JORDAN STRUCTURES IN BANACH SPACES

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Abstract. We explain how Jordan algebraic structures in Banach spaces arise from the geometry of symmetric manifolds and discuss some applications.

1. Introduction

Since the introduction of Jordan algebras in quantum formalism by P. Jordan, J. von Neumann and E. Wigner [15], many unexpected applications in Lie algebra, geometry and analysis have been found (cf. [4, 13, 26, 27]). We discuss the geometric aspect of Jordan algebraic structures in Banach spaces, which has its origin in the study of infinite dimensional symmetric manifolds. Indeed, since É. Cartan's seminal work, Lie theory has been an important tool in the study of Rimannian symmetric spaces and their classification. It was found relatively recently that Jordan algebras and Jordan triple systems can be used to describe a large class of symmetric spaces which is also accessible in infinite dimension.

In finite dimensions, it is well known [2, 12] that the Hermitian symmetric spaces of non-compact type, which form a subclass of Riemannian symmetric spaces, can be realized as bounded symmetric domains in spaces of several complex variables, of which the open unit disc in \mathbb{C} is the simplest example. The concept of a bounded symmetric domain as well as É. Cartan's classification of these domains [2] can be extended to infinite dimension in the following way.

Let *D* be a domain in a complex Banach space *V*, that is, *D* is a nonempty open connected set in *V*. We call *D* a symmetric domain if each point $a \in D$ admits a symmetry $s_a : D \longrightarrow D$ (which is necessarily unique). A symmetry s_a at *a* is defined to be a biholomorphic map such that s_a^2 is the identity map and *a* is an isolated fixed point of s_a . A symmetric domain is said to be *irreducible* if it is not (biholomorphic to) a Cartesian product of symmetric domains. Cartan's classification can be very briefly described by saying that every (finite dimensional) irreducible bounded symmetric domain is biholomorphic to the open unit ball in one of the six types of complex vector spaces of matrices over \mathbb{C} or the Cayley algebra \mathbb{O} . These spaces are finite dimensional JB*-triples. An infinite dimensional extension of this classification is the following result due to Kaup [20].

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THEOREM 1.1. Let D be a bounded symmetric domain in a complex Banach space. Then D is biholomorphic to the open unit ball of a JB^* -triple.

A precursor and a finite dimensional version of the above result is due to Loos [25, 30]. Our objective is to discuss the main ingredients in the proof of the above theorem and various ramifications.

2. JB*-triples

We continue to use the above notation. A JB*-triple is a complex Banach space equipped with a Jordan triple product. How is this Jordan structure constructed in the above theorem? A crucial and fundamental device is the seminal result of H. Cartan [3], which states that the automorphism group Aut D of biholomorphic self-maps on a bounded domain $D \subset \mathbb{C}^n$ carries the structure of a Lie group, and its infinite dimensional generalization due to Upmeier [32] and Vigué [34]. If D is symmetric but possibly infinite dimensional, then the Lie group Aut D induces a JB*-structure on the tangent space T_aD at any chosen point $a \in D$ and moreover, D is biholomorphic to the open unit ball of T_aD .

For completeness, we recall that a mapping $f : D_1 \longrightarrow D_2$ between open sets D_i in complex Banach spaces V_i (i = 1, 2) is called *holomorphic* if it has a (Fréchet) *derivative* f'(a) at every point $a \in D$, where $f'(a) : V_1 \longrightarrow V_2$ is a bounded linear map satisfying

$$\lim_{z \to a} \frac{\|f(z) - f(a) - f'(a)(z - a)\|}{\|z - a\|} = 0.$$

The mapping f is called *biholomorphic* if it is bijective, holomorphic and its inverse f^{-1} is also holomorphic. The biholomorphic self-maps on a domain D form a group Aut D under function composition, called the *automorphism group* of D.

Let U be the open unit disc in \mathbb{C} and let H(D,U) denote the vector space of holomorphic maps from a *bounded* domain D in a complex Banach space V to U. Then D is endowed with the *Carathéodory metric*

$$d(z,w) = \sup\left\{ \tanh^{-1} \left| \frac{f(z) - f(w)}{1 - f(z)\overline{f(w)}} \right| : f \in H(D,U) \right\} \qquad (z,w \in D).$$

Fix a point $a \in D$. Let r > 0 so that the open ball $B(a, 4r) = \{z \in D : d(z, a) < 4r\}$ is contained in *D*. Define a metric ρ on Aut *D* by

$$\rho(f,g) = \sup\{d(f(z),g(z)) : z \in B(a,r/2)\} \qquad (f,g \in \operatorname{Aut} D).$$

Note that the metric ρ is defined by the ball B(a, r/2) of radius r/2. Equipped with the topology induced by the metric ρ , the automorphism group Aut *D* becomes a real Lie group whose Lie algebra aut *D* is formed by the complete holomorphic vector fields on *D*, with the usual Lie brackets of vector fields [32, 34]. A holomorphic vector field *X* on *D* is a holomorphic selection of a tangent vector at each point in *D*. Identifying each tangent space with the ambient Banach space *V*, we can, and will, view *X* as a

holomorphic map $X : D \longrightarrow V$. A holomorphic vector field X gives rise to a flow of local biholomorphic transformations of D by elementary theory of differential equations: for every $z_0 \in D$, there is a holomorphic map $g : T \times \Omega \longrightarrow D$ defined on the product of convex domains $T \subset \mathbb{C}$ and $\Omega \subset D$, with $0 \in T$ and $z_0 \in \Omega$, such that

$$\frac{\partial g(t,z)}{\partial t} = X(g(t,z)), \quad g(0,z_0) = z_0.$$

The vector field *X* is called *complete* if *T* can be chosen to contain the whole real line \mathbb{R} and $\Omega = D$, in which case we write

$$\exp X(z) := g(1,z) \qquad (z \in D).$$

The map $\exp X : D \longrightarrow D$ is biholomorphic and we have the exponential mapping $\exp : X \in \operatorname{aut} D \mapsto \exp X \in \operatorname{Aut} D$. The real Lie algebra $\operatorname{aut} D$ is a Banach Lie algebra in the norm

$$||X|| = \sup\{||X(z)|| : z \in B(a, r/2)\}$$
 $(X \in aut D).$

Now let *D* be a bounded symmetric domain in a complex Banach space *V* and fix a point $a \in D$ as before. The symmetry $s_a \in \operatorname{Aut} D$ induces an involutive automorphism $\theta = Ad s_a : \operatorname{aut} D \longrightarrow \operatorname{aut} D$ via differentiation. The involution θ has eigenvalues ± 1 and gives an eigenspace decomposition

$$\mathfrak{aut}D = \mathfrak{k} \oplus \mathfrak{p}$$

where \mathfrak{k} is the 1-eigenspace and \mathfrak{p} the (-1)-eigenspace of θ . The eigenspace \mathfrak{k} is the Lie algebra of the isotropy group $K = \{g \in \operatorname{Aut} D : g(a) = a\}$ whereas the eigenspace \mathfrak{p} is *real* linear isomorphic to the tangent space V via the evaluation map

$$X \in \mathfrak{p} \mapsto X(a) \in V.$$

The real vector space p admits a complex structure, that is, there is a map

 $J:\mathfrak{p}\longrightarrow\mathfrak{p}$

which satisfies $J^2 = -id$ and is defined by $(JX)(a) = iX(a) \in V$. Morevoer, we have $J\theta = \theta J$ and

$$[JX,Y](a) = i[X,Y](a)$$
 $(X \in \mathfrak{p}, Y \in \mathfrak{aut}D).$

With the complex structure J, the eigenspace p becomes a complex vector space and is complex linear isomorphic to V. We can now construct the Jordan triple product on V via the Lie triple product.

LEMMA 2.1. Let D be a bounded symmetric domain in a complex Banach space V. Then V has the structure of a Jordan triple, that is, there is a triple product $\{\cdot, \cdot, \cdot\}$: $V^3 \longrightarrow V$ which is complex linear in the outer variables but conjugate linear in the middle variable, and satisfies the Jordan triple identity

$$\{u, v, \{x, y, z\}\} = \{\{u, v, x\}, y, z\} - \{x, \{v, u, y\}, z\} + \{x, y, \{u, v, z\}\}$$

for all $u, v, x, y, z \in V$.

Proof. Let $X \in \mathfrak{p} \mapsto X(a) \in V$ be the linear isomorphism given above. For $x, y, z \in \mathbb{R}$ V with x = X(a), y = Y(a) and z = Z(a), the desired triple product is defined by

$$\{x, y, z\} = -\frac{1}{4}[[X, Y], Z](a) + \frac{1}{4}[[JX, Y], JZ](a). \qquad \Box$$

The concept of a Jordan triple was introduced by Meyberg [29] in order to extend Koecher's construction [23, 24] of Lie algebras from Jordan algebras. This construction was also discovered independently by Kantor [17, 18] and Tits [31], now called the *Tits*-Kantor-Koecher construction which lies in the background of Lemma 2.1. More details of the construction can be seen in [7, Example 4.8].

A Jordan algebra [14, 27] is a commutative, but not necessarily associative, algebra satisfying the Jordan identity

$$(ab)a^2 = a(ba^2).$$

A complex Jordan algebra \mathscr{A} with an involution * is a Jordan triple in the canonical Jordan triple product defined by

$$\{a,b,c\} = (ab^*)c + a(b^*c) - b^*(ac) \qquad (a,b,c \in \mathscr{A}).$$

Given a Jordan triple V and $z \in V$, one can define the box operator $z \Box z : V \longrightarrow V$ hv

 $z \Box z(x) = \{z, z, x\} \qquad (x \in V).$

The box operators are fundamental in the geometry of symmetric manifolds.

In Lemma 2.1, the Banach space V, which is linearly isomorphic to the tangent space T_aD , together with the Jordan triple product $\{\cdot, \cdot, \cdot\}$, need not be a JB*-triple in its original norm. We need to renorm V to a JB*-triple.

DEFINITION 2.2. A complex Banach space V is called a JB^* -triple if it is a Jordan triple with a continuous Jordan triple product satisfying

- (i) $z \Box z$ is a hemitian operator on V, that is, $\|\exp it(z \Box z)\| = 1$ for all $t \in \mathbb{R}$;
- (ii) $z \Box z$ has non-negative spectrum;
- (iii) $||z \Box z|| = ||z||^2$

for all $z \in V$.

A JB*-triple is called a JBW*-triple if, as a Banach space, it has a predual which is necessarily unique.

LEMMA 2.3. Let D be a bounded symmetric domain in a complex Banach space V. Then D is biholomorphic to the open unit ball of a JB*-triple $V' = (V, \|\cdot\|_a)$

Proof. View V as the tangent space T_aD at a chosen point $a \in D$, as before. Define the Carathéodory norm on V by

$$\|v\|_a = \sup\{|f'(a)(v)| : f \in H(D,U), f(a) = 0\} \qquad (v \in V).$$
(1)

Then $(V, \|\cdot\|_a)$ is the desired JB*-triple. \Box

REMARK 2.4. If, in the preceding lemma, D happens to be the open unit ball of V, then by choosing a = 0, the norm $\|\cdot\|_a$ is the original norm and V itself is a JB*-triple.

To achieve all the results above, one very important key is the fact that each vector field $X \in p$ is a polynomial vector field of degree 2 and has the form

$$X(z) = X(a) - \{z, X(a), z\} \qquad (z \in D).$$
(2)

Complete proofs for what has been asserted all above can be found in the original work of Kaup [19, 20] or [4, 33]. The converse of Theorem 1.1 is the following result in [20].

THEOREM 2.5. Let V be a JB^* -triple. Then its open unit ball is a bounded symmetric domain.

Proof. Let *D* be the open unit ball of *V*. Evidently $s_0(z) = -z$ is a symmetry at the origin 0. To see that every point $a \in D$ has a symmetry, we only need to '*move*' the symmetry s_0 to *a* via the Möbius transformation $g_a : D \longrightarrow D$ defined by

$$g_a(x) = a + B(a,a)^{1/2} (id + x \Box a)^{-1}(x)$$
 $(x \in D)$

where $B(a,a): V \longrightarrow V$ is the Bergman operator defined by

$$B(a,a)(v) = v - 2\{a,a,v\} + \{a,\{a,v,a\},a\} \qquad (v \in V).$$

The symmetry s_a at a is given by $s_a = g_a \circ s_0 \circ g_a^{-1}$. \Box

3. Applications

The importance of JB*-triples in the geometry of Hermitian symmetric spaces cannot be overemphasized. On the other hand, JB*-triples also play an important role in analysis. In the vista of functional analysis, they form an important class of Banach spaces, including Hilbert spaces, C*-algebras, spaces of operators between Hilbert spaces and some exceptional Jordan Banach algebras. Further, the construction of the Jordan triple product from a bounded symmetric domain reveals that *every* complex Banach space V admits a Jordan algebraic structure! Indeed, let D be the open unit ball of V and let

$$\mathfrak{aut}D = \mathfrak{k} \oplus \mathfrak{p}$$

be the eigenspace decomposition induced by the symmetry $s_0(z) = -z$ at the origin $0 \in D$. Although *D* need not be a symmetric domain, the vector fields $X \in \mathfrak{p}$ are still polynomials of degree 2. Let

$$V_{\mathfrak{s}} = \{X(0) : X \in \mathfrak{aut}D\} = \{X(0) : X \in \mathfrak{p}\}$$

which is a closed subspace of V and the open unit ball $D_s := D \cap V_s$ of V_s is a symmetric domain. Therefore V_s is a JB*-triple and is called the *symmetric part* of V [21]. Of course, V itself is a JB*-triple if, and only if, $V = V_s$.

The fact that every complex Banach space V contains a subspace V_s which is a JB*-triple is a remarkable phenomenon. This suggests that V_s is an interesting object of study.

EXAMPLE 3.1. A Banach algebra \mathscr{A} with identity **1** is said to satisfy the *von Neumann inequality* if for each $a \in \mathscr{A}$ with $||a|| \leq 1$, we have

$$||p(a)|| \leq \sup\{|p(\alpha)| : |\alpha| = 1\}$$

for every polynomial p with complex coefficients. This property can be characterized by the the symmetric part \mathscr{A}_s of \mathscr{A} . In fact, \mathscr{A} satisfies the von Neumann inequality if, and only if, $\mathbf{1} \in \mathscr{A}_s$. The necessity has been shown in [1] and the sufficiency was shown in [10].

From the viewpoint of JB*-triples, many results in operator algebras can be seen simply through a geometric perspective. A C*-algebra \mathscr{A} is a JB*-triple in the Jordan triple product

$$\{a,b,c\} = \frac{1}{2}(ab^*c + cb^*a) \qquad (a,b,c \in \mathscr{A}).$$

The complex Banach space B(H,K) of bounded linear operators between Hilbert spaces H and K also forms a JB*-triple with the triple product

$$\{a,b,c\} = \frac{1}{2}(ab^*c + cb^*a)$$
 $(a,b,c \in B(H,K)).$

An important feature of JB*-triples is that their norm and triple product determine each other.

THEOREM 3.2. Let $\varphi: V \longrightarrow W$ be a linear bijection between JB*-triples V and W. Then φ is an isometry if, and only if, φ is a triple homomorphism, that is, φ preserves the triple product:

$$\varphi\{a,b,c\} = \{\varphi(a),\varphi(b),\varphi(c)\} \qquad (a,b,c \in V).$$

Proof. Let φ be an isometry. By the polarization

$$2\{x, y, z\} = \{x + z, y, x + z\} - \{x, y, x\} - \{z, y, z\},\$$

it suffices to show

$$\varphi\{z, a, z\} = \{\varphi(z), \varphi(a), \varphi(z)\} \qquad (a, z \in V)$$

where, we may assume ||z|| < 1.

Consider *V* and *W* as the tangent space at 0 of the open unit balls D_V and D_W respectively, which are symmetric domains. Let $\operatorname{aut} D_W = \mathfrak{k} \oplus \mathfrak{p}$ be the eigenspace decomposition induced by the symmetry $s_0(w) = -w$ at $0 \in D_W$.

Let $a \in V$. Since the evaluation map $Y \in \mathfrak{p} \mapsto Y(0) \in W$ is a linear isomorphism, there is a unique vector field $Y_{\varphi(a)} \in \mathfrak{p}$ such that $Y_{\varphi(a)}(0) = \varphi(a)$. Likewise, let X_a be the unique complete holomorphic vector field on D_V such that $X_a(0) = a$. Since $\varphi : D_V \longrightarrow D_W$ is a surjective linear isometry, $\varphi X_a \varphi^{-1}$ is a complete holomorphic vector field on D_W satisfying

$$(\varphi X_a \varphi^{-1})(0) = \varphi(a).$$

Hence we have $\varphi X_a \varphi^{-1} = Y_{\varphi(a)}$. This gives, using (2),

$$\varphi(a) - \{w, \varphi(a), w\} = Y_{\varphi(a)}(w) = (\varphi X_a \varphi^{-1})(w) = \varphi(a) - \varphi \{\varphi^{-1}(w), a, \varphi^{-1}(w)\}$$
$$(w \in D_W)$$

and it follows that, letting $z = \varphi^{-1}(w) \in D_V$,

$$\varphi\{z, a, z\} = \{\varphi(z), \varphi(a), \varphi(z)\} \qquad (z \in D_V).$$

Conversely, let φ be a triple homomorphism and let $a \in V \setminus \{0\}$. Let V(a) be the JB*-subtriple generated by a. Then $\varphi(V(a))$ is the JB*-subtriple $W(\varphi(a))$ generated by $\varphi(a)$ in W. Further, for each complex-valued triple homomorphism χ of $W(\varphi(a))$, the composite $\chi \circ \varphi$ is a complex-valued triple homomorphism of V(a). It follows that

 $\|\varphi(a)\| = \sup\{|\chi(\varphi(a))| : \chi \text{ is a triple homomorphism of } W(\varphi(a))\} \leq \|a\|.$

The same applies to the inverse φ^{-1} which concludes the proof. \Box

The above result in [20] not only subsumes Kadison's result [16] on isometries between C*-algebras, but also renders it a geometric perspective. The latter part of the proof of sufficiency in the preceding theorem makes use of the spectral theory in JB*-triples, applicable to *non-self-adjoint* operators in C*-algebras, namely, the closed subtriple V(a) generated by *any* element *a* in a JB*-triple *V* is linearly isometric to the C*-algebra $C_0(\sigma(a))$ of continuous functions vanishing at infinity on the triple spectrum $\sigma(a) \subset [0, \infty)$ of *a* [20].

Cartan's classification of bounded symmetric domains and Theorem 1.1 can be viewed as generalizations of the Riemann mapping theorem. In this context, the open unit balls of JB*-triples are infinite dimensional generalization of the open unit disc U is the complex plane. It is therefore natural to study function theory on the open unit ball D of a JB*-triple V and expect fruitful applications of Jordan structures. Useful

tools are the box operators $z \Box z : V \longrightarrow V$, the Möbius transformations $g_a : D \longrightarrow D$ and the Bergman operators $B(b,c) : V \longrightarrow V$, where $a \in D$ and $b, c \in V$,

$$B(b,c)(z) = z - 2\{b,c,z\} + \{b,\{c,z,c\},b\} \qquad (z \in V).$$

We mention two examples to highlight the use of Jordan structures. We first note that the Bergamn operator B(a,a) has positive spectrum and

$$g'_a(0) = B(a,a)^{1/2}$$

In applications, it is essential to estimate the norm of the square roots of B(a,a). The formula

$$||B(a,a)^{-1/2}|| = \frac{1}{1 - ||a||^2}$$

has been derived in [22]. An alternative proof can be found in [4, Chapter 3]. If V is an abelian C*-algebra, we have

$$||B(a,a)^{1/2}|| = 1 - ||a||^2.$$

For a Hilbert space V with inner product $\langle \cdot, \cdot \rangle$, which is a JB*-triple in the triple product $2\{x, y, z\} = \langle x, y \rangle z + \langle z, y \rangle x$, we have

$$||B(a,a)^{1/2}||^2 = ||B(a,a)|| = \begin{cases} (1-||a||^2)^2 & \text{if } \dim V = 1\\ 1-||a||^2 & \text{if } \dim V \ge 2 \end{cases}$$

(cf. [4, 8]). The following distortion theorem has been proved in [8].

THEOREM 3.3. Let D be the open unit ball of a JB*-triple V and let $f : D \longrightarrow V$ be a biholomorphic map onto f(D) which is convex. Given that f(0) = 0 and f'(0) is the identity map, we have, for $a \in D$,

(i)
$$\frac{1}{(1+||a||)^2} \leq ||f'(a)|| \leq \frac{1}{(1-||a||)^2}.$$

(ii) $\frac{(1-||a||)||z||}{(1+||a||)||B(a,a)^{1/2}||} \leq ||f'(a)(z)|| \leq \frac{||z||}{(1-||a||)^2} \qquad (z \in V).$

Proof. We refer to [8] for details, but simply note that, for example, the Jordan technique is used in the following computation:

$$\begin{split} \|f'(a)(z)\| &\leqslant \frac{1+\|a\|}{1-\|a\|} \|z\|_a = \frac{1+\|a\|}{1-\|a\|} \|g'_{-a}(a)(z)\|_{g_{-a}(a)} \\ &= \frac{1+\|a\|}{1-\|a\|} \|B(a,a)^{-1/2}(z)\| \leqslant \frac{1+\|a\|}{1-\|a\|} \left(\frac{\|z\|}{1-\|a\|^2}\right) \\ &= \frac{\|z\|}{(1-\|a\|)^2} \end{split}$$

where $||z||_a$ is the Carathéodory norm defined in (1). If V is an abelian C*-algebra, the the lower bound in (ii) reduces to

$$\frac{\|z\|}{(1+\|a\|)^2}.$$

Our second example concerns the dynamics of a holomorphic map $f: D \longrightarrow D$ on a bounded symmetric domain D of any dimension. By Theorem 1.1, we regard Das the open unit ball of a JB*-triple V. If f has no fixed point and the image f(D) is relatively compact, then it is easily seen that there is a sequence (z_k) in D converging to a boundary point $\xi \in \partial D$ with $\lim_k f(z_k) = \xi$. Further, if the sequence of operators

$$(1 - ||z_k||^2)B(z_k, z_k)^{-1/2} : V \longrightarrow V$$

converges uniformly to an operator $T \in L(V)$, which is the case if dim $V < \infty$ or V is a Hilbert space, then for any $\lambda > 0$, the set

$$D(\xi,\lambda) := \{ x \in D : \|B(x,x)^{-1/2}B(x,\xi)T\| < \lambda \}$$

is *f*-invariant, that is, $f(D(\xi,\lambda)) \subset D(\xi,\lambda)$. This result has been proved in [28]. When *D* is the open unit ball in a Hilbert space *V*, the following Denjoy-Wolff theorem for *f* has been proved in [9].

THEOREM 3.4. Let D be the open unit ball of a Hilbert space and $f: D \longrightarrow D$ a holomorphic map without fixed point such that f(D) is relatively compact. Then the iterates (f^n) of f converge to a constant function $g(\cdot) = \xi$, uniformly on any open ball strictly contained in D, where $\|\xi\| = 1$.

Finally, we refer to [11] for applications of Jordan theory in harmonic analysis on symmetric cones. Some connections found recently between Jordan structures and harmonic analysis are described in [5, 6].

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