

STRONGLY ANALYTIC SPACES IN SPECTRAL DECOMPOSITION

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(Received 30 May, 1986)

1. Introduction. It is now well-known that decomposable operators have a rich structure theory; in particular, an operator is decomposable iff its adjoint is [3]. There are many other criteria for decomposability [8], [9]. In Theorem 2.2 of this paper (see below) we give several new ones. Some of these (e.g. (ii), (iii)) are “relaxations” of conditions given in [7] and [8]. Assertion (vi) is a version of a result in [10]. Characterizations (iv) and (v) are novel in two respects. For instance, (v) states that an operator T can be “patched” together into a decomposable operator if it has an invariant subspace Y such that $T|Y$ and the coinduced operator T/Y are both decomposable. Secondly, in this way the strongly analytic subspace appears in the theory of spectral decomposition.

Strongly analytic subspaces were introduced in [6], and Snader [13] characterized them as those Y for which T/Y has (Bishop) property (β) . One purpose of the present paper is to indicate an intimate connection between decomposable operators and strongly analytic subspaces. For example, one result that follows easily from [9, Th. 2.3 (iv)] is that if T is decomposable then T is strongly analytic iff T/Y is decomposable. One result of the present paper (Corollary 3.10) is that two decomposable restrictions of the same operator can be “patched” together into a decomposable operator on the full underlying Banach space if the intersection of the two subspaces is strongly analytic.

We also study strongly analytic subspaces relative to a subclass of decomposable operators that Shulberg calls “superdecomposable” [12]. We show by example that this subclass strictly contains strongly decomposable operators.

2. Equivalent conditions for decomposability. In this section we begin with some preliminaries basic to the paper. Let X be a complex Banach space and let T be a bounded linear operator on X . We say that T has property (k) if T has the single-valued extension property (SVEP) and the linear manifold $X_T(F)$ is closed if F is a closed set of the complex plane \mathbb{C} (see [3] for details); T has property (β) [2] if for any sequence $\{f_n: G \rightarrow X\}$ of analytic functions such that $(\lambda - T)f_n(\lambda) \rightarrow 0$ uniformly on each compact set in G it follows that $f_n \rightarrow 0$ on such compacta also. It is easy to see that T has property (k) whenever it has property (β) .

Now let Y be a T -invariant subspace. As usual, $T|Y$ denotes the restriction to Y , while T/Y denotes the operator coinduced by T on the quotient space X/Y . In [6] Y was defined to be *strongly analytic* for T if for each sequence $\{f_n: G \rightarrow X\}$ of analytic functions such that

$$\text{dist}((\lambda - T)f_n(\lambda), Y) \rightarrow 0$$

Glasgow Math. J. **30** (1988) 249–257.

uniformly on compacta in G it also happens that

$$\text{dist}(f_n(\lambda), Y) \rightarrow 0$$

uniformly on compacta in G . Later Snader proved [13] that Y is strongly analytic iff T/Y has property (β) .

We say T has the asymptotic spectral decomposition (abbrev. (ASD)) if for each finite open cover $\{G_i\}_{i=1}^n$ of the plane, there exists a system of T -invariant subspaces $\{M_i\}_{i=1}^n$ such that

$$X = \bigvee_{i=1}^n M_i \quad \text{and} \quad \sigma(T|_{M_i}) \subset G_i \quad (1 \leq i \leq n). \tag{2.1}$$

A simpler version when $n = 2$ will often suffice. For each open cover $\{G, H\}$ of \mathbb{C} , there are T -invariant subspaces M, N such that

$$X = M \vee N, \quad \sigma(T|_M) \subset G, \quad \sigma(T|_N) \subset H. \tag{*}$$

If in (*), $X = M + N$, then T is decomposable by [7] and [11]. Moreover, every decomposable operator T has property (β) and so $X_T(F)$ is closed if F is closed in \mathbb{C} . We also recall that T is strongly decomposable if each restriction $T|_{X_T(F)}$ (F closed) is decomposable. Finally, it is an open question whether (*) implies (2.1) for all n .

A decomposable operator T is said to be *superdecomposable* [12] if for closed F and open $G, F \subset G \subset \mathbb{C}$, there exists a T -invariant subspace M such that

$$X_T(F) \subset M \subset X_T(G) \tag{**}$$

and $T|_M$ is decomposable. Obviously every strongly decomposable operator is superdecomposable.

2.1. PROPOSITION. *Given T , if $T|_Y$ and T/Y both have property (β) , then T has property (β) .*

Proof. Let $f_n: \omega \rightarrow X$ be a sequence of functions analytic on ω satisfying

$$(\lambda - T)f_n(\lambda) \rightarrow 0 \tag{2.2}$$

uniformly in norm on each compact subset of ω . Let $K = \{\lambda: |\lambda - \lambda_0| < r\}$ with $\bar{K} \subset \omega$ and expand f_n as

$$f_n(\lambda) = \sum_{k=0}^{\infty} a_{nk}(\lambda - \lambda_0)^k \tag{2.3}$$

on a neighborhood of \bar{K} . By (2.2) and the hypothesis on $T/Y, \hat{f}_n \rightarrow \hat{0}$ uniformly in the quotient norm of X/Y on \bar{K} . Moreover, (2.3) implies that

$$\hat{f}_n(\lambda) = \sum_{k=0}^{\infty} \hat{a}_{nk}(\lambda - \lambda_0)^k.$$

Put $E_n = \max_{|\lambda - \lambda_0| = r} \|\hat{f}_n(\lambda)\|$; then $E_n \rightarrow 0$. By the Cauchy inequality one has

$$\|\hat{a}_{nk}\| \leq \frac{E_n}{r^k},$$

or equivalently, $\text{dist}(a_{nk}, Y) \leq E_n/r^k$. Now choose $b_{nk} \in Y$ such that

$$\|a_{nk} - b_{nk}\| \leq 2E_n/r^k. \quad (2.4)$$

It follows from the resulting inequality

$$\|b_{nk}\| \leq \|a_{nk}\| + \frac{2E_n}{r^k}$$

that the series

$$g_n(\lambda) = \sum_{k=0}^{\infty} b_{nk}(\lambda - \lambda_0)^k$$

converges in the disc K and hence is analytic there. On the other hand, (2.2) and (2.4) imply that

$$(\lambda - T)g_n(\lambda) = (\lambda - T)[g_n(\lambda) - f_n(\lambda)] + (\lambda - T)f_n(\lambda) \rightarrow 0 \quad (2.5)$$

uniformly in norm on each compact subset of K . Since $T|Y$ has property (β) and $g_n(\lambda) \in Y$ for $\lambda \in K$, (2.5) implies that $g_n \rightarrow 0$ uniformly on each compact set in K . Then (2.4) implies

$$f_n(\lambda) \rightarrow 0 \quad (2.6)$$

uniformly in norm (of X) on each compact set in K . By the Heine–Borel theorem (2.6) remains valid on every compact set in ω . Thus T has property (β) , and the proposition is proved.

2.2. THEOREM. *For an operator T the following are equivalent:*

- (i) T is decomposable;
- (ii) for every pair of open sets G and H with $\bar{G} \subset H$, there exists a T -invariant subspace Y such that

$$\sigma(T|Y) \subset \mathbb{C} - G, \quad \sigma(T/Y) \subset \bar{H}; \quad (2.7)$$

- (iii) T has property (β) and T^* has the SVEP such that for every open disc D the spectral manifold $X_T^*(\mathbb{C} - D)$ is norm closed;

- (iv) there exists a T -invariant subspace Y such that $T|Y$ and T/Y are both decomposable;

- (v) there exists a T -invariant subspace Y such that $T|Y$ and $T^*|Y^\perp$ are decomposable;

- (vi) T has property (k) and for each open G ,

$$\sigma(T^*|X_T(G)^\perp) \subset \mathbb{C} - G. \quad (2.8)$$

Proof. The conclusion will be reached through the sequences of implications

$$(i) \Rightarrow (ii) \Rightarrow (iii) \Rightarrow (i), \quad (i) \Leftrightarrow (iv) \Leftrightarrow (v) \quad \text{and} \quad (i) \Leftrightarrow (vi).$$

- (i) \Rightarrow (ii). Let G and H be open sets such that $\bar{G} \subset H$. Since T is decomposable, one

has

$$X = X_T(\mathbb{C} - G) + X_T(\bar{H}).$$

Let $Y = X_T(\mathbb{C} - G)$. Then $\sigma(T | Y) \subset \mathbb{C} - G$. Since T/Y is similar to

$$[T | X_T(\bar{H})]/[Y \cap X_T(\bar{H})],$$

We see that $\sigma(T | Y) \subset \bar{H}$, hence T satisfies (2.7).

(ii) \Rightarrow (iii). Let G, H be open discs such that $\bar{G} \subset H$. Then (2.7) implies [9, Theorem 2.3 (iii, a)].

Put $G_1 = \mathbb{C} - \bar{H}$, $H_1 = \mathbb{C} - \bar{G}$, so that G_1, H_1 are open sets with $\bar{G}_1 \subset H_1$. It follows from (2.7) that there is a T -invariant subspace Z such that

$$\sigma(T | Z) \subset \mathbb{C} - G_1 = \bar{H},$$

$$\sigma(T/Z) \subset \bar{H}_1 \subset \mathbb{C} - G.$$

and hence [9, Th. 2.3 (iii, b)] is satisfied. By [9, Th. 2.3], T has property (β) and T^* has the SVEP such that $X_{T^*}^*(F)$ is closed for F closed. In particular, $X_{T^*}^*(\mathbb{C} - D)$ is closed for each open disc D ; hence (iii) holds.

(iii) \Rightarrow (i) Since $X_{T^*}^*(\mathbb{C} - D)$ is closed, we have $\overline{X_T(D)}^\perp = X_{T^*}^*(\mathbb{C} - D)$ by [9, Theorem 2.3]: hence

$$\sigma(T^*/X_{T^*}^*(\mathbb{C} - D)) = \sigma(T | \overline{X_T(D)}) \subset \bar{D}.$$

From this and the evident inclusion

$$\sigma(T^* | X_{T^*}^*(\mathbb{C} - D)) \subset \mathbb{C} - D$$

one obtains, by [3, Theorem 5.8], that T^* has property (β) . Applying [9, Theorem 2.3] again, we infer that T is decomposable.

(i) \Leftrightarrow (iv) \Leftrightarrow (v) Since it is easily seen that (iv) and (v) are equivalent, it suffices to prove (i) \Leftrightarrow (iv).

If (i) holds, then $Y = \{0\}$ satisfies (iv). Conversely, suppose for some T -invariant Y , $T | Y$ and T/Y are decomposable. Since it follows from [4] that $T | Y$ and T/Y both have property (β) , by Proposition 2.1, T has property (β) . From the duality relations

$$T^* | Y^\perp = (T/Y)^*, \quad T^*/Y^\perp = (T | Y)^*$$

and [3, Theorem 8.1], it follows that $T^* | Y^\perp$ and T^*/Y^\perp are both decomposable; hence both have property (β) [4]. Again Proposition 2.1 implies that T^* has property (β) . By [9, Theorem 2.3 (iv)] T is decomposable.

(i) \Leftrightarrow (vi). Since (i) \Rightarrow (vi) is evident, we suppose that (vi) holds. We prove that, for every T -invariant subspace Z satisfying $X_T(G) \subset Z$, one has

$$\sigma(T | \overline{X_T(G)}) \subset \sigma(T | Z). \tag{2.9}$$

Let $x \in X_T(G)$ and let $x(\cdot)$ be the local resolvent of T at x . For $\lambda \in \rho_T(x)$ (the local resolvent set) $x(\lambda) \in X_T(G)$ and $x = (\lambda - T)x(\lambda)$. Now let $\lambda_0 \in \rho(T | Z)$. For $\lambda \in \rho_T(x)$

$$(\lambda - T)R(\lambda_0; T | Z)x(\lambda) = R(\lambda_0; T | Z)(\lambda - T)x(\lambda) = R(\lambda_0; T | Z)x$$

and since the first expression is analytic on $\rho_T(x)$, it follows that

$$\sigma_T(R(\lambda_0; T | Z)x) \subset \sigma_T(x) \subset G,$$

or, equivalently,

$$R(\lambda_0; T | Z)x \in X_T(G). \quad (2.10)$$

By (2.10) $\overline{X_T(G)}$ is invariant under $R(\lambda_0; T | Z)$, so (2.9) follows by [3, Proposition 4.2]. In particular

$$\sigma(T | \overline{X_T(G)}) \subset \sigma(T | X_T(\bar{G})) \subset \bar{G}. \quad (2.11)$$

By (2.7), (2.11) and [3, Theorem 5.17] T is decomposable. Theorem 2.2 is thus proved.

By means of Theorem 2.2(iv) we give a very easy proof of the following well-known fact.

2.3. COROLLARY. *If operators $T_i (i = 1, 2)$ are decomposable on Banach spaces X_i , then $T_1 \oplus T_2$ is decomposable on $X_1 \oplus X_2$.*

Proof. Let $S = T_1 \oplus T_2$. Then S/X_1 is similar to T_2 and is therefore decomposable. Since $S | X_1 = T_1$ the result follows from Theorem 2.2(iv).

2.4 REMARK. If $T | Y$ and T/Y both have property (β) , T need not be decomposable. For example, let T be right shift on the Hilbert space $X = l^2(\mathbb{N})$, and let $Y = TX$. Then $T | Y$ has property (β) and $T/Y' = 0$ so it also has property (β) . But T is not decomposable. This example also answers the following question negatively. If $T | Y$ has property (β) and T/Y is decomposable, then is T decomposable? However, the following question is open. If T/Y is decomposable and $T | Y$ has (ASD) with property (β) then is T decomposable?

3. Applications. In this section we prove some results in which strongly analytic subspaces play important roles in spectral decompositions. Theorem 3.3 generalizes and sharpens [8, Theorem 8] from the reflexive to the case of arbitrary Banach spaces. We also give some theorems complementing one of Shulberg [12] concerning superdecomposable operators. Most of these results involve strongly analytic subspaces. For example if T is superdecomposable with strongly analytic subspaces (Definition 3.6), then T^* is also. One interesting consequence of this set of ideas is the following. Although as remarked in §2 every strongly decomposable operator is superdecomposable, the converse is false. Hence superdecomposable operators form a strictly larger class than strongly decomposable operators. Our last theorem (Theorem 3.9) is another result on “patching” together a decomposable operator from “parts”, in which strong analyticity is an important hypothesis.

3.1. PROPOSITION. *Let $X = M \vee N$ with M strongly analytic for T and N T -invariant. Then*

$$\sigma(T/M) \subset \sigma(T | N). \quad (3.1)$$

Proof. For every fixed $x \in X$ there exist sequences $\{y_n\}$ in M and $\{z_n\}$ in N such that

$$x = \lim_{n \rightarrow \infty} (y_n + z_n). \tag{3.2}$$

Write $f_n(\lambda) = R(\lambda; T | N)z_n$ for $\lambda \in \rho(T | N)$. Then $z_n = (\lambda - T)f_n(\lambda)$ and

$$x = \lim_{n \rightarrow \infty} (y_n + (\lambda - T)f_n(\lambda)) \quad \text{for each } \lambda \in \rho(T | N). \tag{3.3}$$

Let $\hat{T} = T/M$ and let \hat{x} denote a coset in X/M . Then (3.2) and (3.3) imply

$$\hat{x} = \lim_{n \rightarrow \infty} (\lambda - \hat{T})\hat{f}_n(\lambda) = \lim_{n \rightarrow \infty} \hat{z}_n(\lambda \in \rho(T | N)). \tag{3.4}$$

Since in fact $\hat{z}_n = (\lambda - \hat{T})\hat{f}_n(\lambda)$, (3.4) holds uniformly on $\rho(T | N)$. By the fact that M is strongly analytic (i.e. T/M has property (β)) one obtains that $\hat{f}_n(\lambda)$ converges to a function $\hat{f}(\lambda)$ uniformly on every compact subset of $\rho(T | N)$. Now (3.4) implies

$$\hat{x} = (\lambda - \hat{T})\hat{f}(\lambda) \quad (\lambda \in \rho(T | N));$$

hence $\lambda - \hat{T}$ is surjective for $\lambda \in \rho(T | N)$. Since \hat{T} has the SVEP, by [3, Corollary 2.5] $\lambda \in \rho(T/M)$, hence (3.1) holds.

3.2. PROPOSITION. *Let $X = M \vee N$ with M strongly analytic for T and N T -invariant, and let T have the SVEP. Then for every subset E with $\sigma(T | N) \cap E = \emptyset$ one has $X_T(E) \subset M$.*

Proof. For $x \in X_T(E)$, it follows from Proposition 3.1 and the inclusions $\sigma_{T/M}(\hat{x}) \subset \sigma_T(x) \subset E$ that

$$\sigma_{T/M}(\hat{x}) \subset \sigma(T/M) \cap E \subset \sigma(T | N) \cap E = \emptyset;$$

hence $\hat{x} = 0$, or $x \in M$. This proves the desired inclusion.

The next theorem generalizes [8, Th. 8] to the case of arbitrary Banach spaces.

3.3. THEOREM. *If T has the (ASD) with either M or N in (*) strongly analytic for T , then T is decomposable and T^* is superdecomposable.*

Proof. Let G, H be open such that $\bar{G} \subset H$. By (*) there are T -invariant subspaces M and N with

$$X = M \vee N, \quad \sigma(T | M) \subset \mathbb{C} - G, \quad \text{and} \quad \sigma(T | N) \subset \bar{H},$$

where we suppose that M is strongly analytic. By Proposition 3.1 $\sigma(T/M) \subset \sigma(T | N) \subset \bar{H}$. Hence T is decomposable by Theorem 2.2(ii). By [3, Theorem 8.1], T^* is also decomposable. Now, let F be closed and G be open with $F \subset G$. Put $K = \mathbb{C} - G$, $H = \mathbb{C} - F$. Then K is closed, H is open and $K \subset H$. Since $\{G, H\}$ covers \mathbb{C} , there are T -invariant subspaces M, N such $X = M \vee N$, $\sigma(T | M) \subset H$ and $\sigma(T | N) \subset G$ with M strongly analytic. It follows that $M \subset \overline{X_T(H)}$, so

$$X_{T^*}^*(F) = \overline{X_T(H)}^\perp \subset M^\perp. \tag{3.5}$$

But Proposition 3.1 implies that $\sigma(T/M) \subset \sigma(T|N) \subset G$, or equivalently, $\sigma(T^*|M^\perp) \subset G$. Hence

$$M^\perp \subset X_T^*(G). \quad (3.6)$$

Since M is strongly analytic for T , i.e. T/M has property (β) , and $T^*|M^\perp (= (T/M)^*)$ also has property (β) by restriction, we have that T^*/M^\perp is decomposable by [9, Theorem 2.3]. Now (3.5) and (3.6) complete the proof that T^* is superdecomposable.

Shulberg [12] proved that if T is strongly decomposable, then T^* is superdecomposable. By the predual theorem [3, Theorem 9.6] we can prove the “dual” of Shulberg’s result.

3.4. THEOREM. *If T^* is strongly decomposable, then T is superdecomposable.*

Proof. Let F be closed and G be open with $F \subset G$, and let H be open with $F \subset H \subset \bar{H} \subset G$. Since T^* is strongly decomposable, $T^*/X_T^*(K)$ is decomposable, where $K = \mathbb{C} - H$, and hence $T|X_T(\bar{H})$ is decomposable. Obviously $X_T(F) \subset X_T(\bar{H}) \subset X_T(G)$; hence (**) is satisfied and the proof is complete.

3.5. REMARK. By [14, Theorem 3], Albrecht’s example [1] of a decomposable operator T which is not strongly decomposable has adjoint that is strongly decomposable. Hence the predual T is superdecomposable by Theorem 3.4. Moreover, $X_T(G)$ is strongly analytic for T for each open G , so T also satisfies the hypothesis of Theorem 3.3. We can then infer the following:

- (i) superdecomposable operators need not be strongly decomposable;
- (ii) the hypotheses of Theorem 3.3 are not strong enough to guarantee that the operator is strongly decomposable.

Now two questions arise.

- (1) Does decomposability imply superdecomposability?
- (2) Is superdecomposability preserved under duality?

We give a partial answer to Question 2. To do this we introduce the following definition.

3.6. DEFINITION. If T is superdecomposable such that the intermediate space M in (**) may be chosen strongly analytic, then we say that T is (sa)-superdecomposable.

3.7. THEOREM. *If T is (sa)-superdecomposable, then so is T^* .*

Proof. Since T evidently satisfies the hypotheses of Theorem 3.3, T^* is superdecomposable. Let M be the T -invariant subspace of Definition 3.6, so that $T|M$ is decomposable and M is strongly analytic. By duality T^*/M^\perp is decomposable; hence M^\perp is strongly analytic. Now (3.5) and (3.6) above show that M^\perp satisfies Definition 3.6, and so T^* is (sa)-superdecomposable. The converse of Theorem 3.7 is not clear because the intermediate subspace in Definition 3.6 need not be weak* closed. But we do have the following sharpening of Theorem 3.4.

3.8. THEOREM. *If T^* strongly decomposable, then T is (sa)-superdecomposable.*

Proof. Referring to the proof of Theorem 3.4, we see that $T/\overline{X_T(H)}$ is decomposable since $T^*|X_T^*(K)$ is. Hence $\overline{X_T(H)}$ is strongly analytic for T , and thus T is (sa)-superdecomposable.

Our next theorem generalizes Corollary 2.3.

3.9. THEOREM. *Let Y_1, Y_2 be invariant under T . If*

- (i) $Y_1 + Y_2$ is closed,
- (ii) $T|Y_i$ is decomposable ($i = 1, 2$),
- (iii) $Y_1 \cap Y_2$ is strongly analytic for T (or $T|(Y_1 + Y_2)$),

then $T|(Y_1 + Y_2)$ is decomposable.

Proof. Let $S = T|(Y_1 + Y_2)$, $Y = Y_1 \cap Y_2$. By (ii) $S|Y_i$ ($i = 1, 2$) is decomposable, so it also has property (β) , and $S|Y$ has this same property by restriction. Since Y is strongly analytic for S , again S/Y has property (β) . By Proposition 2.1, S has property (β) .

Next we prove that S^* has property (β) . Decomposability of $T|Y_i$ ($i = 1, 2$) implies that of T^*/Y_i^\perp as well; hence Y_i^\perp is strongly analytic for T^* . By [5, Theorem IV.4.8] $Y_1^\perp + Y_2^\perp$ is closed in X^* ; hence, by [6, Proposition 7], $Y_1^\perp \cap Y_2^\perp$ is strongly analytic for T^* , and thus $T^*/(Y_1^\perp \cap Y_2^\perp)$ has property (β) . But

$$S^* = [T|(Y_1 + Y_2)]^* = T^*/(Y_1 + Y_2)^\perp = T^*/(Y_1^\perp \cap Y_2^\perp).$$

Since we have thus shown that S and S^* have property (β) , S is decomposable by [9, Theorem 2.3(iv)].

3.10 COROLLARY. *Let Y_1, Y_2 be invariant under T such that*

- (i) $X = Y_1 + Y_2$,
- (ii) $T|Y_i$ is decomposable ($i = 1, 2$),
- (iii) $Y_1 \cap Y_2$ is strongly analytic for T .

Then T is decomposable and Y_i ($i = 1, 2$) is strongly analytic for T .

Proof. T is decomposable by Theorem 3.9. Since T/Y_i is similar to $(T|Y_j)/Y_1 \cap Y_2$, where $i, j = 1, 2$ and $i \neq j$, and by hypothesis $Y_1 \cap Y_2$ is strongly analytic for T , $(T|Y_j)/Y_1 \cap Y_2$ has property (β) , so that T/Y_i also has property (β) , and hence Y_i is strongly analytic for T .

3.11 REMARK. The explicit statement of [6, Proposition 7] referred to in the proof of Theorem 3.9 is as follows. If Y_i ($i = 1, 2$) are strongly analytic and $Y_1 + Y_2$ is closed, then $Y_1 \cap Y_2$ is also strongly analytic. The converse of this is false. If Y_1, Y_2 , and $Y_1 \cap Y_2$ are strongly analytic, $Y_1 + Y_2$ need not be closed. Radjabalipour [10, Example 3] defines a strongly decomposable operator T for which $X_T(F_1) + X_T(F_2)$ is not closed, but in this case $X_T(F_i)$, ($i = 1, 2$) and $X_T(F_1 \cap F_2) = X_T(F_1) \cap X_T(F_2)$ are strongly analytic.

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