

Let H be Hilbert space (over \mathbb{C}), $T \in B(H)$

Def. T is similar to a contraction: $\exists S, C \in B(H)$
 S invertible, C contraction, st. $T = S^{-1}CS$.

T is power bounded: $\sup_{n \geq 0} \|T^n\| < \infty$.

T is polynomially bounded: $\exists K$ st.

$$\forall p \in \mathcal{P}: \|p(T)\| \leq K \|p\|_{\infty}, \text{ where}$$

$$\mathcal{P} = \{z \mapsto c_0 + c_1 z + \dots + c_n z^n : \mathbb{D} \rightarrow \mathbb{C}, c_0, \dots, c_n \in \mathbb{C}\}$$

$$\|p\|_{\infty} = \sup_{z \in \mathbb{D}} |p(z)|$$

\mathbb{D} open unit disk in \mathbb{C} .

Note: polyn. bdd \Rightarrow power bdd.

$$\text{If } T = S^{-1}CS, \text{ then } T^n = S^{-1}C^nS,$$
$$\|T^n\| \leq \|S^{-1}\| \|C^n\| \|S\| = \|S^{-1}\| \|S\|$$

So T is power bdd

Question (Bela Nagy): T power bdd $\Rightarrow T$ similar to contraction?

Foget (1969): No.

Van Neumann inequality: $\|p(C)\| \leq \|p\|_{\infty}$
So $\|p(T)\| = \|S^{-1}p(C)S\| \leq \|S^{-1}\| \|S\| \|p\|_{\infty}$
So T is polyn. bdd.

Conjecture (Halmos, 1970): T power bdd $\Rightarrow T$ similar to a contraction.

Pisier (1997): No.

Recall Thm 9.11: T similar to contraction
 $\Leftrightarrow p \mapsto p(T)$ is completely bounded.

Th. 10.1 Let $T \in B(H)$ be compact. Then:

T similar to contraction $\Leftrightarrow T$ is power bdd.

Prf \Rightarrow clear.

\Leftarrow $M = \sup_n \|T^n\|$. Then spectral radius
 $r(T) = \lim_{n \rightarrow \infty} \|T^n\|^{1/n} \leq \lim_{n \rightarrow \infty} M^{1/n} = 1$

so $\sigma(T) \subseteq \overline{\mathbb{D}}$ and as T is compact
 $\sigma(T) \cap \mathbb{T}$ is finite

$\{z \in \mathbb{C} : |z|=1\}$.

$\sigma(T) \cap \mathbb{T}$ and $\sigma(T) \setminus \mathbb{T}$ are closed in $\sigma(T)$.

Then \exists idempotent E st. $ET=TE$ and

$\sigma(ET|_{E(H)}) = \sigma(T) \cap \mathbb{T}$, $\sigma((I-E)T|_{(I-E)(H)}) = \sigma(T) \setminus \mathbb{T}$

Consequence (Halmos, 1977): T power bdd $\Rightarrow T$ similar to a

$$\leadsto S^{-1}TS = T_1 \oplus T_2, \quad T_1: E(\#) \rightarrow E(\#)$$

T is power bdd $\Rightarrow S^{-1}TS$ power bdd $\xrightarrow{\text{finite dim.}} T_1$ power bdd.

Let $J = \begin{bmatrix} \lambda & 1 & 0 \\ & \ddots & \ddots \\ 0 & & \lambda \end{bmatrix}$ be a Jordan block of T_1 .

Then $J^n = \begin{bmatrix} \lambda^n & n\lambda^{n-1} & & \\ & \ddots & \ddots & \\ & & \lambda^n & \\ & & & \lambda^n \end{bmatrix}, \quad |\lambda| = 1, \text{ so mult } 1 \times 1.$

So T_1 is similar to a contraction.

Th. 10.1 Let $T \in B(H)$ be compact. Then:

We have $\sigma(T_2) \subseteq \mathbb{D}$

By Rota's thm (Cor. 9.14): T_2 is similar to a contraction. Hence T similar to a contraction. \square

Foget-Hankel operators

$$\ell^2(H) = \{ (h_0, h_1, h_2, \dots) : h_k \in H, \sum_{k=0}^{\infty} \|h_k\|^2 < \infty \}$$

$$S := S_H : \ell^2(H) \rightarrow \ell^2(H),$$

$$S(h_0, h_1, \dots) = (0, h_0, h_1, \dots) \quad \text{right shift}$$

and

$$S^*(h_0, h_1, \dots) = (h_1, h_2, \dots) \quad \text{left shift}$$

Def For $X = (A_{ij})_{i,j \geq 0}$ with $A_{ij} \in B(H)$, the operator $F = \begin{pmatrix} S^* & X \\ 0 & S \end{pmatrix}$ on $\ell^2(H) \oplus \ell^2(H)$ is called

a Foguel operator over H with symbol X .

If $\forall i,j \quad A_{ij} = A_{i+j} := A_{i+j,0}$ for all the $X = (A_{i+j})_{i,j}$ is Hankel operator and

F is a Foguel-Hankel operator.

Rem: $X = (A_{ij})_{i,j}$ Hankel \Rightarrow

$$S^*X = \begin{pmatrix} 0 & I & 0 & \dots \\ 0 & 0 & I & \dots \\ & & & \ddots \end{pmatrix} \begin{pmatrix} A_0 & A_1 & A_2 & \dots \\ A_1 & A_2 & A_3 & \dots \\ A_2 & A_3 & \dots & \dots \end{pmatrix} = \begin{pmatrix} A_1 & A_2 & \dots \\ A_2 & A_3 & \dots \\ \dots & \dots & \dots \end{pmatrix}$$

$$XS = \begin{pmatrix} 0 & 0 & 0 & \dots \\ I & 0 & 0 & \dots \\ 0 & I & 0 & \dots \\ & & & \ddots \end{pmatrix} \begin{pmatrix} A_0 & A_1 & A_2 & \dots \\ A_1 & A_2 & A_3 & \dots \\ A_2 & A_3 & \dots & \dots \end{pmatrix} = \begin{pmatrix} A_1 & A_2 & \dots \\ A_2 & A_3 & \dots \\ \dots & \dots & \dots \end{pmatrix}$$

So $S^*X = XS = (A_{i+j+1})_{i,j \geq 0}$.

So $S^{*j}X = XS^j$

Note $F^2 = \begin{pmatrix} S^* & X \\ 0 & S \end{pmatrix} \begin{pmatrix} S^* & X \\ 0 & S \end{pmatrix} = \begin{pmatrix} S^{*2} & S^*X + XS \\ 0 & S^2 \end{pmatrix}$

Def For $X = (A_{ij})_{i,j \geq 0}$ with $A_{ij} \in B(H)$, the operator $F = S^* X$ on $\ell^2(H) \oplus \ell^2(H)$ is called

$$F^n = \begin{pmatrix} S^{*n} & X_n \\ 0 & S^n \end{pmatrix}, \quad X_n = \sum_{j=0}^{n-1} S^{*j} X S^{n-1-j}$$

Hence $X_n = \sum_{j=0}^{n-1} X S^j S^{n-1-j} = n X S^{n-1}$

Rem $\|S^{*n}\| = \|S^n\| = 1$
 So F power bdd $\iff \sup_{n \geq 0} \|X_n\| < \infty$

$\delta: \mathcal{P} \rightarrow B(\ell^2(H))$
 $\delta(c_0 + c_1 z + \dots + c_n z^n) = c_0 X_0 + c_1 X_1 + \dots + c_n X_n$
 δ is linear.

Rem $X = (A_{ij})_{i,j}$ Hankel \implies

Rem $X = (A_{i+j})_{i,j \geq 0}$ Hankel

$$\implies X_n = n(A_{i+j+n-1})_{i,j \geq 0}$$

$$\implies \delta(p)_{ij} = c_1 A_{i+j} + c_2 2A_{i+j+1} + c_3 3A_{i+j+2} + \dots + c_n n A_{i+j+n-1}$$

Rem $F^n = \begin{pmatrix} X p'(S) \\ 0 \end{pmatrix}_{i,j \geq 0}$ is Hankel

By von Neumann inequality: $(S \text{ is contraction}) \implies \|p(S)\| \leq \|p\|_\infty$

So F poly bdd $\iff \exists M: \|\delta(p)\| \leq M \|p\|_\infty$
 i.e. δ is bdd linear

Prop. F completely poly. bdd $\Leftrightarrow \delta: \mathcal{D} \rightarrow \mathcal{B}(A^2(1))$ completely bdd.

Def. $\rho: \mathcal{D} \rightarrow \mathcal{B}(H)$ given by $\rho(p) = p(F)$ is completely bdd i.e.

$$\forall n \rho_n \begin{pmatrix} p_{11} & \dots & p_{1n} \\ \vdots & & \vdots \\ p_{n1} & \dots & p_{nn} \end{pmatrix} = \begin{pmatrix} \rho(p_{11}) & \dots & \rho(p_{1n}) \\ \vdots & & \vdots \\ \rho(p_{n1}) & \dots & \rho(p_{nn}) \end{pmatrix}$$

$$\Leftrightarrow \forall n \begin{pmatrix} p_{11} & \dots & p_{1n} \\ \vdots & & \vdots \\ p_{n1} & \dots & p_{nn} \end{pmatrix} \xrightarrow{\rho_n: M_n(\mathcal{D}) \rightarrow M_n(\mathcal{B}(H))} \begin{pmatrix} p_{11}(s^*) & \dots & \delta(p_{1n}) \\ \vdots & & \vdots \\ 0 & \dots & p_{nn}(s) \end{pmatrix} \text{ is bdd}$$

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\Leftrightarrow

skitt

(Kop 8 p 97)

$$\begin{pmatrix} p_{11} & \dots & p_{1n} \\ \vdots & & \vdots \\ p_{n1} & \dots & p_{nn} \end{pmatrix} \xrightarrow{\text{is bdd}} \begin{pmatrix} p_{11}(s^*) & \dots & p_{1n}(s^*) & \delta(p_{1n}) & \delta(p_{1n}) \\ \vdots & & \vdots & & \vdots \\ p_{n1}(s^*) & \dots & p_{nn}(s^*) & \delta(p_{n1}) & \delta(p_{n1}) \\ 0 & \dots & 0 & p_{11}(s) & \vdots \\ \vdots & & \vdots & \vdots & \vdots \end{pmatrix}$$

s^*, s are (similar to centr.) soly. Th 9.11

$p \mapsto p(s^*)$, $p \mapsto p(s)$ are completely bdd

$$\Leftrightarrow \begin{pmatrix} p_{11} & \dots & p_{1n} \\ \vdots & & \vdots \\ p_{n1} & \dots & p_{nn} \end{pmatrix} \xrightarrow{\text{is bdd}} \begin{pmatrix} \delta(p_{11}) & \dots & \delta(p_{1n}) \\ \vdots & & \vdots \\ \delta(p_{n1}) & \dots & \delta(p_{nn}) \end{pmatrix} \text{ is bdd} \Leftrightarrow \delta \text{ completely bdd}$$

Rec. $\delta(pq) = p(s^*)\delta(q) + \delta(p)q(s)$

Prf $(Pq)(F) = \begin{pmatrix} pq(s^*) & \delta(pq) \\ 0 & p\bar{q}(s) \end{pmatrix}$

also $= p(F)q(F) = \begin{pmatrix} p(s^*) & \delta(p) \\ 0 & p(s) \end{pmatrix} \begin{pmatrix} q(s^*) & \delta(q) \\ 0 & \bar{q}(s) \end{pmatrix}$

$= \begin{pmatrix} * & p(s^*)\delta(q) + \delta(p)q(s) \\ 0 & * \end{pmatrix}$

□

Prop. Let H, K Hilbert spaces, $\Phi: B(H) \rightarrow B(K)$

$(A_i \in B(H) \text{ st } A = (A_{i+j})_{i,j \geq 0} \text{ is bdd lin. op on } \mathcal{F}(H))$

Then $A_\Phi = (\Phi(A_{i+j}))_{i,j \geq 0}$ is bdd lin.

Hankel operator and $\|A_\Phi\| \leq \|\Phi\| \|A\|$.

Prf By Nehari-Pag Thm (Th 5.10):

$\exists \text{ seq } (A_n)_{n=-\infty}^{-1}$ st.

$\|A\| = \sup_{n \leq -1} \left\| \sum_{k=-\infty}^{\infty} r^{|k|} e^{in\theta} A_n \right\|_{\infty}$
 sup over $\theta \in \mathbb{T}$.

By Mehari - P. 23 Thm again,

$$\|A_{\Phi}\| = \inf_{(B_n)_{n=-\infty}^{\infty} \text{ in } B(K)} \sup_{r < 1} \left\| \sum_{k=-\infty}^{-1} r^{k+1} e^{i\theta} B_n + \sum_{n=0}^{\infty} r^{n+1} e^{i\theta} \Phi(A_n) \right\|_{\infty}$$

$$\leq \|\Phi\| \left(\sum_{k=0}^{\infty} r^{k+1} \right) \leq \|\Phi\| \|A\|$$

Take $B_n = 0$

$$\leq \|\Phi\| \left(\sum_{k=0}^{\infty} r^{k+1} \right) \leq \|\Phi\| \|A\| \quad \square$$

Prop 10.4

$\Phi: B(H) \rightarrow B(K)$ bdd lin.

$X = (A_{i+j})_{i,j \geq 0}$ bdd lin on $\ell^2(H)$

$$F = \begin{pmatrix} S_H^* & X \\ 0 & S_H \end{pmatrix}, \quad F_{\Phi} = \begin{pmatrix} S_K^* & \Phi(X) \\ 0 & S_K \end{pmatrix} = (\Phi(A_{i+j}))_{i,j \geq 0}$$

Then (i) F power bdd $\Rightarrow F_{\Phi}$ power bdd

(ii) F poly bdd $\Rightarrow F_{\Phi}$ poly bdd.

Prf of (ii): By earlier Remarks.

F poly bdd $\Leftrightarrow \delta: \lambda \mapsto B(\ell^2(H))$ is bdd

$$\delta(p) = X p'(S_H)$$

$$\delta_{\Phi}(p) = X_{\Phi} p'(S_K)$$

Then $\delta(p) = \overbrace{X p'(S_H)}^{\text{is bounded}} = (B_{i+j})_{i,j \geq 0}$

(then $\delta_{\Phi}(p) = (\Phi(B_{i+j}))_{i,j \geq 0}$).

So $\| \delta_{\Phi}(p) \| \stackrel{\text{Prop 10.3}}{\leq} \| \Phi \| \| (B_{i+j})_{i,j \geq 0} \|$
 $= \| \Phi \| \| \delta(p) \| \leq \| \Phi \| M \| p \|_{\infty}$
 So δ_{Φ} is bdd so F_{Φ} is polyn. bdd.

Pisier's example

$V_i = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$, $C = \begin{pmatrix} 0 & 0 \\ 1 & 0 \end{pmatrix}$, $I_2 = \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}$

For $n \geq 1$ define

$1 \leq i \leq n-1$: $C_{i,n} = V_i^{\otimes i} \otimes C \otimes I_2^{\otimes (n-i)}$
 $\in \underbrace{M_2 \otimes \dots \otimes M_2}_n$
 $\cong M_{2^n}$
 $i \geq n$: $C_{i,n} = 0$.

Then $C_{i,n}^* C_{i,n} + C_{i,n} C_{i,n}^* = I_{2^n}$ for $i < n$
 and

$\sum_{i=0}^n p_i \leq \| \sum_{i=0}^n a_i C_{i,n} \otimes C_{i,n} \| \leq \sum_{i=0}^n |a_i|$

for all $a_0, \dots, a_n \in \mathbb{C}$.

(consider

$\bigoplus_{n=1}^{\infty} \mathbb{C}^n$
 \uparrow Hilbert direct sum

and define

$W_i = \bigoplus_{n=1}^{\infty} C_{i,n}$ i.e. $W_i \begin{pmatrix} v_1 \\ \vdots \\ v_i \end{pmatrix} = \begin{pmatrix} C_{i,n} v_1 \\ \vdots \\ C_{i,n} v_i \end{pmatrix}$
 eventually 0

$\| A_{\Phi} \| = \inf_{\| p \|_{\infty} \leq 1} \sup_{\| x \| = 1} \| \sum_{k=1}^n r_k e^{i \theta_k} B_n \|$

(ii) F polyn bdd $\Rightarrow F_{\Phi}$ polyn bdd

Then W_i bdd lin and

$$(a) \quad \left\| \sum_{i=0}^{\infty} a_i W_i \right\|^2 = \sum_{i=0}^{\infty} |a_i|^2$$

$$(b) \quad \frac{1}{2} \sum_{i=0}^{n-1} |a_i|^2 \leq \left\| \sum_{i=0}^{n-1} a_i C_{i,n} \otimes W_i \right\|^2 \leq \sum_{i=0}^{n-1} |a_i|^2$$

$$(c) \quad W_i W_j + W_j W_i = 0$$

$$(d) \quad W_i W_j^* + W_j^* W_i = \delta_{ij} (I - P_i) \text{ when } P_i \text{ is some } \text{op projection in } \oplus \mathbb{C}^2 \text{ of finite rank.}$$

Th 10.5 (Pittis) Let $(a_n)_{n=0}^{\infty}$ in \mathbb{F} ,
 $H = \oplus_{n=1}^{\infty} \mathbb{C}^{2^n}$, $X = (a_{ij} W_{ij})_{i,j \geq 0}$
 and $F = \begin{pmatrix} S^* & X \\ 0 & S \end{pmatrix}$ on $\ell^2(\mathbb{N})$

TFAE:

- (i) F is poly bdd
- (ii) F is power bdd
- (iii) $\sup_n n \sum_{k=n-1}^{\infty} |a_k|^2 < \infty$

If $\sum_{k=0}^{\infty} (k+1)^2 |a_k|^2 = \infty$ then F is not similar to a contraction.

Then W_i bdd lin and
 (a) $\| \sum a_i W_i \|^2 = \sum |a_i|^2$

Pf. (i) \Rightarrow (ii) clear.

(ii) \Rightarrow (iii) $X_n = n \times s^{n-1}$ Then

F power bdd $\Leftrightarrow \sup_n \|X_n\| < \infty$

$$X_n = n \times s^{n-1} = \left(n a_{i+jn-1} W_{i+jn-1} \right)_{i,j \geq 0}$$

$$X_n^* X_n + X_n X_n^* = \left(n^2 \sum_{k=0}^{\infty} \overline{a_{i+kn-1}} a_{j+kn-1} \begin{pmatrix} W_{i+kn-1}^* & W_{i+kn-1} \\ W_{i+kn-1} & W_{j+kn-1}^* \end{pmatrix} \right)_{i,j}$$

By (c), this is diagonal matrix.

$$\text{So } \|X_n^* X_n + X_n X_n^*\| = \text{norm of entry }_{00} =$$

Th 10.5 (Pisier) let $(a_n)_{n=0}^{\infty}$ in \mathbb{C} ,

$$\begin{aligned} &= n^2 \left\| \sum_{k=0}^{n-1} |a_{k+n-1}|^2 \left(V_{k+n-1}^* V_{k+n-1} + W_{k+n-1} V_{k+n-1}^* \right) \right\| \\ &= \sup_n n^2 \left\| \sum_{k=0}^{n-1} |a_{k+n-1}|^2 \left(C_{k+n-1, n}^* C_{k+n-1, n} + C_{k+n-1, n} C_{k+n-1, n}^* \right) \right\| \\ &= n^2 \sum_{k=0}^{n-1} |a_{k+n-1}|^2 \end{aligned}$$

Hence $\sup_n n^2 \sum_{k=0}^{n-1} |a_{k+n-1}|^2 = \sup_n \|X_n^* X_n + X_n X_n^*\| \leq \sup_n 2 \|X_n\|^2 < \infty$

(ii) \Rightarrow (i) Define $\Phi: \mathcal{B}(\ell^2) \rightarrow \mathcal{B}(H)$
 $\Phi((a_{ij})_{i,j \geq 0}) = \sum_{i=0}^{\infty} a_{i,0} w_i$

Then

$$\|\Phi((a_{ij})_{i,j \geq 0})\|^2 = \left\| \sum_{i=0}^{\infty} a_{i,0} v_i \right\|^2 \stackrel{(\ast)}{=} \sum_{i=0}^{\infty} |a_{i,0}|^2$$

$$\text{so } \|\Phi\| \leq 1. \quad \leq \|(a_{ij})_{i,j}\|_{\infty}$$

As $\sup_n \sum_{k=0}^{\infty} |a_{k+n-1}|^2 < \infty$, Th 10.2 yields that

$(a_{ij} E_{i+j})_{i,j \geq 0}$ is polyn bdd sub, Prop 10.4

$(a_{ij} \Phi(E_{i+j}))_{i,j \geq 0}$ is polyn bdd. and $\Phi(E_{i+j}) = w_{i+j}$

Th 10.5 (P11.1) Let $(a_n)_{n=0}^{\infty}$ in \mathbb{C} .

$H = \bigoplus_{n=0}^{\infty} \mathbb{C}^2$, $X = (a_{i+j} w_{i+j})_{i,j \geq 0}$

and $F = \begin{pmatrix} S^* & X \\ 0 & S \end{pmatrix}$ on $\ell^2(H)$

TFAE:

(i) F is polyn bdd

(ii) F is power bdd

(iii) $\sup_n \sum_{k=n-1}^{\infty} |a_k|^2 < \infty$

If $\sum_{k=0}^{\infty} (k+1)^2 |a_k|^2 = \infty$ then F is not similar to a contraction.

Assume $\sum_{k=1}^{\infty} (k+1)^2 |a_k|^2 = \infty$.

We show $\delta: \mathcal{D} \rightarrow B(\ell^2(\mathbb{N}))$ not compactly bounded
 then F not compl. polyn. bdd.

The b_j Th 7.11 F is not similar to a

$$\delta(z^n) = X_n = \begin{pmatrix} n a_{(i+j)+n-1} w_{(i+j+n-1)} & & \\ & \ddots & \\ & & a_{i+j} w_{i+j} \end{pmatrix}_{i,j \geq 0}$$

So $(\delta(z^n))_{00} = n a_{n-1} w_{n-1}$

Suffices: $\delta_0: \mathcal{D} \rightarrow B(\mathbb{N})$ $\delta_0(c_0 + c_1 z + \dots + c_n z^n)$
 $= c_0 a_0 w_0 + \dots + c_n a_{n-1} w_{n-1}$
 is not compl. bdd.

Then $\|\Phi((a_i)_{i \geq 0})\|^2 = \|\sum_{i=0}^{\infty} a_i v_i\|^2 = \sum_{i=0}^{\infty} |a_i|^2$

Take $p(z) = \sum_{i=0}^n (i+1) \bar{a}_i C_{i,n} z^{i+1}$ Fix a matrix valued polyn.

Then $\delta_0^{(n)}(p) = \sum_{i=0}^n (i+1)^2 |a_i|^2 C_{i,n} \otimes W_{i+1}$

So $\|\delta_0^{(n)}(p)\| \geq \| \dots \|$

$$\geq \frac{1}{2} \sum_{i=0}^n (i+1)^2 |a_i|^2$$

$$= \frac{1}{2} \left(\sum_{i=0}^n (i+1)^2 |a_i|^2 \right)^{1/2} \|p\|_{\infty}$$

So $\|\delta_0\|_{cb} \geq \frac{1}{2} \left(\sum_{i=0}^n (i+1)^2 |a_i|^2 \right)^{1/2} \uparrow \infty$ as $n \rightarrow \infty$

and $F = (S^* \quad I)$

Now take $a_i = \begin{cases} 2^{-k} & \text{if } i=2^k, \\ 0 & \text{otherwise} \end{cases}$

or $a_i = \frac{1}{(i+1)^{3/2}}$

Then T is poly bdd but not similar to a contraction!

so $\| \Phi \| \leq 1$. $\leq \| (a_{ij})_{i,j} \|$

As $\sup_n \sum_{k=0}^{\infty} |a_{k+n}|^2 < \infty$, Th 10.2 yields that

Th 10.5 (Pisier) Let $(a_n)_{n \geq 0}$ in \mathbb{C} .

$H = \bigoplus_{n=0}^{\infty} \mathbb{C} z^n$, $X := (a_{i+j} W_{i+j})_{i,j \geq 0}$

and $F = \begin{pmatrix} S^* & X \\ 0 & S \end{pmatrix}$ on $\ell^2(H)$

TFAE:

- (i) F is poly bdd
- (ii) F is power bdd
- (iii) $\sup_n \sum_{k=0}^{\infty} |a_{k+n}|^2 < \infty$

$\sum_{k=0}^{\infty} \frac{1}{(k+1)^2} a_k \in \mathbb{C}$ z^{k+1} z^{k+1} basis