The distance from the Apostol spectrum

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Abstract. If T is an s-regular operator in a Banach space (i.e. T has closed range and $N(T) \subset R^{\infty}(T)$) and $\gamma(T)$ is the Kato reduced minimum modulus, then

$$\lim_{n \to \infty} \gamma(T^n)^{1/n} = \sup\{r : T - \lambda \text{ is s - regular for } |\lambda| < r\}.$$

Let x be an element of a Banach algebra A. The spectral radius of x is given by the well-known spectral radius formula: $r(x) = \lim_{n \to \infty} ||x^n||^{1/n}$.

There are a number generalizations of this formula. If we denote $d(x) = \inf\{||xy|| : y \in A, ||y|| = 1\}$ and by $\tau_l(x) = \{\lambda \in \mathbf{C} : d(x - \lambda) = 0\}$ the left approximate point spectrum of x then dist $\{0, \tau_l(x)\} = \lim_{n \to \infty} d(x^n)^{1/n}$, see [13], [9]. In particular in the algebra B(X) of all bounded linear operators in a Banach space X this gives formulas for radii of boundedness below or surjectivity:

$$\sup\{r: T - \lambda \text{ is bounded below for } |\lambda| < r\} = \lim_{n \to \infty} j(T^n)^{1/n}$$

and

$$\sup\{r: T - \lambda \text{ is onto for } |\lambda| < r\} = \lim_{n \to \infty} k(T^n)^{1/n}$$

where j(T) and k(T) are the moduli of injectivity and surjectivity of T:

$$j(T) = \inf\{\|Tx\| : x \in X, \|x\| = 1\}$$

and

$$k(T) = \sup\{r : TU_X \supset rU_X\},\$$

where U_X is the closed unit ball in X.

For a bounded linear operator T in a Banach space X denote by N(T) and R(T) its kernel and range, respectively. Denote further $R^{\infty}(T) = \bigcap_{n=1}^{\infty} R(T^n)$ and $N^{\infty}(T) = \bigcup_{n=1}^{\infty} N(T^n)$.

The injectivity and surjectivity moduli of an operator which is bounded below (onto) are special cases of the Kato reduced minimum modulus [7]

$$\gamma(T) = \inf\left\{\frac{\|Tx\|}{\operatorname{dist}\left\{x, N(T)\right\}} : x \in X \setminus N(T)\right\}$$

(for T = 0 we define formally $\gamma(T) = \infty$).

The existence and the meaning of the limit $\lim_{n\to\infty} \gamma(T^n)^{1/n}$ in a more general setting was studied by Apostol [1] and Mbekhta [10].

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Definition. Let $T \in B(X)$. We say that T is s-regular (= semi-regular) if R(T) is closed and $N(T) \subset R^{\infty}(T)$.

The s-regular operators and closely related classes of operators were studied (under various names) by many authors, see [3], [4], [5], [6], [8], [16]. We list some of the most important equivalent conditions for s-regular operators, see [11], [12].

Theorem. Let $T \in B(X)$ be an operator with a close range. The following conditions are equivalent:

- (1) T is s-regular,
- (2) the function $\lambda \mapsto R(T-\lambda)$ is continuous at 0 in the gap topology,
- (3) the function $\lambda \mapsto N(T-\lambda)$ is continuous at 0 in the gap topology,
- (4) the function $\lambda \mapsto \gamma(T \lambda)$ is continuous at 0,
- (5) $\liminf_{\lambda \to 0} \gamma(T \lambda) > 0$,
- (6) $N^{\infty}(T) \subset R(T),$
- (7) $N^{\infty}(T) \subset R^{\infty}(T)$.

Denote further $\sigma_{\gamma}(T) = \{\lambda \in \mathbf{C} : T - \lambda \text{ is not s} - \text{regular}\}$. The set $\sigma_{\gamma}(T)$ was studied by Apostol [1], Rakočevič [15], Mbekhta and Ouahab [11], [12] and Mbekhta [10]. The terminology is not unified; we suggest to call $\sigma_{\gamma}(T)$ the Apostol spectrum of T.

The Apostol spectrum $\sigma_{\gamma}(T)$ is always a non-empty compact subset of the complex plane, $\partial \sigma(T) \subset \sigma_{\gamma}(T) \subset \sigma(T)$ and $\sigma_{\gamma}f(T) = f\sigma_{\gamma}(T)$ for any function f analytic in a neighbourhood of $\sigma(T)$.

If T is an s-regular operator in a Hilbert space then the limit $\lim_{n\to\infty} \gamma(T^n)^{1/n}$ exists and

$$\lim_{n \to \infty} \gamma(T^n)^{1/n} = \operatorname{dist} \{0, \sigma_{\gamma}(T)\} = \sup\{r : T - \lambda \text{ is s} - \operatorname{regular for } |\lambda| < r\}, \quad (1)$$

see [1], Theorem 3.2 or [10], Theorem 3.1.

The aim of this paper is to prove equality (1) for operators in Banach spaces. This gives a positive answer to the conjecture of Rakočevič [15] and Mbekhta and generalizes the above mentioned results for radii of injectivity and surjectivity.

Further we study the essential version of this result.

If T is a semi-Fredholm operator then the limit $\lim_{n\to\infty} \gamma(T^n)^{1/n}$ exists by [2] and it is equal to the semi-Fredholm radius of T:

$$\lim_{n \to \infty} \gamma(T^n)^{1/n} = \sup\{r : T - \lambda \text{ is semi} - \text{Fredholm for } |\lambda| < r\},$$

see [17] and [2].

We prove a similar formula for essentially s-regular operators which generalizes the semi-Fredholm case.

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Lemma 1. $T \in B(X)$ is s-regular if and only if there exists a closed subspace $M \subset X$ such that TM = M and the operator $\tilde{T} : X/M \to X/M$ induced by T is bounded below.

Proof. If T is s-regular then set $M = R^{\infty}(T)$. It is well-known that M is closed and (see e.g. [4], Theorem 3.4) that TM = M and $\tilde{T} : X/M \to X/M$ is bounded from bellow.

Conversely, let M be the subspace of X with the required properties. Then TM = M implies $M \subset R^{\infty}(T)$. If Tx = 0 then $\tilde{T}(x+M) = 0$ and the injectivity of \tilde{T} implies $x \in M$. Thus $N(T) \subset M \subset R^{\infty}(T)$.

It remains to prove that T has closed range. Let $\pi : X \to X/M$ be the canonical projection. We show $R(T) = \pi^{-1}R(\tilde{T})$. If $y \in R(T), y = Tx$ for some $x \in X$ then $\pi y = Tx + M = \tilde{T}(x + M) \in R(\tilde{T})$ so that $R(T) \subset \pi^{-1}R(\tilde{T})$. If $y \in X$ and $\pi y \in R(\tilde{T})$, i.e. y + M = Tx + M for some $x \in X$ then $y \in R(T)$ since $M \subset R(T)$. Thus $R(T) = \pi^{-1}R(\tilde{T})$ which is closed since $R(\tilde{T})$ is closed and π continuous.

Lemma 2. Let $T \in B(X)$ and let M be a closed subspace of X such that TM = Mand the operator $\tilde{T} : X/M \to X/M$ induced by T is bounded below. Denote by $T_1 : M \to M$ the restriction of T to M. Then

$$\lim_{n \to \infty} \gamma(T^n)^{1/n} = \min \{\lim_{n \to \infty} \gamma(T_1^n)^{1/n}, \lim_{n \to \infty} \gamma(\tilde{T}^n)^{1/n} \}.$$

Proof. The limits on the right hand side exist by [17]. If $T^n x = 0$ then $\tilde{T}^n(x+M) = 0$, i.e. $x \in M$. Thus $N(T^n) \subset M$ and $N(T_1^n) = N(T^n)$. We have

$$\gamma(T_1^n) = \inf\left\{\frac{\|T_1^n x\|}{\operatorname{dist}\left\{x, N(T_1^n)\right\}} : x \in M \setminus N(T_1^n)\right\}$$
$$= \inf\left\{\frac{\|T^n x\|}{\operatorname{dist}\left\{x, N(T^n)\right\}} : x \in M \setminus N(T^n)\right\} \ge \gamma(T^n)$$

Further, since TM = M,

$$\begin{split} \gamma(\tilde{T}^n) &= \inf\left\{\frac{\|T^n(x+M)\|}{\|x+M\|} : x \notin M\right\} = \inf\left\{\frac{\|T^nx+M\|}{\operatorname{dist}\left\{x,M\right\}} : x \notin M\right\} \\ &\geq \inf\left\{\frac{\|T^nx\|}{\operatorname{dist}\left\{x,M\right\}} : x \notin M\right\} \geq \inf\left\{\frac{\|T^nx\|}{\operatorname{dist}\left\{x,N(T^n)\right\}} : x \notin M\right\} \geq \gamma(T^n). \end{split}$$

Thus $\gamma(T^n) \leq \min\{\gamma(T_1^n), \gamma(\tilde{T}^n)\}$ and

$$\limsup_{n \to \infty} \gamma(T^n)^{1/n} \le \min \{ \lim_{n \to \infty} \gamma(T_1^n)^{1/n}, \lim_{n \to \infty} \gamma(\tilde{T}^n)^{1/n} \}.$$

Denote by

$$s = \min\left\{\lim_{n \to \infty} \gamma(T_1^n)^{1/n}, \lim_{n \to \infty} \gamma(\tilde{T}^n)^{1/n}\right\}$$

We prove $\liminf_{n\to\infty} \gamma(T^n)^{1/n} \ge s$.

Let $n \ge 1$, $x = x_0 \in R(T^n)$, ||x|| = 1 and let $s > \varepsilon > 0$. Then $x + M \in R(\tilde{T}^n)$ and

$$\|\tilde{T}^{-i}(x+M)\| \le \gamma(\tilde{T}^{i})^{-1} \|x+M\| \le \gamma(\tilde{T}^{i})^{-1} \qquad (i=1,\ldots,n).$$

Thus there exist vectors $x_i \in \tilde{T}^{-i}(x+M)$ such that

$$||x_i|| \le \gamma(\tilde{T}^i)^{-1}(1+\varepsilon) \qquad (i=1,\ldots,n).$$

Denote by $m_i = Tx_{i+1} - x_i$ (i = 0, ..., n - 1). Then

$$||m_i|| \le ||T|| ||x_{i+1}|| + ||x_i|| \le (1+\varepsilon) \left[||T|| \gamma(\tilde{T}^{i+1})^{-1} + \gamma(\tilde{T}^i)^{-1} \right] \qquad (i=0,\ldots,n-1).$$

Further $\tilde{T}^i(m_i + M) = T^{i+1}x_{i+1} - T^ix_i + M = M$ so that $m_i \in M$ for each *i*. We have

$$\sum_{i=0}^{n-1} T^i m_i = (T^n x_n - T^{n-1} x_{n-1}) + (T^{n-1} x_{n-1} - T^{n-2} x_{n-2}) + \dots + (T x_1 - x_0) = T^n x_n - x.$$

Since $T_1M \to M$ is onto, there exist vectors $m'_i \in M$ such that $T^{n-i}m'_i = m_i$ and $||m'_i|| \leq (1+\varepsilon)\gamma(T_1^{n-i})^{-1}||m_i||$. Thus

$$T^{n}(x_{n} - \sum_{i=0}^{n-1} m'_{i}) = T^{n}x_{n} - \sum_{i=0}^{n-1} T^{i}m_{i} = x$$

and

$$\left\|x_n - \sum_{i=0}^{n-1} m'_i\right\| \le (1+\varepsilon)\gamma(\tilde{T}^n)^{-1} + \sum_{i=0}^{n-1} (1+\varepsilon)^2 \gamma(T_1^{n-i})^{-1} \Big[\|T\|\gamma(\tilde{T}^{i+1})^{-1} + \gamma(\tilde{T}^i)^{-1} \Big].$$

Thus

$$\gamma(T^n)^{-1} \le (1+\varepsilon)\gamma(\tilde{T}^n)^{-1} + \sum_{i=0}^{n-1} (1+\varepsilon)^2 \gamma(T_1^{n-i})^{-1} \Big[\|T\|\gamma(\tilde{T}^{i+1})^{-1} + \gamma(\tilde{T}^i)^{-1} \Big].$$

Find n_0 such that

$$\gamma(T_1^i) \ge (s-\varepsilon)^i, \quad \gamma(\tilde{T}^i) \ge (s-\varepsilon)^i \qquad (i \ge n_0).$$

Denote by

$$K = \max_{1 \le i \le n_0 + 1} \max\{\gamma(T_1^i)^{-1}, \gamma(\tilde{T}^i)^{-1}, (s - \varepsilon)^{-i}\}.$$

For n large enough we have

$$\gamma(T^{n})^{-1} \leq (1+\varepsilon)^{2} \Big[(s-\varepsilon)^{-n} + \sum_{i=n_{0}}^{n-n_{0}-1} (s-\varepsilon)^{i-n} \big(\|T\| (s-\varepsilon)^{-i-1} + (s-\varepsilon)^{-i} \big) \\ + \sum_{i=0}^{n_{0}-1} (s-\varepsilon)^{i-n} \big(\|T\| \cdot K + K \big) + \sum_{i=n-n_{0}}^{n-1} K \big(\|T\| (s-\varepsilon)^{-i-1} + (s-\varepsilon)^{-i} \big) \Big] \\ \leq (1+\varepsilon)^{2} (s-\varepsilon)^{n_{0}-n} \Big[K + (n-2n_{0}) (K \cdot \|T\| + K) + 2n_{0} K (\|T\| \cdot K + K) + \Big] \\ \leq (1+\varepsilon)^{2} (s-\varepsilon)^{n_{0}-n} n \cdot K',$$

where K' is a constant independent of n. Hence

$$\liminf_{n \to \infty} \gamma(T^n)^{1/n} \ge \liminf_{n \to \infty} (s - \varepsilon)^{\frac{n - n_0}{n}} = s - \varepsilon.$$

Since $\varepsilon > 0$ was arbitrary, we conclude that $\liminf_{n \to \infty} \gamma(T^n)^{1/n} \ge s$, so that

$$\lim_{n \to \infty} \gamma(T^n)^{1/n} = s$$

Theorem 3. Let $T \in B(X)$ be s-regular. Then

dist
$$\{0, \sigma_{\gamma}(T)\} = \lim_{n \to \infty} \gamma(T^n)^{1/n}.$$

Proof. Denote $r = \text{dist} \{0, \sigma_{\gamma}(T)\}$. Let $M = R^{\infty}(T), T_1 = T | M$ and let $\tilde{T} : X/M \to X/M$ be the operator induced by T. If λ is a complex number satisfying

$$|\lambda| < \lim_{n \to \infty} \gamma(T^n)^{1/n} = \min\{\lim_{n \to \infty} \gamma(T_1^n)^{1/n}, \lim_{n \to \infty} \gamma(\tilde{T}^n)^{1/n}\},$$

then $T_1 - \lambda$ is onto and $\tilde{T} - \lambda$ is bounded below. Thus $T - \lambda$ is s-regular by Lemma 1 and $\lim_{n \to \infty} \gamma(T^n)^{1/n} \leq r$.

Conversely, it is well-known (see e.g. [15], Theorem 5.2) that $R^{\infty}(T-\lambda)$ is constant on the component of $\mathbb{C}\setminus\sigma_{\gamma}(T)$ containing 0, in particular $R^{\infty}(T-\lambda) = M$ for $|\lambda| < r$. If $|\lambda| < r$ then $(T-\lambda)M = M$ and $\tilde{T} - \lambda = \tilde{T-\lambda} : X/M \to X/M$ is bounded below. Thus $\lim_{n\to\infty} \gamma(T_1^n)^{1/n} \ge r$ and $\lim_{n\to\infty} \gamma(\tilde{T}^n)^{1/n} \ge r$. Hence $\lim_{n\to\infty} \gamma(T^n)^{1/n} \ge r$ by Lemma 2.

Remark. It is possible to deduce the inequality dist $\{0, \sigma_{\gamma}(T)\} \geq \lim_{n \to \infty} \gamma(T^n)^{1/n}$ from [11], Theorem 2.10. We have obtained a new direct proof of this result.

Definition. $T \in B(X)$ is called essentially s-regular if R(T) is closed and there exists a finite dimensional subspace $F \subset X$ such that $N(T) \subset R^{\infty}(T) + F$. Define further $\sigma_{e\gamma}(T) = \{\lambda \in \mathbf{C} : T - \lambda \text{ is not essentially s-regular }\}.$

For properties of essentially s-regular operators and the set $\sigma_{e\gamma}(T)$ see [14],[15].

Theorem 4. Let $T \in B(X)$ be essentially s-regular. Then the limit $\lim_{n\to\infty} \gamma(T^n)^{1/n}$ exists and

$$\lim_{n \to \infty} \gamma(T^n)^{1/n} = \max\{r : T - \lambda \text{ is s} - \text{regular for } 0 < |\lambda| < r\} = \text{dist}\{0, \sigma_{\gamma}(T) \setminus \{0\}\}.$$

Proof. By [14], Theorem 3.1 or [15], Theorem 2.1 there exist subspaces $X_1, X_2 \subset X$ such that $X = X_1 \oplus X_2$, dim $X_1 < \infty$, $TX_1 \subset X_1, TX_2 \subset X_2, T_1 = T | X_1$ si nilpotent and $T_2 = T | X_2$ is s-regular (the Kato decomposition). By the previous theorem dist $\{0, \sigma_{\gamma}(T_2)\} = \lim_{n \to \infty} \gamma(T_2^n)^{1/n}$. For $n \ge \dim X_1$ we have $T_1^n = 0$ so that $N(T^n) = X_1 \oplus N(T_2^n)$. Let P be the projection with $R(P) = X_2$ and $N(P) = X_1$. Let $x_2 \in X_2$. We have

dist {
$$x_2, N(T_2^n)$$
} = inf{ $||x_2 - y_2|| : y_2 \in X_2, T_2^n y_2 = 0$ }
 $\leq ||P|| \inf \{ ||y_1 \oplus (x_2 - y_2)|| : y_1 \in X_1, y_2 \in X_2, T_2^n y_2 = 0 \}$
= $||P|| \operatorname{dist} \{x_2, N(T^n)\} \leq ||P|| \operatorname{dist} \{x_2, N(T_2^n)\}.$

Then

$$\begin{split} \gamma(T_2^n) &= \inf \left\{ \frac{\|T_2^n x_2\|}{\text{dist} \{x_2, N(T_2^n)\}} : x_2 \in X_2 \setminus N(T_2^n) \right\} \\ &\leq \inf \left\{ \frac{\|T^n x_2\|}{\text{dist} \{x_2, N(T^n)\}} : x_2 \in X_2 \setminus N(T^n) \right\} \\ &= \inf \left\{ \frac{\|T^n (x_1 \oplus x_2)\|}{\text{dist} \{x_1 \oplus x_2, N(T^n)\}} : x_1 \oplus x_2 \in X \setminus N(T^n) \right\} = \gamma(T^n) \end{split}$$

and

$$\begin{split} \gamma(T^n) &\leq \inf \left\{ \frac{\|T_2^n x_2\|}{\operatorname{dist} \{x_2, N(T^n)\}} : x_2 \in X_2 \setminus N(T_2^n) \right\} \\ &\leq \|P\| \inf \left\{ \frac{\|T_2^n x_2\|}{\operatorname{dist} \{x_2, N(T_2^n)\}} : x_2 \in X_2 \setminus N(T_2^n) \right\} = \|P\| \gamma(T_2^n). \end{split}$$

Hence $\lim_{n\to\infty} \gamma(T^n)^{1/n} = \lim_{n\to\infty} \gamma(T_2^n)^{1/n}$.

If $\lambda \neq 0$ then $T - \lambda$ is s-regular if and only if $T_2 - \lambda$ is s-regular. Then

 $\max\{r: T - \lambda \text{ is } s - \text{regular for } 0 < |\lambda| < r\} = \text{dist}\{0, \sigma_{\gamma}(T_2)\} = \lim_{n \to \infty} \gamma(T^n)^{1/n}.$

The following lemma is an analog of Lemma 1 for essentially s-regular operators:

Lemma 5. $T \in B(X)$ is essentially s-regular if and only if there exists a closed subspace $M \subset X$ such that TM = M and the operator $\tilde{T} : X/M \to X/M$ induced by T is upper semi-Fredholm.

Proof. If T is essentially s-regular then set $M = R^{\infty}(T)$. If $X = X_1 \oplus X_2$ is the Kato decomposition (dim $X_1 < \infty, TX_1 \subset X_1, TX_2 \subset X_2, T_1 = T | X$ nilpotent and $T_2 = T | X_2$ s-regular) then $M = R^{\infty}(T_2) \subset X_2$ and $TM = T_2M = M$. If $x = x_1 \oplus x_2$ satisfies $Tx \in M$ then $T_2x_2 \in M$ so that $x_2 \in M$. Thus $x \in X_1 + M$ and $N(\tilde{T}) \subset X_1 + M$. Hence dim $N(\tilde{T}) < \infty$.

Let $\pi : X \to X/M$ be the canonical projection. Since $M \subset R(T)$ and $R(\tilde{T}) = \{Tx + M : x \in X\} = \pi R(T)$ the range of \tilde{T} is closed. Thus \tilde{T} is upper semi-Fredholm.

Conversely, let M be a subspace of X with the required properties. We can prove that R(T) is closed in exactly the same way as in Lemma 1.

Further $M \subset R^{\infty}(T)$. If Tx = 0 then T(x + M) = 0, i.e. $\pi x \in N(T)$. Thus $N(T) \subset \pi^{-1}N(\tilde{T}) \subset M + F \subset R^{\infty}(T) + F$ for a finite dimensional subspace $F \subset X$.

Theorem 6. Let $T, A \in B(X), TA = AT$, let A be a quasinilpotent. Then (1) $\sigma_{\gamma}(T + A) = \sigma_{\gamma}(T)$, (2) $\sigma_{\gamma e}(T + A) = \sigma_{\gamma e}(T)$.

Proof. Let T be an essentially s-regular operator and let A be a quasinilpotent commuting with T. Denote $M = R^{\infty}(T), T_1 = T|M$ and let $\tilde{T} : X/M \to X/M$ be the operator induced by T. Clearly $AM \subset M$ so that we can define operators $A_1 = A|M$ and $\tilde{A} : X/M \to X/M$ induced by A. Clearly $r(A_1) = \lim_{n\to\infty} ||A_1^n||^{1/n} \leq \lim_{n\to\infty} ||A^n||^{1/n} = 0$ and $r(\tilde{A}) = \lim_{n\to\infty} ||\tilde{A}^n||^{1/n} \leq \lim_{n\to\infty} ||A^n||^{1/n} = 0$ so that $\sigma(A_1) = \{0\}$ and $\sigma(\tilde{A}) = \{0\}$. Denote by

 $\sigma_{\delta}(T) = \{\lambda \in \mathbf{C} : T - \lambda \text{ is not onto}\},\$ $\sigma_{\pi}(T) = \{\lambda \in \mathbf{C} : T - \lambda \text{ is not bounded below}\} \text{ and }$ $\sigma_{\pi e}(T) = \{\lambda \in \mathbf{C} : T - \lambda \text{ is not upper semi - Fredholm}\}$

the defect spectrum, the approximate point spectrum and the essential approximate point spectrum, respectively.

By the spectral mapping property for these spectra we have

$$\sigma_{\delta}(T+A) = \sigma_{\delta}(T),$$

$$\sigma_{\pi}(\tilde{T}+\tilde{A}) = \sigma_{\pi}(\tilde{T}),$$

$$\sigma_{\pi e}(\tilde{T}+\tilde{A}) = \sigma_{\pi e}(\tilde{T}).$$

Thus $0 \notin \sigma_{\delta}(T+A)$, i.e. (T+A)M = M. Similarly $0 \notin \sigma_{\pi e}(\tilde{T}+\tilde{A})$, i.e. $\tilde{T}+\tilde{A}$ is upper semi-Fredholm. By the previous lemma T+A is essentially s-regular. This proves (2).

If T is s-regular and A an quasinilpotent commuting with T then in the same way (T+A)M = M and $\tilde{T} + \tilde{A}$ is bounded below. Hence T + A is s-regular by Lemma 1.

Remark. Statement (1) for Hilbert space operators was proved in [10], Theorem 4.8. The second statement gives a positive answer to question 3 of [15].

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