

APPROXIMATE POINT SPECTRUM OF A WEIGHTED SHIFT

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Notation. If T is a Hilbert space operator, let $\Lambda(T)$ denote its spectrum, $\Pi(T)$ its approximate point spectrum, $\Pi_0(T)$ its point spectrum, $\Gamma(T)$ its compression spectrum, $m(T)$ its lower bound (i.e., $\inf \{\|Tx\|/\|x\| : x \neq 0\}$), and $r(T)$ its spectral radius. Let $i(T)$ denote $\sup_n m(T^n)^{1/n}$, which equals $\lim_n m(T^n)^{1/n}$.

Let R denote a weighted right shift on l^2_+ , defined by $Re_n = s_n e_{n+1}$, where (e_n) is an orthonormal basis of l^2_+ , $n = 1, 2, \dots$. Let L denote its adjoint, a weighted left shift. Let B denote a weighted two-sided shift on l^2 , defined by $Be_n = s_n e_{n+1}$, $n = 0, \pm 1, \pm 2, \dots$, (e_n) here being an orthonormal basis of l^2 . If B has purely nonzero weights (s_n) , then let

$$i(B)^- = \lim_n \inf_{k \leq 0} |s_{k-1} \cdots s_{k-n}|^{1/n}, \quad i(B)^+ = \lim_n \inf_{k \geq -1} |s_{k+1} \cdots s_{k+n}|^{1/n},$$

$$r(B)^- = \lim_n \sup_{k \leq 0} |s_{k-1} \cdots s_{k-n}|^{1/n}, \quad r(B)^+ = \lim_n \sup_{k \geq -1} |s_{k+1} \cdots s_{k+n}|^{1/n}.$$

Background. Λ and its parts, for weighted shifts, are known to have circular symmetry about 0; $\Pi_0(R)$ is known to be empty or $\{0\}$; $\Gamma(R)$ is known to be a disk, possibly degenerating to $\{0\}$; and $\Gamma(B)$ and $\Pi_0(B)$ are known to be annuli, possibly degenerate or empty, and in any case disjoint. These facts are easy to verify, and are proved in [3]. Also proved there is the much deeper fact that the spectrum of a weighted shift is always connected. This will also be deduced in this paper as an easy corollary of the results on the approximate point spectrum. Some of these results, from a different approach, seem to have been concurrently proved in [1].

The following formulae are easy to verify [3]:

$$i(R) = \lim_n \inf_k |s_{k+1} \cdots s_{k+n}|^{1/n}, \quad r(R) = \lim_n \sup_k |s_{k+1} \cdots s_{k+n}|^{1/n}.$$

Preliminaries. The following propositions can be verified by routine arguments [4].

(1) Suppose (for R) that no s_n vanishes and ε, M are positive numbers. Then there are integers k and n , both greater than M , such that $|s_{k+1} \cdots s_{k+n}|^{1/n} > r(R) - \varepsilon$.

(2) For any positive numbers A, B, C, D ,

$$\frac{A+B}{C+D} \leq \text{maximum} \left(\frac{A}{C}, \frac{B}{D} \right).$$

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(3) Suppose (p_n) is a real nonnegative periodic sequence having period r , and $q = (p_1 \cdots p_r)^{1/r}$. Suppose (a_n) is a real nonnegative sequence such that $\lim_n (a_n - p_n) = 0$. If either some p_n vanishes, or no a_n vanishes, then

$$\liminf_n \inf_k (a_{k+1} \cdots a_{k+n})^{1/n} = \limsup_n \sup_k (a_{k+1} \cdots a_{k+n})^{1/n} = q.$$

(4) Suppose (for B) that no s_n vanishes. Then $i(B) = \text{minimum } (i(B)^-, i(B)^+)$ and $r(B) = \text{maximum } (r(B)^-, r(B)^+)$.

(5) For any operator T , $\Pi(T) = \{c : i(T) \leq |c| \leq r(T)\}$.

THEOREM 1. *If no s_n vanishes, then $\Pi(R) = \{c : i(R) \leq |c| \leq r(R)\}$. If finitely many s_n vanish, then $\Pi(R) = \{0\} \cup \Pi(R')$, where R' is the right shift with weights s_{k+1}, s_{k+2}, \dots , where s_k is the last zero weight. If infinitely many s_n vanish, then*

$$\Pi(R) = \{c : |c| \leq r(R)\}.$$

Proof. If $i(R) = r(R)$, then $\Pi(R)$ is by (5) contained in, hence by nonemptiness and circular symmetry equal to, $\{c : |c| = r(R)\}$.

Suppose no s_n vanishes, and $i(R) < c < r(R)$. Since $\Pi(R)$ is closed and has circular symmetry, it suffices in view of (5), for the first assertion of the theorem, to show that c is necessarily in $\Pi(R)$.

Choose numbers a, b such that $i(R) < a < c < b < r(R)$, and suppose $\epsilon > 0$. Choose n such that $(c/b)^n < \epsilon$ and k such that $|s_{k+1} \cdots s_{k+n}|^{1/n} > b$. By (1) choose p such that $(a/c)^p < \epsilon$ and m such that $m > n+k$ and $|s_{m+1} \cdots s_{m+p}|^{1/p} < a$.

Define $x = (x_i)$ by

$$\begin{aligned} x_{k+1} &= 1, \\ x_r &= \frac{s_{k+1} \cdots s_{r-1}}{c^{r-k-1}} \quad \text{if } k+2 \leq r \leq m+p+1, \\ x_r &= 0 \quad \text{if } r < k+1 \text{ or } r > m+p+1. \end{aligned}$$

Then

$$\begin{aligned} Rx - cx &= \sum_{r=k+1}^{m+n+1} \left(\frac{s_{k+1} \cdots s_r}{c^{r-k-1}} e_{r+1} - \frac{s_{k+1} \cdots s_{r-1}}{c^{r-k}} e_r \right) \\ &= s_{m+p+1} x_{m+p+1} e_{m+p+2} - c e_{k+1}, \end{aligned}$$

and hence

$$\begin{aligned} \|Rx - cx\|^2 &= |s_{m+p+1}|^2 |x_{m+p+1}|^2 + c^2 \\ &\leq \|R\|^2 (1 + |x_{m+p+1}|^2). \end{aligned}$$

Also

$$\|x\|^2 = \sum |x_i|^2 \geq |x_{k+n+1}|^2 + |x_{m+1}|^2.$$

But

$$|x_{k+n+1}| = |s_{k+1} \cdots s_{k+n}| / c^n > (b/c)^n > 1/\epsilon$$

and

$$|x_{m+p+1} / x_{m+1}| = |s_{m+1} \cdots s_{m+p}| / c^n < (a/c)^p < \epsilon.$$

So by (2),

$$\begin{aligned} \frac{\|Rx - cx\|^2}{\|x\|^2} &\leq \|R\|^2 \frac{1 + |x_{m+p+1}|^2}{|x_{k+n+1}|^2 + |x_{m+1}|^2} \\ &\leq \|R\|^2 \max \left(\frac{1}{|x_{k+n+1}|^2}, \left| \frac{x_{m+p+1}}{x_{m+1}} \right|^2 \right) \\ &< \varepsilon^2 \|R\|^2 \end{aligned}$$

and so c is in $\Pi(R)$.

Now suppose infinitely many s_n vanish, and suppose $0 < c < r(R)$. The last assertion of the theorem will follow if we show that, necessarily, c is in $\Pi(R)$.

Choose b such that $c < b < r(R)$. Given $\varepsilon > 0$, choose n such that $(c/b)^n < \varepsilon$ and k such that $|s_{k+1} \cdots s_{k+n}|^{1/n} > b$. Let r be the first index greater than $k+n$ such that $s_r = 0$. Define $x = (x_i)$ by

$$\begin{aligned} x_{k+1} &= 1, \\ x_m &= \frac{s_{k+1} \cdots s_{m-1}}{c^{m-k-1}} \quad \text{if } k+2 \leq m \leq r, \\ x_m &= 0 \quad \text{if } m \leq k \text{ or } m > r. \end{aligned}$$

Then $Rx - cx = ce_{k+1}$, $\|Rx - cx\| = c$, and

$$\|x\| \geq |x_{k+n+1}| = |s_{k+1} \cdots s_{k+n}|/c^n > (b/c)^n > 1/\varepsilon$$

so $\|Rx - cx\|/\|x\| < c\varepsilon$, and c is in $\Pi(R)$.

If finitely many s_n vanish, then R is the orthogonal sum of R' and a nilpotent operator, and $\Pi(R) = \Pi(R') \cup \{0\}$; applying the earlier argument for nonzero weights to R' , we have the second assertion.

COROLLARY (KELLEY). $\Lambda(R) = \{c : |c| \leq r(R)\}$.

Proof. Π contains the boundary of Λ , which is therefore either the annulus Π or the closed disk of radius $r(R)$; it is the latter since 0 is in $\Gamma(R)$.

DEFINITION. A sequence (a_n) is *almost periodic* if there is a periodic sequence (p_n) such that $\lim_n (a_n - p_n) = 0$. If r is the period of (p_n) , the *periodic mean* is $(p_1 \cdots p_r)^{1/r}$.

THEOREM 2. *If $(|s_n|)$ is almost periodic, then $\Pi(R) = \{c : |c| = q\}$ if all s_n are non-zero, and is the same set together with $\{0\}$ if some s_n vanishes; in either case $\Lambda(R) = \{c : |c| \leq q\}$, where q is the periodic mean of the approximating periodic sequence (p_n) .*

Proof. The last statement follows from the first two by the corollary to Theorem 1.

If either some p_n vanishes or no s_n vanishes, then $i(R) = r(R) = q$ by (3), and $\Pi(R)$ is as asserted by Theorem 1.

Suppose no p_n vanishes, but some s_n vanishes. Then only finitely many s_n vanish, since $\lim_n (|s_n| - p_n) = 0$ and (p_n) , assuming only finitely many distinct values, is bounded away from 0. Theorem 1 now applies again, and $\Pi(R)$ is as asserted.

COROLLARY 1. *If R is injective and $|s_n| \rightarrow s$, then*

$$\Pi(R) = \{c : |c| = s\} \quad \text{and} \quad \Lambda(R) = \{c : |c| \leq s\}.$$

COROLLARY 2. *If $(|s_n|)$ is periodic with mean q , then*

$$\Pi(R) = \{c : |c| = q\} \quad \text{and} \quad \Lambda(R) = \{c : |c| \leq q\}.$$

EXAMPLE. Let $T = \text{subdiagonal}(1, 2, 1, 2, \dots)$. By Corollary 2,

$$\Pi(T) = \{c : |c| = \sqrt{2}\} \quad \text{and} \quad \Lambda(T) = \{c : |c| \leq \sqrt{2}\}.$$

NOTE. If some $s_n = 0$ for B , then B is the orthogonal sum of a right and a left shift, and their approximate point spectra are described elsewhere in this paper. In treating B below, we therefore assume that no s_n vanishes.

THEOREM 3. *If $r(B)^- < i(B)^+$, then*

$$\Pi(B) = \{c : i(B)^+ \leq |c| \leq r(B)^+ \text{ or } i(B)^- \leq |c| \leq r(B)^-\}.$$

Otherwise $\Pi(B) = \{c : i(B) \leq |c| \leq r(B)\}$.

Proof. Since $\Pi(B)$ is closed and has circular symmetry, in view of (4) and (5) we need only consider positive c lying between any two of the values $i(B)^-$, $i(B)^+$, $r(B)^-$ and $r(B)^+$.

If $i(B)^+ < c < r(B)^+$, then exact imitation of the construction of Theorem 1 (with $i(B)^+ < a < c < b < r(B)^+$) yields approximate eigenvectors for c . So

$$\{c : i(B)^+ \leq |c| \leq r(B)^+\} \subset \Pi(B).$$

Suppose $i(B)^- < c < r(B)^-$. Choose numbers a, b such that $i(B)^- < a < c < b < r(B)^-$. Choose p such that $(a/c)^p < \epsilon$ and $m < -p$ such that $|s_{m+1} \cdots s_{m+p}|^{1/p} < a$. Choose n such that $(c/b)^n < \epsilon$ and, by (1), choose $k < m - n$ such that $|s_{k+1} \cdots s_{k+n}|^{1/n} > b$. Define x as in the proof of Theorem 1, and again we find $c \in \Pi(B)$. So

$$\{c : i(B)^- \leq |c| \leq r(B)^-\} \subset \Pi(B).$$

Suppose $r(B)^+ < c < i(B)^-$. Choose a, b, n, p as before; choose $k < -n$ such that $|s_{k+1} \cdots s_{k+n}|^{1/n} > b$, and $m \geq 0$ such that $|s_{m+1} \cdots s_{m+p}|^{1/p} < a$. Proceeding as in the proof of Theorem 1, we find that c is in $\Pi(B)$. So if $r(B)^+ \leq i(B)^-$, then

$$\{c : r(B)^+ \leq |c| \leq i(B)^-\}$$

is contained in $\Pi(B)$.

Suppose $r(B)^- < c < i(B)^+$. We show that c is not in $\Pi(B)$. Suppose it were. Choose b strictly between c and $i(B)^+$. Then for some N we have, for all $n \geq N$ and $k \geq 1$, $|s_{k+1} \cdots s_{k+n}|^{1/n} > b$. For all positive ϵ , choose a unit vector $x = x(\epsilon)$ such that $\|Bx - cx\| < \epsilon$.

Suppose there exists a sequence $\epsilon' \rightarrow 0$ such that $x_0(\epsilon')$ (the 0th coefficient of $x(\epsilon')$) converges to 0. Then for any positive ϵ we have, for some choice of ϵ' , $\|Bx - cx\| < \epsilon$ and $|x_0| < \epsilon$. Let $x^0 = x_0 e_0$ and $x^1 = x - x^0$. Then

$$\|Bx^1 - cx^1\| \leq \|Bx - cx\| + \|Bx^0 - cx^0\| \leq \epsilon + 2\|B\|\epsilon.$$

We may therefore choose approximating eigenvectors $x(\epsilon)$ such that x_0 always vanishes.

For such x , let

$$x^- = \sum_{n < 0} x_n e_n, \quad x^+ = x - x^- = \sum_{n > 0} x_n e_n.$$

Then Bx^- and cx^- are both orthogonal to Bx^+ and cx^+ , so $Bx - cx$ is the orthogonal sum of $Bx^- - cx^-$ and $Bx^+ - cx^+$. Both of the latter have norms therefore less than ϵ . Either x^- or x^+ has norm at least $1/2$. It follows that approximate eigenvectors can be chosen from either Π_+^2 or Π_-^2 . In the former case c is in $\Pi(R^+)$ where R^+ is the right shift having the positively indexed weights of B . By direct comparison of formulae (in terms of s_n), $i(B)^+ = i(R^+) \leq |c| \leq r(R^+) = r(B)^+$, contrary to hypothesis.

In the latter case, c is in $\Pi(L^-)$, where L^- is the left shift with weights $t_n = s_{-n}$. Then $|c| \leq r(L^-) = r(B)^-$, again a contradiction.

So there is a positive number d such that, for some sequence $\epsilon' \rightarrow 0$, $|x_0(\epsilon')| \geq d$ for all ϵ' .

If $n \geq N$ then

$$|s_0 \cdots s_{n-1} x_0| / c^n > (b/c)^n d.$$

Also, using the Cauchy-Schwarz inequality,

$$\begin{aligned} \left| x_n - \frac{s_0 \cdots s_{n-1} x_0}{c^n} \right| &\leq \left| x_n - \frac{s_{n-1} x_{n-1}}{c} \right| + \left| \frac{s_{n-1} x_{n-1}}{c} - \frac{s_{n-1} s_{n-2} x_{n-2}}{c^2} \right| \\ &\quad + \cdots + \left| \frac{s_{n-1} \cdots s_1 x_1}{c^{n-1}} - \frac{s_{n-1} \cdots s_0 x_0}{c^n} \right| \\ &\leq \frac{1}{c} (|cx_n - s_{n-1} x_{n-1}|^2 + \cdots + |cx_1 - s_0 x_0|^2)^{1/2} \\ &\quad \cdot \left(1 + \left| \frac{s_{n-1}}{c} \right|^2 + \cdots + \left| \frac{s_{n-1} \cdots s_1}{c^{n-1}} \right|^2 \right)^{1/2} \\ &\leq \frac{1}{c} \|Bx - cx\| \left(1 + \left[\frac{\|B\|}{c} \right]^2 + \cdots + \left[\frac{\|B\|}{c} \right]^{2(n-1)} \right)^{1/2} \\ &< \frac{\epsilon}{c} \left[\frac{(\|B\|/c)^{2n} - 1}{(\|B\|/c)^2 - 1} \right]^{1/2}. \quad (*) \end{aligned}$$

Fix $n \geq N$ such that $(b/c)^n d > 2$, then choose $\epsilon > 0$ such that $(*) \leq 1$. We then have

$$|x_n| \geq \left| \frac{s_0 \cdots s_{n-1} x_0}{c^n} \right| - \left| \frac{s_0 \cdots s_{n-1} x_0}{c^n} - x_n \right| > 1$$

which is impossible since x is a unit vector.

Therefore c is not in $\Pi(B)$, and the theorem now follows.

COROLLARY. *Either $\Pi(B)$ or $\Pi(B^*)$ is connected.*

Proof. Suppose $\Pi(B)$ is disconnected. Then $i(B^*)^+ \leq r(B^*)^+ = r(B)^- < i(B)^+ = i(B^*)^- \leq r(B^*)^-$ so $\Pi(B^*)$ is connected.

THEOREM 4. *If $\Pi_0(B)$ is nonempty, then $\Pi(B)$ is connected. If $\Pi(B)$ is disconnected, then $\Gamma(B)$ is an annulus whose boundary components are contained in distinct components of $\Pi(B)$.*

Proof. If $\Pi_0(B)$ is nonempty, then by [3] (or straightforward computation), it is an annulus, centered at 0, of inner radius $p_1(B) = \limsup_n |s_1 \cdots s_n|^{1/n}$ and outer radius $p_2(B) = \liminf_n |s_{-1} \cdots s_{-n}|^{1/n}$; by direct substitution in terms of s_i , and standard inequalities among various limits, we have $i(B)^+ \leq p_1(B) \leq p_2(B) \leq r(B)^-$; $\Pi(B)$ is then connected by Theorem 3.

Also, $\Gamma(B)$ is an annulus of inner radius $c_1(B) = \limsup_n |s_{-1} \cdots s_{-n}|^{1/n}$ and outer radius $c_2(B) = \liminf_n |s_1 \cdots s_n|^{1/n}$ provided that $c_1(B) \leq c_2(B)$. If $\Pi(B)$ is disconnected, then by Theorem 3 and standard inequalities among limits, $i(B)^- \leq c_1(B) \leq r(B)^- < i(B)^+ \leq c_2(B) \leq r(B)^+$. The second assertion now follows.

COROLLARY (KELLEY). $\Lambda(B)$ is connected.

Proof. $\Lambda = \Pi \cup \Gamma$.

THEOREM 5. *Suppose $(|s_n|)$ and $(|s_{-n}|)$, $n > 0$, are almost periodic with approximating periodic means q^+ and q^- , respectively. If $q^+ \leq q^-$, then $\Lambda(B) = \Pi(B) = \{c : q^+ \leq |c| \leq q^-\}$. If $q^- < q^+$, then $\Lambda(B) = \{c : q^- \leq |c| \leq q^+\}$ and*

$$\Pi(B) = \{c : |c| = q^- \text{ or } |c| = q^+\}.$$

Proof. By (3), $i(B)^+ = r(B)^+ = q^+$ and $i(B)^- = r(B)^- = q^-$. All assertions now follow from Theorems 3 and 4.

COROLLARY. *Suppose $a = \lim |s_{-n}|$ and $b = \lim |s_n|$ as $n \rightarrow +\infty$. If $b \leq a$ then $\Lambda(B) = \Pi(B) = \{c : b \leq |c| \leq a\}$. If $a < b$ then $\Lambda(B) = \{c : a \leq |c| \leq b\}$ and*

$$\Pi(B) = \{c : |c| = a \text{ or } |c| = b\}.$$

EXAMPLE (KELLEY). $s_n = 1$ for negative n , and 2 for positive n . Then

$$\Lambda(B) = \{c : 1 \leq |c| \leq 2\} \quad \text{and} \quad \Pi(B) = \{c : |c| = 1 \text{ or } |c| = 2\}.$$

THEOREM 6. $\Pi(L) = \Lambda(L) = \Lambda(R)$.

Proof. The second inequality holds because L and R are adjoint to each other. $\Gamma(L)$, being equal to $\Pi_0(R)$, is either empty or $\{0\}$. Since $\Lambda = \Pi \cup \Gamma$, either $\Pi(L) = \Lambda(L)$ or $\Pi(L) = \Lambda(L) - \{0\}$. But the latter case is impossible. For by the corollary (Kelley) to Theorem 1, either $\Lambda(L) = \{0\}$, in which case $\Pi(L)$ would be empty, or $\Lambda(L)$ is a disk of positive radius, in which case $\Pi(L)$ would fail to be closed.

LEMMA 7. *If i, c, r are any three numbers with $0 \leq i \leq c \leq r$, then there is a positive sequence (s_n) such that*

$$\liminf_n (s_{k+1} \cdots s_{k+n})^{1/n} = i, \quad \limsup_n (s_{k+1} \cdots s_{k+n})^{1/n} = r,$$

and

$$\liminf_n (s_1 \cdots s_n)^{1/n} = c.$$

If i, p, c are any three numbers with $0 \leq i \leq p \leq r$, then there is a positive sequence (s_n) which satisfies the above equalities for i and r , and such that

$$\limsup_n (s_1 \cdots s_n)^{1/n} = p.$$

Proof. We construct the sequences and omit the verifications, which consist of routine analysis; details are in [4].

If $i=r$, let $s_n=r$ for all n (or positive $s_n \rightarrow 0$ if $r=0$).

Suppose $i < r$. Choose a monotone nonincreasing sequence of positive numbers i_k converging to i . (If $i > 0$ we may take $i_k \equiv i$.) Choose a rational sequence $(r_k = p_k/q_k)$, p_k, q_k integers, such that p_k and $q_k - p_k$ tend to infinity and $i_k(r/i_k)^{r_k}$ converges to c . Let (s_n) consist of a sequence of cycles C_k , where each C_k is a sequence of r 's of length p_k , followed by a sequence of i_k 's of length $q_k - p_k$.

This gives the first required sequence, for i, c, r . To obtain the second, for i, p, r , proceed as before but let the i_k 's precede the r 's in each cycle C_k .

NOTE. $\Gamma(R)$ is a disk; let $c(R)$ denote its radius. Define $c_1(B), c_2(B), p_1(B)$, and $p_2(B)$ as in the proof of Theorem 4.

THEOREM 8. *If i, c, r are any three numbers with $0 \leq i \leq c \leq r$, then there is an injective right shift R with $i(R)=i, c(R)=c$, and $r(R)=r$. If i, p_1, p_2, r are any four numbers with $0 \leq i \leq p_1 \leq p_2 \leq r$, then there is an injective two-sided shift B with $i(B)=i, p_1(B)=p_1, p_2(B)=p_2$, and $r(B)=r$. If $i^-, c_1, r^-, i^+, c_2, r^+$ are any six numbers with $0 \leq i^- \leq c_1 \leq r^- < i^+ \leq c_2 \leq r^+$, then there is an injective two-sided shift B with $i^-(B)=i^-, c_1(B)=c_1, r^-(B)=r^-, i^+(B)=i^+, c_2(B)=c_2$, and $r^+(B)=r^+$.*

Proof. We exhibit the three asserted shifts by constructing the sequences of weights (s_n) , using the two constructions of Lemma 7 in suitable combinations; the verifications are then routine.

(1) Use the first construction (of Lemma 7) directly.

(2) Let $s_0=1$. For $n > 0$, use the second construction (Lemma 7), with $i=i, p=p_1$, and $r=r$. Let $s_{-n}=t_n$ where (t_n) satisfies the first set of conditions (Lemma 7), with $i=i, c=p_2$, and $r=r$.

(3) Let $s_0=1$. For $n > 0$, use the first construction of Lemma 7, with $i=i^+, c=c_2$, and $r=r^+$. Let $s_{-n}=t_n$ where (t_n) satisfies the second set of conditions (Lemma 7), with $i=i^-, p=c_1$, and $r=r^-$.

NOTE. In (2), modification, or caution, may be required if $p_1=p_2$. For $\Pi_0(B)$ is

actually the annulus of convergence of a power series involving the s_n ; here it is either a circle of radius $p_1 = p_2$, or empty. To ensure that it is indeed the circle, we need only proceed with caution in constructing the sequences (s_n) and (t_n) .

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