

## REPRESENTATION OF CERTAIN LINEAR OPERATORS IN HILBERT SPACE

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**1.** In this paper we represent certain linear operators in a space with indefinite metric. Such a space may be a pair  $(H, B)$ , where  $H$  is a separable Hilbert space,  $B$  is a bilinear functional on  $H$  given by  $B(x, y) = [Jx, y]$ ,  $[, ]$  is the Hilbert inner product in  $H$ , and  $J$  is a bounded linear operator such that  $J = J^*$  and  $J^2 = I$ . If  $T$  is a linear operator in  $H$ , then  $\|T\|$  is the usual operator norm. The operator  $J$  above has two eigenspaces corresponding to the eigenvalues  $+1$  and  $-1$ .

In case the eigenspace in which  $J$  induces a positive operator has finite dimension  $k$ , a general spectral theory is known and has been developed principally by Pontrjagin [25], Iohvidov and Kreĭn [13], Naĭmark [20], and others. These spaces are called Pontrjagin, or  $\Pi_k$ -spaces. Operators  $A$  whose domain is  $H$ , with  $A^* = JAJ$ , called *J-self-adjoint*, have a  $k$ -dimensional non-negative invariant subspace. By a *non-negative subspace* we mean a subspace of  $\Pi_k$  in which  $B(x, x) \geq 0$ . Also such  $A$ s as above have at most  $k$  pairs of non-real eigenvalues symmetric about the real axis.

Operators  $U$  whose domain is  $H$ , with  $U^* = JU^{-1}J$ , called *J-unitary*, also have a  $k$ -dimensional non-negative invariant subspace, and at most  $k$  pairs of eigenvalues symmetric about the unit circle but not on it.

All this depends on the fact that for  $\Pi_k$ -spaces,  $k$  is the highest dimension of any non-negative subspace and is finite.

When both eigenspaces of  $J$  are finite-dimensional, one can find the complete theory of Jordan canonical forms for these operators in a book by Mal'cev [19].

When both eigenspaces are infinite-dimensional, the spectral theory is largely unknown. In this paper we investigate special  $A$ s and  $U$ s in this third case. All results are for "cyclic" operators, i.e., operators for which certain integral powers applied to some vector in  $H$  generate a dense subspace of  $H$ .

The methods we employ include those of Livšic [18] and Kalisch [14], using the concept of "Characteristic Function" and the theory of complex variables in the unit disc and the upper half plane [6; 22; 26].

Basically, we characterize four concrete operators abstractly. These operators are given by:

$$(1) \quad Mf(t) = tf(t),$$

$$(2) \quad Nf(t) = e^{it}f(t),$$

$$(3) \quad aV + r, \text{ where } Vf(t) = \int_0^t f(s) ds \text{ and } a \text{ and } r \text{ are real numbers,}$$

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$$(4) \quad Uf(t) = e^{ib}f(t) - 2iae^{ib} \int_0^t e^{-ia(t-s)} ds,$$

all occurring in suitable  $L^2$ -spaces. This last is a Cayley transform of  $V$ . In the present work we exhibit operators  $J$  for which the above concrete operators are  $J$ -self-adjoint or  $J$ -unitary. Also we characterize abstractly operators similar to one of the above models in such a way that the similarity preserves the indefinite metric.

**2.** In this section we make a few preliminary definitions. We usually denote  $B(x, y)$  by  $(x, y)$  and reserve the notation  $[x, y]$  for the Hilbert inner product. With this notation, we define a  $J$ -self-adjoint operator to be an everywhere defined linear transformation  $A$  such that  $(Ax, y) = (x, Ay)$  for all  $x$  and  $y$  in  $H$ , where  $(H, B)$  is a  $J$ -space. Also a  $J$ -unitary operator in a  $J$ -space  $(H, B)$  is an everywhere defined linear transformation  $U$  of  $H$  onto  $H$  such that  $(Ux, Uy) = (x, y)$  for all  $x$  and  $y$  in  $H$ . We remark that  $J$ -unitary operators have a spectrum that is symmetric about the unit circle, i.e., if  $z$  is in the spectrum of a  $J$ -unitary operator  $U$ , then  $\bar{z}^{-1}$  is also in the spectrum of  $U$ . This is due to the equation  $((U - z)^{-1})^* = (JU^{-1}J - \bar{z})^{-1} = J(U^{-1} - \bar{z})^{-1}J$ . A similar equation shows that  $z$  is in the spectrum of a  $J$ -self-adjoint operator  $A$  if and only if  $\bar{z}$  is also in the spectrum of  $A$ . A space with indefinite metric will hereafter be referred to as a  $J$ -space. A subspace of a  $J$ -space is called *positive* if  $(x, x) \geq 0$  for all  $x$  in this subspace. Two elements  $x$  and  $y$  of a  $J$ -space are called  *$J$ -orthogonal* if  $(x, y) = 0$  and *two subspaces are  $J$ -orthogonal* if each element of one subspace is  $J$ -orthogonal to every element of the other subspace. A subspace of a  $J$ -space  $H$  is *non-degenerate* if none of its members other than  $0$  is  $J$ -orthogonal to it. Note that any  $J$ -space is non-degenerate in itself, since  $(x, y) = 0$  for all  $y$  in  $H$  implies that  $[Jx, y] = 0$  for all  $y$ , and so  $Jx = 0$  and  $x = 0$ . If  $M$  and  $N$  are linearly independent subspaces of a  $J$ -space  $H$  that are  $J$ -orthogonal, then we write  $M \oplus N$  for the algebraic direct sum of  $M$  and  $N$ . By a *negative subspace* we mean a subspace such that  $(x, x) \leq 0$  for all  $x$  in the subspace. Let  $H_j$  ( $j = 1, 2$ ) be  $J$ -spaces and let the indefinite metric in  $H_j$  be given by  $(, )_j$ . Then a  $J$ -isomorphism between  $H_1$  and  $H_2$  is an everywhere defined linear transformation  $S$  of  $H_1$  onto  $H_2$  such that  $(Sx, Sy)_2 = (x, y)_1$  for all  $x$  and  $y$  in  $H_1$ . We say that *two families  $T_1$  and  $T_2$  of operators in  $J$ -spaces  $H_1$  and  $H_2$ , respectively, are  $J$ -isomorphic* if there is a  $J$ -isomorphism  $S$  of  $H_1$  onto  $H_2$  such that  $SW_1 = W_2S$  for all  $W_j$  in  $T_j$  ( $j = 1, 2$ ).

**3.** We now prove some preliminary facts about  $J$ -isomorphisms and  $J$ -isomorphic families of operators.

**PROPOSITION 1.** *Let  $S$  be a  $J$ -isomorphism of a  $J$ -space  $H$  onto a  $J$ -space  $K$ . Then  $S$  is invertible and both  $S$  and  $S^{-1}$  are continuous. In particular,  $J$ -unitary operators are bounded.*

*Proof.* By a well-known theorem of S. Banach, a closed operator which is defined on a complete metric space and whose range is in a complete metric space is continuous. Therefore it suffices to prove that  $S$  is closed.

Let  $x_n$  be in  $H$  for  $n = 1, 2, \dots$  and  $x_n \rightarrow x, Sx_n \rightarrow y$  as  $n \rightarrow \infty$ . Now  $x$  is in  $H$  and  $y$  is in  $K$ . Let  $z$  belong to  $K$ . Then, as  $n \rightarrow \infty, (Sx_n, z) \rightarrow (y, z); (Sx_n, z) = (x_n, S^{-1}z) \rightarrow (x, S^{-1}z) = (Sx, z)$ . Thus  $(y, z) = (Sx, z), (y - Sx, z) = 0$ , i.e., the vector  $y - Sx$  is  $J$ -orthogonal to all  $K$ . Since  $K$  is non-degenerate,  $y = Sx$ .

LEMMA 1. Let  $\{T_j: j = 1, 2, \dots, n\}$  be a commuting family of bounded  $J$ -self-adjoint operators ( $J$ -unitary operators) in a  $J$ -space  $H$ . Assume that

- (a) The set  $\{T^p v: j = 1, 2, \dots, n, p = 0, 1, 2, \dots\}$  generates the space  $H$  for some  $v$  in  $H$ ,
- (b) There is a set of commuting bounded  $J$ -self-adjoint ( $J$ -unitary) operators  $\{M_j: j = 1, 2, \dots, n\}$  in a  $J$ -space  $K$  such that the set  $\{M^p e: j = 1, 2, \dots, n, p = 0, 1, 2, \dots\}$  generates the space  $K$  for some  $e$  in  $K$ ,
- (c)  $(\prod_{j=1}^n (T_j - z_j)^{-1} v, v) = (\prod_{j=1}^n (M_j - z_j)^{-1} e, e)$  is a function analytic near infinity in all variables,
- (d) If  $q_k(x_1, x_2, \dots, x_n)$  is a polynomial in  $n$  variables for each positive integer  $k$ , then  $\|q_k(T_1, T_2, \dots, T_n)v\| \rightarrow 0$  if and only if  $\|q_k(M_1, M_2, \dots, M_n)e\| \rightarrow 0$  as  $k$  approaches infinity.

Then we conclude that the families  $\{T_j\}$  and  $\{M_j\}$  are  $J$ -isomorphic.

*Proof.* Consider the Neumann expansion about infinity of both sides of the equation in condition (c) above. We equate the coefficients of the like powers and use the  $J$ -self-adjoint ( $J$ -unitary) character of the  $T_j$  and  $M_j$  to obtain:

$$(1) \quad (T_{j(1)}^{m(1)} \dots T_{j(r)}^{m(r)} v, T_{i(1)}^{n(1)} \dots T_{i(s)}^{n(s)} v) = (M_{j(1)}^{m(1)} \dots M_{j(r)}^{m(r)} e, M_{i(1)}^{n(1)} \dots M_{i(s)}^{n(s)} e).$$

This equation holds for all positive integers  $r$  and  $s$  between 1 and  $n$ , all sets  $(m(1), m(2), \dots, m(r))$  and  $(n(1), n(2), \dots, n(s))$  of non-negative integers, and all subsets  $(i(1), i(2), \dots, i(s))$  and  $(j(1), j(2), \dots, j(r))$  of the set of integers from 1 to  $n$ .

Define  $S(\Sigma) = S(\Sigma c(m_1, \dots, m_r) T_{j(1)}^{m(1)} \dots T_{j(r)}^{m(r)} v)$  to be equal to the element  $\Sigma c(m_1, \dots, m_r) M_{j(1)}^{m(1)} \dots M_{j(r)}^{m(r)} e$ . The map  $S$  is well-defined, since  $\Sigma = 0$  implies that  $(\Sigma, \Sigma') = 0$  for any linear combination  $\Sigma' = \Sigma d(n_1, \dots, n_s) T_{i(1)}^{n(1)} \dots T_{i(s)}^{n(s)} v$ . By expanding the inner product and using (1) above we see that

$$(S(\Sigma), \Sigma d(n_1, \dots, n_s) M_{i(1)}^{n(1)} \dots M_{i(s)}^{n(s)} e) = 0$$

and so  $(S(\Sigma), \Sigma'') = 0$  for all linear combinations of the type  $\Sigma'' = \Sigma d(n_1, \dots, n_s) M_{i(1)}^{n(1)} \dots M_{i(s)}^{n(s)} e$ . As these linear combinations are dense in the  $J$ -space  $K$ , then  $S(\Sigma) = 0$ . A similar calculation shows that  $S$  is one-to-one. Condition (d) of the hypothesis ensures that  $S$  and  $S^{-1}$  are continuous as linear transformations of a dense subspace of  $H$  onto a dense subspace of  $K$ . Therefore we extend  $S$  to a  $J$ -isomorphism of  $H$  onto  $K$ .

The equations  $ST_j = M_j S$  for  $j = 1, 2, \dots, n$  result from the equations

$$ST_j \Sigma c(m_1, \dots, m_r) T_{j(1)}^{m(1)} \dots T_{j(r)}^{m(r)} v = M_j S \Sigma c(m_1, \dots, m_r) T_{j(1)}^{m(1)} \dots T_{j(r)}^{m(r)} v,$$

and from the fact that the linear combinations above are dense in  $H$ .

4. In this section we prove some representation theorems about  $J$ -self-adjoint operators.

First, we give the following definition. A bounded  $J$ -self-adjoint operator  $A$  in a  $J$ -space  $H$  will be called *regular* if  $H = P \oplus N$ , where  $P$  is a positive closed subspace of  $H$  and  $N$  is a negative closed subspace of  $H$  and  $P$  is invariant under  $A$ .

PROPOSITION 2. *A regular  $J$ -self-adjoint operator  $A$  in a  $J$ -space  $H$  has real spectrum. Also,  $((A - z)^{-1}v, v) = \int (t - z)^{-1} dm(v:t)$  for each  $v$  in  $H$ , where  $m$  is a finite real-valued signed measure on the real line.*

We call  $m(v:t)$  the measure associated with  $A$  and  $v$ .

*Proof.* This proposition is a trivial consequence of the spectral resolution of self-adjoint operators.

THEOREM 1. *Let  $A$  be a regular  $J$ -self-adjoint operator in a  $J$ -space  $H$  such that  $\{A^n v: n = 0, 1, 2, \dots\}$  generates the space  $H$  for some  $v$  in  $H$ . Assume that  $\|p_k(A)v\| \rightarrow 0$  if and only if  $\int |p_k(t)|^2 d|m|$  converges to 0 as  $k$  approaches infinity, where  $\{p_k(t)\}$  is a sequence of polynomials in  $t$  and  $m$  is the measure associated with  $A$  and  $v$ . Then  $A$  is  $J$ -isomorphic with the  $J$ -self-adjoint operator  $M$  in the space  $L^2(|m|)$ , where  $Mf(t) = tf(t)$  and  $Jf(t) = X(t)f(t)$  with  $X = dm/d|m|$ .*

*Proof.* By Proposition 2 we have  $((A - z)^{-1}v, v) = \int (t - z)^{-1} dm(t)$ , where  $m$  is a real-valued finite signed measure. Consider the space  $L^2(|m|)$  with indefinite metric  $(f, g) = \int f\bar{g} dm$  and Hilbert inner product  $[f, g] = \int f\bar{g} d|m|$ . Let  $Jf(t) = X(t)f(t)$ , where  $X = dm/d|m|$ . Since  $m$  is real,  $X(t) = \pm 1$ , and so  $J^2 = I$  and  $J = J^*$ . Also  $[Jf, g] = (f, g)$ . Thus  $L^2(|m|)$  is a  $J$ -space. A calculation shows that the operator  $M$  given by  $Mf(t) = tf(t)$  is  $J$ -self-adjoint and that  $((M - z)^{-1}e, e)$  is equal to  $((A - z)^{-1}v, v)$ , where  $e$  is the identity function in  $L^2(|m|)$ .

At this point all the conditions of Lemma 1 are satisfied except condition (d). For the operators  $A$  and  $M$  of this theorem, that condition is that  $\int |p_k(t)|^2 d|m|(t) \rightarrow 0$  if and only if  $\|p_k(A)v\| \rightarrow 0$ . The integral here is equal to  $\|p_k(M)e\|^2$ . We assumed this last condition. Thus by Lemma 1,  $A$  and  $M$  are  $J$ -isomorphic.

PROPOSITION 3. *Let  $A$  be a bounded  $J$ -self-adjoint operator in a  $J$ -space  $H$  with spectrum on the unit circle such that  $\|p(A)\| \leq c\|p(A)\|_{sp}$ , where  $\|p(A)\|_{sp}$  is the spectral norm of  $p(A)$ ,  $p$  is any trigonometric polynomial, and  $c$  is a real constant*

independent of  $p$ . Then

$$((A - z)^{-1}x, y) = \int_0^{2\pi} (e^{it} - z)^{-1} dm(t;x, y)$$

for all  $x$  and  $y$  in  $H$  where  $m(t;x, y)$  is a finite function of bounded variation on  $[0, 2\pi]$ . Also  $m$  is unique if properly normalized.

*Proof.* By [30], since  $A$  is power bounded (take  $p(t) = t^n$  above to obtain  $\|A^n\| \leq c$  for  $n = 0, 1, 2, \dots$ ), there is a self-adjoint bounded invertible linear operator  $Q$  such that  $A = Q^{-1}TQ$ , where  $T$  is a unitary operator in  $H$ . From the spectral resolution of  $T$  we know that

$$((T - z)^{-1}x, y) = \int_0^{2\pi} (e^{it} - z)^{-1} d\hat{m}(t;x, y)$$

for all  $x$  and  $y$  in  $H$ , where  $\hat{m}(t;x, y)$  is a finite function of bounded variation on  $[0, 2\pi]$ . Also, if  $\hat{m}$  is normalized so that  $\hat{m}(0) = 0$ , and  $\hat{m}(t) = \hat{m}(t + 0)$  for  $0 \leq t \leq 2\pi$ , then  $\hat{m}$  is unique. Now, for any  $x$  and  $y$  in  $H$  we have

$$\begin{aligned} ((A - z)^{-1}x, y) &= (Q(T - z)^{-1}Q^{-1}x, y) \\ &= ((T - z)^{-1}Q^{-1}x, Q'y) \\ &= \int_0^{2\pi} (e^{it} - z)^{-1} d\hat{m}(t;Q^{-1}x, Q'y) \\ &= \int_0^{2\pi} (e^{it} - z)^{-1} dm(t;x, y), \end{aligned}$$

where  $m(t;x, y) = \hat{m}(t;Q^{-1}x, Q'y)$ . Here  $Q' = JQ^*J$ .

In the following, a  $J$ -self-adjoint operator  $A$  will be called *J-complex-self-adjoint* if its spectrum lies on the unit circle and if  $\|p(A)\| \leq c\|p(A)\|_{sp}$  for all trigonometric polynomials  $p$ , where  $c$  is a real constant independent of  $p$ . The measure  $m$  of the above proposition will be called the *measure associated with  $A, x$ , and  $y$* .

PROPOSITION 4. *Let*

$$f(z) = \int_0^{2\pi} (e^{it} + z)(e^{it} - z)^{-1} dm(t),$$

where  $m$  is a real-valued function of bounded variation in  $[0, 2\pi]$ . Assume that the equation  $f(\bar{z}) = f(z)$  holds. Then, for all integers  $n$ , we have

$$\int_0^{2\pi} e^{int} d|m|(t) = \int_0^{2\pi} e^{-int} d|m|(t),$$

where  $|m|$  is the total variation measure of  $m$ .

*Proof.* From [22], we know that

$$m(t) = \lim_{r \rightarrow 1} \int_0^t u(re^{is}) ds,$$

where  $u$  is the real part of  $f$ . From [6] we also know that

$$|m|(t) = \lim_{r \rightarrow 1} \int_0^t |u(re^{is})| ds.$$

Both of these formulas are valid almost everywhere. Now  $f(\bar{z}) = \overline{f(z)}$  implies that  $u(\bar{z}) = u(z)$ .

Choose a sequence of numbers  $r_q \uparrow 1$ . Let

$$|m_q|(t) = \int_0^t |u(r_q e^{is})| ds.$$

Then  $|m_q|(0) = 0$  and there is an  $M$  such that

$$\int_0^{2\pi} d|m_q| \leq M$$

for all  $q$ , since

$$\int_0^{2\pi} |u(re^{is})| ds \leq M$$

for some constant  $m > 0$  and for  $0 < r < 1$ . Each  $|m_q|$  is of bounded variation on  $[0, 2\pi]$ . Since for each  $q$ , the function  $|u(r_q e^{is})|$  is continuous, then  $d|m_q|(t) = |u(r_q e^{it})| dt$ .

Now

$$\int_0^{2\pi} e^{int} d|m_q|(t) = \int_0^{2\pi} e^{int} |u(r_q e^{it})| dt.$$

The change of variables from  $t$  to  $2\pi - t$  implies that

$$\int_0^{2\pi} e^{int} d|m_q|(t) = \int_0^{2\pi} e^{-int} |u(r_q e^{-it})| dt$$

and this equals

$$\int_0^{2\pi} e^{-int} |u(r_q e^{it})| dt$$

since  $u(\bar{z}) = u(z)$ . Therefore we have

$$\int_0^{2\pi} e^{int} d|m_q|(t) = \int_0^{2\pi} e^{-int} d|m_q|(t)$$

for each  $q$ . Now we apply the Helly theorem [26] to each side. There is a subsequence  $(q_j)$  of the sequence  $(q)$  such that  $|m_{q_j}|(t) \rightarrow |m|(t)$  as  $j \rightarrow \infty$  for each  $t$  in the closed interval  $[0, 2\pi]$  and

$$\int_0^{2\pi} g(t) d|m_{q_j}|(t) \rightarrow \int_0^{2\pi} g(t) d|m|(t)$$

for all continuous functions  $g$ . The result now follows.

**THEOREM 2.** *Let  $A$  be a bounded  $J$ -complex-self-adjoint operator in a  $J$ -space  $H$*

such that the set  $\{A^n v: n = 0, \pm 1, \pm 2, \dots\}$  generates  $H$  for some  $v$  in  $H$ . Assume that  $\|p_k(A)v\| \rightarrow 0$  if and only if

$$\int_0^{2\pi} |p_k(e^{it})|^2 d|m|(t) \rightarrow 0,$$

where  $m$  is the measure associated with  $A, v$ , and  $v$ , and each  $p_n(t)$  is a polynomial in  $t$  and  $t^{-1}$ . Then  $A$  is  $J$ -isomorphic with  $J$ -self-adjoint operator  $M$  acting in the space  $L^2(|m|)$ , where  $Mf(t) = e^{it}f(t)$  and  $Jf(t) = X(t)f(2\pi - t)$  with  $X = dm/d|m|$ .

*Proof.* We have

$$((A - z)^{-1}v, v) = \int_0^{2\pi} (e^{it} - z)^{-1} dm(t)$$

since  $A$  is  $J$ -complex-self-adjoint by Proposition 3. Also  $m$  is a real-valued function of bounded variation that gives rise to a real finite signed Borel measure in  $[0, 2\pi]$  again denoted by  $m$ . From the Neumann expansions of each side of this equation about  $0$  and  $\infty$  and the identity principle of complex variables, we have that for all integers  $n$ , the equation

$$(A^n v, v) = \int_0^{2\pi} e^{int} dm(t)$$

holds. Since  $A$  is  $J$ -self-adjoint, we have  $(A^n v, v) = (v, A^n v) = \overline{(A^n v, v)}$  and this is equal to

$$\int_0^{2\pi} e^{-int} dm(t).$$

Therefore

$$\int_0^{2\pi} e^{int} dm(t) = \int_0^{2\pi} e^{-int} dm(t)$$

for all integers  $n$ . Now consider  $L^2(|m|)$  and  $Mf(t) = e^{it}f(t)$ . Let  $Jf(t) = X(t)f(2\pi - t)$  where  $X = dm/d|m|$ . Let the Hilbert inner product be given by

$$[f, g] = \int_0^{2\pi} f(t)\overline{g(t)} d|m|(t).$$

Then

$$[Jf, g] = \int_0^{2\pi} f(2\pi - t)\overline{g(t)} dm(t)$$

and

$$[f, Jg] = \int_0^{2\pi} f(t)\overline{g(2\pi - t)} dm(t).$$

Let  $f(t) = e^{ikt}$  and  $g(t) = e^{iqt}$  where  $k$  and  $q$  are integers. Then  $[Jf, g] = [f, Jg]$ . Since the set  $\{e^{int}: n = 0, \pm 1, \pm 2, \dots\}$  generates  $L^2(|m|)$  [28],  $[Jf, g] = [f, Jg]$  for all pairs  $f$  and  $g$  in  $L^2(|m|)$ . Therefore  $J = J^*$ .

To show that  $J^2 = I$ , it suffices to show that  $[Jf, Jg] = [f, g]$  for all  $f$  and  $g$  in  $L^2(|m|)$ . Again we need only show it when  $f(t) = e^{ikt}$  and  $g(t) = e^{iqt}$  where  $k$  and  $q$  are integers. We have

$$[Jf, Jg] = \int_0^{2\pi} e^{-i(k-q)t} d|m|(t) = \int_0^{2\pi} e^{i(k-q)t} d|m|(t) = [f, g]$$

by Proposition 4. This now implies that  $X(2\pi - t) = X(t)$  and that  $L^2(|m|)$  with the indefinite inner product  $(f, g) = [Jf, g]$  is a  $J$ -space.

A calculation shows that  $M$  is  $J$ -self-adjoint and that

$$((M - z)^{-1}e, e) = \int_0^{2\pi} (e^{it} - z)^{-1} dm(t) = ((A - z)^{-1}v, v),$$

where  $e$  is the identity function in  $L^2(|m|)$ . Also,  $\{M^n e: n = 0, \pm 1, \pm 2, \dots\}$  generates the space  $L^2(|m|)$ . By hypothesis,  $\|p_k(A)v\| \rightarrow 0$  if and only if

$$\int_0^{2\pi} |p_k(e^{it})|^2 d|m|(t) = \|p_k(M)e\|^2 \rightarrow 0.$$

Therefore by Lemma 1, the sets  $\{M, M^{-1}\}$  and  $\{A, A^{-1}\}$  are  $J$ -isomorphic and the theorem follows.

In what follows we shall call a bounded  $J$ -self-adjoint operator in a  $J$ -space  $H$  a  $J$ -Volterra-self-adjoint operator if it has a one-point spectrum  $r$  and if  $A + A^* - 2rI$  has one-dimensional range spanned by a vector  $v$  with  $Jv = v$  and  $\|v\| = 1$ . ( $I$  is the identity operator in  $H$ .) We will refer to the operator  $A$  as a  $J$ -Volterra-self-adjoint operator with spectrum  $r$  and vector  $v$ .

**THEOREM 3.** *Let  $A$  be a  $J$ -Volterra-self-adjoint operator with spectrum  $r$  and vector  $v$  in a  $J$ -space  $H$  such that the set  $\{A^n v: n = 0, 1, 2, \dots\}$  generates the space  $H$ . Then  $A$  is  $J$ -isomorphic with the operator  $aV + rI$ , operating in the Lebesgue measure space  $L^2(0, 1)$ , where*

$$Vf(t) = \int_0^t f(s) ds,$$

and  $Jf(t) = f(1 - t)$ . The real number  $a$  is given by  $(A + A^*)v = (a + 2r)v$ .

*Proof.* Let  $B = A - rI$ . Then  $B$  has a one-point spectrum  $0$ , is a bounded  $J$ -self-adjoint operator, and  $B + B^*$  has one-dimensional range spanned by  $v$ . Also  $(B + B^*)v = av$ . Let  $F(z) = 1 - a((B - z^{-1})^{-1}v, v)$ . Since  $(u, v) = [u, Jv]$  for all  $u$  and  $v$  in  $H$  and  $Jv = v$ , then  $F(z) = 1 - a[(B - z^{-1})^{-1}v, v]$ . We now refer the reader to [14]. From [14, the proof of Theorem 8],  $F(z) = e^{az}$ . Furthermore,

$$(z_1 + z_2) \sum_{p, q=0} z_1^p z_2^q [B^p v, B^q v] = (1/a)(F(z_1)\overline{F(z_2)} - 1),$$

where  $z_1$  and  $z_2$  are complex variables in the finite plane. Here  $F$  is analytic in the finite complex plane.

Consider  $aV$  and  $J$  as above in  $L^2(0, 1)$ . The Hilbert inner product is given by

$$[f, g] = \int_0^1 f(t)\overline{g(t)} dt.$$

Thus

$$[Jf, g] = \int_0^1 f(1-t)\overline{g(t)} dt.$$

By a change of variables  $t$  to  $1-t$ , the last integral becomes

$$\int_0^1 f(t)\overline{g(1-t)} dt$$

which is  $[f, Jg]$ . Therefore  $J = J^*$ . Also  $J^2 = I$ . Thus  $L^2(0, 1)$  is a  $J$ -space with indefinite metric  $(f, g) = [Jf, g]$ . Let  $e$  be the identity function in  $L^2(0, 1)$ . Then since  $aV$  satisfies all the conditions that  $B$  does, we have

$$((aV - z^{-1})^{-1}e, e) = F(z).$$

And also we have

$$(z_1 + z_2) \sum_{p,q=0} z_1^p z_2^q [(aV)^p e, (aV)^q e] = (z_1 + z_2) \sum_{p,q=0} z_1^p z_2^q [B^p v, B^q v].$$

By the identity principle of complex variables,  $[(aV)^p e, (aV)^q e] = [B^p v, B^q v]$  for all non-negative integers  $p$  and  $q$ . Therefore  $\|p_k(B)v\| \rightarrow 0$  if and only if  $\|p_k(aV)e\| \rightarrow 0$  where  $\{p_k\}$  is a sequence of polynomials. Also the set  $\{(aV)^n e: n = 0, 1, 2, \dots\}$  generates the space  $L^2(0, 1)$  and the set  $\{B^n v: n = 0, 1, 2, \dots\}$  generates the space  $H$ . A calculation shows that  $aV$  is  $J$ -self-adjoint.

Therefore by Lemma 1,  $B$  and  $aV$  are  $J$ -isomorphic, and so are  $A$  and  $aV + rI$ .

Note that the above isomorphism is also a Hilbert isomorphism, i.e. the two operators are unitarily equivalent.

**5.** In this section we prove some theorems about  $J$ -unitary operators.

First, we give the following definition. A  $J$ -unitary operator  $U$  in a  $J$ -space  $H$  will be called *regular* if  $H = P \oplus N$ , where  $P$  is a positive closed subspace of  $H$ ,  $N$  is a negative closed subspace of  $H$ , and  $P$  is invariant under  $U$  and  $U^{-1}$ .

PROPOSITION 5. *A regular  $J$ -unitary operator  $U$  in a  $J$ -space  $H$  has spectrum on the unit circle. Also*

$$((U - z)^{-1}v, v) = \int_0^{2\pi} (e^{it} - z)^{-1} dm(v:t)$$

for each  $v$  in  $H$ , where  $m(v:t)$  is a real-valued finite signed measure on the interval  $[0, 2\pi]$ .

We call  $m(v:t)$  the *measure associated with  $U$  and  $v$* .

*Proof.* This proposition is a trivial consequence of the spectral resolution of unitary operators.

We remark that regular  $J$ -unitary operators are the stable operators in the terminology of Kreĭn [16], and were first considered by Phillips [24] in 1961.

**THEOREM 4.** *Let  $U$  be a regular  $J$ -unitary operator in a  $J$ -space  $H$  such that  $\{U^n v: n = 0, \pm 1, \pm 2, \dots\}$  generates  $H$  for some  $v$  in  $H$ . Assume that  $\|p_k(U)v\| \rightarrow 0$  if and only if*

$$\int_0^{2\pi} |p_k(e^{it})|^2 d|m(v:t)| \rightarrow 0 \quad \text{as } k \rightarrow \infty,$$

where  $\{p_k(t)\}$  is a sequence of polynomials in  $t$  and  $t^{-1}$  and  $m(v:t)$  is the measure associated with  $U$  and  $v$ . Then  $U$  is  $J$ -isomorphic with the  $J$ -unitary operator  $M$  in the space  $L^2(|m|)$ , where  $Mf(t) = e^{it}f(t)$  and  $Jf(t) = X(t)f(t)$  with  $X = dm/d|m|$ .

*Proof.* By Proposition 5, we have

$$((U - z)^{-1}v, v) = \int_0^{2\pi} (e^{it} - z)^{-1} dm(v:t),$$

where  $m$  is a real signed Borel measure in  $[0, 2\pi]$ .

Consider the space  $L^2(|m|)$  with indefinite metric

$$(f, g) = \int_0^{2\pi} f\bar{g} dm$$

and Hilbert inner product

$$[f, g] = \int_0^{2\pi} f\bar{g} d|m|.$$

Let  $Jf(t) = X(t)f(t)$ , where  $X = dm/d|m|$ . Since  $m$  is real,  $X(t) = \pm 1$  and so  $J^2 = I$  and  $J = J^*$ . Also  $[Jf, g] = (f, g)$ . Thus  $L^2(|m|)$  is a  $J$ -space. A calculation shows that the operator  $M$  given by  $Mf(t) = e^{it}f(t)$  is  $J$ -unitary and  $((M - z)^{-1}e, e) = ((U - z)^{-1}v, v)$ , where  $e$  is the identity function in  $L^2(|m|)$ . Also the set  $\{M^n e: n = 0, \pm 1, \pm 2, \dots\}$  generates this  $L^2$ -space. Since

$$\|p_k(M)e\|^2 = \int_0^{2\pi} |p_k(e^{it})|^2 d|m|(t),$$

then our last assumption implies that  $\|p_k(U)v\| \rightarrow 0$  if and only if  $\|p_k(M)e\| \rightarrow 0$ . Thus by Lemma 1, the families  $\{U, U^{-1}\}$  and  $\{M, M^{-1}\}$  are  $J$ -isomorphic.

**PROPOSITION 6.** *Let  $U$  be a  $J$ -unitary operator in a  $J$ -space  $H$  with positive real spectrum and such that for some real  $c$  we have  $\|p(U)\| \leq c\|p(U)\|_{\text{sp}}$  for all polynomials  $p$ , where  $\|p(U)\|_{\text{sp}}$  is the spectral norm of  $p(U)$ . Then*

$$((U - z)^{-1}x, y) = \int (t - z)^{-1} dm(t:x, y)$$

for each pair  $(x, y)$  of members of  $H$  where  $m(t:x, y)$  is a real finite function of bounded variation in some interval  $[1/a, a]$  ( $a > 1$ ) containing the spectrum of  $U$ . Also  $m$  is unique if properly normalized.

*Proof.* Let  $a > 1$  be chosen so that  $[1/a, a]$  contains the spectrum of  $U$ . We may do this since the spectrum of  $U$  is symmetric about the unit circle. Let  $P$  be the set of all polynomials on  $[1/a, a]$  and  $C$  the continuous functions on the same interval. Then  $P$  is dense in  $C$  in the sup norm topology where the norm is given by the formula  $\|f\|_\infty = \text{Sup}\{|f(t)|: 1/a \leq t \leq a\}$  for  $f$  in  $C$ . Now we consider for each pair  $(x, y)$  of members of  $H$  the linear functional on  $P$  given by  $L(p) = (p(U)x, y)$ . We have the inequality

$$|L(p)| = |(p(U)x, y)| \leq \|p(U)\| \|x\| \|y\|$$

and thus we have  $|L(p)| \leq c\|p(U)\|_{\text{sp}} \|x\| \|y\|$ . Since the spectrum of  $U$  is contained in  $[1/a, a]$ , we have  $\|p(U)\|_{\text{sp}} \leq \|p\|_\infty$  [31].

Therefore  $|L(p)| \leq c\|x\| \|y\| \|p\|_\infty$  and  $L$  is bounded. Thus there is a complex-valued function of bounded variation  $V(t;x, y)$  such that

$$(p(U)x, y) = \int_{1/a}^a p(t) dV(t;x, y)$$

for all  $p$  in  $P$ . Since Riesz's theorem is valid for  $C$ , we have

$$(f(U)x, y) = \int_{1/a}^a f(t) dV(t;x, y)$$

for all  $f$  in  $C$ . In particular,

$$(U^n x, y) = \int_{1/a}^a t^n dV(t;x, y)$$

for all integers  $n$ . If  $|z| < 1/a$ , then

$$(t - z)^{-1} = \sum_{n=0}^\infty t^{-(n+1)} z^n$$

and if  $|z| > a$ , then

$$(t - z)^{-1} = -\sum_{n=0}^\infty t^n z^{-n-1}.$$

Therefore we have

$$((U - z)^{-1}x, y) = \left(-\sum_{n=0}^\infty U^n z^{-n-1}x, y\right) = -\sum_{n=0}^\infty z^{-n-1}(U^n x, y).$$

The last expression above is equal to

$$\begin{aligned} -\sum_{n=0}^\infty z^{-n-1} \int_{1/a}^a t^n dV(t;x, y) &= -\int_{1/a}^a \left(\sum_{n=0}^\infty t^n z^{-n-1}\right) dV(t;x, y) \\ &= \int_{1/a}^a (t - z)^{-1} dV(t;x, y), \end{aligned}$$

whenever  $|z| > a$ . As the singular points of  $((U - z)^{-1}x, y)$  occur in the interval  $[1/a, a]$ , by analytic continuation we have

$$F(z) = ((U - z)^{-1}x, y) = \int_{1/a}^a (t - z)^{-1} dV(t;x, y)$$

for  $z$  not in  $[1/a, a]$ . Let  $V(t;x, y) = V'(t) + iV''(t)$ , where  $V'$  and  $V''$  are real-valued functions of bounded variation. Then  $((U - z)^{-1}x, y) = F'(z) + iF''(z)$ , where

$$F'(z) = \int_{1/a}^a (t - z)^{-1} dV'(t) \quad \text{and} \quad F''(z) = \int_{1/a}^a (t - z)^{-1} dV''(t).$$

By [26],

$$\int_{-\infty}^{\infty} |F'(r + is)| dr \quad \text{and} \quad \int_{-\infty}^{\infty} |F''(r + is)| dr$$

are both uniformly bounded for  $s > 0$ . Therefore

$$\int_{-\infty}^{\infty} |F(r + is)| dr$$

is uniformly bounded for  $s > 0$  where  $F(z) = ((U - z)^{-1}x, y)$ . Hence there is a real-valued function of bounded variation  $m(t;x, y)$  with support in  $[1/a, a]$  such that

$$((U - z)^{-1}x, y) = \int_{1/a}^a (t - z)^{-1} dm(t;x, y).$$

Moreover,

$$m(t;x, y) = \lim_{s \rightarrow 0} \int_{1/a}^t j(r + is) ds$$

except on an at most countable point set where  $j(z)$  is the imaginary part of  $F(z)$ .

PROPOSITION 7. *Let*

$$F(z) = \int_{1/a}^a (t - z)^{-1} dm(t),$$

where  $a > 1$  and  $m$  is a real-valued function of bounded variation with support on the interval  $[1/a, a]$  and such that  $m(t) + m(1/t)$  is constant there. Then

$$\int_{1/a}^a t^k d|m|(t) = \int_{1/a}^a t^{-k} d|m|(t)$$

for all integers  $k$  where  $|m|$  is the total variation measure of  $m$ .

*Proof.* We can consider the above function  $F(z)$  to be equal to

$$\int_{-\infty}^{\infty} (t - z)^{-1} dm(t)$$

if  $m$  is defined to be constant off  $[1/a, a]$ . From the general theory, the inversion formulas for  $m$  and  $|m|$  are

$$m(t) = \lim_{s \rightarrow 0} \int_{1/a}^t j(r + is) dr \quad \text{and} \quad |m|(t) = \lim_{s \rightarrow 0} \int_{1/a}^t |j(r + is)| dr,$$

respectively, where  $j(z)$  is the imaginary part of  $F(z)$ . Also we have

$$\lim_{s \rightarrow 0} \int_{1/a}^a |j(r + is) - m'(r)| dr = 0$$

[27; 26]. (Here  $m'$  means the derivative of  $m$ .) Thus

$$\lim_{s \rightarrow 0} \int_{1/a}^a ||j(r + is)| - |m'(r)|| dr = 0.$$

By a change of variables  $r$  to  $1/r$  we obtain

$$\lim_{s \rightarrow 0} \int_{1/a}^a ||r^{-2}j(r^{-1} + is)| - |r^{-2}m'(r^{-1})|| dr = 0.$$

Let  $\{s_n\}$  be a strictly monotonically decreasing sequence of real numbers that converges to 0. Let

$$g_n(r) = |r^{-2}j(r^{-1} + is_n)| - |j(r + is_n)|.$$

Then by the triangle inequality,  $|g_n(r)|$  is less than or equal to the sum of

$$||r^{-2}j(r^{-1} + is_n)| - |r^{-2}m'(r^{-1})||$$

and

$$||j(r + is_n)| - |m'(r)|| + ||r^{-2}m'(r^{-1})| - |m'(r)||.$$

Let  $m(t) + m(1/t) = c$ , where  $c$  is a constant. Now  $m'$  exists except on a countable set, and so  $dm/dr + (dm/du)(du/dr) = 0$  wherever  $m'$  exists if  $u = 1/r$ . Therefore  $m'(r) = r^{-2}m'(r^{-1})$  almost everywhere and so

$$\int_{1/a}^a ||r^{-2}m'(r^{-1})| - |m'(r)|| dr = 0.$$

Thus

$$\lim_{n \rightarrow \infty} \int_{1/a}^a |g_n(r)| dr = 0.$$

Now define

$$|m_n|(t) = \int_{1/a}^t |j(r + is_n)| dr$$

in the interval  $[1/a, a]$ . Then  $|m_n|(1/a) = 0$  for all  $n$ , and

$$\int_{1/a}^a d|m_n| = \int_{1/a}^a |j(r + is_n)| dr$$

is uniformly bounded in  $n$ . Therefore, by the Helly theorem, there is a subsequence  $\{n_p\}$  of  $\{n\}$  such that  $|m_{n_p}| \rightarrow |m|$  as  $p \rightarrow \infty$ , and we also have

$$\int_{1/a}^a f(t) d|m_{n_p}|(t) \rightarrow \int_{1/a}^a f(t) d|m|(t)$$

for all continuous functions  $f$  on the interval  $[1/a, a]$ .

Let  $k$  be any integer. Then  $t^k$  is continuous and bounded in  $[1/a, a]$  and

$$\int_{1/a}^a t^k d|m_n|(t) = \int_{1/a}^a t^k |j(t + is_n)| dt.$$

Now let  $u = 1/t$ . Then

$$\int_{1/a}^a t^k d|m_n|(t) = \int_{1/a}^a u^{-k} |u^{-2} j(u^{-1} + is_n)| du.$$

But by definition,  $|u^{-2} j(u^{-1} + is_n)| = g_n(u) + |j(u + is_n)|$  and thus

$$\int_{1/a}^a t^k d|m_n|(t) = \int_{1/a}^a u^{-k} |j(u + is_n)| du + \int_{1/a}^a u^{-k} g_n(u) du$$

and so

$$\int_{1/a}^a t^k d|m_{np}|(t) = \int_{1/a}^a t^{-k} d|m_{np}|(t) + \int_{1/a}^a t^{-k} g_{np}(t) dt.$$

Taking limits as  $p$  approaches infinity, the result now follows.

Henceforth, a  $J$ -unitary operator  $U$  will be called  $J$ -real-unitary if it has positive real spectrum and if  $\|p(U)\| \leq c \|p(U)\|_{sp}$  for all polynomials  $p(t)$  where  $c$  is a real constant. The measure  $m(t;x, y)$  of Proposition 6 will be called the measure associated with  $U, x,$  and  $y$ .

**THEOREM 5.** *Let  $U$  be a  $J$ -real-unitary operator in a  $J$ -space  $H$  such that the set  $\{U^n v: n = 0, 1, 2, \dots\}$  generates the space  $H$  for some  $v$  in  $H$ . Assume that  $\|p_n(U)v\| \rightarrow 0$  if and only if  $\int |p_n(t)|^2 d|m|(t) \rightarrow 0$ , where  $m$  is the measure associated with  $U, v,$  and  $v$ , and  $\{p_n(t)\}$  is a sequence of polynomials. Then  $U$  is  $J$ -isomorphic with the  $J$ -unitary operator  $M$  in  $L^2(|m|)$ , where  $Mf(t) = tf(t)$  and  $Jf(t) = X(t)f(1/t)$  with  $X = dm/d|m|$ .*

*Proof.* Since  $U$  is  $J$ -real,

$$((U - z)^{-1}v, v) = \int_{1/a}^a (t - z)^{-1} dm(t)$$

by Proposition 6, where  $m$  may be considered a real finite signed Borel measure on the interval  $[1/a, a]$  which contains the spectrum of  $U$ . From the Neumann expansions of both sides about  $0$  and  $\infty$  and the identity principle of complex variables we have

$$\int_{1/a}^a t^n dm(t) = (U^n v, v)$$

for all integers  $n$ . Therefore

$$\int_{1/a}^a t^n dm(t) = (U^n v, v) = (v, U^{-n}v) = \overline{(U^{-n}v, v)} = \int_{1/a}^a t^{-n} dm(t).$$

Thus we have, by changing  $t$  to  $1/t$  in the last integral,

$$\int_{1/a}^a t^n d(m(t) + m(1/t)) = 0$$

for all integers  $n$ . Thus  $m(t) + m(1/t)$  is a constant. Therefore

$$\int_{1/a}^a t^n d|m|(t) = \int_{1/a}^a t^{-n} d|m|(t)$$

for all  $n$  by Proposition 7.

Now consider  $L^2(|m|)$  with  $Mf(t) = tf(t)$  and  $Jf(t) = X(t)f(1/t)$ , where  $X = dm/d|m|$ . The Hilbert inner product is

$$[f, g] = \int_{1/a}^a f(t)\overline{g(t)} d|m|(t).$$

Therefore

$$[Jf, g] = \int_{1/a}^a f(1/t)\overline{g(t)} dm(t) \quad \text{and} \quad [f, Jg] = \int_{1/a}^a f(t)\overline{g(1/t)} dm(t).$$

Since the polynomials are dense in  $L^2(|m|)$  [1], it suffices to show that  $[Jf, g] = [f, Jg]$  for  $f(t) = t^w$  and  $g(t) = t^q$ . For this pair of functions,

$$[Jf, g] = \int_{1/a}^a t^{q-w} dm(t) \quad \text{and} \quad [f, Jg] = \int_{1/a}^a t^{-(q-w)} dm(t),$$

and these are equal by the above. Thus  $J = J^*$ .

To show that  $J^2 = I$ , we need only show that  $[Jf, Jg] = [f, g]$  for all pairs  $f$  and  $g$  where  $f(t) = t^w$  and  $g(t) = t^q$ . For this pair of functions,

$$[Jf, Jg] = \int_{1/a}^a t^{-(q+w)} d|m|(t) = \int_{1/a}^a t^{q+w} d|m|(t) = [f, g],$$

again by the above. From the fact that  $|X|$  is identically one [28] and all the preceding, we conclude that  $J$  is invertible, self-adjoint, and unitary. This implies that  $X(t) = X(1/t)$ . The space  $L^2(|m|)$ , as above, is a  $J$ -space and the indefinite metric is given by  $(f, g) = [Jf, g]$ .

A calculation shows that  $M$  is  $J$ -unitary and that

$$((M - z)^{-1}e, e) = \int_{1/a}^a (t - z)^{-1} dm(t) = ((U - z)^{-1}v, v),$$

where  $e(t) \equiv 1$ . By assumption,  $\|p_n(U)v\| \rightarrow 0$  if and only if

$$\int |p_n(t)|^2 d|m|(t) = \|p_n(M)e\|^2$$

converges to zero. Finally, the set  $\{M^n e: n = 0, 1, 2, \dots\}$  generates  $L^2(|m|)$  since this is the set of all powers of  $t$ . Therefore by Lemma 1, the operators  $U$  and  $M$  are  $J$ -isomorphic.

Now we make the following definition. Let  $U$  be a  $J$ -unitary operator in a  $J$ -space  $H$  with one-point spectrum  $e^{ib}$  for real  $b$ . If

$$i((U - e^{ib})(U + e^{ib})^{-1} - (U^* - e^{-ib})(U^* + e^{-ib})^{-1})$$

has one-dimensional range spanned by a vector  $v$  in  $H$  with  $Jv = v$  and  $\|v\| = 1$ , then we call  $U$  a  $J$ -Volterra-unitary operator with vector  $v$  and spectrum  $e^{ib}$ .

**THEOREM 6.** Let  $U$  be a  $J$ -Volterra-unitary operator with vector  $v$  and spectrum  $e^{ib}$  in a  $J$ -space  $H$  such that the set  $\{U^n v: n = 0, 1, 2, \dots\}$  generates  $H$ . Then  $U$  is  $J$ -isomorphic to  $-e^{-ib}M$  in the Lebesgue measure space  $L^2(0, 1)$ , where

$$Mf(t) = -f(t) + 2ia \int_0^t e^{-ia(t-s)} f(s) ds$$

and  $Jf(t) = f(1 - t)$ . The real number  $a$  is determined by the equation

$$i((U - e^{ib})(U + e^{ib})^{-1} - (U^* - e^{-ib})(U^* + e^{-ib})^{-1})v = av.$$

*Proof.* Let  $V = -e^{-ib}U$ . Then  $\{V^n v: n = 0, 1, 2, \dots\}$  generates  $H$ , and  $V$  is  $J$ -unitary with one-point spectrum  $-1$ . Also

$$i((V + I)(V - I)^{-1} - (V^* + I)(V^* - I)^{-1})$$

has one-dimensional range spanned by  $v$ . Let  $A = i(V + I)(V - I)^{-1}$ . Then  $A$  is  $J$ -self-adjoint with one-point spectrum  $0$  and  $A + A^*$  has one-dimensional range spanned by  $v$ . Consider the function  $1 - a((A - z^{-1})^{-1}v, v) = F(z)$ . Since  $Jv = v$ , then  $F(z) = 1 - a[(A - z^{-1})^{-1}v, v]$  due to the fact that  $(u, Jv) = [u, v]$  for all  $u$  and  $v$  in  $H$ .

The operator  $A$  here satisfies [14, Theorem 8 (i) and (ii)], and so  $F(z) = e^{az}$ . Furthermore,

$$(z_1 + z_2) \sum_{p,q=0} z_1^p z_2^q [A^p v, A^q v] = (1/a)(F(z_1)\overline{F(z_2)} - 1).$$

Also the operator  $aW$  given by

$$(aW)f(t) = \int_0^t af(s) ds$$

satisfies the same conditions that  $A$  does and so

$$1 - a((aW - z^{-1})^{-1}e, e) = F(z),$$

where  $e$  is the identity function in  $L^2(0, 1)$ . Also

$$(z_1 + z_2) \sum_{p,q=0} z_1^p z_2^q [(aW)^p e, (aW)^q e] = (1/a)(F(z_1)\overline{F(z_2)} - 1).$$

Equating the coefficients of  $z_1^p z_2^q$  in the two equal summations above, we have  $[A^p v, A^q v] = [(aW)^p e, (aW)^q e]$  for all non-negative integers  $p$  and  $q$ . Recall that  $A = i(V + I)(V - I)^{-1}$ . Thus

$$V = -I - 2 \sum_{n=1}^{\infty} (-iA)^n$$

by a power series expansion. Thus

$$[V^p v, V^q v] = \left[ \left( -I - 2 \sum_{n=1}^{\infty} (-iA)^n \right)^p v, \left( -I - 2 \sum_{n=1}^{\infty} (-iA)^n \right)^q v \right].$$

The right-hand side of this last equality is clearly a sum of terms of type

$$\beta_{rs}[A^r v, A^s v] = \beta_{rs}[(aW)^r e, (aW)^s e].$$

Adding up we have

$$[V^p v, V^q v] = \left[ \left( -I - 2 \sum_{n=1}^{\infty} (-iaW)^n \right)^p e, \left( -I - 2 \sum_{n=1}^{\infty} (-iaW)^n \right)^q e \right].$$

However,

$$-I - 2 \sum_{n=1}^{\infty} (-iaW)^n = M$$

by definition. Therefore  $[V^p v, V^q v] = [M^p e, M^q e]$  for  $p, q = 0, 1, 2, \dots$ . In particular,  $\|p_k(V)v\| \rightarrow 0$  if and only if  $\|p_k(M)e\| \rightarrow 0$ , where  $\{p_k(t)\}$  is a sequence of polynomials in  $t$ .

Recall that  $((A - z^{-1})^{-1}v, v) = (1/a)(1 - e^{az})$  and  $(A + A^*)v = av$ . But  $(A - z^{-1})^{-1} = (1/2i)(1 - w)(V - w)^{-1}(V - I)$  by the definition of  $A$  where  $w = (1 + iz)(1 - iz)^{-1}$ .

Therefore we have

$$(2i)^{-1}(1 - w)((V - w)^{-1}(V - I)v, v) = a^{-1}(1 - \exp(ia(1 - w)(1 + w)^{-1})).$$

Since  $(V - w)^{-1}(V - I) = I - (1 - w)(V - w)^{-1}$ , we have

$$\begin{aligned} (2i)^{-1}(1 - w)((v, v) - (1 - w)((V - w)^{-1}v, v)) \\ = a^{-1}(1 - \exp(ia(1 - w)(1 + w)^{-1})), \end{aligned}$$

and therefore

$$((V - w)^{-1}v, v) = (1 - w)^{-1} - 2ia^{-1}(1 - w)^{-2}(1 - \exp(ia(1 - w)(1 + w)^{-1})).$$

Both sides of this last equation are analytic except at  $w = 1$ . Let  $L^2(0, 1)$ ,  $M$ , and  $J$  be as in the conclusion of the theorem. Then  $L^2(0, 1)$  is a  $J$ -space with indefinite metric  $(f, g) = [Jf, g]$  and  $M$  is  $J$ -unitary. Since for each  $n = 0, 1, 2, \dots$  we have

$$(M + I)^{n+1}e(t) - 2(M + I)^n e(t) = -2(2ia)^n e^{-iat^n}/n!,$$

the set  $\{(M + I)^n e: n = 0, 1, 2, \dots\}$  generates  $L^2(0, 1)$ , where  $e$  is the identity function in that space. Therefore the set  $\{M^n e: n = 0, 1, 2, \dots\}$  generates  $L^2(0, 1)$  [1]. Also,

$$\begin{aligned} ((M + I - Z)^{-1}e, e) &= -\sum_{n=0}^{\infty} Z^{-n-1}((M + I)^n e, e) \\ &= -Z^{-1} - \sum_{n=1}^{\infty} Z^{-n-1} \int_0^1 (M + 1)^n e(t) \overline{e(1 - t)} dt \end{aligned}$$

and this equals

$$-Z^{-1} - \sum_{n=1}^{\infty} Z^{-n-1} (2ia)^n \int_0^1 \int_0^t \frac{(t - s)^{n-1}}{(n - 1)!} e^{-ia(t-s)} ds dt.$$

Thus

$$\begin{aligned} ((M + I - Z)^{-1}e, e) &= -Z^{-1} - 2iaZ^{-2} \int_0^1 \int_0^t \sum_{n=1}^{\infty} (2ia)^{n-1} Z^{-(n-1)} \\ &\quad \times \frac{(t-s)^{n-1}}{(n-1)!} e^{-ia(t-s)} ds dt \\ &= -Z^{-1} - 2iaZ^{-2} \int_0^1 \int_0^t e^{ia(t-s)(2Z^{-1}-1)} ds dt \\ &= (2 - Z)^{-1} - 2ia^{-1}(2 - Z)^{-2}(1 - \exp(ia(2Z^{-1} - 1))), \end{aligned}$$

and so

$$((M - w)^{-1}e, e) = (1 - w)^{-1} - 2ia^{-1}(1 - w)^{-2}(1 - \exp(ia(1 - w)(1 + w)^{-1})),$$

where  $w = Z - 1$ . The last expression is equal to  $((V - w)^{-1}v, v)$ . Therefore  $((M - w)^{-1}e, e) = ((V - w)^{-1}v, v)$ .

Thus by Lemma 1, the operators  $M$  and  $V$  are  $J$ -isomorphic and hence  $-e^{-ib}M$  and  $U$  are  $J$ -isomorphic.

Note that these two operators are also Hilbert isomorphic, i.e. unitarily equivalent.

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