

Spectral properties of partial automorphisms of a binary rooted tree

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Communicated by A. P. Petravchuk

ABSTRACT. We study asymptotics of the spectral measure of a randomly chosen partial automorphism of a rooted tree. To every partial automorphism x we assign its action matrix A_x . It is shown that the uniform distribution on eigenvalues of A_x converges weakly in probability to δ_0 as $n \rightarrow \infty$, where δ_0 is the delta measure concentrated at 0.

Introduction

We consider a semigroup of partial automorphisms of a binary n -level rooted tree. Throughout the paper by a partial automorphism we mean root-preserving injective tree homomorphism defined on a connected subtree. This semigroup was studied, in particular, in [4, 5].

We are interested in spectral properties of this semigroup. There is a lot of paper dealing with spectrum of action matrices for the action of finitely generated groups on a regular rooted tree. The exhaustive research on spectra of fractal groups is provided in [1]. The eigenvalues of random wreath product of symmetric group were studied by Evans in [2]; he assigned equal probabilities to the eigenvalues of a randomly chosen automorphism of a regular rooted tree, and considered the random measure Θ_n on the unit circle C . He has shown that Θ_n converges weakly

2010 MSC: 20M18, 20M20, 05C05.

Key words and phrases: partial automorphism, semigroup, eigenvalues, random matrix, delta measure.

in probability to λ as $n \rightarrow \infty$, where λ is the normalized Lebesgue measure on the unit circle.

Let $B_n = \{v_i^n \mid i = 1, \dots, 2^n\}$ be the set of vertices of the n th level of the n -level binary rooted tree. To a randomly chosen partial automorphism x , we assign the action matrix $A_x = \left(\mathbf{1}_{\{x(v_i^n)=v_j^n\}} \right)_{i,j=1}^{2^n}$. Let

$$\Xi_n = \frac{1}{2^n} \sum_{k=1}^{2^n} \delta_{\lambda_k}$$

be the uniform distribution on eigenvalues of A_x . We show that Ξ_n converges weakly in probability to δ_0 as $n \rightarrow \infty$, where δ_0 is the delta measure concentrated at 0. This result can be generalized to a regular rooted tree, however, this generalization is not straightforward and will be studied elsewhere.

The remaining of the paper is organized as follows. Section 2 contains basic facts on a partial wreath product of semigroup and its connection with a semigroup of partial automorphisms of a regular rooted tree. The main result is stated and proved in Section 3.

1. Preliminaries

For a set $X = \{1, 2\}$ consider the set \mathcal{I}_2 of all partial bijections. List all of them using standard tableax representation:

$$\left\{ \begin{pmatrix} 1 & 2 \\ 1 & 2 \end{pmatrix}, \begin{pmatrix} 1 & 2 \\ 2 & 1 \end{pmatrix}, \begin{pmatrix} 1 & 2 \\ 1 & \emptyset \end{pmatrix}, \begin{pmatrix} 1 & 2 \\ \emptyset & 2 \end{pmatrix}, \begin{pmatrix} 1 & 2 \\ 2 & \emptyset \end{pmatrix}, \begin{pmatrix} 1 & 2 \\ \emptyset & 1 \end{pmatrix}, \begin{pmatrix} 1 & 2 \\ \emptyset & \emptyset \end{pmatrix} \right\}.$$

This set forms an inverse semigroup under natural composition law, namely, $f \circ g : \text{dom}(f) \cap f^{-1} \text{dom}(g) \ni x \mapsto g(f(x))$ for $f, g \in \mathcal{I}_2$. Obviously, \mathcal{I}_2 is a particular case of the well-known inverse symmetric semigroup. Detailed description of it can be found in [3, Chapter 2].

Recall the definition of a partial wreath product of semigroups. Let S be an arbitrary semigroup. For functions $f : \text{dom}(f) \rightarrow S, g : \text{dom}(g) \rightarrow S$ define the product fg as:

$$\text{dom}(fg) = \text{dom}(f) \cap \text{dom}(g), (fg)(x) = f(x)g(x) \text{ for all } x \in \text{dom}(fg).$$

For $a \in \mathcal{I}_2, f : \text{dom}(f) \rightarrow S$, define f^a as:

$$(f^a)(x) = f(x^a), \text{dom}(f^a) = \{x \in \text{dom}(a); x^a \in \text{dom}(f)\}.$$

Definition 1. The partial wreath square of the semigroup \mathcal{I}_2 is the set

$$\{(f, a) \mid a \in \mathcal{I}_2, f: \text{dom}(a) \rightarrow \mathcal{I}_2\}$$

with composition defined by

$$(f, a) \cdot (g, b) = (fg^a, ab)$$

Denote it by $\mathcal{I}_2 \wr_p \mathcal{I}_2$.

The partial wreath square of \mathcal{I}_2 is a semigroup, moreover, it is an inverse semigroup [6, Lemmas 2.22 and 4.6]. We may recursively define any partial wreath power of the finite inverse symmetric semigroup. Denote by \mathcal{P}_n the n th partial wreath power of \mathcal{I}_2 .

Definition 2. The partial wreath n -th power of semigroup \mathcal{I}_2 is defined as a semigroup

$$\mathcal{P}_n = (\mathcal{P}_{n-1}) \wr_p \mathcal{I}_2 = \{(f, a) \mid a \in \mathcal{I}_2, f: \text{dom}(a) \rightarrow \mathcal{P}_{n-1}\}$$

with composition defined by

$$(f, a) \cdot (g, b) = (fg^a, ab),$$

where \mathcal{P}_{n-1} is the partial wreath $(n-1)$ -th power of semigroup \mathcal{I}_2

Proposition 1. Let N_n be the number of elements in the semigroup \mathcal{P}_n . Then $N_n = 2^{2^{n+1}-1} - 1$

Proof. We proceed by induction.

If $n = 1$, then $2^{2^2-1} - 1 = 7$. This is exactly the number of elements in \mathcal{I}_2 .

Assume that $N_{n-1} = 2^{2^n-1} - 1$. Then

$$\begin{aligned} N_n &= |\{(f, a) \mid a \in \mathcal{I}_2, f: \text{dom}(a) \rightarrow N_{n-1}\}| \\ &= \sum_{a \in \mathcal{I}_2} N_{n-1}^{|\text{dom}(a)|} = \sum_{a \in \mathcal{I}_2} (2^{2^n-1} - 1)^{|\text{dom}(a)|} \\ &= 1 + 4 \cdot (2^{2^n-1} - 1) + 2 \cdot (2^{2^n-1} - 1)^2 \\ &= 1 + 4 \cdot 2^{2^n-1} - 4 + 2 \cdot 2^{2^{n+1}-2} - 4 \cdot 2^{2^n-1} + 2 = 2^{2^{n+1}} - 1. \quad \square \end{aligned}$$

Remark 1. Let T be an n -level binary rooted tree. We define a partial automorphism of a tree T as an isomorphism $x: \Gamma_1 \rightarrow \Gamma_2$ of subtrees Γ_1 and Γ_2 of T containing a root. Denote $\text{dom}(x) := \Gamma_1$, $\text{ran}(x) := \Gamma_2$ domain and image of x respectively. Let $\text{PAut } T$ be the set of all partial automorphisms of T . Obviously, $\text{PAut } T$ forms a semigroup under natural composition law. It was proved in [4, Theorem 1] that the partial wreath power \mathcal{P}_n is isomorphic to $\text{PAut } T$.

2. Asymptotic behaviour of a spectral measure of a binary rooted tree

We identify $x \in \mathcal{P}_n$ with a partial automorphism from $\text{PAut } T$. Recall, that B_n denotes the set of vertices of the n th level of T . Clearly, $|B_n| = 2^n$. Let us enumerate the vertices of B_n by positive integers from 1 to 2^n :

$$B_n = \{v_i^n \mid i = 1, \dots, 2^n\}.$$

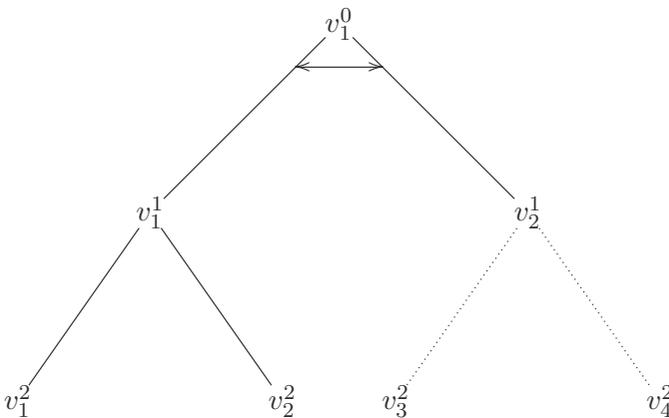
To a randomly chosen transformation $x \in \mathcal{P}_n$, we assign the matrix

$$A_x = \left(\mathbf{1}_{\{x(v_i^n)=v_j^n\}} \right)_{i,j=1}^{2^n}.$$

In other words, (i, j) th entry of A_x is equal to 1, if a transformation x maps v_i^n to v_j^n , and 0, otherwise.

Remark 2. In an automorphism group of a tree such a matrix describes completely the action of an automorphism. Unfortunately, for a semigroup this is not the case.

Example 1. Consider the partial automorphism $x \in \mathcal{P}_2$, which acts in the following way



(dotted lines mean that these edges are not in domain of x).

Then the corresponding matrix for x is

$$A_x = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 \end{pmatrix}.$$

Note that if v_2^1 were not in the $\text{dom}(x)$ with action on other vertices preserved, then the corresponding matrix would be the same.

Let $\chi_x(\lambda)$ be the characteristic polynomial of A_x and $\lambda_1, \dots, \lambda_{2^n}$ be its roots respecting multiplicity. Denote

$$\Xi_n = \frac{1}{2^n} \sum_{k=1}^{2^n} \delta_{\lambda_k}$$

the uniform distribution on eigenvalues of A_x .

Theorem 1. *For any function $f \in C(D)$, where $D = \{z \in \mathbb{C} \mid |z| \leq 1\}$ is a unit disc,*

$$\int_D f(x) \Xi_n(dx) \xrightarrow{\mathbb{P}} f(0), \quad n \rightarrow \infty. \tag{1}$$

In other words, Ξ_n converges weakly in probability to δ_0 as $n \rightarrow \infty$, where δ_0 is the delta-measure concentrated at 0.

Remark 3. Evans [2] has studied asymptotic behaviour of a spectral measure of a randomly chosen element σ of n -fold wreath product of the symmetric group \mathcal{S}_d .

He considered the random measure Θ_n on the unit circle C , assigning equal probabilities to the eigenvalues of σ .

Evans has shown that if f is a trigonometric polynomial, then

$$\lim_{n \rightarrow \infty} \mathbb{P} \left\{ \int_C f(x) \Theta_n(dx) \neq \int f(x) \lambda(dx) \right\} = 0,$$

where λ is the normalized Lebesgue measure on the unit circle. Consequently, Θ_n converges weakly in probability to λ as $n \rightarrow \infty$.

In fact, Theorem 1 speaks about the number of non-zero roots of characteristic polynomial $\chi_x(\lambda)$. Let us find an alternative description for them. Denote

$$S_n(x) = \bigcap_{m \geq 1} \text{dom}(x^m) = \{v_j^n \mid v_j^n \in \text{dom}(x^m) \text{ for all } m \geq 1\}$$

the vertices of the n th level, which “survive” under the action of x , and define the *ultimate rank* of x by $\text{rk}_n(x) = |S_n(x)|$. Let R_n denote the total number of these vertices over all $x \in \mathcal{P}_n$, that is

$$R_n = \sum_{x \in \mathcal{P}_n} \text{rk}_n(x).$$

We call the number R_n the *total ultimate rank*.

Lemma 1. For $x \in \mathcal{P}_n$ the number of non-zero roots of χ_x with regard for multiplicity is equal to the ultimate rank $\text{rk}_n(x)$ of x .

Proof. Let $x \in \mathcal{P}_n$ and A_x be its action matrix. Consider A_x as a matrix in a standard basis. Let w be some basis vector. It follows from the definition of A_x that there are two possibilities: if the vertex v corresponding to w is in domain of x , then A_x sends w to another basis vector, otherwise, to the zero vector. Since x is a partial bijection, applying A_x repeatedly, we can either get the same vector or the zero vector; $A_x^n w = 0$ means that $v \notin \text{dom } x^n$. In the first case, the vector w corresponds to a non-zero root of χ_x (some root of unity), and the vertex v contributes to the ultimate rank. In the second case, the vector is a root vector for the zero eigenvalue, so it corresponds to a zero root of A_x , while the corresponding vector does not contribute to the ultimate rank. \square

Denote $\text{rank}_n(x) = |\text{dom}(x) \cap B_n|$ and define the *total rank*

$$R'_n = \sum_{x \in \mathcal{P}_n} \text{rank}_n(x).$$

Remark 4. Clearly, for $x = (f, a)$, where $a \in \mathcal{I}_2$, $f: \text{dom}(a) \rightarrow \mathcal{P}_{n-1}$,

$$\text{rank}_n(x) = \sum_{y \in \text{dom}(a)} \text{rank}_{n-1}(f(y)) \tag{2}$$

if $\text{dom}(a) \neq \emptyset$ and $\text{rank}_n(x) = 0$ otherwise.

Lemma 2. Let R'_n be the total rank of the semigroup \mathcal{P}_n . Then

$$R'_n = 4R'_{n-1} + 4R'_{n-1}N_{n-1}.$$

Proof. Thanks to (2),

$$\begin{aligned} R'_n &= \sum_{x=(f,a) \in \mathcal{P}_n} \text{rank}_n(x) = \sum_{x=(f,a) \in \mathcal{P}_n} \sum_{y \in \text{dom}(a)} \text{rank}_{n-1}(f(y)) \\ &= \sum_{\substack{a \in \mathcal{I}_2 \\ |\text{dom}(a)|=1}} \sum_{f_1 \in \mathcal{P}_{n-1}} \text{rank}_{n-1}(f_1) \\ &\quad + \sum_{\substack{a \in \mathcal{I}_2 \\ |\text{dom}(a)|=2}} \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} (\text{rank}_{n-1}(f_1) + \text{rank}_{n-1}(f_2)) \\ &= 4R'_{n-1} + 2 \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} (\text{rank}_{n-1}(f_1) + \text{rank}_{n-1}(f_2)). \end{aligned}$$

We have

$$\begin{aligned} \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} \text{rank}_{n-1}(f_1) &= \sum_{f_1 \in \mathcal{P}_{n-1}} \sum_{f_2 \in \mathcal{P}_{n-1}} \text{rank}(f_1) \\ &= \sum_{f_1 \in \mathcal{P}_{n-1}} N_{n-1} \text{rank}(f_1) = N_{n-1} R'_{n-1}. \end{aligned}$$

Hence, by symmetry, $R'_n = 4R'_{n-1} + 4R'_{n-1}N_{n-1}$. □

Lemma 3. *Let R'_n be the total rank of the semigroup \mathcal{P}_n . Then*

$$R'_n = 2^{n-1}(1 + N_n) = 2^{2^n+n-2}.$$

Proof. We proceed by induction. A direct calculation gives

$$R'_1 = 8 = 1 + N_1.$$

Assuming that

$$R'_{n-1} = 2^{2^{n-1}+n-3},$$

we have, thanks to Lemma 2 and Proposition 1,

$$R'_n = 4R'_{n-1}(1 + N_{n-1}) = 4 \cdot 2^{2^{n-1}+n-3} \cdot 2^{2^{n-1}-1} = 2^{2^n+n-2},$$

as required. □

Lemma 4. *Let R_n be the total ultimate rank of the semigroup \mathcal{P}_n . Then*

$$R_n \leq 3R_{n-1} + 3R_{n-1}N_{n-1}.$$

Proof. Represent R_n as a sum

$$R_n = \sum_{x=(f,a) \in \mathcal{P}_n} \text{rk}_n(x) = \sum_{\substack{x=(f,a) \in \mathcal{P}_n \\ |\text{dom}(a)|=1}} \text{rk}_n(x) + \sum_{\substack{x=(f,a) \in \mathcal{P}_n \\ |\text{dom}(a)|=2}} \text{rk}_n(x).$$

If $\text{rank}(a) = 1$, then we will be interested only in those a for which $a = (1)$ and $a = (2)$, since otherwise the ultimate rank of x is 0. Therefore,

$$\begin{aligned} \sum_{\substack{x=(f,a) \in \mathcal{P}_n \\ |\text{dom}(a)|=1}} \text{rk}_n(x) &= \sum_{a \in \{(1),(2)\}} \sum_{f_1 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(f_1) \\ &= 2 \sum_{f_1 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(f_1) = 2R_{n-1}. \end{aligned}$$

If $\text{rank}(a) = 2$, then

$$\sum_{\substack{x=(f,a)\in\mathcal{P}_n \\ |\text{dom}(a)|=2}} \text{rk}_n(x) = \sum_{\substack{x=(f,a)\in\mathcal{P}_n \\ a=(1)(2)}} \text{rk}_n(x) + \sum_{\substack{x=(f,a)\in\mathcal{P}_n \\ a=(12)}} \text{rk}_n(x) =: S_1 + S_2.$$

Clearly, if $x = (f, a)$ with $a = (1)(2)$, then $\text{rk}_n(x) = \text{rk}_{n-1}(f(1)) + \text{rk}_{n-1}(f(2))$, whence

$$\begin{aligned} S_1 &= \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} (\text{rk}_{n-1}(f_1) + \text{rk}_{n-1}(f_2)) \\ &= 2 \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(f_1) = 2R_{n-1}N_{n-1}. \end{aligned}$$

Further, if $x = (f, a)$ with $a = (12)$, then $\text{rk}_n(x) = 2 \text{rk}_{n-1}(f(1)(f(2)))$. So,

$$S_2 = 2 \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(f_1 f_2).$$

Note that every element $x \in \mathcal{P}_n$ can be represented as a product $x = e\sigma$, where e is an idempotent on $\text{dom}(x)$ and σ is a permutation on the set of the tree vertices. Then

$$\sum_{x_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(x_1 x_2) = \sum_{x_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(e\sigma x_2) = \sum_{x_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(e x_2).$$

The last equality is true since transformation $x \mapsto \sigma x$ is bijective on \mathcal{P}_{n-1} .

It follows from above that

$$\begin{aligned} S_2 &= 2 \sum_{f_1, f_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(f_1 f_2) = 2 \sum_{f_1 \in \mathcal{P}_{n-1}} \sum_{f_2 \in \mathcal{P}_{n-1}} \text{rk}_{n-1}(\text{id}_{\text{dom}(f_1)} f_2) \\ &\leq 2 \sum_{f_1 \in \mathcal{P}_{n-1}} \sum_{f_2 \in \mathcal{P}_{n-1}} |\text{dom}(f_1) \cap S_{n-1}(f_2)| \\ &= 2 \sum_{f_1 \in \mathcal{P}_{n-1}} \sum_{f_2 \in \mathcal{P}_{n-1}} \sum_{j=1}^{2^{n-1}} \mathbf{1}_{\{v_j^{n-1} \in \text{dom}(f_1)\}} \cdot \mathbf{1}_{\{v_j^{n-1} \in S_{n-1}(f_2)\}} \\ &= 2 \sum_{j=1}^{2^{n-1}} \sum_{f_1 \in \mathcal{P}_{n-1}} \mathbf{1}_{\{v_j^{n-1} \in \text{dom}(f_1)\}} \cdot \sum_{f_2 \in \mathcal{P}_{n-1}} \mathbf{1}_{\{v_j^{n-1} \in S_{n-1}(f_2)\}}. \end{aligned}$$

Thanks to symmetry, for each j , we have

$$\sum_{x \in \mathcal{P}_n} \mathbf{1}_{\{v_j^{n-1} \in \text{dom}(x)\}} = \sum_{x \in \mathcal{P}_n} \mathbf{1}_{\{v_1^{n-1} \in \text{dom}(x)\}}.$$

Therefore,

$$\frac{1}{2^n} \sum_{x \in \mathcal{P}_n} \sum_{k=1}^{2^{n-1}} \mathbf{1}_{\{v_k^{n-1} \in \text{dom}(x)\}} = \frac{1}{2^{n-1}} |\text{dom}(x)|.$$

Thus, we can write

$$\begin{aligned} S_2 &= 2 \sum_{j=1}^{2^{n-1}} \sum_{f_1 \in \mathcal{P}_{n-1}} \frac{1}{2^{n-1}} |\text{dom}(f_1)| \mathbf{1}_{\{v_j^{n-1} \in S_{n-1}(f_2)\}} \\ &= \frac{1}{2^{n-1}} \sum_{f_1 \in \mathcal{P}_n} |\text{dom}(f_1)| \sum_{j=1}^{2^n} \mathbf{1}_{\{v_j^{n-1} \in S_{n-1}(f_2)\}} \\ &= 2 \cdot \frac{1}{2^{n-1}} \sum_{f_1 \in \mathcal{P}_{n-1}} |\text{dom}(f_1)| \cdot \sum_{f_2 \in \mathcal{P}_{n-1}} |S_{n-1}(f_2)|. \end{aligned}$$

Using that $|S_{n-1}(f_2)| = \text{rk}_{n-1}(f_2)$, $|\text{dom}(f_1)| = \text{rank}(f_1)$, and applying Lemma 3, we get

$$\begin{aligned} \frac{2}{2^{n-1}} R_{n-1} R'_{n-1} &= \frac{2R_{n-1} \cdot (1 + N_{n-1})2^{n-2}}{2^{n-1}} \\ &= \frac{2R_{n-1}(1 + N_{n-1})}{2} = (1 + N_{n-1})R_{n-1}. \end{aligned}$$

Therefore,

$$R_n \leq 2R_{n-1} + 2R_{n-1}N_{n-1} + (1 + N_{n-1})R_{n-1} = 3R_{n-1} + 3R_{n-1}N_{n-1}. \quad \square$$

Lemma 5. Let $p_n = \frac{R_n}{2^n N_n}$ for $n \in \mathbb{N}$. Then

$$p_n \leq \frac{3}{4} p_{n-1}, \quad n \geq 2.$$

Proof. Using Lemma 4, we get

$$\begin{aligned} p_n &= \frac{R_n}{2^n N_n} \leq \frac{3R_{n-1} + 3R_{n-1}N_{n-1}}{2^n N_n} = \frac{3R_{n-1}(1 + N_{n-1})}{2^n N_n} \\ &= \frac{3R_{n-1} \cdot 2^{2^n-1}}{2^n (2^{2^n+1}-1)} = \frac{3}{2} \cdot \frac{R_{n-1}}{2^{n-1}(2^{2^n} - 2^{1-2^n})} \leq \frac{3}{2} \cdot \frac{R_{n-1}}{2^{n-1}(2^{2^n} - 2)} \\ &= \frac{3}{2} \cdot \frac{R_{n-1}}{2^n (2^{2^n-1} - 1)} = \frac{3}{4} \cdot \frac{R_{n-1}}{2^{n-1} N_{n-1}} = \frac{3}{4} \cdot p_{n-1}. \quad \square \end{aligned}$$

Proof of Theorem 1. Note that $\int_D f(z)\Xi_n(dz) = \frac{1}{2^n} \sum_{k=1}^{2^n} f(\lambda_k)$, where $\lambda_1, \dots, \lambda_{2^n}$ are the roots of the characteristic polynomial $\chi_x(\lambda)$.

Then, thanks to Lemma 1,

$$\begin{aligned} & \left| \int_D f(z)\Xi_n(dz) - f(0) \right| = \left| \int_D (f(z) - f(0))\Xi(dz) \right| \\ & \leq \frac{1}{2^n} \sum_{k:\lambda_k \neq 0} |(f(k) - f(0))| \leq 2 \max_D |f| \cdot \frac{|k : \lambda_k \neq 0|}{2^n} = 2 \max_D |f| \frac{\text{rk}_n(x)}{2^n}. \end{aligned}$$

Therefore,

$$\mathbb{E} \left| \int_D f(z)\Xi(dz) - f(0) \right| \leq 2 \max |f| \cdot \frac{\sum_{z \in \mathcal{P}_n} \text{rk}_n(x)}{2^n N_n} = 2 \max |f| \cdot p_n,$$

where p_n is defined in Lemma 5. By Lemma 5, $p_n \leq \frac{3}{4} \cdot p_{n-1} \leq \dots \leq (\frac{3}{4})^{n-1} p_0$, whence $p_n \rightarrow 0$, $n \rightarrow \infty$.

Consequently, $\mathbb{E} \left| \int_D f(z)\Xi(dz) - f(0) \right| \rightarrow 0$, $n \rightarrow \infty$, whence the statement follows. \square

Remark 5. We can see from the proof that the rate of convergence in (1) is in some sense exponential.

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Received by the editors: 29.08.2017
and in final form 17.12.2017.