

On simple permanence

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Abstract “Simple permanence” is one of several variants of “spectral permanence”, which are curiously interrelated.

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0. Introduction

This is a reworking of our previous note [DZH], in which we deployed “Drazin permanence” and *quasipolar* Banach algebra elements in the proof of a variant of the “spectral permanence” enjoyed by C^* algebras. Here we use instead “simple permanence” and *simply polar* elements of semigroups and rings: we believe that the argument is now more transparent and more elementary.

1. Generalized permanence

If $T : A \rightarrow B$ is a “semigroup homomorphism” [DZH] then there is inclusion

$$1.1 \quad T(A^{-1}) \subseteq B^{-1} \subseteq B ,$$

where A^{-1} is the invertible group of A , and hence also

$$1.2 \quad A^{-1} \subseteq T^{-1}B^{-1} \subseteq A ;$$

equality here is what is known as the “Gelfand property”, or *spectral permanence*, for the homomorphism T :

$$1.3 \quad T^{-1}B^{-1} \subseteq A^{-1} .$$

More generally the “relatively regular” elements

$$1.4 \quad A^\cap = \{a \in A : a \in aAa\}$$

satisfy

$$1.5 \quad A^{-1} = A_{left}^{-1} \cap A_{right}^{-1} \subseteq A_{left}^{-1} \cup A_{right}^{-1} \subseteq A^\cap ,$$

and if $T : A \rightarrow B$ is a semigroup homomorphism then

$$1.6 \quad T(A^\cap) \subseteq B^\cap \subseteq B ,$$

and hence

$$1.7 \quad A^\cap \subseteq T^{-1}B^\cap \subseteq A .$$

Equality in this case will be described as *generalized permanence* for T :

$$1.8 \quad T^{-1}B^\cap \subseteq A^\cap .$$

We recall [DZH] that spectral permanence does not in general imply generalized permanence:

Theorem 1 *For ring homomorphisms $T : A \rightarrow B$ there is implication*

spectral and generalized permanence together imply one-one .

Proof. Generally $T : A \rightarrow B$ has spectral permanence only if

$$1.9 \quad T^{-1}(0) \subseteq \text{Rad}(A) ,$$

has generalized permanence only if

$$1.10 \quad T^{-1}(0) \subseteq A^\cap ,$$

and evidently

$$1.11 \quad \text{Rad}(A) \cap A^\cap = O \equiv \{0\} ,$$

where

$$1.12 \quad \text{Rad}(A) = \{a \in A : 1 - Aa \subseteq A^{-1}\} \bullet$$

2. Simple polarity

If $a \in A$ has a commuting generalized inverse we shall call it “group invertible” or *simply polar*:

$$2.1 \quad \text{SP}(A) = \{a \in A : a \in a \text{ comm}(a)a\} .$$

If $T : A \rightarrow B$ is a homomorphism then

$$2.2 \quad T\text{SP}(A) \subseteq \text{SP}(B) \subseteq B ,$$

equivalently

$$2.3 \quad \text{SP}(A) \subseteq T^{-1}\text{SP}(B) \subseteq A .$$

When there is equality here we say that T has *simple permanence*. If we think of the counterimage $T^{-1}B^{-1}$ as in some sense “Fredholm” elements of the semigroup A , then the counterimage $T^{-1}\text{SP}(B)$ abstracts what Caradus [C] and Schmoeger [S] have called *generalized Fredholm operators*.

Necessary and sufficient for $a \in A$ to be simply polar is [X],[HLu] that

$$2.4 \quad a \in Aa^2 \cap a^2A :$$

recall

$$a^2u = a = va^2 \implies aua = a = ava$$

and take $c = vau$ for a “group inverse”. Also necessary and sufficient for $a \in \text{SP}(A)$, in rings, is ([S];[KDH] Theorem 5) that there be a “semigroup inverse”, $c \in A$ for which

$$2.5 \quad a = aca ; 1 - ac - ca \in A^{-1} .$$

Notice also

$$2.6 \quad \text{SP}(A) \subseteq A^\cup = \{a \in A : a \in aA^{-1}a\} :$$

observe that $a + (1 - ac)$ and $cac + (1 - ac)$ are mutually inverse. It follows

$$2.7 \quad \text{SP}(A) \cap A_{left}^{-1} = A^{-1} = \text{SP}(A) \cap A_{right}^{-1} .$$

Theorem 2 *If the semigroup A is commutative and the range*

$$2.8 \quad T(A) \cap B_{left}^{-1} \setminus B^{-1} \neq \emptyset$$

then $T : A \rightarrow B$ does not have generalized permanence. It follows that spectral permanence and one one do not together imply generalized permanence.

Proof. If A is commutative then, using (2.7),

$$2.9 \quad T(a) \in B^\cap \setminus \text{SP}(B) \implies a \notin A^\cap ,$$

violating generalized permanence. In particular if

$$2.10 \quad T = J : A = \text{comm}_B^2(a) \subseteq B$$

then T is one one and has spectral permanence, while

$$2.11 \quad a \in B_{left}^{-1} \setminus B^{-1} \implies a \in B^\cap \setminus \text{SP}(B) \bullet$$

For a specific example ([DZH] Theorem 3.2) take $a \in B = B(\ell_2)$ to be the (forward) unilateral shift.

Alternatively, replace the natural embedding J by the left regular representation L . For another example look at the embedding, for a compact Hausdorff space X ,

$$2.12 \quad C(X) \subseteq \mathbf{C}^X ,$$

or alternatively, for a Banach space X ,

$$2.13 \quad B(X) \subseteq L(X) ;$$

here of course spectral permanence follows from the *open mapping theorem*.

Theorem 3 *When $T : A \rightarrow B$ is a ring homomorphism then*

$$2.14 \quad T \text{ one one with spectral permanence} \implies T \text{ has simple permanence} .$$

Proof. The last implication is the argument of Theorem 1; conversely observe

$$2.15 \quad \text{SP}(A) \cap T^{-1}B_{left}^{-1} \subseteq A^\cup \cap T^{-1}B_{left}^{-1} \subseteq A^{-1} + T^{-1}(0) \bullet$$

In general (2.12) spectral permanence and one one do not guarantee simple permanence.

3. Simply polar operators

When $a \in A = L(X)$ is in the ring of additive maps on an abelian group X then necessary and sufficient that $a \in \text{SP}(A)$ is that it is both “of ascent 1”, in the sense that

$$3.1 \quad a^{-2}(0) \subseteq a^{-1}(0) ,$$

equivalently

$$3.2 \quad a^{-1}(0) \cap a(X) = O ,$$

and also “of descent 1”, in the sense that

$$3.3 \quad a(X) \subseteq a^2(X) ,$$

equivalently

$$3.4 \quad a^{-1}(0) + a(X) = X .$$

The same conditions characterise simple polarity in the ring of linear mappings on a vector space, and also in the ring $A = B(X)$ of bounded linear mappings on a Banach space: here however two or three applications of the open mapping theorem are necessary. For incomplete normed spaces however the conditions (3.1) and (3.3), even together with relative regularity $a \in A^\cap$, are not in general sufficient:

Theorem 4 *If $a \in A$ is arbitrary in the ring A then, with*

$$3.5 \quad b = \begin{pmatrix} a & -1 \\ 0 & 0 \end{pmatrix} \in B = \begin{pmatrix} A & A \\ A & A \end{pmatrix} , \quad d = \begin{pmatrix} 0 & -1 \\ -1 & 0 \end{pmatrix} \in B ,$$

then automatically

$$b = bdb \in B^\cap ,$$

while there is implication

$$b \in Bb^2 \implies a \in A_{left}^{-1} ,$$

and also implication

$$b \in b^2B \implies a \in A_{right}^{-1} .$$

Hence

$$b \in \text{SP}(B) \implies a \in A^{-1} .$$

Proof. Look at the top right hand corner element •

For example ([H] (7.3.6.8)) we may take $A = B(X)$ with $X = c_{00} \subseteq c_0$ the space of “terminating sequences”, and $a = w \in A$ the “standard weight”

$$w(x)_n = (1/n)x_n .$$

When $A = B(X)$ for a normed space X and $a \in A$ is of ascent and descent one then [X] each of the following conditions is sufficient for simple polarity:

X complete ;

$a \in A$ Fredholm ;

$a \in A$ finite rank ;

$b \in X$ a normed algebra and $a \in \{L_b, R_b\} \subseteq B(X)$.

4. Koliha-Drazin permanence

More generally if there is $n \in \mathbf{N}$ for which a^n is simply polar we shall also say that $a \in A$ is “polar”, or *Drazin invertible*. If $a \in A$ is polar then there is $c \in A$ for which $ac = ca$ and $a - ca$ is *nilpotent*. More generally still if we write, in a Banach algebra A ,

$$4.1 \quad \text{QN}(A) = \{a \in A : 1 - \mathbf{C}a \subseteq A^{-1}\}$$

for the *quasinilpotents* of A , then $a \in \text{QN}(A)$ if and only if $\sigma_A(a) \subseteq \{0\}$, while with some complex analysis we can prove that if $a \in \text{QN}(A)$ then

$$4.2 \quad \|a^n\|^{1/n} \rightarrow 0 \quad (n \rightarrow \infty) .$$

Since (4.1) and (4.2) are equivalent it follows that also equivalent [H2],[K] is the condition

$$4.3 \quad \text{QN}(A) = \{a \in A : 1 - \text{comm}(a)a \subseteq A^{-1}\} .$$

In the ultimate generalization of “group invertibility”, we shall write $\text{QP}(A)$ for the *quasipolar* elements $a \in A$, those which have a *spectral projection*, $q \in A$ for which

$$4.4 \quad q = q^2 ; aq = qa ; a + q \in A^{-1} ; aq \in \text{QN}(A) .$$

Now [K] the spectral projection and the *Koliha-Drazin inverse*

$$4.5 \quad a^\bullet = q , a^\times = (a + q)^{-1}(1 - q)$$

are uniquely determined and lie in the double commutant of $a \in A$. It is easy to see that if (4.4) is satisfied then

$$4.6 \quad 0 \notin \text{acc } \sigma_A(a) :$$

the origin cannot be an accumulation point of the spectrum; conversely if (4.6) holds then we can display the spectral projection as a sort of “vector-valued winding number”

$$4.7 \quad a^\bullet = \frac{1}{2\pi i} \oint_{\gamma} (z - a)^{-1} dz ,$$

where we integrate counter clockwise round a small circle γ centre the origin whose *connected hull* $\eta\gamma$ is a disc whose intersection with the spectrum is at most the point $\{0\}$. By the same technique we can display the Koliha-Drazin inverse in the form

$$4.8 \quad a^\times = \frac{1}{2\pi i} \oint_{\sigma'(a)} z^{-1}(z - a)^{-1} dz ,$$

where $\sigma'(a) = \sigma(a) \setminus \{0\}$. Now generally for a homomorphism $T : A \rightarrow B$ there is inclusion

$$4.9 \quad T \text{QP}(A) \subseteq \text{QP}(B) ,$$

while if $T : A \rightarrow B$ has spectral permanence in the sense (1.3) then it is clear from (4.6) that there is also “Drazin permanence” in the sense that

$$4.10 \quad \text{QP}(A) = T^{-1}\text{QP}(B) \subseteq A :$$

Theorem 5 For Banach algebra homomorphisms $T : A \rightarrow B$ there is implication

$$4.11 \quad \text{spectral permanence} \implies \text{Drazin permanence.}$$

Proof. Equality in (1.3), expressed [DZH] in terms of the spectrum, together with (4.6) •

We recall ([DZH] Theorem 2) that in (2.11) the shift $a \in B^\cap \setminus \text{QP}(B)$.

As a sort of converse to Theorem 5, and squaring the circle in Theorem 3,

Theorem 6 If $T : A \rightarrow B$ is a Banach algebra homomorphism then

$$4.12 \quad \text{QP}(A) \cap T^{-1}(B^{-1}) \subseteq A^{-1} + T^{-1}(0)$$

and if $T : A \rightarrow B$ is one one then

$$4.13 \quad \text{QP}(A) \cap T^{-1}\text{SP}(B) = \text{SP}(A) .$$

Hence if $a \in B$ and $T = J : A = \text{comm}^2(a) \subseteq B$ then

$$4.14 \quad A^\cap = T^{-1}\text{SP}(B) .$$

Hence if $T^{-1}(0) = \{0\}$ is one one then

$$4.15 \quad \text{Drazin} \implies \text{simple} \implies \text{spectral permanence} .$$

Proof. Uniqueness guarantees that the spectral projection $T(a)^\bullet$ of $Ta \in \text{SP}(B) \subseteq \text{QP}(B)$ commutes with $T(a) \in B$, and one-one-ness guarantees the same for $a \in A$ •

5. Moore-Penrose permanence

By a *star semigroup* we shall understand a semigroup A with an *involution*, $*$: $A \rightarrow A$ satisfying, for arbitrary $a, c \in A$,

$$5.1 \quad (a^*)^* = a ; (ca)^* = a^*c^* ; 1^* = 1 .$$

In rings and algebras involutions are assumed to be additive, and “conjugate linear”. Obviously there is implication

$$5.2 \quad a \in H(A) \implies a^* \in H(A)$$

for each $H(A) \in \{A^{-1}, A^\cap, SP(A)\}$. Elements $a \in A$ are said to be *hermitian* or “real” when they are the same as their adjoints:

$$5.3 \quad \text{Re}(A) = \{a \in A : a^* = a\} .$$

A *Moore-Penrose* inverse for $a \in A$ is $c = a^\dagger \in A$ for which the induced idempotents are hermitian:

$$5.4 \quad a = aca ; c = cac ; (ca)^* = ca ; (ac)^* = ac .$$

We write $A^\dagger \subseteq A^\cap$ for those $a \in A$ for which a^\dagger exists. The argument ([HM] Theorem 5) for “C* algebras” works in semigroups [X2], and says that

$$5.5 \quad a^\dagger \in \text{comm}^2(a, a^*)$$

is unique and double commutes with $\{a, a^*\}$ in A . The “B* condition”, in a Banach algebra A , says that

$$5.6 \quad \|a^*a\| = \|a\|^2 .$$

It follows

$$a, x \in A \implies \|ax\|^2 \leq \|x^*\| \|a^*ax\|$$

and hence that $*$ is *cancellable* in the sense that

$$5.7 \quad a \in A \implies L_{a^*a}^{-1}(0) \subseteq L_a^{-1}(0) ;$$

in words ([HLa] Definition 1) the pair (L_{a^*}, L_a) is “left skew exact”. We need one more object: the “star polars”

$$5.8 \quad SP^*(A) = \{a \in A : a^*a \in A^\cap\} .$$

Our main objective is to prove again the Harte/Mbekhta observation ([HM] Theorem 6) that in a C* algebra A

$$5.9 \quad A^\cap \subseteq A^\dagger ,$$

relatively regular elements always have Moore-Penrose inverse, and that [HM2] isometric C* algebra homomorphisms have generalized permanence. We begin by collecting some elementary observations:

Theorem 7 *If the involution $*$: $A \rightarrow A$ is cancellable then there is inclusion*

$$5.10 \quad A^\dagger \subseteq SP^*(A) \subseteq A^\cap ,$$

Proof. With cancellation there is implication

$$a \in SP^*(A) \implies a \in aAa^*a \subseteq Aa^*a \cap aAa ,$$

and equality

$$\text{Re}(A) \cap SP^*(A) = \text{Re}(A) \cap SP(A) .$$

If $a = aca \in A^\dagger$ with $a^\dagger = c$ then

$$a^*a = a^*(ac)(ac)^*a = a^*acc^*a^*a \in a^*aAa^*a ;$$

conversely (5.7)

$$a^*a = a^*ada^*a \implies a = ada^*a ;$$

hence also

$$a \in Aa^*a , \iff a^* \in a^*aA .$$

Hence if $a^* = a$ then (2.4) follows •

Now it is clear that isometric C^* homomorphisms have “Moore-Penrose permanence”:

Theorem 8 *If $T : A \rightarrow B$ is a $*$ homomorphism with simple permanence there is inclusion*

$$5.11 \quad T^{-1}B^\dagger \subseteq A^\dagger .$$

Proof. We claim

$$A^\dagger = \{a \in A : a^*a \in \text{SP}(A)\} ,$$

with implication

$$a^*a \in \text{SP}(A) \implies a^\dagger = (a^*a)^\times a^* .$$

If $a \in A^\dagger$ with $a = aca$ and $(ca)^* = ca$ and $(ac)^* = ac$ then, with $d = cc^*$, we have

$$a^*ad = a^*acc^* = a^*c^*a^*c^* = ca$$

and

$$da^*a = cc^*a^*a = ca .$$

Conversely if $a^*a = a^*ada^*a$ with $a^*ad = da^*a$ and (wlog: $d \mapsto \frac{1}{2}(d + d^*)$) $d = d^*$ then, with $c = da^*$,

$$aca = ada^*a = a \text{ and } ca = da^*a = a^*ad = a^*c^* .$$

Now if $a \in A$ there is, using Theorem 3, implication

$$Ta \in B^\dagger \implies T(a^*a) \in \text{SP}(B) \implies a^*a \in \text{SP}(A) \implies a \in A^\dagger \bullet$$

Thanks to (5.9), this is of course “generalized permanence”. The Harte/Mbekhta result is derived by using the “poor man’s path” to convert the idempotents ca and ac into self adjoint idempotents. Alternatively, thanks to the Gelfand/Naimark/Segal representation, we can look first in the very special algebra $D = B(X)$ of bounded Hilbert space operators:

Theorem 9 *If $d \in D = B(X)$ for a Hilbert space X then*

$$5.12 \quad (d^*d)^{-1}(0) \subseteq d^{-1}(0)$$

and

$$5.13 \quad \text{cl } d(X) + d^{*-1}(0) = X ;$$

hence

$$5.14 \quad \text{cl } d(X) = d(X) \implies d^*(X) = d^*d(X) , \implies \text{cl } d^*d(X) = d^*d(X) .$$

There is inclusion

$$5.15 \quad \text{Re}(D) \cap D^\dagger \subseteq \text{SP}(D) ;$$

hence

$$5.16 \quad d \in D^\dagger \implies d \in \text{SP}^*(D) \implies d^*d \in \text{SP}(D) \implies d \in D^\dagger .$$

Proof. For arbitrary $\xi \in X$ there is [DZH] inequality

$$\|d\xi\|^2 \leq \|\xi\| \|d^*d\xi\| ,$$

and also

$$\text{cl } d(X) = d^{*-1}(0)^\perp \bullet$$

Both of the Harte/Mbekhta observations now follow:

Theorem 10 *If $T : A \rightarrow B$ is isometric then*

$$5.17 \quad T^{-1}(B^\dagger) \subseteq A^\dagger .$$

Proof. With $S : B \rightarrow D = B(X)$ a GNS mapping we argue, using again Theorem 3,

$$Ta \in B^\dagger \implies ST(a^*a) \in \text{SP}(D) \implies a^*a \in \text{SP}(A) \implies a \in A^\dagger \bullet$$

In Theorem 4.1 of [DZH] we established this using the more esoteric $\text{QP}(A)$ rather than $\text{SP}(A)$. It would be entertaining to be able to replace the GNS representation in Theorem 9 with the much more elementary left regular representation $L : A \rightarrow B(A)$.

6. Polar decomposition

We conclude with a discussion of the “polar decomposition” of C^* algebra elements. In the algebra of operators $A = B(X)$ it is familiar that an arbitrary element $a \in A$ can be written as the product of a “partial isometry” and a positive operator. It is not clear that this can be done in a general C^* algebra: for example if $A = C[0, 1]$ there are only two idempotents in A and hence only two possible partial isometries. We want here to observe that [H3] at least the Moore-Penrose invertibles have polar decomposition. By a *generalized polar decomposition* for an element $a \in A$ of a C^* algebra we shall understand a pair $(u, c) \in A^2$ for which $a = uc$ with

$$6.1 \quad u = uu^*u ;$$

$$6.2 \quad c = c^* ;$$

$$6.3 \quad L_u^{-1}(0) \subseteq L_c^{-1}(0) .$$

If in addition

$$6.4 \quad 0 \leq c \text{ and } L_c^{-1}(0) \subseteq L_u^{-1}(0)$$

then we shall say that (u, c) a *polar decomposition* of $a \in A$. We claim ([H3] Theorem 4)

Theorem 11 *If $(u, c) \in A^2$ is a generalized polar decomposition of $a \in A$ then*

$$6.5 \quad a^*a = c^2 \text{ and } u^*a = c .$$

If (u, c) is a polar decomposition of a then each of u and c are uniquely determined and lie in the double commutant of (a, a^) . Also*

$$6.6 \quad aa^*u = ua^*a .$$

Proof. For the first part of (6.5) observe that

$$u^*uc - c \in L_u^{-1}(0) \subseteq L_c^{-1}(0) ;$$

now

$$(u^*a - c)^*(u^*a - c) = c(u^*u - 1)^2c = 0 ,$$

and the second part of (6.5) follows by cancellation. When (u, c) is a polar decomposition then the positivity gives the uniqueness of c :

$$6.7 \quad c = |a| = (a^*a)^{1/2} .$$

The uniqueness of u^*u and uu^* follows from their status as “support” and “cosupport” projections for a ; for the uniqueness of u suppose $a = uc = vc$ satisfying (6.1)-(6.4): then

$$(1 - v^*u)c = 0 \implies c(1 - u^*v) = 0 , \implies u(1 - u^*v) = 0 .$$

Now

$$u^*u = u^*uuv , \implies u^*(u - v) = 0 ,$$

similarly $v^*(u - v) = 0$, and hence $v = u$ by cancellation.

It is clear from (6.7) that c is in the double commutant of (a, a^*) , as are also the support and cosupport u^*u and uu^* . Finally if $d \in \text{comm}(a, a^*)$ then it also commutes with each of c , u^*u and uu^* and hence

$$cu^*d = dcu^* = cdu^* \implies uu^*d = udu^* \implies duu^* = uu^*d = udu^*$$

and hence

$$du = duu^*uudu^*u = uu^*ud = ud .$$

Finally, for (6.6),

$$aa^*u = uc^2u^*u = ua^*au^*u = ua^*a \bullet$$

We shall write

$$6.8 \quad (u, c) = (\operatorname{sgn}(a), |a|) .$$

Evidently, taking limits of polynomials in a^*a ,

$$6.9 \quad |a^*|u = u|a| ;$$

It follows

$$6.10 \quad (\operatorname{sgn}(a^*), |a^*|) = (\operatorname{sgn}(a)^*, \operatorname{sgn}(a)|a|\operatorname{sgn}(a)^*) .$$

We can characterise ([H3] Theorem 5) relative regularity in terms of the polar decomposition:

Theorem 12 *If $a \in A^\dagger \subseteq A$ has a Moore-Penrose inverse then it has a polar decomposition, with*

$$6.11 \quad \operatorname{sgn}(a) = (a^\dagger)^*|a| .$$

If $a \in A$ has polar decomposition (u, c) then

$$6.12 \quad d = c + 1 - u^*u \implies L_d^{-1}(0) = \{0\} ,$$

and

$$6.13 \quad a \in A^\dagger \implies d \in A^{-1} \implies a \in A^\cap .$$

Proof. We argue, with $c = a^\dagger$ and $u = c^*|a|$, that

$$uu^*u = c^*|a|^2cc^*a = c^*a^*acc^*|a| = (ac)^*(ac)c^*|a| = c^*a^*c^*|a| = c^*|a|$$

and

$$u|a| = c^*|a|^2 = c^*a^*a = (ac)a = a .$$

If $x \in A$ is arbitrary there is implication

$$dx = 0 \implies ucx = 0 \implies cx = 0 = u^*ucx = 0 \implies u^8ux = 0 = (1 - u^*u)x = 0 .$$

Also

$$d \in A^{-1} \implies ad^{-1}u^*a = udd^{-1}a^*a = ua^*a = a .$$

Conversely if $a \in A^\dagger$ then $a^\dagger a = u^*u$ and $aa^\dagger = uu^*$ and hence

$$d' = (a^\dagger a + 1 - u^*u) \implies dd' = 1 = d'd \bullet$$

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