

Polar decompositions of normal operators in indefinite inner product spaces

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Abstract. Polar decompositions of normal matrices in indefinite inner product spaces are studied. The main result of this paper provides sufficient conditions for a normal operator in a Krein space to admit a polar decomposition. As an application of this result, we show that any normal matrix in a finite dimensional indefinite inner product space admits a polar decomposition which answers affirmatively an open question formulated in [2]. Furthermore, necessary and sufficient conditions are given for normal matrices to admit a polar decomposition or to admit a polar decomposition with commuting factors.

Mathematics Subject Classification (2000). 47B50, 46C20, 15A23.

Keywords. Krein spaces, polar decompositions, normal operators, indefinite inner products.

1. Introduction

Let \mathcal{H} be a (complex) Hilbert space, and let H be a (bounded) selfadjoint operator on \mathcal{H} , which is boundedly invertible. The operator H defines a Krein space structure on \mathcal{H} , via the indefinite inner product

$$[x, y] = \langle Hx, y \rangle, \quad x, y \in \mathcal{H},$$

where $\langle \cdot, \cdot \rangle$ is the Hilbert inner product in \mathcal{H} . All operators in the paper are assumed to be linear and bounded. We denote by $\mathcal{L}(\mathcal{H})$ the Banach algebra of bounded linear operators on \mathcal{H} . The adjoint of an operator $X \in \mathcal{L}(\mathcal{H})$ with respect to $\langle \cdot, \cdot \rangle$ will be denoted by X^* .

A large part of this work was performed while the first author was visiting the Vrije Universiteit Amsterdam and while he was supported by the Research Training Network HPRN-CT-2000-00116 of the European Union, "Classical Analysis, Operator Theory, Geometry of Banach Spaces, their interplay and their applications".

Research of the third author was supported in part by NSF grant DMS-9988579 and by a Faculty Research Assignment grant from the College of William and Mary.

An operator $X \in \mathcal{L}(\mathcal{H})$ is said to be an *H-isometry* if $[Xx, Xy] = [x, y]$ for all $x, y \in \mathcal{H}$, and is called *H-selfadjoint* if $[Xx, y] = [x, Xy]$ for all $x, y \in \mathcal{H}$. An operator $X \in \mathcal{L}(\mathcal{H})$ is called *H-normal* if

$$XX^{[*]} = X^{[*]}X,$$

where $X^{[*]}$ is the adjoint of X with respect to the indefinite inner product $[\cdot, \cdot]$.

Given a (linear bounded) operator X on \mathcal{H} , a decomposition of the form

$$X = UA,$$

where U is an invertible *H-isometry* (in other words, U is *H-unitary*) and A is *H-selfadjoint*, is called an *H-polar decomposition* of X . An analogous decomposition of the form $X = AU$ will be called a *right H-polar decomposition* for X .

In the context of positive definite inner products, polar decompositions (which are usually taken with the additional requirement that A be positive semidefinite and the relaxation that U need be a partial isometry only instead of an invertible one) are a basic tool of operator theory. In context of indefinite inner products, they have been studied extensively in recent years (see, e.g., [4, 2, 3, 16, 13]), in particular, in connection with matrix computations [7, 8].

Remark 1. An operator $X \in \mathcal{L}(\mathcal{H})$ admits an *H-polar decomposition* if and only if it admits a *right H-polar decomposition*. This follows easily from the fact that $X = UA = (UAU^{-1})U$.

Our main result, Theorem 4, is stated and proved in the next section. In particular, it follows from Theorem 4 that for a finite dimensional \mathcal{H} every *H-normal* operator admits an *H-polar decomposition*, thereby settling in the affirmative an open question formulated in [2]. In Sections 3 and 4 we apply the main result to other properties that *H-normal* operators may have in connection with *H-polar decompositions*, assuming that \mathcal{H} is finite dimensional. In particular, we provide necessary and sufficient conditions for normal matrices to admit a polar decomposition or to admit a polar decomposition with commuting factors.

2. The main result

In this section, we will provide sufficient conditions for an *H-normal* operator to admit an *H-polar decomposition*. The proof of the main result will be based on the following decomposition that is of interest in itself.

Lemma 2. *Let $X \in \mathcal{L}(\mathcal{H})$, and let $Q_{\text{Ker } X}$ be the orthogonal (in the Hilbert space sense) projection onto $\text{Ker } X$. Assume that the operator*

$$Q_{\text{Ker } X} H Q_{\text{Ker } X} |_{\text{Ker } X} : \text{Ker } X \longrightarrow \text{Ker } X \quad (1)$$

has closed range. Then there exists an invertible operator $P \in \mathcal{L}(\mathcal{H})$, a Hilbert space orthogonal decomposition

$$\mathcal{H} = \mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \mathcal{H}_2 \oplus \tilde{\mathcal{H}}_0 \quad (2)$$

and a Hilbert space isomorphism $H_{14} : \mathcal{H}_0 \rightarrow \widetilde{\mathcal{H}}_0$, such that

$$\text{Ker}(P^{-1}XP) = \mathcal{H}_0 \oplus \mathcal{H}_1, \quad (3)$$

and with respect to decomposition (2), $P^{-1}XP$, P^*HP , and $P^{-1}X^{[*]}P$ have the following block operator matrix forms:

$$P^{-1}XP = \begin{bmatrix} 0 & 0 & X_{13} & X_{14} \\ 0 & 0 & X_{23} & X_{24} \\ 0 & 0 & X_{33} & X_{34} \\ 0 & 0 & X_{43} & X_{44} \end{bmatrix}, \quad P^*HP = \begin{bmatrix} 0 & 0 & 0 & H_{14} \\ 0 & H_{22} & 0 & 0 \\ 0 & 0 & H_{33} & 0 \\ H_{14}^* & 0 & 0 & 0 \end{bmatrix}, \quad (4)$$

and

$$P^{-1}X^{[*]}P = \begin{bmatrix} H_{14}^{-*}X_{44}^*H_{14}^* & H_{14}^{-*}X_{24}^*H_{22} & H_{14}^{-*}X_{34}^*H_{33} & H_{14}^{-*}X_{14}^*H_{14} \\ 0 & 0 & 0 & 0 \\ H_{33}^{-1}X_{43}^*H_{14}^* & H_{33}^{-1}X_{23}^*H_{22} & H_{33}^{-1}X_{33}^*H_{33} & H_{33}^{-1}X_{13}^*H_{14} \\ 0 & 0 & 0 & 0 \end{bmatrix}, \quad (5)$$

where $H_{14}^{-*} := (H_{14}^*)^{-1}$. Moreover, if X is H -normal, then $X_{23} = 0$, $X_{43} = 0$, and X_{33} is H_{33} -normal.

Proof. Let $\mathcal{H} = \mathcal{G}_0 \oplus \mathcal{G}_1$ where $\mathcal{G}_0 = \text{Ker } X$ and $\mathcal{G}_1 = (\text{Ker } X)^\perp$. Then with respect to this decomposition, X and H have the forms

$$X = \begin{bmatrix} 0 & \widehat{X}_{12} \\ 0 & \widehat{X}_{22} \end{bmatrix}, \quad H = \begin{bmatrix} \widehat{H}_{11} & \widehat{H}_{12} \\ \widehat{H}_{12}^* & \widehat{H}_{22} \end{bmatrix}.$$

By the hypothesis, \widehat{H}_{11} has closed range, so we may further orthogonally decompose $\mathcal{G}_0 = \mathcal{H}_0 \oplus \mathcal{H}_1$ such that with respect to the decomposition $\mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \mathcal{G}_1$ the operators X and H have the forms

$$X = \begin{bmatrix} 0 & 0 & \widehat{X}_{13} \\ 0 & 0 & \widehat{X}_{23} \\ 0 & 0 & \widehat{X}_{33} \end{bmatrix}, \quad H = \begin{bmatrix} 0 & 0 & H_{13} \\ 0 & H_{22} & H_{23} \\ H_{13}^* & H_{23}^* & \widehat{H}_{33} \end{bmatrix},$$

where $H_{22} : \mathcal{H}_1 \rightarrow \mathcal{H}_1$ is invertible. Then setting

$$P_1 := \begin{bmatrix} I & 0 & 0 \\ 0 & I & -H_{22}^{-1}H_{23} \\ 0 & 0 & I \end{bmatrix}$$

implies

$$P_1^{-1}XP_1 = \begin{bmatrix} 0 & 0 & \widehat{X}_{13} \\ 0 & 0 & \widehat{X}_{23} + H_{22}^{-1}H_{23}\widehat{X}_{33} \\ 0 & 0 & \widehat{X}_{33} \end{bmatrix}, \quad P_1^*HP_1 = \begin{bmatrix} 0 & 0 & H_{13} \\ 0 & H_{22} & 0 \\ H_{13}^* & 0 & \widetilde{H}_{33} \end{bmatrix}.$$

Since H is invertible, we obtain that H_{13} is right invertible. Let $\mathcal{H}_2 = \text{Ker } H_{13}$, $\tilde{\mathcal{H}}_0 = (\text{Ker } H_{13})^\perp$, and decompose $\mathcal{G}_1 = \mathcal{H}_2 \oplus \tilde{\mathcal{H}}_0$. Then there exist invertible operators $S : \mathcal{H}_0 \rightarrow \mathcal{H}_0$ and $T : \mathcal{G}_1 \rightarrow \mathcal{G}_1$ such that $S^* H_{13} T = \begin{bmatrix} 0 & H_{14} \end{bmatrix}$, where $H_{14} : \mathcal{H}_0 \rightarrow \tilde{\mathcal{H}}_0$ is a Hilbert space isomorphism. Then setting $P_2 = P_1 \cdot (S \oplus I_{\mathcal{H}_1} \oplus T)$, we get

$$P_2^{-1} X P_2 = \begin{bmatrix} 0 & 0 & \tilde{X}_{13} & \tilde{X}_{14} \\ 0 & 0 & \tilde{X}_{23} & \tilde{X}_{24} \\ 0 & 0 & \tilde{X}_{33} & \tilde{X}_{34} \\ 0 & 0 & \tilde{X}_{43} & \tilde{X}_{44} \end{bmatrix}, \quad P_2^* H P_2 = \begin{bmatrix} 0 & 0 & 0 & H_{14} \\ 0 & H_{22} & 0 & 0 \\ 0 & 0 & H_{33} & H_{34} \\ H_{14}^* & 0 & H_{34}^* & H_{44} \end{bmatrix}.$$

Finally, setting

$$P := P_1 P_2 \begin{bmatrix} I & 0 & -(H_{14}^*)^{-1} H_{34}^* & -\frac{1}{2} (H_{14}^*)^{-1} H_{44} \\ 0 & I & 0 & 0 \\ 0 & 0 & I & 0 \\ 0 & 0 & 0 & I \end{bmatrix},$$

we obtain that $P^{-1} X P$ and $P^* H P$ have the form as in (4). A straightforward computation shows that $P^{-1} X^{[*]} P$ has the form (5). Furthermore,

$$P^{-1} X^{[*]} X P = \begin{bmatrix} 0 & 0 & * & * \\ 0 & 0 & 0 & 0 \\ 0 & 0 & * & * \\ 0 & 0 & 0 & 0 \end{bmatrix}.$$

Now, let X be H -normal, i.e., $P^{-1} X X^{[*]} P = P^{-1} X^{[*]} X P$. This implies that the first two operator columns of $P^{-1} X X^{[*]} P$ are zero, i.e.,

$$\begin{bmatrix} X_{13} \\ X_{23} \\ X_{33} \\ X_{43} \end{bmatrix} \begin{bmatrix} H_{33}^{-1} X_{43}^* H_{14}^* & H_{33}^{-1} X_{23}^* H_{22} \end{bmatrix} = 0. \quad (6)$$

Observe that the first operator matrix in (6) has zero kernel, because of (3). This implies $X_{43} = 0$ and $X_{23} = 0$. Then comparing the blocks in the (3, 3)-positions of $P^{-1} X X^{[*]} P$ and $P^{-1} X^{[*]} X P$, we obtain $X_{33} H_{33}^{-1} X_{33}^* H_{33} = H_{33}^{-1} X_{33}^* H_{33} X_{33}$, i.e., X_{33} is H_{33} -normal. \square

Next, we state a lemma that is of a general nature. We say that a point $\lambda \in \sigma(X)$, $X \in \mathcal{L}(\mathcal{H})$, is an *eigenvalue of finite type* if λ is an isolated point of the spectrum $\sigma(X)$ and the spectral projection $(2\pi i)^{-1} \int_{|\xi|=\epsilon} (\xi I - X)^{-1} d\xi$, where $\epsilon > 0$ is sufficiently small, has finite rank. It is easy to see (by using the decomposition of \mathcal{H} as a direct sum of two X -invariant subspaces so that $X - \lambda I$ is invertible on one of them, and $X - \lambda I$ is nilpotent on the other) that if λ is an eigenvalue of

finite type of X , and if \mathcal{M} is an X -invariant subspace such that $\lambda \in \sigma(X|_{\mathcal{M}})$, then λ is an eigenvalue of finite type of the restriction $X|_{\mathcal{M}}$.

Lemma 3. *Let $X \in \mathcal{L}(\mathcal{H})$ be such that 0 is an eigenvalue of finite type of X . Then we have that $\dim \text{Ker } X = \dim \text{Ker } X^{[*]}$.*

Proof. By the assumption the spectral subspace \mathcal{H}_0 of X corresponding to the zero eigenvalue is finite dimensional. Write $\mathcal{H} = \mathcal{H}_0 \oplus \mathcal{H}_0^\perp$, and with respect to this decomposition write

$$X = \begin{bmatrix} X_{11} & X_{12} \\ 0 & X_{22} \end{bmatrix}.$$

Then $\sigma(X_{11}) = \{0\}$ and X_{22} is invertible. Now $\dim \text{Ker } X^{[*]} = \dim \text{Ker } X^*$. We have

$$\text{Ker } X^* = \left\{ \begin{bmatrix} x_1 \\ x_2 \end{bmatrix} \mid x_1 \in \text{Ker } X_{11}^*, x_2 = -(X_{22}^*)^{-1} X_{12}^* x_1 \right\}.$$

Also $\dim \text{Ker } X_{11}^* = \dim \text{Ker } X_{11}$ as \mathcal{H}_0 is finite dimensional. So

$$\dim \text{Ker } X^* = \dim \text{Ker } X_{11}^* = \dim \text{Ker } X_{11} = \dim \text{Ker } X,$$

as required. \square

We are now ready to state our main result.

Theorem 4. *Assume that $X \in \mathcal{L}(\mathcal{H})$ satisfies the following properties:*

- (a) X is H -normal;
- (b) either X is invertible, or 0 is an eigenvalue of X of finite type;
- (c) $\sigma(X)$ does not surround zero, i.e., there exists a continuous path in the complex plane that connects a sufficiently small neighborhood of zero with infinity and lies entirely in the resolvent set $\mathbb{C} \setminus \sigma(X)$.

Assume in addition that one of the following conditions hold:

- (i) $\text{Ker } X = \text{Ker } X^{[*]}$;
- (ii) \mathcal{H} with the indefinite inner product generated by H is a Pontryagin space, i.e., at least one of the two spectral subspaces of H corresponding to the positive part of $\sigma(H)$ and to the negative part of $\sigma(H)$ is finite dimensional.

Then X admits an H -polar decomposition.

Proof. The proof starts with a general construction that is independent of whether we assume the additional conditions (i) or (ii) or not.

By Lemma 2 we may assume that

$$X = \begin{bmatrix} 0 & 0 & X_{13} & X_{14} \\ 0 & 0 & 0 & X_{24} \\ 0 & 0 & X_{33} & X_{34} \\ 0 & 0 & 0 & X_{44} \end{bmatrix}, \quad H = \begin{bmatrix} 0 & 0 & 0 & H_{14} \\ 0 & H_{22} & 0 & 0 \\ 0 & 0 & H_{33} & 0 \\ H_{14}^* & 0 & 0 & 0 \end{bmatrix}, \quad (7)$$

with respect to an orthogonal decomposition

$$\mathcal{H} = \mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \mathcal{H}_2 \oplus \tilde{\mathcal{H}}_0,$$

where $\text{Ker } X = \mathcal{H}_0 \oplus \mathcal{H}_1$, where X_{33} is H_{33} -normal, and where $H_{14} : \mathcal{H}_0 \rightarrow \tilde{\mathcal{H}}_0$ is a Hilbert space isomorphism. (Note that by the hypotheses of the theorem, clearly the operator (1) has closed range). In the following, we will identify \mathcal{H}_0 and $\tilde{\mathcal{H}}_0$ via the isomorphism H_{14} , i.e., we assume without loss of generality that $\mathcal{H}_0 = \tilde{\mathcal{H}}_0$ and $H_{14} = I_{\mathcal{H}_0}$.

We use induction on the dimension of the spectral subspace of X corresponding to the eigenvalue 0. The base of induction, i.e., the case when X is invertible, was proved in [13] (note that the finite dimensional proof given in [13] carries over to the infinite dimensional case using the property (c) of X).

We have

$$\sigma(X_{33}) \cup \{0\} = \sigma(\tilde{X}), \quad \text{where } \tilde{X} := \left(\begin{array}{ccc} 0 & 0 & X_{13} \\ 0 & 0 & 0 \\ 0 & 0 & X_{33} \end{array} \right).$$

Moreover, the unbounded component of $\mathbb{C} \setminus \sigma(\tilde{X})$ contains the unbounded component of $\mathbb{C} \setminus \sigma(X)$ (this is a general property of the spectrum of a restriction of an operator to its invariant subspace). Thus, the property (c) holds true for X_{33} .

To see that X_{33} satisfies property (b), we have to show that either X_{33} is invertible, or 0 is an eigenvalue of finite type of X_{33} . Assume then that X_{33} is not invertible. Since 0 is an eigenvalue of finite type of X , it is also an eigenvalue of finite type for X restricted to its invariant subspace $\mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \mathcal{H}_2$. In order to show that 0 is an eigenvalue of finite type of X_{33} all we need to show is that $\dim \text{Ker } X_{33}^n$ is uniformly bounded. We have that $\dim \text{Ker } \tilde{X}^n \leq \dim \text{Ker } X^n$, and so $\dim \text{Ker } \tilde{X}^n$ is uniformly bounded. Now

$$\tilde{X}^n = \begin{bmatrix} 0 & 0 & X_{13}X_{33}^{n-1} \\ 0 & 0 & 0 \\ 0 & 0 & X_{33}^n \end{bmatrix},$$

and so

$$\text{Ker } \tilde{X}^n = \mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \text{Ker } X_{33}^{n-1},$$

where the latter equality follows from

$$\text{Ker } \begin{bmatrix} X_{13} \\ X_{33} \end{bmatrix} = \{0\} \tag{8}$$

by construction of the form (7). Hence we have that $\dim \text{Ker } X_{33}^{n-1}$ is uniformly bounded, and so 0 is an eigenvalue of finite type of X_{33} whenever X_{33} is not invertible.

If (ii) is satisfied, i.e., if \mathcal{H} with the indefinite inner product generated by H is a Pontryagin space, then also \mathcal{H}_2 with the indefinite inner product generated by H_{33} is a Pontryagin space. On the other hand, if (i) is satisfied, i.e., $\text{Ker } X =$

$\text{Ker } X^{[*]}$, then we obtain $X_{24} = 0$ and $X_{44} = 0$, and

$$X^{[*]}X = \begin{bmatrix} 0 & 0 & X_{34}^* H_{33} X_{33} & X_{34}^* H_{33} X_{34} \\ 0 & 0 & 0 & 0 \\ 0 & 0 & X_{33}^{[*]} X_{33} & X_{33}^{[*]} X_{34} \\ 0 & 0 & 0 & 0 \end{bmatrix},$$

$$X X^{[*]} = \begin{bmatrix} 0 & 0 & X_{13} X_{33}^{[*]} & X_{13} H_{33}^{-1} X_{13}^* \\ 0 & 0 & 0 & 0 \\ 0 & 0 & X_{33} X_{33}^{[*]} & X_{33} H_{33}^{-1} X_{13}^* \\ 0 & 0 & 0 & 0 \end{bmatrix}.$$

Assume that $x \in \text{Ker } X_{33}$. Then

$$X X^{[*]} \begin{bmatrix} 0 & 0 & x & 0 \end{bmatrix}^T = X^{[*]} X \begin{bmatrix} 0 & 0 & x & 0 \end{bmatrix}^T = 0$$

which implies

$$\begin{bmatrix} X_{13} \\ X_{33} \end{bmatrix} X_{33}^{[*]} x = 0.$$

Because of (8), we obtain $X_{33}^{[*]} x = 0$ and $\text{Ker } X_{33} \subseteq \text{Ker } X_{33}^{[*]}$. The other inclusion follows analogously. So, $\text{Ker } X = \text{Ker } X^{[*]}$ implies that $\text{Ker } X_{33} = \text{Ker } X_{33}^{[*]}$.

Hence, X_{33} satisfies all assumptions of the theorem. By the induction hypothesis, X_{33} admits an H_{33} -polar decomposition and by Remark 1 also a right H -polar decomposition $X_{33} = A_{33} U_{33}$, where U_{33} is an invertible H_{33} -isometry, and A_{33} is H_{33} -selfadjoint. In the following, we construct an H -polar decomposition for X . This will be done in five steps.

1. First, we show that there exists α real such that the operator $L - \alpha M$ is invertible, where

$$L = H_{33} A_{33} \quad \text{and} \quad M = (U_{33}^{-1})^* X_{13}^* X_{13} U_{33}^{-1}$$

are selfadjoint operators. For this purpose, observe that $H_{33}^{-1} L U_{33} = X_{33}$ is Fredholm, and therefore so is L . Denote by $Q_{\text{Ker } L}$ the orthogonal projection onto the finite dimensional subspace $\text{Ker } L$. We claim that

$$\text{Ker } (Q_{\text{Ker } L} M|_{\text{Ker } L}) = \{0\}. \quad (9)$$

To this end note that $\text{Ker } X_{13} \cap \text{Ker } X_{33} = \{0\}$ by (8), and hence

$$\text{Ker } M \cap \text{Ker } L = \{0\}. \quad (10)$$

Let x be such that $Lx = 0$, $Q_{\text{Ker } L} Mx = 0$. Then

$$\langle Mx, x \rangle = \langle Mx, Q_{\text{Ker } L} Mx \rangle = \langle Q_{\text{Ker } L} Mx, x \rangle = 0,$$

thus $Mx = 0$ (because M is positive semidefinite), and $x = 0$ in view of (10). This proves the claim (9). Now, with respect to the orthogonal decomposition $\mathcal{H}_2 = \text{Ker } L \oplus (\text{Ker } L)^\perp$, we have

$$L - \alpha M = \begin{bmatrix} -\alpha M_1 & -\alpha M_2 \\ -\alpha M_2^* & L_1 - \alpha M_3 \end{bmatrix}, \quad \alpha \in \mathbb{R},$$

where L_1 and M_1 (because of (9) and the Fredholmness of L) are invertible. Using Schur complements we obtain that $L - \alpha M$ is invertible if and only if $\alpha \neq 0$ and the operator

$$L_1 + \alpha(-M_3 + M_2^* M_1^{-1} M_2)$$

is invertible. Clearly, such α 's exist.

2. We construct an H -selfadjoint polar factor for X . For this, let $\alpha \neq 0$, $\alpha \in \mathbb{R}$, be such that $L - \alpha M$ is invertible. Then set

$$A_{13} := X_{13} U_{33}^{-1}, \quad A_{14} := \alpha^{-1} I_q, \quad A_{34} := H_{33}^{-1} A_{13}^* = H_{33}^{-1} (U_{33}^{-1})^* X_{13}^*,$$

and

$$A := \begin{bmatrix} 0 & 0 & A_{13} & A_{14} \\ 0 & 0 & 0 & 0 \\ 0 & 0 & A_{33} & A_{34} \\ 0 & 0 & 0 & 0 \end{bmatrix}.$$

Then a straightforward computation shows that A is H -selfadjoint.

3. Next, we show $A^2 = X^{[*]} X$. Indeed, we obtain from the identities

$$\begin{aligned} A_{13} A_{33} &= X_{13} U_{33}^{-1} A_{33} = X_{13} H_{33}^{-1} H_{33} U_{33}^{-1} A_{33} = X_{13} H_{33}^{-1} U_{33}^* H_{33} A_{33} \\ &= X_{13} H_{33}^{-1} U_{33}^* A_{33}^* H_{33} = X_{13} H_{33}^{-1} X_{33}^* H_{33}, \end{aligned}$$

$$A_{13} A_{34} = X_{13} U_{33}^{-1} H_{33}^{-1} (U_{33}^*)^{-1} X_{13}^* = X_{13} H_{33}^{-1} X_{13}^*,$$

$$A_{33}^2 = A_{33} H_{33}^{-1} A_{33}^* H_{33} = X_{33} U_{33}^{-1} H_{33}^{-1} (U_{33}^*)^{-1} X_{33}^* H_{33} = X_{33} H_{33}^{-1} X_{33}^* H_{33},$$

$$A_{33} A_{34} = X_{33} U_{33}^{-1} H_{33}^{-1} (U_{33}^*)^{-1} X_{13}^* = X_{33} H_{33}^{-1} X_{13}^*,$$

that

$$\begin{aligned} A^2 &= \begin{bmatrix} 0 & 0 & A_{13} A_{33} & A_{13} A_{34} \\ 0 & 0 & 0 & 0 \\ 0 & 0 & A_{33}^2 & A_{33} A_{34} \\ 0 & 0 & 0 & 0 \end{bmatrix} \\ &= \begin{bmatrix} 0 & 0 & X_{13} H_{33}^{-1} X_{33}^* H_{33} & X_{13} H_{33}^{-1} X_{13}^* \\ 0 & 0 & 0 & 0 \\ 0 & 0 & X_{33} H_{33}^{-1} X_{33}^* H_{33} & X_{33} H_{33}^{-1} X_{13}^* \\ 0 & 0 & 0 & 0 \end{bmatrix} \\ &= X X^{[*]} = X^{[*]} X. \end{aligned}$$

4. Finally, we show $\text{Ker } X = \text{Ker } A$. From the construction, it is clear that $\text{Ker } X \subseteq \text{Ker } A$. For the other implication, let $v = [a \ b \ c \ d]^T \in \text{Ker } A$. Then

$$0 = A_{13} c + A_{14} d = X_{13} U_{33}^{-1} c + \alpha^{-1} d \implies d = -\alpha X_{13} U_{33}^{-1} c.$$

Moreover,

$$0 = A_{33}c + A_{34}d = A_{33}c - \alpha H_{33}^{-1} (U_{33}^{-1})^* X_{13}^* X_{13} U_{33}^{-1} c.$$

The choice of α implies $c = 0$ and thus, we also obtain $d = 0$. Hence, $v \in \text{Ker } X$.

Thus, we constructed an H -selfadjoint operator A that satisfies $A^2 = X^{[*]}X$ and $\text{Ker } X = \text{Ker } A$. Since X is Fredholm of index zero, it is easy to see that $X^{[*]}X$ and therefore also A are Fredholm operators of index zero. Define the operator U_0 on the range of A by $U_0x = Xy$, where y is such that $x = Ay$. It is a standard exercise to check that U_0 is a well-defined H -isometry on the range of A , and the range of U_0 coincides with the range of X . Moreover, since A and X have generalized inverses and $\text{Ker } A = \text{Ker } X$, it follows that U_0 is bounded and $\|U_0x\| \geq \varepsilon\|x\|$, $x \in \text{Range } A$, where the positive constant ε is independent of x .

5. Extension of U_0 to an invertible H -isometry. This is where the assumptions (i) or (ii) come in that have not been used so far. First we consider the case where \mathcal{H} is a Pontryagin space. By Lemma 3 we have $\dim \text{Ker } X = \dim \text{Ker } X^{[*]}$, so

$$\begin{aligned} \text{codim Range } A &= \dim(\text{Range } A)^{\perp} = \dim \text{Ker } A^{[*]} = \dim \text{Ker } A = \dim \text{Ker } X \\ &= \dim \text{Ker } X^{[*]} = \dim(\text{Range } X)^{\perp} = \text{codim Range } X. \end{aligned}$$

Then we can use [16, Theorem 2.5] to show that in case \mathcal{H} is a Pontryagin space with respect to the indefinite scalar product generated by H , U_0 can be extended to an invertible H -isometry. This proves the theorem in case (ii) holds true.

Next, we consider the case that $\text{Ker } X = \text{Ker } X^{[*]}$. Then we have the equalities

$$(\text{Range } A)^{\perp} = \text{Ker } A^{[*]} = \text{Ker } A = \text{Ker } X = \text{Ker } X^{[*]} = (\text{Range } X)^{\perp}, \quad (11)$$

and so we have that $\text{Range } A = \text{Range } X$. In particular we have

$$\mathcal{H}_0 \oplus \mathcal{H}_1 = \text{Ker } X = (\text{Range } A)^{\perp} = H^{-1}(\text{Range } A)^{\perp}$$

which implies $(\text{Range } A)^{\perp} = \tilde{\mathcal{H}}_0 \oplus \mathcal{H}_1$ and $\text{Range } A = \mathcal{H}_0 \oplus \mathcal{H}_2$. Because of (11), the isotropic part of $\text{Range } A$ (which is the finite dimensional space \mathcal{H}_0) is the same as the isotropic part of $\text{Range } X$. Choose a $\langle \cdot, \cdot \rangle$ -orthonormal set of vectors $\{e_1, \dots, e_n\}$ that form a basis for \mathcal{H}_0 . Moreover, the $\langle \cdot, \cdot \rangle$ -orthogonal complement of \mathcal{H}_0 in $\text{Range } A$ (which is \mathcal{H}_2) is an H -nondegenerate subspace. Choose a basis $\{f_1, \dots, f_n\}$ of $\tilde{\mathcal{H}}_0$ that is skewly linked to $\{e_1, \dots, e_n\}$, that is, $[e_i, f_j] = \delta_{ij}$ and $[f_i, f_j] = 0$. (For details on construction of skewly linked bases see, e. g., [10, 16, 3]; although it is assumed there that the indefinite inner product space is a Pontryagin space, the construction goes through without change for finite dimensional subspaces of Krein spaces.) Then $\text{Range } A \oplus \tilde{\mathcal{H}}_0 = \text{Range } X \oplus \tilde{\mathcal{H}}_0$ is H -nondegenerate.

We start by showing that U_0 maps \mathcal{H}_0 into itself. Indeed, for $x_0 \in \mathcal{H}_0$ we have that U_0x_0 is H -orthogonal to the whole of $\text{Range } X$, and hence is in \mathcal{H}_0 . So,

if we write U_0 with respect to the decomposition $\mathcal{H}_0 \oplus \mathcal{H}_2$ of $\text{Range } A = \text{Range } X$ as a two by two block operator matrix, we have

$$U_0 = \begin{bmatrix} U_{11} & U_{12} \\ 0 & U_{22} \end{bmatrix},$$

Clearly, since U_0 is one-to-one and maps onto $\text{Range } X$, it follows that U_0 and therefore also U_{11} and U_{22} are invertible maps.

With respect to the decomposition $\mathcal{H}_0 \oplus \mathcal{H}_2 \oplus \tilde{\mathcal{H}}_0$ we have for H the following form (where we choose the basis in \mathcal{H}_0 and in $\tilde{\mathcal{H}}_0$ as above)

$$H = \begin{bmatrix} 0 & 0 & I \\ 0 & H_{33} & 0 \\ I & 0 & 0 \end{bmatrix}.$$

We shall define $\tilde{U}_0 : \text{Range } A \oplus \tilde{\mathcal{H}}_0 \rightarrow \text{Range } X \oplus \tilde{\mathcal{H}}_0$ as the following 3×3 block operator matrix

$$\tilde{U}_0 = \begin{bmatrix} U_{11} & U_{12} & U_{13} \\ 0 & U_{22} & U_{23} \\ 0 & 0 & U_{33} \end{bmatrix},$$

where $U_{33} := (U_{11}^*)^{-1}$, and $U_{23} := -U_{22}H_{22}^{-1}U_{12}^*(U_{11}^*)^{-1}$, and finally $U_{13} := -\frac{1}{2}U_{12}H_{22}^{-1}U_{12}^*(U_{11}^*)^{-1}$. Computing $\tilde{U}_0^*H\tilde{U}_0$ on $\mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \tilde{\mathcal{H}}_0$ we have that it equals to

$$\begin{bmatrix} 0 & 0 & I \\ 0 & H_{33} & U_{12}^*(U_{11}^*)^{-1} + U_{22}^*H_{33}U_{23} \\ I & U_{23}^*H_{33}U_{22} + U_{11}^{-1}U_{12} & U_{13}^*(U_{11}^*)^{-1} + U_{11}^{-1}U_{13} + U_{23}^*H_{33}U_{23} \end{bmatrix}. \quad (12)$$

We see from the definition of U_{23} that the (2, 3)-entry of the operator matrix (12) is zero. Next,

$$U_{23}^*H_{33}U_{23} = U_{11}^{-1}U_{12}H_{33}^{-1}U_{12}^*(U_{11}^*)^{-1}.$$

Thus, from the definition of U_{13} we see that also the (3, 3)-entry of (12) is zero. Hence \tilde{U}_0 is indeed an H -isometry. The fact that \tilde{U}_0 is one-to-one and maps onto $\text{Range } X \oplus \tilde{\mathcal{H}}_0$ follows easily from the invertibility of U_{11} , U_{22} , and U_{33} .

Now using [1, Theorem VI.4.4] we see that \tilde{U}_0 can be extended to an H -unitary operator on the whole space \mathcal{H} . This concludes the proof of Theorem 4. \square

3. Applications of the main result

For the remainder of the paper, we assume that \mathcal{H} is finite dimensional, and identify $\mathcal{L}(\mathcal{H})$ with $\mathbb{C}^{n \times n}$, the algebra of $n \times n$ complex matrices. Then Theorem 4 has some important corollaries. First of all, it answers affirmatively the question posed in [2] whether each H -normal matrix allows an H -polar decomposition.

Corollary 5. *Let $X \in \mathbb{C}^{n \times n}$ be H -normal. Then X admits an H -polar decomposition.*

Corollary 5 was known to be correct for invertible H -normal matrices and for some special cases of singular H -normal matrices (see [2, 12, 11, 13]). The result for the general case is new. The next corollary gives a criterion for the existence of H -polar decompositions in terms of well-known canonical forms of pairs (A, H) , where A is H -selfadjoint, under transformations of the form $(A, H) \mapsto (P^{-1}AP, P^*HP)$, where P is invertible, see, for example, [6].

Corollary 6. *Let $X \in \mathbb{C}^{n \times n}$. Then X admits an H -polar decomposition if and only if $(X^{[*]}X, H)$ and $(XX^{[*]}, H)$ have the same canonical form.*

Proof. If $X = UA$ is a polar decomposition, then

$$XX^{[*]} = UAA^{[*]}U^{[*]} = UA^2U^{-1} \quad \text{and} \quad X^{[*]}X = A^{[*]}U^{[*]}UA = A^2,$$

i.e., $(XX^{[*]}, H)$ and $(X^{[*]}X, H)$ have the same canonical forms, because U is H -unitary. On the other hand, if $(XX^{[*]}, H)$ and $(X^{[*]}X, H)$ have the same canonical forms, then there exists an H -unitary matrix U such that $UXX^{[*]}U^{-1} = X^{[*]}X$. Then $\tilde{X} = UX$ is H -normal, since

$$\tilde{X}^{[*]}\tilde{X} = X^{[*]}X = UXX^{[*]}U^{-1} = \tilde{X}\tilde{X}^{[*]}.$$

By Corollary 5 \tilde{X} admits an H -polar decomposition $\tilde{X} = VA$, where V is H -unitary and A is H -selfadjoint. Then $X = (U^{-1}V)A$ is an H -polar decomposition for X . \square

Thus, up to multiplication by an H -unitary matrix from the left, H -normal matrices are the only matrices that admit H -polar decompositions. Corollary 6 has been conjectured in [12, 11], where also a proof has been given for the case that X is invertible or that the eigenvalue zero of $X^{[*]}X$ has equal algebraic and geometric multiplicities.

Theorem 4 also answers a question on sums of squares of H -selfadjoint matrices that has been posed in [14]. In general, the set $\{A^2 : A \text{ is } H\text{-selfadjoint}\}$ (where H is fixed) is not convex, in contrast to the convexity of the cone of positive semidefinite matrices with respect to the Euclidean inner product, as the following example shows: Let

$$H = \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix}, \quad A_1 = \begin{bmatrix} 0 & 2 \\ -2 & 0 \end{bmatrix}, \quad A_2 = \begin{bmatrix} 1 & 1 \\ 0 & 1 \end{bmatrix}, \quad A_1^2 + A_2^2 = \begin{bmatrix} -3 & 2 \\ 0 & -3 \end{bmatrix}.$$

Then $A_1^2 + A_2^2$ is not a square of any H -selfadjoint matrix, since $A_1^2 + A_2^2$ has only one Jordan block associated with the eigenvalue -3 . This contradicts the conditions for the existence of an H -selfadjoint square root, see Theorem 3.1 in [15]. Instead, we have the following result.

Corollary 7. *If A_1 and A_2 are two commuting H -selfadjoint matrices, then there exist an H -selfadjoint matrix A such that $A_1^2 + A_2^2 = A^2$.*

Proof. Let $X = A_1 + iA_2$. Then X is H -normal, because X and $X^{[*]} = A_1 - iA_2$ commute. By Corollary 5, X admits an H -polar decomposition $X = UA$, where U is H -unitary and A is H -selfadjoint. This implies $A_1^2 + A_2^2 = X^{[*]}X = A^2$. \square

4. Polar decompositions with commuting factors

Again, we assume that \mathcal{H} is finite dimensional, and identify $\mathcal{L}(\mathcal{H})$ with $\mathbb{C}^{n \times n}$, the algebra of $n \times n$ complex matrices. It is well known that a normal matrix X (normal with respect to the standard inner product) allows a polar decomposition $X = UA$ with commuting factors, see [5], for example. The question arises whether this is still true for indefinite inner products. In [13], it has been shown by a Lie group theoretical argument that nonsingular H -normal matrices allow an H -polar decomposition with commuting factors. (For a different proof of this fact, see [12].) On the other hand, there exist singular H -normal matrices that do not allow such H -polar decompositions. The following example is borrowed from [13].

Example 8. Let

$$X = \begin{bmatrix} 0 & 0 \\ 0 & i \end{bmatrix}, \quad H = \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix}.$$

Then X is H -normal. In fact, $X^{[*]}X = XX^{[*]} = 0$. It is straightforward to check that all H -polar decompositions $X = UA$ of X are described by the formulas

$$U = \begin{bmatrix} 0 & ix \\ ix^{-1} & y \end{bmatrix}, \quad A = \begin{bmatrix} 0 & x \\ 0 & 0 \end{bmatrix},$$

where $x \neq 0$ and y are arbitrary real numbers. Clearly, U and A do not commute for any values of the parameters x and y .

In the following, we will give necessary and sufficient conditions for the existence of H -polar decompositions with commuting factors. The proof will be based on the following result on particular square roots of H -unitary matrices.

Theorem 9. *Let $V \in \mathbb{C}^{n \times n}$ be H -unitary and let $M \in \mathbb{C}^{n \times n}$ be such that $MV = VM$. Then there exists an H -unitary matrix $U \in \mathbb{C}^{n \times n}$ such that $U^2 = V$ and $MU = UM$.*

Proof. First, assume that there are no eigenvalues of V on the negative real line (including zero). Let Γ be a simple (i.e., without self-intersections) closed rectifiable contour in the complex plane such that Γ is symmetric with respect to the real axis, the eigenvalues of V are inside Γ , and the negative real axis $(-\infty, 0]$ is outside Γ . Let $f : \mathbb{C} \setminus (-\infty, 0] \rightarrow \mathbb{C}$ be the branch of the square root that assigns to $z \in \mathbb{C} \setminus (-\infty, 0]$ the solution c of $c^2 = z$ that has positive real part. Then f is analytic on Γ and analytic in the interior of Γ and hence, the matrix $f(V)$ given by the functional calculus

$$f(V) = \frac{1}{2\pi i} \int_{\Gamma} f(z)(zI - V)^{-1} dz \quad (13)$$

is well defined. From the fact that V is H -unitary, we obtain the formula

$$H(zI - V)^{-1} = \left((zI - V)H^{-1} \right)^{-1} = \left(H^{-1}(zI - (V^*)^{-1}) \right)^{-1} = (zI - (V^*)^{-1})^{-1}H.$$

This implies $Hf(V) = f((V^*)^{-1})H$. Since $f(z^{-1}) = f(z)^{-1}$, we obtain that $f(V^{-1}) = f(V)^{-1}$, see [9, Corollary 6.2.10].

We then obtain from $f(\bar{z}) = \overline{f(z)}$, the symmetry of Γ with respect to the real axis, and the general fact that $f(M^T) = f(M)^T$, that

$$f\left((V^*)^{-1}\right) = \left(f(V)^*\right)^{-1}.$$

This implies that $U := f(V)$ is H -unitary. Clearly, $U^2 = V$ and $UM = MU$. For the case that there are negative eigenvalues of V , there exists $0 \leq \theta < 2\pi$ such that the ray $re^{i\theta}$ ($r > 0$) does not contain an eigenvalue of V . Then $\tilde{V} = e^{i(\pi-\theta)}V$ is still H -unitary, satisfies $M\tilde{V} = \tilde{V}M$, and does not have negative eigenvalues. Hence, there exists an H -unitary matrix \tilde{U} such that $\tilde{U}^2 = \tilde{V}$ and $M\tilde{U} = \tilde{U}M$. Then $U = e^{i(\theta-\pi)/2}\tilde{U}$ is an H -unitary square root of V satisfying $MU = UM$. \square

The following result provides necessary and sufficient conditions for the existence of polar decompositions with commuting factors.

Theorem 10. *Let $X \in \mathbb{C}^{n \times n}$. Then the following statements are equivalent.*

- i) X admits an H -polar decomposition with commuting factors.
- ii) X is H -normal and $\text{Ker}(X) = \text{Ker}(X^{[*]})$.
- iii) There exists an H -unitary matrix V such that $X = VX^{[*]}$.

Proof. $i) \Rightarrow ii)$: If X allows an H -polar decomposition $X = UA$ with commuting factors, then $X^{[*]} = (UA)^{[*]} = AU^{-1} = U^{-1}A$. But then X is H -normal, because

$$XX^{[*]} = UAAU^{-1} = AU^{-1}UA = X^{[*]}X.$$

In addition, we have $\text{Ker}(X) = \text{Ker}(A) = \text{Ker}(X^{[*]})$.

$ii) \Rightarrow iii)$: This is a special case of Witt's Theorem and coincides with [4, Lemma 4.1].

$iii) \Rightarrow i)$: Let V be an H -unitary matrix such that $X = VX^{[*]}$. Note that X and V commute.

$$XV = VX^{[*]}V = V(VX^{[*]})^{[*]}V = VXV^{[*]}V = VX.$$

Then Theorem 9 implies that V has an H -unitary square root U that commutes with X . Now consider $X = UA$, where $A := U^{-1}X$. Clearly, U and A commute. Furthermore, A is H -selfadjoint, because

$$(U^{-1}X)^{[*]} = X^{[*]}U = V^{-1}XU = V^{-1}UX = U^{-2}UX = U^{-1}X.$$

Thus $X = UA$ is an H -polar decomposition for X with commuting factors. \square

Note that if $X = UA$ is an H -polar decomposition of X , i.e., U is H -unitary and A is H -selfadjoint, then

$$UA = AU \iff UX = XU \implies XA = AX.$$

If A is invertible, then $XA = AX \implies UA = AU$, but in general $XA = AX \not\iff UA = AU$ as the next two examples show. Thus, the equality $XA = AX$ gives a commutativity property of H -polar decomposition which is strictly weaker than commuting factors. Example 8 shows that not every H -normal matrix admits an H -polar decomposition with this weaker commutativity property.

We conclude the paper with two examples; the second example is borrowed from [14].

Example 11. Let

$$X = \begin{bmatrix} 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 \end{bmatrix}, \quad H = \begin{bmatrix} 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 1 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 \end{bmatrix}.$$

Then X is H -normal, but $\text{Ker}(X) \neq \text{Ker}(X^{[*]})$. Thus, X cannot have a polar decomposition with commuting factors by Theorem 10. On the other hand, consider the matrices

$$U = \begin{bmatrix} 1 & 0 & 1 & 0 & -\frac{1}{2} \\ 0 & 1 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 & -1 \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 1 \end{bmatrix}, \quad A = \begin{bmatrix} 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 \end{bmatrix}.$$

Then U is H -unitary, A is H -selfadjoint and $X = UA$. Moreover, A and X commute, but A and U do not.

Example 12. Let

$$X = \begin{bmatrix} 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & r & z \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 \end{bmatrix}, \quad r > 0, \quad z = \pm 1, \quad H = \begin{bmatrix} 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 \end{bmatrix}.$$

A possible H -polar decomposition $X = UA$, where U is H -unitary and A is H -selfadjoint, is the following:

$$U = \begin{bmatrix} 1 & -\frac{r}{2z} & \frac{r^2}{4z} & -\frac{r^4}{32} & 0 \\ 0 & 1 & \frac{r}{2} & -\frac{3r^3}{16z} & -\frac{r^2}{8} \\ 0 & 0 & 1 & -\frac{r^2}{2z} & -\frac{r}{2} \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & \frac{r}{2z} & 1 \end{bmatrix}, \quad A = \begin{bmatrix} 0 & 0 & 1 & 0 & \frac{r}{2} \\ 0 & 0 & 0 & \frac{r}{2} & z \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 \end{bmatrix}. \quad (14)$$

Note that A and X commute; but A and U do not commute. A MAPLE computation even shows that there does not exist an H -unitary \tilde{U} such that $X = \tilde{U}A = A\tilde{U}$ for the special choice of A in as an H -selfadjoint polar factor of X .

However, note that $\text{Ker } X = \text{Ker } X^{[*]}$, i.e., by Theorem 10 there exists an H -polar decomposition $X = \widehat{U}\widehat{A}$ with commuting factors. Indeed, let

$$\widehat{U} = \begin{bmatrix} 1 & -\frac{rz}{2} & \frac{r^2z}{8} & -\frac{9r^4z^2}{128} & -\frac{r^3z}{8} \\ 0 & 1 & \frac{r}{2} & 0 & -\frac{r^2}{8} \\ 0 & 0 & 1 & -\frac{3r^2z}{8} & -\frac{r}{2} \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & \frac{rz}{2} & 1 \end{bmatrix}, \quad \widehat{A} = \begin{bmatrix} 0 & 0 & 1 & \frac{r^2z}{8} & \frac{r}{2} \\ 0 & 0 & 0 & \frac{r}{2} & z \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 \end{bmatrix}. \quad (15)$$

Then \widehat{U} is H -unitary, \widehat{A} is H -selfadjoint, and $X = \widehat{U}\widehat{A} = \widehat{A}\widehat{U}$. It is interesting to note that a straightforward but tedious MAPLE computation reveals that the polar factor A is unique up to a sign, i.e., all H -polar decompositions for X with commuting factors necessarily have the H -selfadjoint polar factor A (or $-A$) as in (15).

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