

An invariant for subfactors in the von Neumann algebra of a free group

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Abstract – In this Note we are considering a new invariant for subfactors in the von Neumann algebra $\mathcal{L}(F_k)$ of a free group. This invariant is obtained by computing the Connes's χ invariant for the enveloping von Neumann algebra in the iteration of the Jones's basic construction for the given inclusion. In the case of the subfactors considered in [22], [24] this invariant is easily computed as a relative χ invariant, in the form considered in [14].

One considers the inclusion $\mathcal{L}(F_n) \subseteq \mathcal{A} = \mathcal{L}(F_n) \rtimes_{\theta} \mathbb{Z}_k^2$, where θ is an injective homomorphism from \mathbb{Z}_k into $\text{Out}(\mathcal{L}(F_n))$ (i.e. a \mathbb{Z}_k -kernel) with minimal period k^2 [in $\text{Aut}(\mathcal{L}(F_n))$]. Then there exists a canonical copy $\hat{\theta}$ of \mathbb{Z}_k in $\chi(\mathcal{A})$ which can be lifted to $\text{Aut}(\mathcal{A})$ [4]. The decomposition of the generator of the dual action of \mathbb{Z}_k on $\mathcal{A} \rtimes_{\hat{\theta}} \mathbb{Z}_k$ as the product of a centrally trivial automorphism and an almost inner automorphism, gives an action of $\mathbb{Z}_k^2 \oplus \mathbb{Z}_k^2$ on the algebra $\mathcal{A} \rtimes_{\hat{\theta}} \mathbb{Z}_k$. The algebraic invariants [9] for this last action give a more subtle invariant for θ .

As an application we show that, contrary to the case of finite group actions (or more general G-kernels) on the hyperfine II_1 factor (settled in [2], [9], [18]), there exists non outer conjugate, injective homomorphisms (i.e. two \mathbb{Z}_2 -kernels) from \mathbb{Z}_2 into $\text{Out}(\mathcal{L}(F_k))$, with non-trivial obstruction to lifting to an action on $\mathcal{L}(F_k)$. Moreover the algebraic invariants [3] do not distinguish between these two \mathbb{Z}_2 -kernels. Also, there exists two non-outer conjugate, outer actions of \mathbb{Z}_2 on $\mathcal{L}(F_k) \otimes \mathbb{R}$ that are neither almost inner or centrally trivial.

Un invariant pour les sous-facteurs de l'algèbre de von Neumann associée à un groupe libre

Résumé – Nous introduisons un nouvel invariant pour les sous-facteurs de l'algèbre de von Neumann $\mathcal{L}(F_k)$ d'un groupe libre F_k , en calculant l'invariant χ de Connes pour l'algèbre enveloppante de la construction de base de Jones associée à l'inclusion donnée. Dans le cas des sous-facteurs considérés dans [21], [24] cet invariant peut être facilement calculé en utilisant une version relative pour χ , considérée dans [14].

On considère une inclusion de type $\mathcal{L}(F_n) \subseteq \mathcal{A} = \mathcal{L}(F_n) \rtimes_{\theta} \mathbb{Z}_k^2$, où θ est un homomorphisme injectif de \mathbb{Z}_k dans $\text{Out}(\mathcal{L}(F_n))$, de période minimale k^2 [dans $\text{Aut}(\mathcal{L}(F_n))$]. Alors il existe un sous-groupe canonique $\mathbb{Z}_k \subseteq \text{Aut}(\mathcal{A})$ dans $\chi(\mathcal{A})$ [4]. La décomposition du générateur de l'action duale de \mathbb{Z}_k sur $\mathcal{A} \rtimes_{\hat{\theta}} \mathbb{Z}_k$, comme le produit d'un automorphisme centralement trivial et d'un automorphisme dans $\text{Int}(\mathcal{A})$, donne une action de $\mathbb{Z}_k^2 \oplus \mathbb{Z}_k^2$ sur $\mathcal{A} \rtimes_{\hat{\theta}} \mathbb{Z}_k$. On obtient ainsi un invariant plus subtil pour θ , en considérant les invariants algébrique [9] de l'action de $\mathbb{Z}_k^2 \oplus \mathbb{Z}_k^2$.

Comme application nous montrons que, contrairement au cas du facteur hyperfini de type II_1 (analysé dans [2], [3], [9], [18]), il existe deux homomorphismes injectifs de \mathbb{Z}_2 dans $\text{Out}(\mathcal{L}(F_k)) = \text{Aut}(\mathcal{L}(F_k)) / \text{Int}(\mathcal{L}(F_k))$, qui ont les mêmes invariants algébrique [3], mais qui ne sont pas extérieurement conjuguées.

Version française abrégée – Le but de cette Note est d'introduire un nouvel invariant pour les sous-facteurs des facteurs de type II_1 associés à un groupe libre. L'invariant que nous proposons est obtenu en calculant l'invariant χ de Connes [4] pour l'algèbre de von Neumann enveloppante de la construction de base de Jones, pour l'inclusion donnée. L'invariant χ a été introduit par A. Connes ([4], [5]) pour résoudre un problème très difficile posé par Sakai [27] concernant l'existence d'un facteur de type II_1 non anti-isomorphe à lui-même.

On rappelle que si M est un facteur de type II_1 , alors l'invariant $\chi(M)$ est le groupe (commutatif, voir [4]) $\chi(M) = (\text{Ct}(M) \cap \overline{\text{Int}(M)}) / \text{Int}(M) \subseteq \text{Out}(M)$ où $\text{Aut}(M)$ est le groupe d'automorphismes de M , $\text{Int}(M)$ est le groupe des automorphismes intérieurs et $\text{Ct}(M)$ est défini par

$$\text{Ct}(M) = \{ \alpha \in \text{Aut}(M), \| \alpha(x_n) - x_n \|_2 \rightarrow 0, \text{ pour toute suite centralisante } x_n \}.$$

Note présentée par Alain CONNES.

L'INVARIANT. — Soit $A \subseteq B$ une inclusion d'algèbres de von Neumann finies, soit $E_A^B : B \rightarrow A$ une espérance conditionnelle de B dans A par rapport à une trace fidèle, normale sur B (invariante par E) et soit \mathcal{A}_∞ l'algèbre enveloppante de l'inclusion $A \subseteq B$ i.e. le terme à l'infini dans l'itération de la construction de base de Jones [7] pour l'inclusion donnée). Dans ces conditions,

$$\chi(\mathcal{A}_\infty) \subseteq \text{Out}(\mathcal{A}_\infty),$$

est un invariant pour l'inclusion $A \subseteq B$. (Comme dans [4], la force de l'invariant vient du fait que l'on considère $\chi(\mathcal{A}_\infty)$, non seulement comme un groupe abstrait, mais comme un sous-groupe de $\text{Out}(\mathcal{A}_\infty)$).

Dans les exemples de sous-facteurs des algèbres de von Neumann des groupes libres considérés dans [24], on peut facilement montrer que cet invariant coïncide avec l'invariant relatif χ [14], pour une inclusion des facteurs hyperfinis associés à l'inclusion donnée.

THÉORÈME. — Soit $N \subseteq M$ une inclusion d'algèbres finies, à préduel séparable et telle qu'il existe une base orthonormale de M sur N , de type Pimsner et Popa [20], pour une espérance conditionnelle de M sur N . Soit $\mathcal{L}(F_k)$ le facteur de type II_1 associé à un groupe libre F_k , $k \geq 2$. Si $\mathcal{A} = (\mathcal{L}(F_k) *_{\mathbb{N}} M)$ est le produit libre, amalgamé réduit des algèbres de von Neumann introduit dans [22], alors

$$\chi(\mathcal{A}) \cong \chi(N, M).$$

Ici $\chi(N, M)$ est l'invariant relatif de Connes pour l'inclusion $N \subseteq M$, considéré dans [14].

Comme application des résultats précédents, nous allons construire deux homomorphismes injectifs de \mathbb{Z}_2 dans $\text{Out}(\mathcal{L}(F_k))$, non extérieurement conjugués, tels que tous les invariants algébriques (voir [9], [3], [18]) coïncident.

THÉORÈME. — Pour tout $k \in \mathbb{Z}$, $k \geq 2$, il existe deux automorphismes $\alpha_i \in \text{Aut}(\mathcal{L}(F_k))$, tels que les images de α_i dans $\text{Out}(\mathcal{L}(F_k))$ sont non conjugués et d'ordre deux. De plus, tous les invariants algébriques [3] pour les deux homomorphismes injectifs de \mathbb{Z}_2 dans $\text{Out}(\mathcal{L}(F_k))$ coïncident.

COROLLARY. — Il existe des sous-facteurs de $\mathcal{L}(F_k)$, de profondeur finie ([7], [17]), non conjugués et tels que tous les invariants des deux inclusions provenant des commutants relatifs dans la construction de base ([7], [18], [21]) sont identiques.

THE INVARIANT. — Given $A \subseteq B$ an inclusion of type II_1 factors, of finite index, we let B_∞ be the enveloping algebra for the tower of algebras in the (iterated) Jones's basic construction [7] for $A \subseteq B$. Then

$$\chi(B_\infty) \subseteq \text{Out}(B_\infty)$$

is a conjugacy invariant for $A \subseteq B$.

Here, for a type II_1 factor M , $\chi(M)$ denotes the Connes's invariant for M [4]. The $\chi(M)$ invariant was introduced by Connes [4] in connection to a breakthrough construction that showed the existence of a type II_1 factor not antiisomorphic to itself.

Recall that $\chi(M) = (\text{Ct}(M) \cap \overline{\text{Int}(M)}) / \text{Int}(M)$. Here $\text{Ct}(M)$ is the set of all automorphisms α of M that have the property that $\|\alpha(x_n) - x_n\|_2 \rightarrow 0$, whenever x_n , $n \in \mathbb{Z}$ is a central sequence in M (i.e. a bounded sequence in M with $\|[x_n, y]\|_2 \rightarrow 0$ for any $y \in M$). $\overline{\text{Int}(M)}$ is the closure of $\text{Int}(M)$ in the pointwise convergence topology on M , while $\text{Int}(M)$ is the set of inner automorphisms of M .

We will show that for the subfactors in free group algebras, considered in [24] (or for those considered in [22]), this invariant may be computed and it coincides with the relative form of the invariant χ [14] for an associated pair of hyperfinite factors.

Using the full strength of the invariant (which comes as in [4] by considering $\chi(B_\infty)$ as a subgroup in $\text{Out}(B_\infty) = \text{Aut}(B_\infty)/\text{Int}(B_\infty)$, rather than as an abstract abelian group (see also [8], [12], [27])) we obtain as an application that the classification theory for finite group actions (and for G-kernels) on type II_1 factors such as $\mathcal{L}(F_k)$ (the von Neumann algebra of a free group F_k) is different from the corresponding classification theory on the hyperfinite II_1 factor ([2], [3], [9], [18]).

THEOREM. — *There exists two injective homomorphisms from \mathbb{Z}_2 into $\text{Out}(\mathcal{L}(F_k))$, for any $k \in \mathbb{Z}$, $k \geq 2$, non-liftable to an action of \mathbb{Z}_2 on $\mathcal{L}(F_k)$ [i. e. two \mathbb{Z}_2 -kernels on $\mathcal{L}(F_k)$ with non-trivial obstruction] that are not outer conjugate (in Out) and for which all the algebraic invariants ([2], [9]) coincide.*

Explicitly this means that there exists two (non-inner) automorphisms α_i , $i=1, 2$ on $\mathcal{L}(F_k)$, having non conjugate images (of order two) in $\text{Out}(\mathcal{L}(F_k))$. Moreover, both automorphisms are not liftable to actions of \mathbb{Z}_2 on $\mathcal{L}(F_k)$ (i. e. $\alpha_i^2 = \text{Ad } g_i$, $\alpha_i(g_i) = -g_i$, $g_i = g_i^+ - g_i^-$, with g_i^\pm projections of trace $1/2$ in $\mathcal{L}(F_k)$ (see [3], [9])).

By [19], the actions on $\mathcal{L}(F_\infty)$, obtained by multiplying the generators by complex numbers of modulus 1 are distinguished (modulo outer conjugacy) by the topology induced on \mathbb{Z} from $\text{Aut } \mathcal{L}(F_\infty)$. This is easily seen not to work in the case of finite cyclic groups. For example all \mathbb{Z}_2 actions on $\mathcal{L}(F_2)$ that are obtained by multiplying the generators with ± 1 or by switching the generators, are conjugate via elements in $\text{Aut } \mathcal{L}(F_2)$, which belong to the image of the $O(2)$ action on $\mathcal{L}(F_2)$, considered in [29].

COROLLARY. — *There exists two non-conjugate, finite depth subfactors in $\mathcal{L}(F_k)$ having the same higher relative commutant invariants ([17], [7], [21]).*

It is plausible that an invariant of the type considered in this Note could be used to settle Kadison's problem in [13] (see also Sakai's book [26], Problem 4.4.44) on the isomorphism class of the algebras associated to free groups.

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For the proof of the next lemma see the proof of lemma 4.3.3 in [26].

LEMMA 1. — *Let $N \subseteq M$ be a pair of separable, finite von Neumann algebras so that there exists an orthonormal Pimsner-Popa [20] basis for the inclusion $N \subseteq M$, with respect to some faithful, normal conditional expectation from M onto N . Assume that N, M have centers with trivial intersection.*

*Then the von Neumann algebra reduced free product $\mathcal{A} = (\mathcal{L}(F_k) \otimes N) \star_N M$ (which by [22] is a type II_1 factor) has the property that $\|E_N^{\mathcal{A}}(y) - y\|_2 \leq 14 \max_{i=1,2} \|[g_i, y]\|_2$, with respect to the induced normal faithful conditional expectation $E_N^{\mathcal{A}}$ from \mathcal{A} into N . Here g_i , $i=1, 2$ are two of the k generators in F_k , while $\|x\|^2 = \tau(x^*x)$, $x \in \mathcal{A}$ and τ is the trace on \mathcal{A} . In particular all central sequences in \mathcal{A} are asymptotically contained in N .*

This lemma together with lemma 1.4 in [22] and lemma 3 in [11] gives:

THEOREM 2. — *Let $N \subseteq M$ be a pair of separable, finite von Neumann algebras so that, with respect some faithful normal conditional expectation from M into N , there exists an orthonormal Pimsner Popa [20] basis for the given inclusion. Assume that N, M have*

centers with trivial intersection. Let $\mathcal{A} = (\mathcal{L}(F_k) \otimes N) \star_N M$. Then

$$\chi((\mathcal{L}(F_k) \otimes N) \star_N M) \cong \chi(N, M).$$

Moreover in this identification, corresponding elements in $\chi(\mathcal{A})$ and $\chi(N, M)$ have the same obstructions to lifting from the quotient.

Here $\chi(N, M)$ is the relative χ invariant [14] for the inclusion $N \subseteq M$, where N, M of separable finite von Neumann algebras:

$$\chi(N, M) = (\text{Ct}(N, M) \cap \overline{\text{Int}(N, M)}) / \text{Int}(N, M),$$

where $\text{Ct}(N, M)$ is the set of all automorphisms of M , leaving N invariant and acting asymptotically trivial on central sequences for M that are contained in N and $\text{Int}(N, M)$ is the set of all inner automorphisms of M that are implemented by unitaries in N .

COROLLARY 3. — Let $\mathcal{C} = (A \supseteq B \supseteq C; A \supseteq C \supseteq D)$ be a commuting square [21] of finite dimensional algebras, which is irreducible (i.e. the centers of A, B and respectively C, D have trivial intersection) and λ -Markov ([7], [6]) i.e. there exists a λ -Markov trace, in the sense of Jones [7] for $C \subseteq A$, which restricts to a λ -Markov trace for $D \subseteq B$.

By [24] $(\mathcal{L}(F_k) \otimes B) \star_B A \supseteq (\mathcal{L}(F_k) \otimes D) \star_D C$ is a finite index inclusion of type II_1 factors [that are isomorphic $\mathcal{L}(F_N)$ for some $N > 1$]. Let \mathcal{A}_∞ be the enveloping von Neumann algebra for the tower of algebras in the iterated Jones's basic construction of the given inclusion. Note that \mathcal{A}_∞ is isomorphic to $(\mathcal{L}(F_k) \otimes B_\infty) \star_{B_\infty} A_\infty$. Here B_∞, A_∞ are obtained by iterating the basic construction for the inclusions $D \subseteq B$ and respectively $C \subseteq A$. Then

$$\chi(\mathcal{A}_\infty) = \chi(\mathcal{L}(F_k) \otimes B_\infty \star_{B_\infty} A_\infty) \cong \chi(B_\infty, A_\infty).$$

LEMMA 4 ([17], [14], [15], [1], [23]). — Let θ be a \mathbb{Z}_4 action on a copy R_{-1} of the hyperfinite II_1 factor so that θ induces a \mathbb{Z}_2 -kernel on R_{-1} with obstruction -1 [3]. Let $R_0 = R_{-1} \rtimes_{\theta} \mathbb{Z}_4$. Then $\chi(R_{-1}, R_0) \cong \mathbb{Z}_2 \oplus \mathbb{Z}_2$.

Moreover, for exactly one of the two copies of \mathbb{Z}_2 in $\chi(R_{-1}, R_0)$, there exists no obstruction to lifting from the quotient.

We may assume (see [10]) that

$$R_{-1} = \{g U_0^2, U_1, U_2, \dots\}'' \subseteq \{g, U_0, U_1, \dots\}'' = R_0.$$

The k -th step in the iterated basic construction for this construction is:

$$R_k = \{g U_{-1}^2 \dots U_{-(k-1)}^2, U_{-k}, U_{-(k+1)}, \dots\}'' ,$$

where $(U_k)_{k \in \mathbb{Z}}$ is a family of unitaries with four point spectrum so that each spectral projection for U_k has trace $1/4$ and $g = g_+ - g_-$ is a selfadjoint unitary whose spectral projections g_{\pm} have trace $1/2$. We have the following relations $U_k^4 = 1, k \in \mathbb{Z}$, $U_k g U_k^* = -g$, if $k = 0, 1$, $U_k g U_k^* = g$, if $k \in \mathbb{Z} \setminus \{0, 1\}$ and $U_k U_{k+1} U_k^* = \sqrt{-1} U_{k+1}$ (the trace on this construction is specified by requiring that each non-trivial monomial in the U_k 's and g have zero trace). With this notations, a commuting square for the inclusion $R_{-1} \subseteq R_0$ is given by

$$\begin{aligned} D &= \{g\}'' \subseteq C = \{g U_{-1}^2, U_{-1}\}''; \\ B &= \{g U_0^2, U_0\}'' \subseteq A = \{g U_0^2 U_{-1}^2, U_{-1}, U_0\}'' . \end{aligned}$$

Since $U_0 \in B$ normalizes A and $\text{Ad } U_0^2|_C = \text{Ad } g|_C$, while $g \in D$, we get:

LEMMA 5. — With A, B, C, D as before, $(\mathcal{L}(F_k) \otimes B) \star_B A$ is isomorphic to the cross product of $(\mathcal{L}(F_k) \otimes D) \star_D C$ by the \mathbb{Z}_4 action on $(\mathcal{L}(F_k) \otimes D) \star_D C$ induced by $\text{Ad } U_0$. [Note that this action is in fact an injective \mathbb{Z}_2 -kernel on $(\mathcal{L}(F_k) \otimes D) \star_D C$ with obstruction-1 to lifting (to Aut).]

Moreover, by Corollary 3, the enveloping algebra for the inclusion before is $\mathcal{A} = (\mathcal{L}(F_k) \otimes R_{-1}) *_{R_{-1}} R_0$ and hence, by the preceding lemma, $\chi(\mathcal{A}) \cong \mathbb{Z}_2 \oplus \mathbb{Z}_2$ is generated by $\text{Ad } U_{-1}^2|_{\mathcal{A}}$ and by $\text{Ad } U_0 U_{-1}|_{\mathcal{A}}$. There exists no obstruction to lifting to $\text{Aut}(\mathcal{A})$ for the first copy of \mathbb{Z}_2 , while for the second copy of \mathbb{Z}_2 , the obstruction is -1 .

LEMMA 6. — With the notations before, let $\mathcal{B} = \mathcal{A} \rtimes \mathbb{Z}_2$, where the \mathbb{Z}_2 action on \mathcal{A} is induced by $\text{Ad } U_{-1}^2|_{\mathcal{A}} \in \chi(\mathcal{A})$ (this action is an invariant for \mathcal{A}). Let s be the dual action on the cross product. Then \mathcal{B} isomorphic to $(\mathcal{L}(F_k) \otimes Q_{-1}) *_{Q_{-1}} Q_0$, where $Q_{-1} = \{R_{-1}, U_{-1}^2\}$, $Q_0 = \{R_0, U_{-1}^2\}$. Moreover we have the following decomposition for s :

$$s = (s \text{Ad } U_0 U_{-1}) (\text{Ad } U_0^* U_{-1}^*) = s_1 s_2,$$

where $s_1 = s \text{Ad } U_0 U_{-1} \in \overline{\text{Int}(\mathcal{B})}$, $s_2 = \text{Ad } U_0^* U_{-1}^* \in \text{Ct}(\mathcal{B})$. In addition $s_i^2 = \text{Ad } h$, with $h = U_0^2 g \in \mathcal{A}$ and $s_i(h) = -h$.

The decomposition above prevents \mathcal{B} from being isomorphic to Jones's example ([8], in analogy with the construction in [4]). We recall that in Jones's example one considers $N = (\mathcal{L}(F_N) \otimes R_0) \rtimes_{\gamma} \mathbb{Z}_2$ for a suitable action γ . Then $\chi(N) = \mathbb{Z}_2 \oplus \mathbb{Z}_2$, where, for exactly one of the two copies of \mathbb{Z}_2 in $\chi(N) \subseteq \text{Out}(N)$, there exists no obstruction for lifting to an action on N . By [4] (see also [8]) this copy (denoted by $\hat{\gamma}$) corresponds to the dual \mathbb{Z}_2 action for $N = (\mathcal{L}(F_N) \otimes R_0) \rtimes_{\gamma} \mathbb{Z}_2$. By Takesaki duality we get:

PROPOSITION 7. — With the notations before, the dual action $\tilde{\gamma}$ on the cross product $N \rtimes_{\tilde{\gamma}} \mathbb{Z}_2$, has decomposition of the form: $\tilde{\gamma} = t_1 t_2 \text{Ad } W$, where $t_1 \in \text{Ct}(N \rtimes_{\tilde{\gamma}} \mathbb{Z}_2)$, $t_2 \in \overline{\text{Int}(N \rtimes_{\tilde{\gamma}} \mathbb{Z}_2)}$. Moreover there exists selfadjoint unitaries $e^i = e_+^i - e_-^i$, with e_{\pm}^i projections of trace $1/2$, so that $t_i^2 = \text{Ad } e^i$, $t_i(e^i) = -e^i$, $t_i(e_j) = e_j$, $i \neq j$.

COROLLARY 8. — With the notations above, $N \cong \mathcal{A} = (\mathcal{L}(F_k) \otimes R_{-1}) *_{R_{-1}} R_0$.

Proof. — Assume the contrary. Then $\mathcal{B} = \mathcal{A} \rtimes \mathbb{Z}_2$, $N = (\mathcal{L}(F_N) \otimes R_0) \rtimes_{\gamma} \mathbb{Z}_2$ would be isomorphic (since in each of the two cases the \mathbb{Z}_2 action is canonical). Moreover it would follow that the corresponding dual actions have the same image in Out , and thus by [3], we may assume that they are equal.

Since in $N = (\mathcal{L}(F_N) \otimes R_0) \rtimes_{\gamma} \mathbb{Z}_2$, the decomposition of an automorphism as the product of a centrally trivial automorphism and an almost inner automorphism, is unique (modulo inner automorphism), it would follow that the decomposition $s = s_1 s_2$ (regarded as an action of $\mathbb{Z}_4 \oplus \mathbb{Z}_4$) is outer conjugate to the similar action described by t_1, t_2 in the preceding lemma. But this is impossible because the two actions have different characteristic invariants (see [9]). [Since $t_1(e_2) = e_2$, $(t_1)^2 = \text{Ad } e^i$, while, with the notations in Proposition 5, $s_i(h) = -h$, $s_i^2 = \text{Ad } h$.]

PROPOSITION 9. — Let N be the factor constructed in [8]. Then there exists subalgebras $A \subseteq B$ in N so that A is isomorphic to $(\mathcal{L}(F_k))$, B is the cross product $A \rtimes_{\theta} \mathbb{Z}_4$, where θ is a \mathbb{Z}_2 -kernel on A with non-trivial obstruction (to lifting). Moreover N is the enveloping algebra for the inclusion $A \subseteq B$ and A is isomorphic to $\mathcal{L}(F_k)$.

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