ON INVERSES OF KREIN’S $\mathcal{D}$-FUNCTIONS

CLAUDIO CACCIAPUOTI, DAVIDE FERMI, AND ANDREA POSILICANO

Dedicated to Gianfausto Dell’Antonio on the occasion of his 85th birthday

Abstract. Let $A_Q$ be the self-adjoint operator defined by the $\mathcal{D}$-function $Q : z \mapsto Q_z$ through the Krein-like resolvent formula

$$( -A_Q + z )^{-1} = ( -A_0 + z )^{-1} + G_z W Q_z^{-1} V G_z^* , \quad z \in Z_Q,$$

where $V$ and $W$ are bounded operators and

$$Z_Q := \{ z \in \rho(A_0) : Q_z \text{ and } Q_z \text{ have a bounded inverse} \} .$$

We show that

$$Z_Q \neq \emptyset \implies Z_Q = \rho(A_0) \cap \rho(A_Q) .$$

We do not suppose that $Q$ is represented in terms of a uniformly strict, operator-valued Nevanlinna function (equivalently, we do not assume that $Q$ is associated to an ordinary boundary triplet), thus our result extends previously known ones. The proof relies on simple algebraic computations stemming from the first resolvent identity.

1. Introduction

Let $A_0 : \text{dom}(A_0) \subseteq H \to H$ be a self-adjoint operator in the Hilbert space $H$ and let $S : \text{dom}(S) \subseteq H \to H$ be the symmetric operator given by the restriction of $A_0$ to the kernel (assumed to be dense) of the continuous (w.r.t. the graph norm) linear map $\tau : \text{dom}(A_0) \to K$, $K$ being an auxiliary Hilbert space. By [32, Theorem 2.1] (see Theorem 2.4 in the next section), a family of self-adjoint extensions of $S$ can be defined through the Krein-like resolvent formula

$$( -A_Q + z )^{-1} = ( -A_0 + z )^{-1} + G_z W Q_z^{-1} V G_z^* , \quad z \in Z_Q ,$$

where $V$ and $W$ are bounded operators,

$$Z_Q := \{ z \in \rho(A_0) : Q_z \text{ and } Q_z \text{ have a bounded inverse} \}$$

and $Q_z$ is a family of (not necessarily bounded) densely defined, closed linear maps such that

$$Q_z - Q_w = ( z - w ) V \tau( -A_0 + w )^{-1} ( \tau( -A_0 + z )^{-1} )^* W , \quad w, z \in \rho(A_0) ,$$

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and

\( V^*(Q_z^*)^{-1}W^* = WQ_z^{-1}V \), \quad z \in Z_Q .

By a slight abuse of terminology, we call such a map \( Q : z \mapsto Q_z \) a \( \mathcal{B} \)-function; for the definition (in the case \( V = 1 \) and \( W = 1 \), where \( (1.2) \) reduces to \( Q_z^* = Q_z \)) of a \( \mathcal{B} \)-function of \( S \) belonging to \( A_0^0 \) (with values in the space of bounded operators) we refer to [14, Definition 3] and to the original papers [24] (defect indices \( n_\pm(S) = 1 \)), [25] (finite defect indices), [37] (infinite defect indices). Evidently the above definition of \( A_0^0 \) by \( (1.1) \) only requires \( Z_Q \neq \emptyset \). However, taking into account formula \( (1.1) \), one would expect \( \rho(A_0) \cap \rho(A_Q) \subseteq Z_Q \) (hence \( Z_Q = \rho(A_0) \cap \rho(A_Q) \) since \( Z_Q \subseteq \rho(A_0) \cap \rho(A_Q) \) by \( Z_Q \subseteq \rho(A_0) \) and \( (1.1) \)); moreover, in order to treat scattering theory for the couple \( (A_Q, A_0) \) through a limiting absorption principle (see [30], [31], [28], [10]), one at least would need \( C \setminus \mathbb{R} \subseteq Z_Q \). The aim of this work is to show that if \( Z_Q \) is not empty then it necessarily coincides with \( \rho(A_0) \cap \rho(A_Q) \) (and so it always contains the whole \( C \setminus \mathbb{R} \)). In the case the map \( \tau \) is surjective, i.e., \( \text{ran}(\tau) = K \), and \( V = \pi, W = \pi^* \), \( \pi \) an orthogonal projector onto a closed subspace of \( K \) (coinciding with \( K \) itself in the case \( \pi = 1 \)), then (see [34], [35], Section 4) the construction provided in [32] is equivalent to the one given by boundary triplet theory (we refer to [14, 8] Section 1, [15, Section 7.3], [38, Section 14] and references therein for an introduction to such a theory). Thus, in this case, \( Q \) can be expressed in terms of a self-adjoint operator and an holomorphic function \( M : z \mapsto M_z \) with values in the space of bounded operators such that \( M_z = M_z^* \) and \( 0 \in \rho(M_z - M_z^*) \) (see [14, Theorem 1], [15, Theorem 7.15]), i.e., \( M \) is a uniformly strict Nevanlinna operator function. Hence, whenever \( \text{ran}(\tau) = K \), \( V = \pi, W = \pi^* \), one gets \( Z_Q = \rho(A_0) \cap \rho(A_Q) \) by standard arguments (see [14, Theorem 2], [15, Theorem 7.16]; see also [32, Proposition 2.1], [35, Theorem 2.1]). Since, by the correspondence with von Neumann’s theory (see [33], [35], any self-adjoint extension of \( S \) can be defined through \( (1.1) \) assuming the hypothesis \( \text{ran}(\tau) = K \) (equivalently, using the corresponding ordinary boundary triplet, see [14, 38, Theorem 14.7]), these results seems to settle down our questions about \( Z_Q \) (at least in the case \( V = \pi, W = \pi^* \)). However, in cases where the defect indices of \( S \) are not finite, in particular in applications to partial differential operators, it can be much more convenient to do not require \( \text{ran}(\tau) = K \) (and sometimes \( V \neq 1, W \neq 1 \)) and so to do not use ordinary boundary triplets (see, e.g., [12], [13], [32], [23], [16], [17], [18], [2], [3], [4], [6], [28], [9], [10]). While some results regarding the validity of \( (1.1) \) for any \( z \in \rho(A_0) \cap \rho(A_Q) \) are known even for not ordinary boundary triplets (as generalized boundary triplets and quasi-boundary triplets, see e.g., [3], [15], [3]), some additional hypotheses are required in these cases (which moreover do not necessarily conform to our framework). Here, see Theorem [24, 14] in the next section, we provide a simple proof of

\[ Z_Q \neq \emptyset \implies Z_Q = \rho(A_0) \cap \rho(A_Q) \]

in the case \( \text{ran}(\tau) \neq K, V \neq \pi, W \neq \pi^* \), without further hypotheses.
2. Inverses of Krein’s $\mathcal{Q}$-functions

Let $H$ and $K$ be Hilbert spaces with scalar products (which we assume to be conjugate-linear w.r.t. the first variable) $\langle \cdot, \cdot \rangle_H$ and $\langle \cdot, \cdot \rangle_K$. In the following, for notational convenience, we do not identify $K$ with its dual $K^*$; however we use $K^{**} \equiv K$. We denote by $\langle \cdot, \cdot \rangle_{K^*,K}$ the $K^*$-K duality (conjugate-linear w.r.t. the first variable) defined by $\langle \psi, \phi \rangle_{K^*,K} := \langle J^{-1} \psi, \phi \rangle_K$, where $J : K \to K^*$ is the duality mapping given by the differential of $\phi \mapsto \frac{1}{2} \langle \phi, \phi \rangle_K$.

Given the self-adjoint operator $A_0 : \text{dom}(A_0) \subseteq H \to H$, we consider a continuous (w.r.t. the graph norm in $\text{dom}(A_0)$) linear map $\tau : \text{dom}(A_0) \to K$ such that

\[(2.1) \quad \ker(\tau) \text{ is dense in } H.\]

**Remark 2.1.** Notice that we do not suppose that $\text{ran}(\tau) = K$. This means that the corresponding (accordingly to [34]) boundary triplet is not an ordinary boundary triplet. See the successive Remark 2.20 for the case in which $\ker(\tau)$ is not dense.

For any $z \in \rho(A_0)$ we define $R_0^z \in \mathcal{B}(H, \text{dom}(A_0))$ by $R_0^z := (-A_0 + z)^{-1}$ and $G_z \in \mathcal{B}(K^*, H)$ by

\[G_z : K^* \to H, \quad G_z : = (\tau R_0^z)^*,\]

i.e.,

\[\langle G_z \phi, u \rangle_H = \langle \phi, \tau(-A_0 + z)^{-1} u \rangle_{K^*,K} \quad \phi \in K^*, \ u \in H.\]

By [21], one has (see [32] Remark 2.9)),

\[\text{ran}(G_z) \cap \text{dom}(A_0) = \{0\}\]

and, by the resolvent identity,

\[(2.2) \quad G_z - G_w = (w - z) R_0^z G_z,\]

so that

\[(2.3) \quad \text{ran}(G_z - G_w) \subset \text{dom}(A_0).\]

**Remark 2.2.** Notice that (2.2) is equivalent to

\[(2.4) \quad G_z = (1 + (w - z) R_0^z) G_w.\]

Let $X$ and $Y$ be two Hilbert spaces and let $V$ and $W$ be two bounded operators, $V \in \mathcal{B}(K, X)$ and $W \in \mathcal{B}(Y, K^*)$. Given a not empty set $Z_A \subseteq \rho(A_0)$, symmetric with respect to the real axis (i.e., $z \in Z_A \Rightarrow \bar{z} \in Z_A$), we consider a map

\[\Lambda : Z_A \to \mathcal{B}(X, Y), \quad z \mapsto \Lambda_z,\]

such that

\[(2.5) \quad V^* \Lambda_z^* W^* = W \Lambda_z V,\]
\[ \Lambda_z - \Lambda_w = (w - z) \Lambda_w VG^*_w G_z W \Lambda_z. \]

**Remark 2.3.** Notice that (2.6) is equivalent to

\[ \Lambda_z = (1 + (w - z) \Lambda_z VG^*_z G_w W) \Lambda_w. \]

Notice that, by (2.5) and (2.6), the map \( \tilde{\Lambda}_z := W \Lambda_z V : K \to K^* \) satisfies the relations

\[ \tilde{\Lambda}_z^* = \tilde{\Lambda}_z \]

and

\[ \tilde{\Lambda}_z - \tilde{\Lambda}_w = (w - z) \tilde{\Lambda}_w VG^*_w G_z \tilde{\Lambda}_z, \]

see [32, equations (2) and (4)]. Hence, building on [32, Theorem 2.1], one has (see [28, Theorem 2.4 and Remark 2.5]; our \( \tilde{\Lambda}_z \) corresponds to the operator there denoted by \( \Lambda_z \))

**Theorem 2.4.** Let \( \Lambda : \mathcal{L}_z \to \mathcal{B}(\mathcal{X}, \mathcal{Y}) \) satisfy (2.5) and (2.6). Then there exists a unique self-adjoint extension \( A_{\Lambda} \) of the closed symmetric operator \( S := A_0 \mid \ker(\tau) \) such that \( \mathcal{L}_z \subseteq \rho(\Lambda_0) \cap \rho(A_{\Lambda}) \) and

\[ (-\Lambda + z)^{-1} = R^0_z + G_z W \Lambda_z VG^*_z, \quad z \in \mathcal{L}_z. \]

**Remark 2.5.** Any self-adjoint extension of \( S \) is of the kind provided by the previous theorem (see [33, 35]).

From now on we use the shorthand notation

\[ R^\Lambda_z := (-\Lambda + z)^{-1}, \quad z \in \rho(A_{\Lambda}). \]

**Lemma 2.6.** For any \( w \) and \( z \) in \( \mathcal{L}_z \) one has

\[ \Lambda_z - \Lambda_w = (w - z) \Lambda_w VG^*_w (1 + (w - z)R^\Lambda_z) G_w W \Lambda_w. \]

**Proof.** Taking into account relations (2.6), (2.7), (2.4) and (2.8), one gets

\[
\Lambda_z - \Lambda_w \\
= (w - z) \Lambda_w VG^*_w (G_z + (w - z)G_z W \Lambda_z VG^*_z G_w) W \Lambda_w \\
= (w - z) \Lambda_w VG^*_w (1 + (w - z)R^0_z + (w - z)G_z W \Lambda_z VG^*_z G_w W \Lambda_w) W \Lambda_w \\
= (w - z) \Lambda_w VG^*_w (1 + (w - z)R^\Lambda_z) G_w W \Lambda_w.
\]

\[ \Box \]

Obviously, by (2.8), \( \rho(A_{\Lambda}) \ni z \mapsto R^\Lambda_z \) is a \( \mathcal{B}(\mathcal{H}) \)-valued analytic extension of \( \mathcal{L}_z \ni z \mapsto R^0_z + G_z W \Lambda_z VG^*_z \). Thus, given \( w \in \mathcal{L}_z \), relation (2.9) suggests to define an analytic extension of \( \Lambda \) by

\[ \widehat{\Lambda}^{(w)} : \rho(A_{\Lambda}) \to \mathcal{B}(\mathcal{X}, \mathcal{Y}), \]

\[ \widehat{\Lambda}^{(w)}_z := \Lambda_w + (w - z) \Lambda_w VG^*_w (1 + (w - z)R^\Lambda_z) G_w W \Lambda_w. \]

**Lemma 2.7.** Suppose that \( \mathcal{L}_z \) contains at least an accumulation point. Then \( \widehat{\Lambda}^{(w)} \) is \( w \)-independent.
Proof. Let $w_1 \neq w_2$. At first suppose that $A_\Lambda$ has a spectral gap, equivalently $\rho(A_\Lambda)$ is a connected subset of $\mathbb{C}$. Since $\hat{\lambda}^{(w_1)} = \hat{\lambda}^{(w_2)}$ on $Z_\Lambda$ by (2.9), then $\hat{\lambda}^{(w_1)} = \hat{\lambda}^{(w_2)}$ on the whole $\rho(A_\Lambda)$ by the Identity Theorem for analytic functions. Conversely suppose that $\rho(A_\Lambda) = \mathbb{C}_- \cup \mathbb{C}_+$, where $\mathbb{C}_\pm := \{ z \in \mathbb{C} : \pm \text{Im}(z) > 0 \}$. Then the thesis is consequence of the same argument separately applied to the connected sets $\mathbb{C}_-$ and $\mathbb{C}_+$. □

Remark 2.8. Suppose that $\hat{\lambda}^{(w)}$ in (2.10) does not depend on the choice of $w \in Z_\Lambda$, $\hat{\lambda}_z \equiv \hat{\lambda}_z^{(w)}$; then $V^* \hat{\lambda}_z^* W^* = W \hat{\lambda}_z V$ : by (2.5) and $(R_\Lambda z)^* = R_\Lambda \hat{\lambda}_z$, one has

$$V^* \hat{\lambda}_z^* W^* = WA_\Lambda V + (\bar{w} - z)WA_\Lambda VG_w^* (1 + (\bar{w} - z)R_\Lambda \hat{\lambda}_z) G_w W A_\Lambda V = W \hat{\lambda}_z V.$$  

The previous lemma suggests that the Krein-like resolvent formula (2.8) could hold on a larger set, i.e.,

$$(-A_\Lambda + z)^{-1} = R_\Lambda^0 + G_\Lambda W \hat{\lambda}_z V G_\Lambda^*,$$

where $\hat{\lambda}_z$ denotes the set of closed linear operators) such that

$$Q : \rho(A_0) \rightarrow \mathcal{C}(Y, X),$$

(see $\mathcal{C}(Y, X)$ denotes the set of closed linear operators) such that

$$\text{dom}(Q_z) \text{ is } z-\text{independent, } \text{dom}(Q_z) \equiv D, \text{ and dense, } \overline{D} = Y,$$

$$Q_z = Q_w + (z - w)VG_w^* G_\Lambda W z, w \in \rho(A_0).$$

Defining

$$Z_Q := \{ z \in \rho(A_0) : Q_z \text{ and } Q_\Lambda \text{ are bijections from } D \text{ onto } X \text{ with inverses in } \mathcal{B}(X, Y) \},$$

we suppose that

$$(2.13) \quad Z_Q \neq \emptyset$$

and

$$V^*(Q_\Lambda^*)^{-1} W^* = W Q_\Lambda^{-1} V, \quad z \in Z_Q.$$  

Remark 2.9. Notice that the left hand side of (2.14) is well defined: since $z \in Z_Q$, $Q_\Lambda^{-1}$ is bounded and so its adjoint exists (and is bounded); moreover $\ker(Q_\Lambda^*) = \text{ran}(Q_\Lambda) = X \perp = \{0\}$ and so $Q_\Lambda^*$ is invertible and $(Q_\Lambda^*)^{-1} = (Q_\Lambda^{-1})^*$.  

Remark 2.10. Notice that $Q_w, w \in Z_Q$, is closed since it is the inverse of a bounded (hence closed) operator. Then $Q_z, z \in \rho(A_0)$, is closed since, by (2.12), it differs from $Q_w$ by a bounded operator.

Remark 2.11. Notice that if $V = 1$ (or $W = 1$) then (2.13) follows from $Q_\Lambda^* W = W^* Q_\Lambda$ (or $V Q_\Lambda^* = Q_\Lambda V^*$).
The set of maps satisfying (2.11)-(2.14) is not void, we give some examples. Below we consider a Weyl function $M : \rho(A_0) \to \mathcal{B}(K^*,K)$, $z \mapsto M_z$, i.e., a $\mathcal{B}(K^*,K)$-valued map such that

\begin{equation}
M_z^* = \bar{M}_z, \quad M_z - M_w = (z - w)G_w^*G_z.
\end{equation}

The canonical representation is $M_z := \tau((G_{z_0} + G_{z_0}^*)/2 - G_z), \ z_0 \in \rho(A_0)$, (see [32] Lemma 2.2); it is well defined thanks to (2.3)). In the case $\tau$ has a bounded extension to $\text{ran}(G_z)$ (eventually considering a range space for $\tau$ larger than the original K), one can take $M_z := -\tau G_z$.

**Example 2.12.** Let $X$ be a closed subspace of $K$ and let $\pi : K \to K, \ \text{ran}(\pi) = X$, be the corresponding orthogonal projector. Then $\pi^* : K^* \to K^*$ is an orthogonal projector as well. Let us set $Y := X^* = \text{ran}(\pi^*), V := \pi : K \to X, W := \pi^* : Y \to K^*$. Given $\Theta : \text{dom}(\Theta) \subseteq X^* \to X$ self-adjoint and a Weyl function $M : \rho(A_0) \to \mathcal{B}(K^*,K), z \mapsto M_z$, we define $Q_z : \text{dom}(\Theta) \subseteq Y \to X$ by $Q_z := \Theta + VM_zW$. If one further supposes that $\tau$ is surjective, i.e., $\text{ran}(\tau) = K$, then $\mathcal{C}\setminus \emptyset \subseteq Z_Q$ (see [32] Proposition 2.1, [35] Theorem 2.1]). $Q : z \mapsto Q_z$ satisfies (2.11), (2.12) and $Q_z^* = Q_{z^*}$ by (2.15). So $(Q_{z^*})^* = (Q_z^*)^{-1} = Q_z^{-1}, \ z \in Z_Q$. Since $V$ and $W$ are orthogonal projectors, this gives (2.14). For explicit examples where such kind of maps appear in applications to partial differential operators, see [24], [35], [36], [27], [19], [21], [29], [11], [39] and references therein. As Theorem 2.19 below shows, it is not necessary to suppose $\text{ran}(\tau) = K$ whenever one knows that $Z_Q \neq \emptyset$.

**Example 2.13.** Let $\alpha \in \mathcal{B}(K,K^*), \ \alpha^* = \alpha$, and let $M : \rho(A_0) \to \mathcal{B}(K^*,K)$, be a Weyl function. Suppose that there exists $c > 0$ such that $\|M_z\|_{\mathcal{B}(K^*,K)} < \|\alpha\|_{\mathcal{B}(K,K^*)}^{-1}$ whenever $|\text{Im}(z)| > c$. Then define $Q_z \in \mathcal{B}(K^*)$ by $Q_z := -(1 - \alpha M_z)$. It is immediate to check (also use Remark 2.11) that $Q : z \mapsto Q_z$ satisfies (2.11), (2.14) with $X = Y = K^*, V = \alpha, W = 1$ and $Z_Q = \{z \in \rho(A_0) : |\text{Im}(z)| > c\}$. Such kind of maps appears in the definition of Laplacians with $\delta$-type potentials supported on a compact hypersurface (see [4], [28] Section 5.4, [31] and references therein); in such references it is proven that $\mathcal{C}\setminus \emptyset \subseteq Z_Q$ by analytic Fredholm theory ($M_z$ is a compact operator in these examples). As Theorem 2.19 below shows, this is not necessary, $Z_Q \neq \emptyset$ suffices. In the not compact case, for Laplacians with $\delta$-type potentials supported on a deformed plane, in [10] Lemma 3.6 it is proven $\mathcal{C}\setminus \emptyset \subseteq Z_Q$ whenever the deformation is in $C_0^{\alpha,1}(\mathbb{R}^2)$, while $Z_Q \neq 0$ whenever the deformation is in $C_0^{\alpha,1}(\mathbb{R}^2)$, i.e., is Lipschitz (see [10] Lemma 3.5]). By Theorem 2.19 the latter hypothesis suffices to prove that $Z_Q = \rho(A_0) \cap \rho(A_\lambda)$.

**Example 2.14.** Let $V \in \mathcal{B}(K,K^*), W \in \mathcal{B}(K^*,K)$ such that $V^*W^* = WV$ and let $M : \rho(A_0) \to \mathcal{B}(K^*,K), z \mapsto M_z$, be a Weyl function. Suppose that there exists $c > 0$ such that $\|M_z\|_{\mathcal{B}(K^*,K)} < \|V\|_{\mathcal{B}(K,K^*)}^{-1}\|W\|_{\mathcal{B}(K,K^*)}^{-1}$ whenever $|\text{Im}(z)| > c$. Then define $Q_z \in \mathcal{B}(K^*)$ by $Q_z := -(1 - VM_zW)$. It is immediate to check that $Q : z \mapsto Q_z$ satisfies (2.11), (2.12) and $Z_Q = \{z \in \rho(A_0) : |\text{Im}(z)| > c\}$.
with $X = Y = K^*$. As regards (2.14), it holds by
\[ V^\ast (Q^\ast_z)^{-1} W^\ast = -V^\ast \left( 1 - W^\ast M_z V^\ast \right)^{-1} W^\ast = -V^\ast \left( \sum_{n=0}^{\infty} (W^\ast M_z V^\ast)^n \right) W^\ast \]
\[ = - \sum_{n=0}^{\infty} V^\ast W^\ast M_z V^\ast \ldots W^\ast M_z V^\ast W^\ast = - \sum_{n=0}^{\infty} W V M_z W \ldots V M_z W V \]
\[ = - W(1 - V M_z W)^{-1} V = WQ^{-1}_z V. \]

Alike maps appear in (11) Appendix B and produce resolvent formulae similar to the (Kato-)Konno-Kuroda one (see [22], [26]). However in (11) Appendix B it is assumed that the map $E \ast F$, where $F := V^\tau$, $E := W^\ast \tau$, is infinitesimally bounded with respect to $|A_0|^{1/2}$ and that $M_z$ is compact. As Theorem 2.19 below shows, these hypotheses are not necessary, $Z_Q \neq \emptyset$ suffices.

**Example 2.15.** Let $Q : \rho(A_0) \rightarrow C(Y, X)$ be any map satisfying (2.11)-(2.14) with $V = 1$ (or $W = 1$) and let $B \in B(Y, X)$ such that $B^\ast W = W^\ast B$ (or $V B^\ast = B V^\ast$). Define $\tilde{Q}_z := B + Q z$. For any $z \in Z_Q$ one has $\tilde{Q}_z = (1 + BQ_z^{-1})Q_z$. Suppose that $\tilde{Z}_Q$
\[ := \{ z \in Z_Q : 1 + BQ_z^{-1} \text{ and } 1 + BQ_z^{-1} \text{ are continuous bijections from } X \text{ onto } X \} \]
is not void. Then $\tilde{Q} : z \mapsto \tilde{Q}_z$ satisfies (2.11)-(2.14). A map of such kind is used in [25] section 5.5 to describe Laplacians with $\delta'$-type potentials supported on compact Lipschitz hypersurfaces. There $Q_z^{-1}$ is compact and it is proven that $\mathbb{C} \setminus \mathbb{R} \subseteq \tilde{Z}_Q$ by analytic Fredholm theory. As Theorem 2.19 below shows, $\tilde{Z}_Q \neq \emptyset$ suffices to prove that $Z_{\tilde{Q}} = \rho(A_0) \cap \rho(A_\Lambda)$.

Given $Q$ which satisfies (2.11)-(2.14), it is immediate to check (also use Remark 2.4) that
\[ \Lambda^Q : Z_Q \rightarrow B(X, Y), \quad A_z^Q := Q_z^{-1}, \]
satisfies (2.5) and (2.6) and thus we can apply Theorem 2.4. From now on we use the notations
\[ A_Q := A_{\Lambda^Q}, \quad R_Q := (-A_Q + z)^{-1}, \quad z \in \rho(A_Q). \]

According to (2.10), we can introduce the analytic extension of $\Lambda^Q$ given by
\[ \Lambda^Q : \rho(A_Q) \rightarrow B(X, Y), \]
\[ \Lambda_z := Q_w^{-1} + (w - z)Q_w^{-1}V G_w^\ast (1 + (w - z)R_Q^w) G_w W Q_w^{-1}, \quad w \in Z_Q. \]

**Remark 2.16.** Notice that, since we are not supposing that $Z_Q$ contains an accumulation point, the extension $\Lambda^Q$ could depend on the choice of the point $w \in Z_\Lambda$. This is not the case, as Theorem 2.19 shows.

At first we provide the following
Lemma 2.17. Let $\Lambda : Z_{\Lambda} \to \mathcal{B}(X, Y)$ be as in Theorem 2.4. Then, for any $w \in Z_{\Lambda}$ and for any $z \in \rho(A_0) \cap \rho(A_{\Lambda})$, one has

\[
R_{z}^{\Lambda} - R_{z}^{0} = (1 + (w - z)R_{z}^{\Lambda}) G_{w}WA_{w}VG_{w}^{*} (1 + (w - z)R_{z}^{0}).
\]

Proof. In the case $z = w$, (2.17) reduces to (2.8). Hence it suffices to prove the thesis in the case $z \neq w$. By functional calculus, it is immediate to check that

\[
(w - z) (1 + (w - z)R_{z}) = \left( -R_{w} + \frac{1}{w - z} \right)^{-1}
\]

for any $w, z \in \rho(A)$, $w \neq z$, where $R_{z} := (-A + z)^{-1}$ is the resolvent of a self-adjoint operator $A$. Thus, by (2.18) and (2.8),

\[
(w - z)^2 (R_{z}^{\Lambda} - R_{z}^{0}) = (w - z) (1 + (w - z)R_{z}^{\Lambda}) - (w - z) (1 + (w - z)R_{z}^{0})
\]

\[
= \left( -R_{w}^{\Lambda} + \frac{1}{w - z} \right)^{-1} - \left( -R_{w}^{0} + \frac{1}{w - z} \right)^{-1}
\]

\[
= \left( -R_{w}^{\Lambda} + \frac{1}{w - z} \right)^{-1} (R_{w}^{\Lambda} - R_{w}^{0}) \left( -R_{w}^{0} + \frac{1}{w - z} \right)^{-1}
\]

\[
= \left( -R_{w}^{\Lambda} + \frac{1}{w - z} \right)^{-1} G_{w}WA_{w}VG_{w}^{*} \left( -R_{w}^{0} + \frac{1}{w - z} \right)^{-1}
\]

\[
= (w - z)^2 (1 + (w - z)R_{z}^{\Lambda}) G_{w}WA_{w}VG_{w}^{*} (1 + (w - z)R_{z}^{0}).
\]

\[
\Box
\]

Remark 2.18. Notice that by the exchange $R_{z}^{\Lambda} \leftrightarrow R_{z}^{0}$ in the above proof one gets the alternative identity

\[
R_{z}^{\Lambda} - R_{z}^{0} = (1 + (w - z)R_{z}^{0}) G_{w}WA_{w}VG_{w}^{*} (1 + (w - z)R_{z}^{\Lambda}).
\]

The previous Lemma provides an essential ingredient in the proof of our main result:

Theorem 2.19. Let $Z_{Q} \neq \emptyset$, $Q : \rho(A_0) \to \mathcal{C}(Y, X)$ a map satisfying (2.11), (2.12), and (2.14). Then $Z_{Q} = \rho(A_0) \cap \rho(A_{Q})$ and for any $z \in \rho(A_0) \cap \rho(A_{Q})$ one has $Q_{z}^{-1} = \hat{\Lambda}_{Q}$. Moreover the resolvent formula

\[
(-A_{Q} + z)^{-1} = R_{z}^{0} + G_{z}WQ_{z}^{-1}VG_{z}^{*}, \quad z \in \rho(A_0) \cap \rho(A_{Q}),
\]

holds true.

Proof. The first statement of the theorem is equivalent to show that the two identities $\hat{\Lambda}_{Q} Q_{z} = 1_{V}$ and $Q_{z} \hat{\Lambda}_{Q} = 1_{X}$ hold true for any $z \in \rho(A_0) \cap \rho(A_{Q})$, $z \neq w \in Z_{Q}$.
By (2.16) and (2.12), one gets

$$\hat{\Lambda}_z^Q Q_z$$

$$(w-z)^{-2}(\hat{\Lambda}_z^Q Q_z -1)$$

$$=(w-z)^{-1}Q_w^{-1}VG_{w}^* (1+(w-z)R_z^Q)G_wWQ_w^{-1}$$

$$-Q_w^{-1}VG_{w}^* (1+(w-z)R_z^Q)G_wWQ_w^{-1}VG_{w}^* (1+(w-z)R_z^Q)G_wW$$

$$=0.$$

The proof of the other identity is almost the same. At first let us notice that $Q_z\hat{\Lambda}_z^Q$ is well defined since, by definition (2.16) and (2.12),

$$\text{ran}(\hat{\Lambda}_z^Q) \subseteq \text{ran}(Q_z^{-1}) = \text{dom}(Q_w) = D = \text{dom}(Q_z).$$

By (2.10) and (2.12), one gets

$$Q_z\hat{\Lambda}_z^Q$$

$$(w-z)^{-2}(Q_z\hat{\Lambda}_z^Q -1)$$

$$=(w-z)^{-1}VG_{w}^* (1+(w-z)R_z^Q)G_wWQ_w^{-1}$$

$$-VG_{w}^* (1+(w-z)R_z^Q)G_wWQ_w^{-1}VG_{w}^* (1+(w-z)R_z^Q)G_wWQ_w^{-1}$$

$$=0.$$

To conclude the proof of the theorem we must show that $\hat{\Lambda}_z^Q$ satisfies the identities (2.3) and (2.9) for all $z, w \in \rho(A_0) \cap \rho(A_Q)$. These are immediate consequences of Remark 2.8 $(\hat{\Lambda}_z^Q = Q_z^{-1}$ does not depend on $w$) and (2.12).

**Remark 2.20.** Notice that in the proof of the previous theorem we did not use (2.1). This hypothesis is only needed in the proof of Theorem 2.4. In case (1.1) still holds, then the statements in Theorem 2.19 retain their validity without requiring ker($\tau$) = H.
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DiSAT, Sezione di Matematica, Università dell’Insubria, via Valleggio 11, I-22100 Como, Italy
E-mail address: claudio.cacciapuoti@unisubria.it
Dipartimento di Matematica, Università di Milano, Via Cesare Saldini 50, I-20133 Milano, Italy
E-mail address: davide.fermi@unimi.it
DiSAT, Sezione di Matematica, Università dell’Insubria, via Valleggio 11, I-22100 Como, Italy
E-mail address: andrea.posilicano@unisubria.it