

# REPORT

ON THE OPERATOR  $u + \lambda v$  AND  $C^*$ -SUBALGEBRAS OF THE  
UNIVERSAL IRRATIONAL ROTATION ALGEBRA

Reported by: Chunlan Jiang

Joint with: Junsheng Fang and Feng Xu

Major: Mathematics

Operator theory and operator algebras

Department of Mathematics

Hebei Normal University

# OUTLINE

## ① SPECTRUM AND BROWN SPECTRUM OF $u + \lambda v$

# OUTLINE

① SPECTRUM AND BROWN SPECTRUM OF  $u + \lambda v$

② GENERALIZED UNIVERSAL IRRATIONAL ROTATION  
 $C^*$ -ALGEBRAS

# SPECTRUM

Let  $\theta$  be an irrational number and let  $u$  and  $v$  be two unitary operators such that

$$vu = e^{2\pi i\theta} uv. \quad (*)$$

Consider the collection of all irreducible pairs of unitary operators  $(u_\alpha, v_\alpha)$  satisfying  $(*)$  and form the operators

$$\tilde{u} = \sum \oplus u_\alpha, \quad \text{and} \quad \tilde{v} = \sum \oplus v_\alpha.$$

Let  $\mathcal{A}_\theta = C^*(\tilde{u}, \tilde{v})$ . Then  $\mathcal{A}_\theta$  is called the universal irrational rotational algebra. If  $\mathcal{A} = C^*(u, v)$  is any other  $C^*$ -algebra satisfying  $(*)$ , then there is an isomorphism of  $\mathcal{A}_\theta$  onto  $\mathcal{A}$  which carries  $\tilde{u}$  to  $u$  and  $\tilde{v}$  to  $v$ .

# SPECTRUM

In mathematical physics, the almost mathieu operator arises in the study of the quantum Hall effect. It is given by

$$(H_{\lambda,\theta,\beta}u)(n) = u(n+1) + u(n-1) + 2\lambda \cos(2\pi(n\theta + \beta))u(n)$$

acting as a self-adjoint operator on the Hilbert space  $l^2(\mathbb{Z})$ . Here  $\theta, \beta, \lambda \in \mathbb{R}$  are parameters.

Almost mathieu operator was firstly introduced by R. Peierls [Pei]. In pure mathematics, its importance come from the fact of being one of the best-understood examples of an ergodic Schrödinger operator. For example, three problems (now all solved) of Barry Simon's fifteen problems [Ba-SI] about Schrödinger operators" for the twenty-first century "featured the almost Mathieu operator.

# SPECTRUM

The fourth problem in [Kac-Sim] (known as the "Ten martini problem" after Kac and Simon) conjectures that the spectrum of the almost Mathieu operator is a cantor set for all  $\lambda \neq 0$  and irrational number  $\theta$ .

Recall that  $\mathcal{A}_\theta$  can be represented on  $l^2(\mathbb{Z})$ , by mapping  $u$  into the bilateral shift (taking  $\phi$  into  $(\phi(n-1))_{n \in \mathbb{Z}}$ ), and then  $v$  into the operation of multiplication by  $e^{2\pi i n \theta}$  (taking  $\phi$  into  $e^{2\pi i n \theta}(\phi(n))_{n \in \mathbb{Z}}$ ), and then the polynomial  $(u + \lambda e^{2\pi i \beta} v) + (u + \lambda e^{2\pi i \beta} v)^*$  is mapped into the bounded self-adjoint operator  $H_{\lambda, \theta, \beta}$ . Since  $\mathcal{A}_\theta$  is simple (where  $\theta$  is irrational), the spectrum of  $H_{\lambda, \theta, \beta}$  is the same as the spectrum of the element :

$$(u + \lambda e^{2\pi i \beta} v) + (u + \lambda e^{2\pi i \beta} v)^*.$$

# SPECTRUM

Thus, the conjecture of Kac and Simon can be reduced to the following:

## CONJECTURE

If  $a = u + \lambda e^{2\pi i\beta} v + u^* + \bar{\lambda} e^{-2\pi i\beta} v^*$ , then  $\sigma(a) = \text{Cantor set}$ , where  $\lambda \neq 0$ ,  $vu = e^{2\pi i\theta} uv$ ,  $\theta$ -irrational number.

Recently, Avila and Jitomirskaya affirmatively answered this conjecture (2009).

# SPECTRUM

## QUESTION

A natural question: What is the spectrum of  $u + \lambda e^{2\pi i\beta} v$ ?

If  $\theta$  is an irrational number, then by the uniqueness of  $\mathcal{A}_\theta$  the spectrum of  $u + \lambda e^{2\pi i\beta} v$  is the same as  $u + |\lambda|v$ .

So from now on, we always assume that  $\lambda > 0$  and  $\beta = 0$ .

It is well known that there is a unique trace  $\tau$  on  $\mathcal{A}_\theta$ . By the GNS-construction, we obtain a faithful representation  $\pi$  of  $\mathcal{A}_\theta$  on  $L^2(\mathcal{A}_\theta, \tau)$ . The weak operator closure of  $\pi(\mathcal{A}_\theta)$  is the hyperfinite  $\text{II}_1$  factor  $R$ . Note that the spectrum of  $u + \lambda v$  is same as the spectrum of  $\pi(u + \lambda v)$  in  $R$ .



# SPECTRUM

## THEOREM 1

The spectrum of  $u + \lambda v$  is given by:

- (1)  $\sigma(u + v) = \overline{B(0, 1)}$ ;
- (2)  $\sigma(u + \lambda v) = S^1, \lambda \in (0, 1)$ ;
- (3)  $\sigma(u + \lambda v) = \lambda S^1, \lambda > 1$ .

# SPECTRUM

## STRONGLY IRREDUCIBLE OPERATOR

An operator  $T$  in  $\mathcal{L}(\mathcal{H})$  is said to be **strongly irreducible** if there exists no non-trivial idempotent in  $\{T\}'$ .

Strongly irreducible operators are generalization of Jordan blocks in matrix algebras.

# SPECTRUM

## STRONGLY IRREDUCIBLE OPERATOR

An operator  $T$  in  $\mathcal{L}(\mathcal{H})$  is said to be **strongly irreducible** if there exists no non-trivial idempotent in  $\{T\}'$ .

Strongly irreducible operators are generalization of Jordan blocks in matrix algebras.

## RELATIVE STRONGLY IRREDUCIBLE OPERATOR

Let  $M$  be a type  $\text{II}_1$  factor, an operator  $T \in M$  is said to be a strongly irreducible operator relative to  $M$ , if there exists no non-trivial idempotent in  $\{T\}' \cap M$ .

# SPECTRUM

## LEMMA

For every irrational number  $\theta \in (0, 1)$ , there exists no nontrivial idempotents in  $\{u + v\}' \cap R$ , i.e.  $u + v$  is relative strongly irreducible in  $R$ .

# SPECTRUM

## LEMMA

For every irrational number  $\theta \in (0, 1)$ , there exists no nontrivial idempotents in  $\{u + v\}' \cap R$ , i.e.  $u + v$  is relative strongly irreducible in  $R$ .

## COROLLARY

$\sigma(u + v)$  is connected.

## SPECTRUM

## THEOREM 2

For  $\theta$  in a second category subset of  $[0, 1]$ , we have  $u + v^k$  is strongly irreducible relative to  $R$  for all  $k = 1, 2, \dots$

Recall that operator  $T$  in a type  $\text{II}_1$  factor  $M$  is called irreducible if  $\{T, T^*\}' \cap M = \mathbb{C}I$ . i.e., the von-Neumann subalgebra generated by  $T$  is an irreducible subfactor of  $M$ .

# SPECTRUM

By a result of Popa. S. [Pop], every separable type  $\text{II}_1$  factor contains an irreducible operator. By definitions, if  $T$  is strongly irreducible relative to  $M$ , then  $T$  is irreducible relative to  $M$ .

An operator  $T$  is strongly irreducible relative to a type  $\text{II}_1$  factor if and only if  $XTX^{-1}$  is an irreducible operator relative to  $M$  for every bounded invertible operator  $X \in M$ . However, if  $T$  is irreducible relative to  $M$ , this is not true in general. The following result shows that an irreducible operator relative to  $M$  can be similar to a unitary operator.

## SPECTRUM

## THEOREM 3

Let  $\theta$  be an irrational number in  $[0, 1]$  and let  $n$  be any positive integer. Then in the hyperfinite type II<sub>1</sub> factor  $R$  there exists a bounded invertible operator  $x$  such that

$$W^*(xux^{-1}) = W^*(u + v^n) = W^*(u, v^n)$$

where  $uv = e^{2\pi i\theta}vu$ .

Let  $n$  be a positive integer, we may show

$N = W^*(u + v^n) = W^*(u, v^n)$  is an irreducible subfactor of  $W^*(u + v) = R$ , with Jones index:  $[R : N] = n$ .

To see this, we notice that

$$R = N \oplus Nv \oplus Nv^2 \oplus \dots \oplus Nv^{n-1}.$$



## SPECTRUM

By Pimsner and S. Popa 's result [Pim-Pop], we have  $[R : N] = n$ .

On the other hand, by Theorem 3, for  $\theta$  in a second category subset of  $[0, 1]$ ,  $u + v^n$  is strongly irreducible relative to  $R$ . So for every bounded invertible operator  $x \in R$ ,  $x(u + v^n)x^{-1}$  generates an irreducible subfactor  $W^*(x(u + v^n)x^{-1})$  of  $R$ . What is  $[R : W^*(x(u + v^n)x^{-1})]$ ?

## SPECTRUM

Let  $r(u + \lambda v)$  be the spectral radius of  $u + \lambda v$ . Then

$$\begin{aligned} r(u + \lambda v) &= \lim_{n \rightarrow +\infty} \|(u + \lambda v)^n\|^{\frac{1}{n}} \\ &= \lim_{n \rightarrow +\infty} \|u^n(1 + \lambda\omega)(1 + \alpha\lambda\omega) \cdots (1 + \alpha^{(n-1)}\lambda\omega)\|^{\frac{1}{n}}, \end{aligned}$$

where  $\omega = u^*v$  is a Haar unitary operator and  $\alpha = e^{2\pi i\theta}$ . Hence,

$$\begin{aligned} \|(u + \lambda v)^n\|^{\frac{1}{n}} &= \|(1 + \lambda\omega)(1 + \alpha\lambda\omega) \cdots (1 + \alpha^{(n-1)}\lambda\omega)\|^{\frac{1}{n}} \\ &= \|(1 + \lambda M_z)(1 + \alpha\lambda M_z) \cdots (1 + \alpha^{(n-1)}\lambda M_z)\|^{\frac{1}{n}} \\ &= \left( \max_{z \in S^1} |(1 + \lambda z)(1 + \alpha\lambda z) \cdots (1 + \alpha^{(n-1)}\lambda z)| \right)^{\frac{1}{n}} \end{aligned}$$

# SPECTRUM

## LEMMA

Suppose  $0 < \lambda \leq 1$ . For any  $\varepsilon > 0$ , there exists  $x \in [0, 1]$  and  $N \in \mathbb{N}$  such that for all  $n \geq N$ ,

$$\left( \prod_{k=0}^{n-1} (1 + \lambda^2 + 2\lambda \cos(2\pi(x + k\theta))) \right)^{\frac{1}{2n}} \geq 1 - \varepsilon.$$

# SPECTRUM

## LEMMA

Suppose  $0 < \lambda \leq 1$ . For any  $\varepsilon > 0$ , there exists  $x \in [0, 1]$  and  $N \in \mathbb{N}$  such that for all  $n \geq N$ ,

$$\left( \prod_{k=0}^{n-1} (1 + \lambda^2 + 2\lambda \cos(2\pi(x + k\theta))) \right)^{\frac{1}{2n}} \geq 1 - \varepsilon.$$

## PROOF

Key point: Let  $T : x \rightarrow x + \theta \pmod{1}$ . Then  $T$  is a measure preserving ergodic transformation of  $[0, 1]$ . By Birkhoff's Ergodic theorem, for almost all  $x \in [0, 1]$ , we have

$$\lim_{n \rightarrow \infty} \frac{1}{n} \sum_{k=0}^{n-1} \ln(1 + \lambda^2 + 2\lambda \cos(2\pi(x + k\theta))) = \int_0^1 \ln(1 + \lambda^2 + 2\lambda \cos 2\pi x) dx = 0.$$

# SPECTRUM

## COROLLARY

$$r(u + \lambda v) \geq 1, \forall 0 < \lambda \leq 1.$$

# SPECTRUM

## COROLLARY

$$r(u + \lambda v) \geq 1, \forall 0 < \lambda \leq 1.$$

## LEMMA

Suppose  $0 < \lambda \leq 1$ . For any  $\varepsilon > 0$ , there exists  $N \in \mathbb{N}$  such that for all  $n \geq N$  and  $x \in [0, 1]$

$$\left( \prod_{k=0}^{n-1} (1 + \lambda^2 + 2\lambda \cos(2\pi(x + k\theta))) \right)^{\frac{1}{2n}} \leq e^{2\varepsilon}, \forall n \geq N.$$

# SPECTRUM

## COROLLARY

$$r(u + \lambda v) \geq 1, \forall 0 < \lambda \leq 1.$$

## LEMMA

Suppose  $0 < \lambda \leq 1$ . For any  $\varepsilon > 0$ , there exists  $N \in \mathbb{N}$  such that for all  $n \geq N$  and  $x \in [0, 1]$

$$\left( \prod_{k=0}^{n-1} (1 + \lambda^2 + 2\lambda \cos(2\pi(x + k\theta))) \right)^{\frac{1}{2n}} \leq e^{2\varepsilon}, \forall n \geq N.$$

## COROLLARY

$$r(u + \lambda v) = 1, \forall 0 < \lambda \leq 1.$$

## SPECTRUM

Notice that,  $u + v = u(1 + u^*v)$ . Since  $u^*v$  is a Haar unitary operator,  $-1 \in \sigma(u^*v)$ . This implies that  $u + v$  is not invertible and therefore  $0 \in \sigma(u + v)$ . Observe that  $\sigma(u + v)$  is rotation symmetric. Since  $\sigma(u + v)$  is connected and  $r(u + v) = 1$ ,  $\sigma(u + v) = \overline{B(0, 1)}$ .

For  $0 < \lambda < 1$ , it is obvious that  $0 \notin \sigma(u + \lambda v)$ . We can also show that  $r((u + \lambda v)^{-1}) = 1$ . Then

$$\sigma(u + \lambda v) = S^1.$$

For  $\lambda > 1$ , consider  $\lambda(\frac{1}{\lambda}u + v)$ , we have  $\sigma(u + \lambda v) = \lambda S^1$ .



# BROWN'S SPECTRUM DISTRIBUTION

Let  $M$  be a finite von-Neumann algebra with a faithful normal tracial state  $\tau$ . The Fuglede-Kadison determinant [Fu-Ka]  $\Delta : M \rightarrow [0, \infty]$  is given by  $\Delta(T) = \exp\{\tau(\ln |T|)\}$ ,  $T \in M$ , with  $\exp\{-\infty\} := 0$ .

For an arbitrary element  $T$  in  $M$ , the function  $\lambda \rightarrow \ln(\Delta(T - \lambda I))$  is subharmonic on  $\mathbb{C}$ , and its Laplacian:

$$d\mu_T(\lambda) = \frac{1}{2\pi} \nabla^2 \ln \Delta(T - \lambda I)$$

In the distribution sense, defines a probability measure  $\mu_T$  on  $\mathbb{C}$ , called the Brown's spectral distribution or Brown's measure of  $T$ .

## BROWN'S SPECTRUM DISTRIBUTION

From the definition, Brown measure  $\mu_T$  only depends on the joint distribution of  $T$  and  $T^*$ .

If  $T$  is normal, then  $\mu_T$  is the trace  $\tau$  composed with the spectral projection of  $T$ . If  $M = M_n(\mathbb{C})$ , then  $\mu_T$  is the normalization counting measure  $\frac{1}{n}(\delta_{\lambda_1} + \delta_{\lambda_2} + \dots + \delta_{\lambda_n})$ , where  $\{\lambda_1, \dots, \lambda_n\}$  are the eigenvalues of  $T$  repeated according to root multiplicity.

### HAAGERUP-SCHULTZ THEOREM

Let  $T \in M$ . If the support set of Brown's measure of  $T$  contains more than one point, then  $T$  has a nontrivial invariant subspace relative to  $M$ .

By this theorem, we can see that it is important to calculate the Brown spectrum of operators.

# BROWN'S SPECTRUM DISTRIBUTION

## THEOREM 4

If  $0 < \lambda \leq 1$ , then the Brown measure of  $u + \lambda v$  is the Haar measure on the unit circle  $S^1$ . If  $\lambda > 1$ , then the Brown measure of  $u + \lambda v$  is the Haar measure on  $\lambda S^1$ .

# BROWN'S SPECTRUM DISTRIBUTION

## THEOREM 4

If  $0 < \lambda \leq 1$ , then the Brown measure of  $u + \lambda v$  is the Haar measure on the unit circle  $S^1$ . If  $\lambda > 1$ , then the Brown measure of  $u + \lambda v$  is the Haar measure on  $\lambda S^1$ .

## SKETCH PROOF 1

We need the following lemma first,

**Lemma** (Haagerup-Schultz) Let  $T \in M$  and for any  $n \in \mathbb{N}$ , let  $\mu_n \in \text{Prob}([0, \infty))$  denote the distribution of  $(T^n)^* T^n$  w.r.t  $\tau$ , and let  $\nu_n$  denote the push forward measure of  $\mu_n$  under the map  $t \rightarrow t^{\frac{1}{n}}$ . Moreover, let  $\nu$  denote the push forward measure of  $\mu_T$  under the map  $z \rightarrow |z|^2$ , i.e.,  $\nu$  is determined by  $\nu([0, t^2]) = \mu_T(\overline{B(0, t)})$ ,  $t > 0$ . Then  $\nu_n \rightarrow \nu$  weakly in  $\text{Prob}([0, \infty))$ .

# BROWN'S SPECTRUM DISTRIBUTION

## SKETCH PROOF 2

Let  $T = u + \lambda v$ , and let  $\nu$  and  $\nu_n$  be the measures defined as in Lemma of Haagerup-Schultz. Note that  $((T^n)^* T^n)^{\frac{1}{n}} = |(1 + \omega) \dots (1 + \alpha^{n-1} \omega)|^{\frac{2}{n}}$ , where  $\omega = u^* v$  is a Haar unitary operator. So we can view  $((T^n)^* T^n)^{\frac{1}{n}}$  as the multiplication operator on  $L^2[0, 1]$  corresponding to the function

$$\left| \prod_{k=0}^{n-1} (2 + 2 \cos(2\pi(x + k\theta))) \right|^{\frac{1}{n}}.$$

Let  $m$  be the Lebesgue measure on  $[0, 1]$ . For  $0 < b < 1$ , since  $[0, b]$  is an open set relative to  $[0, \infty)$  and  $\nu_n \rightarrow \nu$  weakly in  $Prob([0, \infty))$ ,

## BROWN'S SPECTRUM DISTRIBUTION

$$\begin{aligned}\nu([0, b]) &\leq \liminf_{n \rightarrow \infty} \nu_n([0, b]) \\ &= \liminf_{n \rightarrow \infty} m \left( \left\{ x : \left| \prod_{k=0}^{n-1} (2 + 2 \cos(2\pi(x + k\theta))) \right|^{\frac{1}{n}} \in [0, b] \right\} \right).\end{aligned}$$

Note that for almost all  $x \in [0, 1]$ ,

$$\lim_{n \rightarrow \infty} \left| \prod_{k=0}^{n-1} (2 + 2 \cos(2\pi(x + k\theta))) \right|^{\frac{1}{n}} = 1.$$

# BROWN'S SPECTRUM DISTRIBUTION

In particular,  $\left| \prod_{k=0}^{n-1} (2 + 2\cos(2\pi(x + k\theta))) \right|^{\frac{1}{n}}$  converges in measure to the constant function 1 on  $[0, 1]$ . Since  $b < 1$ ,  $\nu([0, b]) = 0$ . Thus  $\nu$  is the Dirac measure  $\delta_1$  and the support of  $\mu_T$  is contained in  $S^1$ . Since  $\mu_T$  is rotation invariant,  $\mu_T$  is the Haar measure on  $S^1$ .

For  $\lambda \neq 1$ , by Theorem 1,  $\sigma(u + \lambda v) = S^1$  if  $0 < \lambda < 1$  and  $\sigma(u + \lambda v) = \lambda S^1$  if  $\lambda > 1$ . Since  $\mu_{(u+\lambda v)}$  is rotation invariant and the support of  $\mu_{(u+\lambda v)}$  is contained in  $\sigma(u + \lambda v)$ , the Brown measure of  $u + \lambda v$  is the Haar measure on the unit circle  $S^1$  if  $0 < \lambda < 1$  and the Haar measure on  $\lambda S^1$  if  $\lambda > 1$ .

# GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

To study  $C^*(u + \lambda v)$  we introduce the following definition. A generalized universal irrational rotation algebra  $\mathcal{A}_{\theta, \gamma} = C^*(x, w)$  is the universal  $C^*$ -algebra satisfying the following properties:

$$w^* w = w w^* = 1, \quad (1)$$

$$x^* x = \gamma(w), \quad (2)$$

$$x x^* = \gamma(e^{-2\pi i \theta} w), \quad (3)$$

$$x w = e^{-2\pi i \theta} w x, \quad (4)$$

where  $\gamma(z) \in C(S^1)$  is a positive function.



# TRACIAL LINEAR FUNCTIONALS ON GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- There is a classical faithful trace  $\tau$  on a generalized universal irrational algebra  $\mathcal{A}_{\theta,\gamma}$

# TRACIAL LINEAR FUNCTIONALS ON GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- There is a classical faithful trace  $\tau$  on a generalized universal irrational algebra  $\mathcal{A}_{\theta, \gamma}$
- Applying the GNS-construction to  $\tau$ ,  $\mathcal{A}_{\theta, \gamma} = C^*(x, w)$  is isomorphic to  $C^*(u\gamma(v)^{1/2}, v)$  and the isomorphism takes  $x$  to  $u\gamma(v)^{1/2}$  and  $w$  to  $v$ .

# TRACIAL LINEAR FUNCTIONALS ON GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- There is a classical faithful trace  $\tau$  on a generalized universal irrational algebra  $\mathcal{A}_{\theta, \gamma}$
- Applying the GNS-construction to  $\tau$ ,  $\mathcal{A}_{\theta, \gamma} = C^*(x, w)$  is isomorphic to  $C^*(u\gamma(v)^{1/2}, v)$  and the isomorphism takes  $x$  to  $u\gamma(v)^{1/2}$  and  $w$  to  $v$ .
- Suppose  $\gamma(z)$  has finite zero points which can be divided into nonempty disjoint classes  $A_1, \dots, A_r$  in the following sense:  $z_1$  and  $z_2$  in  $A_j$  if and only if  $z_2 = e^{2\pi ik\theta} z_1$  for some  $k \in \mathbb{Z}$ . Then the dimension of the space of tracial linear functionals on  $\mathcal{A}_{\theta, \gamma} = C^*(x, w)$  is  $1 + \sum_{j=1}^r (|A_j| - 1)$ , where  $|A_j|$  is the number of elements in  $A_j$ .

# SIMPLE GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- Let  $\Lambda_1$  be the set of zero points of functions  $\gamma(e^{2\pi in\theta} z)$  for  $n \geq 0$ , and let  $\Lambda_2$  be the set of zero points of functions  $\gamma(e^{-2\pi in\theta} z)$  for  $n \geq 1$ . Then  $\mathcal{A}_{\theta,\gamma}$  is a simple algebra if and only if  $\Lambda_1 \cap \Lambda_2 = \emptyset$ .

# SIMPLE GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- Let  $\Lambda_1$  be the set of zero points of functions  $\gamma(e^{2\pi in\theta} z)$  for  $n \geq 0$ , and let  $\Lambda_2$  be the set of zero points of functions  $\gamma(e^{-2\pi in\theta} z)$  for  $n \geq 1$ . Then  $\mathcal{A}_{\theta,\gamma}$  is a simple algebra if and only if  $\Lambda_1 \cap \Lambda_2 = \emptyset$ .
- If a generalized universal  $C^*$ -algebra  $\mathcal{A}_{\theta,\gamma}$  is simple, then for every  $\alpha$  in  $(\mathbb{Z} + \mathbb{Z}\theta) \cap [0, 1]$ , there is a projection  $p$  in  $\mathcal{A}_{\theta,\gamma}$  such that  $\tau(p) = \alpha$ .

# SIMPLE GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- Let  $\Lambda_1$  be the set of zero points of functions  $\gamma(e^{2\pi in\theta} z)$  for  $n \geq 0$ , and let  $\Lambda_2$  be the set of zero points of functions  $\gamma(e^{-2\pi in\theta} z)$  for  $n \geq 1$ . Then  $\mathcal{A}_{\theta,\gamma}$  is a simple algebra if and only if  $\Lambda_1 \cap \Lambda_2 = \emptyset$ .
- If a generalized universal  $C^*$ -algebra  $\mathcal{A}_{\theta,\gamma}$  is simple, then for every  $\alpha$  in  $(\mathbb{Z} + \mathbb{Z}\theta) \cap [0, 1]$ , there is a projection  $p$  in  $\mathcal{A}_{\theta,\gamma}$  such that  $\tau(p) = \alpha$ .
- Suppose  $\theta$  and  $\eta$  are two irrational numbers and  $\gamma \in C(S^1)$  is a positive function with finite zero points. Then  $\mathcal{A}_{\theta,\gamma} \cong \mathcal{A}_{\eta,\gamma}$  if and only if  $\theta \equiv \pm\eta \pmod{\mathbb{Z}}$ .

# K-GROUPS OF GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

## THEOREM 5

Suppose  $\gamma(z)$  has  $n$  zero points,  $n \geq 1$ . Then

$$K_0(\mathcal{A}_{\theta,\gamma}) \cong \mathbb{Z}^{n+1}, \quad K_1(\mathcal{A}_{\theta,\gamma}) \cong \mathbb{Z}.$$

Sketch of proof

# K-GROUPS OF GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

## THEOREM 5

Suppose  $\gamma(z)$  has  $n$  zero points,  $n \geq 1$ . Then

$$K_0(\mathcal{A}_{\theta,\gamma}) \cong \mathbb{Z}^{n+1}, \quad K_1(\mathcal{A}_{\theta,\gamma}) \cong \mathbb{Z}.$$

Sketch of proof

- Suppose  $\Lambda$  is the set of zero points of  $\gamma(z)$ . Let  $A$  be the  $C^*$ -subalgebra generated by  $w$ , let

$$J_1 = \{f(w) : f(\lambda) = 0 \text{ for } \lambda \in \Lambda\},$$

and let  $J_2 = uJ_1u^*$ . Then  $\mathcal{A}_{\theta,\gamma}$  is  $*$ -isomorphic to the covariance algebra  $C^*(A, \Theta)$  for the partial automorphism  $\Theta = (Adu, J_1, uJ_1u^*)$  of  $C^*(w)$  in the sense of Ruy Exel [9].



# K-GROUPS OF GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- For a covariance algebra  $C^*(A, \Theta)$  for the partial automorphism  $\Theta = (\theta, J, \theta(J))$  of  $A$ , Ruy Exel [9] proved the following generalized Pimsner-Voiculescu exact sequence

$$\begin{array}{ccccccc}
 K_0(J) & \xrightarrow{i_* - \theta_*^{-1}} & K_0(A) & \xrightarrow{i_*} & K_0(\mathcal{A}_{\theta, \gamma}) \\
 \uparrow & & & & \downarrow \\
 K_1(\mathcal{A}_{\theta, \gamma}) & \xleftarrow{i_*} & K_1(A) & \xleftarrow{i_* - \theta_*^{-1}} & K_1(J)
 \end{array}$$

# K-GROUPS OF GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

- For a covariance algebra  $C^*(A, \Theta)$  for the partial automorphism  $\Theta = (\theta, J, \theta(J))$  of  $A$ , Ruy Exel [9] proved the following generalized Pimsner-Voiculescu exact sequence

$$\begin{array}{ccccccc}
 K_0(J) & \xrightarrow{i_* - \theta_*^{-1}} & K_0(A) & \xrightarrow{i_*} & K_0(\mathcal{A}_{\theta, \gamma}) \\
 \uparrow & & & & \downarrow \\
 K_1(\mathcal{A}_{\theta, \gamma}) & \xleftarrow{i_*} & K_1(A) & \xleftarrow{i_* - \theta_*^{-1}} & K_1(J)
 \end{array}$$

## COROLLARY

Suppose  $\gamma_1(z)$  and  $\gamma_2(z)$  have finite zero points. Then  $\mathcal{A}_{\theta, \gamma_1} \cong \mathcal{A}_{\theta, \gamma_2}$  implies that  $\gamma_1(z)$  and  $\gamma_2(z)$  have same number of zero points

UNIVERSAL IRRATIONAL ROTATION  $C^*$ -ALGEBRAS

It is well known that the universal irrational  $C^*$ -algebra  $\mathcal{A}_\theta$  has the following properties ( Rieffel [1981], Pimsner-Voiculescu [1980], Elliott-Evans [1993])

- (a)  $\mathcal{A}_\theta$  is simple.
- (b) There is a unique trace on  $\mathcal{A}_\theta$ .
- (c) For every  $\alpha$  in  $(\mathbb{Z} + \mathbb{Z}\theta) \cap [0, 1]$ , there exists projection  $p$  in  $C^*(u, v)$  such that  $\tau(p) = \alpha$ .
- (d)  $K_0(\mathcal{A}_\theta) \cong \mathbb{Z} + \mathbb{Z}\theta$  and  $K_1(\mathcal{A}_\theta) \cong \mathbb{Z}^2$ .
- (f)  $\mathcal{A}_\theta \cong \mathcal{A}_\eta \Leftrightarrow \theta = \pm\eta \pmod{\mathbb{Z}}$ .
- (g)  $\mathcal{A}_\theta$  is a limit circle algebra and hence with stable rank 1 and real rank 0.

# GENERALIZED UNIVERSAL IRRATIONAL ROTATION $C^*$ -ALGEBRAS

Now, we consider  $C^*$ -algebra  $C^*(u + \lambda v)$  generated by  $u + \lambda v$ . We have the following:

(a) For  $\lambda \neq 1$ ,  $0 < \lambda < +\infty$ , we have  $C^*(u + \lambda v) = C^*(u, v)$ .

However,  $C^*(u + v)$  is a proper subalgebra of  $\mathcal{A}_\theta = C^*(u, v)$ . Indeed,  $\inf\{\|u - x\| : x \in C^*(u + v)\} = 1$ .

(b)  $C^*(u + v) \cong \mathcal{A}_{\theta, \gamma}$  for  $\gamma(z) = |1 + z|^2$ .

(c)  $C^*(u + v)$  is simple.

(d) For every  $\alpha \in (\mathbb{Z} + \mathbb{Z}\theta) \cap [0, 1]$ , there exists projection  $p$  in  $C^*(u + v)$  such that  $\tau(p) = \alpha$ .

(e)  $K_0(C^*(u_\theta + v_\theta)) \cong \mathbb{Z} + \mathbb{Z}\theta$  and  $K_1(C^*(u + v)) \cong \mathbb{Z}$ . In particular,  $C^*(u + v)$  is not  $*$ -isomorphic to  $C^*(u, v)$ .


(f)  $C^*(u_\theta + v_\theta) \cong C^*(u_\eta + v_\eta) \Leftrightarrow \theta = \pm\eta(\text{mod } \mathbb{Z})$ .

# FUTURE PLAN



**Question 1:** Is  $C^*(u + v)$  a limit circle  $C^*$ -algebra?

**Question 2:** Classify generalized universal irrational rotation algebras  $\mathcal{A}_{\theta, \gamma}$ , presumably in terms of zero points of  $\gamma(z)$ .




# REFERENCE

-  [1] Avila, A; Jitomirskaya, S., *The ten martini problem*, *Ann. of Math.*, (2) 170 (2009), no. 1, 303-342.

# REFERENCE





-  [1] Avila, A; Jitomirskaya, S., *The ten martini problem*, *Ann. of Math.*, (2) 170 (2009), no. 1, 303-342.
-  [2] Avila, A; Krikrian, R., *Reducibility or non-uniform hyperbolicity for quasiperiodic Schrödinger cocycles*, *Ann. of Math.* 164 (2006), 911-940.

# REFERENCE






-  [1] Avila, A; Jitomirskaya, S., *The ten martini problem*, *Ann. of Math.*, (2) 170 (2009), no. 1, 303-342.
-  [2] Avila, A; Krikrian, R., *Reducibility or non-uniform hyperbolicity for quasiperiodic Schrödinger cocycles*, *Ann. of Math.* 164 (2006), 911-940.
-  [3] Brown, L.G., Lidskii's theorem in the type II case, *Geometric methods in operator algebras*, H.Araki and E.Effros (Eds) Pitman Res. Notes Math. Ser 123 (1986), 1-35.



# REFERENCE

-  [1] Avila, A; Jitomirskaya, S., *The ten martini problem*, *Ann. of Math.*, (2) 170 (2009), no. 1, 303-342.
-  [2] Avila, A; Krikrian, R., *Reducibility or non-uniform hyperbolicity for quasiperiodic Schrödinger cocycles*, *Ann. of Math.* 164 (2006), 911-940.
-  [3] Brown, L.G., Lidskii's theorem in the type II case, *Geometric methods in operator algebras*, H.Araki and E.Effros (Eds) Pitman Res. Notes Math. Ser 123 (1986), 1-35.
-  [4] Biane, P; Lehner, F., *Computation of some examples of Brown's spectral measure in free probability*, *Colloq. Math.*, 90(2001), 181-211.

# REFERENCE



-  [1] Avila, A; Jitomirskaya, S., *The ten martini problem*, *Ann. of Math.*, (2) 170 (2009), no. 1, 303-342.
-  [2] Avila, A; Krikorian, R., *Reducibility or non-uniform hyperbolicity for quasiperiodic Schrödinger cocycles*, *Ann. of Math.* 164 (2006), 911-940.
-  [3] Brown, L.G., Lidskii's theorem in the type II case, *Geometric methods in operator algebras*, H.Araki and E.Effros (Eds) Pitman Res. Notes Math. Ser 123 (1986), 1-35.
-  [4] Biane, P; Lehner, F., *Computation of some examples of Brown's spectral measure in free probability*, *Colloq. Math.*, 90(2001), 181-211.
-  [5] B ellissard, J.; Simon, B., *Cantor spectrum for the almost Mathieu equation*, *J. Funct. Anal*, 48 (1982), no. 3, 408-419.

## REFERENCE






[6] Choi, M-D.; Elliott, G. A ; Yui, N. *Gauss polynomials and the rotation algebra*. Invent. Math. 99 (1990). no. 2, 225-246.





# REFERENCE

-  [6] Choi, M-D.; Elliott, G. A ; Yui, N. *Gauss polynomials and the rotation algebra*. Invent. Math. 99 (1990). no. 2, 225-246.
-  [7] Davidson, K. R.; Fields Institute Monographs, 6. American Mathematical Society, Providence. RI, 1996.






# REFERENCE

-  [6] Choi, M-D.; Elliott, G. A ; Yui, N. *Gauss polynomials and the rotation algebra*. Invent. Math. 99 (1990). no. 2, 225-246.
-  [7] Davidson, K. R.; Fields Institute Monographs, 6. American Mathematical Society, Providence. RI, 1996.
-  [8] Elliott, G. A.; Evans, D.E., *The structure of the irrational rotation-algebra*. Ann. of Math. (2) 138 (1993), no. 3, 477C501.


# REFERENCE

-  [6] Choi, M-D.; Elliott, G. A ; Yui, N. *Gauss polynomials and the rotation algebra*. Invent. Math. 99 (1990). no. 2, 225-246.
-  [7] Davidson, K. R.; Fields Institute Monographs, 6. American Mathematical Society, Providence. RI, 1996.
-  [8] Elliott, G. A.; Evans, D.E., *The structure of the irrational rotation-algebra*. Ann. of Math. (2) 138 (1993), no. 3, 477C501.
-  [9] Exel, R.; *Circle actions on  $C^*$ -algebras, partial automorphisms, and a generalized Pimsner-Voiculescu exact sequence* J.Funct Anal. 122 (1994), no. 2, 361401.

# REFERENCE



-  [6] Choi, M-D.; Elliott, G. A ; Yui, N. *Gauss polynomials and the rotation algebra*. Invent. Math. 99 (1990). no. 2, 225-246.
-  [7] Davidson, K. R.; Fields Institute Monographs, 6. American Mathematical Society, Providence. RI, 1996.
-  [8] Elliott, G. A.; Evans, D.E., *The structure of the irrational rotation-algebra*. Ann. of Math. (2) 138 (1993), no. 3, 477C501.
-  [9] Exel, R.; *Circle actions on  $C^*$ -algebras, partial automorphisms, and a generalized Pimsner-Voiculescu exact sequence* J.Funct Anal. 122 (1994), no. 2, 361401.
-  [10] Fuglede, B,; Kadison, R., *Determinant theory in finite factors*, Ann. of Math., 55(3) 1952, 520-530.

## REFERENCE




-  [11] Haagerup, U.; Larsen, F.; *Brown's spectral distribution measure for  $R$ -diagonal elements in finite von Neumann algebras*, J. Funct. Anal. 176(2000), 331-367.







# REFERENCE

-  [11] Haagerup, U.; Larsen, F.; *Brown's spectral distribution measure for  $R$ -diagonal elements in finite von Neumann algebras*, J. Funct. Anal. 176(2000), 331-367.
-  [12] Helffer, B.; Sjöstrand., *Semiclassical analysis for Harper's equation. III. Cantor structure of the spectrum*. Mem. Soc. Math. France (N.S), No. 39 (1989),1-124.

# REFERENCE

-  [11] Haagerup, U.; Larsen, F.; *Brown's spectral distribution measure for  $R$ -diagonal elements in finite von Neumann algebras*, J. Funct. Anal. 176(2000), 331-367.
-  [12] Helffer, B.; Sjöstrand., *Semiclassical analysis for Harper's equation. III. Cantor structure of the spectrum*. Mem. Soc. Math. France (N.S), No. 39 (1989),1-124.
-  [13] Haagerup, U.; Schultz, H.; *Invariant subspaces for operators on Hilbert space*. Publ. Math. Inst. Hautes Études Sci. No. 109 (2009), 19-111.

# REFERENCE



-  [11] Haagerup, U.; Larsen, F.; *Brown's spectral distribution measure for  $R$ -diagonal elements in finite von Neumann algebras*, J. Funct. Anal. 176(2000), 331-367.
-  [12] Helffer, B.; Sjöstrand., *Semiclassical analysis for Harper's equation. III. Cantor structure of the spectrum*. Mem. Soc. Math. France (N.S), No. 39 (1989),1-124.
-  [13] Haagerup, U.; Schultz, H.; *Invariant subspaces for operators on Hilbert space*. Publ. Math. Inst. Hautes Études Sci. No. 109 (2009), 19-111.
-  [14] Jones, V. F. R., *Index for subfactors*, Invent. Math., 72:1-25, 1983.

## REFERENCE






[15] Jiang, C-L, Wang, Z-Y., *Strongly irreducible operators on Hilbert space. Pitman Research Notes in Mathematics Series*, 389. Longman, Harlow, 1998. x+243 pp.





## REFERENCE

-  [15] Jiang, C-L, Wang, Z-Y., *Strongly irreducible operators on Hilbert space. Pitman Research Notes in Mathematics Series*, 389. Longman, Harlow, 1998. x+243 pp.
-  [16] Jiang, C-L, Wang, Z-Y., *Structure of Hilbert space operators. World Scientific Publishing Co. Pte. Ltd., Hackensack, NJ*, 2006. x+248 pp.






## REFERENCE

-  [15] Jiang, C-L, Wang, Z-Y., *Strongly irreducible operators on Hilbert space. Pitman Research Notes in Mathematics Series*, 389. Longman, Harlow, 1998. x+243 pp.
-  [16] Jiang, C-L, Wang, Z-Y., *Structure of Hilbert space operators. World Scientific Publishing Co. Pte. Ltd., Hackensack, NJ*, 2006. x+248 pp.
-  [17] Last, Y., *Spectral theory of Sturm-Liouville operators on infinite intervals: a review of recent developments. Sturm-Liouville theory*, 99-120, Birkhäuser, Basel, 2005.

## REFERENCE

-  [15] Jiang, C-L, Wang, Z-Y., *Strongly irreducible operators on Hilbert space. Pitman Research Notes in Mathematics Series*, 389. Longman, Harlow, 1998. x+243 pp.
-  [16] Jiang, C-L, Wang, Z-Y., *Structure of Hilbert space operators. World Scientific Publishing Co. Pte. Ltd., Hackensack, NJ*, 2006. x+248 pp.
-  [17] Last, Y., *Spectral theory of Sturm-Liouville operators on infinite intervals: a review of recent developments. Sturm-Liouville theory*, 99-120, Birkhäuser, Basel, 2005.
-  [18] Peierls, R., Zur Theorie Des Diamagnetismus von Leitungselektronen *Z.Phys.* 80, 763-791. (1933).

## REFERENCE

-  [15] Jiang, C-L, Wang, Z-Y., *Strongly irreducible operators on Hilbert space. Pitman Research Notes in Mathematics Series*, 389. Longman, Harlow, 1998. x+243 pp.
-  [16] Jiang, C-L, Wang, Z-Y., *Structure of Hilbert space operators. World Scientific Publishing Co. Pte. Ltd., Hackensack, NJ*, 2006. x+248 pp.
-  [17] Last, Y., *Spectral theory of Sturm-Liouville operators on infinite intervals: a review of recent developments. Sturm-Liouville theory*, 99-120, Birkhäuser, Basel, 2005.
-  [18] Peierls, R., Zur Theorie Des Diamagnetismus von Leitungselektronen *Z.Phys.* 80, 763-791. (1933).
-  [19] Popa, S., On a problem of R.V. Kadison *on maximal abelian \*-subalgebras in factors*, *Invent. Math.* 65 (1981) 269-281.





# REFERENCE






[20] Pimsner, M.; Popa. S.; *Entropy and index for subfactors*. Ann. Sci. École Norm. Sup (4)19(1986), no. 1, 57C106.





# REFERENCE

-  [20] Pimsner, M.; Popa. S.; *Entropy and index for subfactors*. Ann. Sci. École Norm. Sup (4)19(1986), no. 1, 57C106.
-  [21] Puig, J., *Cantor spectrum for the almost Mathieu operator*. Comm. Math, Phys. 244 (2004), no. 2, 297-309.






# REFERENCE

-  [20] Pimsner, M.; Popa. S.; *Entropy and index for subfactors*. Ann. Sci. École Norm. Sup (4)19(1986), no. 1, 57C106.
-  [21] Puig, J., *Cantor spectrum for the almost Mathieu operator*. Comm. Math, Phys. 244 (2004), no. 2, 297-309.
-  [22] Pimsner, M.; Voiculescu, D., *Imbedding the irrational rotation  $C^*$ -algebra into an AF-algebra*. J. Operator Theory 4(1980), no. 2, 201-210.

# REFERENCE

-  [20] Pimsner, M.; Popa. S.; *Entropy and index for subfactors*. Ann. Sci. École Norm. Sup (4)19(1986), no. 1, 57C106.
-  [21] Puig, J., *Cantor spectrum for the almost Mathieu operator*. Comm. Math, Phys. 244 (2004), no. 2, 297-309.
-  [22] Pimsner, M.; Voiculescu, D., *Imbedding the irrational rotation  $C^*$ -algebra into an AF-algebra*. J. Operator Theory 4(1980), no. 2, 201-210.
-  [23] Rieffel. M. A.,  *$C^*$ -algebras associated with irrational rotations*. Pacific J. Math. 93 (1981), no.2, 415-429.

# REFERENCE

-  [20] Pimsner, M.; Popa. S.; *Entropy and index for subfactors*. Ann. Sci. École Norm. Sup (4)19(1986), no. 1, 57C106.
-  [21] Puig, J., *Cantor spectrum for the almost Mathieu operator*. Comm. Math, Phys. 244 (2004), no. 2, 297-309.
-  [22] Pimsner, M.; Voiculescu, D., *Imbedding the irrational rotation  $C^*$ -algebra into an AF-algebra*. J. Operator Theory 4(1980), no. 2, 201-210.
-  [23] Rieffel. M. A.,  *$C^*$ -algebras associated with irrational rotations*. Pacific J. Math. 93 (1981), no.2, 415-429.
-  [24] Simon, B., *Schrödinger operators in the twenty-first century*, Mathematical physics, 2000, 283-288. Imp. Coll. Press, London, 2000.