

Entropy, spectra and width numbers of operators

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Spectral radius formula

- The spectrum $\sigma(T)$ of T on a complex Banach space X

$$\sigma(T) := \left\{ \lambda \in \mathbb{C} ; \lambda I_X - T \text{ is not invertible in } L(X) \right\}$$

- $\sigma(T)$ is contained in the circle of radius

$$\lim_{m \rightarrow \infty} \|T^m\|^{1/m}$$

with 0 as centre

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- $\sigma(T)$ is not empty and $\rho(T) = \mathbb{C} \setminus \sigma(T)$ is open
- Gelfand's spectral radius formula

$$r(T) := \sup_{\lambda \in \sigma(T)} |\lambda| = \lim_{m \rightarrow \infty} \|T^m\|^{1/m}$$

Eigenvalues of a compact operator

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- $\dim N(\lambda I - T)$ is called the geometric multiplicity of $\lambda \neq 0$
- $\dim N_\infty(\lambda I_X - T)$, where

$$N_\infty(\lambda I_X - T) := \bigcup_{n=1}^{\infty} N((\lambda I_X - T)^n)$$

is called the algebraic multiplicity of $\lambda \neq 0$

The essential spectrum

Definition

$S \in L(X, Y)$ is called a Fredholm operator if

$$\dim N(S) < \infty \quad \text{and} \quad \text{codim } R(S) < \infty$$

- The essential spectrum $\sigma_{\text{ess}}(T)$ of T

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- $S \in L(X)$ is a Fredholm operator \iff its equivalence class \overline{S} is invertible in the Calkin algebra $L(X)/K(X)$.

$$\sigma_{\text{ess}}(T) = \sigma(\overline{T})$$

The essential spectral radius

- The essential spectral radius

$$r_{\text{ess}}(T) := \sup_{\lambda \in \sigma_{\text{ess}}(T)} |\lambda| = \lim_{m \rightarrow \infty} \|T^m\|_{\text{ess}}^{1/m}$$

- The Riesz part of the spectrum

$$\Lambda(T) := \{ \lambda \in \sigma(T) : |\lambda| > r_{\text{ess}}(T) \}$$

is at most countable and consists of isolated eigenvalues of finite algebraic multiplicity.

Eigenvalue sequence for an arbitrary operator (1)

- The Riesz part of the spectrum

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We assign an eigenvalue sequence $\{\lambda_n(T)\}_{n=1}^{\infty}$ for $T \in L(X)$ from the elements of the set $\Lambda(T) \cup \{r_{\text{ess}}(T)\}$ as follows:

- The eigenvalues are arranged in an order of non-increasing absolute values.
- Every eigenvalue $\lambda \in \Lambda(T)$ is counted according to its algebraic multiplicity.
- If T possesses less than n eigenvalues λ with $|\lambda| > r_{\text{ess}}(T)$, we let

$$\lambda_n(T) = \lambda_{n+1}(T) = \dots = r_{\text{ess}}(T)$$

Eigenvalue sequence for an arbitrary operator (2)

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Remark

$$r(T) = |\lambda_1(T)| \quad \text{and} \quad r_{\text{ess}}(T) = \lim_{n \rightarrow \infty} |\lambda_n(T)|$$

Entropy numbers

Definition

The n -th entropy number $\varepsilon_n(T)$ of $T \in L(X, Y)$ is defined by

$$\varepsilon_n(T) := \inf \left\{ \varepsilon > 0 : T(U_X) \subset \bigcup_{i=1}^n \{y_i + \varepsilon U_Y\}, \quad y_i \in Y \right\}$$

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- Entropy numbers are: monotonne

$$0 \leq \dots \leq \varepsilon_3(T) \leq \varepsilon_2(T) \leq \varepsilon_1(T) = \|T\|$$

- sub-multiplicative

$$\varepsilon_{kl}(RS) \leq \varepsilon_k(R) \varepsilon_l(S) \quad \text{for } S \in L(X, Z) \quad \text{and} \quad R \in L(Z, Y)$$

- sub-additive

$$\varepsilon_{kl}(T_1 + T_2) \leq \varepsilon_k(T_1) + \varepsilon_l(T_2) \quad \text{for } T_1, T_2 \in L(X, Y).$$

- The measure of non-compactness

$$\beta(T) := \lim_{n \rightarrow \infty} \varepsilon_n(T)$$

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$$\beta(T) := \lim_{n \rightarrow \infty} \varepsilon_n(T)$$

$$\beta(T) \leq \|T\|_{\text{ess}}$$

- Nussbaum's formula [1970]. Let X be a complex Banach space and $T \in L(X)$, then

$$r_{\text{ess}}(T) = \lim_{m \rightarrow \infty} \beta(T^m)^{1/m}$$

Carl-Triebel's inequality [1980]

Let $\{\lambda_n(T)\}_{n=1}^{\infty}$ be an eigenvalue sequence of $T \in K(X)$ on a complex Banach space X .

- Carl's inequality

$$|\lambda_n(T)| \leq \sqrt{2} e_n(T) \quad \text{where} \quad e_n(T) := \varepsilon_{2^{n-1}}(T)$$

- Carl-Triebel's inequality

$$\left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n} \leq \inf_{k \in \mathbb{N}} k^{1/(2n)} \varepsilon_k(T)$$

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- Makai and Zemánek proved the inequality for arbitrary $T \in L(X)$ [1980]

- We call $\vec{A} := (A_0, A_1)$ a Banach couple if both A_0 and A_1 are Banach spaces such that

$$A_0, A_1 \hookrightarrow \mathcal{X}$$

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For a given Banach couple \vec{A} , we define spaces

- intersection $A_0 \cap A_1$ with the norm

$$\|a\|_{A_0 \cap A_1} = \max\{\|a\|_{A_0}, \|a\|_{A_1}\}$$

- sum $A_0 + A_1$ with the norm

$$\|a\|_{A_0 + A_1} = \inf_{a=a_0+a_1} \{\|a_0\|_{A_0} + \|a_1\|_{A_1}\}$$

- By $T: \vec{A} \rightarrow \vec{B}$ we denote an operator $T: A_0 + A_1 \rightarrow B_0 + B_1$, such that

$$T|_{A_j} \in L(A_j, B_j), \quad j = 0, 1$$

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Definition

By an interpolation functor we mean a mapping $\mathcal{F}: \vec{\mathcal{B}} \rightarrow \mathcal{B}$

- $A_0 \cap A_1 \subset \mathcal{F}(\vec{A}) \subset A_0 + A_1$ for any $\vec{A} \in \vec{\mathcal{B}}$
- $T(\mathcal{F}(\vec{A})) \subset \mathcal{F}(\vec{B})$ for any $\vec{A}, \vec{B} \in \vec{\mathcal{B}}$ and $T: \vec{A} \rightarrow \vec{B}$

For all interpolation functors \mathcal{F}

$$\|T\|_{\mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})} \leq C \max\{\|T\|_{A_0 \rightarrow B_0}, \|T\|_{A_1 \rightarrow B_1}\}$$

Interpolation functor of exponential type of θ

For all interpolation functors \mathcal{F}

$$\|T\|_{\mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})} \leq C \max\{\|T\|_{A_0 \rightarrow B_0}, \|T\|_{A_1 \rightarrow B_1}\}$$

If in addition there exists $\theta \in (0, 1)$ such that

$$\|T\|_{\mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})} \leq C \|T\|_{A_0 \rightarrow B_0}^{1-\theta} \|T\|_{A_1 \rightarrow B_1}^{\theta},$$

then \mathcal{F} is called of exponential type of θ .

- The real $\mathcal{F}(\cdot) = (\cdot)_{\theta, q}$ and complex $\mathcal{F}(\cdot) = [\cdot]_{\theta}$ interpolation functors are of exponential type of θ .

- The n -th entropy number $\varepsilon_n(T)$ of $T \in L(X, Y)$

$$\varepsilon_n(T) := \inf \left\{ \varepsilon > 0 : T(U_X) \subset \bigcup_{i=1}^n \{y_i + \varepsilon U_Y\}, \quad y_i \in Y \right\}$$

- The measure of non-compactness

$$\beta(T) := \lim_{n \rightarrow \infty} \varepsilon_n(T)$$

A delicate problem

Let \mathcal{F} be an interpolation functor of exponential type of θ . Does there exist a constant $C > 0$ such that for any $T: \vec{A} \rightarrow \vec{B}$

$$\beta(T: \mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})) \leq C \beta(T: A_0 \rightarrow B_0)^{1-\theta} \beta(T: A_1 \rightarrow B_1)^\theta ?$$

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This question was answered positively

- for the real interpolation functor $\mathcal{F}(\cdot) = (\cdot)_{\theta,q}$ by [Cobos, Fernández-Martínez and Martínez 1999], [Fernández-Martínez 2006], [Szwedek 2006],
- for the complex interpolation functor $\mathcal{F}(\cdot) = [\cdot]_\theta$ in the case where \vec{B} satisfies an approximation condition by [Teixeira and Edmunds 1981], [Szwedek 2015].

A more delicate problem

Let \mathcal{F} be an interpolation functor of exponential type of θ . Does there exist a constant $C > 0$ such that for any $T: \vec{A} \rightarrow \vec{B}$

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- This question was answered negatively for the real interpolation functor $\mathcal{F}(\cdot) = (\cdot)_{\theta, q}$ by Edmunds and Netrusov [2011, 2013].

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The reduction [Mastyło, Szwedek 2017]

$$\vec{B} = \vec{A}$$

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The reduction [Mastyło, Szwedek 2017]

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$$\left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n} \leq \inf_{k \in \mathbb{N}} k^{1/(2n)} \varepsilon_k(T)$$

Theorem [Mastyło, Szwedek 2017]

Suppose that \mathcal{F} is an interpolation functor of exponential type of θ . If $T: \vec{A} \rightarrow \vec{A}$, then

$$\left| \lambda_n \left(T|_{\mathcal{F}(\vec{A})} \right) \right| \leq 2 e_n(T|_{A_0})^{1-\theta} e_n(T|_{A_1})^\theta$$

and

$$\left(\prod_{i=1}^n \left| \lambda_i \left(T|_{\mathcal{F}(\vec{A})} \right) \right| \right)^{1/n} \leq \inf_{k_0, k_1 \in \mathbb{N}} (k_0 k_1)^{1/2n} \varepsilon_{k_0}(T|_{A_0})^{1-\theta} \varepsilon_{k_1}(T|_{A_1})^\theta$$

Generalizations of the spectral radius formula (1)

- Gelfand's spectral radius formula

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Definition

Given $T \in L(X)$, the n -th *approximation number* is defined by

$$a_n(T) := \inf \left\{ \|T - S\| : S \in L(E, F) \text{ with } \text{rank}(S) < n \right\}$$

- König's [1978] formula; a generalization for higher eigenvalues

$$|\lambda_n(T)| = \lim_{m \rightarrow \infty} a_n(T^m)^{1/m}$$

Generalizations of the spectral radius formula (2)

$$\left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n} \leq \inf_{k \in \mathbb{N}} k^{1/(2n)} \varepsilon_k(T)$$

Generalizations of the spectral radius formula (2)

- The n -th entropy modulus $g_n(T)$ of $T \in L(X)$ is given by

$$\left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n} \leq \inf_{k \in \mathbb{N}} k^{1/(2n)} \varepsilon_k(T) =: g_n(T)$$

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- Makai-Zemánek's formula [1982]

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Problem

In what form does it exist a formula for the spectral radius of T using the entropy numbers of powers of operators?

Theorem [Mastyło, Szwedek 2017]

Let X be a complex Banach space and $T \in L(X)$. If $\{\lambda_n(T)\}$ is an eigenvalue sequence of T , then

$$\sup_{n \in \mathbb{N}} k^{-1/(2n)} \left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n} = \lim_{m \rightarrow \infty} \varepsilon_{k^m}(T^m)^{1/m}$$

Spectral entropy numbers (1)

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Definition

We define the k -th spectral entropy number $\mathcal{E}_k(T)$ by

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$$\mathcal{E}_k(T) := \lim_{m \rightarrow \infty} \varepsilon_{k^m}(T^m)^{1/m} \leq \varepsilon_k(T)$$

Spectral entropy numbers (2)

Theorem [Mastyło, Szwedek 2017]

Fix $t \in [1, \infty)$. If $\{t_m\} \subset \mathbb{N}$ is such that $\lim_{m \rightarrow \infty} t_m^{1/m} = t$, then

$$\sup_{n \in \mathbb{N}} t^{-1/(2n)} \left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n} = \lim_{m \rightarrow \infty} \varepsilon_{t_m}(T^m)^{1/m}$$

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Definition

Define the *spectral entropy map* $t \mapsto \mathcal{E}_t(T)$ of T as follows

$$\mathcal{E}_t(T) := \lim_{m \rightarrow \infty} \varepsilon_{t_m}(T^m)^{1/m}$$

Spectral entropy numbers (3)

Proposition [Mastyło, Szwedek 2017]

Let X be a complex Banach space and $T \in L(X)$. If $\{\lambda_n(T)\}$ is an eigenvalue sequence of T , then

$$\lim_{m \rightarrow \infty} \varepsilon_n(T^m)^{1/m} = \mathcal{E}_1(T) = r(T) \text{ for each } n \in \mathbb{N}$$

$$\lim_{m \rightarrow \infty} \varepsilon_m(T^m)^{1/m} = \mathcal{E}_1(T)$$

$$\lim_{m \rightarrow \infty} e_m(T^m)^{1/m} = \mathcal{E}_2(T) = \sup_{n \in \mathbb{N}} \left(\frac{\prod_{i=1}^n |\lambda_i(T)|}{\sqrt{2}} \right)^{1/n}$$

$$\mathcal{E}_\infty(T) := \lim_{t \rightarrow \infty} \mathcal{E}_t(T) = r_{\text{ess}}(T)$$

Proposition [Mastyło, Szwedek 2017]

Let X, Y be a complex Banach space.

- If $R, S \in L(X)$ are commuting operators, then

$$\mathcal{E}_{tu}(RS) \leq \mathcal{E}_t(R) \mathcal{E}_u(S), \quad t, u \in [1, \infty].$$

-

$$\mathcal{E}_{t^n}(R^n) = \mathcal{E}_t(R)^n, \quad t \in [1, \infty], n \in \mathbb{N}.$$

- If $T \in L(X, Y)$ and $U \in L(Y, X)$, then

$$\mathcal{E}_t(TU) = \mathcal{E}_t(UT), \quad t \in [1, \infty].$$

Definition

Given an operator $T \in L(X)$ on a complex Banach space X , we define the entropy modulus $g_n(T)$ as follows

$$g_n(T) := \inf_{k \in \mathbb{N}} k^{1/(2n)} \varepsilon_k(T), \quad n \in \mathbb{N}$$

Definition

Given an operator $T \in L(X)$ on a complex Banach space X , we define the entropy modulus $g_s(T)$ as follows

$$g_s(T) := \inf_{k \in \mathbb{N}} k^{1/(2s)} \varepsilon_k(T), \quad s \in (0, \infty)$$

Definition

Let $\varphi: [0, \infty) \rightarrow [0, \infty)$ be a sub-multiplicative function. Given an operator $T \in L(X)$ on a complex Banach space X , we define the entropy modulus $g_{s,\varphi}(T)$ as follows

$$g_{s,\varphi}(T) := \inf_{k \in \mathbb{N}} k^{1/(2s)} \varphi(\varepsilon_k(T)), \quad s \in (0, \infty)$$

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$$g_{s,\varphi}(T) := \inf_{k \in \mathbb{N}} k^{1/(2s)} \varphi(\varepsilon_k(T)), \quad s \in (0, \infty)$$

- Denote by $\tilde{\varphi}$ the function on $[0, \infty)$ given by

$$\tilde{\varphi}(u) := \lim_{m \rightarrow \infty} \varphi(u^m)^{1/m}, \quad u \geq 0$$

- $\tilde{\varphi}$ is sub-multiplicative and $\tilde{\varphi} \leq \varphi$

Theorem [Mastyło, Szwedek 2017]

Let X be an arbitrary complex Banach space and $T \in L(X)$. Assume that $\varphi: [0, \infty) \rightarrow [0, \infty)$ is a nondecreasing, sub-multiplicative and right-continuous function. Then

$$\inf_{t \in [1, \infty)} t^{1/(2s)} \tilde{\varphi}(\mathcal{E}_t(T)) = \lim_{m \rightarrow \infty} g_{s, \varphi}(T^m)^{1/m}, \quad s \in (0, \infty)$$

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In particular,

$$\inf_{t \in [1, \infty)} t^{1/(2n)} \mathcal{E}_t(T) = \left(\prod_{i=1}^n |\lambda_i(T)| \right)^{1/n}$$

Theorem [Mastyło, Szwedek 2017]

If \mathcal{F} be an interpolation functor of exponential type of θ , then for any $T: \vec{A} \rightarrow \vec{A}$

$$\mathcal{E}_{k_0 k_1}(T: \mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{A})) \leq \mathcal{E}_{k_0}(T: A_0 \rightarrow A_0)^{1-\theta} \mathcal{E}_{k_1}(T: A_1 \rightarrow A_1)^\theta$$

Definition

The n -th approximation number $a_n(T)$ of $T \in L(E, F)$ is defined by

$$a_n(T) := \inf \left\{ \|T - S\| : S \in L(E, F) \text{ with } \text{rank}(S) < n \right\}$$

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- Monotonicity:

$$\|T\| = a_1(T) \geq a_2(T) \geq a_3(T) \geq \dots \geq 0$$

- Sub-additivity:

$$a_{k+n-1}(T_1 + T_2) \leq a_k(T_1) + a_n(T_2) \text{ for } T_1, T_2 \in L(E, F)$$

- Sub-multiplicativity:

$$a_{k+n-1}(RS) \leq a_k(R) a_n(S) \text{ for } S \in L(E, Z), R \in L(Z, F)$$

Kolmogorov and Gelfand numbers of $T \in L(E, F)$

- Approximation numbers:

$$a_n(T) := \inf \left\{ \|T - S\| : S \in L(E, F) \text{ with } \text{rank}(S) < n \right\}$$

- Kolmogorov numbers:

$$d_n(T) := \inf \left\{ \varepsilon > 0 : G \subset F, \dim(G) < n, T(U_E) \subset G + \varepsilon U_F \right\}$$

- Gelfand numbers:

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How to express the growth of $a_n(T)$ relative to $d_n(T)$ and $c_n(T)$?

$$d_n(T) \leq a_n(T) \leq (2n)^{1/2} d_n(T), \quad c_n(T) \leq a_n(T) \leq (2n)^{1/2} c_n(T)$$

- We call $\vec{A} := (A_0, A_1)$ a Banach couple if both A_0 and A_1 are Banach spaces such that

$$A_0, A_1 \hookrightarrow \mathcal{X}$$

For a given Banach couple \vec{A} , we define spaces

- intersection $A_0 \cap A_1$ with the norm

$$\|a\|_{A_0 \cap A_1} = \max\{\|a\|_{A_0}, \|a\|_{A_1}\}$$

- sum $A_0 + A_1$ with the norm

$$\|a\|_{A_0 + A_1} = \inf_{a=a_0+a_1} \{\|a_0\|_{A_0} + \|a_1\|_{A_1}\}$$

- By $T: \vec{A} \rightarrow \vec{B}$ we denote an operator $T: A_0 + A_1 \rightarrow B_0 + B_1$, such that

$$T|_{A_0} \in L(A_0, B_0) \text{ and } T|_{A_1} \in L(A_1, B_1)$$

Definition

By an interpolation functor we mean a mapping $\mathcal{F}: \vec{\mathcal{B}} \rightarrow \mathcal{B}$

- $A_0 \cap A_1 \subset \mathcal{F}(\vec{A}) \subset A_0 + A_1$ for any $\vec{A} \in \vec{\mathcal{B}}$
- $T(\mathcal{F}(\vec{A})) \subset \mathcal{F}(\vec{B})$ for any $\vec{A}, \vec{B} \in \vec{\mathcal{B}}$ and $T: \vec{A} \rightarrow \vec{B}$

For all interpolation functors \mathcal{F}

$$\|T\|_{\mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})} \leq C \max\{\|T\|_{A_0 \rightarrow B_0}, \|T\|_{A_1 \rightarrow B_1}\}$$

If in addition there exists $\theta \in (0, 1)$ such that

$$\|T\|_{\mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})} \leq C \|T\|_{A_0 \rightarrow B_0}^{1-\theta} \|T\|_{A_1 \rightarrow B_1}^{\theta},$$

then \mathcal{F} is called of exponential type of θ .

- The real $\mathcal{F}(\cdot) = (\cdot)_{\theta, q}$ and complex $\mathcal{F}(\cdot) = [\cdot]_{\theta}$ interpolation functors are of exponential type of θ .

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One-sided interpolation results

Let $\vec{A} = (A_0, A_1)$ and $\vec{B} = (B_0, B_1)$ be Banach couples and $\theta \in (0, 1)$.

- If X belongs to the class $\mathcal{C}_K(\theta; \vec{A})$ and $B := B_0 = B_1$, then

$$d_{n+k-1}(T: X \rightarrow B) \leq C d_n(T: A_0 \rightarrow B)^{1-\theta} d_k(T: A_1 \rightarrow B)^\theta.$$

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- If $A := A_0 = A_1$ and Y belongs to the class $\mathcal{C}_J(\theta; \vec{B})$, then

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- The real $\mathcal{F}(\cdot) = (\cdot)_{\theta, q}$ and complex $\mathcal{F}(\cdot) = [\cdot]_\theta$ interpolation functors are members of $\mathcal{C}_K(\theta; \cdot)$ and $\mathcal{C}_J(\theta; \cdot)$.

A subtle problem

Let \mathcal{F} be an interpolation functor of exponential type of θ . Does there exist a constant $C > 0$ such that for any $T: \vec{A} \rightarrow \vec{B}$

$$d_{n+k-1}(T: \mathcal{F}(\vec{A}) \rightarrow \mathcal{F}(\vec{B})) \leq C d_n(T: A_0 \rightarrow B_0)^{1-\theta} d_k(T: A_1 \rightarrow B_1)^\theta$$

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Two-sided interpolation of $d_n(T)$, $c_n(T)$ fails

The observation of Carl

Consider $A_0 = A_1 = B_0 := \ell_1^{3n}$, $B_1 := \ell_\infty^{3n}$ and $\theta = 1/2$.

Then $X := [A_0, A_1]_\theta \cong \ell_1^{3n}$ and $Y := [B_0, B_1]_\theta \cong \ell_2^{3n}$.

Therefore

-

$$d_{2n-1}(I: X \rightarrow Y) \asymp 3^{-1/2}.$$

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$$d_n(I: A_0 \rightarrow B_0)^{1-\theta} d_n(I: A_1 \rightarrow B_1)^\theta \asymp n^{-1/4}.$$

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- The duality relation $c_n(T) = d_n(T')$.

Interpolation of $a_n(T)$ between Hilbert spaces





Theorem [Szwedek 2015]

There exists a constant $C > 0$, such that

- *for all couples $\vec{H} = (H_0, H_1)$ and $\vec{K} = (K_0, K_1)$ of complex Hilbert spaces, and*
- *for every operator $T \in L(\vec{H}, \vec{K})$ and every $\theta \in (0, 1)$*

$$A_n(T: [\vec{H}]_\theta \rightarrow [\vec{K}]_\theta) \leq C A_n(T: H_0 \rightarrow K_0)^{1-\theta} A_n(T: H_1 \rightarrow K_1)^\theta,$$

where $A_n(T)$ denotes $\left(\prod_{i=1}^n a_i(T)\right)^{1/n}$.

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