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IC/99/155

United Nations Educational Scientific and Cultural Organization
and
International Atomic Energy Agency
THE ABDUS SALAM INTERNATIONAL CENTRE FOR THEORETICAL PHYSICS

ON THE ESSENTIAL SPECTRUM
OF UNBOUNDED NONSELF-ADJOINT FRIEDRICHS OPERATOR

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Abstract

In this paper, we consider the unbounded generalized Friedrichs operator H , i.e. the operator of multiplication by the rational function u with the perturbation of integral operator with kernel K . We prove that if the kernel K satisfies some analyticity condition, then the essential spectrum of H coincides with the spectrum of the multiplication operator.

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October 1999

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EXT-2000-068
01/10/1999



1 Introduction

In $L_2(\mathbb{R})$ we consider the non-self-adjoint unbounded operator H defined by the formula

$$Hf(x) = u(x)f(x) + \int_{\mathbb{R}} K(x, y)f(y)dy, f \in D_u$$

i.e. $H = H_0 + V$, where H_0 is the operator of multiplication by the rational function u and V is integral operator with analytical kernel $K(x, y)$ in $W_\alpha^2 = W_\alpha \times W_\alpha$ satisfying the following condition

$$|K(s + iy, t + iy)| \leq \frac{M}{|s|^\gamma + |t|^\gamma + 1}, \gamma > 1, \quad (K)$$

for all $y \in (-\alpha, \alpha)$, where $W_\alpha = \{z \in \mathbb{C} : |\operatorname{Im}z| < \alpha\}$, α is a fixed number, \mathbb{C} the complex plane and $D_u = \{f \in L_2(\mathbb{R}) : \int_{\mathbb{R}} |u(x)f(x)|^2 dx < \infty\}$.

The bounded generalized self-adjoint Friedrichs model is considered for the case of when u and K are analytic functions in [1]. In Lakaev S. N. [1], it was proved that the absolutely continuous spectrum of the operator H coincides with the spectrum of H_0 . Moreover, the singular spectrum of H is a finite set. In [2] the structure of essential spectrum for non-self-adjoint bounded Friedrichs operator is described.

First, we remark that $D_u = D(H^*)$, where $D(H^*)$ is a domain of the adjoint operator H^* . Thus, the operator H is a closed operator (see theorem VIII.1 in [3]). Let $\sigma(H)$ is a spectrum of H .

Definition 1. A point $\lambda \in \sigma(H)$ is called discrete if λ is isolated and the operator

$$P_\lambda = \frac{1}{2\pi i} \oint_{|\mu - \lambda| = \rho} (H - \mu)^{-1} d\mu$$

is finite dimensional, where $(H - \mu)^{-1}$ is a resolvent of the operator H and the number $\rho > 0$ such that $\{\mu : |\mu - \lambda| \leq \rho\} = \{\lambda\}$. We denote by $\sigma_{disc}(H)$ a discrete spectrum of the operator H .

Definition 2. The essential spectrum of operator H is the set

$$\sigma_{ess}(H) = \sigma(H) \setminus \sigma_{disc}(H).$$

Denote by Γ the range of the function u . Let Γ be a set satisfying the following condition

$$C \setminus \Gamma = D_1 \cup \dots \cup D_s,$$

where D_i is an unbounded connected open set in C for $i = \overline{1, s}$. We observe that $\Gamma = \sigma(H_0)$, where $\sigma(H_0)$ is the spectrum of the operator H_0 .

Theorem. The essential spectrum of operator H coincides with the spectrum of the operator H_0 , i.e.

$$\sigma_{ess}(H) = \sigma(H_0).$$

2 Auxiliary lemma and the proof of the main result

Let $\Delta(z)$ be the Fredholms determinant of the operator $I + V(H_0 - z)^{-1}$, where $z \in C \setminus \sigma(H_0)$, I is a unit operator, $(H_0 - z)^{-1}$ is a resolvent of the operator H_0 . The function $\Delta(z)$ is represented by the formula

$$\Delta_\mu(z) = 1 + \sum_{n=1}^{\infty} \frac{d_n(z)}{n!}, \quad (1)$$

$$d_n(z) = \int_R \dots \int_R D_n(x_1, \dots, x_n; z) dx_1 \dots dx_n, \quad (2)$$

$$D_n(x_1, \dots, x_n; z) = \begin{vmatrix} K(x_1, x_1) & K(x_1, x_2) & \dots & K(x_1, x_n) \\ K(x_2, x_1) & K(x_2, x_2) & \dots & K(x_2, x_n) \\ \vdots & \vdots & \dots & \vdots \\ K(x_n, x_1) & K(x_n, x_2) & \dots & K(x_n, x_n) \end{vmatrix} \times \\ \times \frac{1}{u(x_1) - z} \dots \frac{1}{u(x_n) - z}.$$

Proposition 1. The series (1) converges for all $z \in C \setminus \sigma(H_0)$.

Proof. We note that the function $D_n(x_1, \dots, x_n; z)$ is integrable, due to condition (K). Let N be a positive number. The function $D_n(x_1, \dots, x_n; z)$ is symmetric. Therefore, the integral (2) is represented by the following expression:

$$d_n(z) = \int_R \dots \int_R K_n(x_1, \dots, x_n) \frac{dx_1}{u(x_1) - z} \dots \frac{dx_n}{u(x_n) - z} = \\ = \int_{|x_1| > N} \dots \int_{|x_n| > N} K_n(x_1, \dots, x_n) \frac{dx_1}{u(x_1) - z} \dots \frac{dx_n}{u(x_n) - z} + \\ + \dots + C_n^k \int_{|x_1| < N} \dots \int_{|x_k| < N} \int_{|x_{n-(k+1)}| > N} \dots \int_{|x_n| > N} K_n(x_1, \dots, x_n) \times \\ \times \frac{dx_1}{u(x_1) - z} \dots \frac{dx_n}{u(x_n) - z} + \\ + \int_{|x_1| < N} \dots \int_{|x_n| < N} K_n(x_1, \dots, x_n) \frac{dx_1}{u(x_1) - z} \dots \frac{dx_n}{u(x_n) - z}$$

where

$$K_n(x_1, \dots, x_n) = \begin{vmatrix} K(x_1, x_1) & K(x_1, x_2) & \dots & K(x_1, x_n) \\ K(x_2, x_1) & K(x_2, x_2) & \dots & K(x_2, x_n) \\ \vdots & \vdots & \dots & \vdots \\ K(x_n, x_1) & K(x_n, x_2) & \dots & K(x_n, x_n) \end{vmatrix}.$$

Consequently, we obtain:

$$|d_n(z)| \leq \frac{1}{(m_z)^n} \int_{|x_1| > N} \dots \int_{|x_n| > N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n + \dots + \\ + C_n^k \frac{1}{(m_z)^n} \int_{|x_1| < N} \dots \int_{|x_k| < N} \int_{|x_{n-(k+1)}| > N} \dots \int_{|x_n| > N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n + \\ + \frac{1}{(m_z)^n} \int_{|x_1| < N} \dots \int_{|x_n| < N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n$$

where $m_z = \inf_{x \in R} |u(x) - z| > 0$ for $z \in C \setminus \sigma(H_0)$.

We can choose a number N such that the following inequality

$$\begin{aligned} & \int_{|x_1| > N} \cdots \int_{|x_n| > N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n \leq \\ & \leq \int_{|x_1| < N} \cdots \int_{|x_k| < N} \int_{|x_{n-(k+1)}| > N} \cdots \int_{|x_n| > N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n \leq \\ & \leq \int_{|x_1| < N} \cdots \int_{|x_n| < N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n, \end{aligned}$$

holds.

Then we have

$$|d_n(z)| \leq \frac{2^n}{(m_z)^n} \int_{|x_1| < N} \cdots \int_{|x_n| < N} |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n.$$

Thus, by using the condition (K) and applying Hadamard's theorem we obtain the following inequality

$$|d_n(z)| \leq \frac{2^n}{(m_z)^n} M^n (2N)^n \sqrt{n^n}.$$

This proves proposition 1.

Lemma 1. Let i be a fixed positive integer. There exists an unbounded subset $D'_i \subset D_i$ such that $\Delta(z) \rightarrow 1$ as $z \rightarrow \infty$ and $z \in D'_i$.

Proof. We denote by a_1, \dots, a_k the real poles of rational function u , $m_z = \inf_{x \in R} |u(x) - z|$.

a) Let $z \in D_i$ and $m_z \rightarrow \infty$ as $z \rightarrow \infty$. Then we have

$$\begin{aligned} \left| \sum_{n=1}^{\infty} \frac{d_n(z)}{n!} \right| & \leq \sum_{n=1}^{\infty} \frac{1}{n!} \frac{1}{(m_z)^n} \int_R \cdots \int_R |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n = \\ & = \frac{1}{m_z} \sum_{n=1}^{\infty} \frac{1}{(m_z)^{n-1}} \frac{1}{n!} \int_R \cdots \int_R |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n. \end{aligned} \quad (3)$$

By using (3) we obtain $\lim_{m_z \rightarrow \infty} \Delta(z) = 1$ in $z \in D_i$, since

$$\sum_{n=0}^{\infty} \frac{1}{n!} \int_R \cdots \int_R |K_n(x_1, \dots, x_n)| dx_1 \dots dx_n < \infty.$$

b) Now let $m_z \rightarrow c = \text{const}$ as $z \rightarrow \infty$ for $z \in D_i$. Then there exists an integer N , a positive number $\delta < \alpha$ and an unbounded connected set $D'_i = D'_i(N, \delta) \subset D_i$ such that

$$u^{-1}(D'_i) \subset \Omega = \cup_{i=1}^k \{z : |z - a_i| < \delta, \text{Im} z > 0\} \cup \{z = x + iy : 0 < y < \delta, |x| > N\},$$

where $N > |a_i|$.

Let $z \in D'_i$ and $\psi_1(z), \dots, \psi_l(z) \in \Omega$ be solutions of the equation $u(x) - z = 0$ and $\Gamma_{N, \delta}$ a contour defined by

$$\Gamma_{N, \delta} = \cup_{i=1}^k \{z : |z - a_i| = \delta, \text{Im} z \geq 0\} \cup \{z = -N + iy : 0 \leq y \delta\} \cup$$

$$\cup\{z = N + iy : 0 \leq y \leq \delta, |x| \geq N\} \cup \{z = x + i\delta : |x| \geq N\}.$$

Let $K(t,s)$ be an analytic continuation in W_α^2 of the function $K(x,y)$, $x, y \in R$.

The function $d_1(z)$ is represented as

$$\begin{aligned} d_1(z) &= \int_R \frac{K(x,x)dx}{u(x)-z} = \int_{R \setminus \Gamma_{N,\delta}} \frac{K(t,t)dt}{u(t)-z} + \int_{\Gamma_{N,\delta}} \frac{K(t,t)dx}{u(t)-z} = \\ &= 2\pi i \sum_{j=1}^l \frac{K(\psi_j(z), \psi_j(z))}{u'(\psi_j(z))} + \int_{\Gamma_{N,\delta}} \frac{K(x,x)dx}{u(x)-z}. \end{aligned}$$

Since $|u(t) - z| \geq \rho > 0$, for all $z \in D'_i$, there exists a number $N > 0$ such that the following inequality

$$\begin{aligned} &\int_{\Gamma_{N,\delta}} \dots \int_{\Gamma_{N,\delta}} |D_n(t_1, \dots, t_n; z)| dt_1 \dots dt_n \leq \\ &\leq 2 \int_{R_{N,\delta}} \int_{\Gamma_{N,\delta}} \dots \int_{\Gamma_{N,\delta}} |D_n(t_1, \dots, t_n; z)| dt_1 \dots dt_n \leq \\ &\leq 2^n \int_{R_{N,\delta}} \dots \int_{R_{N,\delta}} |D_n(t_1, \dots, t_n)| dt_1 \dots dt_n \end{aligned}$$

holds, where

$$R_{N,\delta} = (-N, a_1 - \delta) \cup (a_1 + \delta, a_2 - \delta) \cup \dots \cup (a_{l-1} + \delta, a_l - \delta) \cup (a_l + \delta, N).$$

We denote by K_z a number defined by

$$\begin{aligned} K_z &= \max\left\{\sup \left| \frac{K(\psi_j(z), \psi_j(z))}{u'(\psi_j(z))} \right|, \sup_{t \in \Gamma_{N,\delta}} \left| \frac{K(t, \psi_j(z))}{u'(\psi_j(z))} \right|, \sup_{t \in \Gamma_{N,\delta}} \left| \frac{K(t, \psi_j(z))}{u'(\psi_j(z))} \right|, \right. \\ &\quad \left. \sup_{t \in \Gamma_{N,\delta}} \left| \frac{K(t, \psi_j(z))}{u(t) - z} \right|, \sup_{t \in \Gamma_{N,\delta}} \left| \frac{K(\psi_j(z), t)}{u(t) - z} \right|, \sup_{s, t \in R_{N,\delta}} \left| \frac{K(t, s)}{u(t) - z} \right| \right\}. \end{aligned} \quad (4)$$

Hence, we get

$$|d_1(z)| \leq 2\pi l K_z + 2 \int_{R_{N,\delta}} \frac{|K(t,t)|dt}{|u(t)-z|} \leq 2\pi l K_z + 2\rho_{N,\delta} K_z.$$

where $\rho_{N,\delta}$ is a length of the contour $R_{N,\delta}$.

Proposition 2. $\lim_{z \rightarrow \infty} K_z = 0$ for $z \in D'_i$.

Proof. Let $u'(x) = \text{const}$. Then

$$\lim_{z \rightarrow \infty} \psi_j(z) = \infty, \text{ for all } j \leq l.$$

If $u'(x) \neq \text{const}$. Then

$$\lim_{z \rightarrow \infty} \psi_j(z) = \infty, j \leq l.$$

Thus, we have

$$\sup \lim_{z \rightarrow \infty} \left| \frac{K(\psi_j(z), \psi_j(z))}{u'(\psi_j(z))} \right| = 0.$$

Note that the contour $R_{N,\delta}$ is bounded. So, we obtain

$$\lim_{z \rightarrow \infty} |u(t) - z| = \infty, \quad t \in R_{N,\delta}.$$

Consequently,

$$\lim_{z \rightarrow \infty} \left| \sup_{s, t \in \Gamma_{N,\delta}} \frac{K(t, s)}{u(t) - z} \right| = 0.$$

The relation $\lim_{z \rightarrow \infty} K_z = 0$ is proved analogously for all cases.

Now, we consider

$$\begin{aligned} d_n(z) &= \int_R \cdots \int_R \begin{vmatrix} K(x_1, x_1) & K(x_1, x_2) & \cdots & K(x_1, x_n) \\ K(x_2, x_1) & K(x_2, x_2) & \cdots & K(x_2, x_n) \\ \vdots & \vdots & \cdots & \vdots \\ K(x_n, x_1) & K(x_n, x_2) & \cdots & K(x_n, x_n) \end{vmatrix} \times \\ &\quad \times \frac{dx_1}{u(x_1) - z} \cdots \frac{dx_n}{u(x_n) - z} = \\ &\int_{R \setminus \Gamma_{N,\delta}} \cdots \int_{R \setminus \Gamma_{N,\delta}} \begin{vmatrix} K(t_1, t_1) & K(t_1, t_2) & \cdots & K(t_1, t_n) \\ K(t_2, t_1) & K(t_2, t_2) & \cdots & K(t_2, t_n) \\ \vdots & \vdots & \cdots & \vdots \\ K(t_n, t_1) & K(t_n, t_2) & \cdots & K(t_n, t_n) \end{vmatrix} \times \\ &\quad \times \frac{dt_1}{u(t_1) - z} \cdots \frac{dt_n}{u(t_n) - z} + \cdots + \\ &\quad + C_n^k \int_{R \setminus \Gamma_{N,\delta}} \cdots \int_{R \setminus \Gamma_{N,\delta}} \int_{\Gamma_{N,\delta}} dt_{n-k-1} \cdots \int_{\Gamma_{N,\delta}} dt_n \times \\ &\quad \times \begin{vmatrix} K(t_1, t_1) & K(t_1, t_2) & \cdots & K(t_1, t_n) \\ K(t_2, t_1) & K(t_2, t_2) & \cdots & K(t_2, t_n) \\ \vdots & \vdots & \cdots & \vdots \\ K(t_n, t_1) & K(t_n, t_2) & \cdots & K(t_n, t_n) \end{vmatrix} \times \\ &\quad \times \frac{1}{u(t_1) - z} \cdots \frac{1}{u(t_{n-k} - z)} \frac{dt_{n-k-1}}{u(t_{n-k-1}) - z} \cdots \frac{dt_n}{u(t_n) - z} + \\ &\quad + \int_{\Gamma_{N,\delta}} \cdots \int_{\Gamma_{N,\delta}} \begin{vmatrix} K(t_1, t_1) & K(t_1, t_2) & \cdots & K(t_1, t_n) \\ K(t_2, t_1) & K(t_2, t_2) & \cdots & K(t_2, t_n) \\ \vdots & \vdots & \cdots & \vdots \\ K(t_n, t_1) & K(t_n, t_2) & \cdots & K(t_n, t_n) \end{vmatrix} \times \\ &\quad \times \frac{dt_1}{u(t_1) - z} \cdots \frac{dt_n}{u(t_n) - z} = \\ &= (2\pi i)^n \sum_{j_1=1}^l \cdots \sum_{j_n=1}^l \begin{vmatrix} K(\psi_{j_1}, \psi_{j_1}) & K(\psi_{j_1}, \psi_{j_2}) & \cdots & K(\psi_{j_1}, \psi_{j_n}) \\ K(\psi_{j_2}, \psi_{j_1}) & K(\psi_{j_2}, \psi_{j_2}) & \cdots & K(\psi_{j_2}, \psi_{j_n}) \\ \vdots & \vdots & \cdots & \vdots \\ K(\psi_{j_n}, \psi_{j_1}) & K(\psi_{j_n}, \psi_{j_2}) & \cdots & K(\psi_{j_n}, \psi_{j_n}) \end{vmatrix} \times \\ &\quad \times \frac{1}{u'(\psi_{j_1}(z))} \cdots \frac{1}{u'(\psi_{j_n}(z))} + \end{aligned}$$

$$\begin{aligned}
& + (2\pi i)^{n-1} \sum_{j_1=1}^l \cdots \sum_{j_{n-1}=1}^l \frac{1}{u'(\psi_{j_1}(z))} \cdots \frac{1}{u'(\psi_{j_{n-1}}(z))} \int_{\Gamma_{N,\delta}} \times \\
& \times \begin{vmatrix} K(\psi_{j_1}, \psi_{j_1}) & K(\psi_{j_1}, \psi_{j_2}) & \cdots & K(\psi_{j_1}, x_n) \\ K(\psi_{j_2}, \psi_{j_1}) & K(\psi_{j_2}, \psi_{j_2}) & \cdots & K(\psi_{j_2}, x_n) \\ \vdots & \vdots & \cdots & \vdots \\ K(x_n, \psi_{j_1}) & K(x_n, \psi_{j_2}) & \cdots & K(x_n, x_n) \end{vmatrix} \frac{dx_n}{u(x_n) - z} + \\
& + \dots + C_n^k (2\pi i)^{n-k} \sum_{j_1=1}^l \cdots \sum_{j_{n-k}=1}^l \frac{1}{u'(\psi_{j_1}(z))} \cdots \frac{1}{u'(\psi_{j_{n-k}}(z))} \int_{\Gamma_{N,\delta}} \cdots \int_{\Gamma_{N,\delta}} \times \\
& \times \begin{vmatrix} K(\psi_{j_1}, \psi_{j_1}) & \cdots & K(\psi_{j_1}, \psi_{j_{n-k}}) & K(\psi_{j_1}, t_{n-k-1}) & \cdots & K(\psi_{j_1}, t_n) \\ K(\psi_{j_2}, \psi_{j_1}) & \cdots & K(\psi_{j_2}, \psi_{j_{n-k}}) & K(\psi_{j_2}, t_{n-k-1}) & \cdots & K(\psi_{j_2}, t_n) \\ \vdots & \cdots & \vdots & \vdots & \cdots & \vdots \\ K(t_n, \psi_{j_1}) & \cdots & K(t_n, \psi_{j_{n-k}}) & K(t_n, t_{n-k-1}) & \cdots & K(t_n, t_n) \end{vmatrix} \times \\
& \frac{dt_{n-k-1}}{u(t_{n-k-1}) - z} \frac{dt_n}{u(t_n) - z} + \int_{\Gamma_{N,\delta}} \cdots \int_{\Gamma_{N,\delta}} \begin{vmatrix} K(t_1, t_1) & K(t_1, t_2) & \cdots & K(t_1, t_n) \\ K(t_2, t_1) & K(t_2, t_2) & \cdots & K(t_2, t_n) \\ \vdots & \vdots & \cdots & \vdots \\ K(t_n, t_1) & K(t_n, t_2) & \cdots & K(t_n, t_n) \end{vmatrix} \times \\
& \times \frac{dt_1}{u(t_1) - z} \cdots \frac{dt_n}{u(t_n) - z}.
\end{aligned}$$

Arguing as above (as for the case $n=1$) by using (4) and applying Hadamard's theorem we get the following inequality

$$\begin{aligned}
|d_n(z)| & \leq l^n K_z^n \sqrt{n^n} + n l^{n-1} 2\rho_{N,\delta} K_z^n \sqrt{n^n} + \dots + C_n^k l^{n-k} (2\rho_{N,\delta})^k K_z^n \sqrt{n^n} + \dots + \\
& + (2\rho_{N,\delta})^n K_z^n \sqrt{n^n} < 2^n (2\rho_{N,\delta})^n K_z^n \sqrt{n^n},
\end{aligned}$$

for all $z \in D_i^!$ and $n = 1, 2, \dots$. As consequence we get

$$|\Delta_\mu(z) - 1| \leq \sum_{n=1}^{\infty} \frac{|d_n(z)|}{n!} \leq \sum_{n=1}^{\infty} \frac{2^n (2\rho_{N,\delta})^n K_z^n \sqrt{n^n}}{n!} = K_z \sum_{n=1}^{\infty} \frac{2^n (2\rho_{N,\delta})^n K_z^{n-1} \sqrt{n^n}}{n!},$$

for all $z \in D_i^! = D_i^!(N, \delta)$.

Now, by proposition 2, we have the proof of lemma 1.

Proof of theorem. The operator $H - z$ is represented as

$$H - z = (I + V(H_0 - z)^{-1})(H_0 - z)$$

for $z \in C \setminus \sigma(H)$. Thus, $(H - z)^{-1}$ exists if and only if $(I + V(H_0 - z)^{-1})^{-1}$ exists. By proposition 1, Fredholm's determinant $\Delta(z)$ is defined for all $z \in C \setminus \sigma(H_0)$. V is a compact operator. The function $V(H_0 - z)^{-1}$ is compact valued analytic in $C \setminus \sigma(H)$. By using the analytic Fredholm theorem, we conclude that $(I + V(H_0 - z)^{-1})^{-1}$ exists on $C \setminus \sigma(H_0)$ except for discrete set $D \subset C \setminus \sigma(H_0)$, since by lemma 1 $(I + V(H_0 - z)^{-1})^{-1}$ exists for certain $z \in C \setminus \sigma(H_0)$. So $\sigma_{ess}(H) \subset \sigma(H_0)$.

Now let λ_0 be an arbitrary element of $\Gamma(\lambda_0 \neq \infty)$ and $u(x_0) = \lambda_0$, u is a rational function. Then there exists positive $N_0 > 0$ such that function u is continuous in $[x_0, x_0 + \frac{1}{N_0}]$. We set

$$f_n(x) = \begin{cases} \sqrt{n(n+1)}, & \text{as } x \in (x_0 + \frac{1}{n+1}, x_0 + \frac{1}{n}] \\ 0 & \text{as } x \notin (x_0 + \frac{1}{n+1}, x_0 + \frac{1}{n}] \end{cases}$$

for integer $n > N_0$. Evidently, $f_n(x) \in D_u$ and $\{f_n\}$ is an orthonormalized system. It is easy to show that

$$\lim_{n \rightarrow \infty} \| (H - z\lambda_0)f_n \| = 0.$$

Thus, $\lambda_0 \in \sigma(H)$. In other words $\Gamma = \sigma(H_0) \subset \sigma(H)$. Consequently, $\sigma(H_0) \subset \sigma_{ess}(H)$.

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