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School of Mathematics
University of Wales, Cardiff
Senghennydd Road
Cardiff CF2 4YH, U.K.
E-mail: EvansWD@cf.ac.uk

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Corrigendum and addendum: “On the axiomatic theory of spectrum II”

by

J. J. KOLIHA (Melbourne, Vic.), M. MBEKHTA (Lille),
V. MÜLLER (Praha) and PAK WAI POON (Melbourne, Vic.)

Abstract. The main purpose of this paper is to correct the proof of Theorem 15 of [4], concerned with the stability of the class of quasi-Fredholm operators under finite rank perturbations, and to answer some open questions raised there.

Recall some notations and terminology from [4].

For closed subspaces M, L of a Banach space X we write $M \overset{\circ}{\subset} L$ (M is *essentially contained* in L) if there is a finite-dimensional subspace $F \subset X$ such that $M \subset L + F$. Equivalently, $\dim M / (M \cap L) = \dim(M + L) / L < \infty$. Similarly we write $M \overset{\circ}{\supset} L$ if $M \overset{\circ}{\subset} L$ and $L \overset{\circ}{\subset} M$.

For a (bounded linear) operator $T \in \mathcal{L}(X)$ write $R^\infty(T) = \bigcap_{n=0}^\infty R(T^n)$ and $N^\infty(T) = \bigcup_{n=0}^\infty N(T^n)$.

An operator $T \in \mathcal{L}(X)$ is called *semiregular* (*essentially semiregular*) if $R(T)$ is closed and $N(T) \subset R^\infty(T)$ ($N(T) \overset{\circ}{\subset} R^\infty(T)$, respectively). Further, T is called *quasi-Fredholm* if there exists $d \geq 0$ such that $R(T^{d+1})$ is closed and $R(T) + N(T^d) = R(T) + N^\infty(T)$ (equivalently, $N(T) \cap R(T^d) = N(T) \cap R^\infty(T)$).

The proof of Theorem 15 of [4] relies on the following statement (where d is the integer whose existence is postulated in the definition of quasi-Fredholm operators):

If T is quasi-Fredholm and F of rank 1 then $N(T) \cap R(T^d) \subset R^\infty(T + F)$.

This, however, need not be satisfied.

COUNTEREXAMPLE. Let H be the Hilbert space with an orthonormal basis $\{e_1, e_2, \dots\}$. Define $T, F \in \mathcal{L}(H)$ by

$$Te_1 = 0, \quad Te_n = e_{n-1} \quad (n \geq 2), \quad Fe_2 = -e_1, \quad Fe_n = 0 \quad (n \neq 2).$$

Then T is quasi-Fredholm (with $d = 0$) and is surjective, F has rank 1, and $T + F$ is given by

$$(T + F)e_1 = (T + F)e_2 = 0, \quad (T + F)e_n = e_{n-1} \quad (n \geq 3).$$

It follows that $R^\infty(T + F) = R(T + F)$ is equal to the linear span of $\{e_2, e_3, \dots\}$, and $N(T)$ to the one-dimensional space spanned by e_1 . Thus $N(T) \not\subset R^\infty(T + F)$.

We now proceed to give a correct proof of Theorem 15 of [4].

THEOREM. *Let $T \in \mathcal{L}(X)$ be a quasi-Fredholm operator and let $F \in \mathcal{L}(X)$ be a finite-rank operator. Then $T + F$ is also quasi-Fredholm.*

PROOF. Clearly it is sufficient to consider only the case of $\dim R(F) = 1$. Thus there exist $z \in X$ and $\varphi \in X^*$ such that $Fx = \varphi(x)z$ ($x \in X$).

Since $R((T + F)^n) \stackrel{\circ}{=} R(T^n)$ for all n by Observation 8 following Table 1 in [4], $R((T + F)^n)$ is closed if and only if $R(T^n)$ is closed, and hence it is sufficient to show only the algebraic condition in the definition of quasi-Fredholm operators for $T + F$.

Since T is quasi-Fredholm, there exists $d \geq 0$ such that $N(T) \cap R(T^d) \subset R^\infty(T)$ and $R(T^d), R(T^{d+1})$ are closed. Set $M = R(T^d)$ and $T_1 = T|M$. Then $N(T_1) = N(T) \cap R(T^d) \subset R^\infty(T) = R^\infty(T_1)$ and the range $R(T_1) = R(T^{d+1})$ is closed. Thus T_1 is semiregular.

It is sufficient to show that $N(T_1) \stackrel{\circ}{\subset} R^\infty(T + F)$. Indeed, then we have

$$N(T + F) \cap R((T + F)^d) \stackrel{\circ}{=} N(T) \cap R(T^d) = N(T_1) \stackrel{\circ}{\subset} R^\infty(T + F)$$

so that $N(T + F) \cap R((T + F)^d) \stackrel{\circ}{=} N(T + F) \cap R^\infty(T + F)$.

This means that $N(T + F) \cap R((T + F)^n) = N(T + F) \cap R^\infty(T + F)$ for some $n \geq d$ and $T + F$ is quasi-Fredholm.

To prove $N(T_1) \stackrel{\circ}{\subset} R^\infty(T + F)$ we distinguish two cases:

A. $N^\infty(T_1) \subset \ker \varphi$. Let $x_0 \in N(T_1)$. Since T_1 is semiregular, there exist vectors $x_1, x_2, \dots \in R^\infty(T_1)$ such that $Tx_i = x_{i-1}$ for all i . By the assumption $\varphi(x_i) = 0$, so that $Fx_i = 0$ for all i . For $n \in \mathbb{N}$ we have

$$(T + F)^n x_n = (T + F)^{n-1} x_{n-1} = \dots = (T + F)x_1 = x_0,$$

so that $x_0 \in R((T + F)^n)$. Since x_0 and n were arbitrary, we have $N(T_1) \subset R^\infty(T + F)$.

B. $N^\infty(T_1) \not\subset \ker \varphi$. There exists $k \geq 1$ such that $N(T_1^k) \not\subset \ker \varphi$. Choose the minimal k with this property so that $N(T_1^{k-1}) \subset \ker \varphi$ and there exists $u \in N(T_1^k)$ with $\varphi(u) = 1$.

Set

$$Y = \{x \in N(T_1) : \text{there is } y \in M \text{ with}$$

$$T^{k-1}y = x \text{ and } T^i y \in \ker \varphi \ (i = 0, \dots, k-1)\}.$$

We show that $\dim N(T_1)/Y \leq k$. Indeed, let $x^{(1)}, \dots, x^{(k+1)} \in N(T_1)$. Since T_1 is semiregular, there are $y^{(1)}, \dots, y^{(k+1)} \in M$ such that $T^{k-1}y^{(j)} = x^{(j)}$ ($j = 1, \dots, k+1$). Then there exists a nontrivial linear combination $y = \sum_{j=1}^{k+1} \alpha_j y_j$ such that $T^i y \in \ker \varphi$ for all $i = 0, \dots, k-1$. Consequently, $\sum_{j=1}^{k+1} \alpha_j x^{(j)} \in Y$ and $\dim N(T_1)/Y \leq k$. Hence $Y \stackrel{\circ}{=} N(T_1)$ and it is sufficient to show $Y \subset R^\infty(T + F)$.

Let $x \in Y$. We prove by induction on n the following statement:

(1) There exists $x_n \in M$ such that

$$T^n x_n = x \quad \text{and} \quad T^i x_n \in \ker \varphi \quad (i = 0, \dots, n).$$

Clearly (1) for $n = 0, \dots, k-1$ follows from the definition of Y .

Suppose that (1) is true for some $n \geq k-1$, i.e., there is $x_n \in M$ such that $T^n x_n = x$ and $T^i x_n \in \ker \varphi$ ($i = 0, \dots, n$). Since T_1 is semiregular, we can find $x'_{n+1} \in M$ such that $Tx'_{n+1} = x_n$. Set $x_{n+1} = x'_{n+1} - \varphi(x'_{n+1})u$. Then

$$T^{n+1}x_{n+1} = T^n x_n - \varphi(x'_{n+1})T^{n+1}u = x.$$

Clearly $\varphi(x_{n+1}) = 0$. For $1 \leq i \leq k-1$ we have $\varphi(T^i x_{n+1}) = \varphi(T^{i-1} x_n) - \varphi(x'_{n+1})\varphi(T^i u) = 0$ since $T^i u \in N(T_1^{k-1}) \subset \ker \varphi$. For $k \leq i \leq n$ we have $T^i u = 0$ so that $\varphi(T^i x_{n+1}) = \varphi(T^{i-1} x_n) = 0$ by the induction assumption.

Thus (1) is true for all n and $(T + F)^n x_n = (T + F)^{n-1} T x_n = \dots = T^n x_n = x$. Thus $x \in R((T + F)^n)$ for all n and consequently $Y \subset R^\infty(T + F)$.

This finishes the proof of the theorem.

As a corollary we obtain the corresponding result for essentially semiregular operators (see [2]). Recall the numbers $k_n(T)$ defined for an operator $T \in \mathcal{L}(X)$ and $n \geq 0$ by

$$\begin{aligned} k_n(T) &= \dim[R(T) + N(T^{n+1})]/[R(T) + N(T^n)] \\ &= \dim[N(T) \cap R(T^n)]/[N(T) \cap R(T^{n+1})] \end{aligned}$$

(see [4] and [1]).

COROLLARY. *If $T, F \in \mathcal{L}(X)$, T is essentially semiregular and F of finite rank then $T + F$ is essentially semiregular.*

PROOF. By the previous theorem $T + F$ is quasi-Fredholm so $k_i(T + F) = 0$ for all i sufficiently large. Also $k_i(T) < \infty$ implies $k_i(T + F) < \infty$ for all i . Thus $T + F$ is essentially semiregular.

This finishes the ‘‘corrigendum’’ part of the paper. For the ‘‘addendum’’ part, we give counterexamples that will complete Table 2 of [4] answering thus some questions posed in that paper.

Recall the classes defined in [4]:

$$R_{11} = \{T \in \mathcal{L}(X) : T \text{ is semiregular}\},$$

$$R_{12} = \{T \in \mathcal{L}(X) : T \text{ is essentially semiregular}\},$$

$$R_{13} = \{T \in \mathcal{L}(X) : R(T) \text{ is closed and } k_n(T) < \infty \text{ for all } n \in \mathbb{N}\},$$

$$R_{14} = \{T \in \mathcal{L}(X) : T \text{ is quasi-Fredholm}\},$$

$$R_{15} = \{T \in \mathcal{L}(X) : \text{there is } d \in \mathbb{N} \text{ with } R(T^{d+1}) \text{ closed and } k_n(T) < \infty \text{ (} n \geq d)\}.$$

Further, for $i = 11, \dots, 15$, set $\sigma_i(T) = \{\lambda \in \mathbb{C} : T - \lambda \notin R_i\}$.

EXAMPLE 1. In general, σ_{13} and σ_{15} are not closed. Consequently, R_{13} is not stable under small commuting perturbations:

Consider the operator defined in Example 14 of [4],

$$S = \bigoplus_{n=1}^{\infty} S_n$$

where $S_n \in \mathcal{L}(H_n)$, H_n is an n -dimensional Hilbert space with an orthonormal basis e_{n1}, \dots, e_{nn} and S_n is the shift operator, that is, $S_n e_{n1} = 0$, $S_n e_{ni} = e_{n,i-1}$ ($2 \leq i \leq n$). Then $S \in R_{13} \subset R_{15}$ (see Example 14 of [4]).

Let $\varepsilon \neq 0$, $|\varepsilon| < 1$. Then $S_n - \varepsilon$ is invertible for all $n \in \mathbb{N}$ so that $S - \varepsilon$ is injective.

For $n \in \mathbb{N}$ set $x_n = \sum_{i=1}^n \varepsilon^{i-1} e_{ni}$. Then $\|x_n\| \geq 1$ and

$$\|(S - \varepsilon)x_n\| = \|-\varepsilon^n e_{nn}\| = |\varepsilon^n|.$$

Thus $S - \varepsilon$ is not bounded below and $R(S - \varepsilon)$ is not closed. Hence $S - \varepsilon \notin R_{13}$ and $\sigma_{13}(S)$ is not closed.

Further, for each $k \in \mathbb{N}$, we have

$$\begin{aligned} \|(S - \varepsilon)^k x_n\| &= |\varepsilon^n| \cdot \|(S - \varepsilon)^{k-1} e_{nn}\| \leq |\varepsilon^n| \cdot \|(S - \varepsilon)^{k-1}\| \\ &\leq |\varepsilon^n| \cdot (1 + |\varepsilon|)^{k-1} \end{aligned}$$

so that $\lim_{n \rightarrow \infty} \|(S - \varepsilon)^k x_n\| = 0$ for all $k \in \mathbb{N}$ and $R((S - \varepsilon)^k)$ is not closed. Consequently, $S - \varepsilon \notin R_{15}$ and $\sigma_{15}(S)$ is not closed.

EXAMPLE 2. The class R_{13} is not stable under commuting compact perturbations:

Consider the operator S from Example 1 and let $K = \bigoplus_{n=1}^{\infty} (1/n)I_n$, where I_n denotes the identity operator on H_n . Clearly K is compact, $KS = SK$, $S + K$ is injective and, as above, $S + K$ is not bounded below. Thus $R(S + K)$ is not closed and $S + K \notin R_{13}$.

EXAMPLE 3. R_{13} is not stable under commuting quasinilpotent perturbations:

For $k \in \mathbb{N}$ let $H^{(k)}$ be the Hilbert space with an orthonormal basis $e_{ni}^{(k)}$ ($n \in \mathbb{N}, i = 1, \dots, \max\{k, n\}$). Let $S^{(k)} \in \mathcal{L}(H^{(k)})$ be the shift to the left,

$$S^{(k)} e_{ni}^{(k)} = \begin{cases} e_{n,i-1}^{(k)} & (i \geq 2), \\ 0 & (i = 1). \end{cases}$$

Set $S = \bigoplus_{k=1}^{\infty} S^{(k)}$. Clearly S is a direct sum of finite-dimensional shifts where an n -dimensional shift appears $2n - 1$ times (once in each $S^{(1)}, \dots, S^{(n-1)}$ and n times in $S^{(n)}$). Thus $S \in R_{13}$.

Define $Q^{(k)} \in \mathcal{L}(H^{(k)})$ by $Q^{(k)} e_{ni}^{(k)} = (1/n) e_{n+1,i}^{(k)}$ for all n, i . Let $Q = \bigoplus_{k=1}^{\infty} Q^{(k)}$. Clearly $SQ = QS$ and Q is quasinilpotent since $\|Q^j\|^{1/j} = (1/j!)^{1/j} \rightarrow 0$.

We prove that $S - Q \notin R_{13}$. Set

$$x^{(k)} = \sum_{n=1}^{\infty} \frac{1}{(n-1)!} e_{nm}^{(k)} \in H^{(k)}.$$

Then

$$(S - Q)x^{(k)} = \sum_{n=2}^{\infty} \frac{1}{(n-1)!} e_{n,n-1}^{(k)} - \sum_{n=1}^{\infty} \frac{1}{n!} e_{n+1,n}^{(k)} = 0.$$

Further $x^{(k)} \notin R(S^{(k)}) + R(Q^{(k)})$ so that $x^{(k)} \notin R(S^{(k)} - Q^{(k)})$. It is easy to see that each linear combination of $x^{(k)}$'s has the same property with respect to S and Q so that these vectors are linearly independent modulo $R(S - Q)$. Thus

$$k_0(S - Q) = \dim N(S - Q) / (N(S - Q) \cap R(S - Q)) = \infty$$

and $S - Q \notin R_{13}$.

Consequently, the complete version of Table 2 of [4] is:

	(A) $\sigma_i \neq \emptyset$	(B) σ_i closed	(C) small commut. perturbations	(D) finite-dim. perturb.	(E) commut. comp. perturbations	(F) commut. quasinilp. pert.
R_{11} semireg.	yes	yes	yes	no	no	yes
R_{12} ess. semireg.	yes	yes	yes	yes	yes	yes
R_{13}	yes	no	no	yes	no	no
R_{14} $q\phi$	no	yes	no	yes	no	no
R_{15}	no	no	no	yes	no	no

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Department of Mathematics
The University of Melbourne
Parkville, Victoria 3052
Australia
E-mail: j.koliha@ms.unimelb.edu.au

Université de Lille
U.F.R. de Mathématiques
F-59655 Villeneuve d'Ascq Cedex
France
E-mail: mbekhta@gat.univ-lille1.fr

Institute of Mathematics AV ČR
Žitna 25
115 67 Praha 1
Czech Republic
E-mail: muller@math.cas.cz

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