longrightarrow 0. \end{array}$$

Note that this *only holds* in the case that A, B, C are abelian groups.

2. CONTINUOUS ORBIT EQUIVALENCE

Definition 2.1. For $x = (x_n)_{n \in \mathbb{N}} \in X_A$, the orbit $\text{orb}_{\sigma_A}(x)$ of x under σ_A is defined by

$$\text{orb}_{\sigma_A}(x) = \bigcup_{k=0}^{\infty} \bigcup_{\ell=0}^{\infty} \sigma_A^{-k}(\sigma_A^{\ell}(x)) \subseteq X_A.$$

It is easy to see that $y \in \text{orb}_{\sigma_A}(x)$ if and only if there exists an admissible word $\mu = \mu_1 \cdots \mu_k$ for X_A such that

$$y = (\mu_1, \dots, \mu_k, x_{\ell+1}, x_{\ell+2}, \dots)$$

for some $k, \ell \in \mathbb{N}_+$. For what follows, let $\text{Homeo}(X_A)$ be the group of all homeomorphisms on X_A .

Definition 2.2. Let $[\sigma_A]$ be the set of all homeomorphisms $\tau \in \text{Homeo}(X_A)$ such that $\tau(x) \in \text{orb}_{\sigma_A}(x)$ for all $x \in X_A$, and let Γ_A be the set of $\tau \in [\sigma_A]$ such that there exist continuous functions $k, \ell : X_A \rightarrow \mathbb{N}_+$ satisfying

$$\sigma_A^{k(x)}(\tau(x)) = \sigma_A^{\ell(x)}(x)$$

for all $x \in X_A$. We call $[\sigma_A]$ the full group of (X_A, σ_A) and Γ_A the topological full group of (X_A, σ_A) .

Remark: Both $[\sigma_A]$ and Γ_A are groups; to show this, **exercise!**

Example: (Section 3, [2]) Let $F = \begin{pmatrix} 1 & 1 \\ 1 & 0 \end{pmatrix}$. Define $\tau \in \text{Homeo}(X_F)$ by setting

$$\tau(x_1, x_2, \dots) = \begin{cases} (2, 1, 1, x_4, x_5, \dots), & \text{if } (x_1, x_2, x_3) = (1, 1, 1), \\ (1, 1, 1, x_4, x_5, \dots), & \text{if } (x_1, x_2, x_3) = (2, 1, 1), \\ (x_1, x_2, \dots), & \text{otherwise.} \end{cases}$$

As $\sigma_F(\tau(x)) = \sigma_F(x)$ for all $x \in X_F$ (as is easy to see), letting $k(x) = \ell(x) = 1$ for all $x \in X_F$ we have $\tau \in \Gamma_F$.

Definition 2.3. Let (X_A, σ_A) and (X_B, σ_B) be two one-sided topological Markov shifts. If there exists a homeomorphism $h : X_A \rightarrow X_B$ such that

$$h(\text{orb}_{\sigma_A}(x)) = \text{orb}_{\sigma_B}(h(x)), \quad x \in X_A$$

then (X_A, σ_A) and (X_B, σ_B) are said to be topologically orbit equivalent. In this case, we can find $k_1, \ell_1 : X_A \rightarrow \mathbb{N}_+$ and $k_2, \ell_2 : X_B \rightarrow \mathbb{N}_+$ so that

$$(1) \quad \begin{aligned} \sigma_B^{k_1(x)}(h(\sigma_A(x))) &= \sigma_B^{\ell_1(x)}(h(x)), & x \in X_A, \\ \sigma_A^{k_2(x)}(h^{-1}(\sigma_B(x))) &= \sigma_A^{\ell_2(x)}(h^{-1}(x)), & x \in X_B. \end{aligned}$$

If we may choose k_1, ℓ_1, k_2, ℓ_2 to be continuous, then (X_A, σ_A) and (X_B, σ_B) are said to be continuously orbit equivalent.

Example: If two one-sided topological Markov shifts are topologically conjugate (so there exists a homeomorphism $h : X_A \rightarrow X_B$ so that $\sigma_A = h^{-1} \circ \sigma_B \circ h$), then they are also continuously orbit equivalent.

3. ÉTALE GROUPOIDS

We briefly review some terminology involving groupoids provided during previous lectures.

Recall:

- (i) For $x \in G^{(0)}$, $r(Gx)$ is called the G -orbit of x . If each G -orbit is dense in $G^{(0)}$ (so the smallest closed set in $G^{(0)}$ containing $r(Gx)$ is $G^{(0)}$ itself), we say G is *minimal*.
- (ii) We say G is *principal* if $\text{Iso}(G) = G^{(0)}$ (where $\text{Iso}(G) = \{\gamma \in G : r(\gamma) = s(\gamma)\}$).

- (iii) When $\text{Int}(\text{Iso}(G)) = G^{(0)}$, we say G is *essentially principal*.
- (iv) A subset $U \subset G$ is called a G -set if $r|_U, s|_U$ are injective.
- (v) For an open G -set U , we let π_U be the homeomorphism $r \circ (s|_U)^{-1}$ from $s(U)$ to $r(U)$.

Definition 3.1. Let G be an essentially principal étale groupoid whose unit space $G^{(0)}$ is compact.

- (i) The set of all $\alpha \in \text{Homeo}(G^{(0)})$ such that for each $x \in G^{(0)}$ there exists a $g \in G$ so that $r(g) = x$ and $s(g) = \alpha(x)$ is called the full group of G , and is denoted by $[G]$.
- (ii) The set of all $\alpha \in \text{Homeo}(G^{(0)})$ for which there exists a compact open G -set U satisfying $\alpha = \pi_U$ is called the topological full group of G , and is denoted by $[[G]]$.

Remarks:

- (i) $[G]$ is a subgroup of $\text{Homeo}(G^{(0)})$, and $[[G]]$ is a subgroup of $[G]$. For the proof of these facts: **exercise!**
- (ii) If $\alpha \in [[G]]$, then the compact open G -set U is unique as G is essentially principal.
- (iii) As G is second-countable (i.e., it has a topological basis consisting of countably many sets), it has countably many compact open subsets \Rightarrow the group $[[G]]$ is at most countable.

Definition 3.2. The étale groupoid G_A for a topological Markov shift (X_A, σ_A) is given by

$$\{(x, n, y) \in X_A \times \mathbb{Z} \times X_A \mid \text{there exists } k, \ell \in \mathbb{N}_+, n = k - \ell, \sigma_A^k(x) = \sigma_A^\ell(y)\}.$$

The topology of G_A is generated by the sets

$$\{(x, k - \ell, y) \in G_A \mid x \in V, y \in W, \sigma_A^k(x) = \sigma_A^\ell(y)\}$$

where $V, W \subseteq X_A$ are open and $k, \ell \in \mathbb{N}_+$. Two elements (x, n, y) and (x', n', y') are composable if and only if $y = x'$; in this case, the multiplication and inverse are

$$(x, n, y) \cdot (y, n', y') = (x, n + n', y'), \quad (x, n, y)^{-1} = (y, -n, x).$$

The range and source maps are given by

$$r(x, n, y) = (x, 0, x), \quad s(x, n, y) = (y, 0, y).$$

Finally, we can identify X_A with the unit space $G_A^{(0)}$ via the mapping

$$x \mapsto (x, 0, x).$$

Remark: The topological full group $[[G_A]]$ is isomorphic to the continuous full group Γ_A ; **exercise!**

4. PROVING THE MAIN THEOREM

Our main focus for the rest of the lectures is proving the following.

Theorem 4.1. Let $(X_A, \sigma_A), (X_B, \sigma_B)$ be two irreducible one-sided topological Markov shifts. The following are equivalent:

- (i) (X_A, σ_A) and (X_B, σ_B) are continuously orbit equivalent.
- (ii) The étale groupoids G_A and G_B are isomorphic.
- (iii) There exists an isomorphism $\Psi : \mathcal{O}_A \rightarrow \mathcal{O}_B$ so that $\Psi(\mathcal{D}_A) = \mathcal{D}_B$.

To prove Theorem 2.3 in [3], we need to spend some time studying Γ_A and its connection to what is called the normalizer $N(\mathcal{O}_A, \mathcal{D}_A)$.

Definition 4.2. Let $\mathcal{U}(\mathcal{O}_A), \mathcal{U}(\mathcal{D}_A)$ denote the groups of unitaries of \mathcal{O}_A and \mathcal{D}_A (respectively). The normalizer of \mathcal{D}_A in \mathcal{O}_A is defined by

$$N(\mathcal{O}_A, \mathcal{D}_A) = \{v \in \mathcal{U}(\mathcal{O}_A) \mid v\mathcal{D}_A v^* = \mathcal{D}_A\}.$$

Notation: For $v \in \mathcal{U}(\mathcal{O}_A)$, put $\text{Ad}(v)(a) = vav^*$ for $a \in \mathcal{O}_A$.

Given no objection from the audience, we will take the following four propositions/lemmas for granted (i.e., without explicit proof) as showing them is quite technical (and not very illuminating in the opinion of the author).

Proposition 4.3. For $\tau \in \Gamma_A$, there exists a unitary $u_\tau \in N(\mathcal{O}_A, \mathcal{D}_A)$ such that

$$\text{Ad}(u_\tau)(f) = f \circ \tau^{-1}, \quad f \in \mathcal{D}_A$$

and $\tau \mapsto u_\tau$ is a group homomorphism. (Note that we identify \mathcal{D}_A with $C(X_A)$ here).

Lemma 4.4. There exists a family v_m for $m \in \mathbb{Z}$ of partial isometries in \mathcal{O}_A such that all but finitely many are zero, and with these properties:

- (i) $v = \sum_{m \in \mathbb{Z}} v_m$, where the nonzero v_m are finite.
- (ii) $v_m \mathcal{D}_A v_m^* \subset \mathcal{D}_A$ and $v_m^* \mathcal{D}_A v_m \subset \mathcal{D}_A$ for $m \in \mathbb{Z}$.
- (iii) $v_m^* v_m$ and $v_m v_m^*$ are projections in \mathcal{D}_A for $m \in \mathbb{Z}$.
- (iv) $v_m^* v_{m'} = v_m v_{m'}^* = 0$ for $m \neq m'$.
- (v) $v_0 \in \mathcal{F}_A$.

Remark: By the definition of \mathcal{O}_A , we get an action $\rho : \mathbb{T} \rightarrow \text{Aut}(\mathcal{O}_A)$ given by the correspondence

$$S_i \rightarrow e^{it} S_i$$

for $1 \leq i \leq N$ and $e^{it} \in \mathbb{T}$. It is “well-known” that the fixed point algebra of \mathcal{O}_A under ρ is the AF-algebra \mathcal{F}_A generated by elements of the form $S_\mu S_\nu^*$ where μ, ν are admissible words with $|\mu| = |\nu|$.

To see why, start by letting \mathcal{F}_A^n be the C^* -subalgebra generated by elements of the form $S_\mu S_\nu^*$, where μ, ν are admissible words for X_A of length n ; if $\mathcal{F}_A^{\text{alg}} = \cup_{n=1}^{\infty} \mathcal{F}_A^n$, then $\mathcal{F}_A^{\text{alg}}$ is a dense $*$ -subalgebra of \mathcal{F}_A . We will see how the gauge action behaves on $\mathcal{F}_A^{\text{alg}}$: if $x \in \mathcal{F}_A^{\text{alg}}$, then (without loss of generality) $x = S_\mu S_\nu^*$ for admissible words with $|\mu| = |\nu|$. We see

$$\begin{aligned} \rho_t(S_\mu S_\nu^*) &= \rho_t(S_{\mu_1}) \cdots \rho_t(S_{\mu_{|\mu|}}) \rho_t(S_{\nu_1}^*) \cdots \rho_t(S_{\nu_{|\nu|}}^*) \\ &= (e^{it} S_{\mu_1}) \cdots (e^{it} S_{\mu_{|\mu|}}) (e^{-it} S_{\nu_1}^*) \cdots (e^{-it} S_{\nu_{|\nu|}}^*) \\ &= S_\mu S_\nu^*, \end{aligned}$$

for any $e^{it} \in \mathbb{T}$. As this shows ρ fixes \mathcal{F}_A^n for each $n \in \mathbb{N}$, ρ fixes $\mathcal{F}_A^{\text{alg}}$ (and thus \mathcal{F}_A as well, by density).

To show that this is the *only* subalgebra of \mathcal{O}_A which is fixed under the gauge action, let \mathcal{O}_A^ρ denote the fixed point algebra associated to the C.K. algebra, with mapping $P : \mathcal{O}_A \rightarrow \mathcal{O}_A^\rho$ given by

$$x \mapsto \int_{\mathbb{T}} \rho_t(x) dt,$$

where dt is the normalized Haar measure on \mathbb{T} . If we start with some $x \in \mathcal{O}_A^\rho$ where $x = \lim_k x_k$, where the latter sequence lies inside the $*$ -algebra generated by partial isometries $\{S_1, \dots, S_N\}$ we clearly have $x = P(x) = \lim_k P(x_k)$. By construction, $P(x_k)$ must belong to \mathcal{F}_A^n for n large enough, and hence $x \in \mathcal{F}_A$. A similar argument can be used to show that for $x \in \mathcal{F}_A^{\text{alg}}$ we also have $P(x) = x$, and hence true for all $x \in \mathcal{F}_A$. Therefore, $\mathcal{F}_A = \mathcal{O}_A^\rho$.

Lemma 4.5. For a fixed $n \in \mathbb{N}$, there exists partial isometries $v_\mu, v_{-\mu} \in \mathcal{F}_A$ for each admissible word μ of length n satisfying the following conditions:

- (i) $v_n = \sum_{\mu \text{ admissible, length } n} S_\mu v_\mu$ and $v_{-n} = \sum_{\mu \text{ admissible, length } n} v_{-\mu} S_\mu^*$.
(ii) $v_\mu^* v_\mu, S_\mu v_\mu v_\mu^* S_\mu^*, S_\mu v_{-\mu}^* v_{-\mu} S_\mu^*$ and $v_{-\mu} v_{-\mu}^*$ are projections in \mathcal{D}_A such that

$$v_n^* v_n = \sum v_\mu^* v_\mu, \quad v_n v_n^* = \sum S_\mu v_\mu v_\mu^* S_\mu^*,$$

$$v_{-n}^* v_{-n} = \sum S_\mu v_{-\mu}^* v_{-\mu} S_\mu^*, \quad v_{-n} v_{-n}^* = \sum v_{-\mu} v_{-\mu}^*,$$

where the sums are over all admissible words μ of length n .

- (iii) $v_\mu v_\nu^* = v_{-\mu}^* v_{-\nu} = 0$ for μ, ν admissible distinct words of length n .
(iv) $v_\mu \mathcal{D}_A v_\mu^*, v_\mu^* \mathcal{D}_A v_\mu, v_{-\mu} \mathcal{D}_A v_{-\mu}^*$ and $v_{-\mu}^* \mathcal{D}_A v_{-\mu}$ are contained in \mathcal{D}_A .

Lemma 4.6. For a partial isometry $u \in \mathcal{F}_A$ satisfying

$$u \mathcal{D}_A u^* \subset \mathcal{D}_A, \quad u^* \mathcal{D}_A u \subset \mathcal{D}_A,$$

there exists $k_u \in \mathbb{N}$ such that the homeomorphism $h_u : \text{supp}(u^* u) \rightarrow \text{supp}(u u^*)$ defined by $\text{Ad}(u)(g) = g \circ h_u^{-1}$ for $g \in \mathcal{D}_A u^* u$ satisfies the condition

$$\sigma_A^{k_u}(h_u(x)) = \sigma_A^{k_u}(x)$$

for $x \in \text{supp}(u^* u)$.

Proposition 4.7. For any $v \in N(\mathcal{O}_A, \mathcal{D}_A)$ the homeomorphism τ_v on X_A induced by the automorphism of \mathcal{D}_A defined by the restriction of $\text{Ad}(v)$ to \mathcal{D}_A gives rise to an element of Γ_A .

Proof. For $v \in N(\mathcal{O}_A, \mathcal{D}_A)$, let $v_m, m \in \mathbb{Z}$ be the partial isometries in \mathcal{O}_A as in Lemma 4.4. Let $K \in \mathbb{N}$ so that $v_m = 0$ for all $m \in \mathbb{Z}$ with $|m| > K$, meaning $v = \sum_{m=-K}^K v_m$. We have

$$\text{Ad}(v)(f) = \sum_{n=1}^K v_n f v_n^* + v_0 f v_0^* + \sum_{n=1}^K v_{-n} f v_{-n}^*$$

for $f \in \mathcal{D}_A$. As $v_m^* v_m, v_m v_m^*$ are projections in \mathcal{D}_A , we can put clopen sets

$$X_A^{(m)} = \text{supp}(v_m^* v_m), \quad Y_A^{(m)} = \text{supp}(v_m v_m^*)$$

for $m \in \mathbb{Z}$ with $|m| \leq K$ in X_A so that

$$X_A = \bigcup_{|m| \leq K} X_A^{(m)} = \bigcup_{|m| \leq K} Y_A^{(m)}.$$

By Lemma 4.6, as $v_0 \in \mathcal{F}_A$ there exists $k_0 \in \mathbb{N}$ such that

$$\sigma_A^{k_0}(\tau_0(x)) = \sigma_A^{k_0}(x), \quad \text{for } x \in X_A^{(0)},$$

where $\tau_0 : X_A^{(0)} \rightarrow Y_A^{(0)}$ is the homeomorphism satisfying $\text{Ad}(v_0)(f) = f \circ \tau_0^{-1}$ with $f \in \mathcal{D}_A v_0^* v_0$. For v_n, v_{-n} and $1 \leq n \leq K$, by Lemma 4.5 we have (for $f \in \mathcal{D}_A$)

$$v_n f v_n^* = \sum S_\mu v_\mu f v_\mu^* S_\mu^* \text{ and } v_{-n} f v_{-n}^* = \sum v_{-\mu} S_\mu^* f S_\mu v_{-\mu}^*$$

where the sums are taken over all admissible words μ of length n . Put

$$X_A^{(n, \mu)} = \text{supp}(v_\mu^* v_\mu), \quad X_A^{(-n, \mu)} = \text{supp}(S_\mu v_{-\mu}^* v_{-\mu} S_\mu^*),$$

$$Y_A^{(n, \mu)} = \text{supp}(S_\mu v_\mu v_\mu^* S_\mu^*), \quad Y_A^{(-n, \mu)} = \text{supp}(v_{-\mu} v_{-\mu}^*).$$

Again, by Lemma 4.5

$$X_A^{(m)} = \bigcup_{\mu} X_A^{(m, \mu)}, \quad Y_A^{(m)} = \bigcup_{\mu} Y_A^{(m, \mu)}$$

where μ is an admissible word of length $|m|$, and $|m| \leq K$. There exists a homeomorphism

$$\tau_{(m,\mu)} : X_A^{(m,\mu)} \rightarrow Y_A^{(m,\mu)}$$

for $m \in \mathbb{Z}$ with $|m| \leq K$ such that

$$\begin{aligned} \text{Ad}(S_\mu v_\mu)(f) &= f \circ \tau_{(n,\mu)}^{-1}, & f \in \mathcal{D}_A v_\mu^* v_\mu, \\ \text{Ad}(v_{-\mu} S_\mu^*)(g) &= g \circ \tau_{(-n,\mu)}^{-1}, & g \in \mathcal{D}_A S_\mu v_{-\mu}^* v_{-\mu} S_\mu^* \end{aligned}$$

where $n \in \mathbb{N}$ with $1 \leq n \leq K$. As $v_\mu, v_{-\mu} \in \mathcal{F}_A$, by Lemma 4.6 there exist $k_{(n,\mu)}, k_{(-n,\mu)} \in \mathbb{N}$ so that

$$\begin{aligned} \sigma_A^{k_{(n,\mu)}}(\tau_{(n,\mu)}(x)) &= \sigma_A^{k_{(n,\mu)}+n}(x), & x \in X_A^{(n,\mu)}, \\ \sigma_A^{k_{(n,\mu)}+n}(\tau_{(-n,\mu)}(x)) &= \sigma_A^{k_{(n,\mu)}}(x), & x \in X_A^{(-n,\mu)}. \end{aligned}$$

As we have

$$\tau_v(x) = \begin{cases} \tau_{(n,\mu)}(x), & x \in X_A^{(n,\mu)}, \\ \tau_0(x), & x \in X_A^{(0)}, \\ \tau_{(-n,\mu)}(x), & x \in X_A^{(-n,\mu)} \end{cases}$$

and X_A is made of disjoint unions of clopen sets $X_A^{(0)}, X_A^{(m,\mu)}, Y_A^{(0)}, Y_A^{(m,\mu)}$ we conclude that $\tau_v \in \Gamma_A$. \square

Remark: We can naturally embed $\mathcal{U}(\mathcal{D}_A)$ into $N(\mathcal{O}_A, \mathcal{D}_A)$; indeed, using $\text{id} : \mathcal{U}(\mathcal{D}_A) \rightarrow \mathcal{U}(\mathcal{O}_A)$ we have that for $u \in \mathcal{U}(\mathcal{D}_A)$, $u \in \mathcal{U}(\mathcal{O}_A)$ as well with $u\mathcal{D}_A u^* = \mathcal{D}_A$. Hence, $\text{id}(u) \in N(\mathcal{O}_A, \mathcal{D}_A)$. In what follows, we use this embedding.

Theorem 4.8. *The sequence $0 \rightarrow \mathcal{U}(\mathcal{D}_A) \xrightarrow{\text{id}} N(\mathcal{O}_A, \mathcal{D}_A) \xrightarrow{\tau} \Gamma_A \rightarrow 0$ is exact and splits.*

Proof. By Proposition 4.7, the map $\lambda : N(\mathcal{O}_A, \mathcal{D}_A) \rightarrow \Gamma_A$ given by

$$v \mapsto \tau_v$$

is a homomorphism. It is surjective, by Proposition 4.3. If we suppose that $\tau_v = \text{id}$ on X_A for some $v \in N(\mathcal{O}_A, \mathcal{D}_A)$ (i.e., $v \in \ker(\tau)$) this means $\text{Ad}(v) = \text{id}$ on \mathcal{D}_A . Therefore, v commutes with every element in \mathcal{D}_A ; as \mathcal{D}_A is maximal abelian via Proposition 1.5, we have that $v \in \mathcal{D}_A$ (otherwise we could generate a larger abelian subalgebra using \mathcal{D}_A , and v). Therefore, $v \in \mathcal{U}(\mathcal{D}_A)$ with $\ker(\tau) = \mathcal{U}(\mathcal{D}_A)$. It is clear that $\text{rng}(\text{id}) = \mathcal{U}(\mathcal{D}_A)$, and so the sequence is exact.

Again by Proposition 4.3, for $\tau \in \Gamma_A$ the unitary u_τ defined by

$$u_\tau e_x = e_{\tau(x)}$$

for $x \in X_A$ gives rise to a section of the exact sequence; indeed, u_τ is well-defined (as τ is a homeomorphism, it will send elements in the complete orthonormal system to other elements in the system) and clearly unitary. If $\pi : \Gamma_A \rightarrow N(\mathcal{O}_A, \mathcal{D}_A)$ is the map described in Proposition 4.3 sending τ to u_τ , we see

$$(\lambda \circ \pi)(\tau) = \lambda(u_\tau) = \tau_{u_\tau} = \tau$$

for each $\tau \in \Gamma_A$. Thus, $\lambda \circ \pi = \text{id}_{\Gamma_A}$, showing the sequence splits. \square

Proposition 4.9. *If there is an isomorphism $\Psi : \mathcal{O}_A \rightarrow \mathcal{O}_B$ such that $\Psi(\mathcal{D}_A) = \mathcal{D}_B$, then there is a homeomorphism $h : X_A \rightarrow X_B$ such that $h \circ \Gamma_A \circ h^{-1} = \Gamma_B$.*

Proof. By Theorem 4.8, there exists a group isomorphism $\tilde{\Psi} : \Gamma_A \rightarrow \Gamma_B$ such that the following diagram commutes:

$$\begin{array}{ccccccccc} 0 & \longrightarrow & \mathcal{U}(\mathcal{D}_A) & \xrightarrow{\text{id}} & N(\mathcal{O}_A, \mathcal{D}_A) & \xrightarrow{\tau} & \Gamma_A & \longrightarrow & 0 \\ & & \downarrow \Psi|_{\mathcal{U}(\mathcal{D}_A)} & & \downarrow \Psi & & \downarrow \tilde{\Psi} & & \\ 0 & \longrightarrow & \mathcal{U}(\mathcal{D}_B) & \xrightarrow{\text{id}} & N(\mathcal{O}_B, \mathcal{D}_B) & \xrightarrow{\tau} & \Gamma_B & \longrightarrow & 0. \end{array}$$

Indeed: as the sequence is split exact, we know that

$$\begin{aligned} N(\mathcal{O}_A, \mathcal{D}_A) &\cong \mathcal{U}(\mathcal{D}_A) \oplus \Gamma_A, \\ \Psi(N(\mathcal{O}_A, \mathcal{D}_A)) &= N(\mathcal{O}_B, \mathcal{D}_B) \cong \mathcal{U}(\mathcal{D}_B) \oplus \Gamma_B = \Psi(\mathcal{U}(\mathcal{D}_A)) \oplus \Gamma_B \end{aligned}$$

where the identity $\Psi(\mathcal{D}_A) = \mathcal{D}_B$ guarantees the existence of such a $\tilde{\Psi}$. For $v \in N(\mathcal{O}_A, \mathcal{D}_A)$, put $\text{Ad}(v)(f) = vf v^*$ for $f \in \mathcal{D}_A$; let $\tau_v \in \text{Homeo}(X_A)$ be the homeomorphism on X_A which satisfies $\text{Ad}(v)(f) = f \circ \tau_v^{-1}$ for $f \in \mathcal{D}_A$. Let $h : X_A \rightarrow X_B$ be the homeomorphism satisfying $\Psi(f) = f \circ h^{-1}$ for $f \in \mathcal{D}_A$. As $\Psi : N(\mathcal{O}_A, \mathcal{D}_A) \rightarrow N(\mathcal{O}_B, \mathcal{D}_B)$ is an isomorphism and

$$\{\tau_v \mid v \in N(\mathcal{O}_A, \mathcal{D}_A)\} = \Gamma_A,$$

the identity $\Psi \circ \text{Ad}(v) \circ \Psi^{-1} = \text{Ad}(\Psi(v))$ implies $h \circ \Gamma_A \circ h^{-1} = \Gamma_B$. \square

Proposition 4.10. *If $h \circ \Gamma_A \circ h^{-1} = \Gamma_B$ for some homeomorphism $h : X_A \rightarrow X_B$, then (X_A, σ_A) and (X_B, σ_B) are continuously orbit equivalent.*

Proof. Assume that $h \circ \Gamma_A \circ h^{-1} = \Gamma_B$. For any $y \in X_B$, let $x = h^{-1}(y)$; so $h(\Gamma_A(x)) = \Gamma_B(h(x))$. Through a simple check (see "Addendum") we have $\Gamma_A(x) = \text{orb}_{\sigma_A}(x)$ and $\Gamma_B(h(x)) = \text{orb}_{\sigma_B}(h(x))$, so $h(\text{orb}_{\sigma_A}(x)) = \text{orb}_{\sigma_B}(h(x))$.

We next will show there exist continuous cocycle functions for h . For any admissible word μ with $|\mu| = 2$, there exist $\tau_\mu \in \Gamma_A$ and $k_{\tau_\mu}, \ell_{\tau_\mu} : X_A \rightarrow \mathbb{N}_+$ satisfying the conditions

$$\begin{cases} \sigma_A^{k_{\tau_\mu}(x)}(\tau_\mu(x)) = \sigma_A^{\ell_{\tau_\mu}(x)}(x), & x \in X_A, \\ \tau_\mu(y) = \sigma_A(y), & y \in U_\mu, \\ k_{\tau_\mu}(y) = 0, \ell_{\tau_\mu}(y) = 1, & y \in U_\mu. \end{cases}$$

Put $\tau_h = h \circ \tau_\mu \circ h^{-1} \in \Gamma_B$. For $x \in U_\mu$, as $\tau_\mu(y) = \sigma_A(y)$ for $y \in U_\mu$ we have $h(\sigma_A(x)) = \tau_h(h(x))$. Since $\tau_h \in \Gamma_B$, we can find $k_{\tau_h}^\mu, \ell_{\tau_h}^\mu : X_B \rightarrow \mathbb{N}_+$ so that

$$\sigma_B^{k_{\tau_h}^\mu(y)}(\tau_h(y)) = \sigma_B^{\ell_{\tau_h}^\mu(y)}(y).$$

For $y \in h(U_\mu)$, put $x = h^{-1}(y)$ so that

$$\sigma_B^{k_{\tau_h}^\mu(y)}(h \circ \sigma_A(x)) = \sigma_B^{\ell_{\tau_h}^\mu(h(x))}(h(x)).$$

Let $\{\mu^{(1)}, \dots, \mu^{(M)}\}$ be the set of all admissible words in X_A of length 2. Define $k_1^h, \ell_1^h : X_A \rightarrow \mathbb{N}_+$ by setting

$$k_1^h(x) = k_{\tau_h}^{\mu^{(i)}}(h(x)), \quad \ell_1^h(x) = \ell_{\tau_h}^{\mu^{(i)}}(h(x)), \quad x \in U_{\mu^{(i)}}.$$

They are continuous, and satisfy

$$\sigma_B^{k_1^h(x)}(h \circ \sigma_A(x)) = \sigma_B^{\ell_1^h(x)}(h(x)), \quad x \in X_A.$$

Using a similar argument, we can find continuous functions $k_2^h, \ell_2^h : X_B \rightarrow \mathbb{N}_+$ satisfying the corresponding relations for $y \in X_B$, showing (X_A, σ_A) and (X_B, σ_B) are continuously orbit equivalent. \square

Proposition 4.11. *If (X_A, σ_A) and (X_B, σ_B) are continuously orbit equivalent, then there exists an isomorphism $\Psi : \mathcal{O}_A \rightarrow \mathcal{O}_B$ such that $\Psi(\mathcal{D}_A) = \mathcal{D}_B$.*

Proof. Let $h : X_A \rightarrow X_B$ be a homeomorphism which gives rise to continuous orbit equivalence between (X_A, σ_A) and (X_B, σ_B) . Take continuous functions $k_1, \ell_1 : X_A \rightarrow \mathbb{N}_+$ and $k_2, \ell_2 : X_B \rightarrow \mathbb{N}_+$ which satisfy the relations (1); representing $\mathcal{O}_A, \mathcal{O}_B$ on \mathcal{H}_A and \mathcal{H}_B respectively (as shown before), we will show that there exists a unitary $u_h : \mathcal{H}_A \rightarrow \mathcal{H}_B$ such that

$$\text{Ad}(u_h)(\mathcal{O}_A) = \mathcal{O}_B, \quad \text{Ad}(u_h)(f) = f \circ h^{-1}, \text{ for } f \in \mathcal{D}_A.$$

Let $\{e_x^A\}$ for $x \in X_A$ (resp. $\{e_y^B\}$ for $y \in X_B$) denote the complete orthonormal system on \mathcal{H}_A (resp. \mathcal{H}_B). Define the unitary $u_h : \mathcal{H}_A \rightarrow \mathcal{H}_B$ by setting $u_h e_x^A = e_{h(x)}^B$ for $x \in X_A$. We first want to show that $\text{Ad}(u_h)(\mathcal{O}_A) = \mathcal{O}_B$. Denote by S_i^A, S_i^B the canonical generating partial isometries for $\mathcal{O}_A, \mathcal{O}_B$. For $y \in X_B$, we have

$$u_h S_i^A u_h^* e_y^B = \begin{cases} e_{h^{-1}(y)}^A, & \text{if } h^{-1}(y) \in X_A, \\ 0, & \text{otherwise.} \end{cases}$$

Let $X_B^{(i)} = \{y \in X_B \mid h^{-1}(y) \in X_A\}$. Put $z = h^{-1}(y) \in X_A$. By relations (1) and the equality $h(\sigma_A(z)) = y$, we have $h(z) \in \sigma_B^{-\ell_1(z)}(\sigma_B^{k_1(z)}(y))$. Thus,

$$h(z) = (\mu_1(z), \dots, \mu_{\ell_1(z)}(z), y_{k_1(z)+1}, y_{k_1(z)+2}, \dots)$$

for some admissible word $\mu_1(z) \dots \mu_{\ell_1(z)}(z)$ for X_B . As the maps k_1, ℓ_1 and $y \mapsto z = h^{-1}(y)$ are continuous, there exists finite numbers

$$\tilde{k}_1 = \max\{k_1(z) \mid y \in X_B^{(i)}\}, \quad \tilde{\ell}_1 = \max\{\ell_1(z) \mid y \in X_B^{(i)}\}.$$

The set $\{(\mu_1(z), \dots, \mu_{\ell_1(z)}(z)) \text{ admissible} \mid y \in X_B^{(i)}\}$ of words is a finite subset of $W_{\tilde{\ell}_1}(X_B)$, which consists of the union of all admissible words of length j for X_B , where j ranges from 0 to $\tilde{\ell}_1$. The map

$$y \in X_B^{(i)} \rightarrow (\mu_1(z), \dots, \mu_{\ell_1(z)}(z)) \in W_{\tilde{\ell}_1}(X_B)$$

is continuous (when the latter set is endowed with the discrete topology). For a word $\nu = \nu_1 \dots \nu_j \in W_{\tilde{\ell}_1}(X_B)$ and $0 \leq n \leq \tilde{k}_1$, the sets

$$E_\nu^{(i)} = \{y \in X_B^{(i)} \mid \mu_1(z) = \nu_1, \dots, \mu_{\ell_1(z)}(z) = \nu_j\}, \\ F_n^{(i)} = \{y \in X_B^{(i)} \mid k_1(z) = n\}$$

are clopen in $X_B^{(i)}$, where $z = h^{-1}(y)$. We define projections in \mathcal{D}_B :

$$Q_\nu^{(i)} = \chi_{E_\nu^{(i)}}, \quad P_n^{(i)} = \chi_{F_n^{(i)}}, \quad P^{(i)} = \chi_{X_B^{(i)}}.$$

As we have disjoint unions

$$X_B^{(i)} = \bigcup_{\nu \in W_{\tilde{\ell}_1}(X_B)} E_\nu^{(i)} = \bigcup_{0 \leq n \leq \tilde{k}_1} F_n^{(i)},$$

we then have

$$P^{(i)} = \sum_{\nu \in W_{\tilde{\ell}_1}(X_B)} Q_\nu^{(i)} = \sum_{0 \leq n \leq \tilde{k}_1} P_n^{(i)}.$$

For $y \in X_B^{(i)}$ and $\nu \in W_{\tilde{\ell}_1}(X_B)$ with $0 \leq n \leq \tilde{k}_1$, we have $y \in E_\nu^{(i)} \cap F_n^{(i)}$ if and only if $h(h^{-1}(y)) = \nu \sigma_B^n(y)$, where the latter condition is equivalent to the condition that

$$e_{h(h^{-1}(y))}^B = S_\nu^B e_{\sigma_B^n(y)}^B.$$

As $y \in E_\nu^{(i)} \cap F_n^{(i)}$ if and only if $P_n^{(i)} Q_\nu^{(i)} e_y^B = e_y^B$, and $e_{\sigma_B^n(y)}^B = \sum (S_\xi^B)^* e_y^B$ (where the sum is taken over all admissible words ξ of length n for X_B), we have

$$e_{h(ih^{-1}(y))}^B = \sum_{0 \leq n \leq \bar{k}_1} \sum_{\nu \in W_{\bar{i}_1}(X_B)} \left(S_\nu^B \sum_{\xi} (S_\xi^B)^* \right) P_n^{(i)} Q_\nu^{(i)} e_y^B, \quad y \in X_B^{(i)}.$$

Hence,

$$u_h S_i^A u_h^* e_y^B = \sum_{0 \leq n \leq \bar{k}_1} \sum_{\nu \in W_{\bar{i}_1}(X_B)} \left(S_\nu^B \sum_{\xi} (S_\xi^B)^* \right) P_n^{(i)} Q_\nu^{(i)} e_y^B, \quad y \in X_B^{(i)}.$$

Therefore, we have

$$u_h S_i^A u_h^* = \sum_{0 \leq n \leq \bar{k}_1} \sum_{\nu \in W_{\bar{i}_1}(X_B)} \left(S_\nu^B \sum_{\xi} (S_\xi^B)^* \right) P_n^{(i)} Q_\nu^{(i)} P^{(i)}.$$

As $P_n^{(i)}, Q_\nu^{(i)}$ and $P^{(i)}$ are projections in \mathcal{D}_B , we have $\text{Ad}(u_h)(S_i^A) \in \mathcal{O}_B$, so that $\text{Ad}(u_h)(\mathcal{O}_A) \subset \mathcal{O}_B$. As $u_h^* = u_{h^{-1}}$, by symmetry we have $\text{Ad}(u_h^*)(\mathcal{O}_B) \subset \mathcal{O}_A$ so $\text{Ad}(u_h)(\mathcal{O}_A) = \mathcal{O}_B$.

Directly from the definition of u_h , where $u_h e_x^A = e_{h(x)}^B$ for $x \in X_A$ we have $\text{Ad}(u_h)(f) = f \circ h^{-1}$ for $f \in \mathcal{D}_A$, and thus $\text{Ad}(u_h)(\mathcal{D}_A) = \mathcal{D}_B$. \square

Remark: Stitching together Propositions 4.9, 4.10, and 4.11 we have been able to prove the equivalence of (i) \iff (iii) for Theorem 4.1.

It can be shown (with some work) if G_A is the groupoid associated to (X_A, σ_A) there is a natural isomorphism $\Psi_1 : \mathcal{O}_A \rightarrow C_r^*(G_A)$ with $\Psi_1(\mathcal{D}_A) = C_0(G_A^{(0)})$ (and $\Psi_2 : \mathcal{O}_B \rightarrow C_r^*(G_B)$ with the corresponding properties; see [6, Section 1.3]). Using [5, Proposition 4.11], we have the following result.

Theorem 4.12. *Let G_1, G_2 be essentially principal étale groupoids. The following are equivalent:*

- (i) G_1 and G_2 are isomorphic.
- (ii) There exists an isomorphism $\pi : C_r^*(G_1) \rightarrow C_r^*(G_2)$ so that $\pi(C_0(G_1^{(0)})) = C_0(G_2^{(0)})$.

For G_A and G_B , if we assume they are isomorphic by Theorem 4.12 we have the existence of an isomorphism $\pi : C_r^*(G_A) \rightarrow C_r^*(G_B)$ so that $\pi(C_0(G_A^{(0)})) = C_0(G_B^{(0)})$. Using the identification of $G_A^{(0)} \cong X_A$, $G_B^{(0)} \cong X_B$ as both of the latter spaces are compact, we have

$$C_0(G_A^{(0)}) \cong C(X_A), \quad C_0(G_B^{(0)}) \cong C(X_B).$$

Stitching everything together, we get an isomorphism

$$\Psi_2^{-1} \circ \pi \circ \Psi_1 : \mathcal{O}_A \rightarrow \mathcal{O}_B$$

which sends \mathcal{D}_A to \mathcal{D}_B . This proves the equivalence of (ii) \iff (iii) in Theorem 4.1, finishing the proof.

5. ADDENDUM

There is a small comment made in the proof of Proposition 4.10; if asked, the sketch of the proof is as follows:

Proof. If we first start with $\tau \in \Gamma_A$, we know there exist continuous $k, \ell : X_A \rightarrow \mathbb{N}_+$ so that

$$\tau(x) = (\mu_1(x), \dots, \mu_{k(x)}(x), x_{\ell(x)+1}, \dots)$$

for $(\mu_1(x), \dots, \mu_{k(x)}(x))$ an admissible word for X_A . Thus, $\tau(x) \in \text{orb}_{\sigma_A}(x)$, and as our choice of x was arbitrary we have $\Gamma_A(x) \subseteq \text{orb}_{\sigma_A}(x)$.

For the other direction, we can show that for $x = (x_n)_{n \in \mathbb{N}} \in X_A$ and $j \in \{1, \dots, N\}$ with $jx \in X_A$ for each j , there exist $\tau_1, \tau_2 \in \Gamma_A$ so that

$$\tau_1(x) = (j, x_1, x_2, \dots), \quad \tau_2(x) = (x_2, x_3, \dots).$$

As Γ_A is a group, we can then find (μ_1, \dots, μ_k) admissible with

$$(\mu_1, \dots, \mu_k, x_{\ell+1}, \dots) \in \Gamma_A(x)$$

for all $k, \ell \in \mathbb{N}_+$. This implies $\text{orb}_{\sigma_A}(x) \subseteq \Gamma_A(x)$, and thus the proof is complete. \square

More detail can be found in the proof of [2, Lemma 3.4].

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