

Ising Model and Bernoulli Schemes in One Dimension

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Abstract. We prove that the one-dimensional random fields with finite first moment are isomorphic to Bernoulli schemes.

§ 1. Introduction and Notations

We consider stationary processes defined on a space I of states with only two elements: $I = \{0, 1\}$. A process will thus be a regular probability measure μ defined on the compact space $K_Z = \prod_{i \in Z} I$, where Z is the set of the integers and K_Z is considered with the topology product of the discrete topologies on the factors I .

The elements of K_Z will be identified with the subset $X \subset Z$.

If $A \subset Z$ is a finite set and $K_{Z/A}$ is defined in analogy with K_Z , (Z/A is the complement of A), the process defines a natural measure μ_A on $K_{Z/A}$ and a natural probability distribution f_A on the set of subsets of A :

$$\mu_A(E) = \sum_{X \subset A} \mu(X \cup E) \quad \forall E \subset K_{Z/A}, \quad (1.1)$$

$$f_A(X) = \mu(\{Y/Y \in K_Z, Y \cap A = X\}) \quad \forall X \subset A. \quad (1.2)$$

Notice that $\{Y/Y \in K_Z, Y \cap A = X\}$ can be thought as an atom $A(A, X)$ of the partition $\bigvee_{i \in A} T^i P$ where T is the shift operator (rightwards) on K and $P = (P_0, P_1)$ is the two set (generating) partition of K_Z consisting in the sets:

$$\begin{aligned} A(\{0\}, \emptyset) &= \{Y/Y \in K_Z, Y \cap \{0\} = \emptyset\} \\ A(\{0\}, \{0\}) &= \{Y/Y \in K_Z, Y \cap \{0\} = \{0\}\}. \end{aligned} \quad (1.3)$$

Stationarity of the process means that $f_A(X) = f_{A+s}(X+s)$ where $X+s = (x_1+s, x_2+s, \dots)$ if $X = (x_1, x_2, \dots)$ and $s \in Z$.

If μ is a process we can define the conditional probabilities $f_A(X/Y)$, for $X \subset A$, A finite, $Y \subset Z/A$, as the conditional probability for finding

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in K_Z an element Q such that $Q \cap A = X$, knowing that $Q \cap (Z/A) = Y$: these conditional probabilities are defined for all $X \subset A$ and μ_A -almost everywhere in $Y \in Z/A$ [1].

We shall consider only processes such that $f_A(X/Y) > 0$ μ_A -almost everywhere.

A Markov field with memory r will be a process of the above type such that:

$$f_A(X/Y) = f_A(X/Y \cap \partial_r A) \tag{1.4}$$

where $\partial_r A = \{s/s \in Z, s \notin A, \text{distance of } s \text{ from } \partial A \leq r\}$. Notice that the requirement $f_A(X/Y) > 0$ implies that the process is a mixing Markov chain.

It can be shown that a Markov field with memory r is uniquely determined by its conditional distributions [2] (if, as everywhere in this paper, the time is 1-dimensional).

Furthermore, the $f_A(X/Y)$ can be uniquely written [3], in terms of a shift invariant function Φ , defined on the non empty subsets of Z , such that $\Phi(S) = 0$ if $\text{diam } S > r$, as

$$f_A(X/Y) = \frac{\exp \sum_{\substack{S \subset X \\ \emptyset \neq T \subset Y}} \Phi(S \cup T)}{\text{(normalization)}} \tag{1.5}$$

μ_A -almost everywhere.

The r.h.s. of (1.5) makes sense for more general Φ 's : e.g. if Φ is a shift invariant function such that:

$$\|\Phi\| = \sum_{S \neq \emptyset} |\Phi(S)| < +\infty. \tag{1.6}$$

A stationary process with conditional probabilities given by the r.h.s. of (1.5) with Φ verifying (1.6) is called a Gibbs process with potential Φ [2].

The above mentioned results mean that a memory r Markov field is the same thing as a "finite range" Gibbs' process.

In view of the well known theorem showing that Markov chains are isomorphic to Bernoulli schemes [5], it is natural to ask whether a general Gibbs' process also shares this property.

In this paper we show that a Gibbs process with a potential such that:

$$\|\Phi\|_1 = \sum_{S \supset \emptyset} |\Phi(S)| (\text{diam } S) < +\infty \tag{1.7}$$

is isomorphic to a Bernoulli scheme [6]. It is known that, if (1.7) is verified, there is one and only one Gibbs' process with conditional probabilities given by (1.6), [4], and, furthermore, such a system is K-system [4].

We shall actually prove that the process is a weak-Bernoulli shift and then apply the Friedman-Ornstein isomorphism theorem [5]. The

weak Bernoulli character of our processes will be proved by showing that the partitions $\bigvee_{i \in A_1} T^i P$ and $\bigvee_{i \in (A_2 + n)} T^i P$ with $A_1 = (1, 2, \dots, m_1)$ and $A_2 = (1, 2, \dots, m_2)$ are ε -independent for all m_1, m_2 provided $n - m_1$ is large enough. In terms of the notations (1.2), (1.3) and the remarks in between, this means that there is $N_\varepsilon > 0$ such that:

$$\sum_{\substack{X_1 \subset A_1 \\ X_2 \subset (A_2 + n)}} |f_{A_1 \cup (A_2 + n)}(X_1 \cup X_2) - f_{A_1}(X_1) f_{A_2 + n}(X_2)| < \varepsilon \tag{1.8}$$

for $n - m_1 \geq N_\varepsilon$.

The proof is a generalization of the original proof of Friedman and Ornstein for Markov shifts and is technically based on the results of Ruelle [4]. In the next section we give a brief survey of Ruelle's theorem. In Section 3 we use the theorem of Section 2 to write (1.8) in a different form. Section 4 contains the technical part of the paper. In Section 5 we discuss some open problems.

§ 2. Ruelle's Theorem

Let Φ be a potential verifying (1.7) which is fixed once for all.

Let Z_+ be the positive integers and let $K_{Z_+} = \prod_{i \in Z_+} I$: as in Section 1

the space K_{Z_+} will be regarded as the family of subsets of Z_+ and considered with the product topology.

Let $\mathcal{C}(K_{Z_+})$ be the set of the continuous functions on K_{Z_+} and let $U(X/\tau_1 Y) = \sum_{\substack{S \subset X \\ \emptyset \neq T \subset Y}} \Phi(S \cup \tau_1 T)$ where $\tau_s T$ is a short hand notation for $T + s$. Define on $\mathcal{C}(K_{Z_+})$ the transfer operator:

$$\mathcal{L}f(Y) = \sum_{X \subset \{1\}} e^{-U(X|\tau_1 Y)} f(X \cup \tau_1 Y) \tag{2.1}$$

(where X can obviously be either \emptyset or $\{1\}$).

If μ denotes the Gibbs process associated with Φ we have:

Theorem 1. *There exist, and are unique, a number $\lambda > 0$, a function $h \in \mathcal{C}(K_{Z_+})$ and a measure ν on K_{Z_+} such that:*

- i) $\|\lambda^{-n} \mathcal{L}^n\| \leq C$ where C is a suitable n -independent constant.
- ii) $\mathcal{L}h = \lambda h, \quad \mathcal{L}^* \nu = \lambda \nu, \quad \nu(h) \equiv \int h(Y) \nu(dY) = 1.$

Furthermore:

iii) if $A \subset Z_+$ and \mathcal{C}_A denotes the subspace of $\mathcal{C}(K_{Z_+})$ consisting in the $f \in \mathcal{C}(K_{Z_+})$ such that $f(Y) = f(Y \cap A), \forall Y \subset Z_+$, then if $A = (1, 2, \dots, m)$:

$$\nu(|\lambda^{-n} \mathcal{L}^n f|) \leq (1 - e^{-2\|\Phi\|_1}) \nu(|f|)$$

for all $f \in \mathcal{C}_A$ such that $\nu(f) = \int f(Y) \nu(dY) = 0$ and for all $n \geq m$.

$$\text{iv) } C^{-1} \leq \frac{h(X)}{h(Y)} \leq C \quad \forall X, Y \in K_{Z_+}.$$

v) $\lim_{n \rightarrow \infty} \|\lambda^{-1} \mathcal{L}^n 1 - h\|_\infty = 0$, where 1 denotes the function which is identically one.

vi) if $f \in \mathcal{C}(K_Z)$ and $f(Y) = f(Y \cap Z_+)$, $\forall Y \in K_Z$, then (with an obvious meaning for the symbols):

$$\mu(f) \equiv \int_{K_Z} f(Y) \mu(dY) = \int_{K_{Z_+}} f(Y) h(Y) \nu(dY) \equiv \nu(fh). \quad (2.2)$$

An immediate consequence of vi) and of definition (1.2) is the following: if $\chi_{A,X}$ is the characteristic function of the atom $A(A, X)$ (i.e. if $\chi_{A,X}(Y) = 1$ if $Y \cap A = X$ and $\chi_{A,X}(Y) = 0$ otherwise) and if $A \subset Z_+$ we can use vi) to write $f_A(X)$ as:

$$f_A(X) = \int_{K_Z} \chi_{A,X}(Y) \mu(dY) = \int_{K_{Z_+}} \chi_{A,X}(Y) h(Y) \nu(dY) \quad (2.3)$$

a formula that will be useful later.

§ 3. A Restatement of (1.8)

Assume that $A_1 = (1, 2, \dots, m_1)$ and $A_2 = (1, 2, \dots, m_2)$: using (2.3) we find:

$$f_{A_1 \cup (A_2+n)}(X_1 \cup X_2) = \int \chi_{A_1, X_1}(Y) \chi_{(A_2+n), X_2}(Y) h(Y) \nu(dY) \quad \forall X_i \subset A_i. \quad (3.1)$$

This formula can be written in a more convenient form in terms of the transfer operator. Notice first that the definition (2.1) implies:

$$(\mathcal{L}^n f)(Y) = \sum_{Q \subset (1, 2, \dots, n)} e^{-U(Q/\tau_n Y)} f(Q \cup \tau_n Y) \quad Y \in K_{Z_+} \quad (3.2)$$

and similarly:

$$\int_{K_{Z_+}} f(Y) (\mathcal{L}^{*n} \varrho)(dY) = \sum_{Q \subset (1, 2, \dots, n)} \int f(Q \cup \tau_n Y) e^{-U(Q/\tau_n Y)} \varrho(dY) \quad (3.2)$$

for all measures $\varrho \in \mathcal{C}(K_{Z_+})$.

Therefore, using (3.2) and $\mathcal{L}^* \nu = \lambda \nu$, it is easy to see that:

$$\chi_{(A_2+n), X_2}(Y) \cdot \nu(dY) = [\lambda^{-n} \mathcal{L}^{*n}(\chi_{A_2, (X_2-n)} \cdot \nu)](dY) \quad (3.3)$$

hence:

$$\begin{aligned} f_{A_1 \cup (A_2+n)}(X_1 \cup X_2) &= \int \chi_{A_1, X_1} \chi_{(A_2+n), X_2} h d\nu \\ &= \int \chi_{A_1, X_1}(Y) h(Y) (\lambda^{-n} \mathcal{L}^{*n} \chi_{A_2, X_2-n} \cdot \nu)(dY) \\ &= \int \chi_{A_2, X_2-n}(Y) (\lambda^{-n} \mathcal{L}^n(\chi_{A_1, X_1} \cdot h))(Y) \nu(dY). \end{aligned} \quad (3.4)$$

Combining (3.4) with (2.3) and using $\lambda^{-1} \mathcal{L} h = h$:

$$\begin{aligned} & \sum_{X_2 \subset A_2 + n} |f_{A_1 \cup (A_2 + n)}(X_1 \cup X_2) - f_{A_1}(X_1) f_{A_2 + n}(X_2)| \\ & \leq \sum_{X_2 \subset A_2 + n} \int \chi_{A_2, (X_2 - n)}(Y) [|\lambda^{-n} \mathcal{L}^n(\chi_{A_1, X_1} h - f_{A_1}(X_1) h)| (Y)] \nu(dY) \\ & = \int |\lambda^{-n} \mathcal{L}^n(\chi_{A_1, X_2} - f_{A_1}(X_1)) h| d\nu \equiv \int |\lambda^{-n} \mathcal{L}^n F| d\nu. \end{aligned} \tag{3.5}$$

Where $F(Y) = (\chi_{A_1, X_1}(Y) - f_{A_1}(X_1)) h(Y)$.

Our main result will follow from the inequality:

$$\int |\lambda^{-n-m_1} \mathcal{L}^{n+m_1} F| d\nu \leq f_{A_1}(X_1) \varepsilon(n) \tag{3.6}$$

where $\varepsilon(n) \xrightarrow{n \rightarrow \infty} 0$. Formula (3.6) is proven in the next section.

§ 4. Proof of (3.6)

The proof is based on the following estimates:

Lemma 1. *The function h has the property:*

$$|h(Y) - h(Y \cap (1, 2, \dots, n))| \leq e^{\|\Phi\|_1} h(Y) \eta(n) \tag{4.1}$$

where, here and below, $\eta(n) = \sum_{\substack{S \supset \{0\} \\ \text{diam } S \geq n}} (\text{diam } S) |\Phi(S)|$.

Proof. Part v) of Theorem 1 allows to write, setting $Y_n = Y \cap (1, 2, \dots, n)$

$$\begin{aligned} |h(Y) - h(Y_n)| &= \lim_{s \rightarrow \infty} |(\lambda^{-s} \mathcal{L}^s T)(Y) - (\lambda^{-s} \mathcal{L}^s T)(Y_n)| \\ &\leq \lim_{s \rightarrow \infty} \lambda^{-s} \sum_{QC(1, \dots, s)} |e^{-U(Q/\tau_s Y)} - e^{-U(Q/\tau_s Y_n)}| \\ &\leq \lim_{s \rightarrow \infty} \lambda^{-s} \sum_{QC(1, \dots, s)} e^{-U(Q/\tau_s Y)} \left| 1 - e^{-\sum_{\substack{\emptyset \neq SCQ \\ \emptyset \neq TCY/Y_n}} \Phi(S \cup \tau_s T)} \right| \tag{4.2} \\ &\leq \lim_{s \rightarrow \infty} \lambda^{-s} \sum_{QC(1, \dots, s)} e^{-U(Q/\tau_s Y)} e^{\|\Phi\|_1} \eta(n) \\ &= h(Y) e^{\|\Phi\|_1} \eta(n) \end{aligned}$$

and the lemma is proved.

Lemma 2. *Let $n_0 > 0$. For all $n \geq n_0$ there is a function $F_n \in \mathcal{C}_{(1, 2, \dots, n_0)}$ (see iii) Theorem 1 for the symbol $\mathcal{C}_{(1, 2, \dots, n_0)}$) such that:*

a) $\nu(F_n) = 0$. (4.3)

b) *There is a $C' > 0$ such that, if $\delta_n = (\lambda^{-n-m_1} \mathcal{L}^{n+m_1} F) - F_n$, then:*

$$\nu(|\delta_n|) \leq C' f_{A_1}(X_1) \eta(n_0). \tag{4.4}$$

Proof. Notice first that the definition of F [after (3.5)] together with ii) in Theorem 1 implies $\nu(F) = 0$.

Put $Y_{n_0} = Y \cap (1, 2, \dots, n_0)$, then adding and subtracting appropriate terms we can write the following straightforward sequence of equalities:

$$\begin{aligned}
 & ((\lambda^{-1} \mathcal{L})^{n+m_1} F)(Y) \\
 &= \lambda^{-(n+m_1)} \sum_{Q \subset (1, 2, \dots, n+m_1)} e^{-U(Q/\tau_{n+m_1} Y)} (\chi_{A_1, X_1}(Q) - f_{A_1}(X_1)) h(Q \cup \tau_{n+m_1} Y) \\
 &= \lambda^{-(n+m_1)} \sum_{Q \subset (1, 2, \dots, n+m_1)} e^{-U(Q/\tau_{n+m_1} Y_{n_0})} (\chi_{A_1, X_1}(Q) - f_{A_1}(X_1)) \\
 &\quad \cdot h(Q \cup \tau_{n+m_1} Y_{n_0}) \\
 &+ \lambda^{-(n+m_1)} \sum_{Q \subset (1, \dots, n+m_1)} e^{-U(Q/\tau_{n+m_1} Y)} (\chi_{A_1, X_1}(Q) - f_{A_1}(X_1)) \\
 &\quad \cdot (h(Q \cup \tau_{n+m_1} Y) - h(Q \cup \tau_{n+m_1} Y_{n_0})) \\
 &+ \lambda^{-(n+m_1)} \sum_{Q \subset (1, \dots, n+m_1)} (e^{-U(Q/\tau_{n+m_1} Y)} - e^{-U(Q/\tau_{n+m_1} Y_{n_0})}) \\
 &\quad \cdot (\chi_{A_1, X_1}(Q) - f_{A_1}(X_1)) h(Q \cup \tau_{n+m_1} Y_{n_0}).
 \end{aligned}$$

The first sum in the r.h.s. will be called \tilde{F}_n and the sum of the other two terms will be $\tilde{\delta}_n$.

Using Lemma 1 to bound the second sum and iv) Theorem 1 together with the inequality [used in (4.2)]:

$$|e^{-U(Q/\tau_{n+m_1} Y)} - e^{-U(Q/\tau_{n+m_1} Y_{n_0})}| \leq e^{-U(Q/\tau_{n+m_1} Y)} e^{\|\Phi\|_1} \eta(n_0),$$

to bound the third sum, one finds:

$$\begin{aligned}
 |\tilde{\delta}_n(Y)| &\leq e^{\|\Phi\|_1} (1 + C) \eta(n_0) \lambda^{-(n+m_1)} \sum_{Q \subset (1, \dots, n+m_1)} e^{-U(Q/\tau_{n+m_1} Y)} \\
 &\quad \cdot |\chi_{A_1, X_1}(Q) - f_{A_1}(X_1)| h(Q \cup \tau_{n+m_1} Y)
 \end{aligned}$$

hence, using $\lambda^{-1} \mathcal{L}^* v = v$ and (2.3), we have:

$$\int v(dY) |\tilde{\delta}_n(Y)| \leq 2(1 + C) e^{\|\Phi\|_1} \eta(n_0) f_{A_1}(X_1)$$

therefore, since, as remarked at the beginning of the proof, $\nu(\tilde{F}_n + \tilde{\delta}_n) = \int (\tilde{F}_n + \tilde{\delta}_n) d\nu = 0$ we can modify $\tilde{\delta}_n$ into $\delta_n = \tilde{\delta}_n - \nu(\tilde{\delta}_n)$ and, correspondingly \tilde{F}_n into $F_n = \tilde{F}_n + \nu(\tilde{\delta}_n)$ and obtain a couple F_n, δ_n verifying the lemma.

We can now prove the main theorem:

Theorem 2. *Given $\varepsilon > 0$, $\exists n_\varepsilon$ such that*

$$\int |(\lambda^{-1} \mathcal{L})^{n+m_1} F| d\nu < \varepsilon f_{A_1}(X_1) \quad n \geq n_\varepsilon \tag{4.5}$$

and n_ε is m_1 -independent.

Proof. Let $n(N)$ be such that [see (4.4)]: $\eta(n(N)) C' < 1/N$.

Let k be an arbitrary integer and let:

$$n > 2 \sum_{i=1}^k n(N+i). \tag{4.6}$$

Then $n - n(N + k) > n(N + k)$; therefore Lemma 2 applies to the function $(\lambda^{-1} \mathcal{L})^{n - n(N + k) + m_1} F$ and gives a function $F' \in \mathcal{C}_{(1, 2, \dots, n(N + k))}$ and a rest δ' such that (4.4) holds. Then apply iii) Theorem 1 to the function $(\lambda^{-1} \mathcal{L})^{n(N + k)}$ and obtain:

$$\begin{aligned} v(|\lambda^{-n - m_1} \mathcal{L}^{n + m_1} F|) &\equiv v(|\lambda^{-n(N + k)} \mathcal{L}^{n(N + k)}, \lambda^{-(n - n(N + k) + m_1)} \mathcal{L}^{n - n(N + k) + m_1} F|) \\ &\leq (1 - e^{-2\|\Phi\|_1}) v(|F'|) + \|\lambda^{-n(N + k)} \mathcal{L}^{n(N + k)}\| v(|\delta'|) \\ &\leq (1 - e^{-2\|\Phi\|_1}) v(|\lambda^{-(n - n(N + k) + m_1)} \mathcal{L}^{n - n(N + k) + m_1} F|) \\ &\quad + ((1 - e^{-2\|\Phi\|_1}) + \|\lambda^{-n(N + k)} \mathcal{L}^{n(N + k)}\|) v(|\delta'|) \end{aligned}$$

and, using i) Theorem 1 and b) Lemma 2:

$$\begin{aligned} v(|\lambda^{-n - m_1} \mathcal{L}^{n - m_1} F|) &\leq \frac{C'(C + 1 - e^{-2\|\Phi\|_1})}{N + k} f_{A_1}(X_1) \\ &\quad + (1 - e^{-2\|\Phi\|_1}) v(|\lambda^{n - n(N + k) + m_1} \mathcal{L}^{n - n(N + k) + m_1} F|) \end{aligned}$$

and, iterating the procedure we find (for a suitable $C'' > 0$):

$$\begin{aligned} v(|\lambda^{-n - m_1} \mathcal{L}^{n + m_1} F|) &\leq C'' f_{A_1}(X_1) \sum_{i=0}^{k-1} \frac{(1 - e^{-2\|\Phi\|_1})^i}{N + k - i} \\ &\quad + (1 - e^{-2\|\Phi\|_1})^k C v(|F|) \\ &\leq \left(\frac{C'' e^{2\|\Phi\|_1}}{N} + 2(1 - e^{-2\|\Phi\|_1})^k \right) f_{A_1}(X_1) \end{aligned}$$

and our theorem follows from the arbitrariness of N and k .

§ 5. Conclusion

The reader, familiar with Ref. [4], will have noticed that, technically, the results follow from the improvement of part of the proof of Proposition 5 in [4] which is given in our Lemma 2 via Lemma 1 which is adapted from [7] (Lemma 1).

From a conceptual point of view the proof is nothing else than a generalization of the original method of Friedman and Ornstein for proving the Bernoullicity of Markov processes; the key to this generalization is furnished by Ruelle's theory of the transfer matrix and its use for proving that Gibbs fields are K -systems if their potential verifies (1.7).

If (1.7) is violated the proof of Theorem 1 fails and, actually, one can construct counterexamples to it [8].

Let us consider only the case in which Φ has only "one" and "two" body components which do not vanish (i.e. assume that $\Phi(S) \equiv 0$ if the number of points in S is larger than 2). Then Φ is given (since it is a shift invariant function) by a constant $\Phi(s)$ and a function $\Phi(s, t) =$ of the form

$$\varphi(|s - t|). \text{ If } \varphi(|s - t|) \leq 0, 2\Phi(s) = - \sum_{t \neq s} \varphi(|t - s|) \text{ and if } \varphi(|s - t|) \sim \frac{C}{|s - t|^{1 + \varepsilon}}$$

as $|s - t| \rightarrow \infty$ (so that (1.7) is violated) then it can be shown that the operator \mathcal{L} has a degenerate eigenvalue λ , [7].

It would be of great interest to know whether the systems just described are Bernoulli schemes. We mention just two possibilities:

1) i) for $2\Phi(s) \neq \sum_{t \neq s} \varphi(|s - t|)$ the systems are Bernoulli schemes.

ii) for $2\Phi(s) = \sum_{t \neq s} \varphi(|s - t|)$ the systems are not always Bernoulli schemes (and many possibilities arise if one varies $\Phi(s)$).

2) the systems are never Bernoulli schemes.

Of course there are other possibilities beyond 1) and 2) above; 1) is most appealing since it would establish a link between the "phase transitions" and the isomorphism of the equilibrium state with a B-system (at least in one dimension). We notice here that under the assumptions of case 1) i) above it is known that the Gibbs field is unique and, also, a K-system [9].

A final remark is that the restriction on the space of states I to contain two elements, set at the beginning of this paper, is clearly unnecessary: the same results would be true with any finite I . Things are, however, unclear in the case of more general I 's.

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