

# Minimal Projections with respect to Numerical Radius

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## Abstract

In this paper we survey some results on minimality of projections with respect to numerical radius. We note that in the cases  $L^p$ ,  $p = 1, 2, \infty$ , there is no difference between the minimality of projections measured either with respect to operator norm or with respect to numerical radius. However, we give an example of a projection from  $l_3^p$  onto a two-dimensional subspace which is minimal with respect to norm, but not with respect to numerical radius for  $p \neq 1, 2, \infty$ . Furthermore, utilizing a theorem of Rudin and motivated by Fourier projections, we give a criterion for minimal projections, measured in numerical radius. Additionally, some results concerning strong unicity of minimal projections with respect to numerical radius are given.

## 1 Introduction

A projection from a normed linear space  $X$  onto a subspace  $V$  is a bounded linear operator  $P : X \rightarrow V$  having the property that  $P|_V = I$ .  $P$  is called a *minimal projection* if  $\|P\|$  is the least possible. Finding a minimal projection of the least norm has its obvious connection to approximation theory, since for any  $P \in \mathcal{P}(X, V)$ , the set of all projections from  $X$  onto  $V$ , and  $x \in X$ , from the inequality:

$$\|x - Px\| \leq (\|Id - P\|) \operatorname{dist}(x, V) \leq (1 + \|P\|) \operatorname{dist}(x, V), \quad (1)$$

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one can deduce that  $Px$  is a good approximation to  $x$  if  $\|P\|$  is small. Furthermore, any minimal projection  $P$  is an extension of  $Id_V$  to the space  $X$  of the smallest possible norm, which can be interpreted as a Hahn-Banach extensions. In general, a given subspace will not be the range of a projection of norm 1, and the projection of least norm is difficult to discover even if its existence is known *a priori*. For example, the minimal projection of  $C[0, 1]$  onto the subspace  $\Pi_3$  of polynomials of degree  $\leq 3$  is unknown. For an explicit determination of the projection of minimal norm from the subspace  $C[-1, 1]$  onto  $\Pi_2$ , see [8]. However, it is known that, see [10], for a Banach space  $X$  and subspace  $V \subset X$ ,  $V = Z^*$  for some Banach space  $Z$ , then there exists a minimal projection  $P : X \rightarrow Z$ . A well known example of a minimal projection, [13], is Fourier projection  $F_m : C(2\pi) \rightarrow \Pi_M := \text{span}\{1, \sin x, \cos x, \dots, \sin mx, \cos mx\}$  defined as

$$F_m(f) = \sum_{k=0}^m \alpha_k \cos kx + \sum_{k=0}^m \beta_k \sin kx \quad (2)$$

where  $\alpha_k, \beta_k$  are Fourier coefficients and  $C(2\pi)$  denotes  $2\pi$ -periodic, real-valued functions equipped with the sup norm. For uniqueness of minimality of Fourier projection also see [19]. Let  $X$  be a Banach space over  $\mathbb{R}$  or  $\mathbb{C}$ . We write  $B_X(r)$  for a closed ball with radius  $r > 0$  and center at 0 ( $B_X$  if  $r = 1$ ) and  $S_X$  for the unit sphere of  $X$ . The dual space of  $X$  is denoted by  $X^*$  and the Banach algebra of all continuous linear operators going from  $X$  into a Banach space  $Y$  is denoted by  $B(X, Y)$  ( $B(X)$  if  $X = Y$ ).

The numerical range of a bounded linear operator  $T$  on  $X$  is a subset of a scalar field, constructed in such a way that it is related to both algebraic and norm structures of the operator, more precisely:

**Definition 1.1.** *The numerical range  $T \in \vec{B}(X)$  is defined by*

$$W(T) = \{x^*(Tx) : x \in S_X, x^* \in S_{X^*}, x^*(x) = 1\}. \quad (3)$$

Notice that the condition  $x^*(x) = 1$  gives us that  $x^*$  is a norm attaining functional.

The concept of a numerical range comes from Toeplitz's original definition of the *field of values* associated with a matrix, which is the image of the unit sphere under the quadratic form induced by the matrix  $A$ :

$$F(A) = \{x^*Ax : \|x\| = 1, x \in \mathbb{C}^n\}, \quad (4)$$

where  $x^*$  is the original conjugate transform and  $\|x\|$  is the usual Euclidean norm. It is known that the classical numerical range of a matrix always contains the spectrum, and as a result study of numerical range can help understand properties that depend on the location of the eigenvalues such as stability and non-singularity of matrices. In case  $A$  is a normal matrix, then the numerical range is the polygon in the complex plane whose vertices are eigenvalues of  $A$ . In particular, if  $A$  is hermitian, then the polygon reduces to the segment on the real axis bounded by the smallest and largest eigenvalue, which perhaps explains the name numerical range.

The *numerical radius* of  $T$  is given by

$$\|T\|_w = \sup\{|\lambda| : \lambda \in W(T)\}. \quad (5)$$

Clearly  $\|T\|_w$  is a semi-norm on  $B(X)$  and  $\|T\|_w \leq \|T\|$  for all  $T \in B(X)$ . For example, if we consider  $T : \mathbb{C}^n \rightarrow \mathbb{C}^n$  as a right shift operator

$$T(f_1, f_2, \dots, f_n) = (0, f_1, f_2, \dots, f_{n-1})$$

then  $\langle Tf, f \rangle = f_1 \bar{f}_2 + f_2 \bar{f}_3 + \dots + f_{n-1} \bar{f}_n$  and consequently to find  $\|T\|_w$  we must find  $\sup\{|f_1||f_2| + \dots + |f_{n-1}||f_n|\}$  subject to the condition  $\sum_{i=1}^n |f_i|^2 = 1$ .

The solution to this ‘‘Lagrange multiplier’’ problem is

$$\|T\|_w = \cos\left(\frac{\pi}{n+1}\right). \quad (6)$$

The *numerical index* of  $X$  is then given by

$$n(X) = \inf \{ \|T\|_w : T \in S_{B(X)} \}. \quad (7)$$

Equivalently, the numerical index  $n(X)$  is the greatest constant  $k \geq 0$  such that  $k\|T\| \leq \|T\|_w$  for every  $T \in B(X)$ . Note also that  $0 \leq n(X) \leq 1$  and  $n(X) > 0$  if and only if  $\|\cdot\|_w$  and  $\|\cdot\|$  are equivalent norms. The concept of numerical index was first introduced by Lumer [14] in 1968. Since then much attention has been paid to the constant of equivalence between the numerical radius and the usual norm of the Banach algebra of all bounded linear operators of a Banach space. Two classical books devoted to these concepts are [7] and [6]. For more recent results we refer the reader to [4],[15],[16] and [11].

In this paper, we study minimality of projections with respect to numerical radius. Since operator norm of  $T$  is defined as  $\|T\| = \sup |\langle Tx, y \rangle|$  with  $(x, y) \in B(X) \times B(X^*)$ , while numerical radius  $\|T\|_w = \sup |\langle Tx, y \rangle|$  with  $(x, y) \in B(X) \times B(X^*)$  and  $\langle x, y \rangle = 1$ ,  $\|T\|$  is bilinear and  $\|T\|_w$  is quadratic in nature. However,  $\|T\|_w \leq \|T\|$  implies that there are more spaces for which  $\|T\| \geq 1$  but  $\|T\|_w = 1$ .

Furthermore, if  $T$  is a bounded linear operator on a Hilbert space  $H$ , then the numerical radius takes the form

$$\|T\|_w = \sup\{|\langle Tx, x \rangle| : \|x\| = 1\}. \quad (8)$$

This follows from the fact that for each linear functional  $x^*$  there is a unique  $x_0 \in H$  such that  $x^*(x) = \langle x, x_0 \rangle$  for all  $x \in H$ . Moreover, if  $T$  is self-adjoint or a normal operator on a Hilbert space  $H$ , then

$$\|T\|_w = \|T\|. \quad (9)$$

Also, if a non-zero  $T : H \rightarrow H$  is self-adjoint and compact, then  $T$  has an eigenvalue  $\lambda$  such that

$$\|T\|_w = \|T\| = \lambda. \quad (10)$$

These properties of numerical radius together with the desirable properties of diagonal projections from Hilbert spaces onto closed subspaces proved motivation to investigate minimal projections with respect to numerical radius.

## 2 Characterization of Minimal Numerical Radius Projections

In [1] a characterization of minimal numerical radius extension of operators from a Banach space  $X$  onto its finite dimensional subspace  $V = [v_1, v_2, \dots, v_n]$  is given. To express this theorem, we first set up our notation.

**Notation 2.1.** Let  $T = \sum_{i=1}^n u_i \otimes v_i : V \rightarrow V$  where  $u_i \in V^*$  and its extension to  $X$  is denoted by  $\tilde{T} : X \rightarrow V$  and defined as

$$\tilde{T} = \sum_{i=1}^n \tilde{u}_i \otimes v_i, \quad (11)$$

where  $\tilde{u}_i \in X^*$ .

**Definition 2.2.** Let  $X$  be a Banach space. If  $x \in X$  and  $x^* \in X^*$  are such that

$$|\langle x, x^* \rangle| = \|x\| \|x^*\| \neq 0, \quad (12)$$

then  $x^*$  is called an extremal of  $x$  and written as  $x^* = \text{ext } x$ . Similarly,  $x$  is an extremal of  $x^*$ . We call  $(\text{ext } y, y) \in S_{X^{**}} \times S_{X^*}$  a diagonal extremal pair for  $\tilde{T} \in B(X, V)$  if

$$\langle \tilde{T}^{**} x, y \rangle = \|\tilde{T}\|_w, \quad (13)$$

where  $\tilde{T}^{**} : X^{**} \rightarrow V$  is the second adjoint extension of  $\tilde{T}$  and  $V = [v_1, \dots, v_n] \subset X$ . In other words, the map  $\tilde{T}$  has the expression  $\tilde{T} = \sum_{i=1}^n \tilde{u}_i \otimes v_i : X \rightarrow V$  and

$$\tilde{T}x = \sum_{i=1}^n \langle x, \tilde{u}_i \rangle v_i \quad (14)$$

where  $\tilde{u}_i \in X^*$ ,  $v_i \in V$  and  $\langle x, \tilde{u}_i \rangle$  denotes the functional  $\tilde{u}_i$  is acting on  $x$  and

$$\tilde{T}^{**}x = \sum_{i=1}^n \langle u_i, x \rangle v_i, \quad (15)$$

$u_i \in X^{***}$ ,  $v_i \in V$ ,  $x \in X^{**}$ .

The set of all diagonal extremal pairs will be denoted by  $\mathcal{E}_w(\tilde{T})$  and defined as:

$$\mathcal{E}_w(\tilde{T}) = \left\{ (\text{ext } y, y) \in S_{X^{**}} \times S_{X^*} : \|\tilde{T}\|_w = \sum_{i=1}^n \langle \text{ext } y, u_i \rangle \cdot \langle v_i, y \rangle \right\}. \quad (16)$$

Note that to each  $(x, y) \in X^{**} \times X^*$  we associate the rank-one operator  $y \otimes x : X \rightarrow X^{**}$  given by

$$(y \otimes x)(z) = \langle z, y \rangle x \quad \text{for } z \in X. \quad (17)$$

Accordingly, to each  $(x, y) \in \mathcal{E}_w(\tilde{T})$  we can associate the rank-one operator  $y \otimes \text{ext } y : X \rightarrow X^{**}$  given by

$$(y \otimes \text{ext } y)(z) = \langle z, y \rangle \text{ext } y. \quad (18)$$

By  $\mathcal{E}(\tilde{T})$  we denote the usual set of all extremal pairs for  $\tilde{T}$  and

$$\mathcal{E}(\tilde{T}) = \left\{ (x, y) \in S_{X^{**}} \times S_{X^*} : \|\tilde{T}\| = \sum_{i=1}^n \langle x, u_i \rangle \cdot \langle v_i, y \rangle \right\}. \quad (19)$$

In case of diagonal extremal pairs we require  $|\langle ext y, y \rangle| = 1$ .

**Definition 2.3.** Let  $T = \sum_{i=1}^n u_i \otimes v_i : V \rightarrow V = [v_1, v_2, \dots, v_n] \subset X$ , where  $u_i \in V^*$ . Let  $\tilde{T} : \sum_{i=1}^n i = 1^n \tilde{u}_i \otimes v_i : X \rightarrow V$  be an extension of  $T$  to all of  $X$ . We say  $\tilde{T}$  is a minimal numerical extension of  $T$  if

$$\|\tilde{T}\| = \inf \{ \|S\|_w : S : X \rightarrow V ; S|_V = T \}. \quad (20)$$

Clearly  $\|T\|_w \leq \|\tilde{T}\|_w$ .

**Theorem 2.4.** ([1])  $\tilde{T}$  is a minimal radius-extension of  $T$  if and only if the closed convex hull of  $\{y \otimes x\}$  where  $(x, y) \in \mathcal{E}_w(\tilde{T})$  contains an operator for which  $V$  is an invariant subspace.

**Theorem 2.5.**  $P$  is a minimal projection from  $X$  onto  $V$  if and only if the closed convex hull of  $\{y \otimes x\}$ , where  $(x, y) \in \mathcal{E}_w(P)$  contains an operator for which  $V$  is an invariant subspace.

*Proof.* By taking  $T = I$  and  $\tilde{T} = P$  one can appropriately modify the proof given in [1] without much difficulty. The problem is equivalent to the best approximation in the numerical radius of a fixed operator from the space of operator

$$\mathcal{D} = \{ \Delta \in \mathcal{B} : \Delta = 0 \text{ on } V \} = sp\{ \delta \otimes v : \delta \in V^\perp ; v \in V \}.$$

One of the main ingredients of the proof is Singer's identification theorem ([20], Theorem 1.1 (p.18) and Theorem 1.3 (p.29)) of finding the minimal operator as the error of best approximation in  $C(K)$  for  $K$  Compact. In the case of numerical radius, one considers  $K_w = K \cap Diag = \{(x, y) \in B(X^{**}) \times B(X^*) : x = ext(y) \text{ or } x = 0\}$  and shows  $K_w$  is compact. Thus the set  $\mathcal{E}(P)$ , being the set of points where a continuous (bilinear) function achieves its maximum on a compact set, is not empty. For further details see [1].  $\square$

**Theorem 2.6.** (When minimal projections coincide) In case  $X = L^p$  for  $p = 1, 2, \infty$ , the minimal numerical radius projections and the minimal operator norm projections coincide with the same norms.

*Proof.* In case of  $L^2$ , for any self-adjoint operator, we have

$$\|P\| = \|P\|_w = |\lambda|, \quad (21)$$

where  $\lambda$  is the maximum (in modulus) eigenvalue. In this case,

$$\|P\| = \|P\|_w = |\langle Px, x \rangle|, \quad (22)$$

where  $x$  is a norm-1 “maximum” eigenvector.

When  $p = 1, \infty$ , it is well known that  $n(L^p) = 1$  ([7], section 9) thus

$$\|P\| = \|P\|_w. \quad (23)$$

□

**Example 2.7.** *The projection  $P : l_3^p \rightarrow [v_1, v_2] = V$  where  $v_1 = (1, 1, 1)$  and  $v_2 = (-1, 0, 1)$  is minimal with respect to the operator norm, but not minimal with respect to numerical radius for  $1 < p < \infty$  and  $p \neq 2$ . Let us denote by  $P_o, P_m$  projections minimal with respect to operator norm and numerical radius respectively. In other words*

$$\begin{aligned} \|P_o\| &= \inf \{ \|P\| : P \in \mathcal{P}(X, V) \} \\ \|P_m\|_w &= \inf \{ \|P\|_w : P \in \mathcal{P}(X, V) \}. \end{aligned}$$

*Note that*

$$P_o(f) = u_1(f)v_1 + u_2(f)v_2 \quad \text{and} \quad P_m(f) = z_1(f)v_1 + z_2(f)v_2. \quad (24)$$

*Then it is easy to see that*

$$\begin{aligned} u_1 = z_1 &= \left( -\frac{1}{2}, 0, \frac{1}{2} \right) \\ u_2 &= \left( \frac{1-d}{2}, d, \frac{1-d}{2} \right) \\ z_2 &= \left( \frac{1-g}{2}, g, \frac{1-g}{2} \right), \end{aligned}$$

*and for  $p = \frac{4}{3}$  it is possible to determine  $g$  and  $d$  to conclude  $\|P_o\| = 1.05251$  while  $\|P_m\|_w = 1.02751$ , thus  $\|P_o\| \neq \|P_m\|_w$ .*

V. P. Odiéne in [18] (see also [17], [12]) proves that minimal projections of norm greater than one from a three-dimensional Banach space onto any of its two-dimensional subspaces are unique. Thus in the above example, the projection from  $l_3^p$  onto a two-dimensional subspace not only proves the fact that  $\|P_o\| \neq \|P_m\|_w$  for  $p \neq 1, 2, \infty$ , here once again we have the uniqueness of the projections.

### 3 Rudin's Projection and Numerical Radius

One of the key theorems on minimal projections is due to W. Rudin ([21] and [22]) The setting for his theorem is as follows.  $X$  is a Banach space and  $G$  is a compact topological group. Defined on  $X$  is a set  $\mathcal{A}$  of all bounded linear bijective operators in a way that  $\mathcal{A}$  is algebraically isomorphic to  $G$ . The image of  $g \in G$  under this isomorphism will be denoted by  $T_g$ . We will assume that the map  $G \times X \rightarrow X$  defined as  $(g, x) \mapsto T_g x$  is continuous. A subspace  $V$  of  $X$  is called *G-invariant* if  $T_g(V) \subset V$  for all  $g \in G$  and a mapping  $S : X \rightarrow X$  is said to *commute* with  $G$  if  $S \circ T_g = T_g \circ S$  for all  $g \in G$ . In case  $\|T_g\| = 1$  for all  $g \in G$ , we say  $g$  acts on  $G$  by *isometries*.

**Theorem 3.1.** ([22]) *Let  $G$  be a compact topological group acting by isomorphism on a Banach space  $X$  and let  $V$  be a complemented  $G$ -invariant subspace of  $X$ . If there exists a bound projection  $P$  of  $X$  onto  $V$ , then there exists a bounded linear projection  $Q$  of  $X$  onto  $V$  which commutes with  $G$ .*

The idea behind the proof of the above theorem is to obtain  $Q$  by averaging the operators  $T_{g^{-1}} P T_g$  with respect to Haar measure  $\mu$  on  $G$ . i.e.,

$$Q(x) := \int_G (T_{g^{-1}} P T_g)(x) d\mu(g). \quad (25)$$

Now assume  $X$  has a norm which contains the maps  $\mathcal{A}$  to be *isometries* and all of the hypotheses in Rudin's theorem are satisfied, then one can claim the following stronger version of Rudin's theorem :

**Corollary 3.2.** *If there is a unique projection  $Q : X \rightarrow V$  which commutes with  $G$ , then for any  $P \in \mathcal{P}(X, V)$ , the projection*

$$Q(x) = \int_G (T_{g^{-1}} P T_g)(x) d\mu(g), \quad (26)$$

*is a minimal projection of  $X$  onto  $V$ .*



**Theorem 3.3.** ([3]) Let  $\mathcal{A}$  be a set of all bounded linear bijective operators on  $X$  such that  $\mathcal{A}$  is algebraically isomorphic to  $G$ . Suppose that all of the hypotheses of Rudin's theorem above are satisfied and the maps in  $\mathcal{A}$  are isometries. If  $P$  is any projection in the numerical radius of  $X$  onto  $V$ , then the projection  $Q$  defined as

$$Q(x) = \int_G (T_{g^{-1}} P T_g)(x) d\mu(g) \quad (27)$$

satisfies  $\|Q\|_w \leq \|P\|_w$ .

*Proof.* Consider  $\|Q\|_w = \sup\{|x^*(Qx)| : x^*(Qx) \in W(Q)\}$ , where  $W(Q)$  is the numerical range of  $Q$ . Notice that

$$\begin{aligned} |x^*(Qx)| &= \left| x^* \int_G (T_{g^{-1}} P T_g)(x) d\mu(g) \right| \\ &\leq \int_G |(x^* \circ T_{g^{-1}}) P(T_g x)| d\mu(g). \end{aligned} \quad (28)$$

But  $\|x\| = 1$  and  $\|x^*\| = 1$  which implies that  $\|T_g x\| = 1$  and  $\|x^* T_{g^{-1}}\| = 1$ , moreover,

$$1 = x^*(x) = x^* T_{g^{-1}}(T_g x) \implies |x^*(Qx)| \leq \|P\|_w. \quad (29)$$

Consequently,  $\|Q\|_w \leq \|P\|_w$  which proves  $Q$  is a minimal projection in numerical radius.  $\square$

**Theorem 3.4.** ([3]) Suppose all hypotheses of the above theorem are satisfied and that there is exactly one projection  $Q$  which commutes with  $G$ . Then  $Q$  is a minimal projection with respect to numerical radius.

*Proof.* Let  $P \in \mathcal{P}(X, V)$ . By the properties of Haar measure,  $Q_p$  given in the above theorem commutes with  $G$ . Since there is exactly one projection which commutes with  $G$ ,  $Q_p = Q$  and  $\|Q\|_w \leq \|P\|_w$  as desired.  $\square$

**Remark 3.5.** In [3] it is shown that if  $G$  is a compact topological group acting by isometries on a Banach space  $X$  and if we let

$$\psi : B(X) \rightarrow [0, +\infty], \quad (30)$$

be a convex function which is lower semi-continuous in the strong operator topology and if one further assumes that

$$\psi(g^{-1} \circ P \circ g) \leq \psi(P), \quad (31)$$

for some  $P \in B(X)$  and  $g \in G$ , then  $\psi(Q_P) \leq \psi(P)$ . This result leads to calculation of minimal projections not only with respect to numerical radius but also with respect to  $p$ -summing,  $p$ -nuclear and  $p$ -integral norms. For details see [3].

## 4 An Application

Let  $C(2\pi)$  denote the set of all continuous  $2\pi$ -periodic functions and  $\Pi_n$  be the space of all trigonometric polynomials of order  $\leq n$  (for  $n \geq 1$ ).

The Fourier projection  $F_n : C(2\pi) \rightarrow \Pi_n$  is defined by

$$F_n(f) = \sum_{k=0}^{2n} \left( \int_0^{2\pi} f(t)g_n(t)dt \right) g_k, \quad (32)$$

where  $(g_k)_{k=0}^{2n}$  is an orthonormal basis in  $\Pi_n$  with respect to the scalar product

$$\langle f, g \rangle = \int_0^{2\pi} f(t)g(t)dt. \quad (33)$$

Lozinskii in [13] showed that  $F_n$  is a minimal projection in  $\mathcal{P}(C(2\pi), \Pi_n)$ . His proof is based on the equality which states that for any  $f \in C(2\pi)$ ,  $t \in [0, 2\pi]$  and  $P \in \mathcal{P}(C(2\pi), \Pi_n)$ , we have

$$F_n f(t) = \frac{1}{2\pi} \int_0^{2\pi} (T_{g^{-1}} P T_g f)(t) d\mu(g). \quad (34)$$

Here  $\mu$  is a Lebesgue measure and  $(T_g f)(t) = f(t + g)$  for any  $g \in \mathbb{R}$ . This equality is called Marcinkiewicz equality ([9] p.233).

Notice that  $F_n$  is the only projection that commutes with  $G$ , where  $G = [0, 2\pi]$  with addition mod  $2\pi$ . In particular,  $F_n$  is a minimal projection with respect to numerical radius.

Since we know the upper and lower bounds on the operator norm of  $F_n$ , more precisely ([9] p.212)

$$\frac{4}{\pi^2} \ln(n) \leq \|F_n\| \leq \ln(n) + 3. \quad (35)$$

From the theorem (when minimal projections coincide) we know that in cases of  $L^p$ ,  $p = 1, \infty$ , the numerical radius projections and the operator norm

projections are equal. Since  $C(2\pi) \in L^\infty$ , we also have lower and upper bounds for the numerical radius of Fourier projections, i.e.,

$$\frac{4}{\pi^2} \ln(n) \leq \|F_n\|_w \leq \ln(n) + 3. \quad (36)$$

**Remark 4.1.** *Lozinskii's proof of the minimality of  $F_n$  is based on Marcinkiewicz equality. However, the Marcinkiewicz equality holds true if one replaces  $C(2\pi)$  by  $L^p[0, 2\pi]$  for  $1 \leq p \leq \infty$  or Orlicz space  $L^\phi[0, 2\pi]$  equipped with Luxemburg or Orlicz norm provided  $\phi$  satisfies the suitable  $\Delta_2$  condition. Hence, Theorem 3.3 can be applied equally well to numerical radius or norm in Banach operator ideals of  $p$ -summing,  $p$ -integral,  $p$ -nuclear operators generated by  $L^p$ -norm or the Luxemburg or Orlicz norm. For further examples see [3].*

## 5 Strongly Unique Minimal Extensions

In [18] (see also [17]) it is shown that a minimal projection of the operator norm greater than one from a three dimensional real Banach space onto any of its two dimensional subspace is the unique minimal projection with respect to the operator norm. Later in [12] this result is generalized as follows:

Let  $X$  is a three dimensional real Banach space and  $V$  be its two dimensional subspace. Suppose  $A \in B(V)$  is a fixed operator. Set

$$\mathcal{P}_A(X, V) = \{P \in B(X, V) : P|_V = A\}$$

and assume  $\|P_o\| > \|A\|$ , if  $P_o \in \mathcal{P}_A(X, V)$  is an extension of minimal operator norm. Then  $P_o$  is a *strongly unique minimal extension with respect to operator norm*.

In other words there exists  $r > 0$  such that for all  $P \in \mathcal{P}_A(X, V)$  one has

$$\|P\| \geq \|P_o\| + r \|P - P_o\|.$$

**Definition 5.1.** *We say an operator  $A_o \in \mathcal{P}_A(X, V)$  is a strongly unique minimal extension with respect to numerical radius if there exists  $r > 0$  such that*

$$\|B\|_w \geq \|A_o\|_w + r \|B - A_o\|_w$$

for any  $B \in \mathcal{P}_A(X, V)$ .

A natural extension of the above mentioned results to the case of numerical radius  $\|\cdot\|_w$  was given in [2].

**Theorem 5.2.** ([2]) *Assume that  $X$  is a three dimensional real Banach space and let  $V$  be its two dimensional subspace. Fix  $A \in B(V)$  with  $\|A\|_w > 0$ . Let*

$$\lambda_w^A = \lambda_w^A(V, X) = \inf\{\|B\|_w : B \in \mathcal{P}_A(X, V)\} > \|A\|,$$

where  $\|A\|$  denotes the operator norm. Then there exist exactly one  $A_o \in \mathcal{P}_A(X, V)$  such that

$$\lambda_w^A = \|A_o\|_w.$$

Moreover,  $A_o$  is the strongly minimal extension with respect to numerical radius.

Notice that if we take  $A = id_V$  then  $\|A\|_w = \|A\| = 1$ . In this case Theorem (5.2) reduces to the following theorem:

**Theorem 5.3.** ([2]) *Assume that  $X$  is a three dimensional real Banach space and let  $V$  be its two dimensional subspace. Assume that*

$$\lambda_w^{id_V} > 1.$$

Then there exist exactly one  $P_o \in \mathcal{P}(X, V)$  of minimal numerical radius. Moreover,  $P_o$  is a strongly unique minimal projection with respect to numerical radius. In particular  $P_o$  is the only one minimal projection with respect to the numerical radius.

**Remark 5.4.** ([2]) *Notice that in Theorem (5.2) the assumption that  $\|A\| < \lambda_w^A$  is essential. Indeed, let  $X = l_\infty^{(3)}$ ,  $V = \{x \in X : x_1 + x_2 = 0\}$  and  $A = id_V$ . Define*

$$P_1x = x - (x_1 + x_2)(1, 0, 0)$$

and

$$P_2x = x - (x_1 + x_2)(0, 1, 0).$$

It is clear that

$$\|P_1\| = \|P_1\|_w = \|P_2\| = \|P_2\|_w = 1$$

and  $P_1 \neq P_2$ . Hence, there is no strongly unique minimal projection with respect to numerical radius in this case.

**Remark 5.5.** ([2]) Theorem (5.3) cannot be generalized for real spaces  $X$  of dimension  $n \geq 4$ . Indeed let  $X = l_\infty^{(n)}$ , and let  $V = \ker(f)$ , where  $f = (0, f_2, \dots, f_n) \in l_1^{(n)}$  satisfies  $f_i > 0$  for  $i = 2, \dots, n$ ,  $\sum_{i=2}^n f_i = 1$  and  $f_i < 1/2$  for  $i = 1, \dots, n$ . It is known (see e.g. [5], [17]) that in this case

$$\lambda(V, X) = 1 + \left( \sum_{i=2}^n f_i / (1 - 2f_i) \right)^{-1} > 1,$$

where

$$\lambda(V, X) = \inf\{\|P\| : P \in (X, V)\}.$$

By [1],  $\lambda(V, X) = \lambda_w^{idv}$ . Define for  $i = 1, \dots, n$   $y_i = (\lambda(V, X) - 1)(1 - 2f_i)$ . Let  $y = (y_1, \dots, y_n)$  and  $z = (0, y_2, \dots, y_n)$ . Consider mappings  $P_1, P_2$  defined by

$$P_1x = x - f(x)y$$

and

$$P_2x = x - f(x)z$$

for  $x \in l_\infty^{(n)}$ . It is easy to see that  $P_i \in \mathcal{P}(X, V)$ , for  $i = 1, 2$ ,  $P_1 \neq P_2$ . By ([17] p. 104)  $\|P_i\| = \|P_i\|_w = \lambda(V, X) = \lambda_w^{idv}$  for  $i = 1, 2$ .

**Remark 5.6.** Theorem(5.3) is not valid for complex three dimensional spaces. For details see [2].

For Kolmogorov type criteria concerning approximation with respect to numerical radius, we refer the reader to [2].

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