

# Recent results in operator dilation theory and applications

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# Dilations

$$A = (A_1, \dots, A_d) \in B(\mathcal{H})^d$$
$$B = (B_1, \dots, B_d) \in B(\mathcal{K})^d, \text{ where } \mathcal{K} \supset \mathcal{H}$$

## Definition

$A$  is said to be a **compression** of  $B$  if

$$A_i = P_{\mathcal{H}} B_i|_{\mathcal{H}} \text{ for all } i = 1, \dots, d$$

We then say that  $B$  is a **dilation** of  $A$ , and we write  $A \prec B$ .

Equivalently

$$B_i = \begin{pmatrix} A_i & * \\ * & * \end{pmatrix}$$

# Classical dilation theorems

## Theorem (Halmos, 1950)

If  $T \in B(\mathcal{H})$  is a contraction, then

$$U = \begin{pmatrix} T & \sqrt{1 - TT^*} \\ \sqrt{1 - T^*T} & -T^* \end{pmatrix}$$

is a unitary dilation of  $T$ .

## Theorem (Sz.-Nagy, 1953)

If  $T \in B(\mathcal{H})$  is a contraction, then there is a Hilbert space  $\mathcal{K} \supset \mathcal{H}$  and a unitary  $U \in B(\mathcal{K})$  such that

$$T^m = P_{\mathcal{H}} U^m|_{\mathcal{H}} \text{ for all } m \geq 0$$

And more ...

# A new kind of dilation theorem

Theorem (Helton, Klep, McCullough, Schweighofer, 2019)

Fix  $n$  and a real  $n$ -dimensional Hilbert space  $\mathcal{H}$ .

There exists a constant  $\vartheta_n$ , a Hilbert space  $\mathcal{K}$ , an isometry  $V : \mathcal{H} \rightarrow \mathcal{K}$ , and a commuting family  $\mathcal{C}$  in the unit ball of  $B(\mathcal{K})_{sa}$  such that for every contraction  $A \in B(\mathcal{H})_{sa}$ , there exists  $N \in \mathcal{C}$  such that

$$\frac{1}{\vartheta_n} A = V^* N V$$

They also show find the optimal  $\vartheta_n$ , and show (!)

$$\vartheta_n \sim \frac{\sqrt{\pi n}}{2}$$

The dimension of matrices is fixed at  $n \times n$ , but the number of matrices being simultaneously dilated is **not** fixed.

# A new kind of dilation theorem (reformulated)

Theorem (Helton, Klep, McCullough, Schweighofer, 2019)

Fix  $n$  and a real  $n$ -dimensional Hilbert space  $\mathcal{H}$ . There exists a constant  $\vartheta_n$ , a Hilbert space  $\mathcal{K}$ , such that for every con.  $A \in B(\mathcal{H})_{sa}^d$  there is a  $d$ -tuple of **commuting normal** contractions  $N \in B(\mathcal{K})_{sa}^d$  such that

$$\frac{1}{\vartheta_n} A \prec N$$

Questions one is led to ask:

- Why?
- Complex numbers?
- Is there a constant independent of  $n = \dim \mathcal{H}$ ?
- Can we obtain sharper control on the joint spectrum of  $N$ ?
- If  $d < \infty$  and  $\dim \mathcal{H} < \infty$ , can we do with  $\dim \mathcal{K} < \infty$ ?

# A new kind of dilation theorem (reformulated)

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# Matrix convex sets

We consider nc sets

$$\mathcal{S} = \bigsqcup_{n=1}^{\infty} \mathcal{S}_n \subset \bigsqcup_{n=1}^{\infty} (M_n(\mathbb{C}))_{sa}^d$$

## Definition

The set  $\mathcal{S}$  is **matrix convex** if the following conditions hold:

1. If  $A \in \mathcal{S}_m$  and  $B \in \mathcal{S}_n$ , then

$$A \oplus B = (A_1 \oplus B_1, \dots, A_d \oplus B_d) \in \mathcal{S}_{m+n}$$

2. If  $A \in \mathcal{S}_n$ , and  $\phi \in UCP(M_n, M_m)$ , then

$$\phi(A) = (\phi(A_1), \dots, \phi(A_d)) \in \mathcal{S}_m$$

# Matrix convex sets

## Equivalent definition

A nc  $\mathcal{S}$  set is said to be **matrix convex** if whenever  $A^{(j)} \in \mathcal{S}_{n_j}$  and  $V_j \in M_{n_j, n}$  for  $j = 1, \dots, k$  such that  $\sum_{j=1}^k V_j^* V_j = I_n$ , then

$$\sum_{j=1}^k V_j^* A^{(j)} V_j = \sum_{j=1}^k (V_j^* A_1^{(j)} V_j, \dots, V_j^* A_d^{(j)} V_j) \in \mathcal{S}_n$$

**Every level of a matrix convex set is convex:** if  $A^{(1)}, \dots, A^{(k)} \in \mathcal{S}_n$ ,  $\sum_j t_j = 1$ , put  $V_j = \sqrt{t_j} I_n$ , then  $\sum_{j=1}^k V_j^* V_j = \sum t_j I_n = I_n$ , and

$$\sum_j t_j A^{(j)} = \sum_{j=1}^k V_j^* A^{(j)} V_j \in \mathcal{S}_n$$

**But more is true:** Every level is invariant under unitary conjugation, and different levels are also related.



# Example: Free spectrahedra

## Example

For every  $A \in B(\mathcal{H})^d$ , we define its **free spectrahedron** to be the free set

$$\mathcal{D}_A = \left\{ X \in \bigsqcup_{n=1}^{\infty} (M_n(\mathbb{C}))_{sa}^d : \sum_{j=1}^d X_j \otimes A_j \leq I \right\}.$$

Every free spectrahedron is matrix convex set.

The set  $\mathcal{D}_A(1) \subset \mathbb{R}^d$  is called a **spectraderon**.

## Example

$[-1, 1]^d$  is a spectrahedron  $= \mathcal{D}_C(1)$ , where  $C$  as on the board.

**Note:**  $\mathcal{D}_C = d$ -tuples of self-adjoint contractions.

# Relaxation of the matrix cube problem

**Matrix Cube Problem:** Given  $A$ , determine whether  $[-1, 1]^d \subseteq \mathcal{D}_A(1)$  ?

HKM observed that the inclusion problem for free spectrahedra is equivalent to **UCP interpolation problem**, thus more tractable than that for spectrahedra.

HKMS prove for  $A \in M_n^d$ :

$$[-1, 1]^d \subseteq \mathcal{D}_A(1) \Rightarrow \mathcal{D}_C \subseteq \vartheta_n \mathcal{D}_A$$

Indeed: if  $X \in \mathcal{D}_C(n)$ , then by their dilation theorem  $X \prec \vartheta_n N$ , and  $\sigma(N) \subseteq [-1, 1]^d \subseteq \mathcal{D}_A(1)$ . So

$$\sum X_j \otimes A_j \prec \vartheta_n \sum N_j \otimes A_j \leq \vartheta_n I$$

**Matricial relaxation of the (NP hard) MCP:** Test  $\mathcal{D}_C \subseteq \vartheta_n \mathcal{D}_A$ . If yes, then  $[-1, 1]^d \subseteq \vartheta_n \mathcal{D}_A(1)$ . If not, then  $[-1, 1]^d \not\subseteq \mathcal{D}_A(1)$ .

# Example: Matrix ranges

## Example

For every  $A \in B(\mathcal{H})^d$ , we define its **matrix range** to be the free set

$$\begin{aligned} \mathcal{W}(A) &= \cup_n \{ \phi(A) : \phi \in UCP(C^*(A), M_n) \} \\ &= \cup_n \{ (\phi(A_1), \dots, \phi(A_d)) : \phi \in UCP(C^*(A), M_n) \}. \end{aligned}$$

The matrix range of a tuple  $A$  is always a closed and bounded matrix convex set.

Every bounded and closed matrix convex set  $\mathcal{S}$  arises as  $\mathcal{W}(A)$  for some  $A \in B(\mathcal{H})^d$  (but maybe  $\dim \mathcal{H} = \infty$ ).

# Matrix ranges and UCP interpolation

**UCP interpolation problem:** On the board ←

Theorem (DDSS '16 ← Arveson '72; Dual: HKM '13, AG '15, Zalar 17)

Let  $A \in B(\mathcal{H})^d$  and  $B \in B(\mathcal{K})^d$ . There exists a UCP map  $OS(A) \rightarrow OS(B)$  sending  $A_i$  to  $B_i$  if and only if  $\mathcal{W}(B) \subseteq \mathcal{W}(A)$ .

Corollary (Li and Poon, 2011 (for selfadjoint matrices))

If  $A$  and  $B$  are **normal**, then there exists a UCP map  $OS(A) \rightarrow OS(B)$  sending  $A_i$  to  $B_i$  if and only if  $\sigma(B) \subseteq \text{conv } \sigma(A)$ .

**Our proof:** We showed that for a normal tuple  $A$

$$\mathcal{W}(A) = \mathcal{W}^{\min}(\text{conv}(A))$$

## Matrix ranges and UCP interpolation (cont.)

Theorem (DDSS '16 ← Arveson '72; Dual: HKM '13, AG '15, Zalar 17)

Let  $A \in B(\mathcal{H})^d$  and  $B \in B(\mathcal{K})^d$ . There exists a UCP map  $OS(A) \rightarrow OS(B)$  sending  $A_i$  to  $B_i$  if and only if  $\mathcal{W}(B) \subseteq \mathcal{W}(A)$ .

## Corollary

Let  $A \in B(\mathcal{H})^d$  and  $B \in B(\mathcal{K})^d$ . There exists a unital completely isometric map  $OS(A) \rightarrow OS(B)$  sending  $A_i$  to  $B_i$  if and only if  $\mathcal{W}(B) = \mathcal{W}(A)$ .

## Definition

A tuple  $A \in B(\mathcal{H})^d$  is said to be **incompressible** if there is no subspace  $\mathcal{H}_0 \subset \mathcal{H}$  such that  $\mathcal{W}(P_{\mathcal{H}_0} A|_{\mathcal{H}_0}) = \mathcal{W}(A)$ .

Theorem (Passer-S. 2019)

Let  $A, B$  be two **incompressible**  $d$ -tuples of compact operators. Then  $\mathcal{W}(A) = \mathcal{W}(B)$  if and only if  $A$  and  $B$  are unitarily equivalent.

# Minimal and maximal matrix convex sets

Given a matrix convex set  $\mathcal{S}$ , the "first level"  $K = \mathcal{S}_1$  is a convex set. Conversely, over every convex set  $K \subseteq \mathbb{C}^d$  there is a matrix convex set  $\mathcal{S}$  such that  $\mathcal{S}_1 = K$ .

In fact, there are minimal and maximal matrix convex sets  $\mathcal{W}^{\min}(K)$  and  $\mathcal{W}^{\max}(K)$  over every  $K$ .

We define  $\theta(K)$  to be the minimal constant  $c$  such that

$$\mathcal{W}^{\max}(K) \subseteq c\mathcal{W}^{\min}(K)$$

## Theorem (Passer-S-Solel, 2017)

- (i)  $\theta(\overline{\mathbb{B}}_{p,d}) = d^{1-|1/p-1/2|}$ .
- (ii)  $\theta(K) = 1$  if and only if  $K$  is a simplex.

An example:  $K = \overline{\mathbb{D}}$ 

Let  $K = \overline{\mathbb{D}} \subset \mathbb{C}$ .

$$\mathcal{W}^{\min}(\overline{\mathbb{D}}) = \{X \in \sqcup_n M_n : \|X\| \leq 1\}$$

Why? Because  $\mathcal{W}^{\min}(\overline{\mathbb{D}})$  contains  $\overline{\mathbb{D}}$ , so contains direct sums = all normals with spectrum in  $\overline{\mathbb{D}}$ , so contains **all compressions of unitaries** = all contractions.

$\mathcal{W}^{\max}(\overline{\mathbb{D}})$  is the set of all operators such that  $\sum_j V_j^* X^{(j)} V_j \in \overline{\mathbb{D}}$  for sequences  $V_j \in M_{n_j,1} \cong \mathbb{C}^{n_j}$  satisfying  $\sum V_j^* V_j = 1$ .

In particular for all  $X \in \mathcal{W}^{\max}(\overline{\mathbb{D}})$  and all  $\|v\| = 1$ ,

$$v^* X v = \langle X v, v \rangle \in \overline{\mathbb{D}}$$

It turns out that

$$\mathcal{W}^{\max}(\overline{\mathbb{D}}) = \text{All matrices } X \text{ with numerical range } W(X) \subseteq \overline{\mathbb{D}}$$

# Minimal and maximal matrix convex sets

The ground level of a matrix convex set is  $K \subseteq \mathbb{R}^d$  (compact and convex).

## Characterization of $\mathcal{W}^{\min}$

$\mathcal{W}^{\min}(K) = \{T : \exists \text{ a commuting normal dilation } N \text{ of } T, \sigma(N) \subseteq K\}$ .

$(x_1, \dots, x_d) \in K \xrightarrow{\oplus}$  tuples of diagonal matrices,  $\sigma \subseteq K \xrightarrow{\text{conjugation}}$   
 commuting normal tuples,  $\sigma \subseteq K \xrightarrow{\text{compression}}$  the current definition.

## Characterization of $\mathcal{W}^{\max}$

$\mathcal{W}^{\max}(K) = \{T : \sum a_i T_i \leq c \cdot I \text{ for every real linear inequality } \sum a_i x_i \leq c \text{ that is satisfied for every } (x_1, \dots, x_d) \in K\}$ .



## Dilations via matrix convex sets

**Conclusion:** for compact and convex  $K$  and  $L$ , the inclusion

$$\mathcal{W}^{\max}(K) \subseteq \mathcal{W}^{\min}(L)$$

(perhaps with  $L$  a multiple of  $K$ ) is a very general matrix dilation result: "If a tuple of matrices **satisfies the linear inequalities** that determine  $K$ , it has a commuting normal dilation with **joint spectrum** in  $L$ ."

## Theorem (DDSS, 2016)

Suppose that  $K \subseteq \mathbb{R}^d$  where  $K$  **has nice symmetry or invariance properties** (for example  $K = -K$ ). Then

$$\mathcal{W}^{\max}(K) \subset d \cdot \mathcal{W}^{\min}(K)$$

Alternatively: for  $T \in B(\mathcal{H})^d$ , if the **numerical range**  $\mathcal{W}_1(T)$

$$\mathcal{W}_1(T) = \{\phi(T) : \phi \in UCP(B(\mathcal{H}), \mathbb{C})\} \subseteq K$$

then  $T$  has a normal dilation  $N$  with  $\sigma(N) \subseteq d \cdot K$ .

## Normal dilation with norm constraints

## Problem

What is the minimal constant  $C_d$ , such that for every  $d$ -tuple  $A = (A_1, \dots, A_d)$  of contractions, there exists a  $d$ -tuple of **commuting normals**  $N = (N_1, \dots, N_d)$  such that

$$A \prec N$$

and  $\|N_i\| \leq C_d$  for  $i = 1, \dots, d$ ?

It is not hard to show that  $C_d \leq d$  (HKMS, DDSS).

## Known results

## Theorem (Passer-S.-Solel 2018)

For every  $d$ -tuple  $A = (A_1, \dots, A_d)$  of *selfadjoint contractions*, there exists a  $d$ -tuple of commuting *selfadjoints*  $N = (N_1, \dots, N_d)$  with  $\|N_i\| \leq \sqrt{d}$  for  $i = 1, \dots, d$ , such that  $N$  is a dilation of  $A$ .

Moreover,  $\sqrt{d}$  is the optimal constant for selfadjoints.

**Corollary:**  $\mathcal{W}^{\max}([-1, 1]^d) \subseteq \sqrt{d} \cdot \mathcal{W}^{\min}([-1, 1]^d) \Leftrightarrow \theta(\mathbb{B}_{\infty, d}) = \sqrt{d}$

## Theorem (Passer 2018)

For every  $d$ -tuple  $A = (A_1, \dots, A_d)$  of *contractions*, there exists a  $d$ -tuple of commuting *normal operators*  $N = (N_1, \dots, N_d)$  with  $\|N_i\| \leq \sqrt{2d}$  for  $i = 1, \dots, d$ , such that  $N$  is a dilation of  $A$ .

Thus

$$\sqrt{d} \leq C_d \leq \sqrt{2d}$$

## A modified problem: $q$ -commuting unitaries

With undergrads M. Ben-Efraim and Y. Yifrach we tried to numerically test the “conjecture” that  $C_d = \sqrt{d}$ .

We found some (randomly chosen) counter-examples, that showed that  $C_2 > 1.03 \times \sqrt{2}$ .

Rare, structured  $\implies$  we were led to consider  $q$ -commuting unitaries, that is, pairs of unitary matrices  $u, v$  that satisfy

$$vu = quv$$

for some  $q = e^{i\theta} \in \mathbb{T}$ . Numerically:  $\theta = \frac{2\pi}{3}$  gives a counter example.

### Problem

Let  $\theta \in \mathbb{R}$  and  $q = e^{i\theta}$ . What is the minimal constant  $c_\theta$ , such that for pair  $u, v$  of  $q$ -commuting unitaries, there exists a pair  $U, V$  of commuting unitaries, such that  $(u, v) \prec (c_\theta U, c_\theta V)$  ?



# Where do $q$ -commuting unitaries arise?

**C\*-algebras (Rieffel 1978):** For  $q = e^{i\theta}$ , and define  $A_\theta$  to be the **universal C\*-algebra** generated by two unitaries  $u_\theta, v_\theta$  satisfying

$$v_\theta u_\theta = q u_\theta v_\theta$$

The family  $\{A_\theta : \theta \in \mathbb{R}\}$  — the **rotation algebras** — is a very important family of C\*-algebras.  $A_0 = C(\mathbb{T}^2)$ . For  $\theta \neq 2\pi k$  ( $k \in \mathbb{Z}$ ),  $A_\theta$  is not commutative, and is referred to as the **noncommutative torus**.

**Physics (Weyl, ancient):**  $Q, P$  position and momentum operators,  $[Q, P] = i$ . Form two unitary semigroups:

$$U(t) = e^{itQ}, \quad V(t) = e^{itP}$$

For all  $s, t \in \mathbb{R}$

$$U(t)V(s) = e^{-ist}V(s)U(t)$$

# A Schrödinger operator from $q$ -commuting unitaries

D. Hofstadter, "Energy levels... of Bloch electrons ...", Phys. Rev. B. 1976

With all these substitutions, our Schrödinger equation turns into a one-dimensional difference equation:

$$g(m+1) + g(m-1) + 2 \cos(2\pi m\alpha - \nu)g(m) = \epsilon g(m).$$

Letting  $2\pi\alpha = \theta$ , we seek the spectrum ;-) of the operator  $H : \ell^2 \rightarrow \ell^2$ :

$$Hg(m) = g(m+1) + g(m-1) + 2 \cos(m\theta - \nu)g(m)$$

for  $g = (g(m))_{m \in \mathbb{Z}} \in \ell^2(\mathbb{Z})$ . Note that

$$H = V_\theta + V_\theta^* + e^{-i\nu}U_\theta + e^{i\nu}U_\theta^*$$

**Fun fact:** essentially

$$H \approx h_\theta := v_\theta + v_\theta^* + u_\theta + u_\theta^*$$

# Hofstadter's puzzle

Hofstadter:  $\theta = 2\pi\alpha = 2\pi\frac{p}{q} \implies$  spectrum is union of  $q$  intervals\*.

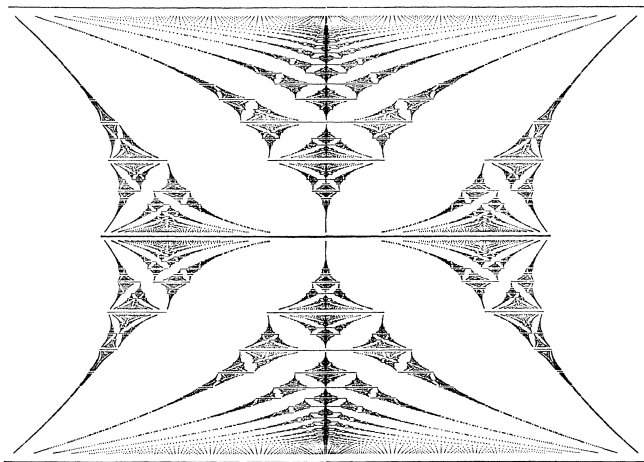
$\epsilon$  axis (one region centered on each root). This is indeed the case, and is the basis for a very striking (and at first disturbing) fact about this problem: when  $\alpha = p/q$ , the Bloch band always breaks up into precisely  $q$  distinct energy bands. Since small variations in the magnitude of  $\alpha$  can produce enormous fluctuations in the value of the denominator  $q$ , one is apparently faced with an unacceptable physical prediction. However, nature is ingenious enough to find a way out of this apparent anomaly. Before we go into the resolution,

\* -  $q$  odd (no relation to "q-commuting", sorry!)



# Hofstadter's Butterfly

"... the eye sees something rather continuous." – H.



Spectrum of  $h_\theta = u_\theta + u_\theta^* + v_\theta + v_\theta^*$

# Problems in the field of rotations algebras

Looking at the butterfly, Hofstadter (and others) made some claims about the spectrum  $\sigma(h_\theta)$  of  $h_\theta$ :

- (i) The spectrum is continuous.
- (ii) The spectrum is a fractal with some concrete self-similarities.
- (iii) For a rational angle  $\alpha = \frac{\theta}{2\pi} = \frac{k}{2m+1}$  or  $\frac{k}{2m+2}$ , the spectrum consists of  $2m + 1$  intervals.
- (iv) For an irrational angle  $\alpha = \frac{\theta}{2\pi}$ , the spectrum is a Cantor set.

This gave a lot of food for thought for mathematicians for years to come.

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## Back to dilation of $q$ -commuting unitaries

**Our goal:** to dilate  $q$ -commuting unitaries to  $\text{const} \times$  commuting unitaries.

**Instead:** dilate  $q$ -commuting unitaries to  $\text{const} \times q'$ -commuting unitaries.

### Theorem (Gerhold and Shalit)

*Let  $\theta, \theta' \in \mathbb{R}$ , set  $q = e^{i\theta}$ ,  $q' = e^{i\theta'}$ , and put  $c = e^{\frac{1}{4}|\theta - \theta'|}$ . Then for any pair of  $q$ -commuting unitaries  $U, V$  there exists a pair of  $q'$ -commuting unitaries  $U', V'$  such that  $(U, V) \prec (cU', cV')$ .*

### Proof idea:

- 1) Using Weyl unitaries construct a **a particular pair** of  $q'$ -commuting unitaries. Check that compress to a  $c \times q$ -commuting unitaries.
- 2) That's enough! Because Weyl unitaries give the universal representation of the rotation algebras (+ Stinespring's theorem).

# Proof of the $\theta$ to $\theta'$ dilation theorem

For a Hilbert space  $H$  define the **symmetric Fock space** over  $H$

$$\Gamma(H) := \bigoplus_{k=0}^{\infty} H^{\otimes_s k}$$

Define the **exponential vectors**

$$e(x) := \sum_{k=0}^{\infty} \frac{1}{\sqrt{k!}} x^{\otimes k}, x \in H$$

they form a linearly independent and total subset of  $\Gamma(H)$ .

Note:  $\langle e(x), e(y) \rangle = e^{\langle x, y \rangle}$  for all  $x, y \in H$ .

For  $z \in H$  we define the **Weyl unitary**  $W(z) \in B(\Gamma(H))$  by

$$W(z)e(x) = e(z+x) \exp\left(-\frac{\|z\|^2}{2} - \langle z, x \rangle\right)$$

A simple calculation shows:

$$W(y)W(z) = e^{2i \operatorname{Im}\langle z, y \rangle} W(z)W(y).$$

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**Proof:** Consider  $H \subset K$  with  $p : K \rightarrow H$ , and the symmetric Fock spaces  $\Gamma(H) \subset \Gamma(K)$  with  $P : \Gamma(K) \rightarrow \Gamma(H)$ .

Direct calculations show: for  $y, z \in K$ , the Weyl unitaries  $W(y), W(z)$  satisfy:

- (1)  $W(z), W(y)$  commute up to the phase factor  $e^{2i \operatorname{Im}\langle z, y \rangle}$ .
- (2)  $PW(z)|_{\Gamma(H)} = e^{-\frac{\|p^\perp z\|^2}{2}} W(pz)$ , so it is a scalar multiple of a unitary on  $\Gamma(H)$ .
- (3)  $PW(z)|_{\Gamma(H)}, PW(y)|_{\Gamma(H)}$  commute up to the phase factor  $e^{2i \operatorname{Im}\langle pz, py \rangle} = e^{2i \operatorname{Im}\langle z, py \rangle}$ .

Remains to show that things can be arranged so that everything works out.

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**Proof:** Consider  $H \subset K$  with  $p : K \rightarrow H$ , and the symmetric Fock spaces  $\Gamma(H) \subset \Gamma(K)$  with  $P : \Gamma(K) \rightarrow \Gamma(H)$ .

Direct calculations show: for  $y, z \in K$ , the Weyl unitaries  $W(y), W(z)$  satisfy:

- (1)  $W(z), W(y)$  commute up to the phase factor  $e^{2i \operatorname{Im}\langle z, y \rangle}$ .
- (2)  $PW(z)|_{\Gamma(H)} = e^{-\frac{\|p^\perp z\|^2}{2}} W(pz)$ , so it is a scalar multiple of a unitary on  $\Gamma(H)$ .
- (3)  $PW(z)|_{\Gamma(H)}, PW(y)|_{\Gamma(H)}$  commute up to the phase factor  $e^{2i \operatorname{Im}\langle pz, py \rangle} = e^{2i \operatorname{Im}\langle z, py \rangle}$ .

Remains to show that things can be arranged so that everything works out.



## Theorem (Gerhold and Shalit)

Let  $\theta, \theta' \in \mathbb{R}$ , set  $q = e^{i\theta}$ ,  $q' = e^{i\theta'}$ , and put  $c = e^{\frac{1}{4}|\theta - \theta'|}$ . Then for any pair of  $q$ -commuting unitaries  $U, V$  there exists a pair of  $q'$ -commuting unitaries  $U', V'$  such that  $cU', cV'$  dilates  $U, V$ .

**Proof:** Consider  $H \subset K$  with  $p : K \rightarrow H$ , and the symmetric Fock spaces  $\Gamma(H) \subset \Gamma(K)$  with  $P : \Gamma(K) \rightarrow \Gamma(H)$ .

Direct calculations show: for  $y, z \in K$ , the Weyl unitaries  $W(y), W(z)$  satisfy:

- (1)  $W(z), W(y)$  commute up to the phase factor  $e^{2i \operatorname{Im}\langle z, y \rangle}$ .
- (2)  $PW(z)|_{\Gamma(H)} = e^{-\frac{\|p^\perp z\|^2}{2}} W(pz)$ , so it is a scalar multiple of a unitary on  $\Gamma(H)$ .
- (3)  $PW(z)|_{\Gamma(H)}, PW(y)|_{\Gamma(H)}$  commute up to the phase factor  $e^{2i \operatorname{Im}\langle pz, py \rangle} = e^{2i \operatorname{Im}\langle z, py \rangle}$ .

Remains to show that things can be arranged so that everything works out.

# An application

We wish to study continuity of  $\theta \mapsto \sigma(h_\theta)$ , where

$$h_\theta = u_\theta + u_\theta^* + v_\theta + v_\theta^*$$

## Theorem (AMS\*, HR, GS)

*Let  $p$  be a selfadjoint  $*$ -polynomial in two noncommuting variables. Then the spectrum  $\sigma(p(u_\theta, v_\theta))$  is  $\frac{1}{2}$ -Hölder continuous in  $\theta$  with respect to the Hausdorff distance for compact subsets of  $\mathbb{C}$ .*

The issue:

The map  $\theta \mapsto h_\theta$  is not continuous in norm:

$$h_\theta - h_{\theta'} = \text{diag} \left( (2 \cos(m\theta) - 2 \cos(m\theta'))_{m \in \mathbb{Z}} \right)$$

thus

$$\limsup_{\theta \rightarrow 0} \|h_\theta - h_0\| = 4$$

Our proof (for  $p(u_\theta, v_\theta) = h_\theta = u_\theta + u_\theta^* + v_\theta + v_\theta^*$ )

$(u_\theta, v_\theta) \prec (cu_{\theta'}, cv_{\theta'})$  where  $\theta \approx \theta'$  so  $c = e^{\frac{1}{4}|\theta - \theta'|} \approx 1$ . Thus:

$$\Rightarrow cu_{\theta'} = \begin{pmatrix} u_\theta & x \\ y & z \end{pmatrix}, \quad \|x\|, \|y\| \leq \sqrt{c^2 - 1} \approx 0$$

**Lemma:** For selfadjoint operators  $a, b$ :  $d(\sigma(a), \sigma(b)) \leq \|a - b\|$ .

Now  $h_\theta = u_\theta + u_\theta^* + v_\theta + v_\theta^*$

$$\Rightarrow ch_{\theta'} = \begin{pmatrix} h_\theta & * \\ * & * \end{pmatrix} \approx \begin{pmatrix} h_\theta & 0 \\ 0 & * \end{pmatrix}$$

$$\sigma(h_\theta) \subseteq \sigma\left(\begin{pmatrix} h_\theta & 0 \\ 0 & * \end{pmatrix}\right) \approx \sigma(ch_{\theta'}) \approx \sigma(h_{\theta'})$$

And conversely.

**This generalizes very easily to higher dim. noncommutative tori.**

# Back to the dilation constants

## Problem

Let  $\theta \in \mathbb{R}$  and  $q = e^{i\theta}$ . What is the minimal constant  $c_\theta$ , such that for pair  $u, v$  of  $q$ -commuting unitaries, there exists a pair  $U, V$  of **commuting** unitaries, such that  $(u, v) \prec (c_\theta U, c_\theta V)$  ?

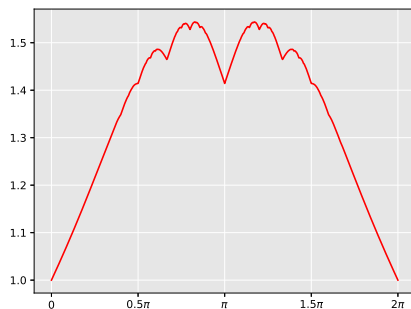
## Theorem (Gerhold and Shalit)

For every  $\theta \in \mathbb{R}$ ,

$$c_\theta = \frac{4}{\|u_\theta + u_\theta^* + v_\theta + v_\theta^*\|}$$

That is, for every pair of  $e^{i\theta}$ -commuting unitaries  $U, V$ , there exists a pair  $U_0, V_0$  of commuting unitaries, such that  $(u, v) \prec (c_\theta U, c_\theta V)$ .

## Evaluating the dilation constant



$C_d \geq \max_{\theta} c_{\theta} \geq 1.543$ .

**Conjecture:**  $\max_{\theta} c_{\theta}$  is attained at **silver mean**  $\theta_s = \frac{2\pi}{\gamma_s} = 2\pi(\sqrt{2} - 1)$ , where  $\gamma_s = \sqrt{2} + 1$  is the **silver ratio**.

Using the rational approximation  $\frac{1}{\gamma_s} \approx \frac{2378}{5741}$  with an error of less than  $1.1 \cdot 10^{-8}$  and the Lipschitz continuity of  $c_{\theta}$ , we found  $c_{\theta_s} \approx 1.5437772$ .

Thank you for listening!

