

Dual Operator Algebras and a Hereditary Property of Minimal Isometric Dilations

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1. Introduction

Let \mathcal{H} be a separable, infinite dimensional, complex Hilbert space, and let $\mathcal{L}(\mathcal{H})$ be the algebra of all bounded linear operators on \mathcal{H} . A *dual algebra* is a subalgebra of $\mathcal{L}(\mathcal{H})$ that contains the identity operator $I_{\mathcal{H}}$ and is closed in the ultraweak operator topology on $\mathcal{L}(\mathcal{H})$. Note that the weak* topology on $\mathcal{L}(\mathcal{H})$ coincides with the ultraweak operator topology on $\mathcal{L}(\mathcal{H})$. The theory of dual algebras is closely related to the study of the classes $\mathbf{A}_{m,n}$ (to be defined below), where m and n are any cardinal numbers such that $1 \leq m, n \leq \aleph_0$. The structures of the classes $\mathbf{A}_{m,n}$ have been applied to the topics of invariant subspaces, dilation theory, and reflexivity (cf. [6]). In particular, the study of these classes has been focused in the last five years on sufficient conditions that a contraction $T \in \mathcal{L}(\mathcal{H})$ belongs to some $\mathbf{A}_{m,n}$. An abstract geometric criterion for membership in $\mathbf{A}_{\aleph_0, \aleph_0}$ was first given in [1]. In a sequel to this study, Brown–Chevreau–Exner–Pearcy (cf. [8], [11], [12], [13]) obtained some relationships between dual algebras and Fredholm theory, and established topological criteria for membership in $\mathbf{A}_{\aleph_0, \aleph_0}$ or \mathbf{A}_{1, \aleph_0} . Recently many authors have studied sufficient conditions for membership in the class \mathbf{A}_{1, \aleph_0} , $\mathbf{A}_{\aleph_0, \aleph_0}$, or \mathbf{A} (cf. [10], [14], [15], [18]). In particular, in [11] Chevreau–Exner–Pearcy obtained some surprising and unexpected characterizations of the class \mathbf{A}_{1, \aleph_0} . As a sequel to these studies, in this note we define a certain hereditary property concerning the minimal isometric dilation of a contraction operator T in \mathbf{A} , namely property $(\tilde{\mathbf{H}})$, and show that $T \in \mathbf{A}(\mathcal{H})$ has property $(\tilde{\mathbf{H}})$ if and only if $T \in \mathbf{A}_{1, \aleph_0}$.

2. Notation and Preliminaries

The notation and terminology employed herein agree with that in [2], [6], and [19]. The class $\mathcal{C}_1(\mathcal{H})$ is the Banach space of trace-class operators on \mathcal{H} equipped with the trace norm. The dual algebra \mathcal{A} can be identified with the

Received September 7, 1990. Revision received September 9, 1991.

The second author was partially supported by a grant from TGRC-KOSEF and Korea Research Foundation, Ministry of Education, 1990–1991.

Michigan Math. J. 39 (1992).

dual space of $\mathcal{Q}_{\mathcal{Q}} = \mathcal{C}_1(\mathcal{H})/{}^{\perp}\mathcal{Q}$, where ${}^{\perp}\mathcal{Q}$ is the preannihilator in $\mathcal{C}_1(\mathcal{H})$ of \mathcal{Q} under the pairing

$$(2.1) \quad \langle T, [L]_{\mathcal{Q}} \rangle = \text{tr}(TL), \quad T \in \mathcal{Q}, [L] \in \mathcal{Q}_{\mathcal{Q}}.$$

We write $[L]$ for $[L]_{\mathcal{Q}}$ when there is no possibility of confusion. If x and y are vectors in \mathcal{H} , we denote by $x \otimes y$ the rank 1 operator whose action is $(x \otimes y)(u) = (u, y)x$ for all u in \mathcal{H} .

DEFINITION 2.1 (cf. [6]). Suppose m and n are cardinal numbers such that $1 \leq m, n \leq \aleph_0$. A dual algebra \mathcal{Q} will be said to have property $(\mathbf{A}_{m,n})$ if every $m \times n$ system of simultaneous equations of the form

$$(2.2) \quad [x_i \otimes y_j] = [L_{ij}], \quad 0 \leq i < m, 0 \leq j < n,$$

where $\{[L_{ij}]\}_{0 \leq i < m, 0 \leq j < n}$ is an arbitrary $m \times n$ array from $\mathcal{Q}_{\mathcal{Q}}$, has a solution $\{x_i\}_{0 \leq i < m}, \{y_j\}_{0 \leq j < n}$ consisting of a pair of sequences of vectors from \mathcal{H} . We usually shorten $(\mathbf{A}_{m,n})$ to (\mathbf{A}_n) .

We write \mathbf{D} for the open unit disc in the complex plane and \mathbf{T} for the boundary of \mathbf{D} . The space $L^p = L^p(\mathbf{T})$, $1 \leq p \leq \infty$, is the usual Lebesgue function space relative to normalized Lebesgue measure m on \mathbf{T} . The space $H^p = H^p(\mathbf{T})$ is the usual Hardy space. It is well known (cf. [6]) that the space H^∞ is the Banach dual of L^1/H_0^1 , where H_0^1 is the subspace of H^1 consisting of those functions whose zeroth Fourier coefficient vanishes.

A contraction operator T is *absolutely continuous* if in the canonical decomposition $T = T_1 \oplus T_2$, where T_1 is a unitary operator and T_2 is a completely nonunitary contraction, T_1 is either absolutely continuous or acts on the space (0) . For T in $\mathcal{L}(\mathcal{H})$ we denote by \mathcal{Q}_T the (unital) dual algebra generated by T , and by \mathcal{Q}_T the predual of \mathcal{Q}_T . It is well known that an absolutely continuous contraction T has a Sz.-Nagy-Foiaş functional calculus $\Phi_T: H^\infty \rightarrow \mathcal{Q}_T$ defined by $\Phi_T(f) = f(T)$ for each f in H^∞ . (A full exposition may be found in [6].) We denote by $\mathbf{A} = \mathbf{A}(\mathcal{H})$ the class of all absolutely continuous contractions T in $\mathcal{L}(\mathcal{H})$ for which Φ_T is an isometry (in which case Φ_T maps H^∞ onto \mathcal{Q}_T). For any m and n we denote by $\mathbf{A}_{m,n} = \mathbf{A}_{m,n}(\mathcal{H})$ the class of T in \mathbf{A} for which \mathcal{Q}_T has property $(\mathbf{A}_{m,n})$.

For T in $\mathcal{L}(\mathcal{H})$ we let $\text{Lat}(T)$ denote the lattice of subspaces invariant for T . If $\mathfrak{M} \in \text{Lat}(T)$ we write $T|_{\mathfrak{M}}$ for the restriction of T to \mathfrak{M} . A subspace \mathcal{K} is semi-invariant for T if there exist \mathfrak{M} and \mathfrak{N} in $\text{Lat}(T)$ with $\mathfrak{M} \supset \mathfrak{N}$ such that $\mathcal{K} = \mathfrak{M} \ominus \mathfrak{N}$. If \mathcal{K} is semi-invariant for T , we write $T_{\mathcal{K}} = P_{\mathcal{K}}T|_{\mathcal{K}}$ for the compression of T to \mathcal{K} , where $P_{\mathcal{K}}$ is the orthogonal projection whose range is \mathcal{K} .

We say that an operator B is an *extension* of T if there exists \mathfrak{M} in $\text{Lat}(B)$ such that $T = B|_{\mathfrak{M}}$; B is a *dilation* of T if there is a semi-invariant subspace \mathcal{K} for B such that $T = B_{\mathcal{K}}$. It is well known from [19] that an absolutely continuous contraction T has a minimal isometric dilation and a minimal co-isometric extension, where minimality is defined in a natural way.

3. Property $(\tilde{\mathbf{H}})$ and the Class \mathbf{A}_{1, κ_0}

Let T be a contraction operator in $\mathcal{L}(\mathcal{H})$. We denote by $B_T \in \mathcal{L}(\mathcal{K})$ a minimal isometric dilation of T . Then it follows from the Wold decomposition theorem (cf. [19, Thm. I.1.1]) that

$$(3.1) \quad B_T = U_T \oplus R_T,$$

where $U_T \in \mathcal{L}(\mathcal{U}_T)$ is a (forward) unilateral shift operator and $R_T \in \mathcal{L}(\mathcal{R}_T)$ is a unitary operator. Furthermore, it follows from (3.1) that

$$(3.2) \quad B_T^* = U_T^* \oplus R_T^*$$

is a minimal co-isometric extension of T^* .

Suppose $T \in \mathcal{L}(\mathcal{H})$ has an invariant subspace \mathfrak{M} with $\mathfrak{M} \neq (0)$. Then a minimal isometric dilation $B_T \in \mathcal{L}(\mathcal{K})$ is an isometric dilation of $T|_{\mathfrak{M}}$. Hence $T|_{\mathfrak{M}}$ has a minimal isometric dilation $B_{T|_{\mathfrak{M}}} \in \mathcal{L}(\tilde{\mathcal{K}})$ such that $\mathfrak{M} \subset \tilde{\mathcal{K}} \subset \mathcal{K}$ with $\tilde{\mathcal{K}}$ in $\text{Lat}(B_T)$ and $B_{T|_{\mathfrak{M}}} = B_T|_{\tilde{\mathcal{K}}}$. We use this notation throughout the following definitions.

DEFINITION 3.1. Let T be a contraction operator in $\mathcal{L}(\mathcal{H})$. We say T has property (\mathbf{H}) if, for any $\mathfrak{M} \in \text{Lat}(T)$ with $\mathfrak{M} \neq (0)$, the minimal isometric dilation $B_{T|_{\mathfrak{M}}} \in \mathcal{L}(\tilde{\mathcal{K}})$ of $T|_{\mathfrak{M}}$ obtained as a restriction $B_T|_{\tilde{\mathcal{K}}}$ with $\tilde{\mathcal{K}} \in \text{Lat}(B_T)$ satisfies $\mathcal{U}_{T|_{\mathfrak{M}}} \subset \mathcal{U}_T$.

DEFINITION 3.2. A contraction operator $T \in \mathbf{A}$ has property $(\tilde{\mathbf{H}})$ if there exists $\mathfrak{M} \in \text{Lat}(T)$ such that $T|_{\mathfrak{M}} \in \mathbf{A}(\mathfrak{M})$ and $T|_{\mathfrak{M}}$ has property (\mathbf{H}) .

If $T \in C_0(\mathcal{H})$ (i.e., if $\|T^{*n}x\| \rightarrow 0$ for all $x \in \mathcal{H}$), then it is easy to show that T has property (\mathbf{H}) (cf. [2, Cor. I.2.11]). Hence a unilateral shift U of any multiplicity has property (\mathbf{H}) . Let W be a bilateral shift of some multiplicity. It is easy to show that W does not have property (\mathbf{H}) but does have property $(\tilde{\mathbf{H}})$.

Recall that a completely nonunitary contraction $T \in \mathcal{L}(\mathcal{H})$ is said to be of class C_0 if there exists $u \in H^\infty$, $u \neq 0$, such that $u(T) = 0$.

PROPOSITION 3.3. *If U is a unilateral shift of multiplicity 1, then U^* does not have property (\mathbf{H}) . But $U^*|_{\mathfrak{M}}$ has property (\mathbf{H}) for any nontrivial invariant subspace \mathfrak{M} for U^* .*

Proof. Let us take a nontrivial invariant subspace \mathfrak{N} for U^* , and let $\tilde{T} = U^*|_{\mathfrak{N}}$. Since $\tilde{T} \in C_0 \subset C_0$, by [2, Cor. I.2.11] $B_{\tilde{T}}$ is a unilateral shift operator of multiplicity 1. But B_{U^*} is a bilateral shift of multiplicity 1; hence U^* cannot have property (\mathbf{H}) . For the second statement, let \mathfrak{M} be a nontrivial invariant subspace for U^* . Again, $U^*|_{\mathfrak{M}} \in C_0$. Hence $U^*|_{\mathfrak{M}}$ has property (\mathbf{H}) , and the proof is complete. \square

The following is the main theorem in this paper. The study of \mathbf{A}_{1, κ_0} in [11] used heavily the minimal co-isometric extension of an operator T . We give

a characterization of the class founded instead on the minimal isometric dilation.

THEOREM 3.4. *Suppose $T \in \mathbf{A}(\mathcal{H})$. Then the following statements are equivalent:*

- (1) $T \in \mathbf{A}_{1, \kappa_0}(\mathcal{H})$;
- (2) *there exists an invariant subspace \mathfrak{M} for T such that $T|_{\mathfrak{M}} \in \mathbf{A} \cap C_0$;*
- (3) T has property $(\tilde{\mathbf{H}})$.

The proof of Theorem 3.4 will appear in the next section.

4. Proof of the Main Theorem

Let T be a contraction in $\mathcal{L}(\mathcal{H})$ and suppose that $\mathfrak{M} \in \text{Lat}(T)$. Recall (cf. [7], [11], and [17]) that \mathfrak{M} is an *analytic invariant subspace* for T if there exists a nonzero conjugate analytic function $e: \mathbf{D} \rightarrow \mathfrak{M}$ such that $(T|_{\mathfrak{M}} - \lambda)^* e_\lambda = 0$, $\lambda \in \mathbf{D}$. If in addition to those conditions the function e satisfies $\bigvee_{\lambda \in \mathbf{D}} e_\lambda = \mathfrak{M}$, then \mathfrak{M} is said to be a *full analytic invariant subspace* for T . It follows from [11, Thm. 6.2] that if $T \in \mathbf{A}_{1, \kappa_0}(\mathcal{H})$ then T has a full analytic invariant subspace \mathfrak{M} . In particular, we have

$$(4.1) \quad \mathfrak{M} = \bigvee_{\lambda \in \mathbf{D}} \text{Ker}(T|_{\mathfrak{M}} - \lambda)^*.$$

The following lemma is [12, Prop. 2.8]. Recall that $T \in C_0$ if $\|T^n x\| \rightarrow 0$ for all x in \mathcal{H} .

LEMMA 4.1. *Let T be a contraction in $\mathcal{L}(\mathcal{H})$. Let $\emptyset \neq \Lambda \subset \mathbf{D}$ and let M be a nonempty set of natural numbers. Suppose*

$$(4.2) \quad \mathfrak{M} = \bigvee_{\substack{\lambda \in \Lambda \\ n \in M}} \text{Ker}(T - \lambda)^n.$$

Then $T|_{\mathfrak{M}} \in C_0$.

The following proposition shows (1) \Rightarrow (2), and follows easily from the above remarks and Lemma 4.1.

PROPOSITION 4.2. *If $T \in \mathbf{A}_{1, \kappa_0}(\mathcal{H})$, then there exists an invariant subspace \mathfrak{M} for T such that $T|_{\mathfrak{M}} \in \mathbf{A} \cap C_0$.*

Let $T \in \mathbf{A}(\mathcal{H})$. Recall that there is, for each λ in \mathbf{D} , an element $[C_\lambda]$ of \mathcal{Q}_T of norm 1 and satisfying, for all f in H^∞ ,

$$(4.3) \quad \langle f(T), [C_\lambda] \rangle = \tilde{f}(\lambda),$$

where \tilde{f} is the analytic extension of f to \mathbf{D} (see [6, §IV]).

The next lemma is a useful tool from [16]; see [6, proof of Thm. 6.6] for the sketch of an essentially similar result.

LEMMA 4.3. *If $T \in \mathbf{A}(\mathfrak{K})$, then for any positive integer n there exist an invariant subspace \mathfrak{M}_n for T and an orthonormal set $\{e_k^{(n)}\}_{k=1}^n$ in \mathfrak{M}_n such that*

$$(4.4a) \quad e_k^{(n)} \in \text{Ker}(T|_{\mathfrak{M}_n})^{*k} \ominus \text{Ker}(T|_{\mathfrak{M}_n})^{*k-1}$$

and

$$(4.4b) \quad [e_k^{(n)} \otimes e_k^{(n)}]_T = [C_0]_T, \quad k = 1, 2, \dots, n.$$

The following lemma is the key step in the proof that (3) \Rightarrow (1).

LEMMA 4.4. *Suppose $T \in \mathbf{A}(\mathfrak{K})$ has property (H). Then there exists a sequence $\{f_j\}_{j=1}^\infty$ of unit vectors in \mathfrak{K} satisfying*

$$(4.5a) \quad [f_j \otimes f_j] = [C_0]_T, \quad j = 1, 2, \dots,$$

and

$$(4.5b) \quad \lim_j \|[f_j \otimes z]_T\| = 0 \quad \text{for all } z \in \mathfrak{K}.$$

Proof. Let $B_T \in \mathcal{L}(\mathfrak{K})$ be a minimal isometric dilation of T . Then B_T^* is a minimal co-isometric extension of T^* . Suppose $B_T^* = U_T^* \oplus R_T^*$, where $U_T \in \mathcal{L}(\mathfrak{U})$ is a unilateral shift operator and $R_T \in \mathcal{L}(\mathfrak{R})$ is a unitary operator. By Lemma 4.3 we may produce, for each positive integer n , a subspace $\mathfrak{M}_n \in \text{Lat}(T)$ and an orthonormal set $\{e_k^{(n)}\}_{k=1}^n$ in \mathfrak{M}_n such that

$$(4.6a) \quad e_k^{(n)} \in \text{Ker}(T|_{\mathfrak{M}_n})^{*k}, \quad k = 1, 2, \dots, n,$$

and

$$(4.6b) \quad [e_k^{(n)} \otimes e_k^{(n)}]_T = [C_0]_T, \quad k = 1, 2, \dots, n.$$

Let $B_n \in \mathcal{L}(\tilde{\mathfrak{K}}_n)$ be the minimal isometric dilation of $T|_{\mathfrak{M}_n}$ obtained as $B_T|_{\tilde{\mathfrak{K}}_n}$ for some $\tilde{\mathfrak{K}}_n$ in $\text{Lat}(B_T)$. Then B_n^* is a minimal co-isometric extension of $(T|_{\mathfrak{M}_n})^*$. Suppose

$$(4.7) \quad B_n^* = U_n^* \oplus R_n^*,$$

where $U_n \in \mathcal{L}(\mathfrak{U}_n)$ is a unilateral shift operator and $R_n \in \mathcal{L}(\mathfrak{R}_n)$ is a unitary operator. From (4.6a) and (4.7) it is easy to show that $e_k^{(n)} \in \mathfrak{U}_n$, $k = 1, 2, \dots, n$. Since T has property (H) we have $\mathfrak{U}_n \subset \mathfrak{U}$ for all n , and thus $e_k^{(n)} \in \mathfrak{U}$ for all pairs k and n with n a positive integer and $1 \leq k \leq n$.

As in the proof of [6, Thm. 6.6], from the finite orthonormal sets $\{e_k^{(n)}\}_{k=1}^n$, $n = 1, 2, \dots$, we may extract a sequence $\{f_j\}_{j=1}^\infty$ of unit vectors weakly convergent to zero and satisfying $[f_j \otimes f_j] = [C_0]_T$ for all j (where each f_j is some $e_k^{(n)}$). Briefly, if $\{w_i\}_{i=1}^\infty$ is an orthonormal basis for \mathfrak{K} then it suffices to choose the sequence $\{f_j\}_{j=1}^\infty$ from among the $e_k^{(n)}$ so that $|(w_i, f_j)| \leq 1/\sqrt{j}$ for all $1 \leq i \leq j$. This may be achieved by considering, for $n = j^2$, the $\mathfrak{K}_0 \times n$ rectangular array whose (i, k) th entry is $|(w_i, e_k^{(n)})|^2$, and noting that there must exist some column for which the sum of the first j entries is less than or equal to $1/j$.

Let $P_{\mathfrak{U}}$ be the orthogonal projection from \mathfrak{K} onto \mathfrak{U} . Observe finally that for each j , and for any $z \in \mathfrak{K}$,

$$\begin{aligned}
 \|[f_j \otimes z]_T\| &= \|[z \otimes f_j]_{T^*}\| \\
 (4.8) \qquad \qquad &= \|[z \otimes f_j]_{B_T^*}\| \quad \text{since } \mathfrak{K} \in \text{Lat}(B_T^*) \\
 &= \|[P_{\mathfrak{U}}z \otimes f_j]_{B_T^*}\|,
 \end{aligned}$$

where the last equality follows from $f_j \in \mathfrak{U}$ and \mathfrak{U} reducing for B_T^* . But since $f_j \in \mathfrak{U}$ we also have that $\|[P_{\mathfrak{U}}z \otimes f_j]_{B_T^*}\| = \|[P_{\mathfrak{U}}z \otimes f_j]_{U_T^*}\|$. Then, since $\{f_j\}_{j=1}^\infty$ is weakly convergent to zero, we have

$$(4.9) \qquad \qquad \lim_j \|[P_{\mathfrak{U}}z \otimes f_j]_{U_T^*}\| = 0,$$

using $U_T^* \in C_0$. and citing [12, Prop. 2.7]. Thus from (4.8) we have

$$(4.10) \qquad \qquad \lim_j \|[f_j \otimes z]_T\| = 0,$$

and since each f_j is some $e_k^{(n)}$ we have, for each j ,

$$(4.11) \qquad \qquad [f_j \otimes f_j] = [C_0]_T$$

from (4.6b). Therefore the sequence $\{f_j\}_{j=1}^\infty$ satisfies (4.5a) and (4.5b) as desired. □

Suppose $\mathfrak{Q} \subset \mathcal{L}(\mathfrak{K})$ is a dual algebra and $0 \leq \theta < \gamma \leq 1$. As in [13], we denote by $\mathcal{E}_\theta^r(\mathfrak{Q})$ the set of all $[L]$ in $\mathfrak{Q}_\mathfrak{Q}$ for which there exist sequences $\{x_i\}_{i=1}^\infty$ and $\{y_i\}_{i=1}^\infty$ from the closed unit ball of \mathfrak{K} satisfying

$$(4.12a) \qquad \qquad \limsup_{i \rightarrow \infty} \|[L] - [x_i \otimes y_i]\| \leq \theta$$

and

$$(4.12b) \qquad \qquad \|[x_i \otimes z]\| \rightarrow 0 \quad (i \rightarrow \infty), \quad \text{for all } z \in \mathfrak{K}.$$

The dual algebra \mathfrak{Q} is said to have property $E_{\theta, \gamma}^r$ (for some $0 \leq \theta < \gamma \leq 1$) if the smallest closed absolutely convex set containing $\mathcal{E}_\theta^r(\mathfrak{Q})$ contains the closed ball $B_{0, \gamma}$ of radius γ centered at the origin in $\mathfrak{Q}_\mathfrak{Q}$:

$$(4.13) \qquad \qquad \overline{\text{aco}}(\mathcal{E}_\theta^r(\mathfrak{Q})) \supset \{[L] \in \mathfrak{Q}_\mathfrak{Q} : \|[L]\| \leq \gamma\}.$$

It follows from [11, Thm. 6.2] that $T \in \mathbf{A}_{1, \kappa_0}$ if and only if $T \in \mathbf{A}$ and \mathfrak{Q}_T has property $E_{0, 1}^r$.

Now we are ready to show that (3) \Rightarrow (1).

PROPOSITION 4.5. *Suppose $T \in \mathbf{A}(\mathfrak{K})$. If T has property $(\tilde{\mathbf{H}})$, then $T \in \mathbf{A}_{1, \kappa_0}(\mathfrak{K})$.*

Proof. Without loss of generality we may assume that T has property (\mathbf{H}) . For according to [16, Lemma 3.14], if for some $\mathfrak{M} \in \text{Lat}(T)$ we have $T|_{\mathfrak{M}} \in \mathbf{A}_{1, \kappa_0}$, then $T \in \mathbf{A}_{1, \kappa_0}$. Furthermore, by [11, Thm. 6.2] it is sufficient to show that \mathfrak{Q}_T has property $E_{0, 1}^r$. Moreover, according to [6, Prop. 1.21] it is enough

to show that for each λ in \mathbf{D} we have $[C_\lambda]$ in $\mathcal{E}'_0(\mathcal{A}_T)$. Finally, as in the proof of [6, Prop. 6.1], it is sufficient to construct a sequence $\{x_j\}_{j=1}^\infty$ of unit vectors from \mathcal{H} such that

$$(4.14a) \quad [x_k \otimes x_k]_T = [C_0]_T, \quad k = 1, 2, \dots,$$

and

$$(4.14b) \quad \lim_k \|[x_k \otimes z]\| = 0 \quad \text{for all } z \in \mathcal{H}.$$

But the existence of such a sequence is exactly the conclusion of Lemma 4.4, and the proof is complete. \square

Since we have observed before that [2, Cor. I.2.11] shows (2) \Rightarrow (3), the proof of Theorem 3.4 is complete.

REMARK. One might consider a property (\mathbf{H}_*) analogous to (\mathbf{H}) but concerning instead the shift parts of the minimal co-isometric extensions of T and $T|_{\mathcal{M}}$. It is not too hard to show, however, that every contraction has this property (\mathbf{H}_*) (the reason is essentially that a unitary operator is very far from being C_0).

ACKNOWLEDGMENTS. The authors wish to thank Professor Carl Pearcy for his support and encouragement, and the referee of an earlier version of this paper for valuable comments.

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