

Diagonalization in Banach Algebras and Jordan-Banach Algebras

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1. INTRODUCTION

Let A be a complex Banach or Jordan-Banach algebra. To study the properties of the spectrum function $x \mapsto \text{Sp } x$ we use the so called Hausdorff distance on compact sets of the complex plane \mathbb{C} defined by

$$\Delta(\sigma_1, \sigma_2) = \max \left\{ \sup_{\lambda \in \sigma_2} \{\text{dist}(\lambda, \sigma_1)\}, \sup_{\lambda \in \sigma_1} \{\text{dist}(\lambda, \sigma_2)\} \right\}$$

where $\text{dist}(\lambda, \sigma) = \inf\{|\lambda - \mu| : \mu \in \sigma\}$ is the distance of the point λ to the compact set σ (see [1, p. 48]). In this paper, we intend to prove that if the spectrum of an element $a \in A$ is finite and the function $x \mapsto \text{Sp } x$ is lipschitzian at a , that is $\Delta(\text{Sp}(a+x), \text{Sp}(a)) \leq M\|x\|$, then a is diagonalizable; in other words we can write a as a linear combination of projections. B. Aupetit proved an analogous spectral characterization for idempotents in [3], that is, elements $e \in A$ such that $e^2 = e$ (hence in particular $\text{Sp } e = \{0, 1\}$), this is in fact contained in the proof of [3, Theorem 1.1]. Recall that a Banach algebra A is said to be semisimple if $\text{Rad}(A) = \{0\}$, where $\text{Rad}(A)$ is the Jacobson radical of A . In what follows $\rho(x)$ stands for the spectral radius of the element x , in our case we can write $\rho(x) = \max\{|\lambda| : \lambda \in \text{Sp } x\}$. We gather now some well-known results on the spectrum [1, 3].

PROPOSITION 1.1. *Let A be a semisimple Banach algebra and let p be an idempotent element of A . Then pAp is a closed semisimple subalgebra of A*

with identity p such that $\text{Sp}_{pAp}(p xp) \subset \text{Sp}_A(p xp)$ and $\rho_{pAp}(p xp) = \rho_A(p xp)$ for every $x \in A$. Moreover, if a_1, \dots, a_n are elements of A such that $a_i a_j = 0$ for $i \neq j$, then

$$\text{Sp}(a_1 + \dots + a_n) \cup \{0\} = \text{Sp } a_1 \cup \dots \cup \text{Sp } a_n \cup \{0\}.$$

2. THE BANACH ALGEBRA CASE

To prove our result we need the following lemma which is taken from [3]. A proof is included since it is short and essential for our theorem.

LEMMA 2.1. *Let $q \in A$ be a quasinilpotent element. Suppose there exists two positive constants r and M such that $\rho(x) \leq M\|x - q\|$ for $\|x - q\| < r$, then $q \in \text{Rad}(A)$.*

Proof. Let $y \in A$ be arbitrary. For $|\lambda| > \frac{\|y\|}{r}$, we have $\rho(q + \frac{y}{\lambda}) \leq M\frac{\|y\|}{|\lambda|}$, so $\rho(y + \lambda q) \leq M\|y\|$. Hence the upper semicontinuous function $\lambda \mapsto \rho(y + \lambda q)$ is bounded on the complex plane \mathbb{C} . Being subharmonic [1, Theorem 3.4.7], it is constant by Liouville’s theorem for subharmonic functions [1, Theorem A.1.1]. So $\rho(y + \lambda q) = \rho(y)$ for every $y \in A$. By the characterization of the radical [1, Theorem 5.3.1] we have $q \in \text{Rad}(A)$. ■

THEOREM 2.2. *Let A be a semisimple Banach algebra, and let $a \in A$ have finite spectrum, $\text{Sp } a = \{\alpha_1, \dots, \alpha_n\}$. Suppose that the spectral mapping $x \mapsto \text{Sp}_A(x)$ is lipschitzian at a . Then there exists n nonzero orthogonal projectors p_1, \dots, p_n whose sum is 1 such that $a = \alpha_1 p_1 + \dots + \alpha_n p_n$.*

Proof. Let $a \in A$ be with $\text{Sp } a = \{\alpha_1, \dots, \alpha_n\}$. By Holomorphic Functional calculus (see [5, Proposition 7.9]), there exist n nonzero orthogonal projections p_1, \dots, p_n such that $1 = p_1 + \dots + p_n$, $p_i p_j = 0$ for $i \neq j$, $a p_i = p_i a$ and $\text{Sp}_A(a_i) = \{\alpha_i\}$, for $1 \leq i \leq n$. Set $a_i = p_i a$. Then $a_i \in p_i A p_i$ with $\text{Sp}_{p_i A p_i}(a_i) = \{\alpha_i\}$ by Proposition 1.1. Let us now see that the spectral mapping $x \mapsto \text{Sp}_{p_i A p_i}(x)$ is lipschitzian at $a_i - \alpha_i p_i$ for each $1 \leq i \leq n$. Indeed, take $i = 1$ and let $x_1 \in p_1 A p_1$, we have

$$\begin{aligned} a - \alpha_1 1 + x_1 &= \sum_{i=1}^n a_i - \alpha_1 \left(\sum_{i=1}^n p_i \right) + x_1 \\ &= (a_1 - \alpha_1 p_1 + x_1) + \sum_{j=2}^n (a_j - \alpha_1 p_j). \end{aligned}$$

By the preceding and orthogonality we have

$$\text{Sp}_A(a - \alpha_1 1 + x_1) \cup \{0\} = \text{Sp}_A(a_1 - \alpha_1 p_1 + x_1) \cup \{0, \alpha_2 - \alpha_1, \dots, \alpha_n - \alpha_1\}$$

and

$$\begin{aligned} \rho_{p_1 A p_1}(a_1 - \alpha_1 p_1 + x_1) &= \rho_A(a_1 - \alpha_1 p_1 + x_1) \\ &= \Delta(\text{Sp}_A(a_1 - \alpha_1 p_1 + x_1), \text{Sp}_A(a_1 - \alpha_1 p_1)) \\ &= \Delta(\text{Sp}_A(a - \alpha_1 p_1 + x_1), \text{Sp}_A(a - \alpha_1 p_1)) \\ &= \Delta(\text{Sp}_A(a + x_1), \text{Sp}_A(a)) \\ &\leq M \|x_1\|. \end{aligned}$$

Therefore, $x \mapsto \text{Sp}_{p_1 A p_1}(x)$ is lipschitzian at $a_1 - \alpha_1 p_1$, with $\text{Sp}_{p_1 A p_1}(a_1 - \alpha_1 p_1) = 0$. Hence $a_1 - \alpha_1 p_1 = 0$ by Lemma 2.1, which completes the proof. ■

3. THE JORDAN-BANACH CASE

We recall that a complex Jordan algebra A is non-associative and the product satisfies the identities $ab = ba$ and $(ab)a^2 = a(ba^2)$, for all a, b in A . A unital Jordan-Banach algebra is a Jordan algebra with a complete submultiplicative norm. An element $a \in A$ is said to be invertible if there exists $b \in A$ such that $ab = 1$ and $a^2 b = a$. The spectrum of $x \in A$ is by definition the set of $\lambda \in \mathbb{C}$ for which $\lambda - x$ is not invertible in A .

Since we consider only complex semisimple Jordan-Banach algebras, the analogue of Proposition 1.1 is valid in the Jordan case if we replace the subalgebra pAp by $U_p A$ and use Propositions 4, 5, 6 and 7 of [4].

Using the characterization of the Jacobson radical for Jordan algebras obtained in [2], Lemma 2.1 is also true for Jordan-Banach algebras.

With all these results and those in [6] we can establish exactly as in the associative case the following analogue of Theorem 2.2.

THEOREM 3.1. *Let A be a semisimple complex Jordan-Banach algebra, and let $a \in A$ have finite spectrum, $\text{Sp } a = \{\alpha_1, \dots, \alpha_n\}$. Suppose that the spectral mapping $x \mapsto \text{Sp}_A(x)$ is lipschitzian at a . Then there exists n nonzero orthogonal projectons p_1, \dots, p_n whose sum is 1 such that $a = \alpha_1 p_1 + \dots + \alpha_n p_n$.*

Proof. Almost the same as the proof of Theorem 2.2 except that the unital algebra pAp is replaced by the algebra $U_p A$. Note also that the spectral map-

ping theorem used here is applied to the full closed subalgebra of A generated by a which is unital and associative (cf. [6, Theorem 2.7]). ■

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