

# SPECTRAL PROPERTIES OF OPERATORS THAT CHARACTERIZE $\ell_\infty^{(n)}$

B. L. CHALMERS AND B. SHEKHTMAN

ABSTRACT. It is well known that the identity is an operator with the following property: if the operator, initially defined on an  $n$ -dimensional Banach space  $V$ , can be extended to any Banach space with norm 1, then  $V$  is isometric to  $\ell_\infty^{(n)}$ . We show that the set of all such operators consists precisely of those with spectrum lying in the unit circle. This result answers a question raised in [5] for complex spaces.

## 1. INTRODUCTION

Let  $V$  be an  $n$ -dimensional Banach space and let  $T$  be an operator mapping  $V$  into  $V$ . If  $X$  is another Banach space with  $X \supset V$  we let

$$e(T, X) := \inf\{\|\tilde{T}\| : \tilde{T} : X \rightarrow V, \tilde{T}|_V = T\}$$

and

$$e(T) := \sup\{e(T, X) : X \supset V\}.$$

In particular, if  $T = I_V$  is the identity on the space  $V$ , then  $e(T, X) = \lambda(V, X)$  and  $e(T) = \lambda(V)$ , where  $\lambda(V, X)$  and  $\lambda(V)$  are the relative (to  $X$ ) and absolute projection constants of the space  $V$ , respectively.

It is a classical result due to Nachbin [7] (cf [10]; see also [3]) that

$$(1.1) \quad e(I_V) = 1 \text{ iff } V \text{ is isometric to } \ell_\infty^{(n)}.$$

In this note we prove that the set of all such operators consists precisely of those with spectrum lying in the circle. Of course we cannot define an operator  $T$  other than (a scalar multiple of) the identity operator without specifying the space  $V$ . Hence this result has to be stated somewhat differently.

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We will formulate the result in terms of the action constants introduced in [2] and [4]. Let  $V$  be a fixed Banach space of dimension  $n$ , and let  $A$  be an  $n \times n$  matrix. Let  $A(V)$  be the set of all linear operators from  $V$  into  $V$  such that, for every  $T \in A(V)$ , there exists a basis in  $V$  with respect to which the matrix of the operator  $T$  is equal to  $A$ . (In this case we say that  $T$  corresponds to the matrix  $A$  and write  $T \sim A$ .) In this context we refer to  $A$  as an action. An *action constant* of  $A$  on  $V$  is defined to be

$$\lambda_A(V) := \inf\{e(T)/\|T\| : T \in A(V)\}.$$

With the help of this language we state the result in [5]:

**Theorem** ([5]). *Let  $A$  be an  $n \times n$  matrix and the field be real. Then the implication*

$$(\lambda_A(V) = 1) \Rightarrow (V \simeq \ell_\infty^{(n)})$$

*holds iff  $A = I$ .*

An *unconditional* action constant of  $A$  on  $V$  is defined to be

$$\lambda_A^u(V) := \inf\{e(T) : T \in A(V)\}.$$

Further, let  $\sigma(A)$  (the spectrum of  $A$ ) = the set of all eigenvalues of  $A$  and let  $\rho(A)$  (the spectral radius of  $A$ ) =  $\max\{|\lambda| : \lambda \in \sigma(A)\}$ . If  $T \sim A$ , then  $\sigma(T) = \sigma(A)$  and  $\rho(T) = \rho(A)$ . Also denote by  $\mathbf{F}$  either the complex field  $\mathbf{C}$  or the real field  $\mathbf{R}$  and let  $\mathbf{T}$  denote the unit circle (in the respective field), i.e.,  $\mathbf{T} = \{e^{i\theta} : \theta \in [0, 2\pi)\} \cap \mathbf{F}$ . In [5] we made the following conjecture:

**Conjecture.** *Let  $A$  be an  $n \times n$  matrix and let  $\mathbf{F} = \mathbf{C}$ . Then the implication*

$$(\lambda_A^u(V) = 1) \Rightarrow (V \simeq \ell_\infty^{(n)})$$

*holds iff  $\sigma(A) \subset \mathbf{T}$ .*

In this paper we prove the validity of this conjecture. In addition we prove that necessity part of the conjecture also holds in the real case.

## 2. MAIN RESULTS

In the following, if  $A$  is an  $n \times n$  matrix, then  $\{A : W \rightarrow W\} := \{T \sim A : W \rightarrow W\}$ . The following theorem may be known. We give a proof of it because we could not find it in any of the usual references. It sets the stage for what follows and indicates the distinction between the real and complex case.

**Theorem 1.** *For any  $n \times n$  matrix  $A$  with entries from the field  $\mathbf{F}$  we have*

$$(2.1) \quad \rho(A) = \inf\{\|A : H \rightarrow H\| : H \text{ is isometric to } \ell_2^{(n)}\}$$





where  $\Lambda_j = \begin{bmatrix} \sin \theta_j & \cos \theta_j \\ -\cos \theta_j & \sin \theta_j \end{bmatrix}$  and  $I$  is the  $2 \times 2$  identity matrix.

To prove that

$$(2.3) \quad \|A : V \rightarrow V\| \geq \rho(A)$$

we need a different trick, since  $A$  may have no real eigenvectors. Clearly (2.3) holds if  $A$  is nilpotent. Hence we can assume that  $\rho(A) = 1$ . If  $A$  has eigenvalues 1 or  $-1$  then the proof is done as in the previous case. If not then  $V$  can be written as a direct sum

$$V = V_1 \oplus V_2$$

where  $V_2$  is a 2-dimensional Banach space and

$$A|_{V_2} = \begin{bmatrix} \cos \alpha & \sin \alpha \\ -\sin \alpha & \cos \alpha \end{bmatrix} =: A_1$$

for some  $\alpha$ . It suffices to prove that

$$\|A_1 : V_2 \rightarrow V_2\| \geq 1.$$

Indeed, applying  $A_1$  to the unit ball  $B(V_2)$ , we observe that the (Euclidean) area of  $(A_1 B(V_2))$  is the same as the area of  $B(V_2)$ . Hence  $[\partial(A_1 B(V_2))] \cap [\partial B(V_2)] \neq \emptyset$  and thus  $\exists x \in S(V_2) : \|A_1 x\| = \|x\| = 1$ . ■

**Remark.** It is clear from the proof of the theorem that (in the complex case) (2.1) can be replaced by

$$\inf\{\|A : V \rightarrow V\| : V \text{ is isometric to } \ell_p^{(n)}\}$$

for every  $p \in [1, \infty]$ . In the real case it is not so. Indeed

**Proposition 1.** *Let  $\mathbf{F} = \mathbf{R}$  and  $A = \begin{bmatrix} \cos \theta & \sin \theta \\ -\sin \theta & \cos \theta \end{bmatrix}$ . Then*

$$\inf\{\|A : V \rightarrow V\| : V \text{ is isometric to } \ell_\infty^{(2)}\} = |\cos \theta| + |\sin \theta| > 1,$$

for  $\theta \neq k\pi/2$ , although  $\rho(A) = 1$ .

*Proof.*  $\inf\{\|A : V \rightarrow V\| : V \text{ is isometric to } \ell_\infty^{(2)}\} = \inf_S \|S^{-1}AS\|$ , where the norm is the maximum of the absolute row sums and  $S = \begin{bmatrix} a & b \\ c & d \end{bmatrix}$  is an arbitrary invertible  $2 \times 2$  matrix. Further let  $A_S = S^{-1}AS$ ,  $\Delta = ad - bc$ ,  $E = (ab + cd)/\Delta$ ,  $P = (b^2 + d^2)/\Delta$ ,  $Q = (a^2 + c^2)/\Delta$ ,  $\delta = \cot \theta$ ,  $\sigma = \sin \theta$ , and note that  $1 + E^2 = PQ$ . Now, without loss, assume  $0 < \theta < \pi/2$ . Then

$$\frac{\|A_S\|}{\sigma} = \max\{|\delta + E| + |P|, |\delta - E| + |Q|\}.$$

Case 1.  $\delta \geq |E| \geq 0$ :

$$\frac{\|A_S\|}{\sigma} = \delta + \max\{E + |P|, -E + |Q|\}.$$

For  $E$  fixed, determine, by use of  $|Q| = (1 + E^2)/|P|$ , that the two arguments of the max are equal to  $\sqrt{1 + 2E^2}$  when  $|P| = \sqrt{1 + 2E^2} - E$ . On the other hand, if  $|P| > \sqrt{1 + 2E^2} - E$  then obviously  $E + |P| > \sqrt{1 + 2E^2}$ , whereas if  $|P| < \sqrt{1 + 2E^2} - E$  then  $-E + |Q| = -E + (1 + E^2)/|P| > -E + (1 + E^2)/(\sqrt{1 + 2E^2} - E) = (1 + 2E^2 - E\sqrt{1 + 2E^2})/(\sqrt{1 + 2E^2} - E) = \sqrt{1 + 2E^2}$ . We conclude that, for  $E$  fixed,  $\inf \max\{E + |P|, -E + |Q|\} = \sqrt{1 + 2E^2}$ . Thus, the inf (over all  $S$ ) is achieved when  $E = 0$ , and thus when  $|P| = |Q| = 1$ , i.e., when  $ab + cd = 0$  and  $b^2 + d^2 = a^2 + c^2 = |ad - bc|$ , and in particular when  $d = a$  and  $b = c = 0$ .

Case 2.  $|E| \geq \delta > 0$ :

Assume first that  $E > 0$ . Then

$$\frac{\|A_S\|}{\sigma} = E + \max\{\delta + |P|, -\delta + |Q|\}.$$

Analogously as in Case 1, determine that the two arguments of the max are equal to  $\sqrt{1 + E^2 + \delta^2}$  when  $|P| = \sqrt{1 + E^2 + \delta^2} - \delta$ . Thus, the inf (over all  $S$ ) is achieved when  $E = \delta$ .

Assume finally that  $E < 0$ . Then

$$\frac{\|A_S\|}{\sigma} = -E + \max\{-\delta + |P|, \delta + |Q|\},$$

and the argument is completely symmetric and the conclusion is the same as in the case  $E > 0$ .

Note, however, that  $\delta + \sqrt{1 + 2\delta^2} > \delta + 1$  and thus the inf over all  $S$  from both cases is achieved in Case 1. I.e., we find that the infimum is achieved for  $S = I$  and thus

$$\inf \|A_S\| = \sigma(1 + \delta) = \sin \theta + \cos \theta. \blacksquare$$

**Theorem 2.** *Let  $V$  be an  $n$ -dimensional Banach space and  $T$  be an operator on  $V$  such that  $\sigma(T) \subset \mathbf{T}$  and  $e(T) = 1$ . Then  $V$  is isometric to  $\ell_\infty^{(n)}$ . Moreover, in this case, all the eigenvalues of  $T$  are simple roots of the minimal polynomial of  $T$ .*

*Proof.* Complex case: Since  $e(T) = 1$  we have  $\|T : V \rightarrow V\| = 1$  and by the “moreover” part of Theorem 1,  $T$  is diagonalizable; i.e.,  $\exists$  a basis in  $V$  with respect to which  $T$  can be represented as a diagonal matrix

$$T = \begin{bmatrix} e^{2\pi i \sigma_1} & & & \\ & \cdot & & \\ & & \cdot & \\ & & & \cdot \\ & & & & e^{2\pi i \sigma_n} \end{bmatrix}.$$

By Dirichlet’s theorem (cf [9, p. 216]) we can find numbers  $N, m_1, \dots, m_n \in \mathbf{N}$  so that

$$\left| \sigma_j - \frac{m_j}{N} \right| < \frac{1}{N^{1+1/n}},$$

and this can be done for a sequence of  $N \rightarrow \infty$ . Then for the operators

$$T_N := \begin{bmatrix} e^{2\pi i \frac{m_1}{N}} & & & \\ & \cdot & & \\ & & \cdot & \\ & & & \cdot \\ & & & & e^{2\pi i \frac{m_n}{N}} \end{bmatrix} : V \rightarrow V,$$

there is a constant  $c_1$  independent of  $N$  such that

$$\|T_N - T\| < \frac{c_1}{N^{1+1/n}},$$

and, since the extension constant is a continuous function, there exists a function  $\phi(N)$  such that

$$e(T_N) \leq e(T) + \phi(N) = 1 + \phi(N); \phi(N) \rightarrow 0 \text{ as } N \rightarrow \infty.$$

Now let  $\tilde{T}$  extend  $T$  to  $X$  minimally. Then  $T^{N-1} \odot \tilde{T}$  extends  $I|_V$  with norm  $\leq \|T_N^{N-1}\| \|\tilde{T}\|$ , where of course  $\|\tilde{T}\| = e(T)$ . But  $T^{N-1} \odot \tilde{T}$  is an extension of  $T_N^N$ , whence

$$e(T_N^N) \leq e(T_N) \|T_N^{N-1}\| \leq [1 + \phi(N)] \left(1 + \frac{c_1}{N^2}\right)^{N-1}.$$

Finally, since  $T_N^N = I : V \rightarrow V$ , we have

$$\lambda(V) \leq (1 + \phi(N)) \left(1 + \frac{c_1}{N^2}\right)^{N-1} \rightarrow 1 \text{ as } N \rightarrow \infty.$$

Hence  $\lambda(V) = 1$  and  $V \simeq \ell_\infty^{(n)}$ .

Real case: The “real” case is again done in exactly the same way where the matrices

$$\begin{bmatrix} e^{2\pi i \sigma_1} & & & \\ & \cdot & & \\ & & \cdot & \\ & & & \cdot \\ & & & & e^{2\pi i \sigma_n} \end{bmatrix}$$

are replaced by matrices of the form

$$\begin{bmatrix} \Lambda_1 & & & \\ & \cdot & & \\ & & \cdot & \\ & & & \cdot \\ & & & & \Lambda_k \end{bmatrix}, \quad \text{where } \Lambda_j = \begin{bmatrix} \cos(2\pi \sigma_j) & \sin(2\pi \sigma_j) \\ -\sin(2\pi \sigma_j) & \cos(2\pi \sigma_j) \end{bmatrix}$$

or  $\Lambda_j$  is a real number. But, furthermore, from Proposition 1 we see that in fact all the  $\sigma_j$  must be 0 or 1/2 and that in fact therefore all the matrices representing  $T$  must be diagonal matrices with entries  $\pm 1$ . Hence  $T$  is an involution and the above argument works with  $N = 2$ . ■

**Corollary 1.** *If  $\sigma(A) \subset \mathbf{T}$  and  $\lambda_A^u(V) = 1$ , then  $V \simeq \ell_\infty^{(n)}$ .*

*Proof.* For every  $\epsilon > 0$ , let  $T_\epsilon \sim A$  and  $1 \leq e(T_\epsilon) \leq 1 + \epsilon$ . Then in particular  $\|T_\epsilon\| \leq 1 + \epsilon$ . Hence by compactness  $\exists \epsilon_1, \dots, \epsilon_k, \dots, \epsilon_k \rightarrow 0$ , such that  $T_{\epsilon_k} \rightarrow T$ ,  $e(T_{\epsilon_k}) \rightarrow e(T) = 1$ . Since eigenvalues are continuous functions of the operator, we have  $\sigma(T) = \sigma(A) \subset \mathbf{T}$ , and by the previous theorem we conclude that  $V \simeq \ell_\infty^{(n)}$ . ■

We will now prove a converse to Theorem 2 in the case when the field  $\mathbf{F} = \mathbf{C}$ .

**Theorem 3.** *Let  $\mathbf{F} = \mathbf{C}$  and let  $A$  be an  $n \times n$  matrix such that  $\rho(A) = 1$  and every eigenvalue of  $A$  of modulus one is a zero of the minimal polynomial of  $A$  of multiplicity 1. If  $\sigma(A)$  is not a subset of the unit circle, then there exists a Banach space  $V$  and an operator  $T : V \rightarrow V$  such that  $V$  is not isometric to  $\ell_\infty^{(n)}$ ,  $T \sim A$  and  $e(T) = 1$ .*

*Proof.* Let  $\lambda_1, \dots, \lambda_k \in \sigma(A) \cap \mathbf{T}$  and  $\lambda_{k+1}, \dots, \lambda_n \in \sigma(A) - \mathbf{T}$ . If  $n - k = 1$  then the proof is identical to ([5], Theorem 1, Case 1). If  $n - k > 1$  then (for every  $\epsilon > 0$ ) we can find a Banach space  $U$  with  $\dim U = n - k$  such that

$$1 < d(U, \ell_\infty^{(n-k)}) < 1 + \epsilon,$$

where “ $d$ ” denotes the Banach-Mazur distance (cf [10]). For every  $\eta > 0$  there exists  $\eta_{k+1}, \dots, \eta_{n-1}$  so that  $0 < \eta_j < \eta$  and  $A$  is similar to the matrix

$$\begin{bmatrix} A' & 0 \\ 0 & A'' \end{bmatrix},$$

where

$$A' = \begin{bmatrix} \lambda_1 & & & & & \\ & \lambda_2 & & & & \\ & & \ddots & & & \\ & & & \ddots & & \\ & & & & \lambda_{k-1} & \\ & & & & & \lambda_k \end{bmatrix},$$

and

$$A'' = \begin{bmatrix} \lambda_{k+1} & \eta_{k+1} & & & & \\ & \lambda_{k+2} & \eta_{k+2} & & & \\ & & \ddots & \ddots & & \\ & & & \ddots & \ddots & \\ & & & & \ddots & \\ & & & & & \lambda_{n-1} & \eta_{n-1} \\ & & & & & & \lambda_n \end{bmatrix}.$$

Let  $\gamma = \max\{|\lambda_{k+1}|, \dots, |\lambda_n|\} < 1$ . Then  $\|A'' : U \rightarrow U\| \leq (\gamma + \eta)$  and hence

$$e(A'') \leq (\gamma + \eta)(1 + \epsilon).$$



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DEPARTMENT OF MATHEMATICS  
UNIVERSITY OF CALIFORNIA  
RIVERSIDE, CALIFORNIA 92521, USA

E-mail address: blc@math.ucr.edu

DEPARTMENT OF MATHEMATICS  
UNIVERSITY OF SOUTH FLORIDA  
TAMPA, FLORIDA 33620-5700, USA

E-mail address: boris@tarski.math.usf.edu