The Carathéodory-Fejér Interpolation Problems and the von-Neumann Inequality

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Doctor of Philosophy

by

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To
my parents
and
my elder brother
I hereby declare that the work reported in this thesis is entirely original and has been carried out by me under the supervision of Prof. Gadadhar Misra at the Department of Mathematics, Indian Institute of Science, Bangalore. I further declare that this work has not been the basis for the award of any degree, diploma, fellowship, associateship or similar title of any University or Institution.

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Abstract

The validity of the von-Neumann inequality for commuting $n$-tuples of $3 \times 3$ matrices remains open for $n \geq 3$. We give a partial answer to this question, which is used to obtain a necessary condition for the Carathéodory-Fejér interpolation problem on the polydisc $\mathbb{D}^n$. In the special case of $n = 2$ (which follows from Ando’s theorem as well), this necessary condition is made explicit.

An alternative approach to the Carathéodory-Fejér interpolation problem, in the special case of $n = 2$, adapting a theorem of Korányi and Pukánzsky is given. As a consequence, a class of polynomials are isolated for which a complete solution to the Carathéodory-Fejér interpolation problem is easily obtained. A natural generalization of the Hankel operators on the Hardy space of $H^2(\mathbb{T}^2)$ then becomes apparent. Many of our results remain valid for any $n \in \mathbb{N}$, however, the computations are somewhat cumbersome for $n > 2$ and are omitted.

The inequality $\lim_{n \to \infty} C_2(n) \leq 2K_G^C$, where $K_G^C$ is the complex Grothendieck constant and

$$C_2(n) = \sup \{ \| p(T) \| : \| p \|_{\mathbb{D}^n, \infty} \leq 1, \| T \|_{\infty} \leq 1 \}$$

is due to Varopoulos. Here the supremum is taken over all complex polynomials $p$ in $n$ variables of degree at most 2 and commuting $n$-tuples $T := (T_1, \ldots, T_n)$ of contractions. We show that

$$\lim_{n \to \infty} C_2(n) \leq \frac{3\sqrt{3}}{4} K_G^C$$

obtaining a slight improvement in the inequality of Varopoulos.

We show that the normed linear space $\ell^1(n)$, $n > 1$, has no isometric embedding into $k \times k$ complex matrices for any $k \in \mathbb{N}$ and discuss several infinite dimensional operator space structures on it.
# Contents

1 Introduction \hfill 1

2 Varopoulos Operators of Type I \hfill 13
   2.1 The von-Neumann Inequality \hfill 18
   2.2 An improvement in the bound for $C_2(n)$ \hfill 24
   2.3 Homomorphisms induced by operators of type VI \hfill 28
   2.4 The Carathéodory-Fejér Interpolation Problems \hfill 34
      2.4.1 CF problem in one variable \hfill 35
      2.4.2 CF interpolation problem in two variables \hfill 36

3 Varopoulos Operators of Type II \hfill 39
   3.1 Homomorphisms induced by operators of type V II and order two \hfill 39
   3.2 The von-Neumann Inequality in One variable \hfill 41
   3.3 Ando’s Theorem for the Operators of type V II and order 2 \hfill 43
   3.4 Solution to the Extremal Problem \hfill 45

4 The Korányi-Pukánszky Theorem and CF Problems \hfill 49
   4.1 The Korányi-Pukánszky Theorem \hfill 49
   4.2 The planar Case \hfill 49
   4.3 Alternative proof of Theorem 2.30 \hfill 51
   4.4 The case of two Variables \hfill 54
   4.5 Korányi-Pukánszky Theorem as an Application of Spectral Theorem \hfill 62

5 A generalization of Nehari’s Theorem \hfill 65
   5.1 The Hankel Operator \hfill 65
   5.2 Nehari’s theorem for $L^2(\mathbb{T}^2)$ \hfill 66
   5.3 The Hankel Matrix corresponding to $\phi$ \hfill 66
   5.4 CF problem in view of Nehari’s theorem for $L^2(\mathbb{T})$ \hfill 69
## 6 Operator Space Structures on $\ell^1(n)$

6.1 Operator space ................................................. 71
6.2 $\ell^1(n)$ has no isometric embedding into any $M_k$ ........... 72
6.3 Infinite dimensional embeddings of $\ell^1(n)$ ................. 74
6.4 Operator space structures on $\ell^1(n)$ different from the MIN structure . . . . 76

### List of Symbols

79

### Bibliography

83
1 Introduction

The fundamental inequality of von-Neumann saying that \( \| T \| \leq 1 \) if and only if \( \| p(T) \| \leq \| p \|_{D, \infty} \) for any polynomial \( p \), has lead to several new developments in modern operator theory. This inequality follows from the Sz.-Nagy dilation theorem, indeed, it is equivalent to it. The homomorphisms \( \rho : C[Z] \to \mathcal{B}(\mathbb{H}) \), where \( C[Z] \) is the polynomial ring and \( \mathcal{B}(\mathbb{H}) \) is the algebra of bounded linear operators, on some complex separable Hilbert space \( \mathbb{H} \), are clearly in one-one correspondence with operators \( T \) in \( \mathcal{B}(\mathbb{H}) \). Thus given \( T \in \mathcal{B}(\mathbb{H}) \), one defines the homomorphism \( \rho_z = p(T) \) and conversely given \( \rho \), one may set \( T := \rho(z) \). An equivalent formulation of the von-Neumann inequality is the statement: A homomorphism \( \rho \) is contractive, that is, \( \| \rho(p) \| \leq \| p \|_{D, \infty} \) for all \( p \in C[Z] \) if and only if \( \| T \| := \| \rho(z) \| \leq 1 \).

The Sz.-Nagy dilation theorem for a homomorphism \( \rho \) is the statement:

The homomorphism \( \rho \) is contractive if and only if there exists a Hilbert space \( \mathbb{K} \) containing \( \mathbb{H} \) and a \( * \)-homomorphism \( \tilde{\rho} : C(\mathbb{T}) \to \mathcal{B}(\mathbb{K}) \) such that

\[ P_{\mathbb{H}} \tilde{\rho}(p)|_{\mathbb{H}} = \rho(p), \quad p \in C[Z]. \]

Since \( \sigma(\tilde{\rho}(z)) \subset \mathbb{T} \) and \( \tilde{\rho} \) is a \( * \)-homomorphism, it follows that

\[ \| \rho(p) \| \leq \| P_{\mathbb{H}} \tilde{\rho}(p)|_{\mathbb{H}} \| \leq \| \tilde{\rho}(p) \| \leq \| p \|_{T, \infty} \leq \| p \|_{D, \infty}, \]

which is the von-Neumann inequality. The existence of the \( * \)-homomorphism \( \tilde{\rho} \) can be obtained, among several other methods, following the Schaffer construction of the (unitary power) dilation.

Over the past five or six decades, the question of the von-Neumann inequality and the Sz.-Nagy dilation has been studied vigorously. In explicit terms, these two questions are stated below. Let \( C[Z_1, \ldots, Z_n] \) denote the ring of complex valued polynomials in \( n \) variables.

(1) If \( T_1, \ldots, T_n \) is a tuple of commuting contractions, does it follow that \( \| p(T_1, \ldots, T_n) \| \leq \| p \|_{D^n, \infty} \) for any polynomial \( p \in C[Z_1, \ldots, Z_n] \)?
1 Introduction

(2) If $\rho$ is a contractive homomorphism, that is, $\|\rho(p)\| \leq \|p\|_{\mathbb{D}^n,\infty}$, $p \in \mathbb{C}[Z_1, \ldots, Z_n]$, does it follow that $\rho(p) = \mathcal{P}(\tilde{\rho}(p))_0$ for some $*$-homomorphism $\tilde{\rho} : C(\mathbb{T}^n) \to \mathcal{B}(\mathbb{H})$, where $\mathbb{H}$ is some Hilbert space containing $\mathbb{H}$?

As is well known, via the foundational work of Arveson [Arv69, Arv72], the second question is equivalent to the complete contractivity of the homomorphism $\rho$:

$$\|\rho(P)\| \leq \|P\|_{\mathbb{D}^n,\infty}^{\text{op}}, \text{ where } P = \left(\{p_{ij}\}\right), \ p_{ij} \in \mathbb{C}[Z_1, \ldots, Z_n]$$

and $\|P\|_{\mathbb{D}^n,\infty}^{\text{op}} = \sup \{\|(p_{ij})\| : z \in \mathbb{D}^n\}$.

If $n = 1$, as we have seen, an affirmative answer to both of these questions are obtained via the von-Neumann inequality and the Sz.-Nagy dilation theorem. Indeed, an affirmative answer to either of these questions gives an affirmative answer to the other. This continues to be the case even if $n = 2$, thanks to the celebrated theorem of Ando. However for $n = 3$, examples due to Varopoulos-Kaijser and Parrott show that neither (1) nor (2) has an affirmative answer.

Varopoulos, in a second paper, showed that

$$K_G^C \leq \sup \|p(T_1, \ldots, T_n)\| \leq 2K_G^C,$$  \hspace{1cm} (1.1)

where $K_G^C$ denote the complex Grothendieck constant and supremum is over all $n \in \mathbb{N}$, tuples of commuting contractions $T = (T_1, \ldots, T_n)$ and polynomials $p$ of degree 2 with $\|p\|_{\mathbb{D}^n,\infty} \leq 1$. He lamented if 2 appearing on the right hand side of this inequality, can be removed. The examples due to Varopoulos leaves the following question (cf. [Pis01, Chapter 1, Page 24] open:

**Question 1.1.** For a fixed $n \in \mathbb{N}$, $n \geq 3$ and $M > 0$, does there exist a commuting contractive $n$-tuple of operators $T_1, \ldots, T_n$ such that

$$\sup_{p \in \mathbb{C}[Z_1, \ldots, Z_n]} \frac{\|p(T_1, \ldots, T_n)\|}{\|p\|_{\mathbb{D}^n,\infty}} > M.$$  

A class of homomorphism, which include the example of Parrott were studied further in [Mis94, Pau92], where the question of contractivity vs. complete contractivity of these homomorphism was reduced to certain linear maps. The reason for this lies in showing that the contractivity(respectively complete contractivity) of these homomorphisms is determined by their restriction to the linear polynomials. To explain this in some detail and for use throughout this thesis, we introduced the following notations,
Let $\Omega$ be a bounded and polynomially convex domain in $\mathbb{C}^n$. Let $\mathcal{A}^\rho(\Omega)$ be the completion of $\mathbb{C}[Z_1, \ldots, Z_n]$ with respect to norm \( \| \cdot \|_{\Omega, \infty} \), where \( \| f \|_{\Omega, \infty} = \sup \{ |f(\omega)| : \omega \in \Omega \} \) for every $f \in \mathbb{C}[Z_1, \ldots, Z_n]$. Let $\mathcal{P}_k[Z_1, \ldots, Z_n]$ denote the set of all polynomials in $n$ variables of degree at most $k$. When number of variables is clear from the context we omit the variables $Z_1, \ldots, Z_n$. Let $H^\infty(\Omega)$ denote the set of all complex valued bounded holomorphic functions on $\Omega$ and $\mathbb{D}$ be the unit disc in $\mathbb{C}$. For each $\omega \in \Omega$, set 

\[
H^\infty(\Omega, \mathbb{D}) = \{ f \in H^\infty(\Omega) : \| f \|_{\Omega, \infty} \leq 1 \} \quad \text{and} \quad H^\infty_\omega(\Omega, \mathbb{D}) = \{ f \in H^\infty(\Omega, \mathbb{D}) : f(\omega) = 0 \}.
\]

Let $T = (T_1, \ldots, T_n)$ be a tuple of bounded operators on some fixed separable Hilbert space $\mathbb{H}$ and $\omega = (\omega_1, \ldots, \omega_n)$ be a fixed point in $\Omega$. Define the Parrott homomorphism to be the map $\rho_T^{(\omega)} : H^\infty(\Omega) \to \mathcal{B}(\mathbb{H} \oplus \mathbb{H})$ given by the formula

\[
\rho_T^{(\omega)}(f) = \begin{pmatrix} f(\omega)I & Df(\omega) \cdot T \\ 0 & f(\omega)I \end{pmatrix},
\]

where $Df(\omega) = \left( \frac{\partial}{\partial z_1} f(\omega), \ldots, \frac{\partial}{\partial z_m} f(\omega) \right)$ and $Df(\omega) \cdot T = \frac{\partial}{\partial z_1} f(\omega) T_1 + \cdots + \frac{\partial}{\partial z_m} f(\omega) T_m$.

The following lemma, called "the zero lemma", and several of its variants involving functions defined on domains in $\mathbb{C}^n$ and taking values in $k \times k$ matrices have been proved in [MIS84, MNS90, MIS94, Pau92]. The proof below follows closely the one appearing in [Pau92].

**Lemma 1.2.** A Parrott homomorphism $\rho_T^{(\omega)}$ is contractive if and only if $\| \rho_T^{(\omega)}(f) \| \leq 1$ for all $f \in H^\infty_\omega(\Omega, \mathbb{D})$.

**Proof.** Let us assume that $\| \rho_T^{(\omega)}(f) \| \leq 1$ for all $f \in H^\infty_\omega(\Omega, \mathbb{D})$. Suppose $g : \Omega \to \mathbb{D}$ is an analytic function and $\phi$ is the automorphism of $\mathbb{D}$ mapping $g(\omega)$ to $0$. Then $\phi \circ g$ is an analytic map from $\Omega$ to $\mathbb{D}$ with $(\phi \circ g)(\omega) = 0$, therefore $\| \rho_T^{(\omega)}(\phi \circ g) \| \leq 1$. Now by von-Neumann’s inequality we have $\| \phi^{-1}(\rho_T^{(\omega)}(\phi \circ g)) \| \leq 1$, which is equivalent to $\| \rho_T^{(\omega)}(g) \| \leq 1$. Hence $\rho_T^{(\omega)}$ is a contraction. The converse is trivially true. \[\square\]

Now, let us assume that $\Omega$ is a unit ball in $\mathbb{C}^n$ with respect to some norm and $\omega = 0$. Let

\[
\mathcal{L}[Z_1, \ldots, Z_n] = \{ a_1 z_1 + \cdots + a_n z_n : a_i \in \mathbb{C} \; \forall \; i = 1 \text{ to } n \}
\]

be the set of all linear polynomials in $m$ variables. Let $\rho_T$ denote the homomorphism $\rho_T^{(0)}$.

**Theorem 1.3.** For the Parrott homomorphism $\rho_T$, we have

\[
\sup \{ \| \rho_T(\ell) \| : \ell \in \mathcal{L}[Z_1, \ldots, Z_n], \| \ell \|_{\Omega, \infty} \leq 1 \} = \sup \{ \| \rho_T(f) \| : f \in H^\infty_0(\Omega, \mathbb{D}) \}.
\]
Proof. If \( f \in H_0^\infty(\Omega, \mathbb{D}) \) is a holomorphic function, then from the Schwarz lemma [Rud08, Theorem 8.1.2], \( \ell := D f(0) \) maps \( \Omega \) in to the disc of radius \( \| f \|_{\Omega, \infty} \) and thus \( \| \ell \|_{\Omega, \infty} \leq \| f \|_{\Omega, \infty} \). From the definition of \( \rho_T \), we have \( \| \rho_T(\ell) \| = \| \rho_T(f) \| \). Therefore

\[
\frac{\| \rho_T(\ell) \|}{\| \ell \|_{\Omega, \infty}} \geq \frac{\| \rho_T(f) \|}{\| f \|_{\Omega, \infty}}
\]

and hence

\[
\sup \left\{ \| \rho_T(\ell) \| : \ell \in \mathcal{L}[Z_1, \ldots, Z_n], \| \ell \|_{\Omega, \infty} \leq 1 \right\} \geq \sup \left\{ \| \rho_T(f) \| : f \in H_0^\infty(\Omega, \mathbb{D}) \right\}.
\]

The other inequality is obvious. \( \square \)

This theorem says that if we wish to establish only the contractivity of Parrott homomorphism \( \rho_T \), it is enough to restrict \( \rho_T \) to the linear polynomials.

It also says that if \( \Omega = \mathbb{D}^n \), then the Parrott homomorphisms \( \rho_T \) are contractive if and only if \( T_1, \ldots, T_n \) are contractions. This follows from the Schwarz lemma (cf. [Rud08, Theorem 8.1.2]):

\[
\{ D f(0) \in \mathbb{C}^n : f \in H_0^\infty(\mathbb{D}^n, \mathbb{D}) \} = \{ \ell : \ell(\mathbb{D}^n) \subseteq \mathbb{D} \}.
\]

Consequently, these homomorphisms can not be used to answer the Question 1.1.

We therefore investigate the homomorphism induced by the commuting triple of contractions \( T_1, T_2, T_3 \) given by Varopoulos and Kaïser with the property \( \| p(T_1, T_2, T_3) \| > \| p \|_D,\infty \). This leads to a natural definition of a class of operators which we call Varopoulos operator of type I and II. We investigate the answer to the Question 1.1 assuming the homomorphism \( \rho_T \) is induced by \( T \), a tuple of these operators. It is useful to recall that Varopoulos, in a second paper, proved the following.

\[
K_G^C \leq \sup \| \rho_T \| \leq 2 K_G^C,
\]

where \( K_G^C \) denote the complex Grothendieck constant and supremum is over all \( n \in \mathbb{N} \) and tuples of commuting contractions \( T = (T_1, \ldots, T_n) \). Thus it is natural to ask if

\[
\sup_{\| T \|_{\infty} \leq 1} \| \rho_T \| \leq \| T \|_{\infty} \leq \| T \|_{\infty} := \max \{ \| T_1 \|, \ldots, \| T_n \| \},
\]

is closer to the universal constant \( K_G^C \) of Grothendieck than indicated by the inequalities (1.1). We show that inequality on the right can be considerably improved.

Let \( \mathcal{H} \) be a separable Hilbert space and \( \{ e_j \}_{j \in \mathbb{N}} \) be a set of orthonormal basis for \( \mathcal{H} \). For any \( x, y \in \mathcal{H} \), define \( x^\#: \mathcal{H} \to \mathbb{C} \) by \( x^\#(y) = \sum_j x_j y^\ast_j \), where \( x = \sum_j x_j e_j \) and \( y = \sum_j y_j e_j \). For \( x, y \in \mathcal{H} \), we set \( [x^\#, y] = x^\#(y) \).
**Definition 1.4** (Varopoulos Operator of Type I (V I)). Let $\mathcal{H}$ be a separable Hilbert space. For $x, y \in \mathcal{H}$, define $T_{x,y} : C \oplus \mathcal{H} \oplus C \to C \oplus \mathcal{H} \oplus C$ by

$$T_{x,y} = \begin{pmatrix} 0 & x^\sharp & 0 \\ 0 & 0 & y \\ 0 & 0 & 0 \end{pmatrix}.$$ 

The operator $T_{x,y}$ will be called Varopoulos operator of type I corresponding to the pair of vectors $x, y$. If $x = y$ then $T_{xy}$ will simply be denoted by $T_x$.

**Definition 1.5** (Varopoulos Operator of Type II and of order $k$ (V II of order $k$)). Let $\mathcal{H}$ be a separable Hilbert space. For $X \in \mathcal{B}(\mathcal{H})$, let

$$T_X = \begin{pmatrix} 0 & X & 0 & \cdots & 0 \\ 0 & 0 & X & \cdots & 0 \\ \vdots & \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & 0 & \cdots & X \\ 0 & 0 & 0 & \cdots & 0 \end{pmatrix}$$

be the operator in $\mathcal{B}(\mathcal{H} \otimes C^{k+1})$. In analogy with the work of Varopoulos [Var76], operators of the form $T_X$, $X \in \mathcal{B}(\mathcal{H})$, are called Varopoulos operator of type II and of order $k$.

Let $\Omega$ be a bounded domain in $\mathbb{C}^n$ and $\omega \in \Omega$ be a fixed but arbitrary point. As before let $\rho_{xy}^{(\omega)}$ (respectively $\mu_{xy}^{(\omega)}$) denote the induced homomorphism on $H^\infty(\Omega)$, corresponding to a tuple of commuting contractions $\omega_1 I + T_{x_1,y_1}, \ldots, \omega_n I + T_{x_n,y_n}$ (respectively $\omega_1 I + T_{x_1}, \ldots, \omega_n I + T_{x_n}$), which is defined as following.

$$\rho_{xy}^{(\omega)}(f) = \begin{pmatrix} f(\omega) & Df(\omega) \cdot x^\sharp & \frac{1}{2} D^2 f(\omega) \cdot A_{x,y} \\ 0 & f(\omega) I & Df(\omega) \cdot y \\ 0 & 0 & f(\omega) \end{pmatrix}$$

for $f \in H^\infty(\Omega)$, where $x = (x_1, \ldots, x_n)$, $y = (y_1, \ldots, y_n)$, $x^\sharp = (x_1^\sharp, \ldots, x_n^\sharp)$ and $A_{x,y} = \langle [x^i, y_j] \rangle$. As the definition of $\rho_{xy}^{(\omega)}(f)$ includes only the terms of order at most 2 from the Taylor series expansion of $f$, therefore it is quite natural to ask the following question.

**Question 1.6.** We ask if the contractivity of $\rho_{xy}^{(\omega)}$ on $H^\infty(\Omega)$ is equivalent to contractivity of the restriction to the polynomials of degree at most 2.
Clearly to answer this question, one must first answer a related question generalizing
the Carathéodory-Fejér interpolation problem, namely: Given any polynomial \( p \) in \( n \)
variables of degree 2 with \( p(0) = 0 \), find necessary and sufficient conditions on the coef-
ficients of \( p \) to ensure the existence of a holomorphic function \( h \) defined on the polydisc
\( \mathbb{D}^n \) with \( h^{(k)}(0) = 0 \) for all multi indices \( k \) of length at most 2, such that \( f := p + h \) maps
the polydisc \( \mathbb{D}^n \) to the unit disc \( \mathbb{D} \).

However the absence of an explicit criterion, in spite of several results which have
been obtained recently [FF90, EPP00, Woe02, HWH14], for the solution to this problem
for \( n > 1 \) makes it difficult to answer this question.

We combine a theorem due to Korányi and Pukánszky giving a criterion for deter-
minaling if the real part of a holomorphic function defined on the polydisc \( \mathbb{D}^n \) is positive
with a theorem due to Parrott to find a solution to the Carathéodory-Fejér interpolation
problem. We state these two theorems below.

**Theorem 1.7** (Korányi-Pukánszky Theorem). *If the power series \( \sum_{\alpha \in \mathbb{N}_0^n} a_\alpha z^\alpha \)
represents a holomorphic function \( f \) on the polydisc \( \mathbb{D}^n \), then \( \Re(f(z)) \geq 0 \)
for all \( z \in \mathbb{D}^n \) if and only if the map \( \phi : \mathbb{Z}^n \to \mathbb{C} \)
defined by

\[
\phi(\alpha) = \begin{cases} 
2\Re a_\alpha & \text{if } \alpha = 0 \\
a_\alpha & \text{if } \alpha > 0 \\
a_{-\alpha} & \text{if } \alpha < 0 \\
0 & \text{otherwise}
\end{cases}
\]

is positive, that is, the \( k \times k \) matrix \( \left( \phi(m_i - m_j) \right) \) is non-negative definite for every choice of
\( m_1, \ldots, m_k \in \mathbb{Z}^n \).

Let \( f : \mathbb{D}^n \to \mathbb{D} \) be a holomorphic function and \( \chi \) be the Cayley map of the unit disc
to the right half plane. Then in the matricial representation of \( \phi \chi \circ f \) with respect to the
usual order in \( \mathbb{Z}^2 \), it is not easy to isolate the coefficients of \( f \). We introduce a new order,
to be called, the D-slice ordering:

**Definition 1.8** (D-slice ordering). Suppose \((x_1, y_1) \in P_l \) and \((x_2, y_2) \in P_m \) are two elements
in \( \mathbb{Z}^2 \). Then

1. If \( l = m \), then \((x_1, y_1) < (x_2, y_2)\) is determined by the lexicographic ordering on
   \( P_l \subseteq \mathbb{Z}^2 \) and

2. if \( l < m \) (resp., if \( l > m \)), then \((x_1, y_1) < (x_2, y_2)\) (resp., \((x_1, y_1) > (x_2, y_2)\)).
The matricial representation of the function $\phi \chi \circ f$ is then in the form of a block Toeplitz matrix with respect to the D-slice ordering.

**Theorem 1.9** (Parrott’s Theorem). For $i = 1, 2$, let $\mathcal{H}_i$, $\mathcal{K}_i$ be Hilbert spaces and $\mathcal{H} = \mathcal{H}_1 \oplus \mathcal{H}_2$, $\mathcal{K} = \mathcal{K}_1 \oplus \mathcal{K}_2$. If

$$
\begin{pmatrix}
A & C
\end{pmatrix} : \mathcal{H}_1 \to \mathcal{K} \text{ and } (C \ D) : \mathcal{H} \to \mathcal{K}_2
$$

are contractions, then there exists $X \in \mathcal{B}(\mathcal{H}_2, \mathcal{K}_1)$ such that $\begin{pmatrix} A & X \end{pmatrix} : \mathcal{H} \to \mathcal{K}$ is a contraction.

In this theorem, all the choices for $X$ are given by the formula:

$$(I - ZZ^*)^{1/2}V(I - Y^* Y)^{1/2} - ZC^* Y,$$

where $V$ is a contraction and $Y, Z$ are determined from the formulae:

$$D = (I - CC^*)^{1/2}Y, \ A = Z(I - C^* C)^{1/2}.$$  

Our method gives only a (explicit) necessary condition for the existence of a solution to the Carathéodory-Fejér interpolation problem in general. (Surprisingly, for the case of the bi-disc, this necessary condition is exactly the condition for contractivity of the homomorphisms induced by the Varopoulos operators.)

It also gives an algorithm for constructing a solution whenever such a solution exists. The algorithm involves finding, inductively, polynomials $p_n$ of degree at most $n$ such that a certain block Toeplitz operator, made up of multiplication by these polynomials is contractive. A solution to the Carathéodory-Fejér interpolation problem exists if and only if this process is completed successfully.

If $n = 1$ and the necessary condition we have obtained is met, then the algorithm completes successfully and produces a solution to the Carathéodory-Fejér interpolation problem. Thus in this case, we fully recover the solution to the Carathéodory-Fejér interpolation problem.

We also isolate a class of polynomials for which our necessary condition is also sufficient. This is verified using the deep theorem of Nehari reproduced below (cf. [You88, Theorem 15.14, page 194]).

Let $H^2(\mathbb{T})$ denote the Hardy space, a closed subspace of $L^2(\mathbb{T})$. Let $P_-$ denote the orthogonal projection of $L^2(\mathbb{T})$ onto $L^2(\mathbb{T}) \ominus H^2(\mathbb{T})$.

**Definition 1.10** (Multiplication Operator). For $\phi \in L^\infty(\mathbb{T})$, we define multiplication operator $M_\phi : L^2(\mathbb{T}) \to L^2(\mathbb{T})$ by $M_\phi(f) = \phi \cdot f$. 

1 Introduction

Since $\phi \cdot f \in L^2(\mathbb{T})$ for any $\phi \in L^\infty(\mathbb{T})$ and $f \in L^2(\mathbb{T})$ therefore $M_\phi$ is well defined for all $\phi \in L^\infty(\mathbb{T})$. Also $\|M_\phi\| = \|\phi\|_\infty$ (cf. Theorem 13.14 in [You88]).

**Definition 1.11** (Hankel Operator). Let $\phi \in L^\infty(\mathbb{T})$. Hankel operator corresponding to $\phi$ is the operator $P_- \circ M_\phi|_{H^2(\mathbb{T})}$. It is denoted by $H^\phi$.

**Theorem 1.12** (Nehari’s Theorem). If $\phi \in L^\infty(\mathbb{T})$ and $H^\phi$ is the corresponding Hankel operator, then

$$\inf \left\{ \|\phi - g\|_{T,\infty} : g \in H^\infty(\mathbb{T}) \right\} = \|H^\phi\|_{op}.$$  

All this is done for the bi-disc $D^2$ with the understanding that these computations will go through for the polydisc $D^n$. Similarly, while we have discussed the Carathéodory-Fejér interpolation problem for polynomials of degree at most 2, again, our methods remain valid for an arbitrary polynomial.

What follows is a detailed description of the results proved in this thesis. Following [Var76] and [Pis01, Page 24], in chapter 2, we define the quantities:

$$C_k(n) = \sup \left\{ \|p(T)\| : \|p\|_{D^n,\infty} \leq 1, p \text{ is of degree at most } k, \|T\|_{\infty} \leq 1 \right\}$$  

and

$$C(n) = \lim_{k \to \infty} C_k(n),$$  

where $\|T\|_{\infty} = \max \{\|T_1\|, \ldots, \|T_n\|\}$. In this notation, it follows from the von-Neumann inequality and Ando’s theorem that $C(1), C(2) = 1$. Also $C_2(3) > 1$, thanks to the example of Varopoulos and Kaijser [Var74] involving an (explicit) homogeneous polynomial of degree 2. Following this, in the paper [Var76], Varopoulos proves the inequality (1.1). Consequently, the limit of the non-decreasing sequence $C_2(n)$ must be bounded below by $K_G^C$. We show that $C_2(3) \geq 1.2$ by means of explicit examples. We were hoping to improve this inequality obtained earlier by Holbrook [Hol01] since our methods appear to be somewhat more direct. In view of the known lower bound for $\lim_{n \to \infty} C_2(n)$ in (1.1), we hoped that the lower bound for $C_2(3)$ itself will be closer to $K_G^C$. In this chapter, we also show that $\|p(T_1, \ldots, T_n)\| \leq \|p\|_{D^n,\infty}$ for any $n$ commuting contractions of the form

$$\left\{ \left( \begin{array}{c} \omega & \alpha_1 & 0 \\ 0 & \omega & \beta_1 \\ 0 & 0 & \omega_i \end{array} \right), \ldots, \left( \begin{array}{c} \omega_n & \alpha_n \\ 0 & \omega_n & \beta_n \\ 0 & 0 & \omega_n \end{array} \right) \right\} : \alpha_i \beta_j = \alpha_j \beta_i, 1 \leq i, j \leq n, \omega := (\omega_1, \ldots, \omega_n) \in \mathbb{D}^n,$$

after assuming that $|\alpha_i| = |\beta_i|$, $1 \leq i \leq n$. This is interesting considering that the von-Neumann inequality is valid for any commuting $n$-tuple of $2 \times 2$ contractions [MP93, Agl90] and fails for $4 \times 4$ contractions [Hol01]. As a corollary of the von-Neumann inequality for a subclass of the operators defined in (1.3), we get the following necessary condition for the Carathéodory-Fejér interpolation problem for the polydisc $D^n$. 

8
Theorem 1.13. Let \( p \) be a polynomial in \( n \) variables of degree 2 such that \( p(0) = 0 \). There exists a holomorphic function \( q \), defined on polydisc \( \mathbb{D}^n \), with \( q^{(k)}(0) = 0 \), \( |k| \leq d \) such that \( \| p + q \|_{\infty} \leq 1 \) only if
\[
\sup_{\| \alpha \|_{\infty} \leq 1} \left\{ \left| \frac{D^2 p(0) \cdot A_{\alpha}}{2} \right| + \left| D p(0) \cdot \alpha \right|^2 \right\} \leq 1,
\]
where \( \alpha = (\alpha_1, \ldots, \alpha_n) \), \( A_{\alpha} = \langle \alpha, \alpha \rangle \), \( D^2 p(0) \cdot A_{\alpha} = \sum \frac{\partial^2 p}{\partial z_i \partial z_j}(0) \alpha_i \alpha_j \) and \( D p(0) \cdot \alpha = \sum \frac{\partial p}{\partial z_i}(0) \alpha_i \).

We also prove the following theorem, giving a considerable improvement on the upper bound (1.1) previously obtained in [Var76].

Theorem 1.14. \( \lim_{n \to \infty} C_2(n) \leq \frac{3\sqrt{2}}{4} K^C_G \).

Finally, in this chapter, we investigate in some detail, the contractivity of the homomorphisms \( \rho_{x,y} \) induced by the Varopoulos operators of type I (VI) and we come up with the same inequality as in the Theorem 1.13 but for \( n = 2 \).

In chapter 3, we study the homomorphisms induced by tuples of commuting Varopoulos operators of type II and order 2 and solve the extremal problem (indeed a more general extremal problem obtained in the study of these homomorphism) occurring in the Theorem 1.13 but for \( n = 2 \). We define
\[
p_1(z) = \frac{\partial}{\partial z_1} f(0) + \frac{\partial}{\partial z_2} f(0) \cdot z \quad \text{and} \quad p_2(z) = \frac{1}{2} \frac{\partial^2}{\partial z_1^2} f(0) + \frac{\partial^2}{\partial z_1 \partial z_2} f(0) \cdot z + \frac{1}{2} \frac{\partial^2}{\partial z_2^2} f(0) \cdot z^2
\]
for a holomorphic function \( f \) in two variables and we prove the following.

Theorem 1.15. For \( f \in H_0^\infty(D^2, \mathbb{D}) \), we have,
\[
\sup_{\| X \|_{\infty} \leq 1} \left\| \mathcal{T} \left( D f(0) \cdot X, \frac{1}{2} D^2 f(0) \cdot A_X \right) \right\| = \| \mathcal{T}(M_{p_1}, M_{p_2}) \|,
\]
where \( X = (X_1, X_2) \) is pair of commuting operators, \( \| X \|_{\infty} = \max\{\| X_1 \|, \| X_2 \|\} \), \( A_X = \langle X_1, X_2 \rangle \) and \( \mathcal{T}(A_1, A_2) = \left( \begin{array}{cc} A_1 & A_2 \\ 0 & A_1 \end{array} \right) \) for any \( A_1, A_2 \in \mathcal{B}(\mathbb{H}) \).

In the process of solving the extremal problem occurring in this theorem, we reprove the von-Neumann inequality and Ando’s theorem for a commuting pair of Varopoulos operators of type II.

In chapter 4, we give an alternative for solving the Carathéodory-Fejér interpolation problem after adapting a theorem of Korányi and Pukánszky. This approach is important
as it is independent of the commutant lifting theorem, whereas the method in chapter 3 strongly depends on it. For a polynomial $p$ in two variables we define

$$p_1(z) = \frac{\partial}{\partial z_1} p(0) + \frac{\partial}{\partial z_2} p(0) z$$

and

$$p_2(z) = \frac{1}{2} \frac{\partial^2}{\partial z_1^2} p(0) + \frac{\partial}{\partial z_1 \partial z_2} p(0) z + \frac{1}{2} \frac{\partial^2}{\partial z_2^2} p(0) z^2.$$

In the following theorem, we reformulate the Carathéodory-Fejér interpolation problem for the bi-disc $D^2$.

**Theorem 1.16.** For any polynomial $p$ of the form

$$p(z) = a_{10} z_1 + a_{01} z_2 + a_{20} z_1^2 + a_{11} z_1 z_2 + a_{02} z_2^2,$$

there exists a holomorphic function $q$, defined on the bi-disc $D^2$, with $q^{(k)}(0) = 0$ for $|k| \leq 2$, such that $\|p + q\|_{D^2, \infty} \leq 1$ if and only if $|p_2| \leq 1 - |p_1|^2$ and there exists a holomorphic function $f : D \to \mathcal{B}(L^2(\mathbb{T}))$ with

$$\|f\|_{D, \infty}^0 \leq 1 \text{ and } \frac{f^{(k)}(0)}{k!} = M_{p_k} \text{ for all } k \geq 0,$$

where $p_0 = 0$ and for $k \geq 3$, $p_k \in \mathbb{C}[Z]$ is a polynomial of degree less than or equal to $k$. Here $M_{p_k}$ is the multiplication operator on $L^2(\mathbb{T})$ induced by the polynomial $p_k$.

In this chapter, we show that $|p_1|^2 + |p_2| \leq 1$ is a necessary condition for the solution to exist for the Carathéodory-Fejér interpolation problem. In the following theorem, we also isolate a class of polynomials for which this is a sufficient condition for the existence of a solution.

**Theorem 1.17.** Let $p_1(z) = \gamma + \delta z$ and $p_2(z) = (\alpha + \beta z)(\gamma + \delta z)$ for some choice of complex numbers $\alpha$, $\beta$, $\gamma$ and $\delta$. Assume that $|p_1|^2 + |p_2| \leq 1$. If either $\alpha \beta \gamma \delta = 0$ or $\arg(\alpha) - \arg(\beta) = \arg(\gamma) - \arg(\delta)$, then $|p_1|^2 + |p_2| \leq 1$ is a sufficient condition also for the existence of a solution for the corresponding Carathéodory-Fejér interpolation problem.

We illustrate, by means of an example, that this necessary condition is not sufficient in general. In the end of this chapter, we give a proof of the Korányi-Pukánszky theorem for the bi-disc using the spectral theorem. This proof can be made to work for the polydisc as well.

In chapter 5, we give a generalization of Nehari’s theorem to two variables. In this chapter we define the Hankel operator $H_\phi$ corresponding to any function $\phi \in L^\infty(\mathbb{T}^2)$. The following theorem shows that the norm of the Hankel operator $H_\phi$ is the norm of the symbol $\phi$ with respect to a quotient norm, described below.
**Theorem 1.18** (Nehari’s theorem for $L^2(\mathbb{T}^2)$). If $\phi \in L^\infty(\mathbb{T}^2)$, then $\|H_\phi\| = \text{dist}_\infty(\phi, H_1)$.

In this theorem, $H_1 := \left\{ f := \sum_{m+n \geq 0} a_{m,n} z_1^m z_2^n | f \in L^\infty(\mathbb{T}^2) \right\}$ and $\text{dist}_\infty(\phi, H_1)$ is the distance of $\phi$ from $H_1$ in $L^\infty$ norm.

In chapter 6, we study the operators space structures on $\ell^1(n)$. There is a canonical isometric embedding of $\ell^\infty(n)$ into the set of $n \times n$ matrices $M_n$. However, we show that $\ell^1(n)$, $n > 1$, has no isometric embedding into $M_k$ for any $k \in \mathbb{N}$.

**Theorem 1.19.** There is no isometric embedding of $\ell^1(n)$, $n > 1$, in to $M_k$ for any $k \in \mathbb{N}$.

The next theorem provides several isometric embeddings of $\ell^1(n)$ into $\mathcal{B}(\mathbb{H})$ for each $n \in \mathbb{N}$.

Let $\mathbb{H}_1, \ldots, \mathbb{H}_n$ be Hilbert spaces and $T_i$ be a contraction on $\mathbb{H}_i$ for $i = 1, \ldots, n$. Assume that the unit circle $\mathbb{T}$ is contained in $\sigma(T_i)$, the spectrum of $T_i$, for $i = 1, \ldots, n$. Denote

$$\tilde{T}_1 = T_1 \otimes I^{\otimes(n-1)}, \tilde{T}_2 = I \otimes T_2 \otimes I^{\otimes(n-2)}, \ldots, \tilde{T}_n = I^{\otimes(n-1)} \otimes T_n.$$ 

**Theorem 1.20.** Suppose the operators $\tilde{T}_1, \ldots, \tilde{T}_n$ are defined as above. Then, the function

$$f : \ell^1(n) \to \mathcal{B}(\mathbb{H}_1 \otimes \cdots \otimes \mathbb{H}_n)$$

defined by

$$f(a_1, a_2, \ldots, a_n) := a_1 \tilde{T}_1 + a_2 \tilde{T}_2 + \cdots + a_n \tilde{T}_n.$$

is an isometry.

For $n = 2, 3$, we show that all of these embeddings are completely isometric to the MIN structure. In the end of this chapter, using these embeddings and Parrott’s example in [Mis94], we construct an operator space structure on $\ell^1(3)$ which is distinct from the MIN structure.
2 Varopoulos Operators of Type I

Let \( \mathbb{C}[Z_1, \ldots, Z_n] \) denote the set of all polynomials in \( n \) complex variables. For every contraction \( T \) on a complex Hilbert space, the von-Neumann inequality [vn51] states that \( \| p(T) \| \leq \| p \|_{\mathbb{D}, \infty} \) for every \( p \in \mathbb{C}[Z] \). Ando [And63] established an analogous inequality for any two commuting contractions \( T_1, T_2 \), namely, \( \| p(T_1, T_2) \| \leq \| p \|_{\mathbb{D}^2, \infty} \) for every \( p \in \mathbb{C}[Z_1, Z_2] \). Varopoulos [Var74] constructed examples showing that the generalization of this inequality to three variables fails. He along with Kaijser also produced an explicit example of three commuting contractions \( T_1, T_2, T_3 \) and a polynomial \( p \) with the property \( \| p(T_1, T_2, T_3) \| > \| p \|_{\mathbb{D}^3, \infty} \). Let \( \| T \|_{\infty} = \max \{ \| T_1 \|, \ldots, \| T_n \| \} \).

\[
C_k(n) = \sup \{ \| p(T) \| : \| p \|_{\mathbb{D}^n, \infty} \leq 1, \ p \text{ is of degree at most } k, \ \| T \|_{\infty} \leq 1 \}. \tag{2.1}
\]

and

\[
C(n) = \lim_{k \to \infty} C_k(n). \tag{2.2}
\]

In this notation, it follows from the von-Neumann inequality and Ando’s theorem that \( C(1), C(2) = 1 \).

Also \( C_2(3) > 1 \), thanks to the example of Varopoulos and Kaijser [Var74] involving an (explicit) homogeneous polynomial of degree 2. Following this, in the paper [Var76], Varopoulos shows that the limit of the non-decreasing sequence \( C_2(n) \) must be bounded above by \( 2K_G^C \), where \( K_G^C \) is the complex Grothendieck constant, the definition is given below. He also showed that the lower bound for this limit is \( K_G^C \). Thus he has proved

\[
K_G^C \leq \lim_{n \to \infty} C_2(n) \leq 2K_G^C. \tag{2.3}
\]

We show that \( C_2(3) \geq 1.2 \) by means of explicit examples. We were hoping to improve this inequality obtained earlier by Holbrook [Hol01] since our methods appear to be somewhat more direct. In view of the known lower bound for \( \lim_{n \to \infty} C_2(n) \) in (2.3), we hoped that the lower bound for \( C_2(3) \) itself will be closer to \( K_G^C \).

We recall some of the details from the two papers [Var74, Var76] of Varopoulos, which will be useful in what follows. Fix a Hilbert space \( \mathbb{H} \) and a bilinear form \( S \) on \( \mathbb{H} \) with norm
1. Let \( e, f \) be two arbitrary but fixed vectors of length 1 and set \( \mathcal{H} = \{ e \} \oplus \mathbb{H} \oplus \{ f \} \). For any \( x \in \mathbb{H} \), define \( T_x : \mathcal{H} \to \mathcal{H} \) by the rule
\[
T_x f = x, \quad T_x y = S(x, y) e, \quad T_x e = 0 \quad \text{for all } y \in \mathbb{H} \tag{2.4}
\]
and extend it linearly. It is then easily verified that for every \( x, y \in \mathbb{H} \), \( T_x \) and \( T_y \) commute.

**Lemma 2.1.** For every \( x \in \mathbb{H} \), \( \| T_x \| = \| x \| \), where the operator \( T_x \) is defined according to (2.4).

**Proof.** For \( h \in \mathbb{H} \) and \( \alpha, \beta \in \mathbb{C} \), we have
\[
h = \alpha e + P_{\mathbb{H}} h + \beta f, \quad P_{\mathbb{H}} : \mathbb{H} \to \mathbb{H}
\]
is the orthogonal projection on \( \mathbb{H} \).

\[
\langle T_x^* T_x h, h \rangle = |S(x, P_{\mathbb{H}}(h))|^2 + |\beta|^2 \| x \|^2 \leq (\| P_{\mathbb{H}} h \|^2 + |\beta|^2) \| x \|^2
\]
therefore \( \langle T_x^* T_x h, h \rangle \leq \| h \|^2 \| x \|^2 \). Thus \( \| T_x \| \leq \| x \| \). We already know that \( \| T_x \| \geq \| x \| \) and hence \( \| T_x \| = \| x \| \).

\( \square \)

**Definition 2.2** (Grothendieck Constant). Suppose \( A := \left\langle a_{jk} \right\rangle_{n \times n} \) is a complex(real) array satisfying
\[
\left| \sum_{j,k=1}^n a_{jk} s_j t_k \right| \leq \max\{ |s_j| |t_k| : 1 \leq j, k \leq n \}, \tag{2.5}
\]
where \( s_j, t_k \) are complex(real) numbers. Then there exists \( K > 0 \) such that for any choice of sequence of vectors \( (x_j)_1^n, (y_k)_1^n \) in a complex(real) Hilbert space \( \mathbb{H} \), we have
\[
\left| \sum_{j,k=1}^n a_{jk} \langle x_j, y_k \rangle \right| \leq K \max\{ \| x_j \| \| y_k \| : 1 \leq j, k \leq n \}. \tag{2.6}
\]
The least constant \( K \) satisfying inequality (2.6) is denoted by \( K_G \) and called Grothendieck constant. The constant \( K_G \) is a universal constant independent of \( n \) and the matrices satisfying the hypothesis (2.5). Note that the definition of \( K_G \) depends only on the underlying field. When it is the field \( \mathbb{C} \) of complex numbers, this constant is called the complex Grothendieck constant and is denoted by \( K_G^C \).

Let \( p_\lambda \) be the polynomial \( \sum_{i,j=1}^n a_{ij} z_i w_j \). The inequality (2.5) is equivalent to saying that \( \| p_\lambda \|_{D^{2n}, \infty} \leq 1 \). This follows from the equality \( \| p_\lambda \|_{D^{2n}, \infty} = \| A \|_{\ell^\infty(n) \to \ell^1(n)} \). Let \( p_\lambda, \Delta \) be the restriction of \( p_\lambda \) to the diagonal set
\[
\Delta = \{ (z_1, \ldots, z_n, z_1, \ldots, z_n) : |z_i| < 1, 1 \leq i \leq n \},
\]
which is the polydisc $\mathbb{D}^n$. Thus $\|p_{\Delta,\Delta}\|_{\mathbb{D}^n,\infty}$ is also at most 1. If $A$ is symmetric, then the second derivative $D^2 p_{\Delta,\Delta}(0)$ is $2A$. It is therefore clear that

$$\|p_{\Delta,\Delta}\|_{\mathbb{D}^n,\infty} \leq 2\|A\|_{\ell^\infty(n)\to\ell^1(n)}.$$

(2.7)

We find examples where (2.7) is strict. Indeed, for this particular example, we show that $\|p_{\Delta,\Delta}\|_{\mathbb{D}^n,\infty} \geq 1.2$. This observation will be important for us in what follows. As pointed out earlier, the following theorem is due to Varopoulos.

Theorem 2.3 ([Var76]). $\lim_{n\to\infty} C(n) \geq K_G^C$.

Proof. It is a well known that $K_G^C > 1$. Let $\varepsilon > 0$ be a fixed real number such that $K_G^C - \varepsilon > 1$. Since $K_G^C$ is the least constant in the inequality (2.6), therefore there exists a matrix $A := \{a_{jk}\}_{n\times n}$ satisfying the inequality (2.5) and unit vectors $x_i, y_i$, in $\ell^2(k)$, $1 \leq i \leq n$, for some $k \in \mathbb{N}$ such that

$$\sum_{j,k=1}^{n} a_{jk} \langle x_j, y_k \rangle > (K_G^C - \varepsilon)$$

Let

$$\tilde{A} = \{\tilde{a}_{jk}\}_{2n\times 2n} := \frac{1}{2} \begin{pmatrix} 0 & A \\ A^t & 0 \end{pmatrix}.$$ 

It is easy to see that $\tilde{A}$ satisfies inequality (2.5). Take $\tilde{x}_1 = x_1$, $\tilde{x}_2 = x_2, \ldots$, $\tilde{x}_n = x_n$, $\tilde{x}_{n+1} = \tilde{y}_1, \ldots$, $\tilde{x}_{2n} = \tilde{y}_n$ and consider the bilinear form $S$ on $\ell^2(k)$ defined as follows:

$$S(x, y) = \sum_{j=1}^{k} x_j y_j,$$

where $x = (x_1, \ldots, x_k)$ and $y = (y_1, \ldots, y_k)$. The operator $\tilde{A} : \ell^\infty(2n) \to \ell^1(2n)$ is of norm at most 1 and

$$\sum_{j,k=1}^{2n} \tilde{a}_{jk} S(\tilde{x}_j, \tilde{x}_k) = \frac{1}{2} \left\{ \sum_{j,k=1}^{n} a_{jk} \langle x_j, y_k \rangle + \sum_{j,k=1}^{n} a_{kj} \langle y_j, x_k \rangle \right\},$$

which implies

$$\sum_{j,k=1}^{2n} \tilde{a}_{jk} S(\tilde{x}_j, \tilde{x}_k) = \sum_{j,k=1}^{n} a_{jk} \langle x_j, y_k \rangle > K_G^C - \varepsilon.$$  

(2.8)
The polynomial \( p(z_1, \ldots, z_{2n}) = \sum_{j,k=1}^{2n} \tilde{a}_{jk} z_j z_k \) is a homogeneous polynomial of degree two. It is clear that \( \|p\|_{D^{2n}, \infty} \leq 1 \). Consider the operators (as defined in (2.4)),

\[
T_{\tilde{x}_j} = \begin{pmatrix} 0 & \tilde{x}_j & 0 \\ 0 & 0 & \tilde{x}_j^t \\ 0 & 0 & 0 \end{pmatrix}
\]  

(2.9)

for \( j = 1, \ldots, 2n \). Then \( \|p(T_{\tilde{x}_1}, \ldots, T_{\tilde{x}_{2n}})\| \geq K_G - \epsilon \) is a direct implication of the inequality (2.8).

Let \( \mathbb{H} \) be a separable Hilbert space and \( \{e_j\}_{j \in \mathbb{N}} \) be a set of orthonormal basis for \( \mathbb{H} \). For any \( x \in \mathbb{H} \), define \( x^\sharp: \mathbb{H} \to \mathbb{C} \) by \( x^\sharp(y) = \sum x_j y_j \), where \( x = \sum x_j e_j \) and \( y = \sum y_j e_j \). For \( x, y \in \mathbb{H} \), we set \( [x^\sharp, y^\sharp] = x^\sharp(y) \). From the definition it can be seen that \( [x^\sharp, y] = [y^\sharp, x] \). Let \( \mathbb{H}^\sharp := \{x^\sharp: x \in \mathbb{H}\} \). Let \( \mathbb{H}^\sharp \) be equipped with the operator norm. Since the map \( \phi: \mathbb{H} \to \mathbb{H}^\sharp \) defined by \( \phi(x) = x^\sharp \) is a linear onto isometry, therefore \( \mathbb{H}^\sharp \) is linearly (as opposed to the usual anti-linear identification) isometrically isomorphic to \( \mathbb{H} \).

Let \( \mathbb{H}_1 \) and \( \mathbb{H}_2 \) be two separable Hilbert spaces and \( \{e_{j}\}_{j \in \mathbb{N}}, \{\tilde{e}_{j}\}_{j \in \mathbb{N}} \) be orthonormal bases of \( \mathbb{H}_1 \) and \( \mathbb{H}_2 \) respectively. Let \( \{f_{j}\}_{j \in \mathbb{N}} \) and \( \{\tilde{f}_{j}\}_{j \in \mathbb{N}} \) be the corresponding dual basis for \( \mathbb{H}_1 \) and \( \mathbb{H}_2 \) respectively. For a linear map \( T: \mathbb{H}_1 \to \mathbb{H}_2 \), define \( T^\sharp: \mathbb{H}_2 \to \mathbb{H}_1 \) by

\[
T^\sharp(\tilde{e}_{k}) = \sum_{j} \tilde{f}_{k}(Te_{j})e_{j}
\]

and extend it linearly. We note that if \( T \) is bounded then so is the operator \( T^\sharp \). We have the following lemma:

**Lemma 2.4.** Let \( \mathbb{H}_1, \mathbb{H}_2 \) and \( \mathbb{H}_3 \) be separable Hilbert spaces and \( \{e_{j}^{(p)}\}_{j \in \mathbb{N}} \) be an orthonormal basis for \( \mathbb{H}_p \) for \( p = 1, 2, 3 \). Let \( \{f_{j}^{(p)}\}_{j \in \mathbb{N}} \) be the corresponding dual basis for \( \mathbb{H}_p \) for \( p = 1, 2, 3 \). If \( T: \mathbb{H}_1 \to \mathbb{H}_2 \) and \( S: \mathbb{H}_2 \to \mathbb{H}_3 \) are two bounded operators, then \( (S \circ T)^\sharp = T^\sharp \circ S^\sharp \).

**Proof.** It is enough to check the equality \( (S \circ T)^\sharp = T^\sharp \circ S^\sharp \) on the basis elements \( \{e_{k}^{(3)}\}_{k \in \mathbb{N}} \).

For any \( k \in \mathbb{N} \),

\[
(S \circ T)^\sharp(e_{k}^{(3)}) = \sum_{j} f_{k}^{(3)}(S(T(e_{j}^{(1)})))e_{j}^{(1)}.
\]

\[
(T^\sharp \circ S^\sharp)(e_{k}^{(3)}) = T^\sharp(\sum_{j} f_{j}^{(3)}(Se_{j}^{(2)}))e_{j}^{(2)}
\]

\[
= \sum_{j} f_{k}^{(3)}(Se_{j}^{(2)})(\sum_{l} f_{j}^{(2)}(Te_{l}^{(1)}))e_{l}^{(1)}.
\]
Thus
\[
(T^2 \circ S^3)(e_k^{(3)}) = \sum_I f_k^{(3)}(S(\sum_j f_j^{(2)}(Te_j^{(1)})e_j^{(2)}))e_l^{(1)}
\]
\[
= \sum_I f_k^{(3)}((S \circ T)(e_l^{(1)}))e_l^{(1)}.
\]
Hence \((S \circ T)^4(e_k^{(3)}) = (T^4 \circ S^2)(e_k^{(3)}).\)

The form of the operator appearing in (2.9) and the operators used in the addendum of [Var74], suggest the definition of the following two classes:

**Definition 2.5** (Varopoulos Operator of Type I (V I)). Let \(H\) be a separable Hilbert space. For \(x, y \in H\), define \(T_x, y : C \oplus H \oplus C \rightarrow C \oplus H \oplus C\) by
\[
T_{x, y} = \begin{pmatrix}
0 & x \# & 0 \\
0 & 0 & y \\
0 & 0 & 0
\end{pmatrix}
\]
The operator \(T_{x, y}\) will be called Varopoulos operator of type I corresponding to the pair of vectors \(x, y\). If \(x = y\) then \(T_{x, y}\) will simply be denoted by \(T_x\).

**Definition 2.6** (Varopoulos Operator of Type II and of order \(k\) (V II of order \(k\))). Let \(H\) be a separable Hilbert space. For \(X \in \mathcal{B}(H)\), let
\[
T_X = \begin{pmatrix}
0 & X & 0 & \cdots & 0 \\
0 & 0 & X & \cdots & 0 \\
\vdots & \vdots & \vdots & \ddots & \vdots \\
0 & 0 & 0 & \cdots & X \\
0 & 0 & 0 & \cdots & 0
\end{pmatrix}
\]
be the operator in \(\mathcal{B}(H \otimes C^{k+1})\). In analogy with the work of Varopoulos [Var76], operators of the form \(T_X, X \in \mathcal{B}(H)\), are called Varopoulos operator of type II and of order \(k\).

In the following section, we show that \(\|p(T_1, \ldots, T_n)\| \leq \|p\|_{D^n, \infty}\) for any \(n\) commuting contractions of the form
\[
\{\begin{pmatrix}
\omega_1 & \alpha_1 & 0 & \cdots & 0 \\
0 & \omega_1 & \beta_1 & \cdots & 0 \\
\vdots & \vdots & \vdots & \ddots & \vdots \\
0 & 0 & 0 & \cdots & \omega_n \\
0 & 0 & 0 & \cdots & \omega_n
\end{pmatrix} : \alpha_i \beta_j = \alpha_j \beta_i, 1 \leq i, j \leq n, \omega := (\omega_1, \ldots, \omega_n) \in \mathbb{D}^n\}, \quad (2.10)
\]
after assuming that $|\alpha_i| = |\beta_i|$, $1 \leq i \leq n$. This is interesting considering that the von-Neumann inequality is valid for any commuting $n$-tuple of $2 \times 2$ contractions \cite{MP93,AgI90} and fails for $4 \times 4$ contractions \cite{Hol01}.

Secondly, we show that $\lim_{n \to \infty} C_2(n) \leq \frac{3\sqrt{3}}{4} K_0^C$ giving a considerable improvement on the upper bound previously obtained in \cite{Var76}.

Finally, we investigate in some detail, the contractivity of the homomorphisms $\rho_{x,y}$ induced by the Varopoulos operators of type I (VI). In particular, for a pair of commuting contractions $T_{x_1}, T_{x_2}, x_1, x_2 \in \mathbb{C}$, of type VI, and any holomorphic function $f : \mathbb{D}^2 \to \mathbb{D}$, $f(0,0) = 0$, applying the von-Neumann inequality, we must have

$$\sup_{x_1, x_2 \in \mathbb{D}} \left\| \mathcal{T} \left( \frac{\partial f}{\partial z_1}(0)x_1 + \frac{\partial f}{\partial z_2}(0)x_2, \frac{1}{2} \sum_{i,j=1}^2 \frac{\partial^2 f}{\partial z_i \partial z_j}(0)x_i x_j \right) \right\| \leq 1,$$

where $\mathcal{T} (\omega, \alpha) = \begin{pmatrix} \omega & \alpha \\ 0 & \omega \end{pmatrix}$. The solution to this problem (indeed a generalization of it), which we obtain in Chapter 3, therefore gives a necessary condition for the Carathéodory-Fejér interpolation problem for polynomials of degree 2. Unfortunately, while the extremal problem can be stated for any $n$ in $\mathbb{N}$, not just for 2, its solution depends on the commutant lifting theorem.

### 2.1 The von-Neumann Inequality

The von-Neumann inequality for a commuting $n$-tuple of $3 \times 3$ matrices remains open for $n \geq 3$. In this section, we establish this inequality for any $n$-tuple of commuting contractions of the form prescribed in (2.10) with the additional assumption that $|\alpha_i| = |\beta_i|$, $1 \leq i \leq n$.

Let $\mathbb{H}$ be a separable Hilbert space. Given a set of $n$ operators $A_1, \ldots, A_n$ in $\mathcal{B} (\mathbb{H})$, define the operator

$$\mathcal{T} (A_1, \ldots, A_n) := \begin{pmatrix} A_1 & A_2 & \cdots & A_n \\ 0 & A_1 & \cdots & A_{n-1} \\ 0 & 0 & \cdots & A_{n-2} \\ \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & \cdots & A_1 \end{pmatrix},$$

which is in $\mathcal{B} (\mathbb{H} \otimes \mathbb{C}^n)$. 

18
The condition for the contractivity of any $3 \times 3$ matrix of the form

\[
T = \begin{pmatrix}
\omega & \alpha & 0 \\
0 & \omega & \beta \\
0 & 0 & \omega
\end{pmatrix}, \omega \in \mathbb{D}, \alpha \text{ and } \beta \text{ in } \mathbb{C}.
\] (2.11)

is given in the following lemma. It will be used repeatedly in what follows.

**Lemma 2.7.** The operator $T$ defined in (2.11) is a contraction if and only if

\[
|\alpha| \leq 1 - |\omega|^2, \quad |\beta| \leq 1 - |\omega|^2
\]

and

\[
|\alpha \beta \omega|^2 \leq \left( (1 - |\omega|^2)^2 - |\alpha|^2 \right) \left( (1 - |\omega|^2)^2 - |\beta|^2 \right).
\]

In particular, if $|\alpha| = |\beta|$, then $T$ is contractive if and only if $|\alpha| \leq (1 - |\omega|) \sqrt{1 + |\omega|}$.

**Proof.** Suppose $T$ is contraction. Then $T(\omega, \alpha) := \begin{pmatrix} \omega & \alpha & 0 \\ 0 & \omega & \beta \\ 0 & 0 & \omega \end{pmatrix}$ and $T(\omega, \beta) := \begin{pmatrix} \omega & \beta & 0 \\ 0 & \omega & \alpha \\ 0 & 0 & \omega \end{pmatrix}$ must be contractions. Hence, we have $|\alpha| \leq 1 - |\omega|^2$ and $|\beta| \leq 1 - |\omega|^2$. By Parrott’s theorem [Par78], there exists $a \in \mathbb{C}$ such that the operator $T_a$ is a contraction, where

\[
T_a = \begin{pmatrix} \omega & \alpha & a \\ 0 & \omega & \beta \\ 0 & 0 & \omega \end{pmatrix}.
\]

Every possible choice of $a$ in $\mathbb{C}$, ensuring contractivity of the operator $T_a$ is given by

\[
a = (I - ZZ^*)^{1/2} V(I - Y^* Y)^{1/2} - ZS^* Y,
\]

where $V : \mathbb{C} \to \mathbb{C}$ is an arbitrary contraction, $S = T(0, \omega)$, $R = (\beta, \omega)^t$ and $Q = (\omega, \alpha)$. The operators $Y$ and $Z$ are explicitly determined by the formulae $R = (I - SS^*)^{1/2} Y$ and $Q = Z(I - S^* S)^{1/2}$. The reader is referred to (cf. [You88, Chapter 12]) for more information on the Parrott’s theorem and related topics. Thus

\[
Y = \left( \frac{\beta}{(1 - |\omega|^2)^{1/2}} \right)^t \quad \text{and} \quad Z = \left( \frac{\alpha}{(1 - |\omega|^2)^{1/2}} \right).
\]

Therefore

\[
a = \left( (1 - |\omega|^2) - \frac{|\alpha|^2}{1 - |\omega|^2} \right)^{1/2} V \left( (1 - |\omega|^2) - \frac{|\beta|^2}{1 - |\omega|^2} \right)^{1/2} - \frac{\omega \beta \alpha}{1 - |\omega|^2}.
\] (2.12)
Since $T$ is a contraction, it follows that $a = 0$ is a valid choice in (2.12) for some contraction $V$. This forces
\[
V = \frac{\alpha \beta \alpha}{1 - |\omega|^2} \left( (1 - |\omega|^2) - \frac{|\alpha|^2}{1 - |\omega|^2} \right)^{-1/2} \left( (1 - |\omega|^2) - \frac{|\beta|^2}{1 - |\omega|^2} \right)^{-1/2}
\]
to be of absolute value at most 1. Thus we have
\[
|\alpha \beta \omega|^2 \leq \left( (1 - |\omega|^2)^2 - |\alpha|^2 \right) \left( (1 - |\omega|^2)^2 - |\beta|^2 \right).
\]
All the steps in the proof given above are reversible. Therefore, the converse statement is valid as well.

The condition for contractivity assuming $|\alpha| = |\beta|$ is easily seen to be
\[
|\alpha| \leq (1 - |\omega|) \sqrt{1 + |\omega|}.
\]

\[\square\]

**Remark 2.8.** It is known that $T$ is a contraction if and only if $\|f(T)\| \leq 1$ for all $f$ in the disc algebra $A(D)$ with $f(\omega) = 0$ for an arbitrary but fixed $\omega$ in $D$ and $\|f\|_{D,\infty} \leq 1$. Therefore $T$ in (2.11) is a contraction if and only if
\[
|f'(\omega)|^2 |\alpha|^2 + |f''(\omega)/2||\alpha|^2 \leq 1
\]
for all $f \in A(D)$ with $f(\omega) = 0$ and $\|f\|_{D,\infty} \leq 1$. Thus
\[
|\alpha|^2 \leq \frac{1}{\sup \{|f'(\omega)|^2 + |f''(\omega)/2|\}},
\]
where the supremum is over the set $\{f \in A(D) : f(\omega) = 0, \|f\|_{D,\infty} \leq 1\}$. From the Lemma 2.7, we conclude (for some arbitrary but fixed $\omega \in D$) that
\[
\sup \left\{ |f'(\omega)|^2 + \frac{|f''(\omega)|}{2} : f \in A(D), f(\omega) = 0, \|f\|_{D,\infty} \leq 1 \right\} = \frac{1}{(1 - |\omega|^2)(1 - |\omega|)}.
\]
For $\alpha_j, \beta_j \in D$, define the operators
\[
T_j = \begin{pmatrix}
0 & \alpha_j & 0 \\
0 & 0 & \beta_j \\
0 & 0 & 0
\end{pmatrix}, 1 \leq j \leq n,
\]
and assume that $\alpha_j \beta_k = \alpha_k \beta_j$, $j, k = 1, \ldots, n$. This commuting $n$-tuple of contractions $T = (T_1, \ldots, T_n)$ is in the set (2.10) with $\omega = 0$. It defines a homomorphism $\rho_T : \mathbb{C}[Z_1, \ldots, Z_n] \to \mathcal{B}(\mathbb{C}^3)$ given by the formula $\rho_T(p) := p(T)$. Explicitly evaluating $p(T)$, we obtain

$$
\rho_T(f) := \begin{pmatrix}
  f(0) & Df(0) \cdot \alpha & \frac{1}{2} D^2 f(0) \cdot A_{\alpha \beta} \\
  0 & f(0) & Df(0) \cdot \beta \\
  0 & 0 & f(0)
\end{pmatrix}, \quad f \in \mathbb{C}[Z_1, \ldots, Z_n],
$$

(2.13)

where $A_{\alpha \beta} = (\langle \alpha_j \beta_k \rangle)_{n \times n}$. Here

$$
Df(0) \cdot \alpha = \sum_j \frac{\partial f}{\partial z_j}(0) \alpha_j, \quad Df(0) \cdot \beta = \sum_j \frac{\partial f}{\partial z_j}(0) \beta_j
$$

and

$$
D^2 f(0) \cdot A_{\alpha \beta} = \sum_{j,k} \frac{\partial^2 f}{\partial z_j \partial z_k}(0) \alpha_j \beta_k.
$$

Clearly, the formula (2.13) makes sense and defines a homomorphism of the algebra $H^\infty(\mathbb{D}^n)$ consisting of all bounded holomorphic functions on the polydisc $\mathbb{D}^n$.

The following lemma and several of its variants involving functions defined on domains in $\mathbb{C}^n$ and taking values in $k \times k$ matrices have been proved in [Mis84, MNS90, Mis94, Pau92]. The proof below follows closely the one appearing in [Pau92].

**Lemma 2.9** (The zero lemma). *The homomorphism $\rho_T$ is a contraction if and only if $\|\rho_T(f)\| \leq 1$ for all $f \in H^\infty(\mathbb{D}^n)$ with $f(0) = 0$ and $\|f\|_{\mathbb{D}^n, \infty} \leq 1$.*

**Proof.** Let us assume that $\|\rho_T(f)\| \leq 1$ for all $f : \mathbb{D}^n \to \mathbb{D}$ with $f(0) = 0$. Let $g : \mathbb{D}^n \to \mathbb{D}$ be an analytic function and $\phi$ be an automorphism of $\mathbb{D}$ mapping $g(0)$ to 0. Then $\phi \circ g$ is an analytic map from $\mathbb{D}^n$ to $\mathbb{D}$ with $(\phi \circ g)(0) = 0$, therefore $\|\rho_T(\phi \circ g)\| \leq 1$. Now by von-Neumann’s inequality we have $\|\phi^{-1}(\rho_T(\phi \circ g))\| \leq 1$ which is equivalent to $\|\rho_T(g)\| \leq 1$. Hence $\rho_T$ is a contraction. The converse is trivially true. \qed

**Theorem 2.10.** *The homomorphism $\rho_T$, as defined in (2.13) for the commuting tuple of contractions $T$, is contractive.*

**Proof.** Assume that the supremum norm of the polynomial

$$
p(z_1, \ldots, z_n) = \sum_{j=1}^n a_j z_j + \sum_{i,j=1}^n a_{ij} z_i z_j + \sum_{k=3}^d \sum_{|I|=k} a_I z^I
$$

over the polydisc $\mathbb{D}^n$ is at most 1. Then

$$
\|\rho_T(p)\| = \left\| \begin{pmatrix}
  \sum a_i \alpha_i \\
  0 \\
  \sum a_i \alpha_i \beta_i
\end{pmatrix} \right\| \leq 1
$$
if and only if
\[
\left| \sum_{i,j=1}^{n} a_{ij} \alpha_i \beta_j \right|^2 \leq \left( 1 - \left| \sum_{j=1}^{n} a_j \alpha_j \right|^2 \right) \left( 1 - \left| \sum_{j=1}^{n} a_j \beta_j \right|^2 \right). \tag{2.14}
\]

Without loss of generality we assume \(0 < |\beta_1| \leq |\alpha_1|\). Let \(|\beta_1|/|\alpha_1| = \mu\). We have \(\alpha_j \beta_k = \alpha_k \beta_j\) for all \(j,k = 1, \ldots, n\) therefore inequality (2.14) is equivalent to
\[
\left| \sum_{i,j=1}^{n} a_{ij} \alpha_i \alpha_j \right|^2 \leq \left( 1 - \sum_{j=1}^{n} a_j \alpha_j \right)^2 \left( \frac{1}{\mu^2} - \sum_{j=1}^{n} a_j \alpha_j \right)^2. \tag{2.15}
\]

Define \(q_\alpha(t) := p(t, \alpha_1, \ldots, t, \alpha_n)\) for all \(t \in \mathbb{D}\). Since \(\|p\|_{\mathbb{D}^n, \infty} \leq 1\) therefore \(\|q_{\alpha}\|_{\mathbb{D}, \infty} \leq 1\) and hence \(\mathcal{T}(\sum a_i \alpha_i, \sum a_j \alpha_j \beta_j)\) is of norm at most 1. Therefore
\[
\left| \sum_{i,j=1}^{n} a_{ij} \alpha_i \alpha_j \right|^2 \leq \left( 1 - \sum_{j=1}^{n} a_j \alpha_j \right)^2 \left( 1 - \sum_{j=1}^{n} a_j \alpha_j \right)^2
\]
and since \(\mu \leq 1\), it follows that (2.15) holds. Hence \(\rho_T\) is a contractive homomorphism.

We now prove the von-Neumann inequality for any contractive \(n\)-tuple in the set (2.10) assuming \(|\alpha_i| = |\beta_i|, 1 \leq i \leq n\). (We no longer assume that \(\omega = 0\).) As before, such a \(n\)-tuple defines a homomorphism \(\rho_{T,\omega} : \mathcal{H}^\infty(\mathbb{D}^n) \to \mathcal{B}(\mathbb{C}^3)\) by
\[
\rho_{T,\omega}(f) := \begin{pmatrix}
    f(\omega) & Df(\omega) \cdot \alpha & \frac{1}{2} D^2 f(\omega) \cdot A_{\alpha \beta} \\
    0 & f(\omega) & Df(\omega) \cdot \beta \\
    0 & 0 & f(\omega)
\end{pmatrix}, \tag{2.16}
\]
where
\[
Df(\omega) \cdot \alpha = \sum_j \frac{\partial f(\omega)}{\partial z_j} \alpha_j, \quad Df(\omega) \cdot \beta = \sum_j \frac{\partial f(\omega)}{\partial z_j} \beta_j
\]
and
\[
D^2 f(\omega) \cdot A_{\alpha \beta} = \sum_{j,k} \frac{\partial^2 f(\omega)}{\partial z_j \partial z_k} \alpha_j \beta_k.
\]
Here is “the zero lemma” again, now adapted to work for the homomorphism \(\rho_{T,\omega}\). For the proof, we compose \(f\) with an automorphism of the disc taking \(f(\omega)\) to 0, whenever \(f(\omega) \neq 0\).

**Lemma 2.11.** The homomorphism \(\rho_{T,\omega}\) is contractive if and only if \(\|\rho_{T,\omega}(f)\| \leq 1\) for all \(f \in \mathcal{H}^\infty(\mathbb{D}^n)\) with \(f(\omega) = 0\) and \(\|f\|_{\mathbb{D}^n, \infty} \leq 1\).
Theorem 2.12. The homomorphism $\rho_{T,\omega}$ induced by a contractive $n$-tuple $T$ in the set (2.10) with $\alpha_j = \beta_j$, $j = 1, \ldots, n$, is itself contractive.

Proof. Assume that the supremum norm of the polynomial
\[
p(z_1, \ldots, z_n) = \sum_{j=1}^{n} a_j (z_j - \omega_j) + \sum_{i,j=1}^{n} a_{ij} (z_j - \omega_j) (z_i - \omega_i) + \sum_{k=3}^{d} \sum_{|I|=k} a_I (z - \omega)^I
\]
over the polydisc $\mathbb{D}^n$ is at most 1, where $d$ is the degree of $p$. Then
\[
\| \rho_{T,\omega}(p) \| = \left\| \left( \sum a_i \alpha_i \begin{array}{c}
\sum a_{ij} \alpha_i \alpha_j \\
0
\end{array} \right) \right\| \leq 1
\]
if and only if
\[
\left| \sum_{i,j=1}^{n} a_{ij} \alpha_i \alpha_j \right| \leq \left( 1 - \left| \sum_{j=1}^{n} a_j \alpha_j \right|^2 \right). \tag{2.17}
\]
For $j = 1, \ldots, n$, applying the Lemma 2.7 to the operator
\[
\begin{pmatrix}
\omega_j & (1 - |\omega_j|) \sqrt{1 + |\omega_j|} & 0 \\
0 & \omega_j & (1 - |\omega_j|) \sqrt{1 + |\omega_j|} \\
0 & 0 & \omega_j
\end{pmatrix}
\]
we conclude that it must be contractive. Therefore, using Nehari’s theorem (cf. [You88, Chapter 15, Theorem 15.14]), we obtain a holomorphic function $h_j$, $h_j^{(k)}(0) = 0$, $k = 0, 1, 2$, defined in the unit disc $\mathbb{D}$ such that the supremum norm of the function
\[
f_j(z) = \omega_j + (1 - |\omega_j|) \sqrt{1 + |\omega_j|} z + h_j(z)
\]
over the unit disc $\mathbb{D}$ is at most 1. Define $f = (f_1, \ldots, f_n) : \mathbb{D}^n \to \mathbb{D}^n$ by $f(z_1, \ldots, z_n) = (f_1(z_1), \ldots, f_n(z_n))$. Now $p \circ f$ maps $\mathbb{D}^n$ to $\mathbb{D}$ with $p \circ f(0) = 0$. Define the following contractive operators
\[
S_j := \begin{pmatrix}
0 & a_j & 0 \\
0 & 0 & a_j \\
0 & 0 & 0
\end{pmatrix} \begin{pmatrix}
(1 - |\omega_j|) \sqrt{1 + |\omega_j|} & 0 \\
0 & (1 - |\omega_j|) \sqrt{1 + |\omega_j|} \\
0 & 0 & (1 - |\omega_j|) \sqrt{1 + |\omega_j|}
\end{pmatrix}
\]
for $j = 1, \ldots, n$. Then $S = (S_1, \ldots, S_n)$ is a tuple of commuting contractions. From Theorem 2.10 it is clear that $\| p \circ f(S) \| \leq 1$. Therefore (2.17) holds and hence $\| p(T_1, \ldots, T_n) \| \leq 1$. \qed
As a corollary of this theorem, we get the following necessary condition for the Carathéodory–Fejér interpolation problem for the polydisc $D^n$.

**Theorem 2.13.** Let $p$ be a polynomial in $n$ variables of degree 2 such that $p(0) = 0$. There exists a holomorphic function $q$, defined on polydisc $D^n$, with $q^{(k)}(0) = 0$, $|k| \leq d$ such that $\|p + q\|_\infty \leq 1$ only if

$$\sup_{\|\alpha\|_\infty \leq 1} \left\{ \frac{1}{2} \left| D^2 p(0) \cdot A_{\alpha} \right|^2 + \left| Dp(0) \cdot \alpha \right|^2 \right\} \leq 1,$$

where $\alpha = (\alpha_1, \ldots, \alpha_n)$, $A_{\alpha} = \left\{ \alpha_\ell \alpha_j \right\}$, $D^2 p(0) \cdot A_{\alpha} = \sum \alpha_i \alpha_j \frac{\partial^2 p}{\partial z_i \partial z_j}(0)$ and $Dp(0) \cdot \alpha = \sum \alpha_i \frac{\partial p}{\partial z_i}(0)$.

**Remark 2.14.** This proof of the von-Neumann inequality works without having to make the assumption that $|\alpha_i| = |\beta_i|$, if instead, we assume that

$$\begin{pmatrix} \omega_j & \alpha_j & 0 \\ 0 & \omega_j & \alpha_j \\ 0 & 0 & \omega_j \end{pmatrix} \text{ and } \begin{pmatrix} \omega_j & \beta_j & 0 \\ 0 & \omega_j & \beta_j \\ 0 & 0 & \omega_j \end{pmatrix}$$

are contractions for $j = 1, \ldots, n$. Unfortunately, there are contractive $n$-tuples $T$ in the set (2.10) for which this condition is not met, for example, take $\omega = \alpha = 2/5$ and $\beta = 4/5$, here $n$ is just 1!

### 2.2 An improvement in the bound for $C_2(n)$

The explicit example in [Var74] showing that a commuting triple of contractions need not define a contractive homomorphism of the tri-disc algebra uses the interesting polynomial

$$p_\nu(z_1, z_2, z_3) := z_1^2 + z_2^2 + z_3^2 - 2z_1z_2 - 2z_2z_3 - 2z_3z_1.$$ 

This polynomial will be referred as the Varopoulos-Kaijser polynomial. The supremum norm of $p_\nu$ over the tri-disc is shown to be 5. Let

$$A_\nu := \begin{pmatrix} 1 & -1 & -1 \\ -1 & 1 & -1 \\ -1 & -1 & 1 \end{pmatrix}$$

be the matrix of co-efficients of the polynomial $p_\nu$.

**Lemma 2.15.** $\|A_\nu\|_{\ell^\infty(3) \to \ell^1(3)} \geq 6$. 

24
2.2 An improvement in the bound for $C_2(n)$

**Proof.** Suppose $a_{ij}$ denote the $(i, j)$ entry of $A$, and $z_j = e^{i \theta_j}$ for $i, j = 1, 2, 3$. Then

$$
| \sum a_{ij} z_i \bar{z}_j | = |z_1|^2 + |z_2|^2 + |z_3|^2 - 2Re \{ z_1 \bar{z}_2 + z_2 \bar{z}_3 + z_3 \bar{z}_1 \} \\
= 3 - 2( \cos(\theta_1 - \theta_2) + \cos(\theta_2 - \theta_3) + \cos(\theta_3 - \theta_1)) \\
\leq 3 - 2 \left( \frac{3}{2} \right) \\
= 6.
$$

Using the Lemma 2.18, the above inequality can easily be deduced. For $\theta_1 - \theta_2 = \frac{2\pi}{3} = \theta_2 - \theta_3$, the inequality in this computation becomes an equality. Thus

$$
\| A_v \|_{\ell^\infty(3) \rightarrow \ell^1(3)} \geq \sup |z_j| = 1 | \sum a_{ij} z_i \bar{z}_j | = 6.
$$

Thus $\| A_v \|_{\ell^\infty(3) \rightarrow \ell^1(3)} > \| p_v \|_{D^n, \infty}$. Here $\frac{\| A_v \|_{\ell^\infty(3) \rightarrow \ell^1(3)}}{\| p_v \|_{D^n, \infty}} \geq 1.2$.

**Question:** Does there exists $k > 0$ such that $\| A \|_{\ell^\infty(n) \rightarrow \ell^1(n)} \leq k \| p_{A,\triangle} \|_{D^n, \infty}$ for all symmetric matrices $A$ of size $n$, $n \in \mathbb{N}$?

We have just seen that $k$ is bounded below by 1.2. Now, we show that $\frac{3\sqrt{3}}{4}$ is an upper bound for $k$. This will be an immediate corollary of the following theorem giving an upper bound for the second derivative.

**Theorem 2.16.** If $f : \mathbb{D}^n \rightarrow \mathbb{D}$ is a holomorphic function, then $\| D^2 f(0) \|_{\ell^\infty(n) \rightarrow \ell^1(n)}$ is bounded above by $\frac{3\sqrt{3}}{2}$.

**Proof.** Let $f$ be a complex valued analytic function on $\mathbb{D}^n$ with $\| f \|_{D^n, \infty} \leq 1$. Let $a = (a_1, \ldots, a_n) \in \mathbb{D}^n$ be an arbitrary point. Let $\Phi_j$ be the automorphism of the unit disc defined by

$$
\Phi_j(z) = \frac{z + \overline{a_j} \overline{z}}{1 + \overline{a_j} z}
$$

for $j = 1, \ldots, n$. Let $\Phi(z_1, \ldots, z_n) = (\Phi_1(z_1), \ldots, \Phi_n(z_n))$ and $\varphi$ be the automorphism of the unit disc such that $\varphi(f(a)) = 0$. Due to chain rule we have

$$
D(\varphi \circ f \circ \Phi)(0) = \varphi'(f(a)) Df(a) D\Phi(0).
$$

As $g := \varphi \circ f \circ \Phi : \mathbb{D}^n \rightarrow \mathbb{D}$ is an analytic map therefore due to Schwarz’s lemma $Dg(0)$ is a
contractive linear functional on \((\mathbb{C}^n, \| \cdot \|_{D^n, \infty})\). Also

\[
D\Phi(0) = \begin{pmatrix}
1 - |a_1|^2 & 0 & \cdots & 0 \\
0 & 1 - |a_2|^2 & \cdots & 0 \\
\vdots & \vdots & \ddots & \vdots \\
0 & 0 & \cdots & 1 - |a_n|^2
\end{pmatrix}
\]

therefore

\[
Df(a) = \phi'(f(a))^{-1}\left(\sum_{j=1}^{n} \frac{\partial_j g(0)}{1 - |a_j|^2}\right).
\]

Thus we have

\[
\|Df(a)\|_1 \leq (1 - |f(a)|^2) \max_j \frac{1}{1 - |a_j|^2}.
\]

Suppose \(r \in (0, 1)\) is such that \(|a_i| < r\) for all \(i = 1, \ldots, n\). Then we have

\[
\|Df(a)\|_1 \leq \frac{1}{1 - r^2}.
\]

Let \(g := Df\) then \(g\) is a map from \(rD^n\) to \(\frac{1}{1 - r^2}(D^n)^*\) where \((D^n)^*\) denotes the dual unit ball of \((\mathbb{C}^n, \| \cdot \|_{D^n, \infty})\). Now due to Schwarz’s lemma \(Dg(0)\) is a linear operator on \(\mathbb{C}^n\) which maps \(rD^n\) into \(\frac{1}{1 - r^2}(D^n)^*\). Hence we have

\[
\|D^2 f(0)\|_{\ell^\infty(n) \to \ell^1(n)} \leq \frac{1}{r(1 - r^2)}.
\]

Inequality (2.20) is true for every \(r \in (0, 1)\) and maximum of \(r(1 - r^2)\) is attained at \(r = 1/\sqrt{3}\). Therefore we can conclude that

\[
\|D^2 f(0)\|_{\ell^\infty(n) \to \ell^1(n)} \leq \frac{3\sqrt{3}}{2}.
\]

Let \(p(z_1, z_2, \ldots, z_n) = \sum a_{ij} z_i z_j\) be a homogeneous polynomial of degree 2 in \(n\) variables with \(\|p\|_{D^n, \infty} \leq 1\). As \(D^2 p(0) = \langle 2a_{ij} \rangle_{n \times n}\) therefore from (2.16), we have

\[
\|(a_{ij})\|_{\ell^\infty(n) \to \ell^1(n)} \leq \frac{3\sqrt{3}}{4} \approx 1.3.
\]

This leads to a considerable improvement in one of the theorems of [Var76], which is exactly the same as the theorem below except that the constant obtained in [Var76] is \(2K^G\).
Theorem 2.17. Suppose $p$ be a polynomial of degree at most 2 in $n$ variables and $T = (T_1, \ldots, T_n)$ be a tuple of commuting contractions on a Hilbert space $\mathcal{H}$. Then

$$\|p(T_1, \ldots, T_n)\| \leq \frac{3\sqrt{3}}{4} K_G^C \|p\|_{D^n, \infty},$$

where $K_G^C$ is the complex Grothendieck constant.

Proof. Let

$$p(z_1, \ldots, z_n) = a_0 + \sum_{j=1}^{n} a_j z_j + \sum_{j,k=1}^{n} a_{jk} z_j z_k.$$

For $x, y \in \mathcal{H}$ arbitrary vectors of norm at most 1, we have

$$|\langle p(T_1, \ldots, T_n)x, y \rangle| = |a_0 \langle x, y \rangle + \sum_{j=1}^{n} \langle a_j T_j x, y \rangle + \sum_{j,k=1}^{n} \langle a_{jk} T_j x, T_k^* y \rangle|.$$

Let

$$B = \begin{pmatrix} a_0 & a_1/2 & a_2/2 & \cdots & a_n/2 \\ a_1/2 & a_{11} & a_{12} & \cdots & a_{1n} \\ \vdots & \vdots & \vdots & \ddots & \vdots \\ a_n/2 & a_{n1} & a_{n2} & \cdots & a_{nn} \end{pmatrix}$$

and $q$ be the corresponding homogeneous polynomial of degree 2 in $n + 1$ variables defined by

$$q(z_0, z_1, \ldots, z_n) = a_0 z_0^2 + \sum_{j=1}^{n} a_j z_j z_0 + \sum_{j,k=1}^{n} a_{jk} z_j z_k.$$

It can easily be seen that $\|q\|_{D^{n+1}, \infty} = \|p\|_{D^n, \infty}$. Suppose $v_0 = x, v_j = T_j x$ and $w_0 = y, w_j = T_j^* y$ for $j = 1, \ldots, n$. Then

$$\sum_{j=0}^{n} b_{jk} \langle v_j, w_k \rangle = a_0 \langle x, y \rangle + \sum_{j=1}^{n} \langle a_j T_j x, y \rangle + \sum_{j,k=1}^{n} \langle a_{jk} T_j x, T_k^* y \rangle,$$

where $b_{jk}$ is the $(j, k)$ entry in $B$. Now from the definition of the complex Grothendieck constant, we get

$$\left| \sum_{j=0}^{n} b_{jk} \langle v_j, w_k \rangle \right| \leq K_G^C \|B\|_{\ell^{\infty}(n+1) \to \ell^1(n+1)}.$$

Now, to complete the proof, one merely has to apply the inequality (2.21). \qed
2.3 Homomorphisms induced by operators of type VI

Let \( \Omega \) be a bounded domain in \( \mathbb{C}^m \) and \( \omega = (\omega_1, \ldots, \omega_m) \in \Omega \) be fixed. Let \( \mathbb{H} \) be a separable Hilbert space. Let \( x = (x_1, \ldots, x_m), y = (y_1, \ldots, y_m) \), where \( x_j, y_j \in \mathbb{H} \) for all \( j = 1, \ldots, m \), be such that \( [x_j^*, y_k] = [x_k^*, y_j] \) for all \( j, k = 1, \ldots, m \). Let the operator \( T_{x_j, y_j} \) be of type VI corresponding to the pair \( x_j, y_j \), \( j = 1, \ldots, m \). We let \( T_\omega \) denote the commuting \( n \)-tuple \((\omega_1 I + T_{x_1, y_1} + \cdots + \omega_m I + T_{x_m, y_m})\). We will let \( T_x \) denote the \( m \)-tuple \((T_{x_1, y_1}, \ldots, T_{x_m, y_m})\). It is easy to see that for \( j, k, l = 1, \ldots, m \), we have

\[
T_{x_j, y_j} T_{x_k, y_k} = \left( \begin{array}{ccc}
0 & 0 & \left[x^*_j, y_k\right] \\
0 & 0 & 0 \\
0 & 0 & 0
\end{array} \right).
\]

Consequently, for any polynomial \( p \) in \( m \) variables, we see that

\[
p(T_\omega) = \left( \begin{array}{ccc}
p(\omega) & Dp(\omega) \cdot x^2 & \frac{1}{2}D^2 p(\omega) \cdot A_{x,y} \\
p(\omega) I & Dp(\omega) \cdot y \\
p(\omega) & p(\omega)
\end{array} \right),
\]

where \( x^2 = (x_1^2, \ldots, x_m^2) \), \( A_{x,y} = (\langle [x_j^*, y_j]\rangle)_{m \times m} \). Therefore, extending this definition to functions in \( \mathbb{H}^\infty(\Omega) \), we obtain the homomorphism \( \rho_{x,y} : \mathbb{H}^\infty(\Omega) \to \mathcal{B}(\mathbb{C} \oplus \mathbb{H} \oplus \mathbb{C}) \), which for any polynomial \( p \) is given by the formula \( \rho_{x,y}(p) = p(T_\omega) \) and is defined for \( f \) in \( \mathbb{H}^\infty(\Omega) \) by the same formula. The homomorphism \( \rho_{x,0}^{(0)} \) will simply be denoted by \( \rho_x \).

Suppose \( \Omega = \mathbb{D}^m \) and \( \|x_j\| \leq 1, \|y_j\| \leq 1 \) for each \( j = 1, \ldots, m \). Then for \( m = 1, 2 \), we know that \( \rho_{x,y}^{(0)} \) is contractive homomorphism. What about \( m > 2 \)? The following example is due to Varopoulos and Kajser in [Var74]. Set

\[
A_1 = \begin{pmatrix}
0 & 0 & 0 & 0 & 0 \\
0 & 0 & 0 & 0 & 0 \\
1 & 0 & 0 & 0 & 0 \\
0 & 0 & 0 & 0 & 0 \\
0 & 1/\sqrt{3} & -1/\sqrt{3} & -1/\sqrt{3} & 0
\end{pmatrix},
\]

\[
A_2 = \begin{pmatrix}
0 & 0 & 0 & 0 & 0 \\
0 & 0 & 0 & 0 & 0 \\
1 & 0 & 0 & 0 & 0 \\
0 & 0 & 0 & 0 & 0 \\
0 & -1/\sqrt{3} & 1/\sqrt{3} & -1/\sqrt{3} & 0
\end{pmatrix}
\]
and
\[
A_3 = \begin{pmatrix}
0 & 0 & 0 & 0 & 0 \\
0 & 0 & 0 & 0 & 0 \\
0 & 0 & 0 & 0 & 0 \\
1 & 0 & 0 & 0 & 0 \\
0 & -1/\sqrt{3} & -1/\sqrt{3} & 1/\sqrt{3} & 0
\end{pmatrix}.
\]

It is easy to see that $A_1, A_2$ and $A_3$ are commuting contractions. Now, consider the Varopoulos-Kaijser polynomial $p_\nu$ defined earlier. Choose $x_1 = (1/\sqrt{3}, -1/\sqrt{3}, -1/\sqrt{3})$, $x_2 = (-1/\sqrt{3}, 1/\sqrt{3}, -1/\sqrt{3})$, $x_3 = (-1/\sqrt{3}, -1/\sqrt{3}, 1/\sqrt{3})$ and $y_1 = (1,0,0)$, $y_2 = (0,1,0)$, $y_3 = (0,0,1)$. In the notations above $T_{x_1,y_1} = A_1$, $T_{x_2,y_2} = A_2$ and $T_{x_3,y_3} = A_3$. We have
\[
\|p_\nu(T_{x_1,y_1}, T_{x_2,y_2}, T_{x_3,y_3})\| = \left| \sum_{j,k=1}^{3} a_{jk} \left[ x_j^2, y_k \right] \right| = 3\sqrt{3} > 5 = \|p_\nu\|_{\mathbb{D}^3,\infty},
\]
where $\{a_{jk}\} = A_\nu$. Hence $p_\nu^{0,y}$ corresponding to $x = (x_1, x_2, x_3)$, $y = (y_1, y_2, y_3)$ is not contractive. In this example the ratio of $\|p_\nu(T_{x,0})\|$ to $\|p_\nu\|_{\mathbb{D}^3,\infty}$ is approximately 1.04. In this section we shall show that
\[
\sup \left\{ \frac{\|p_\nu(T_x)\|}{\|p_\nu\|_{\mathbb{D}^3,\infty}} : \|x\|_2 = 1 \right\}
\]
is 1.2, which was proved earlier by Holbrook [Hol01]. However, we give many examples of operators of type $VI$ for which this upper bound is attained. As explained earlier, the hope that we may be able to increase it even further was the motivation behind introducing the set of operators $V I$. For the proof, we shall need the following lemma.

Lemma 2.18. For $n > 1$, we have
\[
\min \{(x_1, x_2) + (x_2, x_3) + (x_3, x_1)\} = -\frac{3}{2},
\]
where the minimum is over the set $\{(x_1, x_2, x_3) : x_1, x_2, x_3 \in \mathbb{R}^n, \|x_i\|_2 = 1, i = 1, 2, 3\}$.

Proof. Let $x_1, x_2, x_3 \in \mathbb{R}^n$ with $\|x_i\|_2 = 1, i = 1, 2, 3$. The following identity is easily verified:
\[
\|x_1 + x_2 + x_3\|^2 = \|x_1\|^2 + \|x_2\|^2 + \|x_3\|^2 + 2(\langle x_1, x_2 \rangle + \langle x_2, x_3 \rangle + \langle x_3, x_1 \rangle).
\]

For $i = 1, 2, 3$, $\|x_i\|_2 = 1$, therefore
\[
\|x_1 + x_2 + x_3\|^2 - 3 = 2(\langle x_1, x_2 \rangle + \langle x_2, x_3 \rangle + \langle x_3, x_1 \rangle).
\]

Thus $\langle x_1, x_2 \rangle + \langle x_2, x_3 \rangle + \langle x_3, x_1 \rangle$ is minimized at $x_1, x_2, x_3 \in \mathbb{R}^n$ such that $x_1 + x_2 + x_3 = 0$. Choose any three points $x_1, x_2, x_3$ from the unit sphere of $\mathbb{R}^n$ such that the centroid of these points is the origin. For example, choose $x_1 = (1,0,\ldots,0)$, $x_2 = (-1/2,\sqrt{3}/2,0,\ldots,0)$ and $x_3 = (-1/2,-\sqrt{3}/2,0,\ldots,0)$. Thus we have proved the lemma. \qed
What follows is an easy generalization of the preceding lemma.

**Lemma 2.19.** For \( n > 1 \), we have

\[
\min \left( \sum_{i<j} \langle x_i, x_j \rangle \right) = -\frac{m}{2},
\]

where minimum is over the set \( \{ (x_1, \ldots, x_m) : x_1, \ldots, x_m \in \mathbb{R}^n, \| x_i \|_2 = 1, i = 1, \ldots, m \} \).

Let \( x_1, x_2, x_3 \in \mathbb{R}^n \) be arbitrary vectors of Euclidean norm 1 and set \( x = (x_1, x_2, x_3) \). Consider the algebra homomorphism \( \rho_x \) as in (2.22), namely, \( \rho_x(p) = p(T_x) \). Take Varopoulos-Kaijser polynomial \( p_\omega \). By the definition of \( \rho_x \), it is easy to see that

\[
\| \rho_x(p_\omega) \| = \left| \sum_{j,k=1}^3 a_{jk} [x_j^2, x_k] \right| = \left| \sum_{j,k=1}^3 a_{jk} \langle x_j, x_k \rangle \right|
\]

\[
= \sum_{i=1}^3 a_{i1} + 2a_{12} \langle x_1, x_2 \rangle + 2a_{23} \langle x_2, x_3 \rangle + 2a_{31} \langle x_3, x_1 \rangle
\]

\[
= 3 - 2 \left( \langle x_1, x_2 \rangle + \langle x_2, x_3 \rangle + \langle x_3, x_1 \rangle \right).
\]

From the Lemma 2.18, it is clear that we can choose \( x_1, x_2, x_3 \in \mathbb{R}^n \) (in fact there are infinitely many choices for \( x \) for each \( n > 1 \)) such that \( \| \rho_x(p_\omega) \| = 6 \) and \( \| x_i \|_2 = 1 \) for each \( i = 1, 2, 3 \). Thus

\[
\frac{\| \rho_x(p_\omega) \|}{\| p_\omega \|_{D^3, \infty}} = \frac{6}{5} = 1.2 > 1.
\]

Hence for this choice of \( x \) the corresponding ratio of \( \| p_\omega(T_x) \| \) to \( \| p_\omega \|_{D^3, \infty} \) is 1.2.

We state “the zero lemma” for a third time, in the form we will use it here. The proof is no different from what has been indicated earlier.

**Lemma 2.20.** For \( m \)-tuple of vectors, \( x = (x_1, \ldots, x_m) \), \( y = (y_1, \ldots, y_m) \) from \( \mathbb{H} \), we have, \( \| \rho_{x,y}^{(x)}(f) \| \leq 1 \) for all \( f \in H^\infty(\Omega, \mathbb{D}) \) if and only if \( \| \rho_{x,y}^{(y)}(f) \| \leq 1 \) for all \( f \in H^\infty(\Omega, \mathbb{D}) \).

As before, using the Lemma 2.20 we may assume that \( f(\omega) = 0 \), without loss of generality, in determining the contractivity of \( \rho_{x,y}^{(x)} \) for \( f \) in any algebra of holomorphic functions containing the algebra \( H^\infty(\Omega) \).

**Proposition 2.21.** Let \( \rho_{x,y}^{(x)} \) be as defined in (2.22). For \( f \in H^\infty(\Omega, \mathbb{D}) \), we get \( \| \rho_{x,y}^{(x)}(f) \| \leq 1 \) if and only if

\[
\left| \frac{1}{2} D^2 f(\omega) \cdot A_{x,y} \right|^2 \leq \left( 1 - \| D f(\omega) \cdot x \|^2 \right) \left( 1 - \| D f(\omega) \cdot y \|^2 \right).
\]
2.3 Homomorphisms induced by operators of type VI

Proof. Let \( f \in H^\infty_\omega(\Omega, \mathbb{D}) \). Let \( V_1 : \mathbb{H} \to \ell^2 \) and \( V_2 : \mathbb{H}^\sharp \to (\ell^2)^\sharp \) be isometries taking \( Df(\omega) \cdot y \) to \( \|Df(\omega) \cdot y\|e_1 \) and \( Df(\omega) \cdot x^\sharp \) to \( \|Df(\omega) \cdot x\|e_1^\sharp \) respectively, where \( e_1 \) is \((1, 0, \ldots)^t\). Then

\[
\|\rho_{x,y}^{(\omega)}(f)\| = \begin{vmatrix}
Df(\omega) \cdot x^\sharp & \frac{1}{2} D^2 f(\omega) \cdot A_{x,y} \\
0 & Df(\omega) \cdot y
\end{vmatrix}
\]

As norms are preserved under isometries therefore

\[
\|\rho_{x,y}^{(\omega)}(f)\| = \begin{vmatrix}
1 & 0 \\
0 & V_1
\end{vmatrix}
\begin{vmatrix}
\frac{1}{2} D^2 f(\omega) \cdot A_{x,y} & Df(\omega) \cdot x^\sharp \\
Df(\omega) \cdot y & 0
\end{vmatrix}
\begin{vmatrix}
1 & 0 \\
0 & V_2
\end{vmatrix}
\]

and hence

\[
\|\rho_{x,y}^{(\omega)}(f)\| = \begin{vmatrix}
\frac{1}{2} D^2 f(\omega) \cdot A_{x,y} & \|Df(\omega) \cdot x\|e_1^\sharp \\
\|Df(\omega) \cdot y\|e_1 & 0
\end{vmatrix}
\begin{vmatrix}
\frac{1}{2} D^2 f(\omega) \cdot A_{x,y} & \|Df(\omega) \cdot x\| \\
\|Df(\omega) \cdot y\| & 0
\end{vmatrix}
\]

Thus we have the proposition.

Let

\[
\mathcal{D}_\Omega^{(\omega)} := \left\{ \left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right) \mid f \in H^\infty_\omega(\Omega, \mathbb{D}) \right\}
\]

be a subset of \( M_m^s \times \mathbb{C}^m \), where \( M_m^s \) denotes the set of all \( m \times m \) complex symmetric matrices.

Lemma 2.22. The set \( \mathcal{D}_\Omega^{(\omega)} \) can be realized as the unit ball in \( M_m^s \times \mathbb{C}^m \) with respect to some norm, say \( \| \cdot \|_{\mathcal{D}} \).

Proof. We will show that \( \mathcal{D}_\Omega^{(\omega)} \) is a balanced, convex and absorbing subset of \( M_m^s \times \mathbb{C}^m \).

- Balanced: If \( \lambda \in \mathbb{D} \) and \( \left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right) \in \mathcal{D}_\Omega^{(\omega)} \), then
  \[
  \lambda \left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right) = \left( \frac{1}{2} D^2 (\lambda f)(\omega), D(\lambda f)(\omega) \right).
  \]
  The map \( \lambda f : \Omega \to \mathbb{D} \) is analytic with \( \lambda f(\omega) = 0 \) and hence
  \[
  \lambda \left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right) \in \mathcal{D}_\Omega^{(\omega)}.
  \]
• **Convex:** Pick

\[
\left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right), \left( \frac{1}{2} D^2 g(\omega), Dg(\omega) \right) \in \mathcal{D}_\Omega^{(\omega)}.
\]

For the \( h := tf + (1 - t)g, t \in (0, 1) \), we have

\[
t \left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right) + (1 - t) \left( \frac{1}{2} D^2 g(\omega), Dg(\omega) \right) = \left( \frac{1}{2} D^2 h(\omega), Dh(\omega) \right).
\]

Since \( f, g \) are in \( H_\omega^{\infty}(\Omega, \mathbb{D}) \), it follows that \( h \) is also in \( H_\omega^{\infty}(\Omega, \mathbb{D}) \). Hence

\[
t \left( \frac{1}{2} D^2 f(\omega), Df(\omega) \right) + (1 - t) \left( \frac{1}{2} D^2 g(\omega), Dg(\omega) \right) \in \mathcal{D}_\Omega^{(\omega)}.
\]

• **Absorbing:** Let \( B = (b_{jk}) \) be a symmetric matrix of order \( m \) and \( a = (a_1, ..., a_m) \) in \( \mathbb{C}^m \). Define

\[
p(z_1, z_2, ..., z_m) = \sum_{j=1}^{m} a_j (z_j - \omega_j) + \sum_{j,k=1}^{m} b_{jk} (z_j - \omega_j)(z_k - \omega_k).
\]

The function

\[
f(z_1, z_2, ..., z_m) = \frac{p(z_1, z_2, ..., z_m)}{\|p\|_{\Omega, \infty}}.
\]

is clearly in \( H_\omega^{\infty}(\Omega, \mathbb{D}) \) with

\[
Df(\omega) = \frac{a}{\|p\|_{\Omega, \infty}} \text{ and } \frac{1}{2} D^2 f(\omega) = \frac{B}{\|p\|_{\Omega, \infty}}.
\]

Hence

\[
\frac{1}{\|p\|_{\Omega, \infty}}(B, a) \in \mathcal{D}_\Omega^{(\omega)}.
\]

The set

\[
\mathbb{U} := \left\{ (z, v_1, v_2) : z \in \mathbb{C}, v_1, v_2 \in \mathbb{H} \text{ with } |z|^2 \leq (1 - \|v_1\|^2)(1 - \|v_2\|^2) \right\}
\]

is seen to be the unit ball via the identification \( (z, v_1, v_2) \rightarrow \left( \begin{array}{c} v_1^T \\ z \\ 0 \end{array} \right) \). Clearly, \( \left\| \begin{array}{c} v_1^T \\ z \\ 0 \end{array} \right\| \leq 1 \) if and only if \( (z, v_1, v_2) \) is in \( \mathbb{U} \). Thus we have proved the following lemma.

**Lemma 2.23.** The set \( \mathbb{U} \) is the unit ball with respect to the norm \( \| (z, v_1, v_2) \|_\mathbb{U} := \left\| \begin{array}{c} v_1^T \\ z \\ 0 \end{array} \right\| \).
For fixed $x = (x_1, ..., x_m), y = (y_1, ..., y_m)$ in $\mathbb{H}^m$, define a linear map $L_{x,y}^{(o)} : M^s_m \times C^m \to C \oplus \mathbb{H} \oplus \mathbb{H}$ by the formula

$$L_{x,y}^{(o)}(B, a) = \left( \frac{1}{2} \text{tr}(A_{x,y} B), a \cdot x, a \cdot y \right),$$

where $a \cdot x = a_1 x_1 + \cdots + a_m x_m, a = (a_1, \ldots, a_m) \in C^m$ (and $a \cdot y$ is defined similarly). Proposition 2.21 together with what we have said here amounts to the equivalence asserted in the following theorem.

**Theorem 2.24.** The following statements are equivalent:

1. $\rho^{(o)}_{x,y}$ is a contractive homomorphism.
2. $L_{x,y}^{(o)} : (M^s_m \times C^m, \| \cdot \|_2) \to (C \oplus \mathbb{H} \oplus \mathbb{H}, \| \cdot \|_2)$ is a contractive linear map.

Let $E$ be a domain (containing 0) in $C$. For each $k \in \mathbb{N}_0$, let

$$\mathcal{P}_k(\Omega, E) = \left\{ p \in C[Z_1, \ldots, Z_m] : \deg(p) \leq k \text{ and } p(\Omega) \subset E \right\}.$$

For each $\omega \in \Omega$, let $\mathcal{P}_k^{\omega}(\Omega, E)$ denote the set of all polynomials $p \in \mathcal{P}_k(\Omega, E)$ such that $p(\omega) = 0$.

Now, suppose $\Omega$ is the unit disc and $\omega = 0$. Then we have the following theorem.

**Theorem 2.25.** If $\mathbb{H}$ is a separable Hilbert space and $x \in \mathbb{H}$ with $\|x\| \leq 1$, then for the homomorphism $\rho_x$, we have

$$\sup \{ \| \rho_x(p) \| : p \in \mathcal{P}_1^0(\mathbb{D}, \mathbb{D}) \} = \sup \{ \| \rho_x(f) \| : f \in H^\infty_0(\mathbb{D}, \mathbb{D}) \}.$$

**Proof.** We know that for $f \in H^\infty(\mathbb{D})$ with $f(0) = 0$,

$$\| \rho_x(f) \| = \left\| \begin{pmatrix} \frac{1}{2} f''(0) [x^2, x] & f'(0) x \| x \| \\ f'(0) x \| x \| & 0 \end{pmatrix} \right\|,$$

therefore from the formula in [MNS90],

$$\| \rho_x \| = \left\{ |a| \| x \| + \frac{1}{2} \left[ |a|^2 [x^2, x] \right] ^2 + \sqrt{|b|^4 \| x \|^4 + 4 |a|^2 \| x \|^2 |b|^2 \| x \|^2} \right\} ^{1/2},$$

where $a = f'(0)$ and $b = f''(0)/2$. Using Cauchy-Schwarz inequality we get

$$\| \rho_x \| \leq \left\{ |a| \| x \|^2 + \frac{1}{2} \left[ |a|^2 \| x \|^4 + \sqrt{|b|^4 \| x \|^8 + 4 |a|^2 |b|^2 \| x \|^6} \right] \right\} ^{1/2}.$$
and therefore
\[ \| \rho(x) \| \leq \| x \| \left\{ |a| + \frac{1}{2} \left[ |a|^2 + \sqrt{|b|^4 + 4|a|^2|b|^2} \right] \right\}^{\frac{1}{2}}. \]

Hence \( \sup \{ \| \rho(f) \| : f \in H^\infty_0(\mathbb{D}, \mathbb{D}) \} = \| x \| \). It is easy to see that
\[ \sup \{ \| \rho(p) \| : p \in \mathcal{P}_0^1(\mathbb{D}, \mathbb{D}) \} = \| x \|. \]

Hence the proof is complete.

The following corollary is now evident.

**Corollary 2.26.** Suppose \( \mathbb{H} \) is a separable Hilbert space and \( x \in \mathbb{H} \) with \( \| x \| = 1 \). Then for homomorphism \( \rho(x) \) defined above, we get
\[ \sup \{ \| \rho(p) \| : p \in \mathcal{P}_0^1(\mathbb{D}, \mathbb{D}) \} = \sup \{ \| \rho(f) \| : f \in H^\infty(\mathbb{D}, \mathbb{D}) \}. \]

### 2.4 The Carathéodory-Fejér Interpolation Problems

We state the well known interpolation problem in \( m \) variables, usually known as the Carathéodory-Fejér (CF) problem.

**Problem 2.27 (CF).** Given any polynomial \( p \) in \( m \) variables of degree \( d \), find necessary and sufficient conditions on the co-efficients of \( p \) to ensure the existence of a holomorphic function \( h \) defined on the polydisc \( \mathbb{D}^m \) with \( h^{(k)}(0) = 0 \) for all multi indices \( k \) of length at most \( d \), such that \( f := p + h \) maps the polydisc \( \mathbb{D}^m \) to the unit disc \( \mathbb{D} \).

Without loss of generality one may assume that \( p(0) = 0 \) via the transitivity of the unit disc \( \mathbb{D} \). There are several different known solutions to the CF problem when \( n = 1 \), see (cf. [Nik86, Page 179]). However, repeated attempts to obtain solutions for \( n > 1 \) has remained unsuccessful for the most part, however see (cf. [BW11, Chapter 3]) for a comprehensive survey of recent results. In these notes we shall obtain necessary condition for the CF problem for the bi-disc \( \mathbb{D}^2 \). (However, we first discuss the case of the unit disc \( \mathbb{D} \), which paves the way for the case of the bi-disc \( \mathbb{D}^2 \).) We show that for certain class of polynomials of degree at most 2, our necessary conditions turn out to be sufficient as well. None the less, they are not always sufficient as we demonstrate by means of an example.

We point out that the necessary condition for the CF problem actually works for any \( n \), via an adaptation of a theorem due to Korányi and Pukánszky [KP63]. However for \( n > 2 \), the computations involved in deriving the necessary condition explicitly is cumbersome. Therefore, we don't give the details except in the case \( n = 2 \).
2.4 The Carathéodory-Fejér Interpolation Problems

2.4.1 CF problem in one variable

The CF problem for one variable is stated below for polynomials of degree at most two and with \( p(0) = 0 \). This is the first non-trivial case of the CF problem and is typical of all other cases.

**Problem 2.28.** Fix \( p \) to be the polynomial \( p(z) = az + bz^2 \). Find a necessary and sufficient condition for the existence of a holomorphic function \( g \) defined on the unit disc \( D \) with \( g^{(k)}(0) = 0, k = 0, 1, 2 \), such that \( \|p + g\|_{D,\infty} \leq 1 \).

Let \( T_x \) be an operator of the type \( V I \) for some \( x \in \mathbb{C} \). For any \( f \in H^\infty_0(D, D) \), picking \( |x| \leq 1 \) to ensure contractivity of \( T_x \), we see that \( \|\rho_x(f)\| \leq 1 \). Now, applying Corollary 2.21, we find that

\[
\left\| \frac{1}{2} f''(0)x^2 + |f'(0)x|^2 \right\| \leq 1.
\]

Taking supremum over all \( x \) such that \( |x| \leq 1 \), we get

\[
\left\| \frac{1}{2} f''(0) + |f'(0)|^2 \right\| \leq 1,
\]

which is equivalent to

\[
\left\| \begin{pmatrix} f'(0) & \frac{f''(0)}{2} \\ 0 & f'(0) \end{pmatrix} \right\| \leq 1.
\]

Thus we have proved the following theorem.

**Theorem 2.29.** Suppose \( f : D \to D \) is an analytic function with \( f(0) = 0 \). Then

\[
\left\| \begin{pmatrix} f'(0) & \frac{f''(0)}{2} \\ 0 & f'(0) \end{pmatrix} \right\| \leq 1.
\]

We answer the question of the converse in the theorem below.

**Theorem 2.30.** If \( \alpha, \beta \in \mathbb{C} \) are such that \( \|\mathcal{T}(\beta, \alpha)\| \leq 1 \), then there exists an analytic map \( f : D \to D \) such that \( f(0) = 0, f'(0) = \beta \) and \( f''(0)/2 = \alpha \).

**Proof.** Let \( \alpha, \beta \in \mathbb{C} \) be such that \( \|\mathcal{T}(\beta, \alpha)\| \leq 1 \) i.e. \( |\alpha| + |\beta|^2 \leq 1 \). As \( \mathcal{D}_0^0 \) is a convex and balanced set so without loss of generality we assume \( \alpha > 0 \) and \( |\alpha| + |\beta|^2 = 1 \). Define

\[
g(z) := \begin{cases} \beta & \text{if } z = 0 \\ \frac{f(z)}{z} & \text{otherwise.} \end{cases}
\]
Let $\phi_\beta$ denote the automorphism of $D$ mapping $\beta$ to 0. From chain rule, we get
\[(\phi_\beta \circ g)'(0) = \frac{\alpha}{1 - |\beta|^2} = 1.\]

Hence $(\phi_\beta \circ g)(z) = e^{i\theta} z$ for some $\theta \in [0, 2\pi)$. Therefore
\[g(z) = \frac{e^{i\theta} z + \beta}{1 + \bar{\beta} e^{i\theta} z},\]
and thus
\[f(z) = z \cdot \frac{e^{i\theta} z + \beta}{1 + \bar{\beta} e^{i\theta} z}.\]

Thus we have found necessary and sufficient condition for the CF problem 2.28. A second approach to this problem will be given in Chapter 4.

### 2.4.2 CF interpolation problem in two variables

The complete solution to the CF problem remains a mystery, although, several different partial answers are known. On the other hand, Eschmeier, Patton and Putinar [EPP00] find a necessary and sufficient condition for the CF problem for the bi-disc $D^2$. However, these conditions are somewhat intractable.

**Theorem 2.31.** Let $d$ be a positive integer and let $P(z)$ be a polynomial of degree less than or equal to $d$ in two complex variables. There exists an analytic function $F : D^2 \to D$ such that $P \equiv F \mod (z^{d+1})$ if and only if there are Hilbert spaces $H_1$ and $H_2$ and a pair of vector valued polynomial functions of degree less than or equal to $d$, $A_k : D^2 \to H_k$, $k = 1, 2$, such that:
\[1 - P(z)P(z) \equiv (1 - |z_1|^2)\|A_1(z)\|_1^2 + (1 - |z_2|^2)\|A_2(z)\|_2^2 \mod (z^{d+1}, \overline{z}^{d+1}).\]

Analogous to the case of one variable, the CF problem in the case of two variables is given below for polynomials of degree at most two with constant term zero. This is typical of all other cases.

**Problem 2.32.** Fix $p \in \mathbb{C}[Z_1, Z_2]$ to be the polynomial
\[p(z_1, z_2) = a_{1,0} z_1 + a_{0,1} z_2 + a_{2,0} z_1^2 + a_{1,1} z_1 z_2 + a_{0,2} z_2^2.\]

Find necessary and sufficient conditions for the existence of a holomorphic function $q$ on $D^2$ with $q^{(k)}(0) = 0$, for multi indices $k$ of length at most 2, such that $\|p + q\|_{D^2, \infty} \leq 1$. 

36
Let $T_{x_1}, T_{x_2}$ be operators of type $V_1$ for $x_1, x_2$ in $\mathbb{C}$, $|x_1|, |x_2| \leq 1$. Let $f \in H_\infty^0(\mathbb{D}^2, \mathbb{D})$ be any holomorphic function mapping $\mathbb{D}^2$ to $\mathbb{D}$ with $f(0) = 0$. The von-Neumann inequality in Theorem 2.10 implies that $\| f(T_{x_1}, T_{x_2}) \| \leq 1$, which in turn is equivalent to

$$\| Df(0) \cdot x \|^2 + \left| \text{tr} \left( \frac{1}{2} D^2 f(0) \cdot xx^t \right) \right| \leq 1,$$

where $x$ is the column vector $(x_1, x_2)$. Thus we have the following theorem.

**Theorem 2.33.** If $p$ is any complex valued polynomial in two variables of degree at most 2 with $p(0) = 0$, then

$$\sup_{x_1, x_2 \in \mathbb{D}} \left\| T \left( \frac{\partial p}{\partial z_1}(0) x_1 + \frac{\partial p}{\partial z_2}(0) x_2, \frac{1}{2} \sum_{i,j=1}^{2} \frac{\partial^2 p}{\partial z_i \partial z_j}(0) x_i x_j \right) \right\| \leq 1 \quad (2.23)$$

is a necessary condition for the existence of a holomorphic function $q : \mathbb{D}^2 \to \mathbb{C}$, with $q^{(k)}(0) = 0$, $|k| \leq 2$, such that $\| p + q \|_{\mathbb{D}^2, \infty} \leq 1$.

In the Chapter 3 we will compute the supremum occurring in (2.23). We will also find conditions on the coefficients of the polynomial $p$, apart from the ones imposed by (2.23), which will ensure the existence of the required function $q$. 
3 Varopoulos Operators of Type II

3.1 Homomorphisms induced by operators of type \( \text{V II} \) and order two

Let \( \Omega \) be a bounded domain in \( C^n \) and \( \omega = (\omega_1, \ldots, \omega_m) \in \Omega \) be fixed. Let \( H \) be a separable Hilbert space and \( X = (X_1, \ldots, X_m) \) be a tuple of commuting contractions, \( X_j \in \mathcal{B}(H), \ j = 1, \ldots, m \). Let \( T_{X_j} \) be of type \( \text{V II} \) and of order 2, \( j = 1, \ldots, m \). Let \( T_X \) be the \( n \)-tuple \( (\omega_1 I + T_{X_1}, \ldots, \omega_m I + T_{X_m}) \). For \( j, k, l = 1, \ldots, m \), we have
\[
T_{X_j} T_{X_k} = T_{X_k} T_{X_j}, \quad T_{X_j} T_{X_k} T_{X_l} = 0
\]
and
\[
T_{X_j} T_{X_k} = \begin{pmatrix}
0 & 0 & X_j X_k \\
0 & 0 & 0 \\
0 & 0 & 0
\end{pmatrix}.
\]

Let \( A_X \) denote the block matrix \( \{[X_j X_k]\}_{m \times m} \) of operators. Consequently, for any polynomial \( p \) in \( m \) variables, we see that
\[
p(T_X) = \begin{pmatrix}
p(\omega) I & Dp(\omega) \cdot X & \frac{1}{2} D^2 p(\omega) \cdot A_X \\
0 & p(\omega) I & Dp(\omega) \cdot X \\
0 & 0 & p(\omega) I
\end{pmatrix}.
\]

Therefore, extending this definition to functions in \( H^\infty(\Omega) \), we obtain the algebra homomorphism \( \mu^{(\omega)}_X : H^\infty(\Omega) \to \mathcal{B}(H \oplus H \oplus H) \), which for any polynomial \( p \) is given by the formula \( \mu^{(\omega)}_X(p) = p(T_X) \) and is defined for \( f \) in \( H^\infty(\Omega) \) by the same formula. Suppose \( \Omega \) is the polydisc \( \mathbb{D}^m \). Then, for \( m = 1, 2 \), we know that \( \mu^{(0)}_X := \mu_X \) is a contractive homomorphism. What about \( m > 2 \)?

Consider the operators \( A_1, A_2 \) and \( A_3 \) as defined in the Section 2.3. Consider \( T_{A_1}, T_{A_2} \) and \( T_{A_3} \), the operators of type \( \text{V II} \) and of order 2. Consider the Varopoulos-Kaijser polynomial \( p_v \). From the computation in [Var74], we get
\[
\left\| p_v(T_{A_1}, T_{A_2}, T_{A_3}) \right\| = \left\| \sum_{j,k=1}^3 a_{jk} A_k A_j \right\| = 3 \sqrt{3},
\]
where $\left\| (a_{jk}) \right\| = A_\psi$. Therefore

$$\left\| p_\psi (T_{A_1}, T_{A_2}, T_{A_3}) \right\| > \left\| p_\psi \right\|_{D^3, \infty} = 5.$$ 

Hence $\mu_X$ corresponding to the tuple $X = (A_1, A_2, A_3)$ of commuting contractions $A_1, A_2$ and $A_3$ is not contractive.

We need a version of “the zero lemma” one final time which is adapted to apply directly to the functional calculus for operators of the type $V_{II}$. This variant is also proved exactly the same way as before.

**Lemma 3.1.** The homomorphism $\mu_X^{(\omega)}$ is contractive if and only if $\left\| \mu_X^{(\omega)} (f) \right\| \leq 1$ for all $f$ in $H_{\infty}^{\infty} (\Omega, D)$.

If $\Omega$ is the unit disc $D$ and $\omega = 0$, then we have the following theorem.

**Theorem 3.2.** Suppose $\mathcal{H}$ is a separable Hilbert space and $X \in \mathcal{B}(\mathcal{H})$ with $\|X\| \leq 1$. Then for homomorphism $\mu_X$, we get $\sup \left\{ \| \mu_X (p) \| : p \in \mathcal{P}_1^0 (D, D) \right\} = \sup \left\{ \| \mu_X (f) \| : f \in H_{\infty}^{\infty} (D, D) \right\}$.

**Proof.** We have $\sup \left\{ \| \mu_X (p) \| : p \in \mathcal{P}_1^0 (D, D) \right\} = \|X\|$ by definition. Fix $f \in H_{\infty}^{\infty} (D, D)$, and assume that $f$ is represented in the unit disc $D$ by the convergent power series $\sum_{j=1}^{\infty} a_n z^n$. Then

$$\left\| \mu_X (f) \right\| = \left\| \mathcal{T} (a_1 X, a_2 X^2) \right\| \leq \|X\| \left\| \mathcal{T} (a_1 I, a_2 X) \right\| .$$

Also $\|f\|_{D, \infty} = \left\| \mathcal{T} (a_1, a_2) \right\|$, therefore

$$\frac{\| \mu_X (f) \|}{\|f\|_{D, \infty}} \leq \frac{\|X\| \left\| \mathcal{T} (a_1 I, a_2 X) \right\|}{\left\| \mathcal{T} (a_1, a_2) \right\|} \leq \|X\| .$$

Hence

$$\sup \left\{ \| \mu_X (p) \| : p \in \mathcal{P}_1^0 (D, D) \right\} = \sup \left\{ \| \mu_X (f) \| : f \in H_{\infty}^{\infty} (D, D) \right\} = \|X\| .$$

\[\square\]

For two commuting contractions $X_1, X_2 \in \mathcal{B}(\mathcal{H})$, let $X = (X_1, X_2)$ and $T_{X_1}, T_{X_2}$ be the operators of type $V_{II}$ and order 2. Setting $\Omega = D^2$, and $\omega = 0$, we see that the homomorphism $\mu_X$ is contractive via Ando’s theorem. Hence for $f \in H_{\infty}^{\infty} (D^2, D)$, we have

$$\sup_X \left\| \mathcal{T} \left( \frac{1}{2} D_f (0) \cdot X, D_f (0) \cdot A_X \right) \right\| \leq 1,$$

where the supremum is taken over all pairs of commuting contractions $X = (X_1, X_2)$. Thus we have proved the following theorem.
3.2 The von-Neumann Inequality in One variable

**Theorem 3.3.** Let \( f \in H^\infty(\mathbb{D}^2, \mathbb{C}) \). Then

\[
\sup \left\| \mathcal{T} \left( \frac{\partial f}{\partial z_1}(0)X_1 + \frac{\partial f}{\partial z_2}(0)X_2, \frac{1}{2} \sum_{i,j=1}^2 \frac{\partial^2 f}{\partial z_i \partial z_j}(0)X_iX_j \right) \right\| \leq 1,
\]

where the supremum is taken over all pairs of commuting contractions \( X_1, X_2 \in \mathcal{B}(\mathbb{H}) \), is a necessary condition for \( f \) to map \( \mathbb{D}^2 \) to \( \mathbb{D} \).

In what follows, we show that the supremum in (2.23) is the same as the one appearing in Theorem 3.3. We then proceed to compute it explicitly. Let \((B)_1\) denote the open unit ball of the Banach space \( B \). Let \( \Omega \) be a domain in \( \mathbb{C}^m \) and \( k \in \mathbb{N} \). We shall denote the set of all \( M_k \)-valued polynomials in \( m \) variables by \( \mathcal{P}(\mathbb{C}^m, M_k) \). The symbol \( \mathcal{P}_n(\mathbb{C}^m, M_k) \) will denote the set of all polynomials in \( \mathcal{P}(\mathbb{C}^m, M_k) \) which are of degree at most \( n \). For any \( \omega \in \Omega \), we shall denote \( \mathcal{P}_n^{(\omega)}(\mathbb{C}^m, M_k) := \{ p \in \mathcal{P}_n(\mathbb{C}^m, M_k) : p(\omega) = 0 \} \) and \( \mathcal{P}_n(\omega, (M_k)_1) := \{ p \in \mathcal{P}_n^{(\omega)}(\mathbb{C}^m, M_k) : \| p \|_{\Omega, \infty} \leq 1 \} \), where \( \| p \|_{\Omega, \infty} = \sup \{ \| p(z) \|_{op} : z \in \Omega \} \).

Our attempt here to find a solution to the extremal problem stated in the Theorem 3.3 leads naturally to an independent verification of the von-Neumann inequality for pairs of commuting contractions of type \( \mathcal{V} \mathcal{I} \).

### 3.2 The von-Neumann Inequality in One variable

In what follows the following lemma is needed.

**Lemma 3.4.** If \( F(z) = A_1 + A_2 z + A_3 z^2 + \cdots \) is an analytic map on \( \mathbb{D} \) taking values in \( (M_k)_1 \), then \( \mathcal{T}(A_1, A_2) \) has norm at most 1.

**Proof.** Suppose \( \phi_{-A_1} : (M_k)_1 \to (M_k)_1 \) is an analytic map defined by

\[
\phi_{-A_1}(C) = (I - A_1 A_1^*)^{-\frac{1}{2}}(C - A_1)(I - A_1^* C)^{-1}(I - A_1^* A_1)^{\frac{1}{2}}.
\]

Then \( \phi_{-A_1} \circ F \) maps \( \mathbb{D} \) to \( (M_k)_1 \) with \( (\phi_{-A_1} \circ F)(0) = 0 \).

\[
(\phi_{-A_1} \circ F)'(0) = \phi_{-A_1}'(F(0))F'(0) = (I - A_1 A_1^*)^{-\frac{1}{2}}A_2(I - A_1^* A_1)^{-\frac{1}{2}}
\]

Schwarz’s lemma implies that \( (\phi_{-A_1} \circ F)'(0) \) is a contractive linear map from \( \mathbb{C} \) to \( M_k \) and therefore

\[
\left\| (I - A_1 A_1^*)^{-\frac{1}{2}}A_2(I - A_1^* A_1)^{-\frac{1}{2}} \right\| \leq 1.
\]

Now due to Parrott’s theorem, we conclude that \( \| \mathcal{T}(A_1, A_2) \| \leq 1 \). \( \square \)
The theorem below proves the von-Neumann inequality (involving matrix valued polynomials) for operators of type \( \text{VII} \) and order 2.

The homomorphism \( \mu_X^{(\omega)} \) naturally extends to the algebra \( H^\infty(\Omega) \otimes M_k \) by tensoring with the identity map \( I_k \) on the \( k \times k \) matrices \( M_k \). Thus

\[
\mu_X^{(\omega)} \otimes I_k : H^\infty(\Omega) \otimes M_k \to \mathcal{B}(\mathbb{H} \otimes \mathbb{C}^3) \otimes M_k
\]

is given by the formula

\[
\mu_X^{(\omega)} \otimes I_k(F) = A_0 \otimes I_k + A_1 \otimes T_X + A_2 \otimes T^2_X + \cdots
\]

(3.1)

**Theorem 3.5.** Let \( X \) be a contraction on some Hilbert space \( \mathbb{H} \) and \( T_X \) be the operator of type \( \text{VII} \) and order 2. If \( P \in \mathcal{P}_n(\mathbb{D}, (M_k)_1) \) then, \( \|P(T_X)\| \leq 1 \).

**Proof.** The zero lemma 3.1 is easy to prove for the homomorphism \( \mu_X^{(\omega)} \otimes I_k \). The proof now involves finding an automorphism of the unit ball (with respect to the operator norm) in the \( k \times k \) matrices taking \( P(\omega) \) to 0. Since this group of automorphisms is known to be transitive, the proof of the zero lemma even for matrix valued polynomials is same in spirit to the ones given before. We therefore assume, without loss generality, that \( P(0) = 0 \). Thus for any polynomial \( P(z) = A_1 z + A_2 z^2 + \cdots + A_n z^n \), we have

\[
P(T_X) := \mu_X \otimes I_k(P) = \begin{pmatrix} 0 & A_1 \otimes X & A_2 \otimes X^2 \\ 0 & 0 & A_1 \otimes X \\ 0 & 0 & 0 \end{pmatrix}
\]

and hence

\[
\|P(T_X)\| = \left\| \begin{pmatrix} A_1 \otimes X & A_2 \otimes X^2 \\ I \otimes X & 0 \end{pmatrix} \right\|
\]

\[
= \left\| \begin{pmatrix} I \otimes X & 0 \\ 0 & I \end{pmatrix} \left( \begin{pmatrix} A_1 \otimes I & A_2 \otimes I \\ 0 & A_1 \otimes I \end{pmatrix} \right) \left( \begin{pmatrix} 0 & I \otimes X \\ I & 0 \end{pmatrix} \right) \right\|.
\]

Since \( \|X\| \leq 1 \), it follows that \( \|P(T_X)\| \leq \|\mathcal{J}(A_1, A_2)\| \). Now using the Lemma 3.4, we get \( \|P(T_X)\| \leq 1 \). \( \square \)
3.3 Ando’s Theorem for the Operators of type V II and order 2

The zero lemma 3.1, modified as in the previous section, applies to the case of matrix valued polynomials in any number of variables. In this form, it is stated in the papers [MNS90, Pau92]. Consequently it is enough, without loss of generality, that the homomorphisms we consider below are defined only on polynomials with \( P(0) = 0 \). We now recall the commutant lifting theorem (cf. [DMP68, Theorem 4]), which we use in the proof of the lemma below.

**Theorem 3.6.** Let \( T \) be a contraction on a Hilbert space \( \mathbb{H} \), \( U \) be its minimal co-isometric dilation acting on some Hilbert space \( \mathbb{K} \), and \( R \) be an operator on \( \mathbb{H} \) commuting with \( T \). Then there is an operator \( S \) on \( \mathbb{K} \) commuting with \( U \) such that

\[
S \mathbb{H} \subset \mathbb{H}, \quad \| S \| = \| R \| \quad \text{and} \quad R^m T^n = P_{\mathbb{H}} S^m U^n |_{\mathbb{H}} \quad \forall \ m, n \geq 0.
\]

Let \( X_1 \) and \( X_2 \) be two commuting contractions on a Hilbert space \( \mathbb{H} \) and \( T_{X_1}, T_{X_2} \) be the operators of type V II and order 2 respectively. Let

\[
P(z_1, z_2) = \sum_{k=1}^{n} \sum_{p+q=k} A_{pq} z_1^p z_2^q
\]

be in \( \mathcal{P}_n^{(0)} (\mathbb{C}^2, M_l) \). Evaluating the polynomial \( P \) on the commuting pair of contractions \( T_{X_1}, T_{X_2} \), we get

\[
P(T_{X_1}, T_{X_2}) = \begin{pmatrix}
0 & \sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q & \sum_{p+q=2} A_{pq} \otimes X_1^p X_2^q \\
0 & 0 & \sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q \\
0 & 0 & 0
\end{pmatrix}
\]

and hence

\[
\| P(T_{X_1}, T_{X_2}) \| = \left\| \begin{pmatrix}
\sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q & \sum_{p+q=2} A_{pq} \otimes X_1^p X_2^q \\
0 & \sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q
\end{pmatrix} \right\|.
\]

**Lemma 3.7.** For any polynomial \( P \) in \( \mathcal{P}_n^{(0)} (\mathbb{C}^2, M_l) \), \( \| P(T_{X_1}, T_{X_2}) \| \leq 1 \) for all commuting contractions \( X_1, X_2 \) if and only if \( \| P(T_{X_1}, T_{X_2}) \| \leq 1 \) for all commuting pairs \( X_1, X_2 \) with \( X_1 \) is co-isometry and \( X_2 \) contractive.
Proof. Let $X_1$ and $X_2$ be any two commuting contractions. Let $U : \mathcal{K} \to \mathcal{K}$ be the minimal co-isometric dilation of $X_1$. From commutant lifting theorem there exists an operator $S : \mathcal{K} \to \mathcal{K}$ such that

$$\|S\| = \|X_2\|, SU = US$$

and $X_2^m X_1^n = P_{\mathcal{K}} S^m U^n |_{\mathcal{K}}$ for all $m, n \in \mathbb{N}_0$.

Let $T_U$ and $T_S$ be the operators of type $\text{VII}$ and order 2. Setting $\tilde{\mathcal{H}} = C^l \otimes \mathbb{H} \otimes C^l \otimes \mathbb{H}$, we have

$$P(\mathcal{H}_T) \left( A_{10} \otimes U + A_{01} \otimes S, A_{20} \otimes U^2 + A_{11} \otimes US + A_{02} \otimes S^2 \right) |_{\tilde{\mathcal{H}}}$$

$$= \mathcal{T} \left( \sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q, \sum_{p+q=2} A_{pq} \otimes X_1^p X_2^q \right).$$

Thus for any polynomial $P$ of the form

$$P(z_1, z_2) = \sum_{k=1}^{n} \sum_{p+q=k} A_{pq} z_1^p z_2^q$$

mapping $\mathbb{D}^2$ into $(M_l)_1$, we have $\|P(T_U, T_S)\| \geq \|P(T_{X_1}, T_{X_2})\|$ completing the proof of the lemma.

Theorem 3.8. Let $T_{X_1}$ and $T_{X_2}$ be commuting contractions of type $\text{VII}$ and order 2. We have $\|P(T_{X_1}, T_{X_2})\| \leq \|P\|_{D^2, \infty}$ for any matrix valued polynomial $P$ in two variables.

Proof. Let $P$ be a polynomial in two variables of the form

$$P(z_1, z_2) = \sum_{k=1}^{n} \sum_{p+q=k} A_{pq} z_1^p z_2^q, A_{pq} \in M_l,$$

with $\|P\|_{D^2, \infty} \leq 1$. For $\lambda \in \mathbb{D}$,

$$p_\lambda(z_1) := P(z_1, \lambda z_1) = (A_{10} + A_{01} \lambda) z_1 + (A_{20} + A_{11} \lambda + A_{02} \lambda^2) z_1^2 + ...$$

maps $\mathbb{D}$ to $(M_l)_1$. Therefore for each $\lambda \in \mathbb{D}$,

$$\left\| \begin{pmatrix} A_{10} + A_{01} \lambda & A_{20} + A_{11} \lambda + A_{02} \lambda^2 \\ 0 & A_{10} + A_{01} \lambda \end{pmatrix} \right\| \leq 1,$$

which is equivalent to

$$\|\mathcal{T}(A_{10}, A_{20}) + \mathcal{T}(A_{01}, A_{11}) \lambda + \mathcal{T}(0, A_{02}) \lambda^2\| \leq 1,$$
3.4 Solution to the Extremal Problem

for all $\lambda \in \mathbb{D}$. Define $f : \mathbb{D} \to (M_2)_1$ by

$$f(\lambda) = \mathcal{T}(A_{10}, A_{20}) + \mathcal{T}(A_{01}, A_{11}) \lambda + \mathcal{T}(0, A_{02}) \lambda^2.$$ 

Let $X_1$ be a co-isometry operator and $X_2$ be an arbitrary contraction such that $X_1X_2 = X_2X_1$. If $Y := X_2X_1^*$, then

$$f(Y) = \mathcal{T}(A_{10} \otimes I + A_{01} \otimes Y, A_{20} \otimes I + A_{11} \otimes Y + A_{02} \otimes Y^2).$$

An easy computation gives

$$\begin{pmatrix}
A_{10} \otimes X_1 + A_{01} \otimes X_2 & A_{20} \otimes X_1^2 + A_{11} \otimes X_2X_1 + A_{02} \otimes X_2^2 \\
0 & A_{10} \otimes X_1 + A_{01} \otimes X_2
\end{pmatrix} = \begin{pmatrix}
I \otimes X_1 & 0 \\
0 & I
\end{pmatrix} f(Y) \begin{pmatrix}
I & 0 \\
0 & I \otimes X_1
\end{pmatrix}.$$ 

Therefore,

$$\left\| \mathcal{T} \left( \sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q, \sum_{p+q=2} A_{pq} \otimes X_1^p X_2^q \right) \right\| \leq \left\| f(X_2X_1^*) \right\|$$

and since $X_2X_1^*$ is a contraction, therefore by the von-Neumann inequality, we have

$$\left\| \mathcal{T} \left( \sum_{p+q=1} A_{pq} \otimes X_1^p X_2^q, \sum_{p+q=2} A_{pq} \otimes X_1^p X_2^q \right) \right\| \leq 1.$$ 

This completes the proof of the theorem. $\square$

3.4 Solution to the Extremal Problem

In this section we shall calculate the supremum occurring in Theorem 2.33 and Theorem 3.3.

Let $B$ be the bilateral shift on $\ell^2(\mathbb{Z})$ and $C^*(B)$ be the commutative unital $C^*$ algebra generated by $B$. Hence $C^*(B)$ is isometrically isomorphic to the $C^*$- algebra of continuous functions $C(\sigma(B))$, where $\sigma(B) = \mathbb{T}$ is the unit circle in $\mathbb{C}$. This isometric isomorphism, which we denote by $\tau$, is defined by the rule $\tau(f) = f(B^*)$. Consequently, for any $k \in \mathbb{N}$, the map

$$\tau \otimes I_k : C(\mathbb{T}) \otimes M_k \to \mathcal{B}(\ell^2(\mathbb{Z})) \otimes M_k$$

is also a $*$- isometric monomorphism. In particular, for any $P \in \mathcal{P}(C, M_k)$, we have

$$\|P\|_{\mathbb{D}, \infty}^{op} = \|P(B^*)\|.$$ (3.2)
In the proof of the Theorem 3.8, we have seen that in solving the extremal problem
\[
\sup \left\| \mathcal{J} \left( \frac{\partial f}{\partial z_1}(0)X_1 + \frac{\partial f}{\partial z_2}(0)X_2, \frac{1}{2} \sum_{i,j=1}^{2} \frac{\partial^2 f}{\partial z_i \partial z_j}(0)X_i X_j \right) \right\|
\]
over all commuting contractions \(X_1, X_2 \in \mathcal{B}(\mathcal{H})\), we may assume without loss of generality that \(X_1 = I\). Therefore the supremum in Theorem 3.3 is equal to the
\[
\sup \left\| \mathcal{J} \left( \frac{\partial f}{\partial z_1}(0)I + \frac{\partial f}{\partial z_2}(0)X, \frac{1}{2} \sum_{i,j=1}^{2} \frac{\partial^2 f}{\partial z_i \partial z_j}(0)X \right) \right\|
\]
where the supremum is taken over all contractions \(X\).

Let \(P\) be the polynomial (taking values in \(2 \times 2\) matrices \(M_2\))
\[
P(\lambda) = \mathcal{J} \left( \frac{\partial f}{\partial z_1}(0), \frac{\partial^2 f}{\partial z_1^2}(0) \right) + \mathcal{J} \left( \frac{\partial f}{\partial z_2}(0), \frac{\partial^2 f}{\partial z_2^2}(0) \right) \lambda \mathcal{J} \left( 0, \frac{1}{2} \frac{\partial^2 f}{\partial z_2^2}(0) \right)
\]
We have
\[
\sup_{x_1, x_2 \in \mathbb{D}} \left\| \mathcal{J} \left( \frac{\partial f}{\partial z_1}(0)x_1 + \frac{\partial f}{\partial z_2}(0)x_2, \frac{1}{2} \sum_{i,j=1}^{2} \frac{\partial^2 f}{\partial z_i \partial z_j}(0)x_i x_j \right) \right\| = \|P\|_{D, \infty}^{op}
\]
and for any contraction \(X\), an application of the von-Neumann inequality gives \(\|P(X)\| \leq \|P\|_{D, \infty}^{op}\). From (3.2) we have, \(\|P\|_{D, \infty}^{op} = \|P(B^*)\|\). Therefore, \(\sup\|P(X)\| = \|P(B^*)\|\) and hence supremum in (3.3), Theorem 2.33 and Theorem 3.3 are equal to
\[
\left\| \mathcal{J} \left( \frac{\partial f}{\partial z_1}(0)I + \frac{\partial f}{\partial z_2}(0)B^*, \frac{1}{2} \frac{\partial^2 f}{\partial z_1^2}(0)I + \frac{\partial^2 f}{\partial z_1 \partial z_2}(0)B^* + \frac{1}{2} \frac{\partial^2 f}{\partial z_2^2}(0)B^{*2} \right) \right\|
\]
Thus Theorem 2.33 and Theorem 3.3 are equivalent to the following theorem.

**Theorem 3.9.** For any \(f \in H_0^\infty(\mathbb{D}^2, \mathbb{D})\),
\[
\left\| \mathcal{J} \left( \frac{\partial f}{\partial z_1}(0)I + \frac{\partial f}{\partial z_2}(0)B^*, \frac{1}{2} \frac{\partial^2 f}{\partial z_1^2}(0)I + \frac{\partial^2 f}{\partial z_1 \partial z_2}(0)B^* + \frac{1}{2} \frac{\partial^2 f}{\partial z_2^2}(0)B^{*2} \right) \right\| \leq 1.
\]
The following corollary is essentially a restatement of Theorem 3.9. However, it is worded to make the necessary condition for the CF problem inherent in this theorem, evident.

**Corollary 3.10.** If \(p\) is any complex valued polynomial in two variables of degree at most 2 with \(p(0) = 0\), then
\[
\left\| \mathcal{J} \left( \frac{\partial p}{\partial z_1}(0)I + \frac{\partial p}{\partial z_2}(0)B^*, \frac{1}{2} \frac{\partial^2 p}{\partial z_1^2}(0)I + \frac{\partial^2 p}{\partial z_1 \partial z_2}(0)B^* + \frac{1}{2} \frac{\partial^2 p}{\partial z_2^2}(0)B^{*2} \right) \right\| \leq 1
\]
is a necessary condition for the existence of a holomorphic function \(q : \mathbb{D}^2 \to \mathbb{C}\), with \(q^{(k)}(0) = 0, |k| \leq 2\), such that \(\|p + q\|_{D, \infty} \leq 1\).
3.4 Solution to the Extremal Problem

In the Chapter 4, we will give another proof of Theorem 3.9 and investigate the question of the converse.
4 The Korányi-Pukánszky Theorem and CF Problems

4.1 The Korányi-Pukánszky Theorem

We recall the following theorem of Korányi and Pukánszky proved in [KP63, Corollary, Page 452]. This gives a necessary and sufficient condition for the range of a holomorphic function defined on the polydisc $D^n$ to be in the right half plane $H_+$. 

**Theorem 4.1** (Korányi-Pukánszky Theorem). If the power series $\sum_{\alpha \in \mathbb{N}_0^n} a_\alpha z^\alpha$ represents a holomorphic function $f$ on the polydisc $D^n$, then $\Re(f(z)) \geq 0$ for all $z \in D^n$ if and only if the map $\phi: \mathbb{Z}^n \to \mathbb{C}$ defined by

$$\phi(\alpha) = \begin{cases} 2\Re a_\alpha & \text{if } \alpha = 0 \\ a_\alpha & \text{if } \alpha > 0 \\ a_{-\alpha} & \text{if } \alpha < 0 \\ 0 & \text{otherwise} \end{cases}$$

is positive, that is, the $k \times k$ matrix $\left(\phi(m_i - m_j)\right)$ is non-negatively definite for every choice of $m_1, \ldots, m_k \in \mathbb{Z}^n$.

We will call the function $\phi$, the Korányi-Pukánszky function corresponding to the coefficients $(a_\alpha)_{\alpha \in \mathbb{N}_0^n}$.

Let us revisit the (CF) problem of realizing a polynomial $p \in \mathbb{C}[Z_1, \ldots, Z_n]$ of degree $d$ as the first $d$ terms of the power series expansion of an analytic function $f \in H^\infty(D^n)$ with $\|f\|_{D^n, \infty} \leq 1$.

4.2 The planar Case

Although, we state the problem below for polynomials of degree 2, our methods apply to the general case.
Problem 4.2. Fix $p$ to be the polynomial $p(z) = az + bz^2$. Find a necessary and sufficient condition for the existence of a holomorphic function $g$ defined on the unit disc $\mathbb{D}$ with $g^{(k)}(0) = 0$, $k = 0, 1, 2$, such that $\|p + g\|_{\mathbb{D}, \infty} \leq 1$.

We note that the condition on the range of a holomorphic function given in the theorem of Korányi and Pukánszky can be easily converted into a condition where the range is required to be in the unit disc $\mathbb{D}$. For this consider the Cayley map $\chi: \mathbb{D} \rightarrow H_+$ into the right half plane defined by

$$
\chi(z) = \frac{1 + z}{1 - z},
$$

which is a bi-holomorphism. Let $f \in H^\infty(\mathbb{D})$ be given by the power series $f(z) = \sum_{n=1}^{\infty} a_n z^n$. Assume that $f$ maps $\mathbb{D}$ to $\mathbb{D}$. This happens if and only if $\chi \circ f$ maps $\mathbb{D}$ to $H_+$. Also,

$$
\chi \circ f(z) = \frac{1 + f(z)}{1 - f(z)} = 2 \left( c_0 + \sum_{n=1}^{\infty} c_n z^n \right),
$$

where $c_0 = 1/2$ and the new coefficients $c_n$ are as in the lemma below. In this section, we set $c_0 = 1/2$, wherever it occurs.

Lemma 4.3. The coefficient $c_n$ in equation (4.1) is given by $a_n + \sum_{j=1}^{n-1} a_j c_{n-j}$ for $n \geq 1$.

Proof. Consider the expression

$$
\chi \circ f(z) = 2 \left( c_0 + \sum_{n=1}^{\infty} c_n z^n \right) = 2 \left( \frac{1}{2} + f(z) + f(z)^2 + f(z)^3 + \cdots \right).
$$

Rewriting, we get

$$
\frac{1}{1 - f(z)} = 1 + \sum_{n=1}^{\infty} c_n z^n.
$$

Hence, we have

$$
\left( 1 + \sum_{n=1}^{\infty} c_n z^n \right) \left( 1 - \sum_{n=1}^{\infty} a_n z^n \right) = 1.
$$

A comparison of the coefficients completes the verification.

Remark 4.4. Applying Theorem 4.1 to $\chi \circ f$, we conclude that $f$ maps $\mathbb{D}$ to $\mathbb{D}$ if and only if the Korányi-Pukánszky function $\phi$ corresponding to coefficients $(c_n)_{n=0}^\infty$ is positive.
Matrix of $\phi$: The matrix $(\phi(j-k))_{j,k}$ is given by

\[
\begin{pmatrix}
\ddots & -1 & 0 & 1 & \cdots \\
-1 & \ddots & \ddots & \ddots & \\
0 & \cdots & c_1 & 1 & \ddots \\
1 & \cdots & c_2 & c_1 & 1 & \ddots \\
\vdots & \ddots & \ddots & \ddots & \ddots & \ddots & \ddots
\end{pmatrix}
\]

(4.2)

Therefore, we can rewrite the Problem 4.2 in the equivalent form:

**Problem 4.5.** Let $p$ be a polynomial of the form $p(z) = a_1 z + a_2 z^2$. There exists a holomorphic function $q$, $q^{(k)}(0) = 0$ for $k = 0, 1, 2$, defined on the unit disc $\mathbb{D}$, such that $\|p + q\|_{\mathbb{D}, \infty} \leq 1$ if and only if

\[
\begin{pmatrix}
1 & \bar{c}_1 & \bar{c}_2 \\
\bar{c}_1 & 1 & \bar{c}_1 \\
\bar{c}_2 & c_1 & 1 \\
\bar{c}_n & c_{n-1} & c_{n-2}
\end{pmatrix}
\]

is non-negative definite and for $j > 2$, there exists $c_j \in \mathbb{C}$ such that the Korányi-Pukánszky function $\phi$ corresponding to $(c_n)_{n \in \mathbb{N}_0}$ is positive.

### 4.3 Alternative proof of Theorem 2.30

Suppose $f$ is an analytic function on the unit disc $\mathbb{D}$ with $\|f\|_{\mathbb{D}, \infty} \leq 1$ and that $f(z) = \sum_{n=1}^{\infty} a_n z^n$ is its power series expansion in the unit disc $\mathbb{D}$. Then $\chi \circ f(z)$ has the power series $2(c_0 + \sum_{n=1}^{\infty} c_n z^n)$ in the unit disc $\mathbb{D}$, where $c_0 = 1/2$ and $c_n$ is of the form prescribed in the Lemma 4.3. In this section also, we set $c_0 = 1/2$, wherever it occurs. Let $C_n, A_n$ and $P_n$ denote

\[
(C_n :=)
\begin{pmatrix}
1 & \bar{c}_1 & \bar{c}_2 & \cdots & \bar{c}_n \\
c_1 & 1 & \bar{c}_1 & \cdots & \bar{c}_{n-1} \\
c_2 & c_1 & 1 & \cdots & \bar{c}_{n-2} \\
\vdots & \vdots & \vdots & \ddots & \ddots \\
c_n & c_{n-1} & c_{n-2} & \cdots & 1
\end{pmatrix}
\]

\[
(A_n :=)
\begin{pmatrix}
a_1 & a_2 & a_3 & \cdots & a_n \\
0 & a_1 & a_2 & \cdots & a_{n-1} \\
0 & 0 & a_1 & \cdots & a_{n-2} \\
0 & 0 & 0 & \cdots & a_1
\end{pmatrix}
\]
4 The Korányi-Pukánszky Theorem and CF Problems

and

\[
(P_n := ) \begin{pmatrix}
1 & -a_1 & -a_2 & \cdots & -a_n \\
0 & 1 & -a_1 & \cdots & -a_{n-1} \\
\vdots & \vdots & \ddots & \ddots & \vdots \\
0 & 0 & 0 & \cdots & -a_1 \\
0 & 0 & 0 & \cdots & 1
\end{pmatrix}
\]

respectively for each \( n \in \mathbb{N} \).

**Lemma 4.6.** If \( a_1, a_2 \in \mathbb{C} \), then \(|a_1|^2 + |a_2| \leq 1\) if and only if the matrix \( C_2 \) is non-negative definite.

**Proof.** Since \(|a_1|^2 + |a_2| \leq 1\), it follows that \( \|A_2\| \leq 1\). It is equivalent to the positivity of the following matrix

\[
\begin{pmatrix}
1 - A_2 A_2^* & 0 \\
0 & 1
\end{pmatrix} = \begin{pmatrix}
1 - (|a_1|^2 + |a_2|^2) & -a_2 a_1 \\
-a_1 a_2 & 1 - |a_1|^2 \\
0 & 0 & 1
\end{pmatrix} = P_2 C_2^t P_2^*.
\]

Since \( P_2 \) is an invertible matrix, the positivity of \( P_2 C_2^t P_2^* \) is equivalent to \( C_2^t \) being non-negative definite. Thus, we conclude that \( C_2 \) is non-negative definite.

**Lemma 4.7.** For all \( n \in \mathbb{N} \), \( P_n C_n^t P_n^* = (I - A_n A_n^*) \oplus 1 \).

**Proof.** We shall prove the result by induction on \( n \). The case \( n = 1 \) follows from the Lemma 4.6. Assume the result upto \( n - 1 \) for \( n > 1 \). For each \( n \in \mathbb{N} \), let

\[
\tilde{P}_n := (-a_n, -a_{n-1}, \ldots, -a_1)^t \text{ and } \tilde{C}_n := (c_n, c_{n-1}, \ldots, c_1)^t.
\]

The verification of the identity

\[
P_n C_n^t P_n^* = \begin{pmatrix}
P_{n-1} & \tilde{P}_n \\
0 & 1
\end{pmatrix} \begin{pmatrix}
C_{n-1}^t & \tilde{C}_n \\
\tilde{C}_n^* & 1
\end{pmatrix} \begin{pmatrix}
P_{n-1}^* & 0 \\
0 & 1
\end{pmatrix}
\]

is easy. Hence

\[
P_n C_n^t P_n^* = \begin{pmatrix}
P_{n-1} C_{n-1}^t P_{n-1}^* + \tilde{P}_n \tilde{C}_n^* P_{n-1}^* + \tilde{P}_n (P_{n-1} \tilde{C}_n + \tilde{P}_n) P_{n-1}^* & P_{n-1} \tilde{C}_n + \tilde{P}_n \\
P_{n-1} \tilde{C}_n^* + \tilde{P}_n^* & 1
\end{pmatrix}.
\]

From the Lemma 4.3, we have \( P_{n-1} \tilde{C}_n + \tilde{P}_n = 0 \) and therefore we conclude that

\[
P_n C_n P_n^* = \begin{pmatrix}
P_{n-1} C_{n-1}^t P_{n-1}^* + \tilde{P}_n \tilde{C}_n^* P_{n-1}^* & 0 \\
0 & 1
\end{pmatrix}.
\]
4.3 Alternative proof of Theorem 2.30

Now

\[
\tilde{P}_n \tilde{C}_n P_{n-1}^* = \begin{pmatrix} -a_n \\ \vdots \\ -a_1 \end{pmatrix} \begin{pmatrix} \bar{c}_n - \sum_{i=1}^{n-1} a_i c_{n-i} \\ \bar{c}_{n-1} - \sum_{i=1}^{n-2} a_i c_{n-i} \\ \cdots \\ \bar{c}_1 \end{pmatrix}.
\]

From the Lemma 4.3, we get

\[
\tilde{P}_n \tilde{C}_n P_{n-1}^* = \begin{pmatrix} -a_n \\ \vdots \\ -a_1 \end{pmatrix} \begin{pmatrix} \bar{a}_n \\ \cdots \\ \bar{a}_1 \end{pmatrix} = (-a_{n-1} \bar{a}_{n-1})^{n-1}.
\]

Also,

\[
I - A_k A_k^* = \begin{pmatrix} 1 - \sum_{j=1}^{k} |a_j|^2 & -\sum_{j=2}^{k} a_j \bar{a}_{j-1} & \cdots & -a_k \bar{a}_1 \\ -\sum_{j=2}^{k} \bar{a}_j a_{j-1} & 1 - \sum_{j=1}^{k-1} |a_j|^2 & \cdots & -a_{k-1} \bar{a}_1 \\ \vdots & \vdots & \ddots & \vdots \\ -a_1 \bar{a}_k & -a_1 \bar{a}_{k-1} & \cdots & 1 - |a_1|^2 \end{pmatrix}
\]

and therefore \(I - A_n A_n^* = (I - A_{n-1} A_{n-1}^*) \oplus 1 + (-a_{n-1} \bar{a}_{n-1})_{1 \leq j, l \leq k-1}. \) Thus \(I - A_n A_n^* = P_{n-1} C_{n-1}^* P_{n-1}^* + \tilde{P}_n \tilde{C}_n P_{n-1}^*, \) which completes the proof.

An immediate corollary is the following proposition.

**Proposition 4.8.** The matrix \(C_n\) is non-negative definite if and only if \(A_n\) satisfies \(\|A_n\| \leq 1.\)

In the theorem below we provide an alternative proof of the Theorem 2.30. The technique involved here is from the Section 3 of the paper of Parrott [Par78].

**Theorem 4.9.** Suppose \(a_1\) and \(a_2\) are two complex numbers. Then there exists \(f \in H^\infty(D),\) with \(\|f\|_{D, \infty} \leq 1,\) such that \(f(0) = 0, f'(0) = a_1, f''(0) = 2a_2\) if and only if \(|a_1|^2 + |a_2| \leq 1.\)

**Proof.** Assume \(f\) and \(\chi \circ f\) are as in (4.1). Then by Korányi-Pukánszky theorem 4.1, every principal submatrix of finite size of the matrix in (4.2) is non-negative definite. In particular, the matrix \(C_2\) is non-negative definite. From the Lemma 4.6 we conclude that \(|a_1|^2 + |a_2| \leq 1.\) Conversely, assume \(a_1, a_2 \in \mathbb{C}\) are such that \(|a_1|^2 + |a_2| \leq 1.\) Then,

\[
A_2 = \begin{pmatrix} a_1 & a_2 \\ 0 & a_1 \end{pmatrix}
\]
satisfies \( \|A_2\| \leq 1 \). Using Parrott's theorem, there exists \( a_3 \in \mathbb{C} \) such that

\[
A_3 = \begin{pmatrix}
a_1 & a_2 & a_3 \\
0 & a_1 & a_2 \\
0 & 0 & a_1
\end{pmatrix}
\]

has operator norm less than or equal to 1. Using the Lemma 4.3, we see that the matrix \( C_3 \) is non-negative definite. Repeatedly using the Parrott's theorem and the Lemma 4.3, one may ensure the existence of non-negative definite matrices \( C_n \), for all \( n > 3 \).

Hence the Korányi-Pukánszky function corresponding to \((c_n)_{n=0}^{\infty}\) is positive. Thus the function \( g(z) = \sum_n c_n z^n \) maps \( \mathbb{D} \) to \( \mathbb{H}^+ \) by Korányi-Pukánszky theorem 4.1. Hence from the Lemma 4.3, the function \( f = \chi^{-1} \circ g \) satisfies all the required conditions. \( \square \)

4.4 The case of two Variables

**Problem 4.10.** Fix \( p \in \mathbb{C}[Z_1, Z_2] \) to be the polynomial defined by

\[ p(z_1, z_2) = a_{10} z_1 + a_{01} z_2 + a_{20} z_1^2 + a_{11} z_1 z_2 + a_{02} z_2^2. \]

Find necessary and sufficient conditions for the existence of a holomorphic function \( q \) defined on the bi-disc \( \mathbb{D}^2 \) with \( q^{(k)}(0) = 0 \) for \( |k| \leq 2 \), such that \( \|p + q\|_{\mathbb{D}^2, \infty} \leq 1 \).

Let \( f \) be an analytic function on \( \mathbb{D}^2 \). Suppose \( f \) is represented by the power series

\[ f(z) = \sum_{m,n=0}^{\infty} a_{mn} z_1^m z_2^n \]

and \( a_{00} = 0 \). Also assume that \( f \) maps \( \mathbb{D}^2 \) into \( \mathbb{D} \). This happens if and only if \( \chi \circ f \) maps \( \mathbb{D}^2 \) to \( \mathbb{H}^+ \), where

\[ \chi \circ f(z) = (1 + f(z))(1 - f(z))^{-1} = 2 \left( c_{00} + \sum_{m,n=1}^{\infty} c_{mn} z_1^m z_2^n \right), \]

\( c_{00} = 1/2 \) and the coefficients \( c_{mn} \) are from the Lemma 4.13. In this section, we set \( c_{00} = 1/2 \), wherever it occurs. If \( \phi \) denotes the Korányi-Pukánszky function corresponding to the coefficients \( (c_{mn}) \), then \( \phi \) is positive.

**The matrix of \( \phi \):** For a fixed \( k \in \mathbb{Z} \), define \( P_k := \{(x, y) \mid x + y = k\} \). The sequence \( (P_k) \) is a sequence of disjoint subsets of \( \mathbb{Z}^2 \). Besides

\[ \bigcup_{k \in \mathbb{Z}} P_k = \mathbb{Z}^2. \]
An order on $\mathbb{Z}^2$, which we call the D-slice ordering, is defined below. Clearly, it is different from the usual co-lexicographic order. The matrix computations that follow are transparent because of the D-slice ordering that we use in describing the matrix of the Korányi-Pukánszky function $\phi$.

**Definition 4.11** (D-slice ordering). Suppose $(x_1, y_1) \in P_l$ and $(x_2, y_2) \in P_m$ are two elements in $\mathbb{Z}^2$. Then

1. If $l = m$, then $(x_1, y_1) < (x_2, y_2)$ is determined by the lexicographic ordering on $P_l \subseteq \mathbb{Z}^2$ and

2. if $l < m$ (resp., if $l > m$), then $(x_1, y_1) < (x_2, y_2)$ (resp., $(x_1, y_1) > (x_2, y_2)$).

The following theorem describes the Korányi-Pukánszky function $\phi$ with respect to the D-slice ordering on $\mathbb{Z}^2$.

**Theorem 4.12.** Let $(c_{mn})_{m,n \in \mathbb{N}_0}$ be an infinite array of complex numbers. The matrix of the Korányi-Pukánszky function $\phi$ in the D-slice ordering corresponding to this array is of the form

$$
\begin{pmatrix}
\cdots & P_{-1} & P_0 & P_1 & \cdots \\
\vdots & \vdots & \vdots & \vdots & \\
P_{-1} & \cdots & I & C_1^* & C_2^* & \cdots \\
P_0 & \cdots & C_1 & I & C_1^* & \cdots \\
P_1 & \cdots & C_2 & C_1 & I & \cdots \\
\vdots & \vdots & \vdots & \vdots & \\
\end{pmatrix}
$$

where $C_n := c_{n0}I + c_{n-1,1}B^* + \cdots + c_{0n}B^{*n}$, $n \in \mathbb{N}$.

**Proof.** With respect to the D-slice ordering on $\mathbb{Z}^2$, the matrix corresponding to the function $\phi$ is a doubly infinite block matrix, where $(k, n)$ element in $(l, m)$ block, which is $\phi((k, -k + l) - (n, -n + m))$. is computed as follows, separately, in three different cases:

First, let $k - n < 0$.

The quantity $\phi((k, -k + l) - (n, -n + m))$ is non-zero only if $k - n \geq l - m$. Hence if $l \geq m$, then $\phi((k, -k + l) - (n, -n + m)) = 0$. Now, assume $l < m$. In this case, the possible values for $k - n$ are $l - m, l - m + 1, \ldots, -1$, otherwise $\phi((k, -k + l) - (n, -n + m)) = 0$. For $p \in \{0, 1, \ldots, -l + m - 1\}$ and $k - n = l - m + p$, we have

$$
\phi((k, -k + l) - (n, -n + m)) = \overline{c}_{m-l-p, p}.
$$
Second, let \( k - n = 0 \).

\[
\phi(0, l - m) = \begin{cases} 
c_{0, l-m} & \text{if } l \geq m \\
c_{0, m-l} & \text{if } l < m
\end{cases}
\]

Finally, let \( k - n > 0 \).

The quantity \( \phi((k,-k+l)-(n,-n+m)) \) is non-zero only if \( k - n \leq l - m \). Hence if \( l \leq m \), then \( \phi((k,-k+l)-(n,-n+m)) = 0 \). Now, assume \( l > m \). In this case the possible values for \( k - n \) are \( l - m, l - m - 1, \ldots, 1 \) otherwise \( \phi((k,-k+l)-(n,-n+m)) \). For \( p \in \{0,1,\ldots,l-m-1\} \) and \( k - n = l - m - p \), we have

\[
\phi((k,-k+l)-(n,-n+m)) = c_{l-m-p,p}.
\]

Therefore, the \((l,m)\) block in the matrix of \( \phi \) is given exactly by the following rule:

1. \( C_{m-l}^* \) if \( l < m \),
2. \( C_{l-m} \) if \( l > m \),
3. \( I \) if \( m = l \).

Hence the matrix of the Korányi-Pukánszky function \( \phi \) in the D-slice ordering corresponding to the array \((c_{mn})\) is of the form

\[
\begin{pmatrix}
\cdots & P_{-1} & P_0 & P_1 & \cdots \\
\vdots & \vdots & \vdots & \vdots & \ddots \\
P_{-1} & \cdots & I & C_{1}^{*} & C_{2}^{*} & \cdots \\
P_0 & \cdots & C_{1} & I & C_{1}^{*} & \cdots \\
P_1 & \cdots & C_{2} & C_{1} & I & \cdots \\
\vdots & \vdots & \vdots & \vdots & \ddots & \ddots 
\end{pmatrix}
\]

Assume that the power series \( \sum_{j,k=0}^{\infty} a_{j,k} z_j^1 z_k^2 \), with \( a_{00} = 0 \), represents a holomorphic function \( f \) defined on the bi-disc and that \( \|f\|_{D^2,\infty} \leq 1 \). Let \( 2(c_{00} + \sum_{j,k=1}^{\infty} c_{j,k} z_1^j z_2^k) \) be the power series representation for \( \chi \circ f \) on the bi-disc \( D^2 \) for some choice of complex number \( c_{mn} \) which are determined from the coefficients \( a_{mn} \) of the function \( f \).

**Lemma 4.13.** For all \( n \in \mathbb{N} \), setting \( A_n := a_{n0}I + a_{n-1,1}B^* + \cdots + a_{0n}B^{*n} \), \( C_n = c_{n0}I + c_{n-1,1}B^* + \cdots + c_{0n}B^{*n} \), we have

\[
C_n = A_n + \sum_{j=1}^{n-1} A_j C_{n-j}.
\]
4.4 The case of two Variables

Proof. Let \( C(z_1, z_2) := \sum_{i,j=0}^{\infty} c_{ij} z_1^i z_2^j \). We have

\[
1 + f(z_1, z_2) + f(z_1, z_2)^2 + \cdots = \frac{(\chi \circ f)(z_1, z_2)}{2} + c_{00} = C(z_1, z_2).
\]

Thus \( C(z_1, z_2)(1 - f(z_1, z_2)) = 1 \), which is the same as

\[
(1 + c_{10} z_1 + c_{01} z_2 + c_{20} z_1^2 + c_{11} z_1 z_2 + c_{02} z_2^2 + \cdots) \times
(1 - a_{10} z_1 - a_{01} z_2 - a_{20} z_1^2 - a_{11} z_1 z_2 - a_{02} z_2^2 + \cdots) = 1.
\]

Now comparing the coefficient of \( z_1^{n-k} z_2^k \) we have

\[
c_{n-k,k} = \sum_{p=0}^{k} \sum_{j=k}^{n} a_{n-j,p} c_{j-k,k-p},
\]

where \( a_{00} = 0 \).

The coefficient of \( B^k \) in \( A_n + \sum_{i=1}^{n-1} A_i C_{n-i} \) is

\[
\begin{align*}
&= (a_{n-k,k} c_{00} + a_{n-k,k-1} c_{01} + a_{n-k-1,k} c_{10} + a_{n-k-2,k} c_{02} + \cdots) \\
&\quad + (a_{n-k-1,k} c_{11} + a_{n-k-2,k} c_{20} + \cdots) \\
&\quad + \cdots + (a_{0,k} c_{n-k,k} + a_{0,k-1} c_{n-k,k-1} + \cdots + a_{00} c_{n-k,k-2}) \\
&\quad = \sum_{p=0}^{k} \sum_{j=k}^{n} a_{n-j,p} c_{j-k,k-p}
\end{align*}
\]

completing the proof of the claim. \( \square \)

In view of the Theorem 4.12 and the Lemma 4.13, the CF Problem 4.10 takes the following form:

**Theorem 4.14.** For any polynomial \( p \) of the form

\[
p(z) = a_{10} z_1 + a_{01} z_2 + a_{20} z_1^2 + a_{11} z_1 z_2 + a_{02} z_2^2,
\]

there exists a holomorphic function \( q \), defined on the bi-disc \( \mathbb{D}^2 \), with \( q^{(k)}(0) = 0 \) for \( |k| = 0, 1, 2 \), such that

\[
\| p + q \|_{\mathbb{D}^2, \infty} \leq 1
\]
if and only if

\[
\begin{pmatrix}
I & C_1^* & C_2^* \\
C_1 & I & C_1^* \\
C_2 & C_1 & I
\end{pmatrix}
\]

is non-negative definite and for each \(k \geq 3\), there exists \(C_k = c_{k0} I + c_{k-1,1} B^* + \cdots + c_{0k} B^k\)
such that the Korányi-Pukánszky function \(\phi\) corresponding to \((c_{mn})_{m,n \in \mathbb{N}_0}\) is positive.

**Lemma 4.15.** If \(A_n\) and \(C_n\) are as defined above, then

\[
\begin{pmatrix}
I & C_1^* & C_2^* & \cdots & C_n^* \\
C_1 & I & C_1^* & \cdots & C_{n-1}^* \\
C_2 & C_1 & I & \cdots & C_{n-2}^* \\
\vdots & \vdots & \vdots & \ddots & \vdots \\
C_n & C_{n-1} & C_{n-2} & \cdots & I
\end{pmatrix} \succeq 0
\]

if and only if

\[
\begin{pmatrix}
A_1 & A_2 & A_3 & \cdots & A_n \\
0 & A_1 & A_2 & \cdots & A_{n-1} \\
0 & 0 & A_1 & \cdots & A_{n-2} \\
\vdots & \vdots & \vdots & \ddots & \vdots \\
0 & 0 & 0 & \cdots & A_1
\end{pmatrix} \preceq 1.
\]

**Proof.** For each \(n \in \mathbb{N}\), \(C_n\) commutes with \(C_m\) and \(A_m\) for all \(m \in \mathbb{N}\) and hence we can adapt the proof of the Lemma 4.7 to complete the proof in this case.

Since the adjoint of the bilateral shift \(B^*\) on \(\ell^2(\mathbb{Z})\) is unitarily equivalent to the multiplication operator \(M_z\) on \(L^2(\mathbb{T})\), it follows that \(A_n\) and \(C_n\) are unitarily equivalent to the multiplication operators \(M_a\) and \(M_c\) respectively, where \(a(z) = a_{n0} + a_{n-1,1} z + \cdots + a_{0n} z^n\), and \(c(z) = c_{n0} + c_{n-1,1} z + \cdots + c_{0n} z^n\). Now the Theorem 4.14 takes the equivalent form given below, where for the polynomial \(p\) of the form \(p(z) = a_{10} z_1 + a_{01} z_2 + a_{20} z_1^2 + a_{11} z_1 z_2 + a_{02} z_2^2\), we have set

\[
p_1(z) := a_{10} + a_{01} z \quad \text{and} \quad p_2(z) = a_{20} + a_{11} z + a_{02} z^2.
\]

**Theorem 4.16.** For any polynomial \(p\) of the form

\[
p(z) = a_{10} z_1 + a_{01} z_2 + a_{20} z_1^2 + a_{11} z_1 z_2 + a_{02} z_2^2,
\]
there exists a holomorphic function $q$, defined on the bi-disc $\mathbb{D}^2$, with $q^{(k)}(0) = 0$ for $|k| = 0, 1, 2$, such that

$$\|p + q\|_{\mathbb{D}^2, \infty} \leq 1$$

if and only if $|p_2| \leq 1 - |p_1|^2$ and there exists a holomorphic function $f : \mathbb{D} \rightarrow \mathcal{B}(L^2(\mathbb{T}))$ with

$$\|f\|^*_{\mathbb{D}, \infty} \leq 1 \quad \text{and} \quad \frac{f^{(k)}(0)}{k!} = M_{p_k} \text{ for all } k \geq 0,$$

where $p_0 = 0$ and for $k \geq 3$, $p_k \in \mathbb{C}[Z]$ is a polynomial of degree less than or equal to $k$. Here $M_{p_k}$ is the multiplication operator on $L^2(\mathbb{T})$ induced by the polynomial $p_k$.

Thus the Problem 4.10 has been reduced to a one variable problem except it now involves holomorphic functions taking values in $\mathcal{B}(L^2(\mathbb{T}))$. To discuss this variant of the CF problem, the following definition will be useful.

**Definition 4.17** (Completely Polynomially Extendible). Suppose $k \in \mathbb{N}$ and $\{p_j\}_{j=1}^k$ is a sequence of polynomials, with $\deg(p_j) \leq j$ for all $j = 1, 2, \ldots, k$. Then $\mathcal{T}(M_{p_1}, \ldots, M_{p_k})$ will be called $n$-polynomially extendible if $\|\mathcal{T}(M_{p_1}, \ldots, M_{p_k})\| \leq 1$ and there exists a sequence of polynomials $\{p_l\}_{l=k+1}^n$, with $\deg(p_l) \leq l$, such that $\|\mathcal{T}(M_{p_1}, \ldots, M_{p_n})\| \leq 1$. Also, $\mathcal{T}(M_{p_1}, \ldots, M_{p_n})$ will be called completely polynomially extendible if the operator $\mathcal{T}(M_{p_1}, \ldots, M_{p_n})$ is $n$-polynomially extendible for all $n \in \mathbb{N}$.

For $p_1, p_2 \in \mathbb{C}[Z]$, polynomials of degree at most 1 and 2 respectively, let $P$ denote the polynomial $P(z) = M_{p_1}z + M_{p_2}z^2$. We shall call $P$ to be a polynomial in the CF class if given these polynomials $p_1, p_2$, there is a holomorphic function $f : \mathbb{D} \rightarrow \mathcal{B}(L^2(\mathbb{T}))$ satisfying properties stated in the Theorem 4.16. Such a function $f$ is called a CF-extension of the polynomial $P$. It follows that a solution to the Problem 4.10 exists if and only if the polynomial $P$ is in the CF class. We have therefore proved the following theorem.

**Theorem 4.18.** A solution to the Problem 4.10 exists if and only if the corresponding one variable operator valued polynomial $P$ is in the CF class. Or, equivalently, $\mathcal{T}(M_{p_1}, M_{p_2})$ is completely polynomially extendible.

It is clear, from the Theorem 4.16, that $|p_1|^2 + |p_2| \leq 1$ is a necessary condition for the existence of a solution to the Problem 4.10. This condition via Parrott’s theorem is also equivalent to the condition $\|\mathcal{T}(M_{p_1}, M_{p_2})\| \leq 1$.

We now give some instances, where this necessary condition is also sufficient for the existence of a solution to the Problem 4.10. This would amount to find condition for $\mathcal{T}(M_{p_1}, M_{p_2})$ to be completely polynomially extendible.
Theorem 4.19. Let \( p_1(z) = \gamma + \delta z \) and \( p_2(z) = (\alpha + \beta z)(\gamma + \delta z) \) for some choice of complex numbers \( \alpha, \beta, \gamma \) and \( \delta \). Assume that \( |p_1|^2 + |p_2| \leq 1 \). If either \( \alpha \beta \gamma \delta = 0 \) or \( \arg(\alpha) - \arg(\beta) = \arg(\gamma) - \arg(\delta) \), then \( \mathcal{T}(M_{p_1}, M_{p_2}) \) is completely polynomially extendible.

Proof. All through this proof, for brevity of notation, we will let \( \|f\| \) stand for the norm \( \sup_{z \in \mathbb{D}} \|f(z)\|_\infty \), for any holomorphic function \( f : \mathbb{D} \to \mathcal{B}(L^2(\mathbb{T})) \).

Case 1: Suppose \( \beta = 0 \). Then \( P(z) = M_{p_1}(z + \alpha z^2) \). Let \( p(z) = z + \alpha z^2 \). Using Nehari’s theorem, we extend \( p \) to the function \( \tilde{p}(z) = z + \alpha z^2 + \alpha^2 z^3 + \cdots \) such that \( \|\tilde{p}\|_\infty = \|\mathcal{T}(1, \alpha)\| \). Define \( \mathcal{f}(z) = M_{p_1} \tilde{p}(z) = M_{p_1} z + M_{p_2} z^2 + M_{p_3} z^3 + \cdots \), where \( p_k = \alpha_k p_1 \). Also, \( \|\mathcal{f}\| = \sup_{z \in \mathbb{D}} \|M_{p_1} \tilde{p}(z)\| = \|M_{p_1}\| \sup_{z \in \mathbb{D}} \|\tilde{p}(z)\| = \|M_{p_1}\| \|\mathcal{T}(1, \alpha)\| \).

Thus \( \|\mathcal{f}\| = \|M_{p_1} \otimes \mathcal{T}(1, \alpha)\| = \|\mathcal{T}(M_{p_1}, M_{p_2})\| \leq 1 \). Hence \( f \) is a required \( \text{CF} \)-extension of \( P \).

Case 2: Suppose \( \alpha = 0 \). Then, \( P(z) = M_{p_1}(z + \beta M_{z^2}) \). Let \( Q(z) = z + \beta M_{z^2} \) and \( r(z_1, z_2) = z_1(1 + \beta z_2) \). Define \( s(z_2) = 1 + \beta z_2 \). Suppose \( \tilde{s}(z_2) = s(z_2) + \beta z_2^2 + \beta z_2^3 + \cdots \) be such that \( \|\tilde{s}\|_\infty = \|\mathcal{T}(1, \beta)\| \). If \( \tilde{r} := z_1 \tilde{s}(z_2) \), then \( \|\tilde{r}\| = \|\tilde{s}\| = \|\mathcal{T}(1, \beta)\| \). If \( \hat{Q}(z) = z + M_{\beta z^2} + M_{\beta z^3} z^2 + \cdots \) and \( f(z) = M_{p_1} \hat{Q}(z) \), then \( \|f\| = \|M_{p_1} \hat{Q}\| \leq \|M_{p_1}\| \|\hat{Q}\| \). Since \( \hat{s}(z_2) = \hat{Q}(z) \), from the von-Neumann inequality it follows that \( \|\hat{Q}\| \leq \|\tilde{s}\| \). Therefore, \( \|\mathcal{f}\| \leq \|M_{p_1}\| \|\mathcal{T}(1, \beta)\| = \|\mathcal{T}(M_{p_1}, \beta M_{p_1})\| \). Hence

\[
\|\mathcal{f}\| \leq \left\| \begin{pmatrix} M_z & 0 \\ 0 & I \end{pmatrix} \begin{pmatrix} M_{p_1} & \beta M_{p_1} \\ 0 & M_{p_1} \end{pmatrix} \begin{pmatrix} M_z^* & 0 \\ 0 & I \end{pmatrix} \right\| = \|\mathcal{T}(M_{p_1}, M_{p_2})\| \leq 1.
\]

Therefore \( f \) is a \( \text{CF} \)-extension of \( P \).

Case 3: Suppose \( \alpha \neq 0 \) and \( \beta \neq 0 \). Then, \( P(z) = M_{p_1}(z + M_{\alpha + \beta z^2}) \). Let \( Q(z) := z + M_{\alpha + \beta z^2} \). Define \( r(z_1, z_2) := z_1 + \alpha z_1^2 + \beta z_1 z_2 = z_1(1 + \alpha z_1 + \beta z_2) \). Let \( \lambda := |\alpha|/|\beta| \) and \( a := \lambda(1 + \lambda) \). Define \( s(z_2) := 1 + \alpha z_1 + \beta z_2 = (a + \alpha z_1)(1 + \beta z_2) \). If \( h_1(z_1) := a + \alpha z_1 \) and \( h_2(z_2) := 1 - a + \beta z_2 \), then there exist \( \tilde{h}_1 = a + \alpha z_1 + \alpha z_1^2 + \cdots \) and \( \tilde{h}_2 = 1 - a + \beta z_2 + \beta z_2^2 + \cdots \) with \( \|\tilde{h}_1\| = \|\mathcal{T}(a, \alpha)\| \) and \( \|\tilde{h}_2\| = \|\mathcal{T}(1 - a, \beta)\| \). If

\[
\tilde{r}(z_1, z_2) := z_1 (\tilde{h}_1(z_1) + \tilde{h}_2(z_2)) = z_1 + \alpha z_1^2 + \beta z_1 z_2 + \alpha z_1^2 z_2 + \beta z_1 z_2^2 + \cdots,
\]

then \( \|\tilde{r}\| \leq \|\tilde{h}_1\| + \|\tilde{h}_2\| \). Let \( \hat{Q}(z) = I z + M_{\alpha + \beta z^2} + M_{\alpha z_1 + \beta z_2} z^3 + \cdots \) and \( f(z) = M_{p_1} \hat{Q}(z) \).

\[
\|f\| \leq \|M_{p_1}\| \|\hat{Q}\|. \quad \text{Since} \quad \hat{Q}(z) = \tilde{r}(z, M_2), \quad \text{from the von-Neumann inequality, it follows that}
\]

\[
\|f\| \leq \|M_{p_1}\| \|\tilde{r}\| \leq \|M_{p_1}\| \left( \|\tilde{h}_1\| + \|\tilde{h}_2\| \right).
\]
As $T(\alpha, |\alpha|) = \lambda T(1 - \alpha, |\beta|)$, therefore $(\| \tilde{h}_1 \| + \| \tilde{h}_2 \|) = \| T(1, |\alpha| + |\beta|) \|$ and hence
\[
\| f \| \leq \| M_{p_1} \| \| T(1, |\alpha| + |\beta|) \| = \| T(\| p_1 \|, (|\alpha| + |\beta|) \| p_1 \|) \|.
\]

**Subcase 1:** Suppose $\gamma \neq 0$, $\delta \neq 0$ and $\arg(\alpha) - \arg(\beta) = \arg(\gamma) - \arg(\delta)$. Then
\[
(\| \alpha | + | \beta \|) \| p_1 \| = \| (\alpha + \beta) p_1 \| = \| p_2 \|.
\]

Our hypothesis clearly implies that $\| p_2 \| + \| p_1 \|^2 \leq 1$. Hence $\| f \| \leq 1$.

**Subcase 2:** Suppose $\gamma = 0$ or $\delta = 0$. Then
\[
(\| \alpha | + | \beta \|) \| p_1 \| = \| (\alpha + \beta) p_1 \| = \| p_2 \|.
\]

As in subcase 1, here also $\| f \| \leq 1$ can be inferred easily.

**Remark 4.20.** In Problem (4.10), If either $p_1 \equiv 0$ or $p_2 \equiv 0$, and $\| T(M_{p_1}, M_{p_2}) \| \leq 1$, then $\| P \| \leq 1$ and hence $f$ in the Theorem (4.16) can be taken to be $P$ itself.

Having verified that the necessary condition $\| T(M_{p_1}, M_{p_2}) \| \leq 1$ is also sufficient for $P$ to be in the CF class in several cases, we expected it to be sufficient in general. But unfortunately this is not the case. We give an example of a polynomial $P$ for which $\| T(M_{p_1}, M_{p_2}) \| \leq 1$ but $P$ is not in the CF class.

**An Example:** Let $p_1(z) = 1/\sqrt{2}$ and $p_2(z) = z^2/2$. We show that $T(M_{p_1}, M_{p_2})$ is not even 3–polyextendible.

It can easily be seen that $\| T(M_{p_1}, M_{p_2}) \| \leq 1$. Now suppose there exists a polynomial $p_3$ of degree at most 3 such that $\| T(M_{p_1}, M_{p_2}, M_{p_3}) \| \leq 1$. Then Parrott’s theorem guarantees the existence of a contraction $V \in \mathcal{B}(L^2(\mathbb{T}))$ such that

\[
M_{p_3} = \left( I - M_{|p_1|^2} - M_{p_2} \left( I - M_{|p_1|^2} \right)^{-1} M_{p_2}^* \right) V - M_{p_2} \left( I - M_{|p_1|^2} \right)^{-1} \left( I - M_{|p_1|^2} \right)^{-1/2} M_{p_1} \left( I - M_{|p_1|^2} \right)^{-1/2} M_{p_2}.
\]

As we have $(1 - |p_1|^2)^2 - |p_2|^2 \equiv 0$, therefore operator in the first bracket is zero and hence

\[
p_3 = \frac{-p_2^2 p_1}{1 - |p_1|^2} = \sqrt{2} z^3.
\]

Thus $p_3$ is a polynomial of degree more than 3 which is a contradiction. Hence $T(M_{p_1}, M_{p_2})$ is not even 3– polyextendible.

We close this section with an open question: What are the properties we must impose on the polynomials $p_1$ and $p_2$ in addition to the requirement $\| T(M_{p_1}, M_{p_2}) \| \leq 1$ to ensure that $P$ is in the CF class?
4.5 Korányi-Pukánszky Theorem as an Application of Spectral Theorem

In this section we show that Korányi-Pukánszky Theorem 4.1 is an application of the well known spectral theorem. For simplicity we consider $n = 2$.

**Theorem 4.21** (Korányi-Pukánszky Theorem). *If the power series $\sum_{\alpha \in \mathbb{N}_0^n} c_\alpha z^\alpha$ represents a holomorphic function $g$ on the polydisc $D^n$, then $\Re(g(z)) \geq 0$ for all $z \in D^n$ if and only if the map $\phi : \mathbb{Z}^n \to \mathbb{C}$ defined by

$$
\phi(\alpha) = \begin{cases} 
2\Re c_\alpha & \text{if } \alpha = 0 \\
c_\alpha & \text{if } \alpha > 0 \\
c_{-\alpha} & \text{if } \alpha < 0 \\
0 & \text{otherwise}
\end{cases}
$$

is positive, that is, the $k \times k$ matrix $\left( \phi(m_i - m_j) \right)$ is non-negative definite for every choice of $m_1, \ldots, m_k \in \mathbb{Z}^n$.*

**Proof.** Suppose the power series $2\sum_{\alpha \in \mathbb{N}_0^n} c_\alpha z^\alpha$ represents a holomorphic function $g$ defined on the bi-disc $D^2$ with the property that $\Re(g(z)) \geq 0$ for all $z \in D^2$ (This extra factor 2 has been put in to the power series just to make previous computation matched). Without loss of generality, we assume that $g(0) = 1$. The function $g$ maps $D^2$ to the right half plane $H_+$ if and only if $f := \chi^{-1} \circ g$ maps $D^2$ to the unit disc $D$. Suppose $\sum_{j,k=0}^\infty a_{jk}z_1^jz_2^k$ represents the function $f$. Then, $a_{00} = 0$ and the array of coefficients $\left( a_{jk} \right)$ and $\left( c_{jk} \right)$ are related by the formula obtained in the Lemma 4.15. The operators $I \otimes B^*$ and $B^* \otimes B^*$ are commuting unitaries and they have $T_2$ as their joint spectrum. Now, applying spectral theorem and maximum modulus principle, we get the following:

$$
\| f(I \otimes B^*, B^* \otimes B^*) \| = \| f \|_{D^2,\infty}. \tag{4.4}
$$

Also, we note that

$$
f(I \otimes B^*, B^* \otimes B^*) = A_1 \otimes B^* + A_2 \otimes B^{*2} + \cdots,
$$

where $A_n := a_{n0}I + a_{n-1,1}B^* + \cdots + a_{0n}B^{*n}$ and $C_n := c_{n0}I + c_{n-1,1}B^* + \cdots + c_{0n}B^{*n}$ as in the Lemma 4.15. Since $\| f \|_{D^2,\infty} \leq 1$, it follows from (4.4) that $\| T(A_1, \ldots, A_n) \| \leq 1$ for all
4.5 Korányi-Pukánszky Theorem as an Application of Spectral Theorem

\( n \in \mathbb{N} \). Now, from the Lemma 4.15, we conclude that

\[
\begin{pmatrix}
I & C_1^* & C_2^* & \cdots & C_n^* \\
C_1 & I & C_1^* & \cdots & C_{n-1}^* \\
C_2 & C_1 & I & \cdots & C_{n-2}^* \\
\vdots & \vdots & \vdots & \ddots & \vdots \\
C_n & C_{n-1} & C_{n-2} & \cdots & I
\end{pmatrix}
\]

is non-negative for all \( n \in \mathbb{N} \). Hence from the Theorem 4.12, we get that the Korányi-Pukánszky function \( \phi \) corresponding to the array \( \{c_{jk}\} \) is positive.

Conversely, suppose the Korányi-Pukánszky function \( \phi \) corresponding to the array \( \{c_{jk}\} \) is positive, where \( c_{00} \) is assumed to be 1/2. Then, from the Theorem 4.12, we get that operator in (4.5) is non-negative for all \( n \in \mathbb{N} \). Thus, from the Lemma 4.15 and the equation (4.4), we conclude that \( \|\chi \circ g\|_{D^2, \infty} \leq 1 \), where \( g(z_1, z_2) = 2 \sum_{m,n=0}^{\infty} c_{mn} z_1^m z_2^n \).

This is so if and only if \( g \) maps \( D^2 \) to the right half plane \( H_+ \). Hence the theorem is proved. \( \square \)
5 A generalization of Nehari’s Theorem

For a closed subspace $M$ and a point $x$ in a Hilbert space $H$, the distance of $M$ from $x$ is attained at $P(x)$, where $P$ is the orthogonal projection of $H$ onto $M$. Nehari considered a similar problem but in the space $L^\infty(T)$. He evaluated the distance of a function $f$ in $L^\infty(T)$ from the closed subspace $H^\infty(T)$. Before stating Nehari’s theorem we shall give some definitions.

5.1 The Hankel Operator

Let $H^2(T)$ denote the Hardy space, namely the closed subspace of $L^2(T)$:

$$H^2(T) := \{f \in L^2(T) | \hat{f}(-n) = 0, n \in \mathbb{N}\},$$

where $\hat{f}(-n)$ is the Fourier coefficient of $f$ with respect to the standard orthonormal basis $z^n$, $n \in \mathbb{Z}$ and $z \in T$, of $L^2(T)$. Let $P_-$ denote the orthogonal projection of $L^2(T)$ onto $L^2(T) \ominus H^2$.

**Definition 5.1** (Multiplication Operator). For $\phi \in L^\infty(T)$, we define the multiplication operator $M_\phi : L^2(T) \to L^2(T)$ by the rule $M_\phi(f) = \phi f$, where $(\phi f)(z) = \phi(z)f(z), z \in T$.

For any $\phi \in L^\infty(T)$ and $f \in L^2(T)$, it is easy to see that $\phi f \in L^2(T)$ and that $M_\phi$ is bounded. Indeed $\|M_\phi\| = \|\phi\|_\infty$ (cf. [You88, Theorem 13.14]).

**Definition 5.2** (Hankel Operator). For $\phi \in L^\infty(T)$, define the Hankel operator with symbol $\phi$ to be the operator $P_- \circ M_\phi |_{H^2}$ and denote it by $H_\phi$.

We recall the well known theorem of Nehari.

**Theorem 5.3** (Nehari). If $\phi \in L^\infty(T)$ and $H_\phi$ is the corresponding Hankel operator, then

$$\inf\{\|\phi - g\|_{L^\infty} : g \in H^\infty(T)\} = \|H_\phi\|_{op}.$$
5.2 Nehari’s theorem for $L^2(\mathbb{T}^2)$

In this section, we will give a possible generalization of Nehari’s theorem for $L^2(\mathbb{T}^2)$. This generalization is most conveniently stated in terms of the D-slice ordering on $\mathbb{Z}^2$, which we now recall. For a fixed $k \in \mathbb{Z}$, define $P_k := \{(x, y)|x + y = k\}$. The sequence $(P_k)$ is a sequence of disjoint subsets of $\mathbb{Z}^2$ and $\bigcup_{k \in \mathbb{Z}} P_k = \mathbb{Z}^2$. The D-slice ordering on $\mathbb{Z}^2$ is the ordering:

Suppose $(x_1, y_1) \in P_1$ and $(x_2, y_2) \in P_m$ are two elements in $\mathbb{Z}^2$. Then

1. If $l = m$, then $(x_1, y_1) < (x_2, y_2)$ is determined by the lexicographic ordering on $P_l \subseteq \mathbb{Z}^2$ and
2. if $l < m$ (respectively, if $l > m$), then $(x_1, y_1) < (x_2, y_2)$ (respectively, $(x_1, y_1) > (x_2, y_2)$).

Let $A_1 = \bigcup_{k \leq 0} P_k$ and $A_2 = \bigcup_{k \geq 1} P_k$. Define

$$H_1 := \left\{ f := \sum_{(m,n) \in A_1} a_{m,n} z_1^m z_2^n | f \in L^\infty(\mathbb{T}^2) \right\}, \quad H_2 := \left\{ f := \sum_{(m,n) \in A_2} a_{m,n} z_1^m z_2^n | f \in L^\infty(\mathbb{T}^2) \right\}.$$

$H_1$ and $H_2$ are two closed and disjoint subspaces of $L^\infty(\mathbb{T}^2)$ satisfying $L^\infty(\mathbb{T}^2) = H_1 \oplus H_2$. Now the answer to the following question on $L^2(\mathbb{T}^2)$ would be a natural generalization of the Nehari’s theorem.

**Question 5.4.** For $\phi \in L^\infty(\mathbb{T}^2)$, what is $\text{dist}_{\infty}(\phi, H_1)$, the distance of $\phi$ from the subspace $H_1$?

5.3 The Hankel Matrix corresponding to $\phi$

Any $\phi \in L^2(\mathbb{T}^2)$ can be written as

$$\phi(z_1, z_2) = \sum_{m,n \in \mathbb{Z}} a_{m,n} z_1^m z_2^n = \sum_{m,n \in A_1} a_{m,n} z_1^m z_2^n + \sum_{m,n \in A_2} a_{m,n} z_1^m z_2^n.$$

Suppose $z_2 = \lambda z_1$. Then

$$\phi(z_1, \lambda z_1) = \sum_{k \geq 0} \left( \sum_{m+n=k} a_{m,n} \lambda^n \right) z_1^k + \sum_{k < 0} \left( \sum_{m+n=k} a_{m,n} \lambda^n \right) z_1^k.$$

Setting $f^\phi_k(\lambda) := \sum_{m+n=k} a_{m,n} \lambda^n$, we have

$$\phi(z_1, \lambda z_1) = \sum_{k \in \mathbb{Z}} f^\phi_k(\lambda) z_1^k.$$
In this way, $L^2(T^2)$ is first identified with $L^2(T) \otimes L^2(T)$ and then a second time with $L^2(T) \otimes \ell^2(Z)$, the identifications in both cases being isometric. For any $\phi \in L^\infty(T^2)$, define the multiplication operator $M_\phi : L^2(T) \otimes \ell^2(Z) \to L^2(T) \otimes \ell^2(Z)$ as follows

$$M_\phi \left( \sum_{j \in Z} g_j \otimes e_j \right) := \sum_{k \in Z} \left( \sum_{q \in Z} g_q f_{q+k} \right) e_k.$$ 

**Lemma 5.5.** For any $\phi \in L^\infty(T^2)$, we have $\|M_\phi\| = \|\phi\|_{T^2, \infty}$.

**Proof.** Let $\phi \in L^\infty(T^2)$ be an arbitrary element. From what we have said above, it follows that $\phi(z, \lambda z) = \sum_{k \in Z} f_k^\phi(\lambda) z^k$ for some $f_k^\phi$ in $L^2(T)$. The set of vectors $\{z^i \otimes e_j : (i, j) \in \mathbb{Z}^2\}$ is an orthonormal basis in $L^2(T) \otimes \ell^2(Z)$. The matrix of the operator $M_\phi$ with respect to this basis and the D-slice ordering on its index set is of the form

$$
\begin{pmatrix}
\vdots & \vdots & \vdots \\
\cdots & M_{f_{-1}} & M_{f_0} & M_{f_1} & \cdots \\
\cdots & M_{f_{-2}} & M_{f_{-1}} & M_{f_0} & \cdots \\
\cdots & M_{f_{-3}} & M_{f_{-2}} & M_{f_{-1}} & \cdots \\
\vdots & \vdots & \vdots & \vdots & \vdots 
\end{pmatrix}
$$

We know that $\|\phi\|_{T^2, \infty} = \sup_{\lambda \in T} \sup_{z \in T} \left| \sum_{k \in Z} f_k^\phi(\lambda) z^k \right|$. Thus

$$\|\phi\|_{T^2, \infty} = \sup_{\lambda \in T} \left\| \begin{pmatrix}
\vdots & \vdots & \vdots \\
\cdots & f_{-1}^\phi(\lambda) & f_0^\phi(\lambda) & f_1^\phi(\lambda) & \cdots \\
\cdots & f_{-2}^\phi(\lambda) & f_{-1}^\phi(\lambda) & f_0^\phi(\lambda) & \cdots \\
\cdots & f_{-3}^\phi(\lambda) & f_{-2}^\phi(\lambda) & f_{-1}^\phi(\lambda) & \cdots \\
\vdots & \vdots & \vdots & \vdots & \vdots 
\end{pmatrix} \right\|$$

$$= \left\| \begin{pmatrix}
\vdots & \vdots & \vdots \\
\cdots & M_{f_{-1}} & M_{f_0} & M_{f_1} & \cdots \\
\cdots & M_{f_{-2}} & M_{f_{-1}} & M_{f_0} & \cdots \\
\cdots & M_{f_{-3}} & M_{f_{-2}} & M_{f_{-1}} & \cdots \\
\vdots & \vdots & \vdots & \vdots & \vdots 
\end{pmatrix} \right\|$$

Hence $\|\phi\|_{T^2, \infty} = \|M_\phi\|$ completing the proof.

The Hilbert space $\ell^2(\mathbb{N}_0)$ and the normed linear subspace

$$\{\ldots, 0, x_0, x_1, \ldots : \sum_{i \geq 0} |x_i|^2 < \infty \text{ with } x_0 \text{ at the } 0^{th} \text{ position}\}$$
of $\ell^2(\mathbb{Z})$ are naturally isometrically isomorphic. Let $H := L^2(\mathbb{T}) \otimes \ell^2(\mathbb{N}_0)$. The space $H$ is a closed subspace of $L^2(\mathbb{T}) \otimes \ell^2(\mathbb{Z})$. We define Hankel operator $H_\phi$, with symbol $\phi$, to be the operator $P_{H^\perp} \circ M_{\phi|H}$. Writing down the matrix for $H_\phi$ with respect to the bases \( \{z^i \otimes e_j : i \in \mathbb{Z}, j = 0, 1, 2, \ldots\} \) and \( \{z^i \otimes e_{-j} : i \in \mathbb{Z}, j = 1, 2, \ldots\} \) in the spaces $H$ and $H^\perp$ respectively, we get

$$H_\phi = \begin{pmatrix} M_{f_{-1}} \phi & M_{f_{-2}} \phi & M_{f_{-3}} \phi & \cdots \\ M_{f_{-2}} \phi & M_{f_{-3}} \phi & M_{f_{-4}} \phi & \cdots \\ M_{f_{-3}} \phi & M_{f_{-4}} \phi & M_{f_{-5}} \phi & \cdots \\ \vdots & \vdots & \vdots & \ddots \end{pmatrix}.$$  

We call this the Hankel matrix with symbol $\phi$.

Let $H$ be a Hilbert space. For any $(T_n)_{n \in \mathbb{N}} \subset \mathcal{B}(H)$, define an operator $H(T_1, T_2, \ldots)$ as follows:

$$H(T_1, T_2, \ldots) = \begin{pmatrix} T_1 & T_2 & T_3 & \cdots \\ T_2 & T_3 & T_4 & \cdots \\ T_3 & T_4 & T_5 & \cdots \\ \vdots & \vdots & \vdots & \ddots \end{pmatrix}.$$  

**Lemma 5.6.** For $\phi$ in $L^\infty(\mathbb{T})$, we have $\|H_\phi\| \leq \text{dist}_\infty(\phi, H_1)$.

**Proof.** From the definition of $H_\phi$ and the Lemma 5.5, it can easily be seen that

$$\|H_\phi\| = \|P_{H^\perp} \circ M_{\phi|H}\| \leq \|M_\phi\| = \|\phi\|_{\mathbb{T}_2, \infty}.$$  

Thus $\|H_\phi\| \leq \|\phi\|_{\mathbb{T}_2, \infty}$. From the matrix representation of $H_\phi$ it is clear that for any $g$ in $H_1$, $H_{\phi-g} = H_\phi$. Hence $\|H_\phi\| = \|H_{\phi-g}\| \leq \|\phi - g\|_{\mathbb{T}_2, \infty}$. Thus the proof of the lemma is complete. \(\square\)

For $n \in \mathbb{N}$, $a_0, a_1, \ldots, a_{n-1} \in \mathbb{C}$ and $(b_m)_{m \in \mathbb{N}} \subset \mathbb{C}$, define the following operator

$$T_n((b_m), a_0, a_1, \ldots, a_{n-1}) := \begin{pmatrix} a_0 & a_1 & \cdots & a_{n-1} \\ b_1 & a_0 & \cdots & a_{n-2} \\ \vdots & \vdots & \ddots & \vdots \\ b_{n-1} & b_{n-2} & \cdots & a_0 \end{pmatrix}.$$  

**Lemma 5.7.** Suppose $f_0, f_1, \ldots, f_{n-1} \in L^\infty(\mathbb{T})$ and $(g_m) \subset L^\infty(\mathbb{T})$ are such that

$$\sup_{\lambda \in \mathbb{T}} \|T_n((g_m(\lambda)), f_0(\lambda), \ldots, f_{n-1}(\lambda))\| \leq 1.$$  

68
Then, there exists \( f_n \in L^\infty(\mathbb{T}) \) such that

\[
\sup_{\lambda \in \mathbb{T}} \| T_{n+1}(g_m(\lambda), f_0(\lambda), \ldots, f_n(\lambda)) \| \leq 1.
\]

**Proof.** Let

\[
Q(\lambda) = \left( f_0(\lambda) \cdots f_{n-1}(\lambda) \right),
R(\lambda) = \left( f_{n-1}(\lambda) \cdots f_0(\lambda) \ g_1(\lambda) \cdots \right)^t,
\]

and

\[
S(\lambda) = \begin{pmatrix}
g_1(\lambda) & f_0(\lambda) & \cdots & f_{n-3}(\lambda) \\
g_2(\lambda) & g_1(\lambda) & \cdots & f_{n-4}(\lambda) \\
\vdots & \vdots & \ddots & \vdots \\
g_{n-1}(\lambda) & g_{n-2}(\lambda) & \cdots & g_1(\lambda)
\end{pmatrix}.
\]

All possible choices of \( f_n(\lambda) \) for which \( T_{n+1}(g_m(\lambda), f_0(\lambda), \ldots, f_n(\lambda)) \) is a contraction are given, via Parrott’s theorem (cf. [You88, Chapter 12, page 152]), by the formula

\[
f_n(\lambda) = (I - Z Z^*)^{1/2} V (I - Y^* Y)^{1/2} - Z S(\lambda)^* Y,
\]

where \( V \) is an arbitrary contraction and \( Y, Z \) are obtained from the formulae

\[
R(\lambda) = (I - S(\lambda) S(\lambda)^*)^{1/2} Y, 
Q(\lambda) = Z (I - S(\lambda)^* S(\lambda))^{1/2}.
\]

Every entry of \( I - S(\lambda)^* S(\lambda) \) is in \( L^\infty \) as function of \( \lambda \). Thus all entries in \( (I - S(\lambda)^* S(\lambda))^{1/2} \) are measurable functions which are essentially bounded. Consequently, so are entries of \( Z \). A similar assertion can be made for \( Y \). Therefore choosing \( V = 0 \) in equation (5.1), we get \( f_n \) with the required property. In fact, one can choose \( V \) to be any contraction whose entries are \( L^\infty \) functions. \( \square \)

**Theorem 5.8** (Nehari’s theorem for \( L^2(\mathbb{T}^2) \)). If \( \phi \in L^\infty(\mathbb{T}^2) \), then \( \| H_\phi \| = \text{dist}_\infty(\phi, H_1) \).

**Proof.** From the Lemma 5.6, we know that \( \| H_\phi \| \leq \text{dist}_\infty(\phi, H_1) \). Without loss of generality we assume that \( \| H_\phi \| = 1 \). Using the Lemma 5.7, we find \( f_0^\phi \in L^\infty(\mathbb{T}) \) such that the norm of \( H(M_{f_0^\phi}, M_{f_1^\phi}, \ldots) \) is at most 1. Repeated use of the Lemma 5.7 proves the theorem. \( \square \)

### 5.4 CF problem in view of Nehari’s theorem for \( L^2(\mathbb{T}) \)

Fix \( p \in \mathbb{C}[Z_1, Z_2] \) to be the polynomial defined by

\[
p(z_1, z_2) = a_{10} z_1 + a_{01} z_2 + a_{20} z_1^2 + a_{11} z_1 z_2 + a_{02} z_2^2.
\]
Denote $\phi(z_1, z_2) := z_1^3 p(z_1, z_2) = a_{10} z_1^2 + a_{01} z_1^3 z_2 + a_{20} z_1 + a_{11} z_1^2 z_2 + a_{02} z_1^2 z_2^2$. Suppose $p_1(\lambda) = a_{10} + a_{01} \lambda$ and $p_2(\lambda) = a_{20} + a_{11} \lambda + a_{02} \lambda^2$. Then, $\|H_\phi\| = \text{dist}_\infty(\phi, H_1)$, where

$$H_\phi = \begin{pmatrix} M_{p_2} & M_{p_1} & 0 & \cdots \\ M_{p_1} & 0 & 0 & \cdots \\ 0 & 0 & 0 & \cdots \\ \vdots & \vdots & \vdots & \ddots \end{pmatrix}$$

Thus, if there exists a holomorphic function $q : \mathbb{D}^2 \to \mathbb{C}$ with $q^{(k)}(0) = 0$ for $|k| \leq 2$ such that $\|p + q\|_{\mathbb{D}^2, \infty} \leq 1$, then $\|H_\phi\| \leq \|p + q\|_{\mathbb{D}^2, \infty}$. Hence $\|H_\phi\| \leq 1$ is a necessary condition for such a $q$ to exist.
6 Operator Space Structures on $\ell^1(n)$

6.1 Operator space

**Definition 6.1.** An abstract operator space is a normed linear space $V$ together with a norm $\|\cdot\|_k$ defined on the linear space $M_k(V) := \{((v_{ij})|v_{ij} \in V, 1 \leq i, j \leq k\}, \; k \in \mathbb{N}$, with the understanding that $\|\cdot\|_1$ is the norm of $V$ and the family of norms $\|\cdot\|_k$ satisfies the compatibility conditions:

1. $\|T \otimes S\|_{p+q} = \max\{\|T\|_p, \|S\|_q\}$ and
2. $\|ASB\|_q \leq \|A\|_{op}\|S\|_p\|B\|_{op}$

for all $S \in M_q(V)$, $T \in M_p(V)$, $A \in M_{q \times p}(\mathbb{C})$ and $B \in M_{p \times q}(\mathbb{C})$.

Let $(V, \|\cdot\|_k)$ and $(W, \|\cdot\|_k)$ be two operator spaces. A linear bijection $T : V \rightarrow W$ is said to be a complete isometry if $T \otimes I_k : (M_k(V), \|\cdot\|_k) \rightarrow (M_k(W), \|\cdot\|_k)$ is an isometry for every $k \in \mathbb{N}$. Operator spaces $(V, \|\cdot\|_k)$ and $(W, \|\cdot\|_k)$ are said to be completely isometric if there is a linear complete isometry $T : V \rightarrow W$. A well known theorem of Ruan says that any operator space $(V, \|\cdot\|_k)$ can be embedded, completely isometrically, in to $C^*$-algebra $\mathcal{B}(\mathbb{H})$ for some Hilbert space $\mathbb{H}$. There are two natural operator space structures on any normed linear space $V$, which may coincide. These are the MIN and the MAX operator space structures defined below.

**Definition 6.2 (MIN).** The MIN operator space structure denoted by MIN$(V)$ on a normed linear space $V$ is obtained by the isometric embedding of $V$ in to the $C^*$-algebra $C((V^*)_1)$, the space of continuous functions on the unit ball $(V^*)_1$ of the dual space $V^*$. Thus for $\{(v_{ij})\}$ in $M_k(V)$, we set

$$\|\{v_{ij}\}\|_{MIN} = \sup\{\|\{(f(v_{ij}))\}\| : f \in (V^*)_1\},$$

where the norm of a scalar matrix $\{(f(v_{ij}))\}$ is the operator norm in $M_k$. 

71
Definition 6.3 (Max). Let $V$ be a normed linear space and $\ll(v_{ij})\in M_k(V)$. Define

$$\|\ll(v_{ij})\|_{\text{MAX}} = \sup\{\|T v_{ij}\| : T : V \to \mathcal{B}(\mathbb{H})\},$$

where the supremum is taken over all isometries $T$ and all Hilbert spaces $\mathbb{H}$. This operator space structure is denoted by $\text{MAX}(V)$.

These two operator space structures are extremal in the sense that for any normed linear space $V$, $\text{MIN}(V)$ and $\text{MAX}(V)$ are the smallest and largest operator space structures on $V$ respectively. For any normed linear space $V$, Paulsen [Pau92] associates a very interesting constant, namely, $\alpha(V)$:

$$\alpha(V) := \sup \{ \|I_V \otimes I_k\|_{(M_k(V), \|\cdot\|_{\text{MIN}})\to(M_k(V), \|\cdot\|_{\text{MAX}})} : k \in \mathbb{N} \}.$$ 

The constant $\alpha(V)$ is equal to 1 if and only if $V$ has only one operator space structure on it. There are only a few examples of normed linear spaces for which $\alpha(V)$ is known to be 1. These include $\alpha(\ell^\infty(2)) = \alpha(\ell^1(2)) = 1$. In fact, it is known (cf. [Pis03, Page 79]) that $\alpha(V) > 1$ if $\dim(V) \geq 3$.

The map $\phi : \ell^\infty(n) \to \mathcal{B}(\mathbb{C}^n)$ defined by $\phi(z_1, \ldots, z_n) = \text{diag}(z_1, \ldots, z_n)$, is an isometric embedding of the normed linear space $\ell^\infty(n)$ in to the finite dimensional C*-algebra $\mathcal{B}(\mathbb{C}^n)$. Clearly, this is the MIN structure of the normed linear space $\ell^\infty(n)$. We shall, however prove that there is no such finite dimensional isometric embedding for the dual space $\ell^1(n)$. Never the less, we shall construct, explicitly, a number of possibly different isometric infinite dimensional embeddings of $\ell^1(n)$.

### 6.2 $\ell^1(n)$ has no isometric embedding into any $M_k$

In this section, we will show that there does not exist an isometric embedding of $\ell^1(n)$, $n > 1$, into any finite dimensional matrix algebra $M_k$, $k \in \mathbb{N}$. Without loss of generality, we prove this for the case of $n = 2$.

Lemma 6.4. For $m \in \mathbb{N}$ and $\theta_1, \ldots, \theta_m \in [0, 2\pi)$, there exists $a_1, a_2 \in \mathbb{C}$ such that

$$\max_{j=1, \ldots, m} |a_1 + e^{i\theta_j} a_2| < |a_1| + |a_2|.$$ 

Proof. For any two non-zero complex numbers $a_1, a_2$, we have

$$\max_{j=1, \ldots, m} |a_1 + e^{i\theta_j} a_2| = \max_{j=1, \ldots, m} \|a_1| + e^{i\theta_j} + \phi_2 - \phi_1|a_2|\|,$$
where $\phi_1$ and $\phi_2$ are the arguments of $a_1$ and $a_2$ respectively. Setting $\alpha_j = \theta_j + \phi_2 - \phi_1$, we have

$$\max_{j=1,\ldots,m} |a_1 + e^{i\theta_j}a_2|^2 = \max_{j=1,\ldots,m} \left| |a_1| + e^{i\alpha_j}|a_2| \right|^2$$

$$= \max_{j=1,\ldots,m} \left| |a_1|^2|a_2|^2 + 2|a_1a_2|\cos \alpha_j \right|.$$ 

Therefore

$$\max_{j=1,\ldots,m} |a_1 + e^{i\theta_j}a_2| = |a_1| + |a_2|$$

if and only if $\cos \alpha_j = 1$ for some $j$, that is, if and only if $\alpha_j = 0$ for some $j$. Choose $a_1$ and $a_2$ such that $\phi_1 - \phi_2 \neq \theta_j$ for all $j = 1,\ldots,m$. The existence of such a pair $a_1$ and $a_2$ proves the lemma. 

\textbf{Theorem 6.5.} There is no isometric embedding of $\ell^1(2)$ into $M_n$ for any $n \in \mathbb{N}$. 

\textbf{Proof.} Suppose there is a $n$ - dimensional isometric embedding $\phi$ of $\ell^1(2)$. Then this embedding $\phi$ is induced by a pair of operators $T_1, T_2 \in M_n$ of norm 1, defined by the rule $\phi(a_1, a_2) = a_1T_1 + a_2T_2$. Let $U_1$ and $U_2$ in $M_{2n}$ be the pair of unitaries:

$$U_i := \begin{pmatrix} T_i & D_{T_i^*} \\ D_{T_i} & -T_i^* \end{pmatrix} , \quad i = 1, 2,$$

where $D_{T_i}$ is the positive square root of the (positive) operator $I - T_i^*T_i$. Now, we have

$$P_{C^n}(a_1U_1 + a_2U_2)|_{C^n} = a_1T_1 + a_2T_2.$$ 

(This dilating pair of unitaries is not necessarily commuting nor is it a power dilation!) Thus $\psi : \ell^1(2) \to M_{2n}(\mathbb{C})$ defined by $\psi(a_1, a_2) = a_1U_1 + a_2U_2$ is also an isometry. Since norms are preserved under unitary operations, without loss of generality, we assume $U_1 = I$ and $U_2$ to be a diagonal unitary, say, $D$. Let $D = \text{diag}(e^{i\theta_1}, \ldots, e^{i\theta_{2n}})$. Now applying the Lemma 6.4, we obtain complex numbers $a_1$ and $a_2$ such that

$$\max_{j=1,\ldots,2n} |a_1 + e^{i\theta_j}a_2| < |a_1| + |a_2|.$$ 

Hence $\psi$ cannot be an isometry contradicting the hypothesis that $\phi$ is an isometry. 

\textbf{Remark 6.6.} An amusing corollary of this theorem is that the two spaces $\ell^\infty(n)$ and $\ell^1(n)$ cannot be isometrically isomorphic for $n > 1$. 

73
6.3 Infinite dimensional embeddings of $\ell^1(n)$

Let $\mathbb{H}_1, \ldots, \mathbb{H}_n$ be Hilbert spaces and $T_i$ be a contraction on $\mathbb{H}_i$ for $i = 1, \ldots, n$. Assume that the unit circle $\mathbb{T}$ is contained in $\sigma(T_i)$, the spectrum of $T_i$, for $i = 1, \ldots, n$. Denote

$$\tilde{T}_1 = T_1 \otimes I^{\otimes(n-1)}, \tilde{T}_2 = I \otimes T_2 \otimes I^{\otimes(n-2)}, \ldots, \tilde{T}_n = I^{\otimes(n-1)} \otimes T_n.$$  

**Theorem 6.7.** Suppose the operators $\tilde{T}_1, \ldots, \tilde{T}_n$ are defined as above. Then, the function

$$f : \ell^1(n) \to \mathcal{B}(\mathbb{H}_1 \otimes \cdots \otimes \mathbb{H}_n)$$

defined by

$$f(a_1, a_2, \ldots, a_n) := a_1 \tilde{T}_1 + a_2 \tilde{T}_2 + \cdots + a_n \tilde{T}_n.$$  

is an isometry.

**Proof.** Since $\mathbb{T} \subset \sigma(T_i)$ and $T_i$ is a contraction for $i = 1, \ldots, n$, it follows that $\mathbb{T} \subset \partial \sigma(T_i)$ for $i = 1, \ldots, n$. From (cf. [Con90, Proposition 6.7, page 210]), we have $\mathbb{T} \subset \sigma_n(T_i)$ (approximate point spectrum of $T_i$) for $i = 1, \ldots, n$. Thus for any $i \in \{1, \ldots, n\}$ and $\lambda \in \mathbb{T}$, there exists a sequence of unit vectors $(x^i_m)_{m \in \mathbb{N}}$ in $\mathbb{H}_i$ such that

$$\| (T_i - \lambda)(x^i_m) \| \to 0 \text{ as } m \to \infty.$$  

Now, applying the Cauchy-Schwarz's inequality, we have

$$| \langle (T_i - \lambda)(x^i_m) \rangle | \leq \| (T_i - \lambda)(x^i_m) \| \| (x^i_m) \|$$

$$= \| (T_i - \lambda)(x^i_m) \| \to 0.$$  

as $m \to \infty$. Hence $\langle T_i(x^i_m), (x^i_m) \rangle \to \lambda$ as $m \to \infty$. Let $(a_1, \ldots, a_n)$ be any vector in $\ell^1(n)$ such that none of its co-ordinates zero. Let $\lambda_1 = e^{-i \arg(a_1)}, \lambda_2 = e^{-i \arg(a_2)}, \ldots, \lambda_n = e^{-i \arg(a_n)}$. Now for each $j \in \{1, \ldots, n\}$, we have $(x^j_m)_{m \in \mathbb{N}}$, a sequence of unit vectors from $\mathbb{H}_j$, such that

$$\langle T_j(x^j_m), (x^j_m) \rangle \to \lambda_j \text{ as } m \to \infty.$$  

As $m$ goes to $\infty$, we have

$$| \langle (a_1 T_1 \otimes I^{\otimes(n-1)} + \cdots + a_n I^{\otimes(n-1)} \otimes T_n)(x^1_m \otimes \cdots \otimes x^n_m), (x^1_m \otimes \cdots \otimes x^n_m) \rangle |$$

$$= | a_1 \langle T_1(x^1_m), (x^1_m) \rangle + \cdots + a_n \langle T_n(x^n_m), (x^n_m) \rangle |$$

$$= | a_1 | + \cdots + | a_n | = \| (a_1, \ldots, a_n) \|_1.$$
Hence \( \| a_1 \tilde{T}_1 + a_2 \tilde{T}_2 + \cdots + a_n \tilde{T}_n \| \geq \| (a_1, a_2, \ldots, a_n) \|_1 \). Also

\[
\| a_1 \tilde{T}_1 + a_2 \tilde{T}_2 + \cdots + a_n \tilde{T}_n \| \leq |a_1| \| T_1 \| + |a_2| \| T_2 \| + \cdots + |a_n| \| T_n \|.
\]

Hence \( \| a_1 \tilde{T}_1 + a_2 \tilde{T}_2 + \cdots + a_n \tilde{T}_n \| = \| (a_1, a_2, \ldots, a_n) \|_1 \), proving that \( f \) is an isometry.

If some of the co-ordinates in the vector \((a_1, \ldots, a_n)\) are zero, the same argument, as above, remains valid after dropping those co-ordinates. \( \square \)

An adaptation of the technique involved in the proof of the Theorem 6.7, also proves the following theorem.

**Theorem 6.8.** For \( i = 1, \ldots, n \), let \( T_i \) be a contraction on a Hilbert space \( H_i \) and \( \mathbb{T} \subseteq \sigma(T_i) \). Denote \( \tilde{T}_i = T_1 \otimes \cdots \otimes T_i \otimes I_{H_{i+1}} \otimes \cdots \otimes I_{H_n} \). Then, the function

\[
f : \ell^1(n) \to B(H_1 \otimes \cdots \otimes H_n)
\]

defined by

\[
f(a_1, a_2, \ldots, a_n) := a_1 \tilde{T}_1 + a_2 \tilde{T}_2 + \cdots + a_n \tilde{T}_n.
\]

is an isometry.

**Remark 6.9.** We have already noted that \( \alpha(\ell^1(2)) = 1 \). Therefore all the operator space structures on \( \ell^1(2) \), defined in the Theorem 6.7, must be completely isometric to the MIN operator space structure.

Suppose \( T_1 \) and \( T_2 \) are contractions on Hilbert spaces \( H_1 \) and \( H_2 \) respectively with the property that \( \mathbb{T} \subseteq \sigma(T_i) \) for \( i = 1, 2 \). Denote \( \tilde{T}_1 = T_1 \otimes I_{H_2} \) and \( \tilde{T}_2 = I_{H_1} \otimes T_2 \). Then the map \( f \) defined as in the Theorem 6.7 is an isometry. The dilation theorem due to Sz.-Nagy (cf. [Pau02, Theorem 1.1, page 7]), gives unitaries \( U_1 : \mathbb{K}_1 \to \mathbb{K}_1 \) and \( U_2 : \mathbb{K}_2 \to \mathbb{K}_2 \) dilating the contractions \( T_1 \) and \( T_2 \) respectively. The operator space structure defined by the isometry \( g : \ell^1(2) \to B(\mathbb{K}_1 \otimes \mathbb{K}_2) \), where \( g(a_1, a_2) = a_1 U_1 \otimes I_{\mathbb{K}_2} + a_2 I_{\mathbb{K}_1} \otimes U_2 \), is no lesser than that of \( f \). Since \( U_1 \) is a unitary map, it follows that the map \( a_1 U_1 \otimes I_{\mathbb{K}_2} + a_2 I_{\mathbb{K}_1} \otimes U_2 \mapsto a_1 I_{\mathbb{K}_1} \otimes I_{\mathbb{K}_2} + a_2 U_1^* \otimes U_2 \) is a complete isometry. Therefore, without loss of generality, for all operator space structures, defined in the Theorem 6.7, we can assume that \( T_1 \) is \( I_{H_1} \). Now suppose \( k \in \mathbb{N} \) and \( A_1, A_2 \in M_k \). The von-Neumann inequality implies that

\[
\| A_1 \otimes I_{H_1} \otimes I_{H_2} + A_2 \otimes I_{H_1} \otimes T_2 \| \leq \| A_1 + A_2 \|_{B(\mathbb{K})} = \| A_1 \otimes (1, 0) + A_2 \otimes (0, 1) \|_{M_{IN}}.
\]

Since \( M_{IN} \) is the smallest operator space structure, it follows that all operator space structures on \( \ell^1(2) \), defined in the Theorem 6.7 are completely isometric to the MIN structure.
Remark 6.10. Here we note that all the operator space structures on $\ell^1(3)$, defined in the Theorem 6.7, are completely isometric to the MIN structure. Suppose $T_1$, $T_2$ and $T_3$ are contractions on Hilbert spaces $H_1$, $H_2$ and $H_3$ respectively, with the property that $T \subseteq \sigma(T_i)$, for $i = 1, 2, 3$. Then the map $f$ defined as in the Theorem 6.7 is an isometry. Using the same arguments as in the Remark 6.9, here also we can assume that $T_1 = I_{H_1}$. Let $k \in \mathbb{N}$ and $A_1, A_2, A_3 \in M_k$. Since $U_1^* \otimes U_2 \otimes I_{K_3}$ and $U_1^* \otimes I_{K_2} \otimes U_3$ commute, therefore via Ando’s theorem, we conclude that

$$\|A_1 \otimes I_{H_1} \otimes T_1 \otimes I_{H_3} + A_2 \otimes I_{H_1} \otimes T_2 \otimes I_{H_3} + A_3 \otimes I_{H_1} \otimes I_{H_2} \otimes T_3\|_{{op}} \leq \|A_1 + A_2 z_2 + A_3 z_3\|_{MIN}.$$ 

The right hand quantity in this inequality is $\|A_1 \otimes (1, 0, 0) + A_2 \otimes (0, 1, 0) + A_3 \otimes (0, 0, 1)\|_{MIN}$. Since MIN is the smallest operator space structure, therefore all the operator space structure on $\ell^1(3)$, defined in the Theorem 6.7, are completely isometric to the MIN structure.

6.4 Operator space structures on $\ell^1(3)$ different from the MIN structure

Due to Parrott’s example [Par70], it is known that a linear contractive map on $\ell^1(3)$ may not be completely contractive. An explicit example for this is give also in the paper of G. Misra [Mis94]. This example explains that there are more than one operator space structure on $\ell^1(3)$. In this section, using the example in [Mis94], we give an explicit operator space structure on $\ell^1(3)$, which is different from the MIN structure.

Consider the following $2 \times 2$ unitary operators:

$$I_2 = \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}, \quad U := \begin{pmatrix} \frac{1}{2} & \frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \quad \text{and} \quad V := \begin{pmatrix} \frac{1}{2} & -\frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & \frac{1}{2} \end{pmatrix}.$$ 

It is clear that the map $h : \ell^1(3) \to M_2$, defined by $h(z_1, z_2, z_3) = z_1 I + z_2 U + z_3 V$, is of norm at most 1. The computations done in [Mis94] includes the following:

$$\|I \otimes I + U \otimes U + V \otimes V\| = 3. \quad \text{(6.1)}$$

and

$$\sup_{z_1, z_2, z_3 \in \mathbb{D}} \|z_1 I + z_2 U + z_3 V\| < 3. \quad \text{(6.2)}$$

Choose a diagonal operator $D$ on $\ell^2(Z)$ such that $\|D\| \leq 1$ and $\mathbb{T} \subset \sigma(D)$. Define

$$\tilde{T}_1 := \begin{pmatrix} I & 0 \\ 0 & D \end{pmatrix}, \quad \tilde{T}_2 := \begin{pmatrix} U & 0 \\ 0 & D \end{pmatrix}, \quad \tilde{T}_3 := \begin{pmatrix} V & 0 \\ 0 & D \end{pmatrix}.$$
6.4 Operator space structures on $\ell^1(n)$ different from the MIN structure

and

$$\hat{T}_1 = \hat{T}_1 \otimes I \otimes I, \quad \hat{T}_2 = I \otimes \hat{T}_2 \otimes I, \quad \hat{T}_3 = I \otimes I \otimes \hat{T}_n.$$  

Let

$$S_1 := \hat{T}_1 \oplus I, \quad S_2 := \hat{T}_2 \oplus U, \quad S_3 := \hat{T}_3 \oplus V$$

be operators on a Hilbert space $\mathcal{K}$.

Define

$$S : (\ell^1(3), MIN) \longrightarrow B(\mathcal{K})$$

by

$$S(e_1) = S_1, \quad S(e_2) = S_2, \quad S(e_3) = S_3$$

and extend it linearly.

From the Theorem 6.7, we know that the function $(z_1, z_2, z_3) \mapsto z_1 \hat{T}_1 + z_2 \hat{T}_2 + z_3 \hat{T}_3$ is an isometry and since $h$ is of norm at most 1, it follows that the map $(z_1, z_2, z_3) \mapsto z_1 S_1 + z_2 S_2 + z_3 S_3$ is also an isometry. Consequently, there is an operator space structure on $\ell^1(3)$ for which $S$ is a complete isometry. Also from (6.1), we have

$$\|S_1 \otimes I + S_2 \otimes U + S_3 \otimes V\| \geq \|I \otimes I + U \otimes U + V \otimes V\| = 3.$$  

On the other hand from (6.2), we have

$$\sup_{z_1, z_2, z_3 \in \mathbb{D}} \|z_1 I + z_2 U + z_3 V\| < 3$$

and hence the operator space structure induced by $S$ is different from the MIN structure.
List of Symbols

$\mathbb{N}$ The set of all positive integers
$\mathbb{Z}$ The set of all integers
$\mathbb{N}_0$ The set of all non-negative integers
$\mathbb{C}$ Complex plane
$\mathbb{C}[Z_1, \ldots, Z_m]$ The set of all polynomials in $m$ variables
$z \cdot x \sum_{j=1}^{l} z_j x_j$ for $x = (x_1, \ldots, x_l) \in B^l$, $z = (z_1, \ldots, z_l) \in \mathbb{C}^l$
$\|f\|_{\Omega, \infty}$ $\sup\{|f(z)| : z \in \Omega\}$
$\mathcal{H}$ A separable Hilbert space
$\mathcal{B}(\mathbb{H})$ The set of all bounded operators on $\mathbb{H}$
$\sigma(T)$ Spectrum of $T$
$H^\infty(\Omega)$ The set of all bounded holomorphic functions on $\Omega$
$\mathbb{D}$ unit disk in $\mathbb{C}$
$T$ Circle of unit length
$\|p\|_{\Omega, \infty}^{\text{op}}$ $\sup\{\|p(z)\|_{\text{op}} : z \in \Omega\}$
$K_G^{\mathbb{C}}$ Complex Grothendieck Constant
$\mathcal{P}_k[Z_1, \ldots, Z_n]$ The set of all polynomials of degree $k$ in $n$ variables
$H^\infty(\Omega)$ The set of all complex valued bounded holomorphic function on $\Omega$
$H^\infty(\Omega, \mathbb{D})$ \{ $f \in H^\infty(\Omega) : \|f\|_{\Omega, \infty} \leq 1$ \}
$H^\infty_{\omega}(\Omega, \mathbb{D})$ \{ $f \in H^\infty(\Omega, \mathbb{D}) : f(\omega) = 0$ \}
$Df(\omega)$ $\left(\frac{\partial}{\partial z_1} f(\omega), \ldots, \frac{\partial}{\partial z_m} f(\omega)\right)$
$\mathcal{L}[Z_1, \ldots, Z_n]$ \{ $a_1 z_1 + \cdots + a_n z_n : a_i \in \mathbb{C}, i = 1, \ldots, n$ \}
$[x^i, y] \sum_j x_j y_j$
$x^\sharp \mathbb{C}$ – valued linear map on $\mathbb{H}$ defined by $x^\sharp(y) = [x^\sharp, y]$
$\mathbb{H}^\sharp$ \{ $x^\sharp : x \in \mathbb{H}$ \}
$L^2(\mathbb{T})$ The set of all square integrable functions on $\mathbb{T}$ with respect to
List of Symbols

| Symbol          | Description                                                                 |
|-----------------|------------------------------------------------------------------------------|
| $H^2(\mathbb{T})$ | Hardy space                                                                 |
| $L^\infty(\mathbb{T}^n)$ | The set of all essentially bounded functions $\mathbb{T}^n$ with respect to Lebesgue measure and equipped with the essential sup norm |
| $M_\phi$        | Multiplication operator corresponding to $\phi$                             |
| $H_\phi$        | Hankel matrix corresponding to symbol $\phi$                                 |
| $\|T\|_\infty$  | $\max\{\|T_1\|, \ldots, \|T_n\|\}$                                       |
| $C_k(n)$        | $\sup\{\|p(T)\| : \|p\|_{\mathbb{D}^n, \infty} \leq 1, p$ is of degree at most $k, \|T\|_\infty \leq 1\}$ |
| $C(n)$          | $\lim_{k \to \infty} C_k(n)$                                              |
| $\mathcal{T}(A_1, \ldots, A_n)$ | The set of all $k \times k$ matrices with entries in Banach space $B$ |
| $\text{dist}_{\infty, \alpha}(\phi, K)$ | Distance of $\phi$ from $K$         with respect to essential sup norm |
| $A_1$           | $\bigcup_{k \in \mathbb{N}_0} P_k$                                        |
| $A_2$           | $\bigcup_{k \in \mathbb{N}} P_{-k}$                                        |
| $H_1$           | $\left\{ f := \sum_{(m, n) \in A_1} a_{m,n} z_1^m z_2^n | f \in L^\infty(\mathbb{T}^2) \right\}$ |
| $H_2$           | $\left\{ f := \sum_{(m, n) \in A_2} a_{m,n} z_1^m z_2^n | f \in L^\infty(\mathbb{T}^2) \right\}$ |
| $\ell^2(\mathbb{N}_0)$ | $\{(a_0, a_1, \ldots) : a_j \in \mathbb{C}$ for all $j \in \mathbb{N}_0, \sum_{j \geq 0} |a_j|^2 < \infty\}$ |
| $p_\Lambda$     | $\sum_{i,j=1}^n a_{ij} z_i w_j$, where $A = \begin{pmatrix} a_{ij} \end{pmatrix}$ |
| $\Delta$        | $\{(z_1, \ldots, z_n, z_1, \ldots, z_n) : |z_i| < 1, 1 \leq i \leq n\}$ |
| $\|z_1, \ldots, z_n\|_p$ | $(|z_1|^p + \cdots + |z_n|^p)^{1/p}$ |
| $\ell^p(n)$     | $(\mathbb{C}^n, \|\cdot\|_p)$                                             |
| $\|A\|_{\ell^\infty(n) \to \ell^1(n)}$ | Operator norm of $A : \ell^\infty(n) \to \ell^1(n)$ |
| $A_{xy}$        | The matrix $([x_j^k, y_k^l])_{m \times m}$                                  |
| $\mathcal{D}_\Omega^{(w)}$ | $\{ \frac{1}{2} D^2 f(\omega), Df(\omega) : f : \Omega \to \mathbb{D}$ is an analytic map with $f(\omega) = 0\}$ |
| $M_m$           | The set of all $m \times m$ complex symmetric matrices                      |
| $\|\cdot\|_\mathcal{D}$ | The norm in $M_m \times \mathbb{C}^m$ corresponding to the unit ball $\mathcal{D}_\Omega^{(w)}$ |
| $\mathcal{U}$  | $\{ (z, v) : z \in \mathbb{C}, v \in \mathbb{H}$ such that $|z| + \|v\|^2 \leq 1\}$ |
| $\|\cdot\|_\mathcal{U}$ | The norm in $\mathbb{C} \oplus \mathbb{H}$ corresponding to the unit ball $\mathcal{U}$ |
| $\mathcal{P}_k(\Omega, E)$ | $\{ p \in \mathbb{C}[Z_1, \ldots, Z_n] : \deg(p) \leq k$ and $p(\Omega) \subset E\}$. |
| $\mathcal{P}_k^{(w)}(\Omega, E)$ | The set of all polynomials $p \in \mathcal{P}_k(\Omega, E)$ with $p(\omega) = 0$. |
$M_k$ The set of all $k \times k$ complex matrices
$(X)_1$ Open Unit Ball of Banach Space $X$
$\mathcal{P}(\mathbb{C}^m, M_k)$ The set of all $M_k$ valued polynomials in $m$ variables
$\mathcal{P}_k(\mathbb{C}^m, M_k)$ \{\(p \in \mathcal{P}(\mathbb{C}^m, M_k) : \deg(p) \leq k\}\}
$\mathcal{P}_k^{(a)}(\mathbb{C}^m, M_k)$ The set of all polynomials $p \in \mathcal{P}_k(\mathbb{C}^m, M_k)$ such that $p(\omega) = 0$
$\mathcal{P}_n^{(a)}(\Omega, (M_k)_1)$ \{\(p \in \mathcal{P}_n^{(a)}(\mathbb{C}^m, M_k) : \|p\|_{\Omega, \infty}^{op} \leq 1\}\}
$B^*$ Adjoint of the bilateral shift
$\ell^2(\mathbb{Z}) \:\{\ldots, a_{-1}, a_0, a_1, \ldots : a_j \in \mathbb{C} \text{ for all } j \in \mathbb{Z}, \sum_{j \in \mathbb{Z}} |a_j|^2 < \infty\}$
$C^*(a)$ $C^*$ – algebra generated by $1$, $a$ and $a^*$
$\sigma(a)$ \{\(\lambda \in \mathbb{C} : a - \lambda 1 \text{ is not invertible}\}\}
$C(X)$ The set of all complex valued continuous functions on $X$
$I_k$ Identity operator on $\mathbb{C}^k$
$I$ Identity operator on $\mathbb{H}$
$\Re(z)$ Real part of $z$
$H_+$ The right half plane
$P_k$ $\{(x, y) \in \mathbb{Z}^2 : x + y = k\}$
$arg(a)$ Argument of the complex number $a$
$H(T_1, T_2, \ldots)$
\[
\begin{pmatrix}
T_1 & T_2 & T_3 & \cdots \\
T_2 & T_3 & T_4 & \cdots \\
T_3 & T_4 & T_5 & \cdots \\
\vdots & \vdots & \vdots & \ddots
\end{pmatrix}
\]
$T_n((b_m), a_0, a_1, \ldots, a_{n-1})$
\[
\begin{pmatrix}
a_0 & a_1 & \cdots & a_{n-1} \\
b_1 & a_0 & \cdots & a_{n-2} \\
\vdots & \vdots & \ddots & \vdots \\
b_{n-1} & b_{n-2} & \cdots & a_0
\end{pmatrix}
\]
$M_k(V)$ $M_k \otimes V$
$MIN(V)$ MIN operator space structure on $V$
$MAX(V)$ MAX operator space structure on $V$
$\alpha(V)$ \{\(\|v_{ij}\|_{MAX} : (v_{ij}) \in M_{k,l}(V), k \text{ and } l \text{ are arbitrary positive integers}\}\}
$\dim(V)$ Dimension of the vector space $V$
$D_T$ The positive square root of the operator $I - T^* T$
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84
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