

# 1 Banach algebras

## 1.1 Spectrum

Let  $A$  be a unital Banach algebra. The spectrum of  $a \in A$  is

$$\text{sp}(a) = \{\lambda \in \mathbb{C} \mid a - \lambda 1 \notin A^\times\},$$

which is a non-empty compact subset of  $B_{r(a)}(0)$ . Here,  $r(a)$  is the spectral radius:

$$r(a) = \lim \|a^n\|^{1/n}.$$

**Fact 1.1.1.** Suppose  $\phi : A \rightarrow B$  is a unital algebra map between Banach algebras. If  $a \in A^\times$ , then  $\phi(a) \in B^\times$ , so  $\text{sp}_B(\phi(a)) \subseteq \text{sp}_A(a)$ .

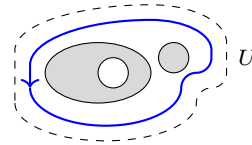
**Corollary 1.1.2.** Suppose  $1 \in A \subset B$  is a unital inclusion of Banach algebras. For all  $a \in A$ ,  $\text{sp}_B(a) \subseteq \text{sp}_A(a)$  and  $\partial \text{sp}_A(a) \subseteq \partial \text{sp}_B(a)$ .

*Proof.* By Fact 1.1.1,  $\text{sp}_B(\phi(a)) \subseteq \text{sp}_A(a)$ , so it suffices to prove  $\partial \text{sp}_A(a) \cap \text{sp}_B(a)^c = \emptyset$ . Suppose for contradiction that  $\lambda \in \partial \text{sp}_A(a) \cap \text{sp}_B(a)^c$ . Pick a sequence  $(\lambda_n) \subset \text{sp}_A(a)^c$  such that  $\lambda_n \rightarrow \lambda$ , so  $a - \lambda_n \rightarrow a - \lambda$ . Then  $a - \lambda_n \in A^\times$ , so  $a - \lambda_n \in B^\times$ , and thus  $\lambda_n \notin \text{sp}_B(a)$  for all  $n$ . Since we assumed  $\lambda \notin \text{sp}_B(a)$  and inversion is continuous on  $B^\times$ , we have  $(a - \lambda_n)^{-1} \rightarrow (a - \lambda)^{-1} \in B$ . But  $A$  is complete, so  $(a - \lambda)^{-1} \in A$ , a contradiction.  $\square$

## 1.2 Holomorphic functional calculus

For each  $a \in A$ , the holomorphic functional calculus (HFC) gives a unital algebra homomorphism  $\mathcal{O}(\text{sp}(a)) \rightarrow A$  given by

$$f \mapsto f(a) := \frac{1}{2\pi i} \int_{\gamma} \frac{f(z)}{a - z} dz$$



where  $\gamma$  is a simple closed contour in  $U \setminus \text{sp}(a)$  such that

$$\text{ind}_{\gamma}(z) = \begin{cases} 1 & \text{if } z \in \text{sp}(a) \\ 0 & \text{if } z \notin U. \end{cases}$$

The HFC satisfies the following two properties, which characterize this ring homomorphism:

- If  $\text{sp}(a) \subset U$ , and  $f_n \rightarrow f$  locally uniformly on  $U$ , then  $f_n(a) \rightarrow f(a)$  in  $A$ , and
- If  $f(z) = \sum \alpha_k z^k$  is a power series with radius of convergence greater than  $r(a)$ , then  $f(a) = \sum \alpha_k a^k$ .

The HFC also satisfies:

1. If  $f(z) = \prod (z - z_j)^{m_j}$  is rational, then  $f(a) = \prod (a - z_j)^{m_j}$ .
2. (spectral mapping)  $\text{sp}(f(a)) = f(\text{sp}(a))$ , and
3. if  $g \in \mathcal{O}(\text{sp}(a))$ , then  $g(f(a)) = (g \circ f)(a)$ .

**Corollary 1.2.1.** *If  $\phi : A \rightarrow B$  and  $f \in \mathcal{O}(\text{sp}_A(a))$ , then  $f(\phi(a)) = \phi(f(a))$ .*

*Proof.* By Fact 1.1.1,  $\text{sp}_B(\phi(a)) \subseteq \text{sp}_A(a)$ , so  $\mathcal{O}(\text{sp}_A(a)) \subseteq \mathcal{O}(\text{sp}_B(\phi(a)))$ . Observe that  $f(\phi(a)) = \phi(f(a))$  whenever  $f$  is a polynomial, and whenever  $f$  is a rational function with poles outside of  $\text{sp}_A(a)$ . The result now follows by Runge's Theorem, since every  $f \in \mathcal{O}(\text{sp}_A(a))$  can be approximated by such rational functions.  $\square$

### 1.3 Gelfand transform

If  $A$  is unital and commutative, the Gelfand transform gives a norm-contractive unital algebra homomorphism  $A \rightarrow C(\widehat{A})$  given by

$$a \mapsto [\text{ev}_a : \varphi \mapsto \varphi(a)],$$

where  $\widehat{A}$  is the set of algebra homomorphisms from  $A \rightarrow \mathbb{C}$ , also called characters or multiplicative linear functionals. The image of the Gelfand transform is a subalgebra of  $C(\widehat{A})$  which separates points of  $\widehat{A}$ .

**Lemma 1.3.1.** *If  $A$  is unital and  $a \in A$ , then for all  $\varphi \in \widehat{A}$ ,  $\varphi(a) \in \text{sp}(a)$ .*

*Proof.* Observe  $\varphi(a - \varphi(a)) = 0$ , so  $a - \varphi(a) \notin A^\times$  and thus  $\varphi(a) \in \text{sp}(a)$ .  $\square$

## 2 $C^*$ -algebras

Let  $A$  be a unital  $C^*$ -algebra, i.e., a unital Banach algebra with an involution satisfying  $\|a^*a\| = \|a\|^2$  for all  $a \in A$ .

## 2.1 Operators

We call  $a \in A$ :

- self-adjoint if  $a = a^*$ ,
- positive if  $a = b^*b$  for some  $b \in A$ ,
- normal if  $aa^* = a^*a$ ,
- a projection if  $a = a^* = a^2$ ,
- an isometry if  $a^*a = 1$ ,
- a unitary if  $a^*a = 1 = aa^*$  (equivalently, an invertible isometry),
- a partial isometry if  $a^*a$  is a projection.

Here are some elementary properties:

(C\*1) Each  $a$  can be written as  $a = \Re(a) + i\Im(a)$  where  $\Re(a) = \frac{a+a^*}{2}$  and  $\Im(a) = \frac{a-a^*}{2i}$  are self-adjoint.

(C\*2) If  $\lambda \in \text{sp}(a)$ , then  $\bar{\lambda} \in \text{sp}(a^*)$ .

(C\*3) If  $a$  is normal, then  $\|a\| = r(a)$ .

*Proof.* Observe  $\|a^2\|^2 = \|(a^2)^*a^2\| = \|(a^*a)^2\| = \|a^*a\|^2 = \|a\|^4$ . Thus  $r(a) = \lim \|a^{2^n}\|^{2^{-n}} = \|a\|$ . □

(C\*4) If  $u$  is unitary, then  $\text{sp}(u) \subset \partial\mathbb{D} = \mathbb{T} = S^1$ .

*Proof.* Since  $u^* = u^{-1}$ , by (C\*2),  $\lambda \in \text{sp}(u)$  if and only if  $\bar{\lambda}^{-1} \in \text{sp}(u)$ . Since  $\|u\| = 1$ , both  $|\lambda|, |\lambda^{-1}| \leq 1$ , so  $\lambda \in \mathbb{T}$ . □

(C\*5) If  $a = a^*$ , then  $e^{ia}$  is unitary (defined by the HFC).

*Proof.* Observe  $(e^{ia})^* = \left(\sum \frac{(ia)^n}{n!}\right)^* = \sum \frac{(-ia)^n}{n!} = e^{-ia} = (e^{ia})^{-1}$ . □

(C\*6) If  $a = a^*$ , then  $\text{sp}(a) \subset \mathbb{R}$ .

*Proof.* By (C\*4),  $\text{sp}(e^{ia}) \subset \mathbb{T}$ , and by the Spectral Mapping Theorem,  $\text{sp}(e^{ia}) = e^{i\text{sp}(a)}$ . Hence  $\text{sp}(a) \subset \mathbb{R}$ . □

## 2.2 Continuous functional calculus

**Lemma 2.2.1.** *If  $A$  is commutative, then every  $\varphi \in \widehat{A}$  is a  $*$ -homomorphism.*

*Proof.* Let  $a \in A$  and  $\varphi \in \widehat{A}$ . Recall from (C\*1) that  $a = \Re(a) + i\Im(a)$  where  $\Re(a), \Im(a)$  are self-adjoint. From Lemma 1.3.1 and (C\*6) we see that  $\varphi(\Re(a)) \in \text{sp}(\Re(a)) \subset \mathbb{R}$  and  $\varphi(\Im(a)) \in \text{sp}(\Im(a)) \subset \mathbb{R}$ . Thus

$$\varphi(a^*) = \varphi(\Re(a)) - i\varphi(\Im(a)) = \overline{\varphi(\Re(a)) + i\varphi(\Im(a))} = \overline{\varphi(a)}. \quad \square$$

**Theorem 2.2.2.** *The Gelfand transform affords an equivalence of categories*

$$\{\text{Unital commutative } C^*\text{-algebras}\} \cong \{\text{Compact Hausdorff spaces}\}^{\text{op}}.$$

**Question 2.2.3.** *What happens for non-unital  $C^*$ -algebras?*

**Lemma 2.2.4** (Spectral permanence). *Suppose  $1 \in A \subset B$  is a unital inclusion of  $C^*$ -algebras. Then  $\text{sp}_A(a) = \text{sp}_B(a)$  for all  $a \in A$ .*

*Proof.* By Corollary 1.1.2,  $\text{sp}_B(a) \subseteq \text{sp}_A(a)$ , so it suffices to prove  $b \in A \cap B^\times$  implies  $b \in A^\times$ . Suppose  $b \in A \cap B^\times$ . Then  $b^* \in A \cap B^\times$  and  $b^*b \in A \cap B^\times$ . By (C\*6),  $\text{sp}_A(b^*b), \text{sp}_B(b^*b) \subset \mathbb{R}$ . By Corollary 1.1.2,

$$\text{sp}_A(b^*b) = \partial \text{sp}_A(b^*b) \subseteq \partial \text{sp}_B(b^*b) = \text{sp}_B(b^*b) \subseteq \text{sp}_A(b^*b),$$

so equality holds. Notice that this shows that  $b$  admits a left inverse in  $A$ , since

$$(b^*b)^{-1}b^*b = 1.$$

A similar argument for  $bb^*$  shows  $b$  has a right inverse, and the result follows.  $\square$

Given  $a \in A$  normal, the continuous functional calculus (CFC) is a unital  $*$ -isomorphism from  $\Phi_a: C(\text{sp}(a)) \rightarrow C^*(a)$ , the smallest unital  $C^*$ -subalgebra of  $A$  containing  $a$ , which extends the HFC. It is characterized by the properties:

- $\Phi_a(1) = 1$  and  $\Phi_a(\text{id}: z \mapsto z) = a$ , and
- for all  $f \in \mathcal{O}(\text{sp}(a))$ ,  $\Phi_a(f) = f(a)$  from the HFC.

Thus it makes sense to denote  $\Phi_a(f) = f(a)$ .

**Exercise 2.2.5.** Show that every  $a$  in a unital  $C^*$ -algebra  $A$  is a linear combination of 4 unitaries.

*Hint:* Show every self-adjoint  $a$  with  $\|a\| \leq 1$  is a linear combination of 2 unitaries by considering  $f(t) := t + i\sqrt{1-t^2}$  on  $\text{sp}(a)$ .

**Exercise 2.2.6.** Suppose  $V$  is an inner product space (not necessarily complete) and  $\pi : A \rightarrow \text{End}(V)$  is a unital  $*$ -homomorphism such that  $\langle \pi(a)u, v \rangle = \langle u, \pi(a)^*v \rangle$  for all  $u, v \in V$ . Prove that  $\pi$  induces a unital  $*$ -homomorphism  $\bar{\pi} : A \rightarrow B(\bar{V})$ .

*Hint:* First show for every unitary  $u \in A$ ,  $\|\pi(u)\| = 1$ .

**Lemma 2.2.7.** If  $\phi : A \rightarrow B$ ,  $a \in A$  is normal, and  $f \in C(\text{sp}_A(a))$ , then  $f(\phi(a)) = \phi(f(a))$ .

*Proof.* By Fact 1.1.1,  $\text{sp}_B(\phi(a)) \subseteq \text{sp}_A(a)$ , so there is a canonical surjection  $C(\text{sp}_A(a)) \twoheadrightarrow C(\text{sp}_B(\phi(a)))$ . Observe that  $f(\phi(a)) = \phi(f(a))$  whenever  $f$  is a polynomial in  $z$  and  $\bar{z}$ . The result now follows by the Stone-Weierstrass Theorem.  $\square$

**Proposition 2.2.8.** Every  $*$ -homomorphism  $\phi : A \rightarrow B$  of unital  $C^*$ -algebras is norm-contractive. If  $\phi$  is injective, then

1.  $\text{sp}_B(\phi(a)) = \text{sp}_A(a)$  for all normal  $a \in A$ , and
2.  $\|\phi(a)\| = \|a\|$  for all  $a \in A$ .

*Proof.* Since  $a \in A^\times$  implies  $\phi(a) \in B^\times$ , we have  $\text{sp}_B(\phi(a)) \subseteq \text{sp}_A(a)$ , and thus  $r(\phi(a)) \leq r(a)$  for all  $a \in A$ . Then

$$\|\phi(a)\|^2 = \|\phi(a)^*\phi(a)\| = \|\phi(a^*a)\| \stackrel{(C^*3)}{=} r(\phi(a^*a)) \leq r(a^*a) \stackrel{(C^*3)}{=} \|a^*a\| = \|a\|^2.$$

1. Suppose  $\lambda \in \text{sp}_A(a) \setminus \text{sp}_B(\phi(a))$  for some normal  $a \in A$ . We will show  $\phi$  is not injective. Since  $\text{sp}_A(a)$  is compact Hausdorff, it is normal. By Urysohn's Lemma, there is a continuous  $f : \text{sp}_A(a) \rightarrow [0, 1]$  such that  $f|_{\text{sp}_B(\phi(a))} = 0$  and  $f(\lambda) = 1$ . Then  $f(a) \neq 0$ , but by Lemma 2.2.7,  $\phi(f(a)) = f(\phi(a)) = 0$ , so  $\phi$  is not injective.
2. This follows by (1), (C\*3), and the  $C^*$ -identity.  $\square$

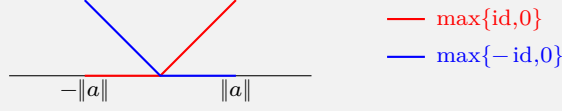
## 2.3 Positivity

Let  $A$  be a unital  $C^*$ -algebra. Recall that  $a \in A$  is called positive, denoted  $a \geq 0$ , if  $a = b^*b$  for some  $b \in A$ . We write  $a \geq b$  if  $a - b \geq 0$ . You will show some of the following facts in the homework.

**Facts 2.3.1.**

( $\geq 1$ ) If  $a = a^*$ , there are positive  $a_+$  and  $a_-$  in  $C^*(a)$  such that  $a = a_+ - a_-$  and  $a_+a_- = 0$ .

*Proof.* Use the CFC to set  $a_+ := \max\{\text{id}, 0\}(a)$  and  $a_- := \max\{-\text{id}, 0\}(a)$ .  $\square$



( $\geq 2$ ) If  $a = a^*$ , then  $a \leq \|a\|$ .

*Proof.* Observe that the absolute value function dominates the identity function on  $\mathbb{R}$ , and apply the CFC.  $\square$

( $\geq 3$ ) If  $a \leq b$ , then for all  $c \in A$ ,  $c^*ac \leq c^*bc$ .

*Proof.* Write  $b - a = d^*d$ , and observe  $c^*bc - c^*ac = c^*(b - a)c = c^*d^*dc$ .  $\square$

( $\geq 4$ )  $a \geq 0$  if and only if  $a = a^*$  and  $\text{sp}(a) \subset [0, \infty)$ .

*Proof.* Homework.  $\square$

( $\geq 5$ ) The set  $A_+$  of positive elements is a closed cone.

*Proof.* Homework.  $\square$

( $\geq 6$ )  $\leq$  is a partial order on  $A$ .

*Proof.* Clearly  $a \leq a$ .  
If  $a \leq b$  and  $b \leq a$ , then  $b - a \geq 0$  and  $a - b = -(b - a) \geq 0$ . Thus  $b - a$  is self-adjoint and  $\text{sp}(b - a) = \{0\}$ . By the CFC,  $b - a = 0$ , so  $a = b$ .  
Finally, if  $a \leq b$  and  $b \leq c$ , then  $b - a \geq 0$  and  $c - b \geq 0$ , so  $c - a = (c - b) + (b - a) \geq 0$  by ( $\geq 5$ ).  $\square$

( $\geq 7$ ) If  $0 \leq a \leq b$ , then  $\|a\| \leq \|b\|$ .

*Proof.* By ( $\geq 2$ ),  $0 \leq a \leq b \leq \|b\|$ , so by ( $\geq 6$ ),  $a \leq \|b\|$ . Using the CFC for  $a$ ,  $\text{sp}(a) \subseteq [0, \|b\|]$ , so  $\|a\| \leq \|b\|$  by ( $C^*3$ ).  $\square$

**Definition 2.3.2.** A linear functional  $\varphi$  on  $A$  is called positive if  $\varphi(a) \geq 0$  whenever  $a \geq 0$ .  
A state is a positive linear functional such that  $\varphi(1) = 1$ .

**Example 2.3.3.** If  $\|\xi\| = 1$ ,  $\omega_\xi(a) := \langle a\xi, \xi \rangle$  is a state on  $B(H)$ .

**Example 2.3.4.** The unital  $*$ -algebra  $\mathbb{C} \oplus \mathbb{C}$  with  $(\alpha, \beta)^* = (\bar{\beta}, \bar{\alpha})$  has no states; its only positive linear functional is zero.

*Proof.* The positive elements of  $A := \mathbb{C} \oplus \mathbb{C}$  are of the form  $(\bar{\beta}\alpha, \bar{\alpha}\beta)$  for  $\alpha, \beta \in \mathbb{C}$ . Choosing  $\alpha = i$  and  $\beta = -i$ , we see  $(-1, -1)$  is positive. But choosing  $\alpha = \beta = 1$ , we see  $(1, 1)$  is positive. This means for any positive linear functional  $\varphi$ , we have  $\pm\varphi(1, 1) \geq 0$ , so  $\varphi(1, 1) = 0$ .  $\square$

**Lemma 2.3.5.** If  $\varphi$  is positive, then  $\varphi(a) \in \mathbb{R}$  whenever  $a = a^*$ . Moreover, for all  $a \in A$ ,  $\varphi(a^*) = \overline{\varphi(a)}$ .

*Proof.* If  $a = a^*$ , then writing  $a = a_+ - a_-$  as in ([2.3.1](#)), we see  $\varphi(a) = \varphi(a_+) - \varphi(a_-) \in \mathbb{R}$ . For arbitrary  $a \in A$ , we have

$$\varphi(a^*) = \varphi(\Re(a)) - i\varphi(\Im(a)) = \overline{\varphi(\Re(a)) - i\varphi(\Im(a))} = \overline{\varphi(a)}. \quad \square$$

## 2.4 Representations of complex $*$ -algebras and the GNS construction

A representation of a (unital) complex  $*$ -algebra is a pair  $(H, \pi)$  where  $H$  is a Hilbert space and  $\pi: A \rightarrow B(H)$  is a (unital)  $*$ -homomorphism. We call  $(H, \pi)$ :

- nondegenerate if  $\{\pi(a)\xi \mid a \in A \text{ and } \xi \in H\}$  is dense in  $H$ . Observe that unital representations are nondegenerate.
- cyclic if there is a vector  $\Omega \in H$  such that  $\pi(A)\Omega$  is dense in  $H$ . We call  $\Omega$  a cyclic vector and  $(H, \pi, \Omega)$  a cyclic representation.

**Example 2.4.1.** The complex  $*$ -algebra  $C(X)$  acts on  $L^2(X, \mu)$ , where  $\mu$  is any regular finite Borel measure.

**Example 2.4.2.** Let  $\Gamma$  be a discrete group. Then  $\Gamma$  acts on  $\ell^2\Gamma$  by  $(\lambda_g\xi)(h) := \xi(g^{-1}h)$ . Since  $\lambda_g$  is isometric and has inverse  $\lambda_{g^{-1}}$ , it is unitary. We thus get a group homomorphism  $\lambda: \Gamma \rightarrow U(H)$ , the unitary group of  $H$ . Extending by linearity, we get a unital  $*$ -homomorphism  $\mathbb{C}[\Gamma] \rightarrow B(\ell^2\Gamma)$ , where  $\mathbb{C}[\Gamma]$  is the group algebra of  $\Gamma$ . The reduced group  $C^*$ -algebra of  $\Gamma$  is the  $C^*$ -algebra  $C_r^*(\Gamma)$  generated by  $\{\lambda_g \mid g \in \Gamma\}$ .

Given a positive linear functional  $\varphi$  on  $A$ , define  $\langle a, b \rangle_\varphi := \varphi(b^*a)$ , which is a positive sesquilinear form on  $A$ . Observe that all positive sesquilinear forms satisfy the Cauchy-Schwarz inequality, which is a powerful tool.

**Proposition 2.4.3.** *Suppose  $A$  is a unital Banach  $*$ -algebra ( $*$  is an isometric involution) and  $\varphi$  is a positive linear functional.*

1. If  $a = a^*$  and  $\|a\| < 1$ , there is a  $b \in A$  with  $b = b^*$  such that  $b^2 = 1 - a$ ,
2.  $\varphi(a^*a) \leq \|a^*a\|\varphi(1)$  for all  $a \in A$ , and
3.  $\|\varphi\| = \varphi(1)$ .

*Proof.*

1. The function  $\sqrt{1-z}$  is analytic on  $B_1(0) \supset \text{sp}(a)$ . setting  $b := \sqrt{1-a}$ , we have  $b^2 = 1 - a$ . To see  $b$  is self-adjoint, observe  $\sqrt{1-a}$  is a uniform limit of polynomials in  $a$  on  $\text{sp}(a)$ . (Indeed, we can find an open  $U$  such that  $\text{sp}(a) \subset U \subset \overline{U} \subset B_1(0)$ .)
2. Let  $\varepsilon > 0$ . Applying (1) to  $\frac{a^*a}{\|a^*a\| + \varepsilon}$ , we have a  $b = b^*$  such that  $b^2 = 1 - \frac{a^*a}{\|a^*a\| + \varepsilon}$ . Thus

$$0 \leq \varphi(b^*b) = \varphi(1) - \frac{\varphi(a^*a)}{\|a^*a\| + \varepsilon} \implies \varphi(a^*a) \leq (\|a^*a\| + \varepsilon)\varphi(1).$$

Since  $\varepsilon > 0$  was arbitrary, the result follows.

3. Take square roots in the inequality

$$|\varphi(a)|^2 = |\langle a, 1 \rangle_\varphi|^2 \underset{\text{CS}}{\leq} \langle 1, 1 \rangle_\varphi \langle a, a \rangle_\varphi = \varphi(1)\varphi(a^*a) \underset{(2)}{\leq} \varphi(1)^2 \|a^*a\| \leq \varphi(1)^2 \|a\|^2,$$

and observe the bound  $\varphi(1)$  is achieved at  $1 \in A$ . □

**Proposition 2.4.4.** *Suppose  $A$  is a unital  $C^*$ -algebra and  $\varphi$  is a linear functional. Then  $\varphi$  is positive if and only if  $\varphi$  is bounded and  $\|\varphi\| = \varphi(1)$ .*

*Proof.* Positivity implies  $\|\varphi\| = \varphi(1)$  by Proposition 2.4.3. Conversely, suppose  $\varphi$  is bounded with  $\|\varphi\| = \varphi(1)$ . By normalizing  $\varphi$ , we may assume  $\|\varphi\| = \varphi(1) = 1$ . It remains to show that  $\varphi(a) \geq 0$  whenever  $a \geq 0$ . By the CFC, it suffices to prove this for a positive linear functional on  $C(X)$  where  $X$  is compact Hausdorff. Suppose  $\varphi(f) = \alpha + i\beta$  for  $f = \bar{f}$ . Then for all  $t \in \mathbb{R}$ , we have

$$\begin{aligned} |\varphi(f + it)|^2 &= |\alpha + i(\beta + t)|^2 = \alpha^2 + \beta^2 + 2\beta t + t^2, & \text{but} \\ |\varphi(f + it)|^2 &\leq \|f + it\|^2 = (\|f\|^2 + t^2). \end{aligned}$$

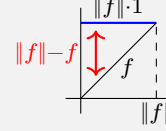


This implies

$$\alpha^2 + \beta^2 + 2\beta t \leq \|f\|^2 \quad \forall t \in \mathbb{R},$$

which is only possible if  $\beta = 0$ . Now, if  $f \geq 0$ ,

$$|\varphi(f) - \|f\|| = |\varphi(f - \|f\| \cdot 1)| \leq \|f - \|f\| \cdot 1\| \leq \|f\|$$



which implies  $\varphi(f) \geq 0$ . □

**Definition 2.4.5.** A state on a normed unital  $*$ -algebra is a continuous positive linear functional such that  $\varphi(1) = 1$ .

**Corollary 2.4.6.** If  $A$  is a normed unital  $*$ -algebra and  $\varphi$  is positive and continuous, then  $\|\varphi\| = \varphi(1)$ .

*Proof.* Let  $\overline{A}$  be the completion of  $A$ , which is a normed unital Banach  $*$ -algebra. Since  $\varphi$  is bounded, it extends to  $\overline{A}$  by Hahn-Banach. If  $a \in \overline{A}$ , choose a sequence  $(a_n)$  such that  $a_n \rightarrow a$ . Then  $(a_n)$  is norm-bounded, and  $a_n^* a_n \rightarrow a^* a$ . Thus the extension of  $\varphi$  to  $\overline{A}$  is positive. Now apply Proposition 2.4.3. □

The left kernel of the form is given by

$$N_\varphi := \{a \in A \mid \varphi(a^* a) = \langle a, a \rangle_\varphi = 0\} \stackrel{(\text{CS})}{=} \{a \in A \mid \langle a, b \rangle_\varphi = 0 \ \forall b \in A\},$$

which is a left ideal of  $A$ . Thus the left regular action  $L_a: A/N_\varphi \rightarrow A/N_\varphi$  given by  $L_a(b + N_\varphi) := ab + N_\varphi$  is well-defined.

**Exercise 2.4.7.** Prove the assertion that  $N_\varphi$  is a left ideal of  $A$ .

**Question 2.4.8.** When is the left regular action of  $A$  on  $A/N_\varphi$  bounded?

**Proposition 2.4.9.** If  $A$  is a unital normed  $*$ -algebra and  $\varphi$  is a continuous positive linear functional, then the left regular action of  $A$  on  $A/N_\varphi$  is bounded with  $\|L_a\| \leq \|a\|$ .

*Proof.* Since the left regular action preserves  $N_\varphi$ , it suffices to prove that the left regular action of  $A$  on itself is bounded with  $\|L_a\| \leq \|a\|$ . For  $b \in A$ , define  $\varphi_b(a) := \varphi(b^* ab)$ , which is a continuous positive linear functional on  $A$ . By extending  $\varphi_b$  to  $\overline{A}$  as in the proof of Corollary 2.4.6, we see that  $\varphi_b(a^* a) \leq \|a^* a\| \varphi_b(1)$  for all  $a \in A$  by Proposition 2.4.3 applied to  $\overline{A}$ . Thus

$$\|ab\|_\varphi^2 = \varphi(b^* a^* ab) = \varphi_b(a^* a) \leq \|a^* a\| \varphi_b(1) = \|a^* a\| \varphi(b^* b) = \|a^* a\| \|b\|_\varphi^2 \leq \|a\|^2 \|b\|_\varphi^2.$$

The result follows. □

Define  $H_\varphi := \overline{A/N_\varphi}$ , which is called the GNS Hilbert space with respect to  $\varphi$ . Observe that the image of  $1 \in A$  in  $H_\varphi$ , denoted  $\Omega_\varphi$ , is a cyclic vector for the representation  $(H_\varphi, \pi_\varphi)$ , i.e.,  $\pi_\varphi(A)\Omega_\varphi$  is dense in  $H_\varphi$ . Observe that  $\varphi(a) = \langle a\Omega_\varphi, \Omega_\varphi \rangle$  for all  $a \in A$ , so  $\varphi$  is a vector state in the GNS representation.

**Question 2.4.10.** When does  $A$  act on the right of  $H_\varphi$  by bounded operators? That is, consider the map  $R_a$  on  $A$  given by  $b \mapsto ba$ . When does this pass to  $A/N_\varphi$ ? And when is it bounded?

**Exercise 2.4.11.** Consider the linear functional  $\text{tr}$  on  $\mathbb{C}[\Gamma]$  given by  $\text{tr}(\sum c_g g) := c_e$ .

1. Show that  $\text{tr}$  is positive and continuous. Here, the norm on  $\mathbb{C}[\Gamma]$  is the operator norm coming from its left regular action on  $\ell^2\Gamma$ .  
Hint: Show that  $\text{tr} = \langle \cdot, \delta_e \rangle$ , where  $\delta_e \in \ell^2\Gamma$  is given by  $\delta_e(g) = \delta_{g=e}$ .
2. Prove that  $\text{tr}(xy) = \text{tr}(yx)$  for all  $x, y \in \mathbb{C}[\Gamma]$ .
3. Find a unitary isomorphism  $H_{\text{tr}} \rightarrow \ell^2\Gamma$  which intertwines the left regular action of  $\mathbb{C}[\Gamma]$  on  $H_{\text{tr}}$  with the left action  $\lambda: \mathbb{C}[\Gamma] \rightarrow B(\ell^2\Gamma)$  from Example 2.4.2.

If  $(H_i)$  is a family of Hilbert spaces, the direct sum  $\bigoplus H_i$  is the completion of the algebraic direct sum under the inner product  $\langle \eta, \xi \rangle := \sum_i \langle \eta_i, \xi_i \rangle$ . One can show that elements of  $\bigoplus H_i$  are square-summable sequences of vectors.

**Definition 2.4.12.** If  $(H_i, \pi_i)$  is a family of representations of a unital  $C^*$ -algebra  $A$ , then  $\bigoplus H_i$  carries an action of  $A$  via  $\bigoplus \pi_i$  defined by  $(\bigoplus \pi_i)(a)_j := \pi_j(a)$ . Observe  $\bigoplus \pi_i(a)$  is bounded if and only if  $(\|\pi_i(a)\|)$  is uniformly bounded.

**Definition 2.4.13.** The universal representation of a unital  $C^*$ -algebra  $A$  is  $\bigoplus_{\text{states } \varphi} L^2(A, \varphi)$ , which is a direct sum of cyclic representations.

**Lemma 2.4.14.** Suppose  $1 \in A \subset B$  is a unital inclusion of  $C^*$ -algebras. Then any state on  $A$  extends to a state on  $B$ .

*Proof.* Use Hahn-Banach to extend the state  $\varphi$  on  $A$  to  $\tilde{\varphi}$  on  $B$ , and note

$$\tilde{\varphi}(1) = \varphi(1) \underset{(\text{Prop. 2.4.3})}{=} \|\varphi\| \underset{(\text{HB})}{=} \|\tilde{\varphi}\|.$$

So  $\tilde{\varphi}$  is positive by Proposition 2.4.3. □

**Proposition 2.4.15.** Suppose  $A$  is a unital  $C^*$ -algebra and  $a \in A$  is self-adjoint (or normal). For every  $\lambda \in \text{sp}(a)$ , there is a state  $\varphi$  on  $A$  such that  $\varphi(a) = \lambda$ .

*Proof.* Recall  $C^*(a) \cong C(\text{sp}(a))$  where  $a$  corresponds to the identity function. Use Lemma 2.4.14 to extend  $\text{ev}_\lambda: C(\text{sp}(a)) \rightarrow \mathbb{C}$  (which is manifestly positive) to a state  $\varphi$  on  $A$ . Since  $\text{ev}_\lambda(\text{id}) = \lambda$ ,  $\varphi(a) = \lambda$ . □

**Theorem 2.4.16** (Gelfand-Naimark). *The universal representation of a unital  $C^*$ -algebra is isometric. Thus every  $C^*$ -algebra is  $*$ -isomorphic to a closed  $*$ -subalgebra of bounded operators on a Hilbert space.*

*Proof.* Let  $a \in A$ . Then  $\|a\|^2 \geq \|\psi(a)\|^2 = \|\psi(a^*a)\| \geq \|\pi_\psi(a^*a)\|$  for all states  $\psi$ . By Proposition 2.4.15, there is a state  $\varphi \in A^*$  such that  $\|a^*a\| = \varphi(a^*a)$ , as  $\|a^*a\| \in \text{sp}(a^*a)$ . We then have that

$$\|a\|^2 = \|a^*a\| = \varphi(a^*a) = \langle \pi_\varphi(a^*a)\Omega_\varphi, \Omega_\varphi \rangle_\varphi$$

Since the norm is equal to the numerical radius for normal operators, we have  $\|\pi_\varphi(a^*a)\| \geq \|a\|^2$ . We thus have that

$$\|a\|^2 \leq \|\pi_\varphi(a^*a)\| \leq \|\pi(a)\|^2 \leq \|a\|^2.$$

We conclude that  $\pi$  is isometric. □