

ON HYPONORMAL WEIGHTED SHIFT

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Abstract

It is shown in this paper that the necessary condition that a hyponormal weighted unilateral shift of norm one be unitarily equivalent to a Toeplitz operator is that the associated weights $\{a_n\}_0^\infty$ must satisfy $1 - |a_n|^2 = (1 - |a_0|^2)^{n+1} \quad \forall n \geq 0$. As a consequence we obtain that the answer to Abrahamse's Problem 3 is that the Bergman shift is not unitarily equivalent to a Toeplitz operator.

A necessary condition that a hyponormal weighted unilateral shift be unitarily equivalent to a Toeplitz operator is shown in this paper. As a direct consequence of this condition we obtain that the answer to Abrahamse's Problem 3 is that the Bergman shift is not unitarily equivalent to a Toeplitz operator. Obviously, this problem should be considered before the Halmos question on subnormal Toeplitz operator (cf. [2, 3]).

Let Δ be the unit circle in the complex plane, H^2 be Hardy space. As usually, H^2 is identified with a closed subspace of $L^2(\Delta)$. For φ in $L^\infty(\Delta)$, the Toeplitz operator T_φ with symbol φ is the operator on H^2 defined by the equation $T_\varphi(f) = P(\varphi f)$ where P is the orthogonal projection from $L^2(\Delta)$ onto H^2 .

Lemma 1. *If Toeplitz operator T_φ is a hyponormal weighted unilateral shift with weights $\{a_n\}_0^\infty$, i. e. there exists a orthonormal basis $\{e_n\}_0^\infty$ of H^2 such that*

$$T_\varphi e_n = a_n e_{n+1}, \quad n \geq 0. \quad (1)$$

Then e_0 is an outer function and $\varphi(t) = r \frac{te_0}{e_0}$ a. e. $t \in \Delta$, where r is a constant.

Proof It is known from [4] Chap. 7 that either $\ker T_\varphi = \{0\}$ or $\ker T_\varphi^* = \{0\}$. The fact that $e_0 \in \ker T_\varphi^*$ implies that $|a_n| > 0 (n \geq 0)$. For $e_0 \in H^2$ we have (cf. [4] Chap. 6, also [5] Chap. 5) $e_0 = gF$, where g is an inner function and F is an outer function. Hence $T_\varphi^* F = T_\varphi^*(\bar{g}e_0) = T_{\bar{g}}T_\varphi^*e_0 = T_{\bar{g}}T_\varphi^*e_0 = 0$. This means $F = \rho e_0$ because $\dim \ker T_\varphi^* = 1$, where ρ is a constant. The first part of our lemma is thus proved.

It is easy to check that the hyponormality implies that

$$|a_n| \leq |a_{n+1}| \quad (n \geq 0). \quad (2)$$

It follows from [6] p. 240 that the essential spectrum of T_φ $\sigma_e(T_\varphi) = \{\lambda: |\lambda| = 1\}$. Here we assume $\|T_\varphi\| = 1$. So we have $|\varphi(t)| = 1$ a. e. $t \in \Delta$ (cf. [6] p. 139). Now $T_\varphi^*e_0 = 0$

implies $\bar{\varphi}e_0 \equiv \xi \in H^{2,1}$, where $H^{2,1} = L^2(\Delta) \ominus H^2 = (I - P)L^2(\Delta)$. Noticing $\frac{\bar{e}_0}{t} \in H^{2,1}$ and $\frac{\bar{\xi}}{t} \in H^2$, we obtain that $T_\varphi^*\left(\frac{\bar{\xi}}{t}\right) = P\left(\bar{\varphi} \frac{\bar{\xi}}{t}\right) = P\left(\frac{\bar{e}_0}{t}\right) = 0$. By $\dim \ker T_\varphi^* = 1$ again, we have $e_0 = r \frac{\bar{\xi}}{t}$, where r is constant. This proves that $\varphi = \frac{e_0}{\xi} = r \frac{te_0}{\bar{e}_0}$ with $|r| = 1$ a. e. $t \in \Delta$.

Lemma 2. *If Toeplitz operator T_φ is a hyponormal unilateral shift with weights $\{\alpha_n\}_0^\infty$. Then either $|\alpha_n| = \text{const} = \|T\|$ ($=1$) or $|\alpha_0| \neq |\alpha_1|$.*

Proof We prove the lemma by contradiction. By contradictory assumption, there exists a positive integer l such that $|\alpha_0| = |\alpha_1| = \dots = |\alpha_l| < |\alpha_{l+1}|$. Because e_l and e_{l-1} are linearly independent, we can choose complex number α_l with $|\alpha_l| \leq 1$ such that

$$(\alpha_l e_{l-1} + \sqrt{1 - |\alpha_l|^2} e_l)|_{z=0} = 0. \quad (3)$$

This means $\frac{w_l}{t} \in H^2$, where $w_l = \alpha_l e_{l-1} + \sqrt{1 - |\alpha_l|^2} e_l$. Hence

$$\left\| T_\varphi \left(\frac{w_l}{t} \right) \right\| = \|T_t^* T_\varphi w_l\| = |\alpha_0| \|T_t^* (\alpha_l e_l + \sqrt{1 - |\alpha_l|^2} e_{l+1})\| \leq |\alpha_0|.$$

The following fact is easy to verify:

$$\begin{cases} \text{If } \|T_\varphi u\| = \inf_{x \in H^2, \|x\|=1} \|T_\varphi x\| \text{ for some } u \in H^2 \text{ with } \|u\|=1, \\ \text{then } u \in \mathcal{M}_l = \text{Span}\{e_0, e_1, \dots, e_l\}. \end{cases} \quad (4)$$

We get from (4) that

$$\frac{w_l}{t} \in \mathcal{M}_l. \quad (5)$$

The same argument shows that there exists $w_{l-1} \in \{\text{Span}\{e_1, \dots, e_l\} \ominus w_l\}$ with $\|w_{l-1}\| = 1$ such that $\frac{w_{l-1}}{t} \in \mathcal{M}_l$. Repeating the procedure above, we obtain w_2, w_3, \dots, w_l such that

$$\begin{cases} w_i \in \text{Span}\{e_1, \dots, e_n\}, \\ \langle w_i, w_j \rangle = \begin{cases} 0 & i \neq j, \\ 1 & i = j, \end{cases} \quad 2 \leq i, j \leq l, \\ \frac{w_i}{t} \in \mathcal{M}_l. \end{cases} \quad (6)$$

where the symbol $\langle \cdot, \cdot \rangle$ stands for the inner product in $L^2(\Delta)$. Similarly, we can pick up $w_1 \in \{\text{span}\{e_0, e_1, \dots, e_l\} \ominus \text{span}\{w_2, w_3, \dots, w_l\}\}$ with $\|w_1\| = 1$ and $\frac{w_1}{t} \in \mathcal{M}_l$. All this shows there exists a pair of appropriate matrices α_l and β_l of order $l \times (l+1)$ such that

$$\frac{1}{t} \begin{pmatrix} w_1 \\ w_2 \\ \vdots \\ w_l \end{pmatrix} = \frac{1}{t} \alpha_l \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_l \end{pmatrix} = \beta_l \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_l \end{pmatrix}. \quad (7)$$

From the construction of w_i 's, it is easy to check that the matrix α_i has a form as follows

$$\alpha_i = \begin{pmatrix} \rho_i & & \\ 0 & \boxed{A} & \\ \vdots & & \\ 0 & & \end{pmatrix} \quad (8)$$

where the matrix A_i is of order $l \times l$. Also $|\rho_0| \neq 1$, this is because e_0 is an outer function. Moreover the orthogonality of w_i 's indicates that $\det A_i \neq 0$. By applying T_φ^* to both sides of (7), we obtain that

$$\begin{aligned} \alpha_i T_t^* \begin{pmatrix} 0 \\ e_0 \\ \vdots \\ e_{l-1} \end{pmatrix} &= \frac{1}{a_0} \alpha_i T_t^* T_\varphi^* \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_l \end{pmatrix} = \frac{1}{a_0} T_\varphi^* \left\{ \frac{1}{t} \alpha_i \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_l \end{pmatrix} \right\} \\ &= \frac{1}{a_0} \beta_i T_\varphi^* \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_l \end{pmatrix} = \beta_i \begin{pmatrix} 0 \\ e_0 \\ \vdots \\ e_{l-1} \end{pmatrix}. \end{aligned} \quad (9)$$

It follows from (8) and (9) that

$$T_t^* \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_{l-1} \end{pmatrix} = A_i^{-1} B_i \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_{l-1} \end{pmatrix} \equiv C_i \begin{pmatrix} e_0 \\ e_1 \\ \vdots \\ e_{l-1} \end{pmatrix}. \quad (10)$$

where the matrix B_i is obtained from β_i by omitting the first column.

Applying the same argument given in (3)–(7) to the system $\{e_0, e_1, \dots, e_{l-1}\}$ we obtain vectors $\{y_i\}_{i=1}^{l-1}$ such that

$$\begin{cases} \{y_i\}_{i=2}^{l-1} \subset \text{span}\{e_1, \dots, e_{l-1}\}, \\ y_1 \in \{\text{span}\{e_0, e_1, \dots, e_{l-1}\} \ominus \text{span}\{y_2, \dots, y_{l-1}\}\}, \\ \langle y_i, y_j \rangle = \begin{cases} 0 & i \neq j, \\ 1 & i = j, \end{cases} \quad 1 \leq i, j \leq l-1 \\ \frac{y_i}{t} \in \mathcal{M}_i. \end{cases} \quad (11)$$

We now assert that

$$\frac{y_i}{t} \in \mathcal{M}_{l-1} \equiv \text{span}\{e_0, e_1, \dots, e_{l-1}\}. \quad (12)$$

Indeed, it follows from (10) that $T_t^* \mathcal{M}_{l-1} \subseteq \mathcal{M}_{l-1}$. Hence $\frac{y_i}{t} = T_t^* y_i \in T_t^* \mathcal{M}_{l-1} \subseteq \mathcal{M}_{l-1}$ ($1 \leq i \leq l-1$). We now can repeat the argument given in (6)–(10) to the system $\{e_0, e_1, \dots, e_{l-1}\}$ and get that $T_t^* \mathcal{M}_{l-2} \subseteq \mathcal{M}_{l-2}$. Hence we obtain at last that

$$T_t^* \mathcal{M}_0 \subseteq \mathcal{M}_0, \text{ i. e.} \quad (13)$$

$$T_t^* e_0 = \rho e_0, \quad (13')$$

where ρ is a constant. Obviously $|\rho| \leq 1$. Let $e_0 = \sum_{n=0}^{\infty} c_n z^n$. Then it follows from (13') that $c_n = \rho^n c_0$ ($n \geq 0$). Therefore we have $e_0 = \frac{c_0}{1-\rho z}$. The fact that $\|e_0\|=1$ implies $|\rho| < 1$.

On the other hand, we get from Lemma 1 that $\varphi = r \frac{te_0}{\bar{e}_0} = r \frac{t-\bar{\rho}}{1-\rho t}$, $t \in \Delta$, i. e. φ is an inner function. Therefore T_φ is an isometry. This contradicts that $|a_l| \neq |a_{l+1}|$ for some $l \geq 1$.

Lemma 2 is thus proved.

The following is our main result.

Theorem 3. Let T be a weighted unilateral shift (in Hilbert space \mathcal{H}) with weights $\{a_n\}_0^\infty$. If $|a_l| \geq |a_{l+1}|$ ($l \geq 0$) with $\lim_{l \rightarrow \infty} |a_l| = 1$. Then a necessary condition that T be unitarily equivalent to a Toeplitz operator is that $1 - |a_n|^2 = (1 - |a_0|^2)^{n+1}$, $\forall n \geq 0$.

Proof T is unitarily equivalent to a Toeplitz operator, say T_φ . So T_φ is also a weighted unilateral shift in H^2 with weights $\{a_n\}_0^\infty$. T_φ is hyponormal by $|a_n| \leq |a_{n+1}|$ ($n \geq 0$). As is shown in Lemma 2, $|\varphi| = 1$ a. e. $t \in \Delta$. Without loss of generality, we assume $0 < a_n \leq 1$ (cf. [6] p. 46), also $a_n < 1$ ($n \geq 0$, cf. [1, 7]). By the definition of Toeplitz operator, the system (1) is equivalent to the following

$$\begin{cases} \varphi e_n = a_n e_{n+1} + (1 - a_n^2)^{\frac{1}{2}} \eta_n, \\ \bar{\varphi} e_{n+1} = a_n e_n + (1 - a_n^2)^{\frac{1}{2}} \xi_n. \end{cases} \quad n \geq 0, \quad (14)$$

where $\{\eta_n\}_0^\infty, \{\xi_n\}_0^\infty \subset H^{2\perp}$ and $\|\eta_n\| = \|\xi_n\| = 1$ ($n \geq 0$). Obviously $\langle \varphi e_i, \varphi e_j \rangle = \langle e_i, e_j \rangle$, $i, j \geq 0$. So we obtain from $a_n < 1$ ($n \geq 0$) that

$$\langle \eta_l, \eta_k \rangle = \langle \xi_l, \xi_k \rangle = \begin{cases} 0 & l \neq k \\ 1 & l = k \end{cases} \quad l, k \geq 0. \quad (15)$$

What we want to show in the next step is to give the explicit expression of η_n 's and ξ_n 's. To this end, we obtain from (14) that

$$e_n = \bar{\varphi} (a_n e_{n+1} + (1 - a_n^2)^{\frac{1}{2}} \eta_n) = a_n^2 e_n + a_n (1 - a_n^2)^{\frac{1}{2}} \xi_n + (1 - a_n^2)^{\frac{1}{2}} \bar{\varphi} \eta_n, \quad n \geq 0, \text{ i. e. } (16)$$

$$\bar{\varphi} \eta_n = -a_n \bar{\xi}_n + (1 - a_n^2)^{\frac{1}{2}} \bar{e}_n, \quad n \geq 0. \quad (17)$$

Let $d_n = \frac{\bar{\eta}_n}{t}$ and $\rho_n = \frac{\bar{\xi}_n}{t}$. Then (17) has the form

$$\varphi d_n = -a_n \rho_n + (1 - a_n^2)^{\frac{1}{2}} \frac{\bar{e}_n}{t}, \quad n \geq 0. \quad (17')$$

It is evident that $\frac{\bar{e}_n}{t} \in H^{2\perp}$ ($n \geq 0$) and $\{d_n\}_0^\infty$ is an orthonormal vector family in H^2 .

Also we get from (17') that

$$\begin{cases} \|T_\varphi d_0\| = a_0 = \inf_{x \in H^2, \|x\|=1} \|T_\varphi x\|, \\ \|T_\varphi d_l\| = a_l = \inf_{x \in H^2, x \perp \{e_0, \dots, e_{l-1}\}, \|x\|=1} \|T_\varphi x\|. \end{cases} \quad (18)$$

Then it can be easily verified by using (1), (15) and (18) that

$$\begin{pmatrix} d_l \\ d_{l+1} \\ \vdots \\ d_{l+\epsilon_l} \end{pmatrix} = D_l \begin{pmatrix} e_l \\ e_{l+1} \\ \vdots \\ e_{l+\epsilon_l} \end{pmatrix} \quad l \geq 0, \quad (19)$$

where D_l is an unitary matrix of order $\epsilon_l \times \epsilon_l$ and ϵ_l is an integer, may be zero, such that $a_{l-1} < a_l = a_{l+1} = \dots = a_{l+\epsilon_l} < a_{l+\epsilon_l+1}$. Substituting (19) into (17') and comparing it with (14) we get immediately that

$$\begin{cases} -D_l^* \begin{pmatrix} \rho_l \\ \rho_{l+1} \\ \vdots \\ \rho_{l+\epsilon_l} \end{pmatrix} = \begin{pmatrix} e_{l+1} \\ e_{l+2} \\ \vdots \\ e_{l+\epsilon_l+1} \end{pmatrix}, \\ D_l^* \begin{pmatrix} \frac{\bar{e}_l}{t} \\ \frac{\bar{e}_{l+1}}{t} \\ \vdots \\ \frac{\bar{e}_{l+\epsilon_l}}{t} \end{pmatrix} = \begin{pmatrix} \eta_l \\ \eta_{l+1} \\ \vdots \\ \eta_{l+\epsilon_l} \end{pmatrix}, \end{cases} \quad (20)$$

where D_l^* is the complex conjugate transpose of D_l . Actually, $D_l^* = D_l^{-1}$.

Only for computation convenience we assume $\epsilon_l = 0$ ($l \geq 0$) in what follows, i. e. $a_l < a_{l+1}$ ($l \geq 0$). We shall see below that $a_0 < a_1$ is essential in the proof. However, this is always true because of Lemma 2. In this case the matrix D_l is reduced to a complex number r_l of modulus one. Also, (14) is reduced to

$$\begin{cases} \varphi e_n = \alpha_n e_{n+1} + (1 - \alpha_n^2)^{\frac{1}{2}} \bar{r}_n e_{-(n+1)}, \\ \bar{\varphi} e_{n+1} = \alpha_n e_n - (1 - \alpha_n^2)^{\frac{1}{2}} \bar{r}_n e_{-(n+2)}, \end{cases} \quad n \geq 0, \quad (21)$$

where $e_{-(n+1)} \equiv \frac{\bar{e}_n}{t}$ a. e. $t \in \Delta$ ($n \geq 0$).

For completing the proof, we need some of further assertions.

The function $\psi \equiv \varphi - \bar{r}_0 r (1 - \alpha_0^2)^{\frac{1}{2}} \bar{\varphi}$ is in $H^2 \cap L^\infty(\Delta)$, where r is the constant given in $\bar{\varphi} e_0 = r e_{-1}$ (see Lemma 2).

In fact, we get from (21) and Lemma 2 that

$$\varphi e_0 = \alpha_0 e_1 + \bar{r}_0 (1 - \alpha_0^2)^{\frac{1}{2}} e_{-1} = \alpha_0 e_1 + \bar{r}_0 \bar{r} (1 - \alpha_0^2)^{\frac{1}{2}} \bar{\varphi} e_0, \quad (22)$$

i. e. $\psi e_0 = a_0 e_1$. Then the following subspace of H^2

$$V = \{\varphi \in H^2 : \psi \varphi \in H^2\}$$

is not empty and invariant under the multiplication by z . So $V = \chi H^2$ by Beurling's Theorem (cf. [4] chap. 6, also [5] chap. 7 or [6] p. 79), where χ is an inner function. But $e_0 \in V$ and e_0 is an outer function so $\chi = 1$. Therefore $\psi = \psi \cdot 1 \in H^2$.

Remark 1. The fact that $a_0 \neq a_1$ is essential in the proof of $\psi \in H^2$.

We now return to the proof of our theorem.

The Laurent operator L_φ , the multiplication by φ , is unitary in $L^2(\Delta)$ because $|\varphi| = 1$ a. e. $t \in \Delta$. We identify L_φ with its matrix representation in the coordinate system $\{t^n\}_{-\infty}^\infty$. It follows from i) that (cf. [6] p. 135 for Laurent matrix)

$$L_\varphi = \begin{pmatrix} \begin{matrix} & -1 & 0 & 1 \\ \vdots & \vdots & \vdots & \vdots \\ \rho c_2 & & & \\ \vdots & \vdots & \vdots & \vdots \\ \rho c_1 & & & \\ \vdots & \vdots & \vdots & \vdots \\ c_1 & c_0 & \rho c_1 & \rho c_2 \\ \vdots & \vdots & \vdots & \vdots \\ c_1 & c_0 & \rho c_1 & \\ \vdots & \vdots & \vdots & \vdots \\ c_2 & c_1 & c_0 & \rho e_1 \\ \vdots & \vdots & \vdots & \vdots \\ & c_2 & c_1 & \\ & & c_2 & \ddots \end{matrix} & \begin{matrix} -1 \\ 0 \\ 1 \end{matrix} \end{pmatrix} \\ \equiv \begin{pmatrix} \begin{matrix} \Omega & \rho \bar{\mathcal{L}} \\ \mathcal{L} & \Omega^T \end{matrix} & \begin{matrix} -1 \\ 0 \end{matrix} \\ \begin{matrix} -1 & 0 \end{matrix} & \end{pmatrix} \quad (23)$$

where $\rho = \overline{r_0 r} (1 - a_0^2)^{\frac{1}{2}}$, Ω^T is the transpose of Ω . Similarly, it follows from (21) that the operator L_φ has a matrix representation in the coordinate system $\{e_n\}_{-\infty}^\infty$ as follows

$$\begin{array}{ccccccc}
 & & -(n+2) \cdots -2 & -1 & 0 & \cdots & n \\
 L_\varphi \{e_n\}_{-\infty}^\infty & \left(\begin{array}{ccccccc}
 \ddots & & & & & & \\
 \cdots & \alpha_n & & & & & \bar{r}_n(1-\alpha_n^2)^{1/2} \cdots \\
 & \ddots & & & & & \\
 & & \alpha_0 & & & & \bar{r}_0(1-\alpha_0^2)^{1/2} \cdots \\
 & & & \ddots & & & \\
 & & & & \bar{r} & & \\
 & & & & & \ddots & \\
 & & & & & & \alpha_0 \\
 & & & & & & \ddots \\
 \cdots & & & & & & \alpha_n \\
 & & & & & & \ddots
 \end{array} \right) \begin{array}{c}
 -(n+1) \\
 \vdots \\
 -1 \\
 0 \\
 1 \\
 \vdots \\
 n+1
 \end{array}
 \end{array}$$

$$= \left(\begin{array}{c|c} A^T & \gamma \\ \hline \xi & A \end{array} \right) \begin{array}{c} -1 \\ 0 \end{array} = Q \quad \text{where} \quad \xi = \begin{pmatrix} \bar{r} & 0 & 0 & \cdots \\ 0 & & & \\ 0 & & & \\ \vdots & & & -\gamma^* \end{pmatrix} \quad (24)$$

Let

$$W \begin{pmatrix} \vdots \\ e_{-m} \\ \vdots \\ e_{-2} \\ e_{-1} \\ e_0 \\ e_1 \\ e_2 \\ \vdots \\ e_m \\ \vdots \end{pmatrix} = \begin{pmatrix} \vdots \\ t^{-n} \\ \vdots \\ t^{-2} \\ t^{-1} \\ 1 \\ t \\ t^2 \\ \vdots \\ t^n \\ \vdots \end{pmatrix}. \quad (25)$$

Then W is unitary and $WH^2 = H^2$, $WH^{2\perp} = H^{2\perp}$. Moreover, if $t^n = \sum_{j=0}^{\infty} w_{n,j} e_j$ ($n \geq 0$), then $t^{-(n+1)} = \frac{1}{t} \overline{\left(\sum_{j=0}^{\infty} w_{n,j} e_j \right)} = \sum_{j=1}^{\infty} \bar{w}_{n,j-1} e_{-j}$ ($n \geq 0$).

Therefore, it is easy to verify that

$$W = \begin{pmatrix} -1 & 0 \\ \bar{R} & 0 \\ 0 & R \end{pmatrix} \begin{matrix} -1 \\ 0 \end{matrix} \quad (26)$$

It is well known that $W^*QW = L_\varphi$. So we have, by (23)–(26), that $\bar{\rho}R^*\xi\bar{R} = R^*\bar{\gamma}\bar{R}$. Obviously, this holds if and only if $\bar{\rho}r = -r_0(1-\alpha_0^2)^{1/2}$ and $\bar{\rho}r_n(1-\alpha_n^2)^{1/2} = -r_{n+1}(1-\alpha_{n+1}^2)^{1/2}$. This leads to that $1-\alpha_n^2 = (1-\alpha_0^2)^{n+1} \forall n \geq 0$. The proof of our theorem is thus completed.

As a consequence of Theorem 3, we obtain the answer to Abrahamse's Problem 3 (cf. [1]).

Corollary 4. *The Bergman shift is not unitarily equivalent to a Toeplitz operator.*

Proof The Bergman shift (cf. [1] for the definition) is a subnormal weighted shift with weights $a_n = \sqrt{\frac{n+1}{n+2}}$ ($n \geq 0$). Then Theorem 3 implies Corollary 4.

References

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