

Completely Bounded Modules and Associated Extremal Problems

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In this paper we continue our study of certain finite dimensional Hilbert modules over the function algebra $\mathcal{A}(\Omega)$, $\Omega \subseteq \mathbb{C}^m$. We show that these modules are always completely bounded with the bound obtained as the matrix valued analogue of a certain scalar valued extremal problem. In particular, we obtain a necessary and sufficient condition for our module to be completely contractive. We produce a contractive module C_N^m over $\mathcal{A}(\mathbb{B}^m)$ such that it is completely bounded with the complete bound equal to \sqrt{m} ; that is, C_N^m is not completely contractive. © 1990 Academic Press, Inc.

INTRODUCTION

This is a continuation of our earlier work in [6]. We retain most of the notation from [6] and recall only a minimum of definitions and terminology, when necessary. For \mathbf{v} in \mathbb{C}^n and in \mathbb{C} , define the $(n+1) \times (n+1)$ -matrix

$$N(\mathbf{v}, \lambda) = \begin{pmatrix} \lambda & \mathbf{v} \\ 0 & I_n \end{pmatrix}.$$

For $\mathbf{v}^i = (v_1^i, \dots, v_n^i)$, $1 \leq i \leq m$, and $\mathbf{w} = (w_1, \dots, w_m)$ in a region \mathcal{D} in \mathbb{C}^m , we consider the m -tuple of pairwise commuting operators

$$\mathbf{N} = (N_1, \dots, N_m) = (N(\mathbf{v}^1, w_1), \dots, N(\mathbf{v}^m, w_m)).$$

Here we study the bounded $\mathcal{A}(\mathcal{D})$ -module $C_{\mathbf{N}}^{n+1}$ and determine when it is a completely bounded module.

1. C_N^{n+1} AS A COMPLETELY BOUNDED MODULE OVER $\mathcal{A}(\Omega)$

In this section we assume that

- (a) Ω is a bounded open neighbourhood of $\mathbf{0}$ in \mathbb{C}^n ;
- (b) Ω is convex and balanced;
- (c) Ω admits a group of biholomorphic automorphisms, which acts transitively on Ω .

We note that (a), (b) implies Ω is polynomially convex [4, p. 67] and so by Oka's theorem [4, p. 84], $\mathcal{A}(\Omega)$ contains all functions holomorphic in a neighbourhood of $\bar{\Omega}$.

Following Arveson [1] and Douglas [2], we give the definition of a completely bounded $\mathcal{A}(\Omega)$ -module.

For any function algebra \mathcal{A} and an integer $k \geq 1$, let $\mathcal{M}_k(\mathcal{A}) = \mathcal{A} \otimes \mathcal{M}_k(\mathbb{C})$ denote the algebra of $(k \times k)$ -matrices with entries from \mathcal{A} . Here for $F = (f_{ij})$ in $\mathcal{M}_k(\mathcal{A})$, the norm $\|F\|$ of F is defined by

$$\|F\| = \text{Sup} \{ \|(f_{ij}(z))\| : z \in M \},$$

where M is the maximal ideal space for \mathcal{A} . We note that for $\mathcal{A} = \mathcal{A}(\Omega)$, the maximal ideal space can be identified with [4, p. 67] and thus

$$\|F\| = \text{Sup} \{ |(f_{ij}(z))| : z \in \Omega \}.$$

1.1. DEFINITION. If \mathcal{H} is a bounded Hilbert \mathcal{A} -module, then $\mathcal{H} \otimes \mathbb{C}^k$ is a bounded $\mathcal{M}_k(\mathcal{A})$ -module. For each k , let n_k denote the smallest bound for $\mathcal{H} \otimes \mathbb{C}^k$. The Hilbert \mathcal{A} -module is *completely bounded* if

$$n_\infty = \lim_{k \rightarrow \infty} n_k < \infty$$

and is *completely contractive* if $n_\infty \leq 1$.

Throughout this paper V will denote the $(m \times n)$ -matrix whose rows v^1, \dots, v^m and we will write v_1, \dots, v_n for the columns of the matrix V . It was shown by the authors in [6, 2.2.4] that the map

$$\begin{aligned} \rho: \mathcal{P}(\Omega) &\rightarrow L(\mathbb{C}^{n-1}), \\ \rho(p) &= \rho(\mathbf{N}) = N(\nabla p(w) \cdot V, p(w)) \end{aligned}$$

extends continuously to $\text{Hol}(\bar{\Omega})$. Indeed, we have

$$\rho(f) = f(\mathbf{N}) = N(\nabla f(w) \cdot V, f(w))$$

for all f in $\text{Hol}(\bar{\Omega})$. It follows that the map $\rho \otimes I_k: \mathcal{M}_k(\mathcal{P}(\Omega)) \rightarrow$

$\mathcal{M}_k(\mathcal{L}(\mathbb{C}^{n \times 1}))$ extends continuously to $\mathcal{M}_k(\text{Hol}(\bar{\Omega}))$ and we have (as shown in [6, 6.2.2])

$$(\rho \otimes I_k)(f_y) = \begin{pmatrix} (f_y(w)) & (D(f_y))(w) \cdot (V \otimes I_k) \\ 0 & I_k \otimes (f_y(w)) \end{pmatrix}.$$

Let X, Y be finite dimensional normed linear spaces and Ω be an open subset of X . A function $f: \Omega \subseteq X \rightarrow Y$ is said to be holomorphic if the Frechet derivative of f at w exists as a complex linear map from X to Y . Let $I = (i_1, \dots, i_m)$ denote a multi-index of length $|I| = i_1 + \dots + i_m$ and e_k denote the multi-index with a one in the k th position and zeros elsewhere. If $P: \Omega \rightarrow \mathcal{M}_k$ is a polynomial matrix valued function, i.e., $P(z) = (p_{ij}(z))$, where each p_{ij} is a polynomial function in m variables, then we can write

$$P(z) = \sum_I P_I(z-w)^I,$$

where each p_I is a scalar $(k \times k)$ -matrix.

Now it is easy to verify that the derivative $DP(w)$ of p at w is

$$DP(w) = (p_{e_1}, \dots, p_{e_n}),$$

which acts on a vector $\mathbf{v} = (v_1, \dots, v_m)$ by

$$DP(w) \cdot \mathbf{v} = v_1 P_{e_1} + \dots + v_m P_{e_m}.$$

Recall that $\mathcal{D}P(w)$ was defined in [6, 6.2.1] as

$$\left(\left(\frac{\partial}{\partial z_1} P \right) (w), \dots, \left(\frac{\partial}{\partial z_m} P \right) (w) \right),$$

where

$$\left(\frac{\partial}{\partial z_j} P \right) (w) = \left(\frac{\partial}{\partial z_j} P_y \right) (w).$$

Thus, it is easy to see that

$$(\mathcal{D}P)(w) \cdot (V \otimes I_k) = (DP(w) \cdot v_1, \dots, DP(w) \cdot v_n).$$

Let $(X, \|\cdot\|_X)$ and $(Y, \|\cdot\|_Y)$ be normed linear spaces. By the operator norm for T in $L(X, \|\cdot\|_X; Y, \|\cdot\|_Y)$, we shall mean

$$\|T\|_X^Y = \text{Sup}\{\|Tx\|_Y : \|x\|_X \leq 1\}.$$

As in [6], we choose a norm $\|\cdot\|_\Omega$ for \mathbb{C}^m such that the unit ball of \mathbb{C}^m with respect to this norm is Ω and write the corresponding normed linear space

as $(\mathbb{C}^n, \|\cdot\|_{\Omega})$. If no norms are mentioned for \mathbb{C}^k , it is understood to be the l_2 -norm. We identify \mathcal{M}_k , the $(k \times k)$ -matrices, with $\mathcal{L}(\mathbb{C}^k, \mathbb{C}^k)$ and the norm of such a matrix is the operator norm (with respect to the l_2 -norm on \mathbb{C}^k) as above. By the same token, a linear transformation from $\mathcal{L}(X, Y)$ to $\mathcal{L}(X_1, Y_1)$ is an element of $\mathcal{L}(\mathcal{L}(X, Y), \mathcal{L}(X_1, Y_1))$ and possesses the operator norm.

1.2. DEFINITION. For $w \in \Omega$, define

$$\mathbf{D}_{\mathcal{M}_k} \Omega(w) = \{DF(w) \in \mathcal{L}((\mathbb{C}^m, \|\cdot\|_{\Omega}); \mathcal{M}_k) : F \in \mathcal{M}_k(\text{Hol}(\bar{\Omega})), \|F\| \leq 1\}.$$

Of course, V determines a map $\rho_V : \mathcal{L}((\mathbb{C}^m, \|\cdot\|_{\Omega}); \mathcal{M}_k) \rightarrow (\mathcal{L}(\mathbb{C}^{kn}, \mathbb{C}^k))$ defined by

$$\rho_V(P_1, \dots, P_m) = \left(\sum_{i=1}^m v_i^* P_i, \dots, \sum_{i=1}^m v_n^* P_i \right)$$

and we set

$$\begin{aligned} M_{\Omega}^{C,k}(V, w) &= \text{Sup}\{\|\rho_V(T)\|_{\mathcal{L}(\mathbb{C}^{kn}, \mathbb{C}^k)} : T \in \mathbf{D}_{\mathcal{M}_k} \Omega(w)\} \\ M_{\Omega}^C(V, w) &= \text{Sup}\{M_{\Omega}^{C,k}(V, w) : k \in \mathbb{N}\}. \end{aligned}$$

1.3. Remark. Here we emphasize that for T in $\mathcal{L}(\mathbb{C}^m, \|\cdot\|_{\Omega}; \mathcal{M}_k)$ since $\|T\|_{\Omega}^{C,k} = \text{Sup}\{\|(T(z))_{\mathcal{M}_k}\| : z \in \Omega\}$, it follows that $\|T\|_{\Omega}^{C,k} \leq 1$ is equivalent to saying that T maps Ω into the unit ball in \mathcal{M}_k .

The next lemma says that to determine when $\rho \otimes I_k \leq 1$, it is enough to consider those functions which vanish at a fixed but arbitrary point of Ω . However, to prove it we need the following result of Douglas, Muhly, and Pearcy [3, Proposition 2.2].

1.4. LEMMA (DMP). For $i=1, 2$ let T_i be a contraction on a Hilbert space \mathcal{H}_i and let X be an operator mapping \mathcal{H}_2 into \mathcal{H}_1 . A necessary and sufficient condition that the operator on $\mathcal{H}_1 \oplus \mathcal{H}_2$ defined by the matrix $\begin{pmatrix} T_1 & X \\ 0 & T_2 \end{pmatrix}$ be a contraction is that there exist a contraction C mapping \mathcal{H}_2 into \mathcal{H}_1 such that

$$X = (I_{\mathcal{H}_1} - T_1 T_1^*)^{1/2} C (I_{\mathcal{H}_2} - T_2^* T_2)^{1/2}.$$

We need some results about biholomorphic automorphisms of the unit ball in \mathcal{M}_k , which can be found in Harris [5, Theorem 2]. We collect the results we will need in the following proposition.

1.5. PROPOSITION (Harris). For each B in the unit ball $(\mathcal{M}_k)_1$ of \mathcal{M}_k , the Möbius transformation

$$\varphi_B(A) = (I - BB^*)^{-1/2} (A + B)(I + B^*A)^{-1} (I - B^*B)^{1/2}$$

is a biholomorphic mapping of $(\mathcal{M}_k)_1$ onto itself with $\varphi_B(\mathbf{0}) = B$. Moreover,

$$\varphi_{B^{-1}} = \varphi_{-B}, \quad \varphi_B(A)^* = \varphi_{B^*}(A^*), \quad \|\varphi_B(A)\| \leq \|\varphi_{|B|}(|A|)\|$$

and

$$D\varphi_B(A)C = (I - BB^*)^{1/2}(I + AB^*)^{-1}C(I + B^*A)^{-1}(I - B^*B)^{1/2}$$

for A in $(\mathcal{M}_k)_1$ and C in \mathcal{M}_k .

Now, we prove

1.6. LEMMA. *If $\|F(\mathbf{N})\| \leq 1$ for all F in $\mathcal{M}_k(\text{hol}(\bar{\Omega}))$ with $\|F\| \leq 1$ and $F(w) = 0$, then $\|G(\mathbf{N})\| \leq 1$ for all G in $\mathcal{M}_k(\text{Hol}(\Omega))$ with $\|G\| \leq 1$.*

Proof. Any G in $\mathcal{M}_k(\text{Hol}(\bar{\Omega}))$ of norm less than or equal to one maps Ω into $(\mathcal{M}_k)_1$. In particular for w in Ω , $\|G(w)\| \leq 1$ and we can form the Möbius map $\varphi_{-G(w)}$ of $(\mathcal{M}_k)_1$. Consider the map $\varphi_{-G(w)} \circ G$, which maps w onto zero. Thus,

$$1 \geq \|\varphi_{-G(w)} \circ G(\mathbf{N})\| = \left\| \begin{pmatrix} \mathbf{0} & [D(\varphi_{-G(w)} \circ G)(w)] \cdot V \\ \mathbf{0} & \mathbf{0} \end{pmatrix} \right\|.$$

However,

$$\begin{aligned} [D(\varphi_{-G(w)} \circ G)(w)] \cdot V &= ([D\varphi_{-G(w)}](G(w))) \cdot [DG(w) \cdot v_1], \dots \\ &\quad [D\varphi_{-G(w)}](G(w)) \cdot [DG(w) \cdot v_n]. \end{aligned}$$

Let $R = (I - G(w)G(w)^*)^{-1/2}$ and $S = (I - G(w)G(w)^*)^{-1/2}$. Thus

$$\begin{aligned} [D(\varphi_{-G(w)} \circ G)(w)] \cdot V &= (R(DG(w) \cdot v_1)S, \dots, R(DG(w) \cdot v_n)S) \\ &= R(DG(w) \cdot v_1), \dots, (DG(w) \cdot v_n) \begin{pmatrix} S & & \\ & \ddots & \\ & & S \end{pmatrix}. \end{aligned}$$

We can apply Lemma 1.4 to conclude that

$$\begin{aligned} \|G(\mathbf{N})\| &= \left\| \begin{pmatrix} G(w) & DG(w) \cdot V \\ \mathbf{0} & I_k \otimes G(w) \end{pmatrix} \right\| \\ &= \left\| \begin{pmatrix} G(w) & DG(w) \cdot v_1, \dots, DG(w) \cdot v_n \\ \mathbf{0} & I_n \otimes G(w) \end{pmatrix} \right\| \leq 1, \end{aligned}$$

which completes the proof of the lemma.

1.7. THEOREM. $\mathbb{C}^k \setminus \{1\}$ is a completely contractive $\mathcal{A}(\Omega)$ -module if and only if $M_{\Omega}^{C^k}(V, w) \leq 1$ for all k .

The proof of this theorem is identical to that of Theorem 3.4 in [6].

With this lemma at our disposal, the proof of the following proposition becomes identical to that of Theorem 3.5 in [6].

1.8. PROPOSITION. $\mathbb{C}_{i,N}^{m+1}$ is a completely bounded $\mathcal{A}(\Omega)$ -module with the bound $n_{\infty} = \max\{1, M_{\Omega}^C(V, w)\}$. Further, if $M_{\Omega}^C(V, w) > 1$ then there exists an invertible $(m+1) \times (m+1)$ -matrix L such that $\|L\|^{-1} \|L^{-1}\| = M_{\Omega}^C(V, w)$ and $\mathbb{C}_{i,N}^{m+1} \cdot L^{-1}$ is a completely contractive $\mathcal{A}(\Omega)$ -module.

The following theorem is analogous to Theorem 4.1 in [6], where only scalar valued functions were considered.

1.9. THEOREM. Let $w \in \Omega$ and θ_w be a biholomorphic automorphism of Ω such that $\theta_w(w) = \mathbf{0}$. Then,

- (a) $\mathbf{D}_{\mathcal{A}_k} \Omega(w) = \mathbf{D}_{\mathcal{A}_k} \Omega(\mathbf{0}) \cdot D\theta_w(w)$.
- (b) $\mathbf{D}_{\mathcal{A}_k} \Omega(\mathbf{0}) = \{T \in \mathcal{L}(\mathbb{C}^m, \mathcal{A}_k) : \|T\| \leq 1\}$.
- (c) $M_{\Omega}^{C,k}(V, w) = M_{\Omega}^{C,k}(D\theta_w(w) \cdot V, \mathbf{0})$.
- (d) $M_{\Omega}^{C,k}(V, \mathbf{0}) = \|\rho_V\|_{(\mathbb{C}^m, \mathcal{A}_k)}$.

Proof. Since the map $F \rightarrow F \circ \theta_w$ defines a bijection from $\{F \in \text{Hol}(\bar{\Omega}) : \|F\| \leq 1 \text{ and } F(\mathbf{0}) = 0\}$ to $\{F \in \text{Hol}(\bar{\Omega}) : \|F\| \leq 1 \text{ and } F(w) = 0\}$, (a) follows by the Chain rule.

To prove (b) first note that the Schwarz lemma as stated in Rudin [7, Theorem 8.12] actually applies to functions holomorphic from \mathbb{C}^m to \mathcal{A}_k . Recall that \mathbb{C}^m is given the norm $|\cdot|_{\Omega}$ with respect to which Ω becomes the unit ball and \mathcal{A}_k has the usual uniform operator norm. Thus if F is in $\mathcal{A}_k(\text{Hol}(\bar{\Omega}))$ with $\|F\| \leq 1$, then F must map Ω into $(\mathcal{A}_k)_1$ and the Schwarz lemma would guarantee that the linear operator $DF(\mathbf{0})$ maps Ω into $(\mathcal{A}_k)_1$. On the other hand if T is in $\mathcal{L}(\mathbb{C}^m, \mathcal{A}_k)$ and $\|T\| \leq 1$ then T automatically maps Ω into $(\mathcal{A}_k)_1$ and $T(\mathbf{0}) = \mathbf{0}$. Thus T lies in $\mathbf{D}_{\mathcal{A}_k} \Omega(\mathbf{0})$.

Part (c) follows from the definition of $M_{\Omega}^{C,k}(V, w)$.

Part (d) is also immediate from the definition, once we note that

$$\begin{aligned} \|\rho_V\| &= \text{Sup}\{\|\rho_V(T)\| : T \in \mathcal{L}(\mathbb{C}^m, \mathcal{A}_k), \|T\| \leq 1\} \\ &= \text{Sup}\{\|\rho_V(T)\| : T \in \mathbf{D}_{\mathcal{A}_k} \Omega(\mathbf{0})\}. \end{aligned}$$

2. THE UNIT BALL, POLYDISK, AND SOME RELATED EXAMPLES

In this section, we explicitly compute $\|\rho_V\|$, when the domain under consideration is the unit ball in \mathbb{C}^n .

2.1. THEOREM. $M_{\mathbb{B}^n}^C(V, \mathbf{0}) = \|\rho_V\| = (\sum_{j=1}^n \|v_j\|^2)^{1/2}$

Proof. Note that

$$\begin{aligned} & M_{\mathbb{B}^n}^{C,k}(V, \mathbf{0}) \\ &= \text{Sup} \{ \|\rho_V(P_1, \dots, P_m)\| : \|P_1 z_1 + \dots + P_m z_m\| \leq 1 \text{ for all } (z_1, \dots, z_m) \in \mathbb{B}^m \} \\ &= \text{Sup} \left\{ \left\| \left(\sum_{j=1}^n \left(\sum_{k=1}^m P_k v_j^k \right) \left(\sum_{k=1}^m P_k v_j^k \right)^* \right)^{1/2} : (P_1, \dots, P_m) \in \mathbf{D}_{\mathcal{M}_k} \mathbb{B}^n(\mathbf{0}) \right\| \right\} \\ &\leq \text{Sup} \left\{ \left(\sum_{j=1}^n \left\| \sum_{k=1}^m P_k v_j^k \right\|^2 \right)^{1/2} : (P_1, \dots, P_m) \in \mathbf{D}_{\mathcal{M}_k} \mathbb{B}^n(\mathbf{0}) \right\} \left(\sum_{j=1}^n \|v_j\|^2 \right)^{1/2} \end{aligned}$$

Since the bound for $M_{\mathbb{B}^n}^{C,k}(V, \mathbf{0})$ is independent of k , it follows that

$$M_{\mathbb{B}^n}^C(V, \mathbf{0}) = \left(\sum_{j=1}^n \|v_j\|^2 \right)^{1/2}$$

Now, Choosing $T = (T_1, \dots, T_m)$ with $T_k = e_{1k}$, where e_{1k} is the $(m \times m)$ -matrix with 1 at the $(1, k)$ position and zeros elsewhere, it is trivially verified that $\|T(z)\| \leq 1$ for all z in \mathbb{B}^m . However,

$$\begin{aligned} \|\rho_V(T)\| &= \left(\sum_{k=1}^m v_1^k T_k, \dots, \sum_{k=1}^m v_n^k T_k \right) \\ &= \left\| \left(\begin{array}{c} v_1^1, v_1^2, \dots, v_1^m \\ \hline \mathbf{0} \end{array} \right) \right\| = \left(\sum_{j=1}^n \|v_j^1\|^2 \right)^{1/2} \end{aligned}$$

COROLLARY. If \mathbb{C}_N^{n+1} is a contractive module over $\mathcal{A}(\mathbb{B}^m)$ then it is a completely bounded module with bound at most \sqrt{m} .

Proof. Assume without loss of generality that $\mathbf{N} = (N(v^1, \mathbf{0}), \dots, N(v^m, \mathbf{0}))$. Recall that \mathbb{C}_N^{n+1} is contractive over $\mathcal{A}(\mathbb{B}^m)$ if and only if $\|V\| \leq 1$ [6, Theorem 4.1(d)]. However, by the preceding theorem it is completely contractive if and only if $\sum_{j=1}^n \|v_j^1\|^2 \leq 1$.

2.2. *The polydisk.* From [6], we know that \mathbb{C}_N^{n+1} is a contractive module over $\mathcal{A}(\mathbb{D}^m)$ if and only if $\max_{1 \leq k \leq m} \|v^k\|^2 \leq 1$. However, to answer the corresponding question about completely contractive modules, we need a rather exact description of those T in the unit ball of $\mathcal{L}(\mathbb{C}^m, \|\cdot\|_{\mathcal{M}_k}; \mathcal{M}_k)$, that is, $T: \mathbb{D}^m \rightarrow (\mathcal{M}_k)_1$, so that we can compute $\text{Sup} \{ \|\rho_V(T)\|_{\mathcal{L}(\mathbb{C}^m, \mathcal{M}_k)} : T \in \mathbf{D}_{\mathcal{M}_k} \mathbb{D}^m(\mathbf{0}) \}$. This at the moment seems to be a very difficult task. Of course, if we write $T: \mathbb{C}^m \rightarrow \mathcal{M}_k$ as (T_1, \dots, T_m) then $\|T_1\| + \dots + \|T_m\| \leq 1$ implies $T: \mathbb{D}^m \rightarrow (\mathcal{M}_k)_1$.

However, the pair $((\begin{smallmatrix} 1 & 0 \\ 0 & 0 \end{smallmatrix}), (\begin{smallmatrix} 0 & 0 \\ 0 & 0 \end{smallmatrix}))$ which maps \mathbb{D}^2 into $(\mathcal{M}_2)_1$ with $\|T_1\| + \|T_2\| = 2$ shows that $\|T_1\| + \dots + \|T_m\| \leq 1$ is not a necessary condition for T to map \mathbb{D}^m into \mathcal{M}_k .

2.3. *A Family of Examples over the Ball Algebra.* Let e_1, \dots, e_m denote the usual basis in C^m ; set

$$\mathbf{N}_m = (N(\mathbf{0}, e_1), \dots, N(\mathbf{0}, e_m)).$$

Thus, in this case $V = I_n$, and it follows that C_{∞}^{m+1} is a contractive module over the ball algebra [6, Theorem 4.1(d)]. However, C_{∞}^{m+1} is not a completely contractive module over $\mathcal{A}(\mathbb{B}^m)$. Indeed, Theorem 2.1, above, implies that

$$n_{\infty}(\mathbf{N}_m) = \sqrt{m}.$$

Thus,

$$n_{\infty}(\mathbf{N}_m) \rightarrow \infty \quad \text{as } m \rightarrow \infty$$

even though each \mathbf{N}_m determines a completely contractive module. This example suggests that asymptotically it is possible to have a contractive module which is not even similar to a completely contractive module.

This family of examples perhaps should be compared to those of Varopoulos [8].

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