On the topological boundary of the one-sided spectrum

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Abstract. It is well-known that the topological boundary of the spectrum of an operator is contained in the approximate point spectrum. We show that the one-sided version of this result is not true. This gives also a negative answer to a problem of Schmoeger.

Denote by $\mathcal{L}(X)$ the algebra of all bounded linear operators acting in a Banach space X. For $T \in \mathcal{L}(X)$ denote by $\sigma(T)$, $\sigma_l(T)$ and $\sigma_\pi(T)$ the spectrum, left spectrum and the approximate point spectrum of T, respectively:

$$\begin{aligned}
\sigma(T) &= \{\lambda \in \mathbf{C} : T - \lambda \text{ is not invertible}\},\\
\sigma_l(T) &= \{\lambda \in \mathbf{C} : T - \lambda \text{ is not left invertible}\},\\
\sigma_\pi(T) &= \{\lambda \in \mathbf{C} : T - \lambda \text{ is not bounded below}\}.
\end{aligned}$$

It is well-known that $\partial\sigma(T) \subset \sigma_\pi(T) \subset \sigma_l(T) \subset \sigma(T)$. This implies in particular that the outer topological boundaries (= the boundaries of the polynomially convex hull) of $\sigma(T), \sigma_l(T)$ and $\sigma_\pi(T)$ coincide.

The aim of this paper is to show that the inner topological boundaries of σ_l and σ_π can be different.

The author wishes to express his thanks to G. Pisier for the proof of Proposition 3.

We use the following notations. If X is a closed subspace of a Banach space Y then we denote $c(X,Y) = \inf\{\|P\| : P \in \mathcal{L}(Y) \text{ is a projection with range } X\}$ (if X is not complemented in Y then we set $c(X,Y) = \infty$).

For Banach spaces X and Y denote by $X\hat{\otimes}Y$ and $X\check{\otimes}Y$ the projective and injective tensor products (see [2]). Thus $X\hat{\otimes}Y$ and $X\check{\otimes}Y$ are the completions of the algebraic tensor product $X \otimes Y$ endowed with the projective (injective) norms

$$\|u\|_{X\hat{\otimes}Y} = \inf\Big\{\sum_i \|x_i\| \cdot \|y_i\| : u = \sum_i x_i \otimes y_i\Big\}$$

and

$$\|u\|_{X\check{\otimes}Y} = \sup\big\{|(x^* \otimes y^*)(u)| : x^* \in X^*, y^* \in Y^*, \|x^*\| \le 1, \|y^*\| \le 1\big\}.$$

Clearly elements of $Y\hat{\otimes}X^*$ can be identified with the trace class operators $X \to Y$ (with the trace norm).

If $\{Y_i\}$ is a family of Banach spaces then we denote by $\bigoplus_i Y_i$ the direct sum of Y_i's with the ℓ_1 norm, $\|\bigoplus y_i\| = \sum_i \|y_i\|$.

* The research was supported by the grant No. 201/96/0411 of GA ČR.

Lemma 1. Let $X_i, Y_i \quad (i \in \mathbf{Z})$ be Banach spaces, $X_i \subset Y_i$. Then

$$c\Big(\bigoplus_i X_i, \bigoplus_i Y_i\Big) = \sup_i\{c(X_i, Y_i)\}.$$

Proof. Denote $X = \bigoplus_i X_i$ and $Y = \bigoplus_i Y_i$.

$\leq$: If $P_i \in \mathcal{L}(Y_i)$ are projections with ranges X_i and $\sup_i \|P_i\| < \infty$ then $P = \bigoplus_i P_i$ is a projection onto X with the norm $\|P\| = \sup_i \|P_i\|$.

$\geq$: Suppose $P \in \mathcal{L}(Y)$ is a projection with range X. Denote $P_k = Q_k P J_k \quad (k \in \mathbf{Z})$ where $J_k : Y_k \to Y$ is the natural embedding and $Q_k : X \to X_k$ the canonical projection. It is easy to check that P_k is a projection with range X_k and $\|P_k\| \leq \|P\|$ so that $c(X_k, Y_k) \leq c(X, Y)$.

Lemma 2. Let E be a finite dimensional subspace of a Banach space X. Then

$$c(E, X) = \sup\{|tr(S)| : S \in \mathcal{L}(E), \|JS\|_{X\hat{\otimes}E^*} \leq 1\}$$

where $J : E \to X$ is the natural embedding.

Proof. $\geq$: Let P be a projection from X onto E and let $S \in \mathcal{L}(E)$. Then

$$|tr(S)| = |tr(PJS)| \leq \|PJS\|_{E\hat{\otimes}E^*} \leq \|P\| \cdot \|JS\|_{X\hat{\otimes}E^*}.$$

$\leq$: Consider $\mathcal{M} = \{JS : S \in \mathcal{L}(E)\}$ as a subspace of $X\hat{\otimes}E^*$. Define $f \in \mathcal{M}^*$ by $f(JS) = tr(S)$. The norm of f is equal to $k = \sup\{|tr(S)| : S \in \mathcal{L}(E), \|JS\|_{X\hat{\otimes}E^*} \leq 1\}$. By the Hahn-Banach theorem there exists an extension $g \in (X\hat{\otimes}E^*)^*$ with the same norm k. Since $(X\hat{\otimes}E^*)^*$ is isometrically isometric to $\mathcal{L}(X, E) \quad$ (see [2], p.230), there exists $P \in \mathcal{L}(X, E)$ with $\|P\| = k$ and, for all $x \in X$ and $e^* \in E^*$, $< Px, e^* >= g(x \otimes e^*)$. In particular, for $e \in E$ and $e^* \in E^*$,

$$< Pe, e^* >= g(e \otimes e^*) = f(e \otimes e^*) = tr(e \otimes e^*) =< e, e^* >$$

so that $Pe = e$ and P is a projection with range E. Hence $c(E, X) \leq k$.

Proposition 3. Let X_1 and X_2 be Banach spaces, let $E_1 \subset X_1$ and $E_2 \subset X_2$ be finite dimensional subspaces. Then

$$c(E_1\check{\otimes}E_2, X_1\check{\otimes}X_2) = c(E_1, X_1) \cdot c(E_2, X_2).$$

Proof. It is well-known that $E_1\check{\otimes}E_2$ is a subspace of $X_1\check{\otimes}X_2 \quad$ (see [2], p.225).

$\leq$: If $P_i \in \mathcal{L}(X_i)$ is a projection with range $E_i \quad (i = 1, 2)$ then it is easy to check that $P_1 \otimes P_2 \in \mathcal{L}(X_1\check{\otimes}X_2)$ is a projection onto $E_1\check{\otimes}E_2$ with $\|P_1 \otimes P_2\| \leq \|P_1\| \cdot \|P_2\|$.

$\geq$: Denote by $J_i : E_i \to X_i \quad (i = 1, 2)$ the natural embedding. Then $J = J_1 \otimes J_2$ is the natural embedding of $E_1\check{\otimes}E_2$ into $X_1\check{\otimes}X_2$. Let $\varepsilon > 0$. By Lemma 2 there exist $S_i \in \mathcal{L}(E_i) \quad (i = 1, 2)$ such that $\|J_i S_i\|_{X_i\hat{\otimes}E_i^*} = 1$ and $|tr(S_i)| > c(E_i, X_i) - \varepsilon \quad (i = 1, 2)$. Consider $S = S_1 \otimes S_2 \in \mathcal{L}(E_1\check{\otimes}E_2)$. It is easy to check that

$$tr(S) = tr(S_1) \cdot tr(S_2) > (c(E_1, X_1) - \varepsilon) \cdot (c(E_2, X_2) - \varepsilon) \tag{1}$$

and

$$\|JS\|_{(X_1\check{\otimes}X_2)\hat{\otimes}(E_1\check{\otimes}E_2)^*} \le \|J_1S_1\|_{X_1\hat{\otimes}E_1^*}\|J_2S_2\|_{\check{\otimes}X_2\hat{\otimes}E_2^*} = 1. \tag{2}$$

To see (2), observe that if $\delta > 0$, $J_1S_1 = \sum_i x_{1i}\otimes e_{1i}^*$ and $J_2S_2 = \sum_j x_{2j}\otimes e_{2j}^*$ for some $x_{1i}\in X_1$, $x_{2j}\in X_2$, $e_{1i}^*\in E_1^*$, $e_{2j}\in E_2^*$, $\sum_i \|x_{1i}\|\cdot\|e_{1i}^*\| < 1+\delta$ and $\sum_i \|x_{2j}\|\cdot\|e_{2j}^*\| < 1+\delta$ then

$$JS = \sum_{i,j}(x_{1i}\otimes x_{2j})\otimes(e_{1i}^*\otimes e_{2j}^*)$$

where $x_{1i}\otimes x_{2j}\in X_1\check{\otimes}X_2$, $e_{1i}^*\otimes e_{2j}^*\in(E_1\check{\otimes}E_2)^*$ and

$$\sum_{i,j}\|x_{1i}\otimes x_{2j}\|_{X_1\check{\otimes}X_2}\cdot\|e_{1i}^*\otimes e_{2j}^*\|_{(E_1\check{\otimes}E_2)^*} < (1+\delta)^2.$$

Thus we have (2) and together with (1) and Lemma 2 we obtain for $\varepsilon\to 0$ the required inequality

$$c(E_1\check{\otimes}E_2, X_1\check{\otimes}X_2) \ge c(E_1,X_1)\cdot c(E_2,X_2).$$

Theorem 4. There exists a Banach space Z and an operator $T\in\mathcal{L}(Z)$ such that $\operatorname{dist}\{0,\sigma_\pi(T)\} > \operatorname{dist}\{0,\sigma_l(T)\} > 0$.

Proof. Fix a Banach space X and a finite dimensional subspace $E\subset X$ such that $c(E,X) = a > 1$ (it is well-known that such a pair exists, see e.g. [11], \$ 32). Set

$$\begin{aligned}
Y_0 &= X\oplus X\check{\otimes}X\oplus X\check{\otimes}X\check{\otimes}X\oplus\cdots,\\
Y_1 &= E\oplus E\check{\otimes}X\oplus E\check{\otimes}X\check{\otimes}X\oplus\cdots,\\
Y_2 &= E\oplus E\check{\otimes}E\oplus E\check{\otimes}E\check{\otimes}X\oplus\cdots,\\
&\ \vdots\\
Y_k &= \bigoplus_{i=1}^{\infty}\underbrace{E\check{\otimes}\cdots\check{\otimes}E}_{\min\{k,i\}}\check{\otimes}\underbrace{X\check{\otimes}\cdots\check{\otimes}X}_{\max\{i-k,0\}}\\
&\ \vdots
\end{aligned}$$

We can consider Y_{k+1} as a subspace of Y_k so that $Y_0\supset Y_1\supset Y_2\supset\cdots$. By Lemma 1 and Proposition 3, $c(Y_j,Y_k) = a^{j-k}\quad(k<j)$. Set $Z = \cdots\oplus Y_0\oplus\cdots\oplus Y_0\oplus Y_1\oplus Y_2\oplus\cdots$ and let $T\in\mathcal{L}(Z)$ be the shift operator to the left,

$$T(\cdots y_{-2}\oplus y_{-1}\oplus\boxed{y_0}\oplus y_1\oplus y_2\cdots) = (\cdots y_{-2}\oplus y_{-1}\oplus y_0\oplus\boxed{y_1}\oplus y_2\cdots)$$

(the box denotes the zero position). Clearly T is an isometry so that $\sigma_\pi(T) = \{\lambda\in\mathbf{C} : |\lambda| = 1\}$ and $\operatorname{dist}\{0,\sigma_\pi(T)\} = 1$.

Further

$$c(T^kZ,Z) = c(\cdots Y_{k-1}\oplus\boxed{Y_k}\oplus Y_{k+1}\oplus\cdots,\ \cdots Y_0\oplus\boxed{Y_0}\oplus Y_1\oplus\cdots) = a^k.$$

In particular TZ is complemented in Z so that T is left invertible.

Denote $t = \text{dist}\,\{0, \sigma_l(T)\}$ and $U = \{\lambda \in \mathbf{C} : |\lambda| < t\}$. By [1] there exists an analytic function $F : U \to \mathcal{L}(Z)$ such that $F(\lambda)(T-\lambda) = I \quad (\lambda \in U)$. Let

$$F(\lambda) = \sum_{i=0}^{\infty} F_i \lambda^i \quad (\lambda \in U)$$

be the Taylor expansion of F. Since $F(\lambda)(T-\lambda) = I$ we have $F_0 T = I, F_i T = F_{i-1} \quad (i \geq 1)$ so that $F_i T^{i+1} = I \quad (i = 0, 1, \ldots)$. It is easy to check that $T^{i+1} F_i$ is a projection onto $T^{i+1} Z$. Thus

$$a^i = c(T^i Z, Z) \leq \|T^i F_{i-1}\| = \|F_{i-1}\|$$

so that the radius of convergence of the function $F(\lambda) = \sum_{i=0}^{\infty} F_i \lambda^i$ is

$$t = \left(\limsup_{i \to \infty} \|F_i\|^{1/i}\right)^{-1} \leq a^{-1} < 1.$$

Hence $0 < \text{dist}\,\{0, \sigma_l(T)\} < \text{dist}\,\{0, \sigma_\pi(T)\}$.

Corollary 5. In general $\partial \sigma_l(T) \not\subset \sigma_\pi(T)$.

Remark 6. An operator $T \in \mathcal{L}(X)$ is called semiregular if T has closed range and $\ker(T) \subset \bigcap_{n \geq 0} T^n X$. A semiregular operator with a generalized inverse (i.e, with $\ker(T)$ and the range TX complemented) is called regular. Semiregular and regular operators have been studied by many authors, see e.g. [4], [6], [7], [8], [9], [10].

Denote by $\sigma_{sr}(T) = \{\lambda : T - \lambda \text{ is not semiregular}\}$ and $\sigma_{reg}(T) = \{\lambda : T - \lambda \text{ is not regular}\}$ the corresponding spectra. The sets $\sigma_{sr}(T)$ and $\sigma_{reg}(T)$ are nonempty compact sets and $\partial \sigma(T) \subset \sigma_{sr}(T) \subset \sigma_{reg}(T) \subset \sigma(T)$.

The previous example shows that in general $\partial \sigma_{reg}(T) \not\subset \sigma_{sr}(T)$. Indeed, let T be the operator constructed in Theorem 4. For $|\lambda| < 1$ the operator $T - \lambda$ is bounded below and so semiregular. Further T has a left inverse so that it is regular. On the other hand there exists $\mu \in \mathbf{C}$ with $|\mu| = a^{-1} < 1$ such that $T - \mu$ is not left invertible. This means that the range of $T - \mu$ is not complemented and so $T - \mu$ is not regular. Hence $\text{dist}\,\{0, \sigma_{sr}\} > \text{dist}\,\{0, \sigma_{reg}\} > 0$ and $\partial \sigma_{reg}(T) \not\subset \sigma_{sr}(T)$. This gives a negative answer to Question 1 of [11] (note that by [5], $\text{dist}\,\{0, \sigma_{sr}(T)\} = \lim \gamma(T^n)^{1/n}$ where γ denotes the Kato reduced minimum modulus).

Remark 7. Let A be a unital Banach algebra and $a \in A$. Denote by

$$\sigma_l(a) = \{\lambda : A(a - \lambda) \not\ni 1\}$$

and

$$\tau_l(a) = \Big\{\lambda : \inf\{\|(a-\lambda)x\| : x \in A, \|x\| = 1\} = 0\Big\}$$

the left spectrum and the left approximate point spectrum of a, respectively. The right spectrum σ_r and the right approximate point spectrum τ_r can be defined analogously. For the algebra $\mathcal{L}(X)$ of operators in a Banach space X, τ_l coincides with σ_π and τ_r

coincides with σ_δ. Thus in general $\partial\sigma_l(a)\not\subset\tau_l(a)$ and $\partial\sigma_r(a)\not\subset\tau_r(a)$. In fact, it is much simpler to construct the corresponding example in the context of Banach algebras:

Let A be the Banach space of all formal power series $u=\sum_{i,j=0}^\infty \alpha_{ij}a^ib^j$ in two variables a,b with complex coefficients α_{ij} such that

$$\|u\|=\sum_{i,j=0}^\infty |\alpha_{ij}|2^i<\infty.$$

The algebra multiplication in A is determined uniquely by setting $ba=1_A$ so that

$$(a^ib^j)\cdot(a^kb^l)=\begin{cases} a^{i+k-j}b^l & (k\ge j),\\ a^ib^{l+j-k} & (k<j).\end{cases}$$

With this multiplication A becomes a unital Banach algebra.

Clearly $\|a\|=2$, $\|b\|=1$ and a is left invertible since $ba=1$. Further $\|ax\|=2\|x\|$ for every $x\in A$ so that $\operatorname{dist}\{0,\tau_l(a)\}=2$.

We show that $\operatorname{dist}\{0,\sigma_l(a)\}=1$. Since $ba=1$ and $\|b\|=1$ it is easy to check that $\operatorname{dist}\{0,\sigma_l(a)\}\ge 1$. On the other hand we show that $a-1$ is not left invertible. Suppose on the contrary that

$$\Big(\sum_{i,j=0}^\infty \alpha_{ij}a^ib^j\Big)(a-1)=1 \tag{3}$$

for some α_{ij} with $\sum|\alpha_{ij}|2^i<\infty$. This means

$$1=\sum_{i,j=0}^\infty a^ib^j(\alpha_{i,j+1}-\alpha_{ij})$$

so that $\alpha_{i,j+1}=\alpha_{ij}$ if either i or j is nonzero. Since $\sum_{i,j}|\alpha_{ij}|2^i<\infty$ we conclude that $\alpha_{ij}=0$ for $(i,j)\ne(0,0)$. This leads to a contradiction with (3).

On the other hand, the following "mixed" result can be proved in a standard way:

Theorem 8. Let a be an element of a unital Banach algebra A. Then $\partial\sigma_l(a)\subset\tau_r(a)$ and $\partial\sigma_r(a)\subset\tau_l(a)$.

Proof. Let $\lambda\in\partial\sigma_l(a)$, let $\lambda_n\notin\sigma_l(a)$ and $\lambda_n\to\lambda$. Then $b_n(a-\lambda_n)=1$ for some $b_n\in A$. We distinguish two cases:

(a) Suppose $\sup\|b_n\|=\infty$. Then $c_n=\frac{b_n}{\|b_n\|}$ satisfies $\|c_n\|=1$ and

$$\|c_n(a-\lambda)\|=\frac{\|b_n(a-\lambda)\|}{\|b_n\|}\le\frac{\|b_n(a-\lambda_n)\|}{\|b_n\|}+\frac{\|b_n(\lambda_n-\lambda)\|}{\|b_n\|}\le\frac{1}{\|b_n\|}+|\lambda_n-\lambda|\to 0$$

so that $\lambda\in\tau_r(a)$.

(b) Suppose $\sup\|b_n\|<\infty$. Then

$$b_n(a-\lambda)=b_n(a-\lambda_n)+b_n(\lambda_n-\lambda)=1+b_n(\lambda_n-\lambda)$$

and $b_n(\lambda_n - \lambda) \to 0$ so that $b_n(a-\lambda)$ is invertible for n big enough. Thus $a-\lambda$ has a left inverse, a contradiction with the assumption $\lambda \in \partial\sigma_l(a) \subset \sigma_l(a)$.

Corollary 9. Let a be a left invertible element of a unital Banach algebra A. Then

$$\text{dist}\,\{0, \sigma_r(a)\} \le \text{dist}\,\{0, \tau_r(a)\} \le \text{dist}\,\{0, \sigma_l(a)\} \le \text{dist}\,\{0, \tau_l(a)\}.$$

If a has a right inverse then

$$\text{dist}\,\{0, \sigma_l(a)\} \le \text{dist}\,\{0, \tau_l(a)\} \le \text{dist}\,\{0, \sigma_r(a)\} \le \text{dist}\,\{0, \tau_r(a)\}.$$

(if a is invertible then all these four numbers are equal).

Added in proofs. As another example of an operator T with $\partial\sigma_l(T) \not\subset \sigma_\pi(T)$ may serve the operator constructed by A. Pietsch, Zur Theorie der σ-Transformationen in lokalconvexen Vektorräumen, Math. Nachr. 21 (1960), 347-369, see p. 367-368. This operator is bounded below but not left invertible. Further (see L. Burlando, Continuity of spectrum and spectral radius in algebras of operators, Ann. Fac. Sci. Toulouse 9 (1988), 5–54, Example 1.11), $T-\lambda$ is left invertible for all λ in a punctured neighbourhood of 0.

The author is indebted to L. Burlando for drawing his attention to the above cited papers.

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