

DUAL OPERATOR ALGEBRAS GENERATED BY A JORDAN OPERATOR *

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Let \mathcal{H} be a separable, infinite dimensional, complex Hilbert space and let $\mathcal{L}(\mathcal{H})$ be the algebra of all bounded linear operators on \mathcal{H} . Suppose that $\mathcal{C}_1 = \mathcal{C}_1(\mathcal{H})$ is the von Neumann-Schatten ideal of trace class operators in $\mathcal{L}(\mathcal{H})$ under the trace norm. Then it is well known that $\mathcal{C}_1^* \cong \mathcal{L}(\mathcal{H})$ under the pairing

$$(1) \quad \langle T, [L] \rangle = \text{trace}(TL), \quad T \in \mathcal{L}(\mathcal{H}), L \in \mathcal{C}_1.$$

Note that the weak* topology that accrues to $\mathcal{L}(\mathcal{H})$ by virtue of the above duality coincides with the ultraweak operator topology on $\mathcal{L}(\mathcal{H})$ (cf. [6]). A *dual algebra* is a subalgebra of $\mathcal{L}(\mathcal{H})$ that contains the identity operator $I_{\mathcal{H}}$ and is closed in the ultraweak operator topology on $\mathcal{L}(\mathcal{H})$. For $T \in \mathcal{L}(\mathcal{H})$, let \mathcal{A}_T denote the dual algebra generated by T . The theory of dual algebras is applied to the study of invariant subspaces, reflexivity and dilation theory. This theory is deeply related to properties $(\mathbf{A}_{m,n})$ which are the study of the problem of solving systems of the predual of a dual algebra (cf. [1], [3] and [4]). In this paper, we discuss property $(\mathbf{A}_{m,n})$ of the dual algebra singly generated by a Jordan block part of a Jordan operator.

The notation and terminology employed here agree with those in [2], [4] and [5]. We recall the essentials nonetheless for the convenience of the reader. Suppose that \mathcal{A} is a dual algebra in $\mathcal{L}(\mathcal{H})$. Let ${}^{\perp}\mathcal{A}$ denote the

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preannihilator of \mathcal{A} in \mathcal{C}_1 . Let $\mathcal{Q}_{\mathcal{A}}$ denote the quotient space $\mathcal{C}_1/\perp\mathcal{A}$. One knows that \mathcal{A} is the dual space of $\mathcal{Q}_{\mathcal{A}}$ and that the duality is given by

$$(2) \quad \langle T, [L] \rangle = \text{trace}(TL), \quad T \in \mathcal{A}, [L] \in \mathcal{Q}_{\mathcal{A}}.$$

For vectors x and y in \mathcal{H} , we write, as usual, $x \otimes y$ for the rank one operator in \mathcal{C}_1 defined by $(x \otimes y)(u) = (u, y)x, u \in \mathcal{H}$. Throughout this paper, we write \mathbf{N} for the set of natural numbers. For a Hilbert space \mathcal{K} and any operators $T_i \in \mathcal{L}(\mathcal{K}), i = 1, 2$, we write $T_1 \cong T_2$ if T_1 is unitarily equivalent to T_2 . For $T \in \mathcal{L}(\mathcal{K})$ we write the n -th ampliation of T by

$$T^{(n)} = \overbrace{T \oplus \cdots \oplus T}^{(n)}.$$

Let \mathcal{A} be an algebra in $\mathcal{L}(\mathcal{K})$. Then we write

$$\mathcal{A}^{(n)} = \{T^{(n)} | T \in \mathcal{A}\}.$$

Suppose m and n are cardinal numbers such that $1 \leq m, n \leq \aleph_0$. A dual algebra \mathcal{A} will be said to have property $(\mathbf{A}_{m,n})$ if every $m \times n$ system of simultaneous equations of the form

$$(3) \quad [x_i \otimes y_j] = [L_{ij}], \quad 0 \leq i < m, \quad 0 \leq j < n,$$

where $\{[L_{ij}]\}_{\substack{0 \leq i < m \\ 0 \leq j < n}}$ is an arbitrary $m \times n$ array from $\mathcal{Q}_{\mathcal{A}}$, has a solution $\{x_i\}_{0 \leq i < m}, \{y_j\}_{0 \leq j < n}$ consisting of a pair of sequences of vectors from \mathcal{H} . Furthermore, if $m, n \in \mathbf{N}$ and r is a fixed real number satisfying $r \geq 1$, then a dual algebra \mathcal{A} has property $(\mathbf{A}_{m,n})(r)$ if for every $s > r$ and every $m \times n$ array from $\mathcal{Q}_{\mathcal{A}}$, there exist sequences $\{x_i\}_{0 \leq i < m}, \{y_j\}_{0 \leq j < n}$ that satisfy (3) and also satisfy the following conditions:

$$(4) \quad \|x_i\| \leq \left(s \sum_{0 \leq j < n} \|[L_{ij}]\| \right)^{1/2}, \quad 0 \leq i < m$$

and

$$(5) \quad \|y_j\| \leq \left(s \sum_{0 \leq i < m} \|[L_{ij}]\| \right)^{1/2}, \quad 0 \leq j < n.$$

Finally, a dual algebra $\mathcal{A} \subset \mathcal{L}(\mathcal{H})$ has property $(\mathbf{A}_{m, \aleph_0}(r))$ (for some real number $r \geq 1$) if for every $s > r$ and every array $\{[L_{ij}]\}_{\substack{0 \leq i < m \\ 0 \leq j < \infty}}$ from $\mathcal{Q}_{\mathcal{A}}$

with summable rows, there exist sequences $\{x_i\}_{0 \leq i < m}$ and $\{y_j\}_{0 \leq j < \infty}$ of vectors from \mathcal{H} that satisfy (3), (4) and (5) with the replacement of n by \aleph_0 . Properties $(\mathbf{A}_{\aleph_0, n}(r))$ and $(\mathbf{A}_{\aleph_0, \aleph_0}(r))$ are defined similarly. For brevity, we shall denote $(\mathbf{A}_{n, n})$ by (\mathbf{A}_n) . We shall denote by \mathbf{D} the open unit disc in the complex plane \mathbf{C} and we write \mathbf{T} for the boundary of \mathbf{D} . For $1 \leq p < \infty$, we denote by $L^p = L^p(\mathbf{T})$ the Banach space of complex valued, Lebesgue measurable functions f on \mathbf{T} for which $|f|^p$ is Lebesgue integrable, and by $L^\infty = L^\infty(\mathbf{T})$ the Banach algebra of all complex valued Lebesgue measurable, essentially bounded functions on \mathbf{T} . For $1 \leq p \leq \infty$ we denote by $H^p = H^p(\mathbf{T})$ the subspace of L^p consisting of those functions whose negative Fourier coefficients vanish. Let us recall that a completely nonunitary contraction $T \in \mathcal{L}(\mathcal{H})$ is to be of class C_0 if there exists a non-zero function $u \in H^\infty(\mathbf{T})$ such that (under the functional calculus) $u(T) = 0$ (cf. [2]). Let S be the unilateral shift of multiplicity one. Then the function $S(\theta)$ defined by $S(\theta) = (S^*|(H^2 \ominus \theta H^2))^*$, for an inner function θ , is called a *Jordan block* and that any operator of the form $S(\theta_1) \oplus S(\theta_2) \oplus \cdots \oplus S(\theta_k) \oplus S^{(l)}$, where $\theta_1, \theta_2, \dots, \theta_k$ are nonconstant (scalar valued) inner functions and $0 \leq k < \infty$, $0 \leq l \leq \infty$, is called a *Jordan operator* (cf. [13]).

We start the work from the following theorem which comes from [9, Corollary 4.8].

Theorem 1. *If $T = S^{(n)} \oplus S(\theta_1) \oplus \cdots \oplus S(\theta_k)$ is a Jordan operator, $1 \leq n < \infty$, and $k \in \mathbf{N}$, then \mathcal{A}_T has property $(\mathbf{A}_{n, \aleph_0})(1)$ but not property $(\mathbf{A}_{n+1, 1})$.*

The Jordan block part, $S(\theta_1) \oplus \cdots \oplus S(\theta_k)$, of T in the above theorem doesn't give any role for the property $(\mathbf{A}_{n, \aleph_0})(1)$. But by considering only the Jordan block part without shift part, we obtain the following theorem.

Theorem 2. *If $T = S(\theta)^{(n)}$ for $n \in \mathbf{N}$, then \mathcal{A}_T has property $(\mathbf{A}_n)(1)$.*

We need several lemmas to prove the above main theorem. The following lemma is elementary, but we sketch the proof here for the convenience of readers.

Lemma 3. *Suppose that $\mathcal{A} \subset \mathcal{L}(\mathcal{H})$ is a dual algebra. Then the following are equivalent:*

(a) *For a weak*-continuous linear functional φ on \mathcal{A} and every $\epsilon > 0$, there exist vectors $x, y \in \mathcal{H}$ such that $\varphi(A) = (Ax, y)$ for all $A \in \mathcal{A}$ and*

$$\|x\|\|y\| < (1 + \epsilon)\|\varphi\| ;$$

(b) For a weak*-continuous linear functional φ on \mathcal{A} and every $s > 1$, there exist vectors $x, y \in \mathcal{H}$ such that $\varphi(A) = (Ax, y)$ for all $A \in \mathcal{A}$ and $\|x\|\|y\| < s\|\varphi\|$;

(c) For every $s > 1$ and $[L] \in \mathcal{Q}_{\mathcal{A}}$, there exist vectors $x, y \in \mathcal{H}$ such that $[L] = [x \otimes y]$ and $\|x\|\|y\| < s\|[L]\|$;

(d) For every $s > 1$ and $[L] \in \mathcal{Q}_{\mathcal{A}}$, there exist vectors $x, y \in \mathcal{H}$ such that $[L] = [x \otimes y]$, $\|x\|^2 < s\|[L]\|$ and $\|y\|^2 < s\|[L]\|$;

(e) For every $s > 1$ and $[L] \in \mathcal{Q}_{\mathcal{A}}$, there exist vectors $x, y \in \mathcal{H}$ with $\|x\| = \|y\|$ such that $[L] = [x \otimes]$ and $\|x\|^2 < s\|[L]\|$.

Proof. (a) \Rightarrow (b): obvious.

(b) \Rightarrow (c): Let $[L] \in \mathcal{Q}_{\mathcal{A}}$ and let $\varphi : \mathcal{A} \rightarrow \mathbf{C}$ be a weak*-continuous linear functional on \mathcal{A} defined by $\varphi(A) = \langle A, [L] \rangle$. Then there exist vectors $x, y \in \mathcal{H}$ such that $\varphi(A) = (Ax, y)$. Since $\langle A, [L] \rangle = \langle A, [x \otimes y] \rangle$ for all $A \in \mathcal{A}$, $[L] = [x \otimes y]$. Furthermore, since

$$(6) \quad \|\varphi\| = \sup\{|\varphi(A)| : A \in \mathcal{A}, \|A\| \leq 1\} = \|[L]\|,$$

we have this implication.

(c) \Rightarrow (e) : Consider $x' = \frac{1}{\lambda}x, y' = \lambda y$, where $\lambda = \sqrt{\|x\|/\|y\|}$.

(e) \Rightarrow (d) \Rightarrow (c): obvious.

(e) \Rightarrow (a): Let φ be a weak*-continuous linear functional on \mathcal{A} . Then there exist square summable sequences $\{x_i\}_{i=1}^{\infty}$ and $\{y_i\}_{i=1}^{\infty}$ in \mathcal{H} such that

$$(7) \quad \varphi(A) = \sum_{i=1}^{\infty} (Ax_i, y_i).$$

By assumption of (e) there exist x and y in \mathcal{H} such that

$$(8) \quad \sum_{i=1}^{\infty} [x_i \otimes y_j] = [x \otimes y]$$

and

$$(9) \quad \|x\|^2 = \|y\|^2 < (1 + \epsilon)\|[x \otimes y]\|$$

which implies that

$$(10) \quad \varphi(A) = \langle A, \sum_{i=1}^{\infty} [x_i \otimes y_i] \rangle = \langle A, [x \otimes y] \rangle = (Ax, y).$$

Moreover, by (6) and (9) we have $\|x\|^2 < (1 + \epsilon)\|\varphi\|$. Hence the proof is complete.

The following comes from Hadwin-Nordgren [7].

Lemma 4. *Let \mathcal{M} be a weak*-closed subspace of $\mathcal{L}(\mathcal{H})$ and φ be a weak*-continuous functional on \mathcal{M} with $\|\varphi\| \leq 1$. Then for every $\epsilon > 0$, there is an extension $\tilde{\varphi}$ of φ to $\mathcal{L}(\mathcal{H})$ such that*

$$(11) \quad \tilde{\varphi}(T) = \sum_{n=1}^{\infty} (Tx_n, y_n)$$

and

$$(12) \quad \left(\sum_{n=1}^{\infty} \|x_n\|^2 \right)^{\frac{1}{2}} \left(\sum_{n=1}^{\infty} \|y_n\|^2 \right)^{\frac{1}{2}} < 1 + \epsilon,$$

where $\{x_n\}_{n=1}^{\infty}$ and $\{y_n\}_{n=1}^{\infty}$ are square summable sequences in \mathcal{H} .

Without loss of generality, we can assume that $\|\varphi\| = 1$ in Lemma 3 (a) (because, consider $\varphi' = \frac{\varphi}{\|\varphi\|}$). Hence if we follow the proof of the implication (a) \Rightarrow (d) in Lemma 3, we can restate Lemma 4 as following:

Lemma 5. *Let φ be a weak*-continuous linear functional on a dual algebra $\mathcal{A} \subset \mathcal{L}(\mathcal{H})$. Then for every $s > 1$, there is an extension $\tilde{\varphi}$ of φ to $\mathcal{L}(\mathcal{H})$ with*

$$(13) \quad \tilde{\varphi}(T) = \sum_{n=1}^{\infty} (Tx_n, y_n)$$

such that

$$(14) \quad \sum_{n=1}^{\infty} \|x_n\|^2 < s\|\varphi\|$$

and

$$(15) \quad \sum_{n=1}^{\infty} \|y_n\|^2 < s\|\varphi\|,$$

where $\{x_n\}_{n=1}^{\infty}$ and $\{y_n\}_{n=1}^{\infty}$ are square summable sequences in \mathcal{H} .

Recall that if θ is an inner function, then it follows from [2, Proposition III 1.21] (or [11, Theorem 2]), the dual algebra $\mathcal{A}_{S(\theta)}$ has property $(\mathbf{A}_1)(1)$. The following proposition improves [2, Proposition III 1.21 (iv)] (or [11, Theorem 2]).

Proposition 6. *For an inner function θ and any $n \in \mathbb{N}$, the dual algebra $\mathcal{A}_{S(\theta)}$ has property $(\mathbf{A}_{1,n})(1)$ and property $(\mathbf{A}_{n,1})(1)$.*

Proof. Note that

$$(16) \quad S \cong \begin{pmatrix} * & * \\ 0 & S(\theta) \end{pmatrix}$$

relative to a decomposition $\mathcal{K} = \mathcal{H}_0 \oplus \mathcal{H}$, where S is a unilateral shift of multiplicity one. Suppose that φ_i is a weak*-continuous linear functional on $\mathcal{A}_{S(\theta)}$ and $s > 1, i = 1, 2, \dots, n$. By Lemma 5, there are sequences $\{x_k^{(i)}\}_{k=1}^\infty$ and $\{y_k^{(i)}\}_{k=1}^\infty$ in \mathcal{H} satisfying

$$(17) \quad \varphi_i(A) = \sum_{k=1}^\infty (Ax_k^{(i)}, y_k^{(i)})$$

for all A in \mathcal{A}_T such that

$$(18) \quad \sum_{k=1}^\infty \|x_k^{(i)}\|^2 < s\|\varphi_i\|$$

and

$$(19) \quad \sum_{k=1}^\infty \|y_k^{(i)}\|^2 < s\|\varphi_i\|.$$

We denote by

$$(20) \quad \begin{aligned} \tilde{\mathcal{K}} &= \underbrace{\mathcal{K}_1^{(1)} \oplus \dots \oplus \mathcal{K}_1^{(n)}}_{(n)} \oplus \underbrace{\mathcal{K}_2^{(1)} \oplus \dots \oplus \mathcal{K}_2^{(n)}}_{(n)} \oplus \dots, \\ \tilde{x}^{(i)} &= \left(\underbrace{0, \dots, 0, x_1^{(i)}, \dots, 0}_{(n)}, \underbrace{0, \dots, 0, x_2^{(i)}, \dots, 0}_{(n)}, \dots \right) \end{aligned}$$

and

$$(21) \quad \tilde{y} = \left(\underbrace{y_1^{(1)}, \dots, y_1^{(n)}}_{(n)}, \underbrace{y_2^{(1)}, \dots, y_2^{(n)}}_{(n)}, \dots \right),$$

where $\mathcal{K}_k^{(i)} = \mathcal{K}$, $1 \leq i \leq n$, $k \in \mathbf{N}$. Let $\mathcal{M} = \bigvee_{k=1}^\infty \tilde{S}^k \tilde{y}$, where

$$(22) \quad \tilde{S} = \underbrace{S_1^{(1)} \oplus \dots \oplus S_1^{(n)}}_{(n)} \oplus \underbrace{S_2^{(1)} \oplus \dots \oplus S_2^{(n)}}_{(n)} \oplus \dots,$$

where $S_k^{(i)} = S$, $1 \leq i \leq n$, $k \in \mathbf{N}$. Since $\tilde{S}|_{\mathcal{M}}$ is a cyclic completely non-unitary isometry, it is unitarily equivalent to S . Then there is an isometry W from \mathcal{K} into $\tilde{\mathcal{K}}$ such that $W\mathcal{K} = \mathcal{M}$ and

$$(23) \quad WS = \tilde{S}W.$$

Let $T_k^{(i)} = P_{k,i}W$, where $P_{k,i}$ is the projection from $\tilde{\mathcal{K}}$ onto $\mathcal{K}_k^{(i)}$. Then clearly $T_k^{(i)} \in \mathcal{L}(\mathcal{K})$ and for every $x \in \mathcal{K}$ we have

$$(24) \quad Wx = \underbrace{T_1^{(1)}x \oplus \cdots \oplus T_1^{(n)}x}_{(n)} \oplus \underbrace{T_2^{(1)}x \oplus \cdots \oplus T_2^{(n)}x}_{(n)} \oplus \cdots.$$

It follows by (23) and (24) that

$$(25) \quad T_k^{(i)}S = ST_k^{(i)}$$

for any k, i . Let $y_0 = W^*\tilde{y}$. Then $T_k^{(i)}y_0 = y_k^{(i)}$ for any $k \in \mathbf{N}$. Furthermore, by (19) we have

$$(26) \quad \|y_0\|^2 = \|\tilde{y}\|^2 = \sum_{i=1}^n \sum_{k=1}^{\infty} \|y_k^{(i)}\|^2 < s \sum_{i=1}^n \|\varphi_i\|.$$

Since

$$(27) \quad (W^*\tilde{x}^{(i)}, z) = (\tilde{x}^{(i)}, Wz) = \sum_{k=1}^{\infty} (x_k^{(i)}, T_k^{(i)}z) = \sum_{k=1}^{\infty} (T_k^{(i)*}x_k^{(i)}, z)$$

for every $z \in \mathcal{K}$, we can assert that the series $\sum_{k=1}^{\infty} T_k^{(i)*}x_k^{(i)}$ converges weakly to some $x_0^{(i)} (= W^*\tilde{x}^{(i)}) \in \mathcal{K}$, $i = 1, \dots, n$. By (18) we have

$$(28) \quad \|x_0^{(i)}\|^2 = \|\tilde{x}^{(i)}\|^2 = \sum_{k=1}^{\infty} \|x_k^{(i)}\|^2 < s\|\varphi_i\|.$$

Moreover, \mathcal{H} is a hyperinvariant subspace for S^* , so that $x_0^{(i)} \in \mathcal{H}$ by (25). Now for every $A \in \mathcal{A}_{S(\theta)}$ we have

$$(29) \quad \begin{aligned} \varphi_i(A) &= \sum_{k=1}^{\infty} (Ax_k^{(i)}, y_k^{(i)}) = \sum_{k=1}^{\infty} (Ax_k^{(i)}, T_k^{(i)}y_0) \\ &= \sum_{k=1}^{\infty} (T_k^{(i)*}Ax_k^{(i)}, y_0) = \sum_{k=1}^{\infty} (AT_k^{(i)*}x_k^{(i)}, y_0) \text{ by (22)} \\ &= (A \sum_{k=1}^{\infty} T_k^{(i)*}x_k^{(i)}, y_0) = (Ax_0^{(i)}, y_0) \\ &= (Ax_0^{(i)}, P_{\mathcal{H}}y_0), \quad \text{since } x_0^{(i)} \in \mathcal{H} \end{aligned}$$

$i = 1, 2, \dots, n$. Hence the dual algebra $\mathcal{A}_{S(\theta)}$ has property $(\mathbf{A}_{1,n})(1)$. Furthermore, since $S(\theta)^* = S(\tilde{\theta})$ (see [2, Corollary III 1.7]), where $\tilde{\theta}(e^{it}) =$

$\overline{\theta(e^{-it})}$, and since $\mathcal{A}_{S(\tilde{\theta})}$ has property $(\mathbf{A}_{1,n})(1)$, the algebra $\mathcal{A}_{S(\theta)}$ has property $(\mathbf{A}_{n,1})(1)$. Hence the proof is complete.

Proof of Theorem 2. If \mathcal{A} is a dual algebra with property $(\mathbf{A}_{1,n})$ for some positive integer n , then it follows from [10, Proposition 2.21] that the dual algebra $\mathcal{A}^{(n)}$ has property (\mathbf{A}_n) . Since

$$\mathcal{A}_{T^{(n)}} = (\mathcal{A}_T)^{(n)}$$

for any positive integer n , Proposition 6 implies the theorem.

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