

ON Q -ALGEBRAS AND SPECTRAL ALGEBRAS

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Abstract. T. Palmer gave the definition of a spectral seminorm and some equivalent statements for the seminormed algebras to be spectral. Some of these statements have been studied in the locally m -convex case and in the locally pseudoconvex case. In this paper we give some analogous results for the locally m -pseudoconvex algebras. Moreover, different proofs for some known results are given.

1. Introduction

In 1947 I. Kaplansky introduced in [9] the notion of Q -algebra (more exactly of Q -ring), that is a topological algebra E in which the set $Qinv(E)$ of quasi-invertible elements of E is open. Examples of Q -algebras can be found in [5] and [6]. It is well known that every Banach algebra is also a Q -algebra. The importance of Q -algebras has been given, for example in [7], [8],[10]. Nowadays Q -algebras are involved in modern differential geometry (see [12, Chapter XI]) and play a significant role in PDE's theory, operator theory, and the Ψ^* -quantization (see [7, p. 73]).

In 1987 V. Mascioni [13] gave several equivalent conditions for a unital complex normed algebra to be a Q -algebra. Later on T. W. Palmer introduced in [14, p. 294] the notion of a *spectral algebra* as an algebra E in which there exists a seminorm (*spectral seminorm*) p such that $r(x) \leq p(x)$ for each $x \in E$, here $r(x)$ denotes the spectral radius of x . He gave there analogous results to V. Mascioni for seminormed algebras and M. Fragoulopoulou in [6, p. 85, Theorem 3.1] for locally m -convex algebras.

Several characterizations of locally m -pseudoconvex Q -algebras are given in the present paper.

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2. Preliminaries

Let E be a unital topological algebra over the field of complex numbers $\mathbb{C}$, with separately continuous multiplication (in short, a *topological algebra*). If the underlying topological linear space of E is locally pseudoconvex, then E is called a *locally pseudoconvex algebra*. In this case its topology can be defined by a family $\mathcal{P} = \{p_\alpha : \alpha \in \Lambda\}$ of non-homogeneous seminorms (a seminorm p is a non-homogeneous if there exists a number $0 < \rho \leq 1$, (the homogeneity index of p) such that $p(\lambda x) = |\lambda|^\rho p(x)$ for each $x \in E$ and $\lambda \in \mathbb{C}$). A non-homogeneous seminorm p with homogeneity index ρ is called a ρ -*seminorm*. When every p_α in the family $\mathcal{P}$ satisfies the condition

$$p_\alpha(xy) \leq p_\alpha(x)p_\alpha(y) \text{ for each } \alpha \in \Lambda,$$

E is called *locally m -pseudoconvex*.

If E is an algebra over $\mathbb{C}$, the spectrum $\sigma(x)$ of x is given by

$$\sigma(x) = \{\lambda \in \mathbb{C} : -\lambda^{-1}x \notin \text{Qinv}(E)\} \cup \{0\}$$

(when E is unital algebra, then by

$$\sigma(x) = \{\lambda \in \mathbb{C} : x - \lambda e \text{ is not invertible}\})$$

and the *spectral radius* of x is defined by

$$r(x) = \sup\{|\lambda| : \lambda \in \sigma(x)\}.$$

Definition 2.1. A *spectral seminorm* on an algebra E is a submultiplicative seminorm p such that

$$r(x) \leq p(x) \text{ for every } x \in E,$$

If a spectral seminorm is a norm, then it is called a *spectral norm*. An algebra E with a spectral seminorm (spectral norm) is called a *spectral seminormed algebra* (*spectral normed algebra*) and E is called *spectral* if some spectral seminorm can be defined on it.

In the next theorem, due to Mascioni, we present some equivalent conditions for complex normed algebras with unit to be a Q -algebra (see [13, p. 11]).

Theorem 2.2. Let $(E, \|\cdot\|)$ be a complex normed algebra with unit e . Then the following conditions are equivalent¹

- 1) E is a Q -algebra.
- 2) If $x \in E$ and $\|e - x\| < 1$, then $x \in \text{Inv}(E)$ ².
- 3) If $x \in E$ and $\|x\| < 1$, then $\sum x^n$ converges in E .
- 4) $r(x) = \lim_n \|x^n\|^{\frac{1}{n}} = \inf_n \|x^n\|^{\frac{1}{n}}$ for every $x \in E$.
- 5) $\sup_{\|x\|=1} r(x) < \infty$.
- 6) $r(x) \leq \|x\|$ for every $x \in E$.

There is an analogous result to Theorem 2.2 in the spectral algebra context ([14, Theorem 3.1], [15, p. 212, Theorem 2.2.5]). For the sake of completeness, we give it here.

Theorem 2.3. The following conditions are equivalent for a submultiplicative seminorm p on an algebra E .

¹ Here, and later on, $r(x)$ denotes the spectral radius of x .

² $\text{Inv}(E)$ denotes the set of invertible elements of E

- 1) p is a spectral seminorm.
- 2) For $x \in E$, $p(x) < 1$ implies that x is quasi-invertible in E .
- 3) The set of quasi-invertible elements of E has nonempty interior with respect to p .
- 4) The set of quasi-invertible elements of E is open with respect to p , (E is a Q -algebra).
- 5) There is a positive number C satisfying
$$r(x) \leq Cp(x) \text{ for every } x \in E.$$
- 6) $r(x) = \lim_{n \rightarrow \infty} p(x^n)^{\frac{1}{n}}$, for every $x \in E$.

From the previous theorem follows that a submultiplicative seminorm p on an algebra E is a spectral seminorm if and only if E is a Q -algebra with respect to p .

Remark 2.4. We can consider only the case of a topological algebra E with unit e , since by [11, p. 48]

$$x \circ y = 0 \Leftrightarrow (e - x)(e - y) = e \text{ for every } x, y \in E.$$

Then, $Inv(E)$, the set of invertible elements in E , is equal to $\{e\} - Qinv(E)$. From that, $Inv(E)$ is open if and only if $Qinv(E)$ is open.

Some of the equivalences in the next result are already known, (see [5, p. 333, Proposition 7.4.20]). We prove them for the sake of completeness and give an alternative proof to 4) implies 5).

Theorem 2.5. *The following conditions are equivalent for a submultiplicative ρ -seminorm p on an algebra E .*

- 1) p is a ρ -spectral seminorm³.
- 2) For $x \in E$, $p(x) < 1$ implies that x is quasi-invertible in E .
- 3) The set of quasi-invertible elements of E has nonempty interior with respect to p .
- 4) The set of quasi-invertible elements of E is open with respect to p , (E is a Q -algebra).
- 5) There is a positive number C such that
$$r(x)^\rho \leq Cp(x) \text{ for every } x \in E.$$
- 6) $r(x)^\rho = \lim_{n \rightarrow \infty} p(x^n)^{\frac{1}{n}}$, for every $x \in E$.

Proof. The proofs of 1) $\Rightarrow$ 2), 2) $\Rightarrow$ 3) and 3) $\Rightarrow$ 4) are analogous to the proof of ([15, p. 212, Theorem 2.2.5].

4) $\Rightarrow$ 5) Since θ_E , the zero element of E , is quasi-invertible, there exists a $\varepsilon > 0$ such that $p(x) < \varepsilon$ implies that x is quasi-invertible. If $|\lambda| > 1$, then $|\lambda|^\rho > 1$ and

$$p(\lambda^{-1}x) = |\lambda|^{-\rho}p(x) < \varepsilon$$

which implies that $\lambda^{-1}x$ is quasi-invertible. Hence, $r(x) \leq 1$ and it implies that $r(x)^\rho \leq 1$.

³ A ρ -seminorm p on an algebra E is called ρ -spectral if $r(x)^\rho \leq p(x)$ for every $x \in E$.

We consider now $x \in E$, such that $p(x) \neq 0$ and

$$a = \frac{x}{\left(\frac{2}{\varepsilon}\right)^{\frac{-1}{\rho}} p(x)^{\frac{1}{\rho}}}.$$

Then,

$$p(a) = \frac{p(x)}{\left(\frac{2}{\varepsilon}\right)^{-1} p(x)} = \frac{\varepsilon}{2} < \varepsilon$$

and hence $r(a)^\rho \leq 1$. Now, as $x = \left(\frac{\varepsilon}{2}\right)^{\frac{1}{\rho}} p(x)^{\frac{1}{\rho}} a$, then

$$r(x)^\rho = \frac{\varepsilon}{2} p(x) r(a)^\rho.$$

We conclude that $r(x)^\rho \leq \frac{\varepsilon}{2} p(x)$ for every $x \in E$ such that $p(x) \neq 0$.

If $x \in E$ and $p(x) = 0$, then $0 = p(mx)$ for every $m > 0$. Let $M = \sup_{p(z) \leq 1} r(z)$ for $z \in E$; since $mr(x) = r(mx) \leq M$, we conclude that $r(x) \leq \frac{M}{m}$ for every $m > 0$; this means $r(x) = 0$.

Thus, 5) holds.

5) $\Rightarrow$ 6) Since $r(x^n) = r(x)^n$, then

$$r(x)^\rho = (r(x^n)^{\frac{1}{n}})^\rho = (r(x^n)^\rho)^{\frac{1}{n}} \leq (Cp(x^n))^{\frac{1}{n}}$$

and it follows that $r^\rho(x) \leq \lim_{n \rightarrow \infty} p(x^n)^{\frac{1}{n}}$. To prove the converse inequality, we use the following result (see [5, p. 326, Theorem 7.4.6]):

If E is a ρ -Banach algebra, then $r(x)^\rho = \lim_{n \rightarrow \infty} p(x^n)^{\frac{1}{n}}$.

We consider now $\overline{E}$, the completion of E , the inclusion $\tau : E \rightarrow \overline{E}$, $\overline{\sigma}(\tau(x))$, the spectrum of $\tau(x)$ in $\overline{E}$ and $\overline{r}(\tau(x))$ the spectral radius of $\tau(x)$ in $\overline{E}$. Then $\overline{E}$ is a ρ -Banach algebra and since $\overline{\sigma}(\tau(x)) \subset \sigma(x)$, we have

$$\lim_{n \rightarrow \infty} p((\tau(x))^n)^{\frac{1}{n}} = \overline{r}(\tau(x))^\rho \leq r(x)^\rho.$$

6) $\Rightarrow$ 1) Since p is submultiplicative, then $r(x)^\rho \leq p(x)$. □

3. On locally m -pseudoconvex Q -algebras

We shall give an analogous result to Theorem 2.2, in the case of a locally m -pseudoconvex algebra.

Let $(E, \{p_\alpha : \alpha \in \Lambda\})$ be a locally m -pseudoconvex algebra with unit. Let us denote by τ the topology induced on E by this family and by τ_{p_α} the one induced only by p_α on E . For each $\alpha \in \Lambda$, let $E_\alpha = E/\ker p_\alpha$ and define on E_α the norm p'_α by $p'_\alpha(\bar{x}) = p_\alpha(x)$, where $\bar{x} = x + \ker p_\alpha$ and denote by $\pi_\alpha : E \rightarrow E_\alpha$, the quotient map.

Remember that if E is an unital topological algebra, a net $(x_\lambda)_{\lambda \in \Lambda}$ is called *invertibly convergent* if there exists $x \in E$ such that $(xx_\lambda)_{\lambda \in \Lambda}$ and $(x_\lambda x)_{\lambda \in \Lambda}$ converges to e . An algebra is *invertive* if every invertibly convergent sequence is convergent.

Theorem 3.1. *Let $(E, \{p_\alpha : \alpha \in \Lambda\})$ be a (complex) locally m -pseudoconvex algebra with unit e . Then the conditions 1), 4), 5) and 6) are equivalent, 3) implies 2) and 2) implies 1):*

- 1) E is a Q -algebra;
- 2) $\exists \alpha \in \Lambda$ such that $p_\alpha(e - x) < 1 \Rightarrow x \in \text{Inv}(E)$;
- 3) $\exists \alpha \in \Lambda$ such that $p_\alpha(x) < 1 \Rightarrow \sum_{n=0}^{\infty} x^n$ converges in E ;
- 4) $\exists \alpha \in \Lambda$ such that $r(x)^{\rho_\alpha} = \lim_n p_\alpha(x^n)^{\frac{1}{n}} = \inf_n p_\alpha(x^n)^{\frac{1}{n}}$ for every $x \in E$;
- 5) $\exists \alpha \in \Lambda$ such that $\sup_{p_\alpha(x) \leq 1} r(x) < \infty$;
- 6) $\exists \alpha \in \Lambda$ such that $r(x)^{\rho_\alpha} \leq p_\alpha(x)$ for all $x \in E$, that is, (E, p_α) is a ρ_α -spectral algebra.

Moreover, if E is invertive m -(ρ -convex) (this is a locally m -pseudoconvex algebra with the same non homogeneity indexes ρ of all pseudoseminorms), then we have that 4) implies 3). In this case the conditions 1), 2), 3), 4), 5) and 6) are equivalent.

Proof. 1) $\Rightarrow$ 5) Recall that a local subbase of the origin is given by the sets

$$\{x \in E : p_\alpha(x) < \delta\}, \quad \alpha \in \Lambda, \delta > 0,$$

see [5, p. 195, Lemma 4.4.2]. So, since $e \in \text{Inv}(E)$ and $\text{Inv}(E)$ is an open set by hypothesis, then⁴ there exists an $\alpha \in \Lambda$ and $\delta > 0$ such that if $p_\alpha(x - e) < \delta$, then $x \in \text{Inv}(E)$. We consider $\lambda \in \mathbb{C}$ such that $|\lambda| > \left(\frac{p_\alpha(x)}{\delta}\right)^{\frac{1}{\rho_\alpha}}$. Then

$$p_\alpha\left(\left(e - \frac{x}{\lambda}\right) - e\right) = p_\alpha\left(\frac{x}{\lambda}\right) = \frac{1}{|\lambda|^{\rho_\alpha}} p_\alpha(x) < \delta,$$

and by hypothesis, $e - \frac{x}{\lambda} \in \text{Inv}(E)$, which implies that $\lambda e - x \in \text{Inv}(E)$. Hence $r(x) \leq \left(\frac{p_\alpha(x)}{\delta}\right)^{\frac{1}{\rho_\alpha}}$, so $r(x) \leq \left(\frac{1}{\delta}\right)^{\frac{1}{\rho_\alpha}}$, if $p_\alpha(x) \leq 1$.

5) $\Rightarrow$ 6) Let $x \in E$, $x \neq \theta$ and $\alpha \in \Lambda$ be such that

$$M_\alpha = \sup_{p_\alpha(x) \leq 1} r(x) < \infty.$$

If $p_\alpha(x) = 0$, then $0 = p_\alpha(mx)$ for every $m > 0$. Since $mr(x) = r(mx) \leq M_\alpha$, we conclude that $r(x) \leq \frac{M_\alpha}{m}$ for every $m > 0$. This means that $r(x) = 0$. Now, if $p_\alpha(x) \neq 0$, then

$$p_\alpha\left(\frac{x}{p_\alpha(x)^{\frac{1}{\rho_\alpha}}}\right) = 1$$

which implies that

$$\frac{1}{p_\alpha(x)} r(x)^{\rho_\alpha} = r\left(\frac{x}{p_\alpha(x)^{\frac{1}{\rho_\alpha}}}\right)^{\rho_\alpha} \leq M_\alpha^{\rho_\alpha}.$$

⁴ We can assume here that the family $\{p_\alpha : \alpha \in \Lambda\}$ is saturated, otherwise we can saturate it.

Thus $r(x)^{\rho_\alpha} \leq M_\alpha^{\rho_\alpha} p_\alpha(x)$. Therefore (E, p_α) satisfies the condition 5) of Theorem 2.5. Then p_α is a ρ_α -spectral seminorm (by Theorem 2.5, 1). Hence (E, p_α) is ρ_α -spectral.

Remark 3.2. Note that the condition 6) of Theorem 2.5 is equivalent for (E, p_α) to be a Q -algebra. As $\tau_{p_\alpha} \subseteq \tau$, then (E, τ) is also a Q -algebra. So, we have that the statements 1), 5) and 6) are equivalent.

6) $\Rightarrow$ 4) Let α be such as in the statement 6). Applying Theorem 2.5 to E with respect to the seminorm p_α , we have that 6) implies

$$r(x)^{\rho_\alpha} = \lim_n p_\alpha(x^n)^{\frac{1}{n}}$$

for every $x \in E$. Now, we shall prove that $r(x)^{\rho_\alpha} = \inf_n p_\alpha(x^n)^{\frac{1}{n}}$.

On the one hand, since $r(x) \geq r_{E_\alpha}(\pi_\alpha(x))$ then by 6)

$$r_{E_\alpha}(\pi_\alpha(x))^{\rho_\alpha} \leq r(x)^{\rho_\alpha} \leq p_\alpha(x) = p'_\alpha(\pi_\alpha(x)) \text{ for every } x \in E.$$

and as π_α is onto we conclude that $r_{E_\alpha}(\bar{y})^{\rho_\alpha} \leq p'_\alpha(\bar{y})$ for every $\bar{y} \in E_\alpha$. Now, by Theorem 2.5, $r_{E_\alpha}(\bar{y})^{\rho_\alpha} = \lim_n p'_\alpha((\bar{y})^n)^{\frac{1}{n}}$ for every $\bar{y} \in E_\alpha$. As $\pi_\alpha(x) \in E_\alpha$ for every $x \in E$, then

$$\begin{aligned} r_{E_\alpha}(\pi_\alpha(x))^{\rho_\alpha} &= \lim_n p'_\alpha((\pi_\alpha(x))^n)^{\frac{1}{n}} \\ &= \limsup_n p'_\alpha((\pi_\alpha(x))^n)^{\frac{1}{n}} \\ &= \inf_n \left(\sup_{k \geq n} p'_\alpha(\pi_\alpha(x)^k)^{\frac{1}{k}} \right) \end{aligned}$$

for every $x \in E$. Since

$$\sup_{k \geq n} \left(p_\alpha(x^k)^{\frac{1}{k}} \right) \geq p_\alpha(x^n)^{\frac{1}{n}}, \text{ for every } x \in E$$

then we have that for every $x \in E$,

$$\begin{aligned} r(x)^{\rho_\alpha} \geq r_{E_\alpha}(\pi_\alpha(x))^{\rho_\alpha} &= \inf_n \left(\sup_{k \geq n} p'_\alpha(\pi_\alpha(x)^k)^{\frac{1}{k}} \right) \\ &= \inf_n \left(\sup_{k \geq n} p_\alpha(x^k)^{\frac{1}{k}} \right) \\ &\geq \inf_n p_\alpha(x^n)^{\frac{1}{n}}. \end{aligned}$$

On the other hand, due to [5, Proposition 4.8.3, (ii)], we have that

$$(r(x)^{\rho_\alpha})^n = r(x^n)^{\rho_\alpha} \leq p_\alpha(x^n)$$

(for every n), therefore $r(x)^{\rho_\alpha} \leq p_\alpha(x^n)^{\frac{1}{n}}$ (for every n) and hence we have that $r(x)^{\rho_\alpha} \leq \inf_n p_\alpha(x^n)^{\frac{1}{n}}$. So, $r(x)^{\rho_\alpha} = \inf_n p_\alpha(x^n)^{\frac{1}{n}}$.

4) $\Rightarrow$ 3) Let $\alpha \in \Lambda$ be as in 4) and $x \in E$ be such that $p_\alpha(x) < 1$. For every $\gamma \in \Lambda$, we denote by $\overline{E_\gamma}$ the completion of the algebra E_γ (a ρ_γ -Banach algebra) and the spectral radius for $\overline{E_\gamma}$, by $r_{\overline{E_\gamma}}$.

Since

$$r(x)^\rho \geq r_{E_\gamma}(\pi_\gamma(x))^\rho \geq r_{\overline{E_\gamma}}(\pi_\gamma(x))^\rho = \lim_n p'_\gamma(\pi_\gamma(x)^n)^{\frac{1}{n}} = \lim_n p_\gamma(x^n)^{\frac{1}{n}}$$

for every $\gamma \in \Lambda$, then $\sup_\beta \lim_n p_\beta(x^n)^{\frac{1}{n}} \leq r(x)^\rho$. Now, since p_α is submultiplicative, then by 4), we have that $r(x)^\rho \leq p_\alpha(x)$, and by hypothesis $p_\alpha(x) < 1$ we conclude that $\sup_\beta \lim_n p_\beta(x^n)^{\frac{1}{n}} < 1$. Therefore, there exists $m < 1$ such that

$$\lim_n p_\beta(x^n)^{\frac{1}{n}} < m < 1$$

for every $\beta \in \Lambda$. Since $\lim_n p_\beta(x^n) < m^n$ with $m < 1$ for each β , then $x^n \rightarrow 0$. If now E is invertive then by [3, Proposition 3.7 (1)], the series $\sum_{n=0}^\infty x^n$ converges in E .

Moreover, we have that

$$\left(\sum_{k=0}^n x^k\right)(e-x) = \sum_{k=0}^n (x^k)(e-x) = \sum_{k=0}^n (x^k - x^{k+1}) = e - x^{n+1} \rightarrow e.$$

Thus, $(x - e)$ is invertible in E and $(x - e)^{-1} = \sum_{k=0}^\infty x^k$.

3) $\Rightarrow$ 2) Let $\alpha \in \Lambda$ be as in 3) and $x \in E$ be such that $p_\alpha(e - x) < 1$. Then, $\sum_{n=0}^\infty (e - x)^n$ converges in E and $x^{-1} = (e - (e - x))^{-1}$; that is, $x \in \text{Inv}(E)$.

2) $\Rightarrow$ 1) Let $\alpha \in \Lambda$ be as in 2), $x \in \text{Inv}(E)$ and $y \in E$ be such that

$$p_\alpha(x - y) < \frac{1}{p_\alpha(x^{-1})},$$

then

$$p_\alpha(e - x^{-1}y) \leq p_\alpha(x^{-1})p_\alpha(x - y) < 1,$$

and by 2), $x^{-1}y$ is invertible in (E, p_α) . In a similar way we get that yx^{-1} is invertible in (E, p_α) . If $z = (yx^{-1})^{-1}$, then $y(x^{-1}z) = e$, that is, y is invertible and hence (E, p_α) is a Q -algebra. Therefore $(E, \{p_\alpha : \alpha \in \Lambda\})$ is a Q -algebra. $\square$

Since by [1, p. 17, Corollary 2], every complete locally m -pseudoconvex algebra is an invertive algebra, we conclude that if E is a complete m -(ρ -convex) algebra, then 1), 2), 3), 4), 5) and 6) in the previous Theorem are equivalent.

In [2] has been shown that in the case of locally pseudoconvex (not necessarily unital) algebras, 1) and 6) are equivalent.

Remark 3.3. The condition $\rho_\alpha = \rho$ for every $\alpha \in \Lambda$ that appears in the hypothesis of the previous Theorem, is only used in 4) $\Rightarrow$ 3), we note (see the proof of 4) $\Rightarrow$ 3)) that under the hypothesis $(E, \{p_\alpha : \alpha \in \Lambda\})$ is a complex locally m -pseudoconvex algebra with unit e , $\rho = \inf\{\rho_\alpha : \alpha \in \Lambda\} > 0$ and if $r(x)^\rho < 1$ then 1), 2), 3), 4), 5) and 6) are equivalent.

In the non-unital case, Theorem 3.1 remains valid dropping conditions 2) and 3).

Additional properties concerning Q -algebras can be found in [2], [4] and [6].

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