

# Covariant Functional Calculus and Spectrum

Vladimir V. Kisil

## 1 The traditional approach to functional calculus (F.C.)

**Definition 1.1.** An analytic functional calculus for an element  $\mathfrak{a}$  of an algebra  $\mathfrak{A}$  is a *continuous linear* mapping  $\Phi$  from an algebra of functions  $\mathcal{A}$  to  $\mathfrak{A}$  s.t.

1.  $\Phi$  is a unital algebra homomorphism  $\Phi(f \cdot g) = \Phi(f) \cdot \Phi(g)$ .
2. There is the initialisation conditions:  $\Phi[v_0] = \mathfrak{a}$  for  $v_0(z) = z$ .

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**Definition 1.2.** A resolvent  $R_a(\lambda) = (a - \lambda e)^{-1}$  of element  $a \in \mathfrak{A}$  is the image under  $\Phi$  of the Cauchy kernel  $(z - \lambda)^{-1}$ .

Spectrum of  $a \in \mathfrak{A}$  is the set  $\text{sp } a$  of all singular points of its resolvent  $R_a(\lambda)$ .

**Spectral Mapping Theorem.**  $f(\text{sp } a) = \text{sp } f(a)$  for an analytic function  $f$ .

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**Limits** of any F.C. based on an algebra homomorphism:

1. Domain  $\mathcal{A}$  should be an algebra, i.e. no  $H_p$ ,  $p < \infty$  or Bergman spaces.
2. Range  $\mathfrak{A}$  is not smaller than an algebra generated by  $\mathbf{a}$ , no refinement.

## 2 Complex Analysis and Functional Calculus from Groups

Analytic function theory in the unit disk  $\mathbb{D}$  is mainly a theory of the *discrete series* representation of  $SL_2(\mathbb{R})$  group of  $2 \times 2$  matrices:

$$\rho_m(g) : f(z) \mapsto \frac{1}{(\alpha - \beta z)^m} f\left(\frac{\bar{\alpha}z - \bar{\beta}}{\alpha - \beta z}\right), \quad g = \begin{pmatrix} \bar{\alpha} & -\bar{\beta} \\ -\beta & \alpha \end{pmatrix} \in SL_2(\mathbb{R}). \quad (2.1)$$

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**Definition 2.1.** An analytic functional calculus for an element  $a \in \mathfrak{A}$  and an  $\mathfrak{A}$ -module  $M$  is a *continuous linear* mapping  $\Phi : A(\mathbb{D}) \rightarrow A(\mathbb{D}, M)$  such that

1.  $\Phi$  is an intertwining operator  $\Phi \rho_1 = \rho_a \Phi$  between two representations of the  $SL_2(\mathbb{R})$  group  $\rho_1$  (2.1) and  $\rho_a$ , where  $a \in \mathfrak{A}$  defined below.

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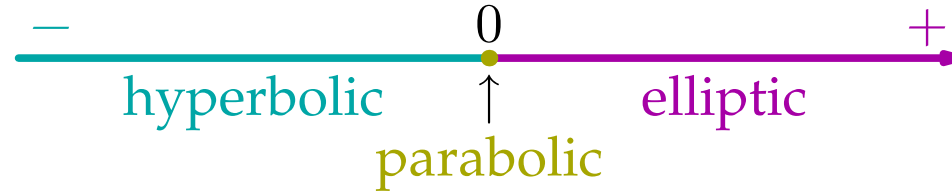
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2. There is an initialisation condition:  $\Phi[v_0] = m$  for  $v_0(z) \equiv 1$  and  $m \in M$ .

A corresponding spectrum of  $a$  is the support of the functional calculus  $\Phi$ .

### 3 Elliptic, Parabolic, and Hyperbolic Function Theories

Analytic function theories are subject to the following general classification:



We use representations of  $SL_2(\mathbb{R})$  group in Clifford valued function spaces. Four dimensional Clifford algebras  $\mathcal{C}(a)$  are spanned by  $1, e_1, e_2, e_1e_2$  s.t.:

$$e_1^2 = -1, \quad e_2^2 = \begin{cases} -1, & \text{for } \mathcal{C}(e) \text{—elliptic case} \\ 0, & \text{for } \mathcal{C}(p) \text{—parabolic case} \\ 1, & \text{for } \mathcal{C}(h) \text{—hyperbolic case} \end{cases}, \quad e_1e_2 = -e_2e_1.$$

The subalgebra of  $\mathcal{C}(e)$  spanned by  $1$  and  $i = e_1e_2$  is isomorphic (replace!)  $\mathbb{C}$ . We identify  $\mathbb{R}^2$  with the set of vectors  $ue_1 + ve_2$  in all  $\mathcal{C}(a)$ , where  $(u, v) \in \mathbb{R}^2$ .

$SL_2(\mathbb{R})$  consists of  $2 \times 2$  matrices  $\begin{pmatrix} a & b \\ c & d \end{pmatrix}$ , with  $ad - bc = 1$  and  $a, b, c, d \in \mathbb{R}$ .

## 4 Möbius Transformations of $\mathbb{R}^2$

The same multiplication in  $SL_2(\mathbb{R})$  if we replace  $\begin{pmatrix} a & b \\ c & d \end{pmatrix}$  by  $\begin{pmatrix} a & -be_1 \\ ce_1 & d \end{pmatrix}$ .

For all  $\mathcal{C}(a)$  define the Möbius transformation of  $\mathbb{R}^2 \rightarrow \mathbb{R}^2$  (!) by:

$$\begin{pmatrix} a & -be_1 \\ ce_1 & d \end{pmatrix} : ue_1 + ve_2 \mapsto (ce_1(ue_1 + ve_2) + d)^{-1}(a(ue_1 + ve_2) - be_1).$$



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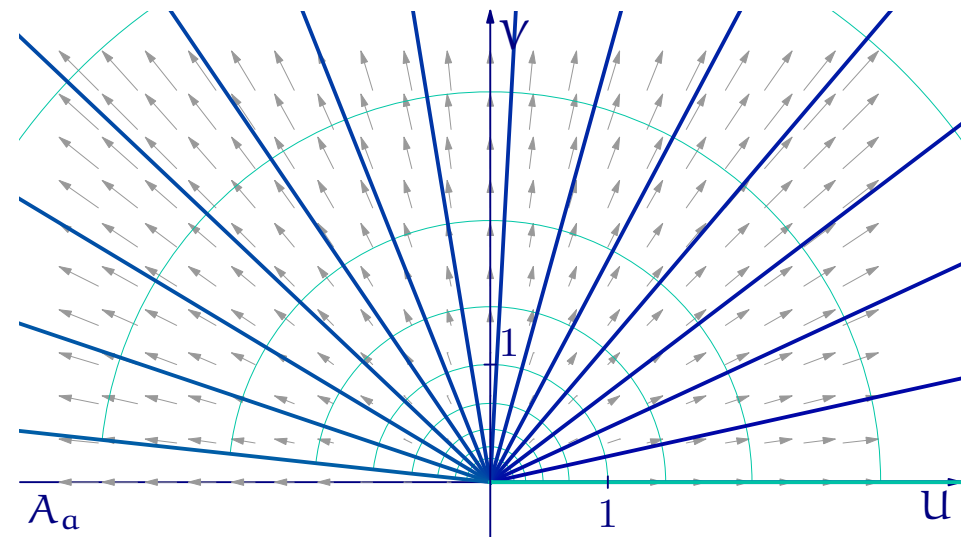
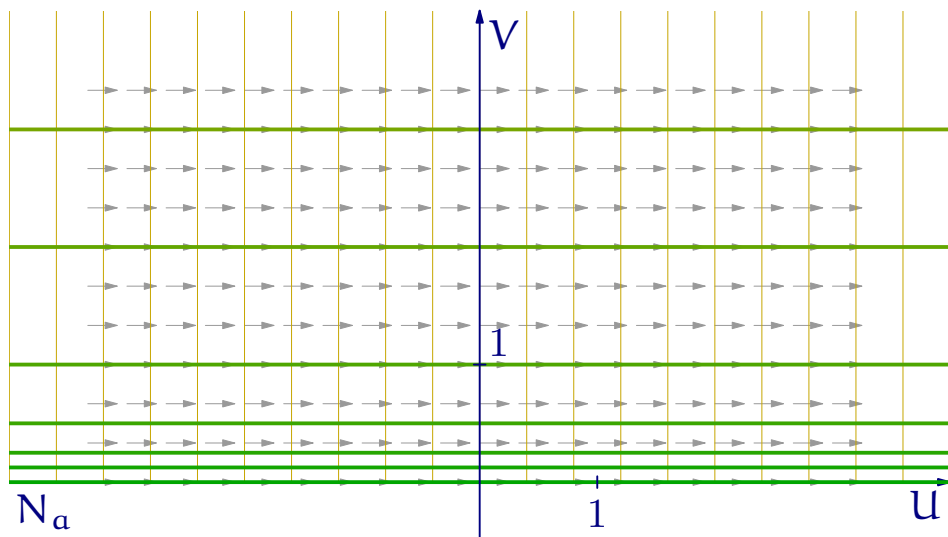
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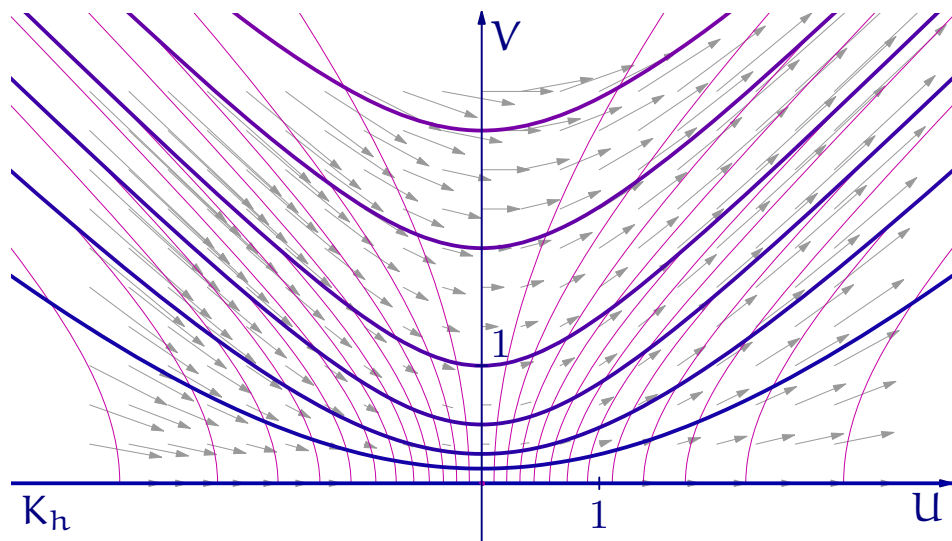
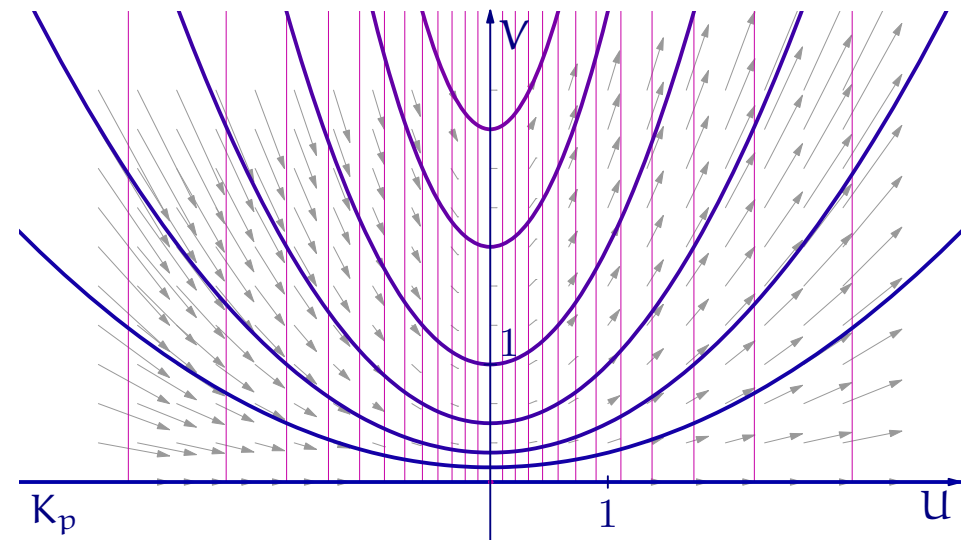
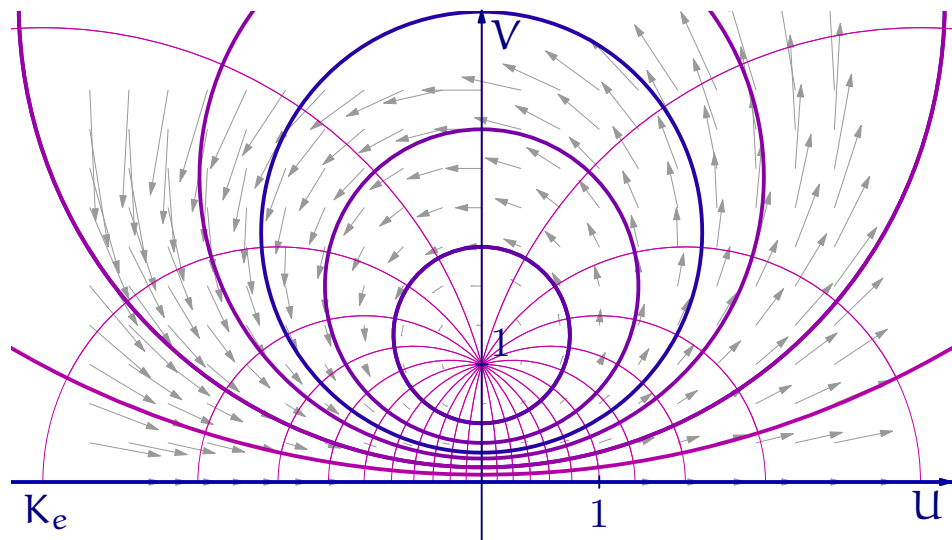
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Product  $\begin{pmatrix} a & -be_1 \\ ce_1 & d \end{pmatrix} = \begin{pmatrix} \tau & 0 \\ 0 & \tau^{-1} \end{pmatrix} \begin{pmatrix} 1 & xe_1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} \cos \phi & e_1 \sin \phi \\ e_1 \sin \phi & \cos \phi \end{pmatrix}$  gives

Iwasawa  $SL_2(\mathbb{R}) = \mathbf{A}\mathbf{N}\mathbf{K}$ . In all  $\mathcal{C}(a)$  subgroups  $\mathbf{A}$  and  $\mathbf{N}$  acts uniformly:







Vector fields are:

$$dK_e(u, v) = (1 + u^2 - v^2, 2uv)$$

$$dK_p(u, v) = (1 + u^2, 2uv)$$

$$dK_h(u, v) = (1 + u^2 + v^2, 2uv)$$

Figure 1: Depending from  $e_2^2 = -1, 0, 1$  the action of subgroup  $K$  of

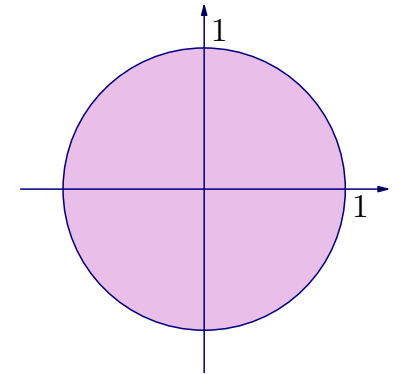
$\begin{pmatrix} \cos \phi & -\sin \phi \\ \sin \phi & \cos \phi \end{pmatrix}$  produces circles, parabolas and hyperbolas.

## 5 Cayley Transform and Unit “Circles”

The colour code of **ANK** match to the model, where subgroup is diagonalised.

In **elliptic** case the standard Cayley transform diagonalise **K**:

$$\begin{pmatrix} \alpha & \bar{\beta} \\ \beta & \bar{\alpha} \end{pmatrix} = \frac{1}{\sqrt{1 - |\mathbf{u}|^2}} \begin{pmatrix} e^{i\omega} & 0 \\ 0 & e^{-i\omega} \end{pmatrix} \begin{pmatrix} 1 & \bar{\mathbf{u}} \\ \mathbf{u} & 1 \end{pmatrix}, \text{ with } \begin{matrix} \omega = \arg \alpha, \\ \mathbf{u} = \beta \bar{\alpha}^{-1}, \end{matrix}$$



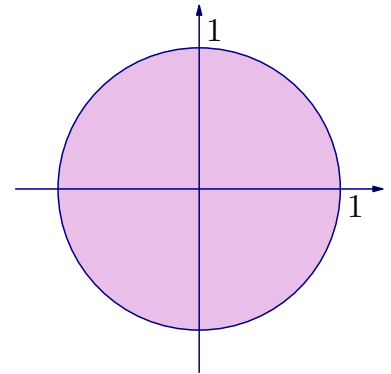
and  $|\mathbf{u}| < 1$  follows from  $|\alpha|^2 - |\beta|^2 = 1$ , using notation  $i = e_1 e_2$ .

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In hyperbolic case we analogously diagonalise A:

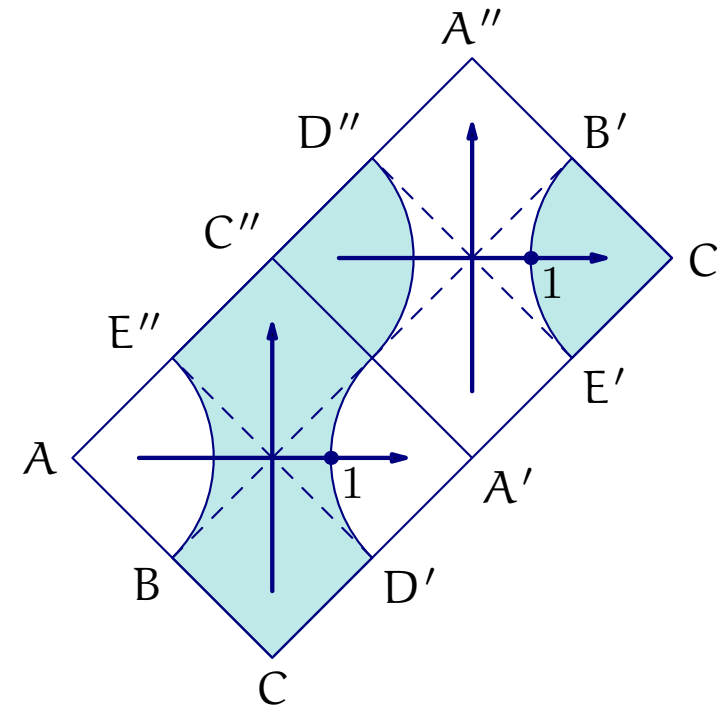
$$\begin{pmatrix} a & b \\ -b & a \end{pmatrix} = |a| \begin{pmatrix} \frac{a}{|a|} & 0 \\ 0 & \frac{a}{|a|} \end{pmatrix} \begin{pmatrix} 1 & a^{-1}b \\ -a^{-1}b & 1 \end{pmatrix}.$$

However we could not deduce  $|a^{-1}b| < 1$  now!

**Geometry:**  $\mathbb{R}^2$  is not split by the unit circle;

**Analysis:** Hardy space is not a proper subset of  $L_2$ ;

**Physics:** Past and future could be reversed contly.



## 6 Cauchy and Bergman Integrals as Wavelet Transforms

In the **elliptic** case Möbius maps give UIR  $\rho_m$  from the discrete series of  $SL_2(\mathbb{R})$  on Hardy  $H_2(\mathbb{T})$  ( $=: B_1(\mathbb{D})$ ) or Bergman  $B_m(\mathbb{D})$ ,  $m = 2, 3, \dots$  spaces:

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**K**-invariant vacuum vector  $v_0(z) \equiv 1$  gives wavelets  $v_m(g, z) = \rho_m(g)v_0(z)$  ess. depend only from  $\bar{u} = \beta\alpha^{-1} \in \mathbb{D}$ . Then  $v_m(u, z) = (1 - \bar{u}z)^{-m}$  are the Cauchy and Bergman kernels. Thus the universally defined wavelet transforms  $\mathcal{W}_m f(u) = \langle f(z), \rho_m v_0(u, z) \rangle$  are Cauchy and Bergman integrals:

$$\mathcal{W}_1 f(u) = \frac{1}{2\pi i} \int_{\mathbb{T}} f(z) \frac{1}{u - z} dz, \quad \mathcal{W}_m f(u) = \int_{\mathbb{D}} f(z) \frac{1}{(1 - u\bar{z})^m} \frac{dz}{(1 - |z|^2)^{m-1}}.$$

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In the **hyperbolic** case principal series UIR  $\rho_\sigma$  of  $SL_2(\mathbb{R})$  produce similarly:

$$[\mathcal{W}_\sigma f](u) = |1 + u^2|^{1/2} e_{12} \int_{\mathbb{U}} \frac{(-ue_1 z + 1)^\sigma z^\sigma}{(-e_1 u + z)^{1+\sigma}} dz f(z), \quad \text{for } \sigma \in \mathbb{R},$$

where  $z = e^{e_{12}t}$  and  $dz = e_{12}e^{e_{12}t} dt$ . Again vacuum vector  $v_0(z) \equiv 1$  was taken to be **A**-covariant and wavelet transform is  $\mathcal{W}_\sigma f(u) = \langle f(z), \rho_\sigma v_0(u, z) \rangle$ .

## 7 Cauchy-Riemann Equation from Invariant Fields

A  $SL_2(\mathbb{R})$ -invariant first order diff.op., which annihilate the image of wavelet transform stands for Cauchy-Riemann operator. If  $\rho(Y_j)$  is representation of Lie derivative  $A, N, K$  without named then C-R operator is given by:

$$D = \rho(Y_1)e_1 + \rho(Y_2)e_2, \quad \text{and} \quad \Delta = \rho(Y_1)^2 e_1^2 + \rho(Y_2)^2 e_2^2,$$

its square is the Laplace operator. In **elliptic** case  $K$  is deleted and we get invariant C-R and Laplace operators. In **hyperbolic** case subgroup  $A$  is deleted and formulae produce a type of Dirac and wave operators:

$$D = u_2(e_1\partial_1 + e_2\partial_2), \quad \text{and} \quad \Delta = -u_2^2\partial_1^2 + (u_2\partial_2)^2$$



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## 8 Taylor Expansion over Eigenfunctions

Vacuum vector  $v_0$  is an eigenfunction of  $K$  or  $A$ . A wavelet is decomposable over the complete set of its eigenfunctions. The C-R operators kill half of them, only the other half is really needed. In the **elliptic** case eigenvectors of  $K$  are  $z^m, m = 0, 1, 2, \dots$  and the decomposition is the Taylor series:

$f(z) = \sum_0^\infty c_n z^n$ . In the **hyperbolic** case eigenvectors of  $A$  are  $z^p, p \in \mathbb{R}_+$  and a Taylor type expansion is given by the integral  $f(z) = \int_0^\infty c(p)z^p dp$ .

## 10 Representations of $SL_2(\mathbb{R})$ in Banach Algebras

Let  $\mathfrak{a} \in \mathfrak{A}$  with  $\text{sp } \mathfrak{a} \in \bar{\mathbb{D}}$  be fixed in a Banach algebra  $\mathfrak{A}$  with the unit  $e$ , then

$$g : \mathfrak{a} \mapsto g \cdot \mathfrak{a} = (\bar{\alpha}\mathfrak{a} - \bar{\beta}e)(\alpha e - \beta\mathfrak{a})^{-1}, \quad g \in SL_2(\mathbb{R}) \quad (10.1)$$

is a well defined  $SL_2(\mathbb{R})$  action on a subset  $\mathbb{A} = \{g \cdot \mathfrak{a} \mid g \in SL_2(\mathbb{R})\} \in \mathfrak{A}$ , i.e.  $\mathbb{A}$  is a  $SL_2(\mathbb{R})$ -homogeneous space. Define resolvent function  $R(g, \mathfrak{a}) : \mathbb{A} \rightarrow \mathfrak{A}$ :

$$R(g, \mathfrak{a}) = (\alpha e - \beta\mathfrak{a})^{-1} \quad \text{then} \quad R_1(g_1, \mathfrak{a})R_1(g_2, g_1^{-1}\mathfrak{a}) = R_1(g_1g_2, \mathfrak{a}). \quad (10.2)$$

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We could linearise (10.1) in  $C(\mathbb{A}, M)$ , for a left  $\mathfrak{A}$ -module  $M$  (e.g.  $M = \mathfrak{A}$ ):

$$\rho_{\mathfrak{a}}(g_1) : f(g^{-1} \cdot \mathfrak{a}) \mapsto R(g_1^{-1}g^{-1}, \mathfrak{a})f(g_1^{-1}g^{-1} \cdot \mathfrak{a}) = (\alpha'e - \beta'\mathfrak{a})^{-1} f \left( \frac{\bar{\alpha}' \cdot \mathfrak{a} - \bar{\beta}'e}{\alpha'e - \beta'\mathfrak{a}} \right).$$

For any  $\mathfrak{x} \in M$  a vacuum vector is  $v_{\mathfrak{x}}(g^{-1} \cdot \mathfrak{a}) = \mathfrak{x} \otimes v_0(g^{-1} \cdot \mathfrak{a}) \in C(\mathbb{A}, M)$ .

The wavelet transform associated with  $v_{\mathfrak{x}}$  is defined by the same formula:

$$\mathcal{W}_m f(g) = \langle f, \rho_{\mathfrak{a}}(g)v_{\mathfrak{x}} \rangle \quad (\text{an operator version of Cauchy or Bergman integral}).$$

It maps  $L_2(\mathbb{A})$  to  $C(SL_2(\mathbb{R}), M)$ . The Riesz-Dunford calculus is given by

$$\Phi : f \mapsto \mathcal{W}_1 f(0) \quad \text{for the choice } M = \mathfrak{A} \text{ and } \mathfrak{x} = e.$$

## 11 Jet Bundles and Prolongation of $\rho_1$

**Definition 11.1.** Two holomorphic functions have  $n$ th order contact in a point if their value and their first  $n$  derivatives agree at that point.

A point  $(z, \mathbf{u}^{(n)}) = (z, u, u_1, \dots, u_n)$  of the jet space  $J^n \sim \mathbb{D} \times \mathbb{C}^n$  is the equivalence class of holomorphic functions having  $n$ th contact at the point  $z$ .

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For a fixed  $n$  each holomorphic function  $f : \mathbb{D} \rightarrow \mathbb{C}$  has  $n$ th prolongation (or  $n$ -jet)  $j_n f : \mathbb{D} \rightarrow \mathbb{C}^{n+1}$  defined as follows:

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The representation  $\rho_m$  of the group  $SL_2(\mathbb{R})$  in  $B_m(\mathbb{D})$  could be prolonged to a representation  $\rho_m^{(n)}$  of  $SL_2(\mathbb{R})$  by a transformation of the jet space  $\mathbb{J}^n$ :

$$\rho_m^{(n)}(g) : (z, u, \dots, u_n) \mapsto (z(g), u(g), \dots, u_n(g)), \quad \text{where } z(g) = \frac{\bar{\alpha}z - \bar{\beta}}{-\beta z + \alpha},$$

and  $u_k(g)$  is the  $k$ th derivative of  $\rho_m u$  at the point  $z(g)$ . From the definition:

$$j_n \text{ intertwines } \rho_1 \text{ and } \rho_1^{(n)}: \quad j_n \rho_1(g) = \rho_1^{(n)}(g) j_n \quad \text{for all } g \in SL_2(\mathbb{R}).$$

## 11 Jet Bundles and Prolongation of $\rho_1$

**Definition 11.1.** Two holomorphic functions have  $n$ th order contact in a point if their value and their first  $n$  derivatives agree at that point.

A point  $(z, \mathbf{u}^{(n)}) = (z, u, u_1, \dots, u_n)$  of the jet space  $\mathbb{J}^n \sim \mathbb{D} \times \mathbb{C}^n$  is the equivalence class of holomorphic functions having  $n$ th contact at the point  $z$ .

For a fixed  $n$  each holomorphic function  $f : \mathbb{D} \rightarrow \mathbb{C}$  has  $n$ th prolongation (or  $n$ -jet)  $j_n f : \mathbb{D} \rightarrow \mathbb{C}^{n+1}$  defined as follows:

$$j_n f(z) = (f(z), f'(z), \dots, f^{(n)}(z)).$$

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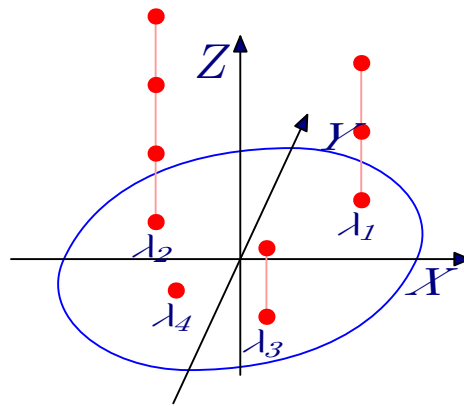
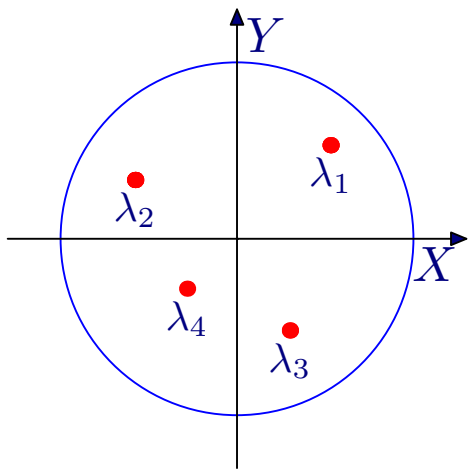
$$j_n \text{ intertwines } \rho_1 \text{ and } \rho_1^{(n)}: \quad j_n \rho_1(g) = \rho_1^{(n)}(g) j_n \quad \text{for all } g \in SL_2(\mathbb{R}).$$

**Proposition 11.2.** Let  $\mathfrak{a}$  is a Jordan block of a length  $k$  for  $\lambda = 0$ , and  $\mathfrak{x}$  be its root vector of order  $k$ , i.e.  $\mathfrak{a}^{k-1}\mathfrak{x} \neq \mathfrak{a}^k\mathfrak{x} = 0$ . Then  $\rho_{\mathfrak{a},m}$  on  $v_{\mathfrak{x}}$  is equivalent to  $\rho_m^k$ .

## 12 Spectrum and Spectral Mapping Theorem

Because of the transitive group of inner automorphisms, which could send any  $\lambda \in \mathbb{D}$  to  $0$ , we got the complete characterisation of  $\rho_{\mathbf{a}}$  for matrices.

**Proposition 12.1 (Jordan normal form).** *Representation  $\rho_{\mathbf{a}}$  is equivalent to a direct sum of the prolongations  $\rho_{\mathbf{m}}^{(k)}$  of  $\rho_{\mathbf{m}}$  in the  $k$ th jet space  $\mathbb{J}^k$  intertwined with inner automorphisms. Consequently the spectrum of  $\mathbf{a}$  (defined via the functional calculus  $\Phi = \mathcal{W}_{\mathbf{m}}$ ) consists of exactly  $n$  pairs  $(\lambda_i, k_i)$ ,  $\lambda_i \in \mathbb{D}$ ,  $k_i \in \mathbb{Z}_+$ ,  $1 \leq i \leq n$ .*



Traditional (left) and new (right) spectra of the matrix:

$$\mathbf{a} = J_3(\lambda_1) \oplus J_4(\lambda_2) \oplus J_2(\lambda_3) \oplus J_1(\lambda_4).$$

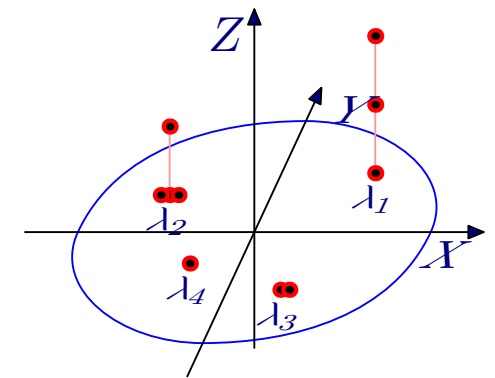
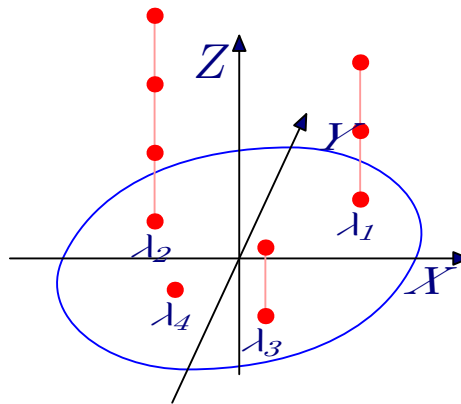
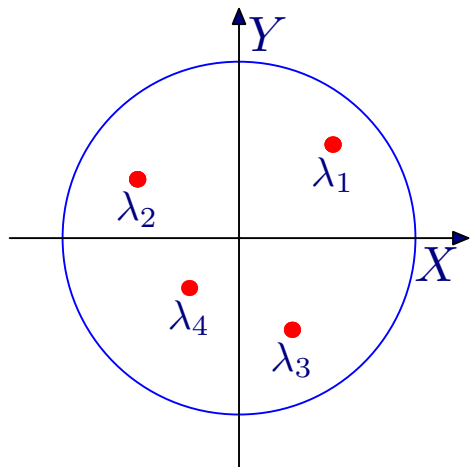


**Theorem 12.2 (Spectral mapping).** Let  $\phi : \mathbb{D} \rightarrow \mathbb{D}$  be a holomorphic map, let us define  $[\phi_* f](z) = f(\phi(z))$  and its prolongation  $\phi_*^{(n)}$  onto the jet space  $\mathbb{J}^n$ . Its associated action  $\rho_1^k \phi_*^{(n)} = \phi_*^{(n)} \rho_1^n$  on the pairs  $(\lambda, k)$  is given by the formula:

$$\phi_*^{(n)}(\lambda, k) = \left( \phi(\lambda), \left[ \frac{k}{\deg_\lambda \phi} \right] \right),$$

where  $\deg_\lambda \phi$  denotes the degree of zero of the function  $\phi(z) - \phi(\lambda)$  at the point  $z = \lambda$  and  $[x]$  denotes the integer part of  $x$ . Then

$$\text{sp } \phi(a) = \phi_*^{(n)} \text{sp } a \quad (\text{which is actually known for Jordan blocks}).$$



## 14 Calculus of Polynomially Bounded Operators in Bergman Spaces

Standard for  $\mathfrak{a}$  with  $\text{sp } \mathfrak{a} \in \bar{\mathbb{D}}$  and  $\|\mathfrak{a}^k\| < Ck^p$  to consider power bounded  $r\mathfrak{a}$ , where  $0 < r < 1$ , and its  $H_\infty$  calculus. A *better regularisation*,  $\mathfrak{a}^k \rightarrow \mathfrak{a}^k/k^p$  rather than  $\mathfrak{a}^k \rightarrow r^k \mathfrak{a}^k$ , is achieved in the present framework (although algebra homomorphism is completely lost).

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Since norm of  $f(z) = \sum_0^\infty c_k z^k$  in  $B_m$  is equivalent to  $\sum_0^\infty c_k^2/k^{m-1}$  for polynomially bounded  $\mathbf{a}$  the resolvent  $R(z, \mathbf{a})$  belongs to any  $B_m$  with  $m > 2(p + 1)$ . Define a representation of  $SL_2(\mathbb{R})$  in  $B_m(\mathbb{D} \times \mathbb{A}, M)$  by:

$$\rho'_m : f(u, \mathbf{a}) \mapsto \frac{1}{(\bar{\beta}u + \alpha)^{m-1}(\alpha e - \beta \mathbf{a})} f\left(u, \frac{\bar{\alpha}\mathbf{a} - \beta e}{\alpha e - \beta \mathbf{a}}\right).$$

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It is generated by the discrete series representation of  $SL_2(\mathbb{R})$  with the lowest weight  $m$ . For the vacuum vector  $\mathbf{v}_0(\mathbf{u}, \mathbf{a}) \equiv \mathbf{x}$  in  $B_m(\mathbb{D} \times \mathbb{A}, \mathcal{M})$ , where  $(\mathbf{x} \in \mathcal{M})$ , the corresponding functional calculus is given by the integral:

$$f(g \cdot \mathbf{a}) = \int_{\mathbb{D}} \frac{f(\mathbf{u})}{(\beta\bar{\mathbf{u}} + \bar{\alpha})^{m-1}(\bar{\alpha}\mathbf{e} - \bar{\beta}\mathbf{a})} \frac{d\mathbf{u}}{(1 - |\mathbf{u}|^2)^{m-2}}.$$

For Jordan  $k$ -blocks with  $|\lambda_i| = 1$  it is equivalent to  $k$ -prolongation of  $\rho'_m$ .

## 15 Several Variables Spectral Theory

For a joint spectrum of  $n$ -tuple of operators we have many alternatives:

- Weyl functional calculus through the Heisenberg group  $\mathbb{H}^n$  acting in  $L_2(\mathbb{R}^n)$ ; or Segal-Bargmann type functional calculus through the  $\mathbb{H}^n$  acting in  $L_2(\mathbb{C}^n)$ ;

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The Clifford algebra  $\mathcal{C}\ell(\mathfrak{n})$  is spanned by  $1, e_1, e_2, \dots, e_{\mathfrak{n}}$  with relations

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Similarly to complex analysis we could derive a Cauchy kernel (cf. resolvent):

$$R(A_1, A_2, \dots, A_n; \lambda_1, \lambda_2, \dots, \lambda_n) = \left( \sum_1^n e_k A_k - \sum_1^n e_k \lambda_k I \right)^{-1} \text{ in } B(H) \otimes \mathcal{C}\ell(n).$$



**Example 15.1.** Let  $J_1 = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$  and  $J_2 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$  be the Pauli matrices. The

Cauchy

$$\text{kernel} \frac{-\lambda_1^2 + \lambda_2^2 + 2\lambda_1\lambda_2 e_1 e_2}{(\lambda_1^2 + \lambda_2^2)^2} \begin{pmatrix} (-1 - \lambda_1)e_1 - \lambda_2 e_2 & e_2 \\ e_2 & (1 - \lambda_1)e_1 - \lambda_2 e_2 \end{pmatrix}.$$

Clifford spectrum  $\mathbf{sp}_C(J_1, J_2) = \{(0, 0)\}$ , Weyl spectrum  $\mathbf{sp}_W(J_1, J_2) = \mathbb{D}$ ,

Möbius spectrum  $\mathbf{sp}_M(J_1, J_2) = \{\rho_1, \rho_1^{(1)}\}$ .