

SOME REMARKS ON THE GENERAL THEOREM OF THE EXISTENCE OF ITERATIVE ROOTS OF HOMEOMORPHISMS WITH A RATIONAL ROTATION NUMBER

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Abstract. We show that the theorem proved in [8] generalises the previous results concerning orientation-preserving iterative roots of homeomorphisms of the circle with a rational rotation number (see [2], [6], [10] and [7]).

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Résumé. Nous montrons que le théorème prouvé dans [8] généralise les résultats précédents concernant les racines itérées préservant l'orientation d'homéomorphismes du cercle avec un nombre de rotation rationnel (voir [2], [6], [10] et [7]).

Mots clefs. itération, racine itérée, point périodique, nombre de rotation, application préservant l'orientation.

A function $g: X \rightarrow X$, where $X \neq \emptyset$ is called an *iterative root* of a given function $f: X \rightarrow X$ if $g^m(x) = f(x)$ for $x \in X$, here g^m denotes the m -th iterate of g and $m \geq 2$, called the *order of an iterative root*, is an integer.

It seems that it was M. C. Zdun, who first started dealing with the problem of the existence of continuous and orientation-preserving iterative roots of an orientation-preserving homeomorphism of the circle, the homeomorphism with periodic or fixed points. Recall that $x \in X$ is a *periodic point* of order $n \in \mathbb{N}$, $n > 1$ of f , if

$$f^n(x) = x \text{ and } f^k(x) \neq x \text{ for } k \in \{1, \dots, n-1\}.$$

If $f(x) = x$ then x is said to be a *fixed point of f* . The set of all periodic (fixed) points of f will be denoted by $\text{Per } f$ ($\text{Fix } f$). In [9] Zdun solved the problem of the embedding of some homeomorphisms of the circle $S^1 := \{z \in \mathbb{C} : |z| = 1\}$ in a continuous flow. From these results one may conclude that if $F: S^1 \rightarrow S^1$ is an orientation-preserving homeomorphism such that $S^1 \neq \text{Fix } F \neq \emptyset$, resp. $\text{Per } F = S^1$, then F has infinitely many iterative roots of any order with fixed, resp. periodic points.

Three years later J.H. Mai in [5] gave some conditions for the existence of continuous iterative roots of F with $S^1 \neq \text{Fix } F \neq \emptyset$ or $S^1 \neq \text{Per } F \neq \emptyset$.

In 2003 W. Jarczyk proved in [2] that if $\text{Fix } F = S^1$, i.e., F is the identity function, then F has infinitely many, depending on an arbitrary function, continuous and orientation-preserving iterative roots with periodic points. In the same year in [6] a similar result was proved for F such that $\text{Per } F = S^1$.

In 2008 M.C. Zdun in [10] proved so called factorization theorem and as an application of it he gave the necessary and sufficient conditions for the existence of iterative roots with periodic points for F such that $S^1 \neq \text{Fix } F \neq \emptyset$.

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The mentioned Zdun's theorem was also used in [7] in the proof of Theorem 2 and for proving the general theorem in [8].

In this paper we show that the mentioned theorem from [8] generalises the results from [7], [10], [6] and [2]. Before that we recall some useful facts and definitions. From now on we set $\mathbb{Z}_n = \{0, 1, \dots, n-1\}$ and $\mathbb{Z}_n^* = \{1, \dots, n-1\}$ for a suitable natural n .

Let $u, w \in S^1$ and $u \neq w$, then there exist $t_1, t_2 \in \mathbb{R}$ such that $t_1 < t_2 < t_1 + 1$ and $u = e^{2\pi i t_1}$ and $w = e^{2\pi i t_2}$. Put

$$\overrightarrow{(u, w)} := \{e^{2\pi i t}, t \in (t_1, t_2)\}, \quad \overleftarrow{(u, w)} := \overrightarrow{(u, w)} \cup \{u, w\}, \quad \overline{(u, w)} := \overrightarrow{(u, w)} \cup \{u\}.$$

These sets are called arcs.

For every homeomorphism $F: S^1 \rightarrow S^1$ there exists a unique (up to a translation by an integer) homeomorphism $f: \mathbb{R} \rightarrow \mathbb{R}$ such that

$$F(e^{2\pi i x}) = e^{2\pi i f(x)}$$

and

$$f(x+1) = f(x) + k$$

for all $x \in \mathbb{R}$, where $k \in \{-1, 1\}$. We call F *orientation-preserving* if $k = 1$, which is equivalent to the fact that f is increasing.

Moreover, for every continuous function $G: I \rightarrow J$, where $I = \{e^{2\pi i t}, t \in [a, b]\}$ and $J = \{e^{2\pi i t}, t \in [c, d]\}$ there exists a unique continuous function $g: [a, b] \rightarrow [c, d]$ such that

$$G(e^{2\pi i x}) = e^{2\pi i g(x)}, \quad x \in [a, b].$$

In this case we also call g the lift of G and we say that G preserves the orientation if g is strictly increasing.

For any orientation-preserving homeomorphism $F: S^1 \rightarrow S^1$, the limit

$$\alpha(F) := \lim_{n \rightarrow \infty} \frac{f^n(x)}{n} \pmod{1}, \quad x \in \mathbb{R}$$

always exists and does not depend on the choice of x and f . This number is called the *rotation number* of F (see [1]). It is known that $\alpha(F)$ is a rational and positive number if and only if F has a periodic point (see for example [1]). If $F: S^1 \rightarrow S^1$ is an orientation-preserving homeomorphism such that $\alpha(F) = \frac{q}{n}$, where q, n are positive integers with $0 < q < n$ and $\gcd(q, n) = 1$, then $\text{Per } F$ contains only periodic points of order n (see [7], [4]). Moreover, there exists a unique number $p \in \mathbb{Z}_n^*$ satisfying $pq = 1 \pmod{n}$. This number will be called the *characteristic number of F* and denoted $\text{char } F := p$ (see [10]). If $\text{Fix } F \neq \emptyset$, then $\alpha(F) = 0$ and we define $\text{char } F := 1$.

Recall that if G is an orientation-preserving iterative root of F , where $\alpha(F) = \frac{q}{n}$, $0 \leq q < n$ and $\gcd(q, n) = 1$, then there are an integer $l \geq 1$ and $q' \in \mathbb{Z}_{nl}$ such that $\alpha(G) = \frac{q'}{nl}$ and $\gcd(q', nl) = 1$ (see for example Lemma 2 in [8]) and thus G has periodic of fixed points of order nl .

In view of Theorem 5 (see [10]) every orientation-preserving homeomorphism $F: S^1 \rightarrow S^1$ possessing periodic points of order n is of the form

$$F(z) = \begin{cases} T^q(F^n(z)), & z \in I_0 = \overrightarrow{\langle z_0, F^{\text{char } F}(z_0) \rangle}, \\ T^q(z), & z \in S^1 \setminus I_0, \end{cases}$$

where $z_0 \in \text{Per } F$, $q = n\alpha(F)$ and $T: S^1 \rightarrow S^1$ is an orientation-preserving homeomorphism such that $T^n = \text{id}_{S^1}$. The function $T = T_{z_0}(F)$ is unique up to a periodic point of F and it is called the *Babbage function of F* (see [10]). Of course if $\text{Per } F = S^1$, we have $T_{z_0}(F) = F^{\text{char } F}$. For an orientation-preserving homeomorphism such that $\text{Fix } F \neq \emptyset$ we may assume that the Babbage homeomorphism of F is the identity function.

For the convenience we recall Theorem 2 from [8].

THEOREM 1.

Let $m \geq 2$ and $l \geq 1$ be integers and let $F: S^1 \rightarrow S^1$ be an orientation-preserving homeomorphism such that $\alpha(F) = \frac{q}{n}$, where $0 \leq q < n$ and $\gcd(q, n) = 1$. F has continuous and orientation-preserving iterative root of order m with periodic points of order ln if and only if the following conditions are fulfilled:

- (i) $\frac{m}{l} =: m' \in \mathbb{Z}$ and there is $q' \in \mathbb{Z}_{nl}^*$ such that $\gcd(q', ln) = 1$ and $q'm' = q \pmod{n}$;
- (ii) for some $z_0 \in \text{Per } F$ there is a partition of $I_0 := \overline{\langle z_0, F^{\text{char } F}(z_0) \rangle}$ onto l consecutive disjoint arcs J_0, \dots, J_{l-1} such that $F^n[J_i] = J_i$, $i \in \mathbb{Z}_l$ and if $l > 1$, then there exist orientation-preserving homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-1}$ satisfying

$$F_{|J_{i+1}}^n = V_i \circ F_{|J_i}^n \circ V_i^{-1}, \quad i \in \mathbb{Z}_{l-1}. \quad (1)$$

For any $z_0 \in \text{Per } F$, m, l, q' , arcs J_0, \dots, J_{l-1} and homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-1}$ satisfying (1) the iterative root $G: S^1 \rightarrow S^1$ of F is of the form:

$$G(z) := \begin{cases} V^{q'}(G_0(z)), & z \in J_0, \\ V^{q'}(z), & z \in S^1 \setminus J_0, \end{cases} \quad (2)$$

where $G_0: J_0 \rightarrow J_0$ is an orientation-preserving homeomorphism such that $\text{Fix } G_0 \neq \emptyset$ and $G_0^{m'} = F_{|J_0}^n$ and $V = \Psi^{\text{char } F}$ if $l = 1$ or

$$V(z) := \begin{cases} V_i(z), & z \in J_i, \quad i \in \mathbb{Z}_{l-1}, \\ V_{l-1}(z) := \Psi^{\text{char } F} \circ V_0^{-1} \circ \dots \circ V_{l-2}^{-1}(z), & z \in J_{l-1}, \\ \Psi^{d \text{char } F} \circ V_i \circ \Psi^{-d \text{char } F}(z), & z \in F^{d \text{char } F}[J_i], \\ & i \in \mathbb{Z}_l, \quad d \in \mathbb{Z}_n^* \end{cases} \quad (3)$$

if $l > 1$, where $\Psi: S^1 \rightarrow S^1$ is given by

$$\Psi(z) := T^q \circ T^d \circ G_i^{\beta_{i,d}} \circ T^{-d}(z), \quad z \in F^{d \text{char } F}[J_i], \quad d \in \mathbb{Z}_n, \quad i \in \mathbb{Z}_l, \quad (4)$$

where

$$G_j := V_j \circ G_{j-1} \circ V_j^{-1}, \quad j \in \mathbb{Z}_l^*, \quad (5)$$

$T = T_{z_0}(F)$ denotes the Babbage homeomorphism of F and

$$\beta_{i,d} := \begin{cases} m' - \left\lfloor \frac{m}{nl} \right\rfloor - 1, & \text{if } d = 0, \quad i'_i \leq m - \left\lfloor \frac{m}{nl} \right\rfloor nl - 1, \\ m' - \left\lfloor \frac{m}{nl} \right\rfloor, & \text{if } d = 0, \quad i'_i > m - \left\lfloor \frac{m}{nl} \right\rfloor nl - 1, \\ -\left\lfloor \frac{m}{nl} \right\rfloor - 1, & \text{if } d \in \mathbb{Z}_n^*, \quad i'_{i+dl} \leq m - \left\lfloor \frac{m}{nl} \right\rfloor nl - 1, \\ -\left\lfloor \frac{m}{nl} \right\rfloor, & \text{if } d \in \mathbb{Z}_n^*, \quad i'_{i+dl} > m - \left\lfloor \frac{m}{nl} \right\rfloor nl - 1 \end{cases} \quad (6)$$

for $i \in \mathbb{Z}_l$ with $i'_k \in \mathbb{Z}_{nl}$ uniquely determined by $(k + i'_k q') \pmod{nl} = 0$ for $k \in \mathbb{Z}_{nl}$.

Moreover, every orientation-preserving iterative root of order m of F with periodic points of order nl (if exists) may be expressed by (2) – (6).

In order to obtain the first corollary, suppose that $F: S^1 \rightarrow S^1$ is an orientation-preserving homeomorphism such that $S^1 \setminus \text{Per } F \neq \emptyset$, $\alpha(F) = \frac{q}{n}$, where $\gcd(q, n) = 1$ and that $l = 1$. Then condition (i) of Theorem 1 takes the following form: there exists a $q' \in \mathbb{Z}_n^*$ such that $\gcd(q', n) = 1$ and $q'm = q \pmod{n}$ which is equivalent to $\gcd(m, n) = 1$ (see Remarks 2 and 3 in [7]). As $l = 1$ we have $m' = m$, $V = \Psi^{\text{char } F}$ and $J_0 = I_0 = \overline{\langle z_0, F^{\text{char } F}(z_0) \rangle}$ for some $z_0 \in \text{Per } F$. Moreover, in (4) and (6) we have $i = 0$, $d \in \mathbb{Z}_n$, thus $\beta_{i,d} = \beta_{0,d} =: \beta_d$ for $d \in \mathbb{Z}_n$. In addition, $i'_0 = 0 \leq m - \left\lfloor \frac{m}{n} \right\rfloor n - 1$. Therefore we get

COROLLARY 1.

Let $F: S^1 \rightarrow S^1$ be an orientation-preserving homeomorphism such that $\text{Per } F \neq S^1$ and $\alpha(F) = \frac{q}{n}$, where $\gcd(q, n) = 1$. F has orientation-preserving, continuous iterative root of order $m \geq 2$ with periodic point of order n if and only if $\gcd(m, n) = 1$.

For every such an m and $z_0 \in \text{Per } F$ the iterative root $G: S^1 \rightarrow S^1$ of F is of the form

$$G(z) := \begin{cases} (\Psi^{\text{char } F})^{q'}(G_0(z)), & z \in I_0, \\ (\Psi^{\text{char } F})^{q'}(z), & z \in S^1 \setminus I_0, \end{cases} \quad (7)$$

where $q' \in \mathbb{Z}_n^*$ is such that $q'm = q \pmod{n}$, $G_0: I_0 \rightarrow I_0$ is an orientation-preserving homeomorphism such that $\text{Fix } G_0 \neq \emptyset$, $G_0^m = F|_{I_0}^n$ and $\Psi: S^1 \rightarrow S^1$ is given by

$$\Psi(z) := T^q \circ T^d \circ G_0^{\beta_d} \circ T^{-d}(z), \quad z \in F^{d \text{char } F}[I_0], \quad d \in \mathbb{Z}_n, \quad (8)$$

where $T = T_{z_0}(F)$ is the Babbage'a homeomorphism of F and

$$\beta_d := \begin{cases} m - \left\lfloor \frac{m}{n} \right\rfloor - 1, & d = 0, \\ -\left\lfloor \frac{m}{n} \right\rfloor - 1, & d \in \mathbb{Z}_n^*, \quad i'_d \leq m - \left\lfloor \frac{m}{n} \right\rfloor n - 1, \\ -\left\lfloor \frac{m}{n} \right\rfloor, & d \in \mathbb{Z}_n^*, \quad i'_d > m - \left\lfloor \frac{m}{n} \right\rfloor n - 1 \end{cases} \quad (9)$$

with $i'_d \in \mathbb{Z}_n$ such that $(d + i'_d q') \pmod{n} = 0$ for $d \in \mathbb{Z}_n$.

Moreover, every orientation-preserving iterative root of order m of F with periodic points of order n (if exists) may be expressed by (7) – (9).

This is a combination of Lemma 2 and Theorem 2 form [7].

Assume $l > 1$ and let F be such that $\emptyset \neq \text{Fix } F \neq S^1$. For such a homeomorphism we have $\alpha(F) = 0$, thus $q = 0$ and $n = 1$. By the definition, $\text{char } F = 1$. Notice that for every m such that $\frac{m}{l} \in \mathbb{Z}$ and every $q' \in \mathbb{Z}_l^*$ such that $\gcd(q', l) = 1$ we have $q'm' = 0 \pmod{1}$, therefore the condition (i) of Theorem 1 is satisfied if $\frac{m}{l} \in \mathbb{Z}$.

Moreover, in this case $\overrightarrow{\langle z_0, F^{\text{char } F}(z_0) \rangle} = \overrightarrow{\langle z_0, F(z_0) \rangle} = S^1$ and $T_{z_0}(F) = \text{Id}_{S^1}$ for any $z_0 \in \text{Fix } F$. Furthermore, in (4) and (6) we have $d = 0$, $i \in \mathbb{Z}_l$ hence $i'_i \geq 0 > m - \left\lfloor \frac{m}{l} \right\rfloor l - 1 = -1$ for $i \in \mathbb{Z}_l$ and consequently, $\beta_{i,0} = 0$ for $i \in \mathbb{Z}_l$. Thus $\Psi = \text{Id}_{S^1}$ and we get

COROLLARY 2.

Let $m, l \geq 2$ be integers. An orientation-preserving homeomorphism $F: S^1 \rightarrow S^1$ with $\emptyset \neq \text{Fix } F \neq S^1$ has a continuous and orientation-preserving iterative root of order m with periodic point of order l if and only if:

- (i) $\frac{m}{l} =: m' \in \mathbb{Z}$;
- (ii) there is a partition of S^1 onto l consecutive arcs J_0, \dots, J_{l-1} such that $F[J_i] = J_i$, $i \in \mathbb{Z}_l$ and there are orientation-preserving homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-2}$ such that

$$F|_{J_{i+1}} = V_i \circ F|_{J_i} \circ V_i^{-1}, \quad i \in \mathbb{Z}_{l-1}.$$

For every such a partition $\{J_i\}_{i \in \mathbb{Z}_l}$, numbers m, l , homeomorphisms V_i , $i \in \mathbb{Z}_{l-1}$ and each $0 < q' < l$ such that $\gcd(q', l) = 1$ the function

$$G(z) := \begin{cases} V^{q'}(G_0(z)), & z \in J_0, \\ V^{q'}(z), & z \in S^1 \setminus J_0, \end{cases} \quad (10)$$

where $G_0: J_0 \rightarrow J_0$, $G_0^{m'}(z) = F(z)$ for $z \in J_0$ and $\text{Fix } G_0 \neq \emptyset$ and

$$V(z) := \begin{cases} V_i(z), & z \in J_i, \quad i \in \mathbb{Z}_{l-1}, \\ V_0^{-1} \circ V_1^{-1} \circ \dots \circ V_{l-2}^{-1}(z), & z \in J_{l-1}, \end{cases} \quad (11)$$

is the iterative root of F such that $\text{Per } F \neq \emptyset$.

Moreover, every continuous and orientation-preserving iterative root of F of order m having periodic points of order l is given by (10) and (11).

Taking $l = m$ in the above corollary we get Theorem 11 from [10].

Now turn to the case $\text{Per } F = S^1$ and $l > 1$. As $F^n = \text{Id}_{S^1}$ the condition (ii) of Theorem 2 is fulfilled for any partition of $I_0 = \overrightarrow{\langle z_0, F^{\text{char } F}(z_0) \rangle}$, where $z_0 \in S^1$ and any orientation-preserving homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-1}$. In addition, $G_0: J_0 \rightarrow J_0$ is the identity function as $\text{Fix } G_0 \neq \emptyset$ and $G_0^{m'} = F^n|_{J_0} = \text{Id}_{J_0}$. This implies

$$\Psi = T^q = (F^{\text{char } F})^q = F,$$

as $T = T_{z_0}(F) = F^{\text{char } F}$. Hence

COROLLARY 3.

Let $m, l \geq 2$ be integers, $F: S^1 \rightarrow S^1$ be an orientation-preserving homeomorphism such that $\text{Per } F = S^1$ and $\alpha(F) = \frac{q}{n}$, where $0 < q < n$ and $\gcd(q, n) = 1$. F has a continuous and orientation-preserving iterative root of order m with periodic point of order nl if and only if:

- (i) $\frac{m}{l} =: m' \in \mathbb{Z}$ and there is $q' \in \mathbb{Z}_{ln}^*$ such that $\gcd(q', ln) = 1$ and $q'm' = q \pmod{n}$.

For every m, q', l satisfying (i) every partition $\{J_i\}_{i \in \mathbb{Z}_l}$ of I_0 and every orientation-preserving homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-1}$ the iterative root $G: S^1 \rightarrow S^1$ of F is of the form:

$$G(z) := V^{q'}(z), \quad z \in S^1, \quad (12)$$

where

$$V(z) := \begin{cases} V_i(z), & z \in J_i, \quad i \in \mathbb{Z}_{l-1}, \\ V_{l-1}(z) := F^{\text{char } F} \circ V_0^{-1} \circ \dots \circ V_{l-2}^{-1}(z), & z \in J_{l-1}, \\ F^{d \text{char } F} \circ V_i \circ F^{-d \text{char } F}(z), & z \in F^{d \text{char } F}[J_i], \\ & i \in \mathbb{Z}_l, \quad d \in \mathbb{Z}_n^*. \end{cases} \quad (13)$$

Moreover, every continuous and orientation-preserving iterative root of F of order m having periodic points of order nl is given by (12) and (13).

This is slightly modified Theorem 2 from [6].

Assume that $\text{Per } F = S^1$ and $l = 1$. Similarly as in Corollary 1 the condition (i) is equivalent to $\gcd(m, n) = 1$ and the condition (ii) is not the case. Moreover, $\Psi = F$ and $V = F^{\text{char } F}$. Hence

COROLLARY 4.

Let $m \geq 2$ be integer, $F: S^1 \rightarrow S^1$ be an orientation-preserving homeomorphism such that $\text{Per } F = S^1$ and $\alpha(F) = \frac{q}{n}$, where $0 < q < n$ and $\gcd(q, n) = 1$. F has a continuous and orientation-preserving iterative root of order m with periodic point of order n if and only if $\gcd(m, n) = 1$. For every $m \geq 2$ and every $q' \in \mathbb{Z}_n^*$ such that $\gcd(q', n) = 1$ and $q'm = q \pmod{n}$ the iterative root $G: S^1 \rightarrow S^1$ of F is of the form:

$$G(z) = (F^{\text{char } F})^{q'}(z), \quad z \in S^1.$$

This is Corollary 4 from [6]. In [6] this result was obtained independently on Theorem 2.

Finally suppose that $l > 1$ and $\text{Fix } F = S^1$, i.e., $F = \text{Id}_{S^1}$. Since $q = 0$, $n = 1$, we have $\text{char } F = 1$, $I_0 = S^1$ and $T = T_{z_0}(F) = \text{Id}_{S^1}$ for any $z_0 \in S^1$. Notice that if $\frac{m}{l} \in \mathbb{Z}$ then every $q' \in \mathbb{Z}_l^*$ such that $\gcd(q', l) = 1$ satisfies $m'q' = 0 \pmod{1}$. The condition (ii) is obviously fulfilled for any partition $\{J_i\}_{i \in \mathbb{Z}_l}$ of S^1 and any orientation-preserving homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-1}$. Moreover as $G_0 = \text{Id}_{J_0}$ we have $\Psi = \text{Id}_{S^1}$. Therefore from Theorem 1 it follows the Jarczyk's theorem from [2].

COROLLARY 5.

The function $F = \text{Id}_{S^1}$ has continuous and orientation-preserving iterative roots of order $m \geq 2$ with periodic points of order $l > 1$ if and only if $\frac{m}{l} \in \mathbb{Z}$.

For every such numbers m, l , every partition $\{J_i\}_{i \in \mathbb{Z}_l}$ of S^1 and every orientation-preserving homeomorphisms $V_i: J_i \rightarrow J_{i+1}$, $i \in \mathbb{Z}_{l-1}$, the function

$$G(z) := V^{q'}(z), \quad z \in S^1, \quad (14)$$

where $q' \in \mathbb{Z}_l^*$ is such that $\gcd(q', l) = 1$ and

$$V(z) := \begin{cases} V_i(z), & z \in J_i, \quad i \in \mathbb{Z}_{l-1}, \\ V_0^{-1} \circ V_1^{-1} \circ \dots \circ V_{l-2}^{-1}(z), & z \in J_{l-1} \end{cases} \quad (15)$$

is the orientation-preserving continuous iterative root of Id_{S^1} of order l . Moreover, every continuous and orientation-preserving iterative root of Id_{S^1} of order m having periodic points of order l is given by (14) and (15).

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