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**TOEPLITZ OPERATORS ON  $H_p$**

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**A Toeplitz operator is an operator with a matrix representation  $(\alpha_{m-n})_{m,n=0}^{\infty}$  where the  $\alpha_n$  are the Fourier coefficients of a bounded function  $\varphi$ . The operator may be considered as acting on any of the Hardy spaces  $H_p(1 < p < \infty)$  and it is the purpose of this note to show that the spectrum of any such operator is a connected set.**

The Hardy space  $H_r(1 \leq r \leq \infty)$  consists of those functions in  $L_r(-\pi, \pi)$  whose Fourier coefficients corresponding to negative values of the index all vanish. If  $f \in L_p(1 < p < \infty)$  with

$$f \sim \sum_{n=-\infty}^{\infty} c_n e^{in\theta}$$

then by a well-known theorem of M. Riesz the series

$$\sum_{n=0}^{\infty} c_n e^{in\theta}$$

is the Fourier series of a function  $Pf$  belonging to  $L_p$  (and so to  $H_p$ ), and moreover

$$\|Pf\|_p \leq A_p \|f\|_p$$

where  $A_p$  is a constant depending only on  $p$ . Thus  $P$  is a bounded projection from  $L_p$  to  $H_p$ .

(We use the following convention. When we speak of  $L_r$  or  $H_r$  then we assume only  $1 \leq r \leq \infty$ ; but when we speak of  $L_p$  or  $H_p$  then we require  $1 < p < \infty$ .)

Now let  $\varphi \in L_{\infty}$ . We define the Toeplitz operator  $T_{\varphi}$  on  $H_p$  by

$$T_{\varphi}f = P(\varphi f).$$

Clearly  $T_{\varphi}$  is a bounded operator with norm at most  $A_p \|\varphi\|_{\infty}$ . In a previous paper [3] it was shown that for  $p = 2$  the spectrum of  $T_{\varphi}$  is connected for all  $\varphi$ . The proof made use of a theorem of Helson and Szegö [2] which characterized those measures  $d\mu$  with the property that  $P$  (restricted to the trigonometric polynomials) is bounded in the norm of  $L_2(d\mu)$ . It is not at present known whether the analogue of this theorem holds for  $p \neq 2$ , but we shall present here a new proof which avoids using the Helson-Szegö theorem and which holds for arbitrary  $p$ .

Here is an outline of the proof. It suffices to show that if  $C$  is

any simple closed curve in the complex plane which is disjoint from  $\sigma(T_\varphi)$ , the spectrum of  $T_\varphi$ , then  $\sigma(T_\varphi)$  lies entirely inside or entirely outside  $C$ . For  $\lambda \in C$  the equation  $T_\varphi f = \lambda f + 1$  has a solution  $f = f_\lambda \in H_p$  which can be shown to satisfy a differential equation whose solution is

$$(1) \quad f_\lambda = f_{\lambda_0} \exp \left( \int_{\lambda_0}^{\lambda} P \frac{1}{\varphi - \mu} d\mu \right)$$

where  $\lambda_0$  is a fixed point of  $C$ . (This fact, in a somewhat different setting, was observed by Atkinson [1] and used by him to obtain very simply the solution of a large class of operator equations.) If one takes the path of integration to be the entire curve  $C$  then it can be shown very easily from (1) that  $R(\varphi)$ , the essential range of  $\varphi$ , lies either entirely inside or entirely outside  $C$ . In the latter case, say, (1) shows how to continue  $f_\lambda$  analytically to the inside of  $C$ . Now there is an explicit formula which gives the solution of the equation

$$(2) \quad T_\varphi h = \lambda h + k$$

in terms of  $f_\lambda$  for  $\lambda \notin \sigma(T_\varphi)$ . But then this formula shows us how to continue  $h = h_\lambda$  analytically to the inside of  $C$  and this continuation will provide the unique solution of (2). Thus we shall have shown that  $\sigma(T_\varphi)$  lies entirely outside  $C$ .

The  $f_\lambda$  we have been speaking about is an analytic function of  $\lambda$  whose values are measurable functions, and we must develop a little bit of theory of such things.

Let  $\Omega$  be an open set in the complex plane and assume that for each  $\lambda \in \Omega$  there is associated a measurable function  $f_\lambda$  on a finite measure space  $E$ . (All functions considered will tacitly be assumed to be finite a.e.) We shall say that  $f$  is analytic in  $\Omega$  if for each  $\lambda_0 \in \Omega$  there is a disc

$$D(\lambda_0, \delta) = \{\lambda: |\lambda - \lambda_0| < \delta\}$$

and a sequence  $a_0, a_1, \dots$  of measurable functions such that for all  $\lambda \in D(\lambda_0, \delta)$  the series

$$(3) \quad \sum_{n=0}^{\infty} a_n (\lambda - \lambda_0)^n$$

converges a.e. to  $f_\lambda$ . we shall say that  $f$  is  $L_r$ -analytic if each  $a_n$  belongs to  $L_r$  and for each  $\lambda \in D(\lambda_0, \delta)$  the series (3) converges to  $f_\lambda$  in the norm of  $L_r$ .

LEMMA 1. *If  $f$  is  $L_r$  analytic then it is analytic.*

*Proof.* Since  $L_r$ -analyticity implies  $L_1$ -analyticity we may assume

$r = 1$ . It suffices to show that if (3) converges  $L_1$  for all  $\lambda \in D(\lambda_0, \delta)$  then it converges a.e. for all  $\lambda \in D(\lambda_0, \delta)$ . Suppose  $\delta_1 < \delta$ . Then there is a constant  $A$  such that  $\|a_n\|_1 \leq A\delta_1^{-n}$  for all  $n$ . Let  $\delta_2 < \delta_1$ . Then if we set

$$E_n = \{\theta : |a_n(\theta)| \geq \delta_2^{-n}\}$$

we have

$$A\delta_1^{-n} \geq \int_{E_n} |a_n(\theta)| d\theta \geq \delta_2^{-n} |E_n|,$$

where  $|E_n|$  denotes the measure of  $E_n$ . Thus

$$|E_n| \leq A \left(\frac{\delta_1}{\delta_2}\right)^{-n}$$

and so  $\sum |E_n| < \infty$ . This shows that almost all  $\theta$  belong to only finitely many  $E_n$ ; that is, for almost all  $\theta$  we have  $|a_n(\theta)| < \delta_2^{-n}$  for sufficiently large  $n$ . Therefore for almost all  $\theta$  the series (3) converges for each  $\lambda \in D(\lambda_0, \delta_2)$ . But  $\delta_2$  was an arbitrary number smaller than  $\delta$ . If we take for  $\delta_2$  successively  $(1 - k^{-1})\delta$  ( $k = 1, 2, \dots$ ) we deduce that for almost all  $\theta$  the series (3) converges for all  $\lambda \in D(\lambda_0, \delta)$ .

The next lemma is a partial converse of Lemma 1.

**LEMMA 2.** *Suppose  $f$  is analytic in  $\Omega$ . Then for any  $\varepsilon > 0$  there is a set  $E_\varepsilon$  whose complement in  $E$  has measure at most  $\varepsilon$  such that  $f$ , when restricted to  $E_\varepsilon$ , is  $L_\infty$ -analytic in  $\Omega$ .*

*Proof.* First consider a disc  $D(\lambda_0, \delta)$  throughout which (3) converges a.e. to  $f_\lambda$ . Then the series

$$(4) \quad \sum_{n=0}^{\infty} a_n \left(\frac{\delta}{2}\right)^n$$

converges a.e. and so by Egoroff's theorem there is a set  $F_\varepsilon$  whose complement has measure at most  $\varepsilon$  on which (4) converges uniformly. There is a constant  $M$  such that for all  $\theta \in F_\varepsilon$  and all  $n$  we have

$$(5) \quad |a_n(\theta)| \leq \left(\frac{\delta}{2}\right)^{-n} M.$$

Now let  $\lambda_1$  be any point in the disc  $D(\lambda_0, \delta/2)$ . Then (5) shows that for

$$\lambda \in D\left(\lambda_1, \frac{\delta}{2} - |\lambda_1 - \lambda_0|\right)$$

the series (3), which converges a.e. to  $f_\lambda$ , may be rearranged into a

power series in  $\lambda - \lambda_1$  which converges uniformly for  $\theta \in F_\varepsilon$ . This shows that  $f$  restricted to  $F_\varepsilon$  is  $L_\infty$ -analytic in  $D(\lambda_0, \delta/2)$ .

Now we can find a countable set of discs  $D(\lambda_j, \delta_j)$  ( $j = 1, 2, \dots$ ) of the type just considered and such that

$$\Omega = \bigcup_{j=1}^{\infty} D(\lambda_j, \frac{\delta_j}{2}).$$

For each  $j$  there is a set  $F_{\varepsilon,j}$  whose complement has measure at most  $2^{-j}\varepsilon$  and such that  $f$  restricted to  $F_{\varepsilon,j}$  is  $L_\infty$ -analytic in

$$D(\lambda_j, \frac{\delta_j}{2}).$$

But then

$$E_\varepsilon = \bigcap_{j=1}^{\infty} F_{\varepsilon,j}$$

has complement of measure at most  $\varepsilon$  and  $f$  restricted to  $E_\varepsilon$  is  $L_\infty$ -analytic throughout  $\Omega$ .

**LEMMA 3.** *Let  $C$  be a simple closed curve contained in a simply connected open set  $\Omega$ . Suppose  $f$  is analytic in  $\Omega$  and*

$$\sup_{\mu \in C} \|f_\mu\|_r = M < \infty.$$

*Then  $f$  is  $L_r$ -analytic inside  $C$  and for all  $\lambda$  inside  $C$  we have*

$$\|f_\lambda\|_r \leq M.$$

*Proof.* Let  $\lambda_0$  be inside  $C$  and let  $\delta$  be so small that  $D(\lambda_0, \delta)$  is entirely inside  $C$  and

$$f_\lambda = \sum_{n=0}^{\infty} a_n(\lambda - \lambda_0)^n$$

a.e. for each  $\lambda \in D(\lambda_0, \delta)$ . The beginning of the proof of Lemma 2 showed that if we restrict ourselves to an appropriate set  $E_\varepsilon$ , with complement of measure at most  $\varepsilon$ , the series in (6) converges uniformly as long as  $\lambda \in D(\lambda_0, \delta/2)$ . Take any  $g \in L_\infty$ . Then we can conclude

$$\int_{E_\varepsilon} f_\lambda g d\theta = \sum_{n=0}^{\infty} \left( \int_{E_\varepsilon} a_n g d\theta \right) (\lambda - \lambda_0)^n \quad \lambda \in D(\lambda_0, \frac{\delta}{2}).$$

It follows from the Cauchy inequalities that

$$\left| \int_{E_\varepsilon} a_n g d\theta \right| \leq \left( \frac{\delta}{2} \right)^{-n} \max_{|\lambda - \lambda_0| = \delta/2} \left| \int_{E_\varepsilon} f_\lambda g d\theta \right|.$$

But since  $f$  restricted to  $E_\varepsilon$  is  $L_\infty$ -analytic in  $\Omega$ ,

$$\int_{E_\varepsilon} f_\lambda g d\theta$$

is a complex-valued analytic function in  $\Omega$ , and so for any  $\lambda$  inside  $C$  we have

$$(7) \quad \left| \int_{E_\varepsilon} f_\lambda g d\theta \right| \leq \max_{\mu \in C} \left| \int_{E_\varepsilon} f_\mu g d\theta \right| \leq M \|g\|_s,$$

where  $s = r/(r - 1)$ . Consequently

$$\left| \int_{E_\varepsilon} a_n g d\theta \right| \leq \left(\frac{\delta}{2}\right)^{-n} M \|g\|_s$$

for all  $g \in L_\infty$ , and so

$$\left\{ \int_{E_\varepsilon} |a_n|^r d\theta \right\}^{1/r} \leq \left(\frac{\delta}{2}\right)^{-n} M.$$

Since  $\varepsilon > 0$  was arbitrary it follows that

$$\|a_n\|_r \leq \left(\frac{\delta}{2}\right)^{-n} M,$$

and so the series in (6) converges in  $L_r$  for each  $\lambda \in D(\lambda_0, \delta/2)$ . Thus  $f$  is  $L_r$ -analytic inside  $\Omega$ . Finally (7), with  $E_\varepsilon$  replaced by  $E$ , gives  $\|f_\lambda\|_r \leq M$ .

We shall have to deal later with the derivative of analytic function. If  $f$  is analytic in  $\Omega$  we define  $f'$  as follows: if  $f_\lambda$  is given a.e. as the sum of the series (3) for  $\lambda \in D(\lambda_0, \delta)$  then we set

$$f'_\lambda = \sum_{n=0}^{\infty} n a_n (\lambda - \lambda_0)^{n-1} \quad \lambda \in D(\lambda_0, \delta).$$

We leave as exercises for the reader the verification that for each  $\lambda \in D(\lambda_0, \delta)$  the above series converges a.e. and that if

$$\lambda \in D(\lambda_0, \delta_0) \cap D(\lambda_1, \delta_1)$$

then the two possible interpretations of  $f'_\lambda$  agree a.e., so that  $f'_\lambda$  is well defined and, of course, analytic. We also leave it to the reader to show that if  $f$  is  $L_r$ -analytic then the same is true of  $f'$ .

Let us return to our Toeplitz operators  $T_\varphi$  acting on  $L_p$ . We denote by  $\rho(T_\varphi)$  the resolvent set of  $T_\varphi$ , that is, the complement of  $\sigma(T_\varphi)$ . Recall that the essential range of  $\varphi$  is denoted by  $R(\varphi)$ .

LEMMA 4.  $\sigma(T_\varphi)$  contains  $R(\varphi)$ .

*Proof.* Suppose  $\lambda \in \rho(T_\varphi)$ . Then for some constant  $A$  we have

$$\| P(\varphi - \lambda)f \|_p \geq A \| f \|_p$$

for all  $f \in H_p$ , so with another constant  $A'$  we have

$$\| (\varphi - \lambda)f \|_p \geq A' \| f \|_p.$$

If  $g$  is an arbitrary trigometric polynomial we shall have  $f = e^{im\theta}g \in H_p$  for some  $m$ . Then

$$\| (\varphi - \lambda)e^{im\theta}g \|_p \geq A' \| e^{im\theta}g \|_p$$

and of course this is exactly

$$\| (\varphi - \lambda)g \|_p \geq A' \| g \|_p.$$

It follows that  $|\varphi - \lambda| \geq A'$  almost everywhere.

LEMMA 5. *If  $\lambda \in \rho(T_\varphi)$  then  $T_{(\varphi-\lambda)^{-1}}$ , as an operator on  $H_q(q = p/p - 1)$ , is invertible.*

*Proof.* The adjoint of  $T_\varphi - \lambda I$  is the operator  $T_{\overline{\varphi-\lambda}}$  acting on  $H_q$ . (Here we use the identification of  $H_q$  with  $H_p^*$  obtained by identifying the function  $g \in H_q$  with the linear functional  $f \rightarrow \int f \bar{g} d\theta$  on  $H_p$ .) Therefore  $T_{\overline{\varphi-\lambda}}$  is invertible on  $H_q$ . Let

$$u = \exp(-2P \log |\varphi - \lambda|)$$

Then  $c|\varphi - \lambda|^{-2} = u\bar{u}$  for some constant  $c$ , and since by Lemma 4  $|\varphi - \lambda|^{-1} \in L_\infty$  both  $u$  and  $u^{-1}$  belong to  $H_\infty$ . For  $g \in H_q$  we have

$$\begin{aligned} c(\varphi - \lambda)^{-1}g &= \overline{\varphi - \lambda}u\bar{u}g \\ &= \overline{uP\varphi - \lambda}ug + \bar{u}v \quad v \in H_q^\circ \end{aligned}$$

( $H_q^\circ$  denotes the  $H_q$  functions with mean zero) and so

$$cP(\varphi - \lambda)^{-1}g = P(\overline{uP\varphi - \lambda}ug).$$

This shows that

$$(8) \quad cT_{(\varphi-\lambda)^{-1}} = T_u^- T_{\overline{\varphi-\lambda}} T_u.$$

We have seen that  $T_{\overline{\varphi-\lambda}}$  is invertible on  $H_q$ . Since  $u^{-1} \in H_\infty$  the same is true of  $T_u^-$ . Since similarly  $T_u$  is invertible on  $H_p$ , its adjoint  $T_u^-$  is invertible on  $H_q$ . Thus the three operators on the right of (8) are all invertible and the lemma is established.

For any  $\lambda \in \rho(T_\varphi)$  we shall denote by  $f_\lambda, g_\lambda$  the unique solutions of

$$(9) \quad T_{(\varphi-\lambda)}f_\lambda = 1, \quad T_{(\varphi-\lambda)}^{-1}g_\lambda = 1$$

in  $H_p, H_q$  respectively. The existence and uniqueness of  $g_\lambda$  are guaranteed by Lemma 5.

In the following lemma we shall be integrating  $P(\varphi - \mu)^{-1}$  over a path lying in  $\rho(T_\varphi)$ . It follows from Lemma 4 that  $(\varphi - \mu)^{-1}$  is  $L_p$ -continuous on this path and consequently the same is true of  $P(\varphi - \mu)^{-1}$ . Therefore there is no difficulty making sense of the integral. We shall interpret it as a weak integral.

LEMMA 6. *Let  $\Gamma$  be a rectifiable curve lying in  $\rho(T_\varphi)$  and having initial and terminal points  $\lambda_0, \lambda$  respectively. Then*

$$(10) \quad f_\lambda = f_{\lambda_0} \exp \left\{ \int_\Gamma P(\varphi - \mu)^{-1} d\mu \right\},$$

$$(11) \quad g_\lambda = g_{\lambda_0} \exp \left\{ - \int_\Gamma P(\varphi - \mu)^{-1} d\mu \right\}.$$

*Proof.* It follows from (9) that

$$(12) \quad (\varphi - \lambda)f_\lambda = 1 + \bar{u}_\lambda \quad u_\lambda \in H_p^\circ$$

$$(13) \quad (\varphi - \lambda)^{-1}g_\lambda = 1 + \bar{v}_\lambda \quad v_\lambda \in H_q^\circ.$$

Therefore  $f_\lambda g_\lambda = 1 + \bar{w}$  where  $w \in H_1^\circ$ . But since  $f_\lambda g_\lambda \in H_1$  we conclude

$$(14) \quad f_\lambda g_\lambda = 1.$$

Now  $f_\lambda$  is  $L_p$ -analytic since, as is well-known,  $(T_\varphi - \lambda I)^{-1}$  is analytic in  $\rho(T_\varphi)$ . Therefore  $\bar{u}_\lambda$  is also  $L_p$ -analytic and differentiation of both sides of (12) gives

$$(\varphi - \lambda)f'_\lambda - f_\lambda = \bar{u}'_\lambda.$$

If we multiply both sides of this identity by  $(\varphi - \lambda)^{-1}g_\lambda$  and use (13) and (14) we obtain

$$(15) \quad (\varphi - \lambda)^{-1} = g_\lambda f'_\lambda - (1 + \bar{v}_\lambda)\bar{u}'_\lambda.$$

It is easy to see that if  $h_\lambda$  is  $L_r$ -analytic and  $h_\lambda$  belongs to a certain closed subspace of  $L_r$  for all  $\lambda$  then  $h'_\lambda$  belongs to the same subspace. Therefore  $f'_\lambda$  belongs to  $H_p$  and so  $g_\lambda f'_\lambda \in H_1$ . Similarly  $\bar{u}'_\lambda \in \overline{H_p^0}$  and so  $(1 + \bar{v}_\lambda)\bar{u}'_\lambda \in \overline{H_1^\circ}$ . Consequently (15) gives

$$P(\varphi - \lambda)^{-1} = g_\lambda f'_\lambda$$

and so by (14)

$$(16) \quad f'_\lambda = f_\lambda P(\varphi - \lambda)^{-1}.$$



Now consider a disc  $D(\lambda_0, \delta)$  inside of which we have series representations

$$f_\lambda = \sum_{n=0}^{\infty} a_n (\lambda - \lambda_0)^n$$

$$P(\varphi - \lambda)^{-1} = \sum_{n=0}^{\infty} b_n (\lambda - \lambda_0)^n.$$

For each  $\lambda \in D(\lambda_0, \delta)$  the two series converge a.e. and this implies that for all  $\theta$  not belonging to some null set  $N$  the series converge for all  $\lambda \in D(\lambda_0, \delta)$ . Let us write  $U(\theta, \lambda)$ ,  $V(\theta, \lambda)$  for the sums of the two series;  $U$  and  $V$  are defined for  $\theta \notin N$ ,  $\lambda \in D(\lambda_0, \delta)$ . The equation (16) is equivalent to the statement that for each  $n \geq 0$  the identity

$$(n+1)a_{n+1} = \sum_{m=0}^n a_m b_{n-m}$$

holds almost everywhere. It follows that for all  $\theta$  not belonging to some null set  $N_1$  the above identities hold for all  $n$ . Thus if  $\theta \notin N \cup N_1$  we have

$$\frac{\partial}{\partial \lambda} U(\theta, \lambda) = U(\theta, \lambda) V(\theta, \lambda)$$

for all  $\lambda \in D(\lambda_0, \delta)$ . This implies that for any rectifiable curve  $\Gamma$  which lies in  $D(\lambda_0, \delta)$  and has initial point  $\lambda_0$  and terminal point  $\lambda$

$$U(\theta, \lambda) = U(\theta, \lambda_0) \exp \left\{ \int_{\Gamma} V(\theta, \mu) d\mu \right\}.$$

Since this holds for all  $\theta \notin N \cup N_1$  and since for each  $\lambda, \mu$

$$f_\lambda = U(\theta, \lambda), P(\varphi - \mu)^{-1} = V(\theta, \mu) \quad \text{a.e.}$$

we conclude that (10) holds, at least for curves  $\Gamma$  of this special type. But any rectifiable curve lying in  $\rho(T_\varphi)$  may be obtained by joining finitely many curves of the special type, so (10) holds in general. Formula (11) is an immediate consequence of (10) and (14).

**THEOREM.**  $\sigma(T_\varphi)$  is connected.

*Proof.* It suffices to show that if  $C$  is a simple closed curve in  $\rho(T_\varphi)$  the  $\sigma(T_\varphi)$  is either entirely inside or entirely outside  $C$ . Let us apply Lemma 6 with  $\Gamma = C$  and observe that by (14)  $f_\lambda$  is almost nowhere zero. Then we obtain

$$\exp \left\{ \int_{\sigma} P(\varphi - \mu)^{-1} d\mu \right\} = 1.$$

Thus if

$$\phi(\theta) = \begin{cases} 1 & \varphi(\theta) \text{ inside } C \\ 0 & \varphi(\theta) \text{ outside } C \end{cases}$$

we have  $e^{-2\pi i P\phi} = 1$ . Therefore  $P\phi$  is a real (in fact integer) valued  $H_2$  function and so is constant. But since  $\phi$  is real valued this implies that  $\phi$  is itself constant, and so  $R(\phi)$  lies entirely inside or entirely outside  $C$ . Assume the latter. The other case is quite similar, except that the point at infinity is involved; but this is handled in the usual way.

Let  $\Omega$  be a simply connected open set which contains  $C$  and such that any point of  $\Omega$  not inside  $C$  belongs to  $\rho(T_\varphi)$ . Choose  $\lambda_0 \in C$ , keep it fixed, and use (10) and (11) to define  $f_\lambda$  and  $g_\lambda$  for all  $\lambda \in \Omega$ . Here  $\Gamma$  is always taken to lie in  $\Omega$ . Notice that

$$\int_\Gamma P(\varphi - \mu)^{-1} d\mu$$

is independent of  $\Gamma$  (since  $\Omega$  is simply connected and  $P(\varphi - \mu)^{-1}$  is  $L_p$ -analytic for  $\mu$  in  $\Omega$ ) and represents an  $L_p$ -analytic function of  $\lambda$ . Therefore  $f_\lambda$  and  $g_\lambda$  are analytic throughout  $\Omega$  and by Lemma 3 even  $L_p$ -analytic and  $L_q$ -analytic respectively inside  $C$ . If  $h \in H_q^\circ$  then

$$\int f_\lambda h d\theta = 0$$

whenever  $\lambda \in \rho(T_\varphi)$ , since  $f_\lambda \in H_p$ . But since  $f_\lambda$  is  $L_p$ -analytic throughout  $\Omega$  this identity holds throughout  $\Omega$ , and so  $f_\lambda \in H_p$  for all  $\lambda \in \Omega$ . Similarly we have  $g_\lambda \in H_q$  for all  $\lambda \in \Omega$ . Moreover the identities (9) and (14) which hold in  $\rho(T_\varphi)$  persist in  $\Omega$ .

We show now that  $T_\varphi - \lambda I$  is invertible for each  $\lambda$  inside  $C$ . Suppose  $h \in H_p$  and  $(T_\varphi - \lambda I)h = 0$ . Then

$$\overline{\varphi - \lambda} \bar{h} \in H_p^\circ.$$

Since, by (9),

$$\overline{(\varphi - \lambda)^{-1}} \bar{g}_\lambda \in H_q$$

we deduce  $\overline{hg_\lambda} \in H_1^\circ$ . But since  $hg_\lambda \in H_1$  we must have  $hg_\lambda = 0$  and so  $h = 0$ . We have shown that  $T_\varphi - \lambda I$  is one-one.

Next let  $k \in H_\infty$  be arbitrary and for  $\lambda \in \rho(T_\varphi)$  let  $h_\lambda \in H_p$  denote the solution of

$$(17) \quad (T_\varphi - \lambda I)h_\lambda = k.$$

Then

$$(\varphi - \lambda)h_\lambda = k + \bar{l}_\lambda \quad l_\lambda \in H_p^\circ .$$

Multiplying both sides by  $(\varphi - \lambda)^{-1}g_\lambda$  and using (13) we obtain

$$g_\lambda h_\lambda = (\varphi - \lambda)^{-1}g_\lambda k + (1 + \bar{v}_\lambda)\bar{l}_\lambda .$$

Since  $g_\lambda h_\lambda \in H_1$  and  $(1 + v_\lambda)l \in H_1^\circ$  we conclude that

$$g_\lambda h_\lambda = P(\varphi - \lambda)^{-1}g_\lambda k .$$

Therefore

$$h_\lambda = f_\lambda P(\varphi - \lambda)^{-1}g_\lambda k .$$

Let this identity, which holds for  $\lambda \in \rho(T_\varphi)$ , be used to define  $h_\lambda$  for  $\lambda \in \Omega$ . Note that since  $k$  is bounded  $P(\varphi - \lambda)^{-1}g_\lambda k$  is  $L_q$ -analytic and so  $h_\lambda$  is analytic. But since

$$\sup_{\mu \in \mathcal{O}} \|h_\mu\|_p \leq \sup_{\mu \in \mathcal{O}} \|(T_\varphi - \lambda I)^{-1}\| \|k\|_p$$

Lemma 3 tells us that  $h_\lambda$  is  $L_p$ -analytic inside  $C$  and satisfies the inequality

$$(18) \quad \|h_\lambda\|_p \leq \sup_{\mu \in \mathcal{O}} \|(T_\varphi - \lambda I)^{-1}\| \|k\|_p$$

there. By an argument already given  $h_\lambda \in H_p$  and satisfies (17) there.

Finally let  $k$  be an arbitrary function belonging to  $H_p$ . Then we can find a sequence of functions  $k_n$  belonging to  $H_\infty$  and satisfying  $\|k_n - k\|_p \rightarrow 0$ . Let  $h_{n,\lambda}$  denote the solution of

$$(T_\varphi - \lambda I)h_{n,\lambda} = k_n .$$

As  $n, m \rightarrow \infty$  we have  $\|k_n - k_m\|_p \rightarrow 0$ , so by (18)

$$\|h_{n,\lambda} - h_{m,\lambda}\|_p \rightarrow 0 .$$

Then  $\{h_{m,\lambda}\}$  converges in  $L_p$  to a function  $h_\lambda \in H_p$  and

$$(T_\varphi - \lambda I)h_\lambda = k .$$

This completes the proof of the theorem.

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