# SIMILARITY OF OPERATORS IN THE BERGMAN SPACE SETTING 

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#### Abstract

We give a necessary and sufficient condition for an $n$ - hypercontraction to be similar to the backward shift operator in a weighted Bergman space. This characterization serves as a generalization of the description given in the Hardy space setting, where the geometry of the eigenvector bundles of the operators is used.


## Contents

Notation ..... 1
0 . Introduction ..... 2

1. Preliminaries ..... 3
2. Main results ..... 4
3. Tensor structure of the eigenvector bundle ..... 6
4. Proof of "(2) implies (3)" ..... 9
5. Proof of "(3) implies (1)" ..... 10
6. Proof of corollaries ..... 11
References ..... 12
Notation
$:=\quad$ equal by definition;
$\mathbb{C} \quad$ the complex plane;
$\mathbb{D} \quad$ the unit disk, $\mathbb{D}:=\{z \in \mathbb{C}:|z|<1\}$;
$\mathbb{T}$
the unit circle, $\mathbb{T}:=\partial \mathbb{D}=\{z \in \mathbb{C}:|z|=1\} ;$

[^0]$\frac{\partial}{\partial z}, \frac{\partial}{\partial \bar{z}} \quad \partial$ and $\bar{\partial}$ derivatives: $\frac{\partial}{\partial z}:=\left(\frac{\partial}{\partial x}-i \frac{\partial}{\partial y}\right) / 2, \frac{\partial}{\partial \bar{z}}:=\left(\frac{\partial}{\partial x}+i \frac{\partial}{\partial y}\right) / 2$;
$\Delta$
normalized Laplacian, $\Delta:=\bar{\partial} \partial=\partial \bar{\partial}=\frac{1}{4}\left(\frac{\partial^{2}}{\partial x^{2}}+\frac{\partial^{2}}{\partial y^{2}}\right)$;
$\mathfrak{S}_{2} \quad$ Hilbert-Schmidt class of operators;
$\|\cdot\|, \boldsymbol{\|} \cdot \boldsymbol{\|}$ norm: since we are dealing with matrix- and operator-valued functions, we will use the symbol $\|$.$\| (usually with a subscript)$ for the norm in a function space, while $\boldsymbol{\|} \boldsymbol{\|}$ is used for the norm in the underlying vector (operator) space. Thus, for a vectorvalued function $f$ the symbol $\|f\|_{2}$ denotes its $L^{2}$-norm, but the symbol $|f|$ stands for the scalar-valued function whose value at a point $z$ is the norm of the vector $f(z)$;
$H^{\infty} \quad$ the space of all functions bounded and analytic in $\mathbb{D}$;
$L_{E_{*} \rightarrow E}^{\infty} \quad$ class of bounded functions on the unit circle $\mathbb{T}$ whose values are bounded operators from a Hilbert space $E_{*}$ to another one $E$ (the spaces $E$ and $E_{*}$ are not supposed to be related in any way);
$H_{E_{*} \rightarrow E}^{\infty} \quad$ operator Hardy class of bounded analytic functions whose values are bounded operators from $E_{*}$ to $E$ :
$$
\|F\|_{\infty}:=\sup _{z \in \mathbb{D}}|F(z)|=\underset{\xi \in \mathbb{T}}{\operatorname{esssup}}|F(\xi)| ;
$$
$T_{\Phi} \quad$ Toeplitz operator with symbol $\Phi$.
All Hilbert spaces are assumed to be separable. We also assume that in a Hilbert space, an orthonormal basis is fixed so that any operator $A: E \rightarrow E_{*}$ can be identified with its matrix. Thus, besides the usual involution $A \mapsto A^{*}$ ( $A^{*}$ is the adjoint of $A$ ), we have two more: $A \mapsto A^{T}$ (transpose of the matrix) and $A \mapsto \bar{A}$ (complex conjugation of the matrix), so $A^{*}=(\bar{A})^{T}=$ $\overline{A^{T}}$. Although everything in the paper can be presented in an invariant, "coordinate-free" form, the use of the transposition and complex conjugation makes the notation simpler and more transparent.

## 0 . Introduction

We consider the question of when operators with a complete analytic family of eigenvectors are similar. Recall that operators $T_{1}$ and $T_{2}$ are said to be similar if there exists a bounded, invertible operator $A$ satisfying the intertwining relation $A T_{1}=T_{2} A$.

The problem of determining when two such operators are unitarily equivalent goes back to the 1970's when the Cowen-Douglas class was introduced in [4]. It is proven there that unitary equivalence has to do with the curvatures of the eigenvector bundles of the operators and the partial derivatives of them up to a certain order matching up. Unlike the unitary equivalence case, however, the similarity problem posed a more complicated situation
(only some necessary conditions are listed in [4]) and no such criterion was obtained.

By adding the assumption that the operators in consideration be contractive $(\|T\| \leq 1)$, the authors in [8] dealt with a special case of the problem; they gave a description of operators with a complete analytic family of eigenvectors that are similar to $S^{*}$, the backward shift operator on the Hardy space $H^{2}$ (both scalar- and vector-valued) of the unit disk $\mathbb{D}$. The backward shift $S^{*}$ is defined to be the adjoint of the forward shift $S$,

$$
S f(z)=z f(z),
$$

for $f \in H^{2}$, and similarity is shown to be equivalent to the existence of a bounded (subharmonic) solution $\varphi$ defined on $\mathbb{D}$ to the Poisson equation

$$
\Delta \varphi=g
$$

where $g$ is a function related to the curvatures of the eigenvector bundles of the operators.

One can ask whether the above characterization also holds for the backward shift operators $B_{\alpha}^{*}$ defined on the weighted Bergman spaces $A_{\alpha}^{2}$ (again, both scalar- and vector-valued) of $\mathbb{D}$. If we let $P_{\alpha}$ denote the Bergman projection and let $T_{\Phi}$ be the Toeplitz operator with symbol $\Phi$ given by

$$
T_{\Phi} f=P_{\alpha}(\Phi f),
$$

then it is easily seen that our backward shifts can be represented for $f \in A_{\alpha}^{2}$ as

$$
B_{\alpha}^{*} f(z)=P_{\alpha}(\bar{z} f(z))=T_{\bar{z}} f(z),
$$

just like in the Hardy space case where the Bergman projections are replaced by the Szegö projection. We show in this paper that the function-theoretic proof provided in [8] for $S^{*}$ on $H^{2}$ can be applied to $B_{\alpha}^{*}$ on $A_{\alpha}^{2}$, giving a generalization of the results there. Finally we mention the recent paper [5], where the authors use a Hilbert module approach to prove that the similarity to the backward shift operator on certain reproducing kernel Hilbert spaces can be reduced to the similarity to $S^{*}$ on $H^{2}$.

## 1. Preliminaries

Let $n$ be a positive integer. Following the notation of [2], we denote by $\mathcal{M}_{n}$ the Hilbert space of analytic functions on the unit disk $\mathbb{D}$ satisfying

$$
\|f\|_{n}^{2}:=\sum_{i=0}^{\infty}|\hat{f}(i)|^{2} \frac{1}{\binom{n+i-1}{i}}<\infty
$$

for $\mathcal{M}_{n} \ni f=\sum_{i=0}^{\infty} \hat{f}(i) z^{i}$. Note that $\mathcal{M}_{n}$ corresponds to the Hardy space $H^{2}$ for $n=1$, and for each positive integer $n \geq 2$, to the weighted Bergman space $A_{n-2}^{2}$ defined by

$$
A_{n-2}^{2}=\left\{f \in \operatorname{Hol}(\mathbb{D}):(n-1) \int_{\mathbb{D}}|f(z)|^{2}\left(1-|z|^{2}\right)^{n-2} d A(z)<\infty\right\}
$$

for $d A$ the normalized area measure on $\mathbb{D}$. We can define the vector-valued spaces $\mathcal{M}_{n, E}$ taking values in a separable Hilbert space $E$ in a similar way.

On the space $\mathcal{M}_{n, E}$ are the forward shift operator $S_{n, E}, S_{n, E} f(z)=z f(z)$ and the backward shift operator $S_{n, E}^{*}$, its adjoint. Since $\mathcal{M}_{n}$ is a reproducing kernel Hilbert space with reproducing kernel $k_{\lambda}^{n}:=(1-\bar{\lambda} z)^{-n}, \lambda \in \mathbb{D}$, the eigenvectors of $S_{n, E}^{*}$ corresponding to the eigenvalue $\lambda$ is $k_{\bar{\lambda}}^{n} e$ for $e \in E$.

We now come to the definition of an $n$-hypercontraction introduced in [1] and [2]. Let $H$ be a Hilbert space. An operator $T \in \mathcal{L}(H)$ is called an $n$-hypercontraction if

$$
\sum_{i=0}^{k}(-1)^{i}\binom{k}{i} T^{* i} T^{i} \geq 0
$$

for all $1 \leq k \leq n$. Note that the 1-hypercontraction case corresponds to the definition of the usual contraction.

Lastly, we recall the definition of a Carleson measure. Let

$$
Q(I):=\left\{z \in \mathbb{T}: \frac{z}{|z|} \in I, 1-|z| \leq|I|\right\}
$$

for $I \subseteq \mathbb{T}$, an arc of length $|I|$. A complex measure $\mu$ in the closed unit disk is called a Carleson measure if for some constant $C$,

$$
|\mu| Q(I) \leq C|I|,
$$

where $|\mu|$ denotes the variation of $\mu[9]$.

## 2. Main Results

Let $n$ be a positive integer and $H$ a Hilbert space. We assume the following for the operator $T \in \mathcal{L}(H)$ that we consider:
(1) $T$ is an $n$-hypercontraction;
(2) $\operatorname{span}\{\operatorname{ker}(T-\lambda): \lambda \in \mathbb{D}\}=H$; and
(3) $\operatorname{ker}(T-\lambda)$ depend analytically on the spectral parameter $\lambda \in \mathbb{D}$.

Assumption (3) says that for each $\lambda \in \mathbb{D}$, a neighborhood $U_{\lambda}$ of $\lambda$ and an operator-valued analytic function $F_{\lambda}$ defined on $U_{\lambda}$ that is left-invertible in $L^{\infty}$ satisfying

$$
\operatorname{ran} F_{\lambda}(w)=\operatorname{ker}(T-w)
$$

for all $w \in U_{\lambda}$ exist. Therefore, the disjoint union $\coprod_{\lambda \in \mathbb{D}} \operatorname{ker}(T-\lambda)=$ $\left\{\left(\lambda, v_{\lambda}\right): \lambda \in \mathbb{D}, v_{\lambda} \in \operatorname{ker}(T-\lambda)\right\}$ is a hermitian, holomorphic vector bundle over $\mathbb{D}$ with the metric inherited from $H$ and the natural projection $\pi$, $\pi\left(\lambda, v_{\lambda}\right)=\lambda$. Note that assumption (3) then implies that $\operatorname{dim} \operatorname{ker}(T-\lambda)$ is constant for all $\lambda \in \mathbb{D}$. According to $[4]$, the operators that belong to the Cowen-Douglas class $B_{m}(\mathbb{D})$, or more generally those with a certain Fredholm condition, for instance, satisfy assumption (3).

We next mention that a bundle map is a holomorphic map between two holomorphic vector bundles over $\mathbb{D}$ that linearly maps each fiber $\pi^{-1}(\lambda)$ of one bundle to the corresponding fiber of the other bundle.

Now we state the main results of the paper:

Theorem 2.1. Let $T \in \mathcal{L}(H)$ satisfy the above 3 assumptions with $\operatorname{dim} \operatorname{ker}(T-$ $\lambda)=m<\infty$ for every $\lambda \in \mathbb{D}$. Denote by $\Pi: \mathbb{D} \rightarrow \mathcal{L}(H)$ the projectionvalued function that assigns to each $\lambda \in \mathbb{D}$, the orthogonal projection onto $\operatorname{ker}(T-\lambda)$. The following statements are equivalent:
(1) $T$ is similar to the backward shift operator $S_{n, \mathbb{C}^{m}}^{*}$ on $\mathcal{M}_{n, \mathbb{C}^{m}}$ via an invertible operator $A: \mathcal{M}_{n, \mathbb{C}^{m}} \rightarrow H$;
(2) There exists a holomorphic bundle map bijection $\Psi$ from the eigenvector bundle of $S_{n, \mathbb{C}^{m}}^{*}$ to that of $T$ such that for some constant $c>0$,

$$
\frac{1}{c}\left\|v_{\lambda}\right\|_{\mathcal{M}_{n, \mathbb{C}^{m}}} \leq\left\|\Psi\left(v_{\lambda}\right)\right\|_{H} \leq c\left\|v_{\lambda}\right\|_{\mathcal{M}_{n, \mathbb{C}^{m}}}
$$

for all $v_{\lambda} \in \operatorname{ker}\left(S_{n, \mathbb{C}^{m}}^{*}-\lambda\right)$ and for all $\lambda \in \mathbb{D}$;
(3) There exists a bounded solution $\varphi$ defined on $\mathbb{D}$ to the Poisson equation

$$
\Delta \varphi(z)=\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|z|^{2}\right)^{2}}
$$

Corollary 2.2. A contraction $T$ that satisfies assumptions (2), (3), and

$$
\sum_{i=0}^{n}(-1)^{i}\binom{n}{i} T^{* i} T^{i} \geq 0
$$

enjoys the similarity characterization given in Theorem 2.1.
Corollary 2.3. A subnormal contraction that satisfies assumptions (2) and (3) enjoys the similarity characterization given in Theorem 2.1.

Remark 2.4. Note that the function $\Pi$ is $C^{\infty}$ and even real analytic in the operator norm topology, so it does make sense to consider $\frac{\partial \Pi(z)}{\partial z}$.

Remark 2.5. Since $\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|z|^{2}\right)^{2}} \geq 0$ (see Section 3 ), $\varphi$ is actually subharmonic.

Remark 2.6. For $m=1,-\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}$ and $-\frac{n}{\left(1-|z|^{2}\right)^{2}}$ represent the curvatures of the eigenvector bundles of $T$ and of $S_{n, \mathbb{C}}^{*}$, respectively ([4], [7]).
Remark 2.7. The existence of a bounded subharmonic function $\varphi$ defined on $\mathbb{D}$ satisfying

$$
\Delta \varphi(z) \geq\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|z|^{2}\right)^{2}}
$$

is equivalent to the uniform boundedness of the Green potential

$$
\mathcal{G}(\lambda):=\frac{2}{\pi} \iint_{\mathbb{D}} \log \left|\frac{z-\lambda}{1-\bar{\lambda} z}\right|\left(\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|z|^{2}\right)^{2}}\right) d x d y
$$

inside the unit disk $\mathbb{D}$.

In order to prove Theorem 2.1, we first need to obtain a tensor product structure for the operator $T$. Then since the equivalence of statements (1) and (2) of Theorem 2.1 is obvious, and (3) follows from the two statements
(4) The measure

$$
\left(\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|z|^{2}\right)^{2}}\right)(1-|z|) d x d y
$$

is Carleson; and
(5) We have the estimate

$$
\left(\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|z|^{2}\right)^{2}}\right)^{\frac{1}{2}} \leq \frac{C}{1-|z|}
$$

it suffices to show that (2) implies both (4) and (5) (Section 4) and that (3) implies (1) (Section 5).

## 3. Tensor structure of the eigenvector bundle

3.1. Structure of the eigenvector bundle of $T$. The following theorem by J. Agler ([2]) proven through the Rovnyak-de Branges construction is the first step to obtaining a tensor product representation of the eigenvector bundle of $T$. The reader is advised to consult [1] also for an alternative proof of the theorem based on complete positivity:

Theorem 3.1. Let $T \in \mathcal{L}(H)$. There exists a Hilbert space $E$ and an $S_{n, E^{-}}^{*}$ invariant subspace $\mathcal{N} \subseteq \mathcal{M}_{n, E}$ such that $T$ is unitarily equivalent to $S_{n, E}^{*} \mid \mathcal{N}$ if and only if $T$ is an $n$-hypercontraction with $\lim _{k}\left\|T^{k} h\right\|=0$ for all $h \in H$.

Let us first observe that $\lim _{k}\left\|T^{k} h\right\|=0$ for $h \in H$ that is a linear combination of the eigenvectors of $T$. According to assumption (2), these linear combinations form a dense subspace of $H$. Moreover, since an $n$ hypercontraction is automatically a contraction, we have $\left\|T^{k}\right\| \leq 1$. We can thus employ a standard argument to show that $\lim _{k}\left\|T^{k} h\right\|=0$ for all $h \in H$.

Hence, the eigenspaces of $T=S_{n, E}^{*} \mid \mathcal{N}$ are given by

$$
\operatorname{ker}(T-\lambda)=\left\{k \frac{n}{\lambda} e: e \in \mathcal{N}(\lambda)\right\}
$$

where $k_{\lambda}^{n}=(1-\bar{\lambda} z)^{-n}, \lambda \in \mathbb{D}$, is the reproducing kernel for $\mathcal{M}_{n}$ and $\mathcal{N}(\lambda):=\left\{e \in E ; k_{\bar{\lambda}}^{n} e \in \mathcal{N}\right\}$. Note that by assumption (3), the subspaces $\mathcal{N}(\lambda)$ also depend analytically on the spectral parameter $\lambda$, i.e., the family of subspaces $\mathcal{N}(\lambda)$ is a holomorphic vector bundle over $\mathbb{D}$.

Now, since the vector-valued Hilbert space $\mathcal{M}_{n, E}$ can be identified with $\mathcal{M}_{n} \otimes E$, the tensor product of the Hilbert spaces $\mathcal{M}_{n}$ and $E$, the eigenvector bundle of $T$ takes on the form

$$
\operatorname{ker}(T-\lambda)=\operatorname{span}\left\{k \frac{n}{\lambda}\right\} \otimes \mathcal{N}(\lambda)
$$

3.2. Calculation involving the eigenvector bundle of $T$. Recall that $\Pi(\lambda)$ stands for the orthogonal projection onto $\operatorname{ker}(T-\lambda)$. Using the tensor structure given above, we can express $\Pi(\lambda)$ as

$$
\begin{equation*}
\Pi(\lambda)=\Pi_{1}(\lambda) \otimes \Pi_{2}(\lambda) \tag{3.1}
\end{equation*}
$$

where $\Pi_{1}(\lambda)$ is the orthogonal projection from the space $\mathcal{M}_{n}$ onto $\operatorname{span}\left\{k_{\bar{\lambda}}^{n}\right\}$, and $\Pi_{2}(\lambda)$ is the orthogonal projection from $E$ onto $\mathcal{N}(\lambda)$. We remark that $\operatorname{rank} \Pi(\lambda)=\operatorname{rank} \Pi_{2}(\lambda)=m$.
Lemma 3.2. For $\lambda \in \mathbb{D}$, let $\Gamma(\lambda)$ be orthogonal projections onto an analytic family of subspaces (holomorphic vector bundle). Then the identities

$$
\Gamma(z) \frac{\partial \Gamma(z)}{\partial z}=0
$$

and

$$
(I-\Gamma(z)) \frac{\partial \Gamma(z)}{\partial z} \Gamma(z)=\frac{\partial \Gamma(z)}{\partial z}
$$

hold.
Proof of Lemma 3.2. Since the family of subspaces is a holomorphic vector bundle, it can be locally expressed as $\operatorname{ran} F(\lambda)$, where $F$ is an analytic, leftinvertible operator-valued function. Thus, $\Gamma=F\left(F^{*} F\right)^{-1} F^{*}$. We obtain through direct computation that

$$
\frac{\partial \Gamma(z)}{\partial z}=(I-\Gamma(z)) F^{\prime}(z)\left(F(z)^{*} F(z)\right)^{-1} F(z)^{*}
$$

Since $\Gamma(z)$ is a projection, we immediately arrive at the first identity. For the second one, we note that $\Gamma(z) F(z)=F(z)$ implies $\frac{\partial \Gamma(z)}{\partial z} \Gamma(z)=\frac{\partial \Gamma(z)}{\partial z}$. We then invoke the first identity.
Lemma 3.3. The projection $\Pi_{1}(\lambda)$ satisfies the identity

$$
\left|\frac{\partial \Pi_{1}(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}=n\left(1-|z|^{2}\right)^{-2} .
$$

Proof of Lemma 3.3. We first use the reproducing kernel property of $k_{\lambda}^{n}=$ $1 /(1-\bar{\lambda} z)^{n}$ to see that $\left\|k_{\lambda}^{n}\right\|_{2}^{2}=\left\langle k_{\lambda}^{n}, k_{\lambda}^{n}\right\rangle=\left(1-|\lambda|^{2}\right)^{-n}$. Thus

$$
\Pi_{1}(\lambda) f=\left\|k_{\bar{\lambda}}^{n}\right\|_{2}^{-2}\left\langle f, k_{\bar{\lambda}}^{n}\right\rangle k_{\bar{\lambda}}^{n}=\left(1-|\lambda|^{2}\right)^{n} f(\bar{\lambda}) k_{\bar{\lambda}}^{n},
$$

for $f \in M_{n}$. We next use the fact that $\frac{\partial f(\bar{\lambda})}{\partial \lambda}=0$ and $\frac{\partial}{\partial \lambda} k_{\bar{\lambda}}^{n}(z)=\frac{n z}{(1-\lambda z)^{n+1}}=$ : $\tilde{k}_{\bar{\lambda}}^{n}(z)$ to get

$$
\begin{equation*}
\frac{\partial \Pi_{1}(\lambda)}{\partial \lambda} f=\left(1-|\lambda|^{2}\right)^{n-1} f(\bar{\lambda})\left(-n \bar{\lambda} k_{\bar{\lambda}}^{n}+\left(1-|\lambda|^{2}\right) \widetilde{k_{\bar{\lambda}}^{n}}\right) . \tag{3.2}
\end{equation*}
$$

Since $\left\langle f, \widetilde{k}_{\lambda}^{n}\right\rangle=f^{\prime}(\lambda)$ for $f \in M_{n}$,

$$
\left\|\widetilde{k}_{\lambda}^{n}\right\|_{2}^{2}=\frac{n\left(1+n|\lambda|^{2}\right)}{\left(1-|\lambda|^{2}\right)^{n+2}}=\left\|\widetilde{k}_{\lambda}^{n}\right\|_{2}^{2}
$$

Once again, the reproducing property of $k_{\lambda}^{n}$ implies that

$$
\left\langle\widetilde{k}_{\bar{\lambda}}^{n}, k_{\bar{\lambda}}^{n}\right\rangle=\frac{n \bar{\lambda}}{\left(1-|\lambda|^{2}\right)^{n+1}} .
$$

Taking all these calculations into account, we conclude that

$$
\left\|-n \bar{\lambda} k_{\bar{\lambda}}^{n}+\left(1-|\lambda|^{2}\right) \widetilde{k}_{\bar{\lambda}}^{n}\right\|_{2}^{2}=n\left(1-|\lambda|^{2}\right)^{-n} .
$$

Thus,

$$
\left|\frac{\partial \Pi_{1}(\lambda)}{\partial \lambda}\right|^{2}=n\left(1-|\lambda|^{2}\right)^{-2}
$$

and we note from (3.2) that

$$
\operatorname{rank} \frac{\partial \Pi_{1}(\lambda)}{\partial \lambda}=1
$$

Therefore,

$$
\left|\frac{\partial \Pi_{1}(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}=\left|\frac{\partial \Pi_{1}(\lambda)}{\partial \lambda}\right|^{2}=n\left(1-|\lambda|^{2}\right)^{-2} .
$$

Lemma 3.4. The projection $\Pi(\lambda)$ satisfies the identity

$$
\begin{aligned}
\left|\frac{\partial \Pi(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2} & =m\left|\frac{\partial \Pi_{1}(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}+\left|\frac{\partial \Pi_{2}(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2} \\
& =\frac{m n}{\left(1-|z|^{2}\right)^{2}}+\left|\frac{\partial \Pi_{2}(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}
\end{aligned}
$$

Proof of Lemma 3.4. We apply the product rule to (3.1) to obtain

$$
\frac{\partial \Pi(\lambda)}{\partial \lambda}=\frac{\partial \Pi_{1}(\lambda)}{\partial \lambda} \otimes \Pi_{2}(\lambda)+\Pi_{1}(\lambda) \otimes \frac{\partial \Pi_{2}(\lambda)}{\partial \lambda}=: X+Y .
$$

Since $\Pi_{2}(\lambda) \frac{\partial \Pi_{2}(\lambda)}{\partial \lambda}=0$ by Lemma 3.2, $X^{*} Y=0$. Therefore,

$$
|X+Y|_{\mathfrak{S}_{2}}^{2}=\operatorname{tr} X^{*} X+\operatorname{tr} Y^{*} Y+2 \operatorname{Re} \operatorname{tr}\left(X^{*} Y\right)=|X|_{\mathfrak{S}_{2}}^{2}+\left.|Y|\right|_{\mathfrak{S}_{2}} ^{2} .
$$

Using the fact that $|A \otimes B|{ }_{\mathfrak{S}_{2}}^{2}=|A|{ }_{\mathfrak{S}_{2}}^{2}|B|{ }_{\mathfrak{S}_{2}}^{2}$ and that $|P|{ }_{\mathfrak{S}_{2}}^{2}=$ rank $P$ for an orthogonal projection $P$, we get

$$
\left|\frac{\partial \Pi(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}=m\left|\frac{\partial \Pi_{1}(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}+\left|\frac{\partial \Pi_{2}(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2} .
$$

The result now follows from Lemma 3.3.

## 4. Proof of "(2) implies (3)"

Let us mention again that statements (4) and (5) of Section 2 together imply statement (3) of Theorem 2.1. Moreover, since we have by Lemma 3.4

$$
\left|\frac{\partial \Pi_{2}(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}=\left|\frac{\partial \Pi(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|\lambda|^{2}\right)^{2}},
$$

the quantity $\left|\frac{\partial \Pi(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}-\frac{m n}{\left(1-|\lambda|^{2}\right)^{2}}$ in statements (4) and (5) can be replaced by $\left|\frac{\partial \Pi_{2}(\lambda)}{\partial \lambda}\right|_{\mathfrak{S}_{2}}^{2}$.

Assume that statement (2) of Theorem 2.1 holds to guarantee the existence of a holomorphic bundle map bijection $\Psi$ with a certain property between the eigenvector bundles. Then for all $e \in \mathbb{C}^{m}$,

$$
\Psi\left(k_{\bar{\lambda}}^{n} e\right)=k_{\bar{\lambda}}^{n} \cdot F(\lambda) e,
$$

where $F$ is some function in $H_{\mathbb{C}^{m} \rightarrow E}^{\infty}$ satisfying $\operatorname{ran} F(\lambda)=\mathcal{N}(\lambda)$ and $c^{-1} I \leq$ $F^{*} F \leq c I$. Thus it makes sense to consider $\left(F^{*} F\right)^{-1}$ and we can express the orthogonal projection $\Pi_{2}(\lambda)$ from $E$ onto $\mathcal{N}(\lambda)$ in terms of $F$ as

$$
\Pi_{2}=F\left(F^{*} F\right)^{-1} F^{*} .
$$

Since $\frac{\partial \Pi_{2}(z)}{\partial z}=\left(I-\Pi_{2}(z)\right) F^{\prime}(z)\left(F(z)^{*} F(z)\right)^{-1} F(z)^{*}$, we get

$$
\begin{equation*}
\left|\frac{\partial \Pi_{2}(z)}{\partial z}\right| \leq C\left|F^{\prime}(z)\right| . \tag{4.1}
\end{equation*}
$$

Lastly, we note that since $F$ is a bounded analytic function taking values in a Hilbert space, the estimate

$$
\begin{equation*}
\left|F^{\prime}(z)\right| \leq C /(1-|z|) \tag{4.2}
\end{equation*}
$$

holds, and the measure

$$
\begin{equation*}
\mid F^{\prime}(z) \mathbf{|}^{2}(1-|z|) d x d y \tag{4.3}
\end{equation*}
$$

is Carleson. The first estimate (4.2) is well-known for scalar-valued analytic functions, and one can pick $x^{*}=x^{*}(z),\left|x^{*}\right|=1$ in the dual space $X^{*}$ such that $\left\langle F^{\prime}(z), x^{*}\right\rangle=\left|F^{\prime}(z)\right|$ to show that it holds for functions with values in a Banach space $X$. To see that the Carleson measure condition (4.3) holds, we use Uchiyama's Lemma which states that for a bounded subharmonic function $u$, the measure $\Delta u(z)(1-|z|) d x d y$ is Carleson. We apply this Lemma to the function $u(z)=|F(z)|^{2}$ and note that $\Delta|F(z)|^{2}=\left|F^{\prime}(z)\right|^{2}$. By (4.1), (4.2), and (4.3), we get the existence of a bounded subharmonic function $\varphi$ on $\mathbb{D}$ with

$$
\Delta \varphi(z) \geq\left|\frac{\partial \Pi_{2}(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}
$$

To obtain equality, we note that the equation $\Delta u(z)=f(z)$ always has a solution, namely, the Green potential

$$
\mathcal{G}_{f}(\lambda):=\frac{2}{\pi} \iint_{\mathbb{D}} \log \left|\frac{z-\lambda}{1-\bar{\lambda} z}\right| f(z) d x d y
$$

But since

$$
G_{\Delta \varphi} \leq G\left|\frac{\partial \Pi_{2}}{\partial z}\right|_{\mathfrak{S}_{2}}^{2} \leq 0
$$

and $G_{\Delta \varphi}$ is bounded, the subharmonic solution $G\left|\frac{\partial \Pi_{2}}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}$ to

$$
\Delta u(z)=\left|\frac{\partial \Pi_{2}(z)}{\partial z}\right|_{\mathfrak{S}_{2}}^{2}
$$

is bounded as well.

## 5. Proof of "(3) implies (1)"

The goal of this section is to prove the existence of a bounded, invertible operator $A: \mathcal{M}_{n, \mathbb{C}^{m}} \rightarrow \mathcal{N}$ such that $A S_{n, \mathbb{C}^{m}}^{*}=\left(S_{n, E}^{*} \mid \mathcal{N}\right) A$. We first consider the following theorem that will let us get a bounded, analytic projection onto $\operatorname{ran} \mathcal{N}(z)$ for $z \in \mathbb{D}$ 11].

Theorem 5.1. Let $\Gamma: \mathbb{D} \rightarrow \mathcal{L}(H)$ be a $\mathcal{C}^{2}$ function whose values are orthogonal projections in $H$. Assume that $\Gamma$ satisfies the identity $\Gamma(z) \frac{\partial \Gamma(z)}{\partial z}=0$ for all $z \in \mathbb{D}$. Given a bounded, subharmonic function $\varphi$ with

$$
\Delta \varphi(z) \geq\left|\frac{\partial \Gamma(z)}{\partial z}\right|^{2} \quad \text { for all } z \in \mathbb{D}
$$

there exists a bounded analytic projection onto $\Gamma(z)$, i.e., a function $\mathcal{P} \in$ $H_{H \rightarrow H}^{\infty}$ such that $\mathcal{P}(z)$ is a projection onto $\operatorname{ran} \Gamma(z)$ for all $z \in \mathbb{D}$.

We know from Lemma 3.2 that the function $\Pi_{2}$ whose values are orthogonal projections from $E$ onto $\mathcal{N}(\lambda)$ satisfies the identity $\Pi_{2}(z) \frac{\partial \Pi_{2}(z)}{\partial z}=0$ so that the above theorem is applicable. We thus get a bounded, analytic projection $\mathcal{P}(z)$ onto $\operatorname{ran} \Pi_{2}(z)=\mathcal{N}(z)$, and consider the inner-outer factorization $\mathcal{P}=\mathcal{P}_{\mathrm{i}} \mathcal{P}_{\mathrm{o}}$ of $\mathcal{P}$, where $\mathcal{P}_{\mathrm{i}} \in H_{E_{*} \rightarrow E}^{\infty}$ for some Hilbert space $E_{*}$, is an inner function and $\mathcal{P}_{\mathrm{o}} \in H_{E \rightarrow E_{*}}^{\infty}$ is an outer function. We then define a function $\mathcal{Q}_{i}$ on $\mathbb{D}$ by

$$
\mathcal{Q}_{i}(z):=\mathcal{P}_{\mathrm{i}}(\bar{z})
$$

and form the anti-analytic Toeplitz operator $T_{\mathcal{Q}_{i}}$.
We claim that this bounded Toeplitz operator $T_{\mathcal{Q}_{i}}$ is an invertible operator that establishes similarity. To this end, we need to prove the following three statements:
(1) $T_{\bar{z}} T_{\mathcal{Q}_{i}}=T_{\mathcal{Q}_{i}} T_{\bar{z}}$;
(2) $T_{\mathcal{Q}_{i}}$ is left-invertible; and
(3) $\operatorname{ran} T_{\mathcal{Q}_{i}}=\mathcal{N}$.

We begin by recalling some well-known facts about Toeplitz operators on the vector-valued spaces $\mathcal{M}_{n}$. Let $F, G \in H_{E \rightarrow E_{*}}^{\infty}$ :

$$
\begin{gather*}
T_{F G}=T_{F} T_{G} ; \text { and }  \tag{5.1}\\
T_{F^{*}} k_{\lambda}^{n} e=k_{\lambda}^{n} F^{*}(\lambda) e \text { for } e \in E_{*} . \tag{5.2}
\end{gather*}
$$

Since $\mathcal{Q}_{i}^{*} \in H_{E \rightarrow E_{*}}^{\infty}$, statement (1) easily follows from (5.1). To prove (2), we consider the following Lemma.
Lemma 5.2. $\mathcal{P}_{\mathrm{o}}(z) \mathcal{P}_{\mathrm{i}}(z) \equiv I$ for all $z \in \mathbb{D}$.
Proof of Lemma 5.2. By (5.1), we have that

$$
T_{\mathcal{P}_{\mathrm{i}}} T_{\mathcal{P}_{\mathrm{O}}}=T_{\mathcal{P}}=T_{\mathcal{P}^{2}}=T_{\mathcal{P}_{\mathrm{i}} \mathcal{P}_{\mathrm{o}} \mathcal{P}_{\mathrm{i}} \mathcal{P}_{\mathrm{o}}}=T_{\mathcal{P}_{\mathrm{i}}} T_{\mathcal{P}_{\mathrm{o}} \mathcal{P}_{\mathrm{i}}} T_{\mathcal{P}_{\mathrm{o}}}
$$

Since $T_{\mathcal{P}_{\mathrm{o}}}$ has dense range and $\operatorname{ker} T_{\mathcal{P}_{\mathrm{i}}}=\{0\}, T_{\mathcal{P}_{\mathrm{o}} \mathcal{P}_{\mathrm{i}}}=I$, so $\mathcal{P}_{\mathrm{o}} \mathcal{P}_{\mathrm{i}} \equiv I$ for all $z \in \mathbb{D}$.

We then note that since $\mathcal{Q}_{o}^{*} \in H_{E_{*} \rightarrow E}^{\infty}$, where $\mathcal{Q}_{o}(z):=\mathcal{P}_{\mathrm{o}}(\bar{z})$, we can once again use (5.1) to conclude that

$$
T_{\mathcal{Q}_{o}} T_{\mathcal{Q}_{i}}=T_{\mathcal{Q}_{o} \mathcal{Q}_{i}}=I .
$$

It now remains to show statement (3). The inclusion $\mathcal{N}(\lambda)=\operatorname{ran} \mathcal{P}(\lambda) \subset$ $\operatorname{ran} \mathcal{P}_{\mathrm{i}}(\lambda)$ is obvious due to the factorization $\mathcal{P}=\mathcal{P}_{\mathbf{i}} \mathcal{P}_{\mathrm{o}}$. For the other inclusion, since $\operatorname{ran} \mathcal{P}_{\mathrm{o}}(\lambda)$ is dense in $E_{*}$ for all $\lambda \in \mathbb{D}$, and $\mathcal{P}_{\mathrm{i}}(\lambda) \operatorname{ran} \mathcal{P}_{\mathrm{o}}(\lambda)=$ $\mathcal{N}(\lambda), \operatorname{ran} \mathcal{P}_{\mathrm{i}}(\lambda) \subset \mathcal{N}(\lambda)$. Thus,

$$
\begin{equation*}
\operatorname{ran} \mathcal{P}_{\mathrm{i}}(\lambda)=\mathcal{N}(\lambda) . \tag{5.3}
\end{equation*}
$$

We next observe that by (5.2),

$$
\begin{equation*}
T_{\mathcal{Q}_{i}} k_{\bar{\lambda}}^{n} e=k_{\bar{\lambda}}^{n} \mathcal{Q}_{i}(\bar{\lambda}) e=k_{\bar{\lambda}}^{n} \mathcal{P}_{\mathrm{i}}(\lambda) e, \tag{5.4}
\end{equation*}
$$

for all $e \in E_{*}$. Then (3) follows from (5.4), the fact that $\operatorname{span}\left\{k_{\lambda}^{n}: \lambda \in \mathbb{D}\right\}=$ $M_{n}$, and assumption (2) that $\operatorname{span}\{\operatorname{ker}(T-\lambda): \lambda \in \mathbb{D}\}=H$.

## 6. Proof of corollaries

Now we prove the corollaries of Theorem 2.1 that appeared in Section 2. The statements used in these proofs are contained in [2].
Proof of Corollary 2.2. We have $\lim _{k}\left\|T^{k} h\right\|=0$ for $h \in H$ that is a linear combination of the eigenvectors of $T$, which by assumption (2) is dense in $H$. If $T$ is a contraction, then $\left\|T^{k}\right\| \leq 1$, so that $\lim _{k}\left\|T^{k} h\right\|=0$ for all $h \in H$. Now we use the result that an operator $T \in \mathcal{L}(H)$ with

$$
\sum_{i=0}^{n}(-1)^{i}\binom{n}{i} T^{* i} T^{i} \geq 0
$$

and such that $\lim _{k}\left\|T^{k} h\right\|=0$ for all $h \in H$ is an $n$-hypercontraction.
Proof of Corollary 2.3. An operator $T$ is an $n$-hypercontraction for every $n$ if and only if $\|T\| \leq 1$ and $T$ is subnormal [6].

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