# Generalized finite operators and orthogonality

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(Received November 7, 2009; Revised April 9, 2011)

**Abstract.** In this paper we prove that a spectraloid operator is finite, we present some generalized finite operators and we give a new class of finite operators. Also, the orthogonality of some operators is studied.

AMS 2010 Mathematics Subject Classification. 47B47, 47A30, 47A12

Key words and phrases. Finite operator, orthogonality, numerical range.

## §1. Introduction

Let H be a separable infinite dimensional complex Hilbert space, and let  $\mathcal{L}(H)$  denote the algebra of all bounded linear operators on H. For  $A, B \in \mathcal{L}(H)$ , the generalized derivation  $\delta_{A,B} : \mathcal{L}(H) \to \mathcal{L}(H)$  is defined by

$$\delta_{A,B}(X) = AX - XB.$$

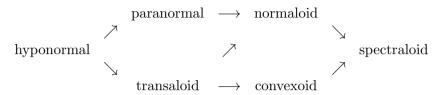
We denote  $\delta_{A,A}$  by  $\delta_A$ . Let E be a complex Banach space. We say [1] that  $b \in E$  is orthogonal to  $a \in E$  if for all complex  $\lambda$  there holds  $||a + \lambda b|| \ge ||a||$ . An operator  $A \in \mathcal{L}(H)$  is called *finite* by J. P. Williams [12] if  $||AX - XA - I|| \ge 1$  for all  $X \in \mathcal{L}(H)$ , i.e. the range of  $\delta_A$  is orthogonal to the identity operator. The pair  $(A, B) \in \mathcal{L}(H) \times \mathcal{L}(H)$  is said to be generalized finite operators [7] if  $||AX - XB - I|| \ge 1$  for all  $X \in \mathcal{L}(H)$ .  $\mathcal{F}(H)$  and  $\mathcal{GF}(H)$  denote the class of finite operators and the class of generalized finite operators respectively.

For  $A \in \mathcal{L}(H)$  the set  $W(A) = \{(Ax, x) : x \in H \text{ and } ||x|| = 1\}$  is called the numerical range of A.

In the following we will denote the spectrum, the point spectrum, the approximate spectrum and the approximate reducing spectrum of  $A \in \mathcal{L}(H)$  by  $\sigma(A)$ ,  $\sigma_p(A)$ ,  $\sigma_a(A)$  and  $\sigma_{ar}(A)$  respectively.

An operator  $A \in \mathcal{L}(H)$  is said to be spectraloid if  $\omega(A) = r(A)$ , where r(A) (resp.  $\omega(A)$ ) is the spectral radius (resp. numerical radius) of A, convexoid

if  $\overline{W\left(A\right)}=co\sigma\left(A\right)$ , where  $co\sigma\left(A\right)$  is the convex hull of  $\sigma\left(A\right)$ , and transaloid if  $r\left(\left(A-\lambda I\right)^{-1}\right)=\left\|\left(A-\lambda I\right)^{-1}\right\|$  for all  $\lambda\notin\sigma\left(A\right)$ . We have the following inclusions:



A bounded linear operator A is in the class  $\mathcal{Y}_{\alpha}$  for certain  $\alpha \geq 1$  if there exists a positive number  $k_{\alpha}$  such that

$$|AA^* - A^*A|^{\alpha} \le k_{\alpha}^2 \left( (A - \lambda I)^* (A - \lambda I) \right), \text{ for all } \lambda \in \mathbb{C}.$$

It is known that  $\mathcal{Y}_{\alpha} \subseteq \mathcal{Y}_{\beta}$  for each  $\alpha, \beta$  such as  $1 \leq \alpha \leq \beta$  [11], where  $\mathcal{Y} = \bigcup_{\alpha \geq 1} \mathcal{Y}_{\alpha}$ .

In this paper we prove that a spectraloid operator is finite and that the operator of the form A + K is also finite, where A is convexoid and K is compact. We present some generalized finite operators and we give a new class of finite operators. Also we study the orthogonality of certain operators.

#### §2. Preliminaries

**Lemma 1.** Let  $A \in \mathcal{L}(H)$ . If  $\sigma_{ar}(A)$  is not empty, then A is finite.

*Proof.* Let  $\lambda \in \sigma_{ar}(A)$  and  $\{x_n\}$  be a normalized sequence such that  $(A - \lambda I)x_n \longrightarrow 0$  and  $(A - \lambda I)^*x_n \longrightarrow 0$ . If  $X \in \mathcal{L}(H)$ , then we have

$$\begin{aligned} \|AX - XA - I\| &= \|(A - \lambda I) X - X (A - \lambda I) - I\| \\ &\geq |\langle (A - \lambda I) X x_n, x_n \rangle - \langle X (A - \lambda I) x_n, x_n \rangle - 1| \,. \end{aligned}$$

Letting 
$$n \longrightarrow \infty$$
, we obtain  $||AX - XA - I|| \ge 1$ .

**Lemma 2.** Let  $A \in \mathcal{L}(H)$ . If  $\Re A \geq 0$ , then  $\sigma_a(A) \subset \sigma_{ar}(A)$ .

*Proof.* For  $\lambda \in \sigma_a(A)$ , there exists a sequence  $\{x_n\}$  such that  $(A - \lambda I) x_n \longrightarrow 0$ , and then

$$B = \mathcal{R}e(A - \lambda I) = \frac{1}{2} \left[ (A - \lambda I) + (A - \lambda I)^* \right]$$

satisfies  $\langle Bx_n, x_n \rangle \longrightarrow 0$ . Since  $B \ge 0$ , it results that  $Bx_n \longrightarrow 0$ , i.e,

$$\frac{1}{2}\left[\left(A-\lambda I\right)x_n+\left(A-\lambda I\right)^*x_n\right]\longrightarrow 0.$$

Since 
$$(A - \lambda I) x_n \longrightarrow 0$$
, we have  $(A - \lambda I)^* x_n \longrightarrow 0$ .

**Lemma 3.** For  $A \in \mathcal{L}(H)$ ,  $\partial W(A) \cap \sigma(A) \subset \sigma_{ar}(A)$ .

*Proof.* By the transformation  $A \longmapsto \alpha A + \beta$  the hypothesis  $\lambda \in \partial W(A) \cap \sigma(A)$  can be replaced by  $0 \in \partial W(A) \cap \sigma(A)$  with  $\Re A \geq 0$ . Since  $0 \in \partial \sigma(A) \subset \sigma_a(A)$ , it results from the previous lemmas that  $0 \in \sigma_{ar}(A)$ , hence  $\partial W(A) \cap \sigma(A) \subset \sigma_{ar}(A)$ .

# §3. Main results

**Theorem 1.** Let  $A \in \mathcal{L}(H)$  be convexoid. Then A is finite.

*Proof.* If A is convexoid, then  $\overline{W(A)} = co\sigma(A)$ . Hence  $\partial W(A) \cap \sigma(A) \neq \phi$ . It follows immediately from the previous lemmas that A is finite.

**Remark 1.** It is known that transaloid operators are convexed operators, and then  $\mathcal{F}(H)$  contains all the transaloid operators.

**Theorem 2.** Let  $A \in \mathcal{L}(H)$  be spectraloid. Then A is finite.

<u>Proof.</u> We have  $\omega(A) = r(A)$ . This implies that there exists  $\lambda \in \sigma(A) \subset \overline{W(A)}$  such that  $|\lambda| = \omega(A)$ , hence  $\lambda \in \partial W(A)$ , then  $\partial W(A) \cap \sigma(A) \neq \phi$ , which implies that  $A \in \mathcal{F}(H)$ .

As a consequence of the previous theorem we obtain:

Corollary 1. The following operators are finite.

- (1) Hyponormal operators,
- (2) Transaloid operators,
- (3) Paranormal operators,
- (4) Normaloid operators.

**Lemma 4.** [9] For  $A \in \mathcal{L}(H)$ , the following holds

$$\overline{W\left(A\right)}=\cos\left(A\right)\Longleftrightarrow\forall\lambda\notin\cos\left(A\right):\ \left\|\left(A-\lambda I\right)^{-1}\right\|\leq\left[\operatorname{dist}\left(\lambda,\cos\left(A\right)\right)\right].$$

Hence a convexoid element on a  $C^*$ -algebra A, may be defined as an element  $a \in A$  satisfying

$$\forall \lambda \notin co\sigma(a): \|(a-\lambda e)^{-1}\| \leq [dist(\lambda, co\sigma(a))]^{-1}.$$

**Theorem 3.** Let A be a  $C^*$ -algebra and let a be a convexoid element on A. Then a is finite.

*Proof.* It is known [6, p. 97] that there exist a Hilbert space H and a \*-isometric homomorphism  $\varphi$  ( $\varphi : \mathcal{A} \longrightarrow \mathcal{L}(H)$ ). Then  $\varphi$  (a) is convexoid. Since  $\varphi$  is isometric it results from Theorem 1 that a is finite.

**Corollary 2.** Let  $A \in \mathcal{L}(H)$  be convexoid. Then T = A + K is finite, where K is a compact operator.

*Proof.* Since the Calkin algebra  $\mathcal{L}(H) / \mathcal{K}(H)$  is a  $C^*$ -algebra (where  $\mathcal{K}(H)$  is the set of compact operators),  $[A] = \{A + K : K \in \mathcal{K}(H)\}$  is convexoid. Hence it follows from Theorem 3 [A] is finite and we have, for all  $X \in \mathcal{L}(H)$ 

$$\begin{split} \|TX - XT - I\| &= \|[TX - XT - I]\| \\ &= \|[T][X] - [X][T] - [I]\| \\ &= \|[A][X] - [X][A] - [I]\| \\ &\geq 1. \end{split}$$

**Lemma 5.** For  $A, T \in \mathcal{L}(H)$ , if  $A \in \mathcal{Y}$  and T is a normal operator such as AT = TA, then for all  $\lambda \in \sigma_p(T)$ 

$$||AX - XA - T|| \ge |\lambda|$$
, for all  $X \in \mathcal{L}(H)$ .

*Proof.* Let  $\lambda \in \sigma_p(T)$  and  $M_{\lambda}$  be the eigenspace associated with  $\lambda$ . Since AT = TA, we have  $AT^* = T^*A$  by the Fuglede's theorem [4]. Hence  $M_{\lambda}$  reduces both A and T. According to the decomposition  $H = M_{\lambda} \oplus M_{\lambda}^{\perp}$ , we can write A, T and  $X \in \mathcal{L}(H)$  as follows:

$$A = \begin{bmatrix} A_1 & 0 \\ 0 & A_2 \end{bmatrix}, T = \begin{bmatrix} \lambda & 0 \\ 0 & T_2 \end{bmatrix} \text{ and } X = \begin{bmatrix} X_1 & X_2 \\ X_3 & X_4 \end{bmatrix}.$$

Since the restriction of a class  $\mathcal{Y}$  operator to a reduced subspace is a class  $\mathcal{Y}$  operator and since  $\mathcal{Y} \subset \mathcal{F}(H)$  [2], we have

$$||AX - XA - T|| = \left\| \begin{bmatrix} A_1X_1 - X_1A_1 - \lambda & * \\ * & * \end{bmatrix} \right\|$$

$$\geq ||A_1X_1 - X_1A_1 - \lambda||$$

$$\geq ||\lambda|| \left\| A_1(\frac{X_1}{\lambda}) - (\frac{X_1}{\lambda})A_1 - I \right\|$$

$$\geq ||\lambda||.$$

In the sequel, we need the Berberian technique, and it allows us to construct a Hilbert space which contains a given Hilbert space H on which we could speak about "approached eigenvectors" and those as regarded as eigenvectors.

**Proposition 1** (Berberian technique). Let H be a complex Hilbert space, then there exist a Hilbert space  $\widehat{H} \supset H$  and an \*-isometric homomorphism  $\varphi : \mathcal{L}(H) \longrightarrow \mathcal{L}(\widehat{H}) \ (A \longmapsto \widehat{A})$  preserving the order, i.e. for all  $A, B \in \mathcal{L}(H)$  and for all  $\alpha, \beta \in \mathbb{C}$  we have:

- $(1) \widehat{A}^* = \widehat{A}^*,$
- (2)  $\widehat{I} = I$ ,

(3) 
$$\alpha \widehat{A + \beta} B = \alpha \widehat{A} + \varphi \widehat{B}$$
,

$$(4) \widehat{AB} = \widehat{A}\widehat{B},$$

$$(5) \ \left\| \widehat{A} \right\| = \left\| A \right\|,$$

(6) 
$$\sigma(\widehat{A}) = \sigma(A), \ \sigma_p(\widehat{A}) = \sigma_a(\widehat{A}) = \sigma_a(A),$$

(7) If A is positive, then  $\widehat{A}$  is positive and  $\widehat{A}^{\alpha} = \widehat{A}^{\alpha}$  for all  $\alpha > 0$ .

**Theorem 4.** Let  $A \in \mathcal{Y}$ . Then for every normal operator T such that AT = TA, we have

$$||AX - XA - T|| > ||T||$$
, for all  $X \in \mathcal{L}(H)$ .

*Proof.* Let  $\lambda \in \sigma(T) = \sigma_a(T)$  [5]. Then it follows from Proposition 1 that  $\widehat{T}$  is normal,  $\widehat{A} \in \mathcal{Y}$ ,  $\widehat{A}\widehat{T} = \widehat{T}\widehat{A}$  and  $\lambda \in \sigma_p(\widehat{T})$ . By applying Lemma 5, we get

$$||AX - XA - T|| = ||\widehat{A}\widehat{X} - \widehat{X}\widehat{A} - \widehat{T}|| \ge |\lambda|,$$

for all  $X \in \mathcal{L}(H)$ . Hence

$$||AX - XA - T|| \ge \sup_{\lambda \in \sigma(\widehat{T})} |\lambda| = r(\widehat{T}) = ||\widehat{T}|| = ||T||,$$

for all  $X \in \mathcal{L}(H)$ .

**Theorem 5.** Let  $A, B \in \mathcal{L}(H)$ . If  $A, B^* \in \mathcal{Y}$ , then

$$||AX - XB - T|| \ge ||T||,$$

for all  $X \in \mathcal{L}(H)$  and for all  $T \in \ker \delta_{A,B}$ .

*Proof.* Let  $T \in \ker \delta_{A,B}$ . Then  $T \in \ker \delta_{A^*,B^*}$  [11, Theorem 2]. Therefore,  $ATT^* = TBT^* = TT^*A$ . Since  $A \in \mathcal{Y}$ ,  $TT^*$  is normal and  $A(TT^*) = (TT^*)A$ , the previous theorem implies that

$$\begin{split} \|T\|^2 &= \|TT^*\| &\leq \|TT^* - (AXT^* - XT^*A)\| \\ &= \|TT^* - (AXT^* - XBT^*)\| \\ &\leq \|T^*\| \, \|T - (AX - XB)\| \, . \end{split}$$

Thus

$$||AX - XB - T|| \ge ||T||.$$

**Theorem 6.** Let  $A, B \in \mathcal{L}(H)$  be  $A = \bigoplus_{i=1}^{n} A_i$ ,  $B = \bigoplus_{i=1}^{n} B_i$ . If there exists  $j \leq n$  such that  $(A_j, B_j) \in \mathcal{GF}(H_j)$ , then  $(A, B) \in \mathcal{GF}(H)$ .

*Proof.* Let  $j \leq n$  such that  $(A_i, B_i) \in \mathcal{GF}(H_i)$ . Then for all  $X \in \mathcal{L}(H)$ 

**Proposition 2.** For  $(A, B) \in \mathcal{GF}(H)$ , the following assertions hold:

- (1)  $(\alpha A + \beta, \alpha B + \beta) \in \mathcal{GF}(H)$ , for each  $\alpha, \beta \in \mathbb{C}$ .
- (2)  $(A^{-1}, B^{-1}) \in \mathcal{GF}(H)$ , if A and B are invertible.
- (3)  $(R,T) \in \mathcal{GF}(H)$ , if R and T are simultaneously unitarily equivalent to A and B respectively.
- (4)  $(B^*, A^*) \in \mathcal{GF}(H)$ .
- (5)  $(A^{2^m}, B^{2^m}) \in \mathcal{GF}(H)$ , for all  $m \in \mathbb{N}$ .
- (6)  $\sigma(A) \cap \sigma(B) \neq \phi$ .

*Proof.* (1) If  $(A, B) \in \mathcal{GF}(H)$  then [7, Theorem 18] there exists a state f on  $\mathcal{L}(H)$  such that f(AX) = f(XB) for all  $X \in \mathcal{L}(H)$ . As a consequence of the linearity of f,

$$\forall \alpha, \beta \in \mathbb{C} : f((\alpha A + \beta) X) = f(X(\alpha B + \beta))$$

for all  $X \in \mathcal{L}(H)$ .

(2) Let f be a state on  $\mathcal{L}(H)$  such that f(AX) = f(XB) for all  $X \in \mathcal{L}(H)$ . Then we have

$$f\left(A^{-1}X\right)=f\left(\left(A^{-1}XB^{-1}\right)B\right)=f\left(A\left(A^{-1}XB^{-1}\right)\right)=f\left(XB^{-1}\right),$$

for all  $X \in \mathcal{L}(H)$ .

(3) Let U be a unitary operator. Then by [7, Theorem 18] we have

$$(A,B) \in \mathcal{GF}(H) \iff 0 \in \overline{W(AX - XB)}, \forall X \in \mathcal{L}(H)$$

$$\iff 0 \in \overline{W(U^*(AX - XB)U)}, \forall X \in \mathcal{L}(H)$$

$$\iff 0 \in \overline{W(U^*(AUU^*X - XUU^*B)U)}, \forall X \in \mathcal{L}(H)$$

$$\iff 0 \in \overline{W((U^*AU)Y - Y(U^*BU))}, \forall Y \in \mathcal{L}(H)$$

$$\iff (U^*AU, U^*BU) \in \mathcal{GF}(H).$$

(4) Let f be a state on  $\mathcal{L}(H)$  such that f(AX) = f(XB) for all  $X \in \mathcal{L}(H)$ . Then we have

$$f^*(B^*X) = \overline{f(B^*X)^*} = \overline{f(X^*B)}$$
$$= \overline{f(AX^*)} = \overline{f(XA^*)^*}$$
$$= f^*(XA^*),$$

for all  $X \in \mathcal{L}(H)$ . Since the adjoint of a state is a state, we have  $(B^*, A^*) \in \mathcal{GF}(H)$ .

(5) Let f be a state on  $\mathcal{L}(H)$  such that f(AX - XB) = 0 for all  $X \in \mathcal{L}(H)$ . By recurrence we have:

For m = 0,  $\left(A^{2^0}, B^{2^0}\right) = (A, B) \in \mathcal{GF}(H)$ . Suppose that, for all  $m \in \mathbb{N}$ , there exists a state f on  $\mathcal{L}(H)$  such that

$$f(A^{2^m}X - XB^{2^m}) = 0$$
, for all  $X \in \mathcal{L}(H)$ .

Then

$$f(A^{2^m}(A^{2^m}X) - (A^{2^m}X)B^{2^m}) = 0$$
 and  $f(A^{2^m}(XB^{2^m}) - (XB^{2^m})B^{2^m}) = 0$ ,

hence

$$f\left(A^{2^{m+1}}X - XB^{2^{m+1}}\right) = 0.$$

(6) Suppose that  $\sigma(A) \cap \sigma(B) = \phi$ . In [10] M. Rosenblum proved that  $\sigma(\delta_{A,B}) \subset \sigma(A) - \sigma(B)$ , and then  $\delta_{A,B}$  is invertible, hence there exists  $X \in \mathcal{L}(H)$  for which  $\|\delta_{A,B}(X) - I\| < 1$ .

**Theorem 7.** Let  $A, B \in \mathcal{L}(H)$ . If there exist a normed sequence  $(f_n)_{n\geq 1}$  in H and a scalar  $\lambda$  such that

$$\|(A-\lambda I)^* f_n\| \longrightarrow 0$$
 and  $\|(B-\lambda I) f_n\| \longrightarrow 0$ ,

then  $(A, B) \in \mathcal{GF}(H)$ .

*Proof.* If  $X \in \mathcal{L}(H)$ . Then

$$||AX - XB - I|| = ||(A - \lambda I) X - X (B - \lambda I) - I||$$

$$\geq |([(A - \lambda I) X - X (B - \lambda I) - I] f_n, f_n)|$$

$$= |(X f_n, (A - \lambda I)^* f_n) - ((B - \lambda I) f_n, X^* f_n) - 1|.$$

By passage to the limit, we get  $||AX - XB - I|| \ge 1$ , for all  $X \in \mathcal{L}(H)$ .  $\square$ 

**Corollary 3.** Let  $A \in \mathcal{L}(H)$ . Then, for all  $\lambda \in \sigma_a(A)$  and for all  $C \in \mathcal{L}(H)$ ,

$$((A - \lambda I)^*, C(A - \lambda I)) \in \mathcal{GF}(H)$$
.

*Proof.* Let  $\lambda \in \sigma_a(A)$ , then there exists a normed sequence  $(f_n)_{n\geq 1}$  in H such that  $\|(A-\lambda I)f_n\| \longrightarrow 0$ . If  $T=A-\lambda I$  and R=CT with  $C\in \mathcal{L}(H)$ , then

$$\|[(T-0)^*]^* f_n\| = \|(A-\lambda I) f_n\| \longrightarrow 0$$

and

$$||(R-0) f_n|| = ||C(A-\lambda I) f_n|| \longrightarrow 0,$$

hence

$$((A - \lambda I)^*, C(A - \lambda I)) = (T^*, R) \in \mathcal{GF}(H).$$

**Corollary 4.** For all  $A \in \mathcal{L}(H)$ , there exists  $B \in \mathcal{L}(H)$  for which (A, B) is a generalized finite operator.

*Proof.* We say that the approximate spectrum is never empty. Let  $\lambda \in \sigma_a(A^*)$ , hence it follows from the previous corollary that

$$((A^* - \lambda I)^*, C(A^* - \lambda I)) = ((A - \overline{\lambda}I), C(A^* - \lambda I)) \in \mathcal{GF}(H),$$

for all  $C \in \mathcal{L}(H)$ , and by applying (1) of Proposition 2 we get

$$(A,B) \in \mathcal{GF}(H)$$
,

where 
$$B = C(A^* - \lambda I) + \overline{\lambda}I$$
.

Corollary 5.  $\mathcal{F}(H)$  contains the following class:

$$S\left(H\right) = \left\{A \in \mathcal{L}\left(H\right): \ A - \overline{\lambda}I = C\left(A^* - \lambda I\right) \ with \ \lambda \in \sigma_a\left(A^*\right) \ and \ C \in \mathcal{L}\left(H\right) \ \right\}.$$

*Proof.* It follows from the previous corollary that, if  $A \in S(H)$ , then  $(A, A) \in \mathcal{GF}(H)$  i.e.  $A \in \mathcal{F}(H)$ .

## Acknowledgement

I would like to thank the referee for his/her careful reading of the paper. The valuable suggestions, critical remarks, and pertinent comments made numerous improvements throughout.

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