

**VON NEUMANN ALGEBRAS
GENERATED BY REPRESENTATIONS OF NILPOTENT GROUPS**

BY

V. YA. GOLODETS (KHARKOV) AND E. PŁONKA (WROCLAW)

In this paper we prove the following

THEOREM. *Let $\{U_g\}_{g \in G}$ be the von Neumann algebra generated by operators of a unitary representation $g \rightarrow U_g$ of a countable nilpotent group G in a separable Hilbert space. If $\{U_g\}_{g \in G}$ has a finite, faithful, normal trace, then it is hyperfinite.*

This theorem was announced in [4] but no complete proof has been published. Here we present such a proof which makes use of the theory of Dye [2], [3]. The theorem is also a consequence of a general theory of A. Connes published in *Annals of Mathematics* 104 (1976), p. 73-115. The proof we offer seems to be much simpler and more direct than the one using Connes' theory.

We are grateful to Professor C. C. Moore for his kind interest in our result and for pointing out several minor gaps in our earlier draft of the paper.

Professor M. Takesaki called our attention to the fact that the assumption that $\{U_g\}$ is finite is redundant, since under the assumption that $\{U_g\}$ is infinite the proof of the theorem, as announced in [5], has been completed in [1].

Let \mathfrak{A} be a von Neumann algebra of linear bounded operators in a separable Hilbert space and let tr be a finite, faithful, normal trace on \mathfrak{A} . The equality $(a, b) = \text{tr} b^* a$ defines an inner product in \mathfrak{A} . The completion $H(\mathfrak{A})$ of \mathfrak{A} with respect to the trace norm $\|a\| = (a, a)^{1/2}$ is a Hilbert space. The mapping $a \rightarrow l_a$, where $l_a x = ax$, is an isomorphism of \mathfrak{A} into the algebra $B(H(\mathfrak{A}))$ of all linear bounded operators in $H(\mathfrak{A})$. We denote by $E_{\mathfrak{B}}$ the conditional expectation of \mathfrak{A} with respect to a von Neumann subalgebra \mathfrak{B} of \mathfrak{A} (cf. [6]). Linearity and the following properties of $E_{\mathfrak{B}}$ will be used:

$$E_{\mathfrak{B}}(a^*) = (E_{\mathfrak{B}}(a))^*, \quad E_{\mathfrak{B}}(b_1 a b_2) = b_1 E_{\mathfrak{B}}(a) b_2, \quad \text{tr} a = \text{tr} E_{\mathfrak{B}}(a)$$

for $a \in \mathfrak{A}$, $b_1, b_2 \in \mathfrak{B}$.

An algebra \mathfrak{A} is called *hyperfinite* if for given $a_i \in \mathfrak{A}$, $1 \leq i \leq k$, and $\varepsilon > 0$ there is a subalgebra \mathfrak{N} of type I of \mathfrak{A} which contains the center $\mathfrak{Z}(\mathfrak{A})$ of \mathfrak{A} and elements $n_i \in \mathfrak{N}$ such that

$$\|a_i - n_i\| < \varepsilon \quad \text{for } 1 \leq i \leq k.$$

Let $\text{aut } \mathfrak{Z}(\mathfrak{A})$ be the group of all trace and $*$ -preserving automorphisms of $\mathfrak{Z}(\mathfrak{A})$. For $\alpha, \beta \in \text{aut } \mathfrak{Z}(\mathfrak{A})$ we denote by $F(\alpha, \beta)$ the greatest projection P in $\mathfrak{Z}(\mathfrak{A})$ such that $Q^\alpha = Q^\beta$ for all projections $Q \leq P$. In the case $F(\alpha, 1) = 0$ we say that α is *freely acting*. Let S be a subgroup of $\text{aut } \mathfrak{Z}(\mathfrak{A})$. We say that an automorphism α *belongs to* $[S]$ if

$$\text{LUB}_{s \in S} F(\alpha, s) = 1.$$

The following (i)-(iv) give a description of $[S]$ which is due to Dye [2], [3].

(i) $\alpha \in [S]$ if and only if there is a partition $\{P(s, \alpha)\}_{s \in S}$ of 1 in $\mathfrak{Z}(\mathfrak{A}) = \mathfrak{Z}$ (i.e. $P(s, \alpha)$ are mutually orthogonal projections and $\sum_s P(s, \alpha) = 1$) such that $P(s, \alpha) \leq F(s, \alpha)$ for $s \in S$ and

$$P^\alpha = \sum_s (P(s, \alpha)P)^s \quad \text{for all projections } P \in \mathfrak{Z}.$$

(ii) If S is an Abelian subgroup of $\text{aut } \mathfrak{Z}$, then there exists a partition $\{D_n\}_{n=0}^\infty$ of 1 in \mathfrak{Z} such that $D_n^s = D_n$ for all $n \geq 0$, $s \in S$ and

(a) $[S]$ is a direct product of groups $[S]_{D_n}$, $n = 0, 1, 2, \dots$, where

$$[S]_{D_n} = \{\alpha \in [S] : 1 - D_n \leq F(\alpha, 1)\};$$

(b) $[S]_{D_n} = [Z_n]$ for all $n = 1, 2, 3, \dots$, where Z_n is the cyclic group of order n of freely acting automorphisms of the algebra $\mathfrak{Z}D_n$;

(c) $[S]_{D_0} = [Z_2^{*0}]$, where Z_2^{*0} is the restricted direct product of \aleph_0 copies of Z_2 of freely acting automorphisms of $\mathfrak{Z}D_0$.

(iii) If S is a finite group of freely acting automorphisms of \mathfrak{Z} , then there is a projection P in \mathfrak{Z} such that $\{P^s\}_{s \in S}$ is a partition of 1.

(iv) If S is a finite group of freely acting automorphisms of \mathfrak{Z} , then there exists a cyclic group Z_n of freely acting automorphisms of \mathfrak{Z} such that $[S] = [Z_n]$.

We have also

(v) Let s be a freely acting automorphism of $\mathfrak{Z}(\mathfrak{A})$. If for an element $a \in \mathfrak{A}$ the equality $a(z^s - z) = 0$ holds for all $z \in \mathfrak{Z}(\mathfrak{A})$, then $a = 0$.

In fact, since the equalities $P(P^s - P) = 0$ and $(P(P - P^{s^{-1}}))^s = 0$ hold for $P \leq c(a)$ ($c(a)$ is the central support of a), we have $P = P^s$. Hence $c(a) \leq F(s, 1) = 0$ and, consequently, $a = 0$.

From now on, all von Neumann algebras which will be dealt with have finite, faithful, normal trace.

LEMMA 1. Let $\mathfrak{B} = \{\mathfrak{A}, \{U_s\}_{s \in S}\}''$ be the von Neumann algebra generated by a von Neumann algebra \mathfrak{A} and a family $\{U_s\}_{s \in S}$ of unitaries, where S is a subgroup of $\text{aut } \mathfrak{Z}(\mathfrak{A})$, $U_1 = 1$, $U_s^* \mathfrak{A} U_s = \mathfrak{A}$, $U_s^* z U_s = z^s$, $U_s^* U_t U_s = a(s, t) \in \mathfrak{A}$ for all $z \in \mathfrak{Z}(\mathfrak{A})$, $s, t \in S$. Let $[S] = [K]$, where K is a group of freely acting automorphisms of $\mathfrak{Z}(\mathfrak{A})$. Then there is a family of unitaries $\{U_k\}_{k \in K}$ in \mathfrak{B} such that each $b \in \mathfrak{B}$ has a representation of the form

$$b = \sum_{k \in K} a_k U_k,$$

where $a_k \in \mathfrak{A}$ and the summation being taken in the trace norm $\|\cdot\|$. Further, we have $\mathfrak{Z}(\mathfrak{A})' \cap \mathfrak{B} = \mathfrak{A}$.

Proof. Let $a \in [S]$. By (i),

$$P^a = \sum_{s \in S} (P(s, a) P)^s,$$

where $P \in \mathfrak{Z}(\mathfrak{A})$, $\{P(s, a)\}_{s \in S}$ is a partition of 1. Let us put

$$(1) \quad U_a = \sum_{s \in S} P(s, a) U_s.$$

We have

$$\begin{aligned} U_a U_a^* &= \sum_{s, t \in S} P(s, a) U_s U_t^* P(t, a) = \sum_{s, t} U_s P(s, a)^s P(t, a)^t U_t^* \\ &= \sum_{s, t} U_s (P(s, a) P(t, a))^s U_t^* = \sum_s U_s P(s, a)^a U_s^* = \sum_s P(s, a) = 1, \end{aligned}$$

since $P(s, a) \leq F(s, a)$. Similarly, if $a \in \mathfrak{A}$, then

$$\begin{aligned} U_a^* a U_a &= \sum_{s, t \in S} U_s^* P(s, a) a P(t, a) U_t = \sum_{s, t} U_s^* P(s, a) P(t, a) a U_t \\ &= \sum_s U_s^* P(s, a) a U_s. \end{aligned}$$

Consequently, $U_a^* \mathfrak{A} U_a = \mathfrak{A}$ and, putting $a = 1$, we have $U_a U_a^* = U_a^* U_a = 1$, i.e. the operator U is unitary. Moreover, $U_a^* P U_a = P^a$ for all projections $P \in \mathfrak{Z}(\mathfrak{A})$.

For $t \in S$ and $k \in K$ let $\{P_t(s, k)\}_{s \in S}$ be a family of projections defined by the following condition:

$\{P_t(s, k)\}_{s \in S}$ is a maximal family of mutually orthogonal projections such that $P_t(t, k) = F(t, k)$ and $P_t(s, k) \leq F(s, k)$ for $s \in S$.

Since $k \in [S]$, it is clear that

$$\sum_{s \in S} P_t(s, k) = 1.$$

Now for the partition $\{P_t(s, k)\}_{s \in S}$ let $U_k(t)$ be defined by (1). Since $t \in [K]$, we have

$$(2) \quad \sum_{k \in K} P_t(t, k) U_k(t) = \sum_{\substack{k \in K \\ s \in S}} P_t(t, k) P_t(s, k) U_s = \sum_{k \in K} F(t, k) U_t = U_t$$

and, consequently, for $t_1, t_2 \in S$ and $k \in K$ we have

$$\begin{aligned} U_k(t_1) U_k(t_2)^* &= \sum_{s, t \in S} P_{t_1}(s, k) U_s U_t^* P_{t_2}(t, k) \\ &= \sum_{s, t} P_{t_1}(s, k) P_{t_2}(t, k)^{ts^{-1}} U_s U_t^* \\ &= \sum_{s, t} P_{t_1}(s, k)^{ks^{-1}} P_{t_2}(t, k)^{ks^{-1}} U_{st^{-1}} a(s, t^{-1}) a(t, t^{-1})^* \\ &= \sum_{l \in K} \sum_{s, t \in S} P_{t_1}(s, k) P_{t_2}(t, k) P_{st^{-1}}(st^{-1}, l) U_l a(s, t^{-1}) a(t, t^{-1})^*. \end{aligned}$$

Since

$$\begin{aligned} P_{t_1}(s, k) P_{t_2}(t, k) P_{st^{-1}}(st^{-1}, l) &\leq F(s, k) F(t, k) F(st^{-1}, l) \\ &\leq F(st^{-1}, 1) F(st^{-1}, l) \leq F(l, 1) \end{aligned}$$

and $F(l, 1) = 0$ for each l from K such that $l \neq 1$, we see that $U_k(t_1) U_k(t_2)^*$ is an \mathfrak{A} .

Let us put $U_k = U_k(1)$. Then we obtain a family $\{U_k\}_{k \in K}$ of unitaries in \mathfrak{B} . Let D be the set of finite sums of the form $\sum_{k \in K} a_k U_k$, where $a_k \in \mathfrak{A}$.

We show that D is an involutive algebra. Indeed, we have

$$\begin{aligned} U_{kl}^* U_k U_l &= \sum_{s, t, w \in S} U_s^* P_1(s, kl) P_1(t, k) U_t P_1(w, l) U_l \\ &= \sum_{s, t, w} P_1(s, kl)^s P_1(t, k)^s P_1(w, l)^{t^{-1}s} U_s^* U_t U_l \\ &= \sum_{s, t, w} P_1(s, kl)^s P_1(t, k)^s P_1(w, l)^{t^{-1}s} U_{s^{-1}t} a'(s, t, l) \\ &= \sum_{\substack{s, t, w \in S \\ m \in K}} P_1(s, kl)^s P_1(t, k)^s P_1(w, l)^{t^{-1}s} P_{s^{-1}t}(s^{-1}t, m) U_m a'(s, t, l), \end{aligned}$$

where $a'(s, t, l)$ are unitaries from \mathfrak{A} . Let Q be a projection from $\mathfrak{Z}(\mathfrak{A})$ such that

$$Q \leq P_1(s, kl)^s P_1(t, k)^s P_1(w, l)^{t^{-1}s} P_{s^{-1}t}(s^{-1}t, m).$$

Then we have $Q^{s^{-1}kl s^{-1}} = Q^{s^{-1}}$, $Q^{s^{-1}lk^{-1}} = Q^{s^{-1}}$, $Q^{s^{-1}l} = Q^m$, which shows that $Q^m = Q$ and, therefore, $Q \leq F(m, 1)$. Since m ($m \neq 1$) is freely acting, we see that $U_{kl}^* U_k U_l$ is in \mathfrak{A} and, consequently, D is an involutive subalgebra of \mathfrak{B} . Moreover, it follows from (2) that $U_s \in D$ for all $s \in S$ and, therefore, $D'' = \mathfrak{B}$.

Our justification for above calculating is that all series, which appeared, converge in the operator norm.

Now, let us suppose that $bz = zb$ for some $b \in \mathfrak{B}$ and $z \in \mathfrak{Z}(\mathfrak{A})$. Applying conditional expectation $E_{\mathfrak{A}}$ to the identity

$$b U_k^* U_l U_m^* z - z^{m l^{-1} k} b U_k^* U_l U_m^* = 0,$$

we get

$$(3) \quad E_{\mathfrak{A}}(b U_k^* U_l U_m^*)(z^{m l^{-1} k} - z) = 0,$$

provided $bz = zb$, $b \in \mathfrak{B}$, $z \in \mathfrak{Z}(\mathfrak{A})$, $k, l, m \in K$.

If we put $b = (a_l^* a_k)^l$ and $U_m = 1$, then we obtain

$$0 = (a_l^* a_k)^l E_{\mathfrak{A}}(U_l^* U_k) = \text{tr} E_{\mathfrak{A}}(U_l^* a_l^* a_k U_k) = (a_k U_k, a_l U_l)$$

in view of (v). Thus $\{\mathfrak{A} U_k\}_{k \in K}$ is a mutually orthogonal family of subspaces of $H(\mathfrak{B})$. Therefore, the $\|\cdot\|$ -closures $H(\mathfrak{A}) U_k$ of $\mathfrak{A} U_k$ form a family of mutually orthogonal closed subspaces of $H(\mathfrak{B})$. Of course, D is $\|\cdot\|$ -dense in $H(\mathfrak{B})$, since $D'' = \mathfrak{B}$ and $d \rightarrow b$ (strong) implies $\|b - d\| \rightarrow 0$. Therefore, $H(\mathfrak{B})$ is the orthogonal sum of subspaces $\{H(\mathfrak{B}) U_k\}_{k \in K}$.

Consider the mapping $\mu_k: \mathfrak{B} \rightarrow H(\mathfrak{A}) U_k$ defined by

$$\mu_k(b) = E_{\mathfrak{A}}(b U_k^*) U_k, \quad \text{where } k \in K.$$

If we put $b = a_l$ and $U_k = 1$ into (3), then we get

$$E_{\mathfrak{A}}(a_l U_l U_m^*) = \delta_{lm-1} a_l$$

because of (v). Thus

$$\mu_m(a_l U_l) = E_{\mathfrak{A}}(a_l U_l U_m^*) U_m = \delta_{lm-1} a_l U_l,$$

which shows that the restriction of μ_m to the elements from D is the orthogonal projection into $H(\mathfrak{A}) U_m$. Since the mapping μ_m is $\|\cdot\|$ -continuous and D is $\|\cdot\|$ -dense in $H(\mathfrak{B})$, $\mu_m(b)$ is the projection of an element $b \in \mathfrak{B}$ on the space $H(\mathfrak{A}) U_m$ and, consequently, there are elements a_k in \mathfrak{A} , namely $a_k = E_{\mathfrak{A}}(b U_k^*)$, such that

$$b = \sum_k a_k U_k.$$

If we put $U_l = U_m = 1$ into (3), then, taking into account (v), we get $E_{\mathfrak{A}}(b U_k^*) = 0$ for all $k \in K$, $k \neq 1$, provided $bz = zb$ for all $z \in \mathfrak{Z}(\mathfrak{A})$. Consequently, $b = E_{\mathfrak{A}}(b)$ which belongs to \mathfrak{A} and Lemma 1 follows.

LEMMA 2. Let $\mathfrak{B} = \{\mathfrak{A}, \{U_s\}_{s \in S}\}''$, where $U_s^* \mathfrak{A} U_s = \mathfrak{A}$, $U_s^* z U_s = z^s$, $S < \text{aut } \mathfrak{Z}(\mathfrak{A})$ and suppose that the unitaries U_s satisfy the conditions $U_1 = 1$ and $U_s^* U_s U_t \in \mathfrak{A}$ for $s, t \in S$, $z \in \mathfrak{Z}(\mathfrak{A})$. Let $[S] = [K]$, where K is a finite cyclic group of freely acting automorphisms of $\mathfrak{Z}(\mathfrak{A})$. Then, if \mathfrak{A} is hyperfinite, so is \mathfrak{B} .

Proof. By Lemma 1, every $b \in \mathfrak{B}$ has a representation of the form $\sum_k a_k U_k$. Let

$$\varepsilon > 0 \quad \text{and} \quad b_p = \sum_k a'_{k,p} U_k, \quad 0 \leq p \leq n,$$

be given. In view of (iii), there exists a projection P in $\mathfrak{Z}(\mathfrak{A})$ such that $\{P^k\}_{k \in K}$ is a partition of 1. Let g be a generator of the cyclic group K of order m . It follows from Lemma 1 that $U_{g^i} U_g^i \in \mathfrak{A}$, $i = 0, 1, \dots, m-1$, and, therefore, $U_g^m \in \mathfrak{A}$. Let us put

$$U = \exp \left[\frac{-iA}{m} \right],$$

where A is self-adjoint such that $U_g^m = \exp[iA]$. Of course, $U \in \mathfrak{A}$. We have also $U U_g = U_g U$ and, consequently, $(U_g U)^m = U_g^m U^m = 1$. It follows from Lemma 1 that

$$b_p = \sum_k a_{k,p} V_k,$$

where $V_k = (U_g U)^{g^i}$, $k = g^i$, $i = 0, 1, \dots, m-1$, and $a_{k,p} \in \mathfrak{A}$.

Since \mathfrak{A} is hyperfinite, so is $\mathfrak{A}P$. Therefore, for $\varepsilon_1 > 0$ and the elements $a'_{k,p} P \in \mathfrak{A}P$, where $k, l \in K$ and $0 \leq p \leq n$, there is a subalgebra \mathfrak{N}_1 of type I of $\mathfrak{A}P$, which contains the center of $\mathfrak{A}P$ and elements $n_{k,l,p}$ in \mathfrak{N}_1 such that

$$\|a'_{k,p} P - n_{k,l,p}\| < \varepsilon_1 \quad \text{for } k, l \in K, 0 \leq p \leq n.$$

Let us put $\mathfrak{N} = \{\mathfrak{N}_1, V_g\}''$. The algebra \mathfrak{N} is of type I and $\mathfrak{Z}(\mathfrak{B}) \subset \mathfrak{N}$. In fact, by Lemma 1, the center of \mathfrak{B} consists of elements $z \in \mathfrak{Z}(\mathfrak{A})$ such that $z^k = z$ for all $k \in K$. Since

$$zP \in \mathfrak{N}_1 \quad \text{and} \quad z = \sum_k (zP)^k,$$

we see that z is in \mathfrak{N} . Now, for the elements

$$\sum_{k,l \in K} n_{k,l,p}^{l^{-1}} V_k \in \mathfrak{N}$$

we have

$$\begin{aligned} \left\| b_p - \sum_{k,l} n_{k,l,p}^{l-1} V_k \right\| &= \left\| \sum_k a_{k,p} V_k - \sum_{k,l} n_{k,l,p}^{l-1} V_k \right\| \\ &\leq \sum_k \left\| (a_{k,p}^l P)^{l-1} - n_{k,l,p}^{l-1} \right\| \leq \sum_{k,l} \| a_{k,p}^l P - n_{k,l,p} \| \leq \sum_{k,l} \varepsilon_1, \end{aligned}$$

which completes the proof of Lemma 2.

LEMMA 3. Let $\mathfrak{B} = \{\mathfrak{A}, \{U_s\}_{s \in S}\}''$, where $U_s^* \mathfrak{A} U_s = \mathfrak{A}$, $U_s z U_s = z^s$, $z \in \mathfrak{Z}(\mathfrak{A})$, $s \in S$, S being a countable Abelian subgroup of $\text{aut } \mathfrak{Z}(\mathfrak{A})$. Let us suppose that the unitaries U_s satisfy $U_1 = 1$ and $U_s^* U_t U_s \in \mathfrak{A}$ for $s, t \in S$. Then, if \mathfrak{A} is hyperfinite, so is \mathfrak{B} .

Proof. Let $\{D_n\}_{n=0}^\infty$ be the partition of 1 as in (ii). Since $D_n^s = D_n$ for all $s \in S$, all projections D_n belong to the center of \mathfrak{B} . Consequently, \mathfrak{B} is the direct product of the algebras $\mathfrak{B}D_n$. Since the direct product of hyperfinite algebras is, of course, hyperfinite, it is sufficient to show that each $\mathfrak{B}D_n$ is hyperfinite. Clearly,

$$\mathfrak{B}D_n = \{\mathfrak{A}D_n, \{U_s D_n\}_{s \in S}\}'' = \{\mathfrak{A}D_n, \{U_s D_n\}_{s \in S_1}\}''$$

where S_1 is a subgroup of $\text{aut } \mathfrak{Z}(\mathfrak{B}D_n)$.

In the case $n > 0$, the algebra $\mathfrak{B}D_n$ is hyperfinite, since all hypotheses of Lemma 2 are satisfied.

If $n = 0$, then it follows from (ii) that $[S_1] = [K]$, where

$$K = \bigcup_{m=1}^\infty K_m, \quad K_m = (Z_2)^m.$$

By Lemma 1, the algebra $\mathfrak{B}D_0$ consists of elements of the form $\sum_k a_k U_k$, where $a_k \in \mathfrak{A}D_0$ and U_k is unitary in the algebra $\mathfrak{B}D_0$ for all $k \in K$. Let $\mathfrak{B}_m = \{\mathfrak{A}D_0, \{U_k\}_{k \in K_m}\}''$. Then

$$\mathfrak{B}_m \subset \mathfrak{B}_{m+1} \subset \left(\bigcup_{m=1}^\infty \mathfrak{B}_m \right)'' = \mathfrak{B}D_0.$$

Since K_m is finite, we can apply (iv) and then Lemma 2. Therefore, \mathfrak{B}_m is hyperfinite for all $m \geq 1$, and so is $\mathfrak{B}D_0$. Thus Lemma 3 follows.

Proof of the Theorem. Let G be a countable nilpotent group of unitaries in a separable Hilbert space. Let

$$G = G_1 \supset G_2 \supset \dots \supset G_n \supset G_{n+1} = 1$$

be the lower central series of G . We let

$$A = \begin{cases} \text{a maximal Abelian subgroup of } G & \text{if } n \leq 2, \\ G_{n-1} & \text{otherwise.} \end{cases}$$

Then the centralizer $C(A)$ of A in G is a nilpotent group of class less than or equal to $n-1$ and the factor group $G/C(A)$ is Abelian.

Consider a von Neumann algebra G'' . We have $G'' = \{C(A)'', \{U_s\}_{s \in S}\}''$, where S is the group of all automorphisms s of A of the form $a^s = g^{-1}ag$ for some $g \in G$, and U_s are chosen from G in such a way that $a^s = U_s^{-1}aU_s$ for $a \in A$, $s \in S$ and $U_1 = 1$. Since $U_s^{-1}C(A)''U_s = C(A)''$ and $A'' \subset \mathfrak{Z}(C(A)'')$, S becomes an Abelian subgroup of automorphisms of the center $\mathfrak{Z}(C(A)'')$ of the algebra $C(A)''$. The theorem follows now from Lemma 3 by induction on the class of nilpotency n of the group G .

Remark. Using the same arguments one can prove that the Theorem holds for a countable group G , which contains an Abelian subgroup A such that the centralizer $C(A)$ of A in G is nilpotent and the quotient $G/C(A)$ is Abelian. For example, the group $ax + b$, where a and b are rationals, is so.

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PHYSICO-TECHNICAL INSTITUTE FOR LOW TEMPERATURES
 ACADEMY OF SCIENCES OF UKRAINIAN SSR
 INSTITUTE OF MATHEMATICS
 OF THE POLISH ACADEMY OF SCIENCES

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