

ON SPECIAL GENERATORS FOR PROPERLY INFINITE VON NEUMANN ALGEBRAS¹

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ABSTRACT. It is known that every properly infinite von Neumann algebra \mathcal{A} on a separable Hilbert space has a single generator. We show in this paper that a generator for \mathcal{A} may be chosen from some special classes of operators. In particular each of the following classes of operators contains a generator for \mathcal{A} : the hyponormals, the nilpotents, the transcendental quasinilpotents, and the unimodular contractions. We also show that a generator for \mathcal{A} may be chosen with arbitrarily prescribed spectrum.

Introduction. Let \mathcal{H} be a separable complex Hilbert space. A von Neumann algebra \mathcal{A} is *properly infinite* if \mathcal{A} contains no finite projections in its center. If \mathcal{S} is an algebra of operators, \mathcal{S}' denotes the commutant of \mathcal{S} . For $2 \leq n \leq \aleph_0$, $M_n(\mathcal{S})$ denotes the algebra of $n \times n$ matrices over \mathcal{S} which act boundedly on $\sum_{i=1}^n \oplus \mathcal{H}$. Let $\mathcal{A}(A, B, \dots)$ denote the von Neumann algebra generated by the set $\{A, B, \dots\}$ of operators. The reader is referred to [2] and [6] as references on von Neumann algebras.

Throughout this paper we will need the well-known fact that if \mathcal{A} is a properly infinite von Neumann algebra, then \mathcal{A} is $*$ -isomorphic to $M_n(\mathcal{A})$ for $1 \leq n \leq \aleph_0$ (cf. [6, Corollary 14]). Also, it is known that a $*$ -isomorphism of a von Neumann algebra \mathcal{A} onto a von Neumann algebra \mathcal{B} carries a generator of \mathcal{A} onto a generator of \mathcal{B} (cf. [6, p. 68]).

It was shown in [7] that if \mathcal{A} is a properly infinite von Neumann algebra, then \mathcal{A} has a single generator. It then follows from [3, Lemma 1] that \mathcal{A} has a partially isometric generator. In this note we will construct some other generators for \mathcal{A} .

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Results. We begin with a lemma.

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LEMMA 1. Let $3 \leq n \leq \aleph_0$, and let $\{a_k\}_{k=1}^n$ and $\{\lambda_k\}_{k=1}^n$ be bounded sequences of complex numbers with $a_k \neq 0 \ \forall k$. Let \mathfrak{A} be a von Neumann algebra with $\mathfrak{A} = \mathfrak{R}(A)$, where A satisfies $\|(\lambda_1 - \lambda_2)A\| < |a_1 a_2|$. Define $B = (B_{i,j})_{i,j=1}^n \in M_n(\mathfrak{A})$ by $B_{i,i} = \lambda_i I$, $B_{i+1,i} = a_i I$, $B_{3,1} = A$, and $B_{i,j} = 0$ otherwise. Then $\mathfrak{R}(B) = M_n(\mathfrak{A})$.

PROOF. We will show that $\mathfrak{R}(B)' = \{(\delta_{i,j} D)_{i,j=1}^n : D \in \mathfrak{A}'\}$. It then follows easily that $\mathfrak{R}(B) = \mathfrak{R}(B)'' = M_n(\mathfrak{A})$. Let $C = (C_{i,j})_{i,j=1}^n \in \mathfrak{R}(B)'$ with C selfadjoint (i.e., $C_{i,j} = C_{j,i}^*$). Then $BC = (E_{i,j})_{i,j=1}^n$, where

$$E_{1,j} = \lambda_1 C_{1,j}, \quad E_{3,j} = AC_{1,j} + a_2 C_{2,j} + \lambda_3 C_{3,j},$$

and for $i \neq 1, 3$,

$$E_{i,j} = a_{i-1} C_{i-1,j} + \lambda_i C_{i,j}.$$

$CB = (F_{i,j})_{i,j=1}^n$, where

$$F_{i,1} = \lambda_1 C_{i,1} + a_1 C_{i,2} + C_{i,3} A,$$

and $\forall j \neq 1$,

$$F_{i,j} = \lambda_j C_{i,j} + a_j C_{i,j+1}.$$

By assumption, $BC = CB$. Since $E_{1,1} = F_{1,1}$ and $E_{1,2} = F_{1,2}$, we have $a_1 C_{1,2} + C_{1,3} A = 0$ and $a_2 C_{1,3} = (\lambda_1 - \lambda_2) C_{1,2}$. It follows that $C_{1,3}(a_1 a_2 I + (\lambda_1 - \lambda_2) A) = 0$. But $\|(\lambda_1 - \lambda_2) A\| < |a_1 a_2|$ so $a_1 a_2 I + (\lambda_1 - \lambda_2) A$ is invertible, and $C_{1,3} = 0$. Thus also $C_{1,2} = 0$. Now $E_{1,3} = F_{1,3}$ implies $C_{1,4} = 0$. Proceeding in this way we get $C_{1,k} = 0$ for $k \geq 2$. Now if we compare $E_{2,j}$ and $F_{2,j}$, we see by similar arguments that $C_{2,k} = 0$ for $k \geq 3$. Continuing in this way we get $C_{i,j} = 0 \ \forall i < j$. $C_{i,j} = C_{j,i}^*$, so $C_{i,j} = 0 \ \forall i \neq j$.

Since $E_{i+1,i} = F_{i+1,i}$, we have $C_{1,1} = C_{i,i}$ for $i \geq 1$. Finally, since $E_{3,1} = F_{3,1}$, we have $AC_{1,1} = C_{3,3} A = C_{1,1} A$. $C_{1,1}$ is selfadjoint, so $C_{1,1} \in \mathfrak{R}(A)' = \mathfrak{A}'$. It follows that $\mathfrak{R}(B)' = \{(\delta_{i,j} D)_{i,j=1}^n : D \in \mathfrak{A}'\}$ as asserted.

DEFINITION 1. An operator A is *hyponormal* if $A^* A - A A^* \geq 0$.

Note that hyponormality is invariant under $*$ -isomorphism.

THEOREM 1. If \mathfrak{A} is a properly infinite von Neumann algebra on a separable Hilbert space, then \mathfrak{A} has a hyponormal generator.

PROOF. Choose $A \in \mathfrak{A}$ such that $\mathfrak{R}(A) = \mathfrak{A}$ and $\|A\| \leq 1/2$. Let $B = (B_{i,j})_{i,j=1}^\infty \in M_\infty(\mathfrak{A})$ be defined by $B_{2,1} = I$, $B_{3,2} = 2I$, $B_{i+1,i} = 3I$ for $i \geq 3$, $B_{3,1} = A$, and $B_{i,j} = 0$ otherwise. Then by Lemma 1, $\mathfrak{R}(B) = M_\infty(\mathfrak{A})$. We assert that B is hyponormal. In fact, to show $B^* B - B B^* \geq 0$, it suffices to show that the 3 by 3 matrix

$$\begin{bmatrix} I + A^*A & 2A^* & 0 \\ 2A & 3I & -A^* \\ 0 & -A & 5I - AA^* \end{bmatrix}$$

is positive. This is a routine computation. Since \mathfrak{A} is *-isomorphic to $M_\infty(\mathfrak{A})$, it follows that \mathfrak{A} has a hyponormal generator.

This theorem shows in particular that there exist hyponormal operators A such that $\mathfrak{R}(A)$ is not type I.

We mention that H. Behncke has recently shown [1] that Theorem 1 is true with "hyponormal" replaced by "subnormal".

REMARK 1. If A is hyponormal and $\mathfrak{R}(A)$ is finite, then A is normal and $\mathfrak{R}(A)$ is abelian. (This holds because if $\mathfrak{R}(A)$ is finite, then there is a unique center valued trace function τ on $\mathfrak{R}(A)$ (cf. [2, Chapter III, §4]) satisfying, in particular, (1) $\tau(CB - BC) = 0 \forall B, C \in \mathfrak{R}(A)$, and (2) if $P \geq 0$ and $\tau(P) = 0$, then $P = 0$. Hence if $A^*A - AA^* \geq 0$, then $(A^*A - AA^*) = 0$, so $A^*A - AA^* = 0$, and A is normal.) It follows that if A is hyponormal, then $\mathfrak{R}(A)$ is of the form $\mathfrak{A} \oplus \mathfrak{B}$, where \mathfrak{A} is abelian and \mathfrak{B} is properly infinite.

DEFINITION 2. An operator A is *quasinilpotent* if $\lim_{n \rightarrow \infty} \|A^n\|^{1/n} = 0$. A is *nilpotent of index n* if $A^n = 0$ and $A^{n-1} \neq 0$. A is *transcendental quasinilpotent* if A is quasinilpotent but not nilpotent.

REMARK 2. Topping has shown [5, Theorem 3] that a properly infinite von Neumann algebra is linearly spanned by its transcendental quasinilpotents.

THEOREM 2. Let \mathfrak{A} be a properly infinite von Neumann algebra on a separable Hilbert space. Then \mathfrak{A} has a transcendental quasinilpotent generator.

PROOF. Let $\{a_n\}_{n=1}^\infty$ be a sequence of nonzero complex numbers with $\lim_{n \rightarrow \infty} a_n = 0$. Let A be a generator of \mathfrak{A} . Define $Q = (Q_{i,j})_{i,j=1}^\infty \in M_\infty(\mathfrak{A})$ by $Q_{i+1,i} = a_i I$, $Q_{i,j} = 0$ otherwise. Then Q is a weighted shift, and it is easy to show that Q is quasinilpotent. Let $N = (N_{i,j})_{i,j=1}^\infty \in M_\infty(\mathfrak{A})$ be defined by $N_{3,1} = A$, $N_{i,j} = 0$ otherwise. Let $B = Q + N$. Then $\mathfrak{R}(B) = M_\infty(\mathfrak{A})$ by Lemma 1. We claim that B is a transcendental quasinilpotent. In fact, a computation shows that $B^n = (Q + N)^n = Q^n + Q^{n-1}N$. Thus $\|B^n\|^{1/n} = \|Q^n + Q^{n-1}N\|^{1/n} \leq \|Q^{n-1}\|^{1/n} \|Q + N\|^{1/n} \rightarrow 0$ as $n \rightarrow \infty$. Now note that transcendental quasinilpotence is a *-isomorphism invariant and that \mathfrak{A} is *-isomorphic to $M_\infty(\mathfrak{A})$. It follows that \mathfrak{A} has a transcendental quasinilpotent generator.

THEOREM 3. If $n \geq 3$ and \mathfrak{A} is a separably acting properly infinite von Neumann algebra, then \mathfrak{A} has a nilpotent generator of index n .

PROOF. If $\mathfrak{A} = \mathfrak{R}(A)$, let $B = (B_{i,j})_{i,j=1}^n \in M_n(\mathfrak{A})$ be defined by $B_{i+1,i} = I$, $B_{3,1} = A$, and $B_{i,j} = 0$ otherwise. Then $\mathfrak{R}(B) = M_n(\mathfrak{A})$ by Lemma 1, and B is nilpotent of index n . \mathfrak{A} is *-isomorphic to $M_n(\mathfrak{A})$, so the theorem follows. (For $n = 3$, this theorem is due to Percy and Ringrose (unpublished).)

Let $\sigma(A)$ denote the spectrum of A . The next theorem asserts that a properly infinite von Neumann algebra has generators with arbitrarily prescribed spectrum. More precisely,

THEOREM 4. *Let \mathfrak{A} be a properly infinite von Neumann algebra on a separable Hilbert space \mathfrak{H} and let K be a nonempty compact subset of the complex plane. Then there is an operator B in \mathfrak{A} such that $\mathfrak{R}(B) = \mathfrak{A}$ and $\sigma(B) = K$.*

PROOF. Let $\{a_k\}_{k=1}^\infty$ be a sequence of complex numbers such that $a_k \neq 0 \ \forall k$ and $\lim_{k \rightarrow \infty} a_k = 0$. Let \mathcal{S} be a countable dense subset of K . Form a sequence $\{\lambda_k\}_{k=1}^\infty$ from \mathcal{S} such that each element of \mathcal{S} occurs countably many times in the sequence. Choose $A \in \mathfrak{A}$ with $\mathfrak{R}(A) = \mathfrak{A}$ and $\|(\lambda_1 - \lambda_2)A\| < |a_1 a_2|$.

Let $N = (\delta_{i,j} \lambda_i I)_{i,j=1}^\infty \in M_\infty(\mathfrak{A})$. Let $Q = (Q_{i,j})_{i,j=1}^\infty \in M_\infty(\mathfrak{A})$ be defined by $Q_{i+1,i} = a_i I$, $Q_{3,1} = A$, and $Q_{i,j} = 0$ otherwise. Write $B = Q + N$. Then B is an operator on $\sum_{k=1}^\infty \oplus \mathfrak{H}_k$, where $\mathfrak{H}_k = \mathfrak{H} \ \forall k$. By Lemma 1, $\mathfrak{R}(B) = M_\infty(\mathfrak{A})$. We will show that $\sigma(B) = K$.

Notice that $\lambda \in \sigma(B) \Leftrightarrow 0 \in \sigma(B - \lambda)$, and that the matrix $B - \lambda$ has the same form as B . Hence it suffices to show that $0 \in \sigma(B) \Leftrightarrow 0 \in K = \{\lambda_k\}^-$.

Suppose first that $0 \in \{\lambda_k\}^-$. Then there is a subsequence $\{\lambda_{k_j}\}_{j=1}^\infty$ such that $\lim_{j \rightarrow \infty} \lambda_{k_j} = 0$. Choose $x_{k_j} \in \mathfrak{H}_{k_j}$ with $\|x_{k_j}\| = 1$, and identify x_{k_j} with the vector $(0, 0, \dots, 0, x_{k_j}, 0, \dots) \in \sum_{k=1}^\infty \oplus \mathfrak{H}_k$ whose only nonzero entry is in the k_j th position. Then $\|Bx_{k_j}\| \leq \|\lambda_{k_j} x_{k_j}\| + \|a_{k_j} x_{k_j}\| = |\lambda_{k_j}| + |a_{k_j}|$ for $k_j > 1$. But $\lim_{j \rightarrow \infty} a_{k_j} = \lim_{j \rightarrow \infty} \lambda_{k_j} = 0$, so that $\|Bx_{k_j}\| \rightarrow 0$ as $j \rightarrow \infty$. Thus $0 \in \sigma(B)$. (This argument actually shows that 0 is in the approximate point spectrum of B .)

Now suppose that $0 \notin \{\lambda_k\}^-$. Then N is invertible. In fact, $N^{-1} = (\delta_{i,j} \lambda_i^{-1} I)_{i,j=1}^\infty$. Computing $N^{-1}Q$, we find that $N^{-1}Q = (C_{i,j})_{i,j=1}^\infty$, where $C_{i+1,i} = \lambda_{i+1}^{-1} a_i I$, $C_{3,1} = \lambda_3^{-1} A$, and $C_{i,j} = 0$ otherwise. Then $N^{-1}Q$ is quasinilpotent by the proof of Theorem 2, since $\lim_{k \rightarrow \infty} \lambda_{k+1}^{-1} a_k = 0$. Thus $I + N^{-1}Q$ is invertible. But then $B = N + Q = N(I + N^{-1}Q)$ is the product of invertible operators, so B is invertible, i.e., $0 \notin \sigma(B)$. The theorem now follows since \mathfrak{A} is *-isomorphic to $M_\infty(\mathfrak{A})$.

DEFINITION 3. An operator A is a *unimodular contraction* if $\|A\| \leq 1$ and $\sigma(A) \subset \{z: |z| = 1\}$.

Note that the image under a *-isomorphism of a unimodular contraction is a unimodular contraction. In [4], Russo poses the question: "Do there exist unimodular contractions of type II_∞ and III ?" The following theorem answers this question in the affirmative.

THEOREM 5. *If \mathfrak{A} is a properly infinite von Neumann algebra on a separable Hilbert space \mathfrak{H} , then \mathfrak{A} has a unimodular contractive generator.*

We first prove a lemma.

LEMMA 2. *Let $\{a_k\}_{k=1}^\infty$ be an increasing sequence of positive numbers such that $\lim_{k \rightarrow \infty} a_k = 1$. Let the operator $T = (b_{i,j})_{i,j=-\infty}^\infty$ on $l^2(\mathbb{Z})$ be defined by $b_{i,i-1} = 1$ for $i \leq 0$, $b_{i,i-1} = a_i$ for $i > 0$, and $b_{i,j} = 0$ otherwise. Then B is a unimodular contraction.*

PROOF. T is a two-sided weighted shift. Obviously T is a contraction. But an easy computation shows that $\|T^{-n}\| = 1/a_1 a_2 \cdots a_n$. Then

$$\lim_{n \rightarrow \infty} \|T^{-n}\|^{1/n} = \lim_{n \rightarrow \infty} (1/a_1 a_2 \cdots a_n)^{1/n} = 1,$$

since $\lim_{n \rightarrow \infty} a_n = 1$. Thus the spectral radius of T^{-1} is 1, and it follows that $\sigma(T) \subset \{z : |z| = 1\}$.

PROOF OF THEOREM 5. By Theorem 3, we can choose $A \in \mathfrak{A}$ with $\mathfrak{R}(A) = \mathfrak{A}$ and A nilpotent. Moreover, we may suppose $\|A\| \leq 1/2$. Let $a_n = n/(n+1)$ for $n = 1, 2, \dots$. Define $Q = (Q_{i,j})_{i,j=-\infty}^\infty \in M_\infty(\mathfrak{A})$ by $Q_{2,0} = A$ and $Q_{i,j} = 0$ otherwise. Define $T = (T_{i,j})_{i,j=-\infty}^\infty \in M_\infty(\mathfrak{A})$ by $T_{i,i-1} = I$ for $i \leq 0$, $T_{i,i-1} = a_i I$ for $i > 0$, and $T_{i,j} = 0$ otherwise. Let $B = T + Q$. We claim that B is a unimodular contractive generator for $M_\infty(\mathfrak{A})$.

We show first that B is a contraction. Recall that $\|A\| \leq 1/2$, $a_1 = 1/2$, and $a_2 = 2/3$. Let $x = (x_n)_{n=-\infty}^\infty \in \sum_{n=-\infty}^\infty \oplus \mathfrak{H}$. Then

$$\begin{aligned} \|Bx\|^2 &= \sum_{-\infty}^{-1} \|x_n\|^2 + \|a_1 x_0\|^2 + \|Ax_0 + a_2 x_1\|^2 + \sum_2^\infty \|a_{n+1} x_n\|^2 \\ &\leq \sum_{-\infty}^{-1} \|x_n\|^2 + \|a_1 x_0\|^2 + 2(\|Ax_0\|^2 + \|a_2 x_1\|^2) + \sum_2^\infty \|x_n\|^2 \\ &\leq \sum_{-\infty}^{-1} \|x_n\|^2 + ((1/2)^2 + 2(1/2)^2) \|x_0\|^2 + 2(2/3)^2 \|x_1\|^2 + \sum_2^\infty \|x_n\|^2 \\ &\leq \|x\|^2. \end{aligned}$$

Thus B is a contraction.

Next we show that $\sigma(B) \subset \{z: |z| \leq 1\}$. It suffices to show that if $|\lambda| < 1$, then $\lambda \notin \sigma(B)$. Let $|\lambda| < 1$. By Lemma 2, T is a unimodular contraction. Thus $T - \lambda I$ is invertible. $B = T + Q$, so $B - \lambda I = (T - \lambda I) + Q = (T - \lambda I)[I + (T - \lambda I)^{-1}Q]$. Now simple matrix multiplication shows that $(T - \lambda I)^{-1}Q$ is nilpotent. (In fact if $A^n = 0$ and $C \in M_\infty(\mathbb{C}I)$, then $(CQ)^n = 0$.) Hence $I + (T - \lambda I)^{-1}Q$ is invertible. Since $B - \lambda I$ is a product of invertible operators, $B - \lambda I$ is invertible and $\lambda \notin \sigma(B)$.

Finally we sketch a proof that $\mathfrak{R}(B) = M_\infty(\mathfrak{A})$. As in Lemma 1, it suffices to show that $\mathfrak{R}(B)' = \{(\delta_{i,j}D)_{i,j=-\infty}^\infty : D \in \mathfrak{A}'\}$. Let $C = (C_{i,j})_{i,j=-\infty}^\infty \in \mathfrak{R}(B)'$ with C selfadjoint. Then $BC = (E_{i,j})_{i,j=-\infty}^\infty$, where

$$E_{2,j} = AC_{0,j} + a_2C_{1,j},$$

$$E_{i,j} = C_{i-1,j} \quad \text{for } i \leq 0,$$

and

$$E_{i,j} = a_iC_{i-1,j} \quad \text{for } i > 0, i \neq 2.$$

$CB = (F_{i,j})_{i,j=-\infty}^\infty$, where

$$F_{i,0} = a_iC_{i,1} + C_{i,2}A,$$

$$F_{i,j} = C_{i,j+1} \quad \text{for } j < 0,$$

and

$$F_{i,j} = a_{j+1}C_{i,j+1} \quad \text{for } j > 0.$$

We are assuming that $BC = CB$ and that $C_{i,j} = C_{j,i}^*$.

Let $n \geq 3$. Since $E_{0,n-1} = F_{0,n-1}$ and $E_{n,-1} = F_{n,-1}$, we find that $a_nC_{0,n} = C_{-1,n-1}$ and $a_nC_{-1,n-1}^* = C_{0,n}^*$. But $a_n \neq 1$, so $C_{0,n} = C_{-1,n-1} = 0$. Fix $n \geq 3$. Comparing $E_{k,k+n-1}$ and $F_{k,k+n-1}$, we find that $C_{k,k+n} = 0 \forall k$. But $E_{2,3} = F_{2,3}$ and $E_{4,1} = F_{4,1}$, so that $a_2C_{1,3} = a_4C_{2,4}$ and $a_2C_{2,4}^* = a_4C_{1,3}^*$. Since $a_2 \neq a_4$, we must have $C_{1,3} = C_{2,4} = 0$. It follows that $C_{k,k+2} = 0 \forall k$. Similarly, since $E_{2,2} = F_{2,2}$ and $E_{3,1} = F_{3,1}$, we get $a_2C_{1,2} = a_3C_{2,3}$ and $a_3C_{1,2}^* = a_2C_{2,3}^*$. Hence $C_{1,2} = C_{2,3} = 0$ and thus $C_{k,k+1} = 0 \forall k$. We have shown that $C_{k,n+k} = 0 \forall n \geq 1$ and $\forall k$. But $C_{i,j} = C_{j,i}^*$, so $C_{i,j} = 0 \forall i \neq j$.

Because $E_{k+1,k} = F_{k+1,k}$, we find that $C_{k,k} = C_{0,0} \forall k$. Finally, since $E_{2,0} = F_{2,0}$, we have $AC_{0,0} = C_{2,2}A = C_{0,0}A$, i.e., $C_{0,0} \in \mathfrak{A}'$. Therefore $\mathfrak{R}(B)' = \{(\delta_{i,j}D)_{i,j=-\infty}^\infty : D \in \mathfrak{A}'\}$. Since \mathfrak{A} is $*$ -isomorphic to $M_\infty(\mathfrak{A})$, the proof is complete.

REMARK 3. Russo has shown (cf. [4, Theorem 1]) that if A is a unimodular contraction and $\mathfrak{R}(A)$ is finite, then A is unitary. It follows if A is any unimodular contraction, then $\mathfrak{R}(A)$ is of the form $\mathfrak{A} \oplus \mathfrak{B}$, where \mathfrak{A} is abelian and \mathfrak{B} is properly infinite.

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