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Citation for published version (APA):

Bruijn, de, N. G. (1962). On unitary equivalence of unitary dilations of contractions in Hilbert space. *Acta Scientiarum Mathematicarum*, 23(1-2), 100-105.

Document status and date:

Published: 01/01/1962

Document Version:

Publisher's PDF, also known as Version of Record (includes final page, issue and volume numbers)

Please check the document version of this publication:

- A submitted manuscript is the version of the article upon submission and before peer-review. There can be important differences between the submitted version and the official published version of record. People interested in the research are advised to contact the author for the final version of the publication, or visit the DOI to the publisher's website.
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On unitary equivalence of unitary dilations of contractions in Hilbert space

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1. Introduction

Let \mathfrak{H} be a Hilbert space, and let T be a contraction of \mathfrak{H} (i. e. a linear operator with norm ≤ 1). It was proved by B. SZ.-NAGY [2] that there exists a Hilbert space \mathfrak{K} with $\mathfrak{K} \supset \mathfrak{H}$, and a unitary operator U in \mathfrak{K} such that (P denoting the projection onto \mathfrak{H})

$$(1.1) \quad T^n P = P U^n P \quad (n = 1, 2, 3, \dots),$$

$$(1.2) \quad T^{*n} P = P U^{-n} P \quad (n = 1, 2, 3, \dots).$$

((1.2) is, of course, a consequence of (1.1)). If we require that \mathfrak{K} is *minimal*, i. e. that \mathfrak{K} is the closed linear hull of the set of all $U^n h$ ($n = 0, \pm 1, \pm 2, \dots; h \in \mathfrak{H}$), then \mathfrak{K} and U are uniquely determined (if we neglect isometries which leave \mathfrak{H} and T invariant). This U is called the *unitary dilation* of T .

It was shown by M. SCHREIBER [6] (see also B. SZ.-NAGY [3]) that the unitary dilation of a proper contraction (i. e. an operator with norm $\|T\| < 1$) is always unitarily equivalent to a fixed operator U_0 , depending on \mathfrak{H} only. U_0 can be described as the orthogonal sum of η copies of the bilateral shift operator, where $\eta = \dim \mathfrak{H}$. This means that \mathfrak{K} has a complete orthogonal system $\{\varphi_{ij}\}$ (where $i = 0, \pm 1, \pm 2, \dots$, and j runs through an index set of cardinality η) such that $U_0 \varphi_{ij} = \varphi_{i+1, j}$ for all i and j .

In this note we shall establish the unitary equivalence explicitly in matrix form, thus giving an answer to a question proposed by B. SZ.-NAGY [4], a question directly connected with J. J. SCHÄFFER's matrix representation of the unitary dilation (see [5] and [4]). We shall moreover generalize SCHREIBER's result: Instead of $\|T\| < 1$, our assumption will be only $T^n \rightarrow 0$. Under that condition we shall prove that the minimal dilation is still unitarily equivalent to the orthogonal sum of a number of copies of the bilateral shift operator, but the number of copies can be less than $\dim \mathfrak{H}$. In fact it equals $\dim \mathfrak{M}_Z$ (to be defined below).

A further discussion will be postponed to section 6. Here we only remark that the results of this paper have been generalized, and proved in a more geometric way, by I. HALPERIN.

2. Preliminaries

Throughout the paper we assume that T is a contraction, and we put

$$(2.1) \quad Z = (I - T^*T)^{\frac{1}{2}}, \quad S = (I - TT^*)^{\frac{1}{2}};$$

Z and S are non-negative definite hermitean operators. We have (cf. [1])

$$(2.2) \quad TZ = ST, \quad T^*S = ZT^*.$$

The spaces \mathfrak{M}_Z and \mathfrak{M}_S are closed subspaces of \mathfrak{H} , defined by

$$(2.3) \quad \mathfrak{M}_Z = \overline{Z\mathfrak{H}}, \quad \mathfrak{M}_S = \overline{S\mathfrak{H}}.$$

It follows from (2.2) that

$$T\mathfrak{M}_Z = \overline{TZ\mathfrak{H}} \subset \overline{TZ\mathfrak{H}} \subset \overline{ST\mathfrak{H}} \subset \overline{S\mathfrak{H}} = \mathfrak{M}_S,$$

and a similar result for $T^*\mathfrak{M}_S$, whence

$$(2.4) \quad T\mathfrak{M}_Z \subset \mathfrak{M}_S, \quad T^*\mathfrak{M}_S \subset \mathfrak{M}_Z.$$

3. Operators and matrices

Let \mathfrak{R} denote the orthogonal sum of countably many copies of \mathfrak{H} . Elements of \mathfrak{R} are sequences $\{h_i\}$ ($-\infty < i < \infty$) with $h_i \in \mathfrak{H}$, $\sum_{-\infty}^{\infty} \|h_i\|^2 < \infty$.

Let P_i denote the projection of \mathfrak{R} onto the i -th coordinate space, and let Q_i denote the natural isometric mapping of this coordinate space onto \mathfrak{H} itself (the sequence $\{h_i\}$ is mapped by P_j onto $\{\dots, 0, 0, h_j, 0, 0, \dots\}$, and this one is mapped by Q_j onto h_j).

If A is an operator in \mathfrak{R} , then we can define a matrix of operators in \mathfrak{H} by

$$(3.1) \quad A_{ij} = Q_i P_i A P_j^{-1} Q_j^{-1} \quad (i, j = 0, \pm 1, \pm 2, \dots).$$

If A, B, C are bounded operators in \mathfrak{R} , and if $AB = C$, then it is not difficult to establish a matrix product relation

$$(3.2) \quad \sum_{j=-\infty}^{\infty} A_{ij} B_{jk} = C_{ik}.$$

It has to be noticed that this means that the partial sums of the series on the left converge to the operator on the right in the sense of operator convergence, i. e. that for every $h \in \mathfrak{H}$

$$\lim_{N \rightarrow \infty} \lim_{M \rightarrow \infty} \sum_{-M}^N A_{ij} B_{jk} h = C_{ik} h.$$

Moreover we notice that, if A is bounded, we have $(A^*)_{ij} = (A_{ji})^*$ for the adjoints. For convenience, we shall occasionally use the same symbol A both for this operator and for the matrix (A_{ij}) .

5. The unitary dilation

If T is a proper contraction then the Schäffer matrix U_T represents the unitary dilation, but if T is improper, U_T does not always satisfy the minimality condition. It was remarked by B. SZ.-NAGY [4] that the unitary dilation is still described by U_T if we only restrict ourselves to a suitable subspace of \mathfrak{R} , viz.

$$\mathfrak{R} = \dots \oplus \mathfrak{M}_Z \oplus \mathfrak{M}_Z \oplus \boxed{\mathfrak{H}} \oplus \mathfrak{M}_S \oplus \mathfrak{M}_S \oplus \dots$$

This notation means that \mathfrak{R} consists of the sequences $(\dots, h_{-1}, h_0, h_1, \dots)$ of \mathfrak{R} for which $h_j \in \mathfrak{M}_Z$ if $j < 0$, $h_j \in \mathfrak{M}_S$ if $j > 0$, $h_0 \in \mathfrak{H}$. By (2. 3) and (2. 4) we have

$$(5. 1) \quad U_T \mathfrak{R} \subset \mathfrak{R}, \quad U_T^* \mathfrak{R} \subset \mathfrak{R},$$

whence U_T provides a unitary operator of \mathfrak{R} , still satisfying (1. 1) and (1. 2), and moreover \mathfrak{R} is minimal. So, when restricted to \mathfrak{R} , the operator U_T provides the unitary dilation of T .

Next we introduce a second subspace of \mathfrak{R} , viz.

$$\mathfrak{Q} = \dots \oplus \mathfrak{M}_Z \oplus \boxed{\mathfrak{M}_Z} \oplus \mathfrak{M}_Z \oplus \dots$$

We infer from the matrix representation of W , using (2. 3) and (2. 4), that

$$W \mathfrak{Q} \subset \mathfrak{R}, \quad W^* \mathfrak{R} \subset \mathfrak{Q}.$$

As $WW^* = W^*W = I$, we infer that W provides an isometric mapping of \mathfrak{Q} onto \mathfrak{R} . The transformed operator $W^*U_TW = U_0$ maps \mathfrak{Q} into itself, and we obtain

Theorem. If the contraction T satisfies $T^n \rightarrow 0$ ($n \rightarrow \infty$), then the unitary dilation of T is unitarily equivalent to the orthogonal sum of ω copies of the bilateral shift operator, where $\omega = \dim \mathfrak{M}_Z$.

6. Remarks

We shall say, for a moment, that T has property (A) if the unitary dilation of T is unitarily equivalent to the orthogonal sum of a number of copies of the bilateral shift operator.

If T has property (A), then T^* has property (A), for if U is the unitary dilation of T , then U^{-1} is the unitary dilation of T^* . With this in mind we see that our theorem has a lack of symmetry, for the conditions $T^n \rightarrow 0$ and $T^{*n} \rightarrow 0$ are not equivalent, whereas both are sufficient for T and T^* to have property (A). Meanwhile we learn that if both $T^n \rightarrow 0$ and $T^{*n} \rightarrow 0$, then \mathfrak{M}_Z and \mathfrak{M}_S have the same dimension.

Neither $T^n \rightarrow 0$ nor $T^{*n} \rightarrow 0$ are necessary for (A). For example, if T is itself a bilateral shift operator, then T is its own unitary dilation.

An instructive example is provided by the unilateral shift operator, defined by $T\varphi_1 = 0, T\varphi_2 = \varphi_1, T\varphi_3 = \varphi_2, \dots$, if $\varphi_1, \varphi_2, \varphi_3, \dots$ is some complete orthogonal system. With this operator T^n tends to zero, but T^{*n} does not. \mathfrak{M}_Z consists of all multiples of φ_1 , but $\mathfrak{M}_S = 0$.

A simple necessary condition for (A) is that T^n tends weakly to zero, or, what is the same thing, that T^{*n} tends weakly to zero. In order to show this, we only need to remark that the powers of the bilateral shift operator tend weakly to zero.

On the other hand, this weak convergence of T^n is by no means sufficient for (A). For it is not difficult to find unitary operators whose powers tend weakly to zero but whose spectra show gaps. Because of these gaps they cannot be of the bilateral shift type.

It is easy to see that $\mathfrak{M}_Z = \mathfrak{H}$ and $\mathfrak{M}_S = \mathfrak{H}$ are equivalent; in that case the spaces \mathfrak{R} and \mathfrak{R} are identical. The author thinks it possible that this condition $\mathfrak{M}_Z = \mathfrak{H}$ implies (A).

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(Received July 23, 1961)