

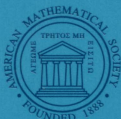
Fundamentals of the Theory of Operator Algebras

Volume I:
Elementary Theory

Richard V. Kadison
John R. Ringrose

**Graduate Studies
in Mathematics**

Volume 15



American Mathematical Society

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John R. Ringrose

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American Mathematical Society

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CONTENTS

<i>Preface</i>	vii
<i>Contents of Volume II</i>	xiii

Chapter 1. Linear Spaces

1.1. Algebraic results	1
1.2. Linear topological spaces	12
1.3. Weak topologies	28
1.4. Extreme points	31
1.5. Normed spaces	35
1.6. Linear functionals on normed spaces	43
1.7. Some examples of Banach spaces	48
1.8. Linear operators acting on Banach spaces	59
1.9. Exercises	65

Chapter 2. Basics of Hilbert Space and Linear Operators

2.1. Inner products on linear spaces	75
2.2. Orthogonality	85
2.3. The weak topology	97
2.4. Linear operators	99
<i>General theory</i>	100
<i>Classes of operators</i>	103
2.5. The lattice of projections	109
2.6. Constructions with Hilbert spaces	120
<i>Subspaces</i>	120
<i>Direct sums</i>	121
<i>Tensor products and the Hilbert–Schmidt class</i>	125
<i>Matrix representations</i>	147
2.7. Unbounded linear operators	154
2.8. Exercises	161

Chapter 3. Banach Algebras

3.1. Basics	173
3.2. The spectrum	178
<i>The Banach algebra $L_1(\mathbb{R})$ and Fourier analysis</i>	187
3.3. The holomorphic function calculus	202
<i>Holomorphic functions</i>	202
<i>The holomorphic function calculus</i>	205
3.4. The Banach algebra $C(X)$	210
3.5. Exercises	223

Chapter 4. Elementary C^* -Algebra Theory

4.1. Basics	236
4.2. Order structure	244
4.3. Positive linear functionals	255
4.4. Abelian algebras	269
4.5. States and representations	275
4.6. Exercises	285

Chapter 5. Elementary von Neumann Algebra Theory

5.1. The weak- and strong-operator topologies	304
5.2. Spectral theory for bounded operators	309
5.3. Two fundamental approximation theorems	325
5.4. Irreducible algebras—an application	330
5.5. Projection techniques and constructs	332
<i>Central carriers</i>	332
<i>Some constructions</i>	334
<i>Cyclicity, separation, and countable decomposability</i>	336
5.6. Unbounded operators and abelian von Neumann algebras	340
5.7. Exercises	370

Bibliography	384
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<i>Index of Notation</i>	387
<i>Index</i>	391

PREFACE

These volumes deal with a subject, introduced half a century ago, that has become increasingly important and popular in recent years. While they cover the fundamental aspects of this subject, they make no attempt to be encyclopaedic. Their primary goal is to *teach* the subject and lead the reader to the point where the vast recent research literature, both in the subject proper and in its many applications, becomes accessible.

Although we have put major emphasis on making the material presented clear and understandable, the subject is not easy; no account, however lucid, can make it so. If it is possible to browse in this subject and acquire a significant amount of information, we hope that these volumes present that opportunity—but they have been written primarily for the reader, either starting at the beginning or with enough preparation to enter at some intermediate stage, who works through the text systematically. The study of this material is best approached with equal measures of patience and persistence.

Our starting point in Chapter 1 is finite-dimensional linear algebra. We assume that the reader is familiar with the results of that subject and begin by proving the infinite-dimensional algebraic results that we need from time to time. These volumes deal almost exclusively with infinite-dimensional phenomena. Much of the intuition that the reader may have developed from contact with finite-dimensional algebra and geometry must be abandoned in this study. It will mislead as often as it guides. In its place, a new intuition about infinite-dimensional constructs must be cultivated. Results that are apparent in finite dimensions may be false, or may be difficult and important principles whose application yields great rewards, in the infinite-dimensional case.

Almost as much as the subject matter of these volumes is infinite dimensional, it is *non-commutative real analysis*. Despite this description, the reader will find a very large number of references to the “abelian” or “commutative” case—an important part of this first volume is an analysis of the abelian case. This case, parallel to function theory and measure theory, provides us with a major tool and an important guide to our

intuition. A good part of what we know comes from extending to the non-commutative case results that are known in the commutative case. The “extension” process is usually difficult. The main techniques include elaborate interlacing of “abelian” segments. The reference to “real analysis” involves the fact that while we consider complex-valued functions and, non-commutatively, non-self-adjoint operators, the structures we study make simultaneously available to us the complex conjugates of those functions and, non-commutatively, the adjoints of those operators. In essence, we are studying the algebraic interrelations of systems of real functions and, non-commutatively, systems of self-adjoint operators. At its most primitive level, the non-commutativity makes itself visible in the fact that the product of a function and its conjugate is the same in either order while this is not in general true of the product of an operator and its adjoint.

In the sense that we consider an operator and its adjoint on the same footing, the subject matter we treat is referred to as the “self-adjoint theory.” There is an emerging and important development of non-self-adjoint operator algebras that serves as a non-commutative analogue of complex function theory—algebras of holomorphic functions. This area is not treated in these volumes. Many important developments in the self-adjoint theory—both past and current—are not treated. The type I C^* -algebras and C^* -algebra K -theory are examples of important subjects not dealt with. The aim of teaching the basics and preparing the reader for individual work in research areas seems best served by a close adherence to the “classical” fundamentals of the subject. For this same reason, we have not included material on the important application of the subject to the mathematical foundation of theoretical quantum physics. With one exception, applications to the theory of representations of topological groups are omitted. Accounts of these vast research areas, within the scope of this treatise, would be necessarily superficial. We have preferred instead to devote space to clear and leisurely expositions of the fundamentals. For several important topics, two approaches are included.

Our emphasis on instruction rather than comprehensive coverage has led us to settle on a very brief bibliography. We cite just three textbooks (listed as [H], [K], and [R]) for background information on general topology and measure theory, and for this first volume, include only 25 items from the literature of our subject. Several extensive and excellent bibliographies are available (see, for example, [2,24,25]), and there would be little purpose in reproducing a modified version of one of the existing lists. We have included in our references items specifically referred to in the text and others that might provide profitable additional reading. As a consequence, we have made no attempt, either in the text or in the exer-

cises, to credit sources on which we have drawn or to trace the historical background of the ideas and results that have gone into the development of the subject.

Each of the chapters of this first volume has a final section devoted to a substantial list of exercises, arranged roughly in the order of the appearance of topics in the chapter. They were designed to serve two purposes: to illustrate and extend the results and examples of the earlier sections of the chapter, and to help the reader to develop working technique and facility with the subject matter of the chapter. For the reader interested in acquiring an ability to work with the subject, a certain amount of exercise solving is indispensable. We *do not* recommend a rigid adherence to order—each exercise being solved in sequence and no new material attempted until all the exercises of the preceding chapter are solved. Somewhere between that approach and total disregard of the exercises a line must be drawn congenial to the individual reader's needs and circumstances. In general, we *do* recommend that the greater proportion of the reader's time be spent on a thorough understanding of the main text than on the exercises. In any event, *all* the exercises have been designed to be solved. Most exercises are separated into several parts with each of the parts manageable and some of them provided with hints. Some are routine, requiring nothing more than a clear understanding of a definition or result for their solutions. Other exercises (and groups of exercises) constitute small (guided) research projects.

On a first reading, as an introduction to the subject, certain sections may well be left unread and consulted on a few occasions as needed. Section 2.6, *Tensor products and the Hilbert–Schmidt class* (this “subsection” is the largest part of Section 2.6) will not be needed seriously until Chapter 11 (in Volume II). All the material on unbounded operators (and the material related to Stone's theorem) will not be needed until Chapter 9 (in Volume II). Thus Section 2.7, Section 3.2, *The Banach algebra $L_1(\mathbb{R})$ and Fourier analysis*, the last few pages of Chapter 4 (including Theorem 4.5.9), and Section 5.6, can be deferred to a later reading. Some readers, more or less familiar with the elements of functional analysis, may want to enter the text after Chapter 1 with occasional back references for notation or precise definitions and statements of results. The reader with a good general knowledge of basic functional analysis may consider beginning at Section 3.4 or perhaps with Chapter 4.

The various possible styles of reading this volume, related to the levels of preparation of the reader, suggest several styles and levels of courses for which it can be used. For all of these, a good working knowledge of point-set (general) topology, such as may be found in [K], is assumed. Somewhat less vital, but useful, is a knowledge of general measure the-

ory, such as may be found in [H] and parts of [R]. Of course, full command of the fundamentals of real and complex analysis (we refer to [R] for these) is needed; and, as noted earlier, the elements of finite-dimensional linear algebra are used. The first three chapters form the basis of a course in elementary functional analysis with a slant toward operator algebras and its allied fields of group representations, harmonic analysis, and mathematical (quantum) physics. These chapters provide material for a brisk one-semester course at the first- or second-year graduate level or for a more leisurely one-year course at the advanced undergraduate or beginning graduate level. Chapters 3, 4, and 5 provide an introduction to the theory of operator algebras and have material that would serve as a one-semester graduate course at the second- or third-year level (especially if Section 5.6 is omitted). In any event, the book has been designed for individual study as well as for courses, so that the problem of a wide spread of preparation in a class can be dealt with by encouraging the better prepared students to proceed at their own paces. Seminar and reading-course possibilities are also available.

When several (good) terms for a mathematical construct are in common use, we have made no effort to choose one and then to use that one term consistently. On the contrary, we have used such terms interchangeably after introducing them simultaneously. This seems the best preparation for further reading in the research literature. Some examples of such terms are weaker, coarser (for topologies on a space), unitary transformation, and Hilbert space isomorphism (for structure-preserving mappings between Hilbert spaces). In cases where there is conflicting use of a term in the research literature (for example, “purely infinite” in connection with von Neumann algebras), we have avoided all use of the term and employed accepted terminology for each of the constructs involved. Since the symbol $*$ is used to denote the adjoint operations on operators and on sets of operators, we have preferred to use a different symbol in the context of Banach dual spaces. We denote the dual space of a Banach space \mathfrak{X} by $\mathfrak{X}^{\#}$. However, we felt compelled by usage to retain the terminology “weak $*$ ” for the topology induced by elements of \mathfrak{X} (as linear functionals on $\mathfrak{X}^{\#}$).

Results in the body of the text are italicized, titled Theorem, Proposition, Lemma, and Corollary (in decreasing order of “importance”—though, as usual, the “heart of the matter” may be dealt with in a lemma and its most usable aspect may appear in a corollary). In addition, there are Remarks and Examples that extend and illuminate the material of a section, and of course there are the (formal) Definitions. None of these items is italicized, though a crucial phrase or word frequently is. Each of these segments of the text is preceded by a number, the first digit of which

indicates the chapter, the second the section, and the last one- or two-digit number the position of the item in the section. Thus, "Proposition 5.5.18" refers to the eighteenth numbered item in the fifth section of the fifth chapter. A back or forward reference to such an item will include the title ("Theorem," "Remark," etc.), though the number alone would serve to locate it. Occasionally a displayed equation, formula, inequality, etc., is assigned a number in parentheses at the left of the display—for example, the "convolution formula" of Fourier transform theory appears as the display numbered (4) in the proof of Theorem 3.2.26. In its own section, it is referred to as (4) and elsewhere as 3.2(4).

The lack of illustrative examples in much of Chapter 1 results from our wish to bring the reader more rapidly to the subject of operator algebras rather than to dwell on the basics of general functional analysis. As compensation for their lack, the exercises supply much of the illustrative material for this chapter. Although the tensor product development in Section 2.6 may appear somewhat formal and forbidding at first, it turns out that the trouble and care taken at that point simplify subsequent application. The same can be said (perhaps more strongly) about Section 5.6. The material on unbounded operators (their spectral theory and function calculus) is so vital when needed and so susceptible to incorrect and incomplete application that it seemed well worth a careful and thorough treatment. We have chosen a powerful approach that permits such a treatment, much in the spirit of the theory of operator algebras.

Another (general) aspect of the organization of material in a text is the way the material of the text proper relates to the exercises. As a matter of specific policy, we have not relegated to the exercises whole arguments or parts of arguments. Reference is occasionally made to an exercise as an illustration of some point—for example, the fact that the statement resulting from the omission of some hypothesis from a theorem is false.

During the course of the preparation of these volumes, we have enjoyed, jointly and separately, the hospitality and facilities of several universities, aside from our home institutions. Notable among these are the Mathematics Institutes of the Universities of Aarhus and Copenhagen and the Theoretical Physics Institute of Marseille–Luminy. The subject matter of these volumes and its style of development is inextricably interwoven with the individual research of the authors. As a consequence, the support of that research by the National Science Foundation (U.S.A.) and the Science Research Council (U.K.) has had an oblique but vital influence on the formation of these volumes. It is the authors' pleasure to express their gratitude for this support and for the hospitality of the host institutions noted.

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CONTENTS OF VOLUME II

Advanced Theory

Chapter 6. Comparison Theory of Projections

- 6.1. Polar decomposition and equivalence
- 6.2. Ordering
- 6.3. Finite and infinite projections
- 6.4. Abelian projections
- 6.5. Type decomposition
- 6.6. Type I algebras
- 6.7. Examples
- 6.8. Ideals
- 6.9. Exercises

Chapter 7. Normal States and Unitary Equivalence of von Neumann Algebras

- 7.1. Completely additive states
- 7.2. Vector states and unitary implementation
- 7.3. A second approach to normal states
- 7.4. The predual
- 7.5. Normal weights on von Neumann algebras
- 7.6. Exercises

Chapter 8. The Trace

- 8.1. Traces
- 8.2. The trace in finite algebras
- 8.3. The Dixmier approximation theorem
- 8.4. The dimension function
- 8.5. Tracial weights on factors
- 8.6. Further examples of factors
 - An operator-theoretic construction*
 - Measure-theoretic examples*
- 8.7. Exercises

Chapter 9. Algebra and Commutant

- 9.1. The type of the commutant
- 9.2. Modular theory
 - A first approach to modular theory*
 - Tomita's theorem—a second approach*
 - A further extension of modular theory*
- 9.3. Unitary equivalence of type I algebras
- 9.4. Abelian von Neumann algebras
- 9.5. Spectral multiplicity
- 9.6. Exercises

Chapter 10. Special Representations of C^* -Algebras

- 10.1. The universal representation
- 10.2. Irreducible representations
- 10.3. Disjoint representations
- 10.4. Examples
 - Abelian C^* -algebras*
 - Compact operators*
 - $\mathcal{B}(\mathcal{H})$ and the Calkin algebra*
 - Uniformly matricial algebras*
- 10.5. Exercises

Chapter 11. Tensor Products

- 11.1. Tensor products of represented C^* -algebras
- 11.2. Tensor products of von Neumann algebras
 - Elementary properties*
 - The commutation theorem*
 - The type of tensor products*
 - Tensor products of unbounded operators*
- 11.3. Tensor products of abstract C^* -algebras
 - The spatial tensor product*
 - C^* -norms on $\mathfrak{A} \otimes \mathfrak{B}$*
 - Nuclear C^* -algebras*
- 11.4. Infinite tensor products of C^* -algebras
- 11.5. Exercises

Chapter 12. Approximation by Matrix Algebras

- 12.1. Isomorphism of uniformly matricial algebras
- 12.2. The finite matricial factor
- 12.3. States and representations of matricial C^* -algebras
- 12.4. Exercises

Chapter 13. Crossed Products

- 13.1. Discrete crossed products
- 13.2. Continuous crossed products
- 13.3. Crossed products by modular automorphism groups
- 13.4. Exercises

Chapter 14. Direct Integrals and Decompositions

- 14.1. Direct integrals
- 14.2. Decompositions relative to abelian algebras
- 14.3. Appendix—Borel mappings and analytic sets
- 14.4. Exercises

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INDEX OF NOTATION

Algebras and related matters

$A \hat{+} B$	closed sum of operators, 352
$A \hat{\cdot} B$	closed product of operators, 352
$\mathcal{A}_1(\mathbb{R})$	algebra of convolution operators, 190
\mathfrak{A}^+	positive cone in \mathfrak{A} , 244
\mathfrak{A}_h	set of self-adjoint elements of \mathfrak{A} , 249
\mathfrak{A}^-	weak-operator closure of \mathfrak{A} , 328
$\overline{\mathfrak{A}}$	norm closure of \mathfrak{A} , 328
$\mathfrak{A}_1(\mathbb{R})$	norm closure of $\mathcal{A}_1(\mathbb{R})$, 190
$\mathfrak{A}_0(\mathbb{R})$	$\mathfrak{A}_1(\mathbb{R})$ with unit adjoined, 190
\mathcal{B}_u	algebra of Borel functions on \mathbb{C} , 359
$\mathcal{B}_u(X)$	algebra of Borel functions on X , 358
C_A	central carrier, 333
$E\mathcal{R}E$	reduced von Neumann algebra, 336
$E'\mathcal{R}'E'$	reduced von Neumann algebra, 335
$\mathcal{F}x$	$\{Ax : A \in \mathcal{F}\}$, 276
$\mathcal{F}\mathfrak{X}$	$\{Ax : A \in \mathcal{F}, x \in \mathfrak{X}\}$, 276
\mathcal{F}'	commutant, 325
\mathcal{F}''	double commutant, 326
\mathcal{F}^*	$\{A^* : A \in \mathcal{F}\}$, 326
$\mathcal{H}(A)$	set of holomorphic functions, 206
I	unit element, identity operator, 41
\cong	isomorphism between algebras, 310
\mathcal{L}_ρ	left kernel of the state ρ , 278
L_f	operator, on L_2 , of convolution by f , 190
\mathcal{M}^+	positive cone in \mathcal{M} , 255
\mathcal{M}_h	set of self-adjoint elements of \mathcal{M} , 255
$\mathcal{M}(\mathbb{R})$	set of multiplicative linear functionals on $\mathfrak{A}_0(\mathbb{R})$, 197
$\mathcal{M}_0(\mathbb{R})$	$\mathcal{M}(\mathbb{R}) \setminus \{\rho_\infty\}$, 195
$\mathcal{N}(\mathcal{A})$	algebra of operators affiliated with \mathcal{A} , 352
$\mathcal{N}(X)$	algebra of normal functions on X , 344
$\mathcal{P}(\mathcal{M})$	set of pure states of \mathcal{M} , 261
$\mathcal{P}(\mathcal{M})^-$	pure states space of \mathcal{M} , 261
$(\pi_\rho, \mathcal{H}_\rho, x_\rho)$	GNS constructs, 278
\mathbb{R}	dual group of \mathbb{R} , 192
$r(A)$	spectral radius, 180
$r_{\mathfrak{A}}(A)$	spectral radius, 180
$\mathcal{R}E'$	restricted von Neumann algebra, 334
$\mathcal{R}'E$	restricted von Neumann algebra, 336
$\text{sp}(A)$	spectrum of A , 178, 357

$\text{sp}_{\mathfrak{A}}(A)$	spectrum of A in \mathfrak{A} , 178
$\text{sp}(f)$	essential range of f , 185, 380
$\mathcal{S}(\mathcal{A})$	set of self-adjoint affiliated operators, 349
$\mathcal{S}(\mathcal{M})$	state space of \mathcal{M} , 257
$\mathcal{S}(\mathcal{V})$	state space of \mathcal{V} , 213
$\mathcal{S}(X)$	set of self-adjoint functions on X , 344
\mathbb{T}_1	dual group of \mathbb{T}_1 , 231
$T \eta \mathcal{R}$	T is affiliated with \mathcal{R} , 342
ω_x	vector state, 256
$\omega_{x,y}$	vector functional, 305
$\hat{\mathbb{Z}}$	dual group of \mathbb{Z} , 230

Direct sums

$\mathcal{H}_1 \oplus \cdots \oplus \mathcal{H}_n$	direct sum of Hilbert spaces, 121
$\sum_1^n \mathcal{H}_j$	direct sum of Hilbert spaces, 121
$\sum \mathcal{H}_a$	direct sum of Hilbert spaces, 123
$\sum \oplus x_a$	direct sum of vectors, 123
$\sum_1^n \oplus T_j$	direct sum of operators, 122
$\sum \oplus T_a$	direct sum of operators, 124
$\sum \oplus \phi_b$	direct sum of representations, 281
$\sum \oplus \mathcal{R}_a$	direct sum of von Neumann algebras, 336

Inner products and norms

$\langle \cdot, \cdot \rangle$	inner product, 75
$\ \cdot \ $	norm (on a linear space), 35
	bound
	of a linear operator, 40
	of a linear functional, 44
	of a conjugate-bilinear functional, 100
	of a multilinear functional, 126
$\ \cdot \ _p$	norm
	in L_p ($1 \leq p \leq \infty$), 55
	in l_p ($1 \leq p \leq \infty$), 71
$\ \cdot \ _2$	norm
	in $\mathcal{H S F}$, 128
	in $\mathcal{H S O}$, 141
	for a weak Hilbert-Schmidt mapping, 131
$\ \cdot \ _I$	norm associated with an order unit I , 296

Linear operators

$\mathcal{B}(\mathcal{H})^+$	positive cone in $\mathcal{B}(\mathcal{H})$, 105
$\mathcal{B}(\mathfrak{X})$	set of bounded linear operators on \mathfrak{X} , 41
$\mathcal{B}(\mathfrak{X}, \mathcal{Y})$	set of bounded linear operators from \mathfrak{X} to \mathcal{Y} , 41
$\mathcal{D}(T)$	domain of T , 154
$\mathcal{G}(T)$	graph of T , 155
$\text{Im } T$	imaginary part of T , 105

\subseteq	inclusion of operators, 155
$E \wedge F$	infimum of projections, 111
$E \vee F$	supremum of projections, 111
$\wedge E_a$	infimum of projections, 111
$\vee E_a$	supremum of projections, 111
M_f	multiplication operator, 108, 185, 341
$N(T)$	null projection of T , 118
$R(T)$	range projection of T , 118
$\operatorname{Re} T$	real part of T , 105
\bar{T}	closure of T , 155
T^\sharp	Banach adjoint operator, 48
T^*	Hilbert adjoint operator, 102, 157
$T C$	T restricted to C , 14
$\mathcal{U}(\mathcal{H})$	group of all unitary operators on \mathcal{H} , 282

Linear spaces

aX	a multiples of vectors in X , 1
$\operatorname{co} X$	convex hull of X , 4
\mathbb{C}^n	space of complex n -tuples, 8
\mathbb{K}^n	space of \mathbb{K} n -tuples, 8
\mathbb{R}^n	space of real n -tuples, 8
$\mathcal{V}/\mathcal{V}_0$	quotient linear space, 2
\mathcal{V}_r	real linear space associated with complex space \mathcal{V} , 7
$X \pm Y$	vector sum and difference of X and Y , 1

Linear topological spaces, Banach spaces, Hilbert spaces

$\overline{\operatorname{co}} X$	closed (sometimes, weak* closed) convex hull, 31
$\dim \mathcal{H}$	dimension of \mathcal{H} , 93
$\bar{\mathcal{H}}$	conjugate Hilbert space, 131
$\mathcal{H} \ominus Y$	orthogonal complement, 87
$\mathcal{H}\mathcal{S}\mathcal{F}$	set of Hilbert-Schmidt functionals, 128
$\mathcal{H}\mathcal{S}\mathcal{O}$	set of Hilbert-Schmidt operators, 141
$Y \wedge Z$	infimum (intersection) of closed subspaces, 111
$Y \vee Z$	supremum of closed subspaces, 111
$\wedge Y_a$	infimum (intersection) of closed subspaces, 111
$\vee Y_a$	supremum of closed subspaces, 111
$\sigma(\mathcal{V}, \mathcal{F})$	weak topology, 28
$\sigma(\mathcal{V}^\sharp, \mathcal{V})$	weak* topology, 31
$\sigma(\mathcal{V}, \mathcal{V}^\sharp)$	weak topology on \mathcal{V} , 30
\mathcal{V}^\sharp	continuous dual space, 30
$[x_1, \dots, x_n]$	subspace generated by x_1, \dots, x_n , 22
$[\mathfrak{X}]$	closed subspace generated by \mathfrak{X} , 22
$(\mathfrak{X})_r$	$\{x \in \mathfrak{X} : \ x\ \leq r\}$, 36
\mathfrak{X}^\sharp	Banach dual space, 43
$\mathfrak{X}^{\sharp\sharp}$	Banach second dual space, 43
Y^\perp	orthogonal complement, 87

Sets and mappings

$A \setminus B$	set-theoretic difference, 1
$\beta(\mathbb{N})$	β -compactification of \mathbb{N} , 224
\mathbb{C}	complex field, 1
\emptyset	empty set, 5
\subseteq	inclusion of sets
\subsetneq	strict inclusion of sets
\mathbb{K}	scalar field, \mathbb{R} or \mathbb{C} , 1
$f \wedge g$	minimum of functions, 214
$f \vee g$	maximum of functions, 214
$\bigwedge_{a \in A} f_a$	infimum of functions, 373
$\bigvee_{a \in A} f_a$	supremum of functions, 373
\mathbb{N}	set of positive integers, 68
\mathbb{R}	real field, 1
\mathbb{R}^+	set of non-negative real numbers, 233
$\sigma _{\mathcal{V}_{k+1}}$	σ restricted to \mathcal{V}_{k+1}
\mathbb{T}_1	circle group 192
\mathbb{Z}	additive group of integers, 230

Special Banach spaces

c , 68	l_1 , 69
c_0 , 68	l_∞ , 68
$C(S)$, 50	$l_\infty(\mathbb{A})$, 49
$C(S, \mathfrak{X})$, 49	$l_\infty(\mathbb{A}, \mathfrak{X})$, 48
$l_p(\mathbb{A})$, 51	$L_p (= L_p(S, \mathcal{L}, m))$, 52
$l_p(\mathbb{A}, \mathfrak{X})$, 50	$L_\infty (= L_\infty(S, \mathcal{L}, m))$, 52
l_2 , 84	L_1 , 54
$l_2(\mathbb{A})$, 84	L_2 , 53

Tensor products

$A_1 \otimes \cdots \otimes A_n$	tensor product of operators, 145
$\mathcal{H}_1 \otimes \cdots \otimes \mathcal{H}_n$	tensor product of Hilbert spaces, 135
$x_1 \otimes \cdots \otimes x_n$	tensor product of vectors, 135

INDEX

- A**
- Adjoint
 in an algebra with involution, 237
 Banach, 48
 Hilbert, 102
 of an unbounded operator, 157
- Affiliated operator, 342, 344
- Algebra
 abelian (commutative) Banach, 180
 abelian C^* , 210, 269
 abelian von Neumann, 310
 Banach, 41, 174
 of bounded operators, 102, 186, 236,
 298, 299, 303, 309
 C^* , 236
 of continuous functions, 175, 210
 countably decomposable (von
 Neumann), 338, 339, 380
 division, 180
 finite-dimensional C^* , 288
 L_1 , 187, 233
 L_∞ , 237
 maximal abelian, 308
 multiplication, 308, 314, 340, 343, 376,
 380
 von Neumann, 308
 normed, 174
 operator, 173, 304
 quotient, 177, 300
 self-adjoint, 237, 282, 309
 simple C^* , 377
 *, 237
 of unbounded continuous functions, 355
 of unbounded operators, 352, 355
- Approximate eigenvector, 178, 179, 183
- Approximate identity
 in C^* -algebras, 254, 293
 increasing, right, 254
 in $L_1(\mathbb{R})$, 191
- B**
- Approximation theorems
 double commutant, 326
 Kaplansky density, 329
 Stone–Weierstrass, 219, 221, 235
- Archimedean, 297
- B**
- Baire category theorem, 60, 323
- Balanced neighborhood of 0, 13
- Balanced set, 8
- Banach algebra, 41, 174
- Banach dual space, 44
- Banach inversion theorem, 61
- Banach lattice, 297
- Banach module, 302
- Banach–Orlicz theorem, 73
- Banach space, 36
- Bessel’s inequality, 90, 120
- β -compactification, 224
- Borel measure, regular, 53, 54
- Bound
 of a linear functional, 44
 of a linear operator, 40
- Bounded linear functional, 44
- Bounded linear operator, 41
- Boundedly complete lattice, *see* Lattice
- Bounded multilinear functional, 126
- Bounded multilinear mapping, 131
- Bounded set (in a normed space), 36
- Bounding projection, 351
- Bounding sequence, 351
- C**
- C^* -algebra, 236
 simple, 377
- Cauchy criterion, 26
- Cauchy–Schwarz inequality, 77, 215, 256
- Cayley transform, 327, 328

- Central carrier, 332, 333
 Character
 of \mathbb{R} , 192, 282
 of \mathbb{T}_1 , 231
 of \mathbb{Z} , 230
 Clopen set, 222
 Closed graph theorem, 62
 Closure (of an operator), 155
 Codimension, 2
 Commutant, 325
 Commutation relations, 181
 Commutator, 181
 Compact linear operator, 165, 166, 227
 Compact self-adjoint operator, 166, 167
 Compact support, 201
 Complementary subspaces, 11, 63, 88
 Complete (linear topological space), 14
 Completion
 of a normed algebra, 174
 of a normed space, 38
 of a pre-Hilbert space, 80
 Complexification
 of a real Hilbert space, 76, 161
 of a real linear space, 66
 of a real normed space, 66
 Compression, 121, 276
 Cone, 212, 245
 Conjugate-bilinear functional, 100
 bounded, 100
 positive, 103
 symmetric, 103
 Conjugate Hilbert space, 131
 Conjugate-linear operator, 15, 65
 Convergence
 of nets in a locally convex space, 25
 of series in a normed space, 38
 of sums in a locally convex space, 25
 Convex combination (finite), 3
 Convex hull (of a set), 4
 closed, 31
 Convex set, 3
 Convolution, 187, 230, 231
 Core (for an unbounded operator), 155, 349
 Countably decomposable von Neumann algebra, 338, 339, 380
 Countably decomposable projection, 338, 340, 380
 Cyclic projection, 336
 Cyclic representation, 276, 278, 279
 Cyclic vector, 276
- D**
- Definite inner product, 76
 Definite state, 289
 Derivation, 301, 302
 Dimension (of a Hilbert space), 93
 Direct sum
 of Hilbert spaces, 121, 123
 of operators, 122, 124
 of representations, 281
 of von Neumann algebras, 336
 Division algebra, 180
 Double commutant theorem, 326
 Dual group
 of \mathbb{R} , 192
 of \mathbb{T}_1 , 231
 of \mathbb{Z} , 230
 Dual space
 algebraic, 2
 Banach, 44
 continuous, 30, 43
 second, 43, 45
- E**
- Eigenvalue, 109
 Eigenvector, 108
 approximate, 178, 179, 183
 Equivalence
 of function representations, 263
 of representations, 280
 Essential range
 of an L_∞ function, 185
 of a measurable function, 380
 Essential supremum, 52
 Essential representation, 282
 Essentially bounded, 52
 Evaluation functional, 211
 Extension
 by continuity, 14, 15
 of pure states, 266, 296
 of states, 266, 296
 theorems, *see* Hahn–Banach theorems
 Extreme point, 31, 32, 33, 34, 163, 164, 373

Extremely disconnected space, 222, 223,
224, 310, 322, 324, 344, 349, 373, 374,
375, 376

F

Face, 32
Factor, 308
Factorization, 2, 42
Factors through, 2, 42
Faithful representation, 275, 281
Faithful state, 288
Finite diagonal block (of a matrix), 154
Finite-dimensional space, 22, 23, 24
Finite-dimensional subspace, 22, 23, 24
First category (set of), 322
Fourier coefficients, 95
Fourier series, 95
Fourier transform, 187, 197, 368
 inversion of, 198, 199
 for L_2 functions, 201
Function calculus
 Borel (for bounded normal operators),
 319, 321, 322, 324, 377
 Borel (for unbounded normal operators),
 340, 360, 362, 363, 364, 366, 380
 continuous, 239, 240, 271, 272, 273, 274,
 340
 holomorphic, 206
 uniqueness, 273, 322, 362
Function representation, 263, 264
 of an abelian C^* -algebra, 270
 of a Banach lattice, 297
 equivalence of, 263
 separating, 263
Functional
 conjugate-bilinear, 100
 linear, 2
 multiplicative linear, *see* Multiplicative
 linear functional
 real-linear, 7
 sublinear, 8, 9
 support, 9, 65

G

Gelfand–Neumark theorem, 275, 281
Generalized nilpotent, 205, 225, 226, 227
Generating set of vectors, 336, 337

Generating vector
 for a cyclic projection, 336
 for a representation, 276
 for a von Neumann algebra, 336, 338,
 379, 380
GNS construction, 279
 (essential) uniqueness of, 279
Gram–Schmidt orthogonalization process,
 94
Graph (of an operator), 62, 155

H

Hahn–Banach theorems
 extension type, 7, 9, 10, 21, 22, 44
 separation type, 4, 7, 20, 21
Hahn–Jordan decomposition, 219, 258,
 259, 265, 290
Half-space (closed or open), 4
Hermite polynomials, 97
Hermitian linear functional
 on a C^* -algebra, 255
 on $C(X)$, 215
Hilbert–Schmidt
 functional, 127
 mapping (weak), 131
 operator, 141
Hilbert space, 79
 conjugate, 131
 pre-Hilbert space, 79, 80, 81
Hilbert space isomorphism, 93, 103, 104
Hölder’s inequality, 71, 188
Holomorphic function (Banach-space val-
 ued), 203
Holomorphic function calculus, 206
*Homomorphism, 237
Hull
 closed convex, 31
 convex, 4
 of a set, 211
Hyperplane, 4

I

Ideal
 in a Banach algebra, 177
 in a C^* -algebra, 251, 252, 254, 277, 300,
 301
 in $C(X)$, 210

- Ideal** (*continued*)
 in $L_1(\mathbb{R})$ and related algebras, 187, 190
 maximal, 177, 180, 210
- Idempotent**, 11, 208
- Initial topology**, 13
- Inner product**, 75, 76, 79
 definite, 76, 79, 277
 positive definite, 76
- Inner product space**, 76
- Internal point**, 4
- Intersection (of projections)**, 111
- Invariant mean**, 224
- Invariant subspace**, 121
 in Hilbert space, 121
 in L_1 under translations, 233
- Inverse (in a Banach algebra)**, 176
- Inversion theorem**
 Banach, 61
 for Fourier transforms, 199
- Invertible element (in a Banach algebra)**, 176
- Involution**, 236
- Irreducibility**
 algebraic, 330, 332
 topological, 330, 331, 332
- Isometric isomorphism**, 36
 of C^* -algebras, 242
 of function calculus, 240
 natural, from \mathfrak{X} into \mathfrak{X}^{**} , 45
- *Isomorphism**, 237
- J**
- Jacobi polynomials**, 97
- K**
- Kaplansky density theorem**, 329
- Kernel**
 of an ideal in $C(X)$, 211
 left, of a state, 278
 of a representation, 276
- Krein–Milman theorem**, 32
- L**
- Laguerre polynomials**, 97
- Lattice**, 214, 215, 298
 Banach, 297
 boundedly complete, 222, 223, 374, 375, 376
- sublattice, 235
- Legendre polynomials**, 97
- l_2 -independent, 379
- Linear combination (finite)**, 1
- Linear dependence**, 1
- Linear functional**, 2
 bounded, 44
 hermitian, *see* Hermitian linear functional
 multiplicative, *see* Multiplicative linear functional
 positive, *see* Positive linear functional
 weak* continuous, 31
 weakly continuous, 29, 30
- Linear independence**, 1
- Linear operator**, *see* Operator; Unbounded operator
- Linear order isomorphism**, 214
- Linear topological space**, 12
- Linear transformation**, *see* Operator; Unbounded operator
- Locally compact (locally convex space)**, 24
- Locally convex space**, 16
 finite-dimensional, 23, 24
 locally compact, 24
- Locally convex topology**, 16
- Locally finite group**, 224
- M**
- Matrix**
 with operator entries, 148
 with scalar entries, 147
- Maximal abelian algebra**, 308
- Maximal ideal**, 177, 180, 187, 190, 210
- Meager set**, 322, 375
- Minimal projection**, 309
- Minkowski's inequality**
 for sums, 50
 for integrals, 53
- Multilinear functional**, 126
- Multilinear mapping**, 131
- Multiplication algebra**, 308, 314, 340, 343, 376, 380
- Multiplication operator**, 106, 107, 108, 109, 117, 185, 315, 341, 342, 343, 344
- Multiplicative linear functional**, 180, 183, 187, 269
 on $C(X)$, 211, 213
 on $L_1(\mathbb{R})$, 193

- on $L_1(\mathbb{T}_1, m)$, 232
- on $l_1(\mathbb{Z})$, 231
- on $l_\infty(\mathbb{Z})$, 224
- Multiplicity (of an eigenvalue), 167, 227

N

- Natural image of \mathfrak{X} in \mathfrak{X}^{**} , 45
- Neighborhoods
 - balanced, 13, 18
 - in a linear topological space, 13
 - in a locally convex space, 17, 18
 - in a normed space, 35
 - in the strong-operator topology, 113
 - in the weak-operator topology, 305
 - in the weak* topology, 31
 - in a weak topology, 28
- Nilpotent, 205
 - generalized, *see* Generalized nilpotent
- Non-singular (element of a Banach algebra), 176
- Norm, 8, 35
 - on a Banach algebra, 174
 - of a bounded operator, 41, 100
 - on a C*-algebra, 236, 237
 - on $C(S)$, 49
 - of a conjugate-bilinear functional, 100
 - on a direct sum of Hilbert spaces, 121
 - of a direct sum of operators, 122
 - of a Hilbert–Schmidt functional, 128
 - on a Hilbert space, 77
 - on l_p , 50, 51
 - on l_∞ , 49
 - on L_p , 53
 - on L_∞ , 52
 - of a linear functional, 44
 - of a matrix with operator entries, 151
 - of a multilinear functional, 126
 - of a multilinear mapping, 131
 - on a normed algebra, 174
 - on a tensor product of Hilbert spaces, 132, 135
 - of a tensor product of operators, 146
 - of a weak Hilbert-Schmidt mapping, 131
- Norm-preserving (linear mapping), 36
- Norm topology, 35, 66
- Normal element of a C*-algebra, 237
- Normal function, 344, 355
- Normal operator, *see* Operator; Unbounded operator

- Normal state, 376
- Normed algebra, 174
- Normed space, 35
- Nowhere-dense set, 60, 322
- Null function, 52
- Null projection (of a linear operator), 118
- Null set, 52
- Null space (of a linear operator), 2, 118, 171

O

- One-parameter unitary group, 282, 367
- Open mapping, 59
 - theorem, 61
- Operator, *see also* Unbounded operator
 - affiliated, 342
 - bounded, 41, 100
 - compact, 165, 166, 226, 227
 - compact self-adjoint, 166, 167
 - conjugate-linear, 15
 - Hilbert–Schmidt, 141
 - linear, 2
 - multiplication, *see* Multiplication operator
 - normal, 103, 319, 321, 322, 350, 354, 357
 - positive, 103
 - real-linear, 15
 - self-adjoint, *see* Self-adjoint operator
 - unitary, *see* Unitary operator
- Operator-monotonic increasing, 250, 294, 295
- Order unit, 213, 249, 255, 297
- Orthogonal, 87
- Orthogonal complement, 88
- Orthogonal family of projections, 113
- Orthogonal set, 88
- Orthonormal basis, 91
- Orthonormal set, 88

P

- Parallelogram law, 80
- Parseval's equation, 91, 120
- Partially ordered vector space, 213, 249, 255, 295, 296, 297
 - archimedean, 297
- Plancherel's theorem, 201, 231, 232
- Point spectrum, 357, 376
- Polar decomposition, 105, 294

Polarization identity, 102
 Polynomial
 Hermite, 97
 Jacobi, 97
 Laguerre, 97
 Legendre, 97
 Positive element of a C^* -algebra, 244
 Positive linear functional
 on a C^* -algebra, 255
 on $C(X)$, 213
 on a partially ordered vector space, 213, 295, 296
 Positive n th root, 275
 Positive operator, *see* Operator; Unbounded operator
 Positive square root, 167, 248, 364
 Pre-Hilbert space, 79, 81
 Principle of uniform boundedness, 64, 65, 74
 Projections, 12, 24, 109, 110
 countably decomposable, 338, 340, 380
 cyclic, 336
 intersection of, 111
 join of, 111
 meet of, 111
 orthogonal, 109
 orthogonal family of, 113
 σ -finite, 338
 spectral, 362
 union of, 111
 Projection-valued measure, 318, 321, 360
 Pure state
 of $\mathcal{B}(\mathcal{H})$, 302, 303
 of a C^* -algebra, 261, 269
 of $C(X)$, 213
 extension of, 234, 266, 296
 of a partially ordered vector space with order unit, 213
 space, 261

Q

Quotient
 Banach algebra, 177
 Banach space, 39
 C^* -algebra, 300
 linear space, 2
 mapping, 2, 39, 42
 norm, 39
 normed space, 39

R

Radical, 228
 Radius of convergence, 204
 Radon–Nikodým derivative, 56
 Radon–Nikodým theorem, 56
 Range (of a linear mapping), 2
 projection, 118, 171
 space, 118
 Real-linear functional, 7
 Real-linear operator, 15
 Real-linear subspace, 7
 Reduced atomic representation, 282
 Reflexive (Banach space), 45, 47, 67, 70, 73, 98
 Regular Borel measure, 53, 54
 Regular (element of a Banach algebra), 176
 Representation
 of a C^* -algebra, 275
 cyclic, 276, 278, 279
 direct sum, 281
 equivalent, 280
 essential, 282
 faithful, 275, 281
 function, 263, 264
 reduced atomic, 282
 \mathbb{R} -essential, 316
 of a $*$ algebra, 282
 universal, 281
 Resolution of the identity, 311
 bounded, 311, 313
 unbounded, 311, 316, 343, 344, 345, 348, 350
 \mathbb{R} -essential representation, 316
 Riemann–Lebesgue lemma, 197
 Riesz decomposition property, 214
 Riesz representation theorem, 53
 Riesz's representation theorem, 97
 Rodrigues's formula, 97

S

Self-adjoint algebra of operators, 237, 282, 309
 Self-adjoint element of a C^* -algebra, 237
 Self-adjoint function, 344
 Self-adjoint function representing an operator, 348
 Self-adjoint operator, 103, 157, 160, 310, 313, 341, 345, 348

- Self-adjoint set, 237
 - Semi-norm, 8, 10, 17, 28
 - Semi-simple, 228
 - Separable Banach space, 57, 58, 73, 74
 - Separable Hilbert space, 94
 - Separable metric space, 57
 - Separable topological space, 57
 - Separating family of linear functionals, 28
 - Separating family of semi-norms, 17
 - Separating set of vectors, 336, 337
 - Separating vector, 336, 338, 339, 380
 - Separation
 - of convex sets, 4
 - strict, of convex sets, 4
 - theorems, 4, 7, 20, 21
 - Shift
 - one-sided, 186
 - two-sided, 186, 227
 - σ -finite
 - projection, 338
 - von Neumann algebra, 338
 - σ -ideal, 375
 - σ -normal homomorphism, 321, 322, 323, 324, 325, 359, 360, 362, 364
 - σ -normal mapping, 320
 - Simple C^* -algebra, 377
 - Simple tensor, 135
 - Singular (element of a Banach algebra), 176, 229
 - Spectral mapping theorems, 181, 207, 241, 273
 - Spectral projection, 362
 - Spectral radius, 180, 185, 205
 - formula, 202, 204
 - Spectral resolution, 310, 312, 313, 360
 - of a representation, 315, 316, 367
 - Spectral theorem
 - algebraic, 239, 270, 310, 349
 - for a bounded self-adjoint operator, 310, 313
 - for an unbounded self-adjoint operator, 345, 348
 - Spectral value, 178
 - Spectrum, 178
 - point spectrum, 357, 376
 - of an unbounded operator, 357
 - Square root
 - in a Banach algebra, 233, 234
 - in a C^* -algebra, 248
 - of a positive operator, 364
 - Stable subspace, 121
 - State
 - of a C^* -algebra, 255
 - of $C(X)$, 213
 - definite, 289, 292
 - extension of, 234, 266, 296
 - faithful, 288
 - of a partially ordered vector space with order unit, 213
 - pure, *see* Pure state space, 257
 - vector, 256, 281, 289, 298, 302
 - Stone's theorem, 187, 282, 367, 381
 - Stone–Weierstrass theorem, 219, 221, 235
 - Strong-operator continuity (of functions), 327, 328, 378
 - Strong-operator topology, 113, 304, 305, 380
 - *Subalgebra, 237
 - Sublattice, 235
 - Sublinear functional, 8, 9, 65
 - Subprojection, 110
 - Subspace
 - closed, generated by a set, 22
 - complementary, 11, 63, 88
 - finite-dimensional, 22, 23, 24
 - generated by a set, 2
 - invariant, 121
 - linear, 1
 - real-linear, 7
 - reducing, 121
 - stable, 121
 - Summable, 25
 - Support
 - of a measure, 219
 - of a positive linear functional on $C(X)$, 219
 - Support functional, 9, 65
- T**
- Tensor product
 - algebraic, 139
 - associativity of, 136, 146
 - of Hilbert spaces, 125, 135
 - of operators, 145
 - universal property of, 125, 135, 139
 - of vectors, 135
 - Topological divisor of zero, 229

Topology

- coarser (weaker), 29
 - induced by semi-norms, 17
 - initial, 13
 - locally convex, 16, 23
 - norm, 35, 66
 - strong-operator, *see* Strong-operator topology
 - weak, *see* Weak topology
 - weak*, 31, 43, 45, 46, 48, 68
 - weaker (coarser), 29
 - weak-operator, 304, 305, 306, 371
- Totally disconnected, 222, 374
- Trace, normalized, 289
- Transformation
- linear, *see* Operator; Unbounded operator
 - unitary, 104
- Transitivity, 332
- Triangle inequality, 35

U

Unbounded operator

- adjoint of, 157
- affiliated, 342
- closable (preclosed), 155
- closed, 155, 357
- closure of, 155
- core of, 155
- densely defined, 155
- domain of, 154, 155
- extension of, 155
- graph of, 155
- maximal symmetric, 160
- multiplication, *see* Multiplication operator
- normal, 340, 350, 353, 354, 360
- positive, 357
- preclosed (closable), 155
- products of, 157, 352
- self-adjoint, *see* Self-adjoint operator
- spectrum of, 357

sums of, 157, 352

symmetric, 160

von Neumann algebra generated by, 349, 354

Uniform boundedness (principle of), 64, 65, 74

Uniform structure

in a linear topological space, 14

in a normed space, 35

Uniformly convex, 67, 161

Union (of projections), 111

Unit ball, 36

Unit element, 174, 236

Unitary element of a C^* -algebra, 237, 242

Unitary exponential 275, 286, 287, 288, 313, 314

Unitary group, 237, 286, 287

Unitary operator, 103, 313

Unitary representation, 282, 367

Unitary transformation, 104

Universal representation, 281

Unordered sums, 25, 26, 27, 28

V

Vector state, 256, 281, 289, 298, 302

von Neumann algebra, 308

generated by an unbounded operator, 349, 354

W

Weak-operator topology, 304, 305, 306, 371

Weak topology

induced by a family of linear functionals, 28, 29

the weak topology, 30, 43, 47, 66

Weak* topology, *see* Topology

Weierstrass approximation theorem, 221

Wiener's Tauberian theorems, 233

W^* -topology (weak* topology), *see* Topology

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