

Distance-regular graphs, pseudo primitive idempotents, and the Terwilliger algebra

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Abstract

Let Γ denote a distance-regular graph with diameter $D \geq 3$, intersection numbers a_i, b_i, c_i and Bose-Mesner algebra \mathbf{M} . For $\theta \in \mathbb{C} \cup \infty$ we define a 1 dimensional subspace of \mathbf{M} which we call $\mathbf{M}(\theta)$. If $\theta \in \mathbb{C}$ then $\mathbf{M}(\theta)$ consists of those Y in \mathbf{M} such that $(A - \theta I)Y \in \mathbb{C}A_D$, where A (resp. A_D) is the adjacency matrix (resp. D th distance matrix) of Γ . If $\theta = \infty$ then $\mathbf{M}(\theta) = \mathbb{C}A_D$. By a *pseudo primitive idempotent* for θ we mean a nonzero element of $\mathbf{M}(\theta)$. We use these as follows. Let X denote the vertex set of Γ and fix $x \in X$. Let \mathbf{T} denote the subalgebra of $\text{Mat}_X(\mathbb{C})$ generated by $A, E_0^*, E_1^*, \dots, E_D^*$, where E_i^* denotes the projection onto the i th subconstituent of Γ with respect to x . \mathbf{T} is called the Terwilliger algebra. Let W denote an irreducible \mathbf{T} -module. By the *endpoint* of W we mean $\min\{i | E_i^*W \neq 0\}$. W is called *thin* whenever $\dim(E_i^*W) \leq 1$ for $0 \leq i \leq D$. Let $V = \mathbb{C}^X$ denote the standard \mathbf{T} -module. Fix $0 \neq v \in E_1^*V$ with v orthogonal to the all 1's vector. We define $(\mathbf{M}; v) := \{P \in \mathbf{M} | Pv \in E_D^*V\}$. We show the following are equivalent: (i) $\dim(\mathbf{M}; v) \geq 2$; (ii) v is contained in a thin irreducible \mathbf{T} -module with endpoint 1. Suppose (i), (ii) hold. We show $(\mathbf{M}; v)$ has a basis J, E where J has all entries 1 and E is defined as follows. Let W denote the \mathbf{T} -module which satisfies (ii). Observe E_1^*W is an eigenspace for $E_1^*AE_1^*$; let η denote the corresponding eigenvalue. Define $\tilde{\eta} = -1 - b_1(1 + \eta)^{-1}$ if $\eta \neq -1$ and $\tilde{\eta} = \infty$ if $\eta = -1$. Then E is a pseudo primitive idempotent for $\tilde{\eta}$.

Keywords: distance-regular graph, pseudo primitive idempotent, subconstituent algebra, Terwilliger algebra.

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1 Introduction

Let Γ denote a distance-regular graph with diameter $D \geq 3$, intersection numbers a_i, b_i, c_i , Bose-Mesner algebra \mathbf{M} and path-length distance function ∂ (see section 2 for formal definitions). In order to state our main theorems we make a few comments. Let X denote the vertex set of Γ . Let $V = \mathbb{C}^X$ denote the vector space over \mathbb{C} consisting of column vectors whose coordinates are indexed by X and whose entries are in \mathbb{C} . We endow V with the Hermitean inner product $\langle \cdot, \cdot \rangle$ satisfying $\langle u, v \rangle = u^t \bar{v}$ for all $u, v \in V$. For each $y \in X$ let \hat{y} denote the vector in V with a 1 in the y coordinate and 0 in all other coordinates. We observe $\{\hat{y} | y \in X\}$ is an orthonormal basis for V . Fix $x \in X$. For $0 \leq i \leq D$ let E_i^* denote the diagonal matrix in $\text{Mat}_X(\mathbb{C})$ which has yy entry 1 (resp. 0) whenever $\partial(x, y) = i$ (resp. $\partial(x, y) \neq i$). We observe E_i^* acts on V as the projection onto the i th subconstituent of Γ with respect to x . For $0 \leq i \leq D$ define $s_i = \sum \hat{y}$, where the sum is over all vertices $y \in X$ such that $\partial(x, y) = i$. We observe $s_i \in E_i^*V$. Let v denote a nonzero vector in E_1^*V which is orthogonal to s_1 . We define

$$(\mathbf{M}; v) := \{P \in \mathbf{M} \mid Pv \in E_D^*V\}.$$

We observe $(\mathbf{M}; v)$ is a subspace of \mathbf{M} . We consider the dimension of $(\mathbf{M}; v)$. We first observe $(\mathbf{M}; v) \neq 0$. To see this, let J denote the matrix in $\text{Mat}_X(\mathbb{C})$ which has all entries 1. It is known J is contained in \mathbf{M} [2, p. 64]. In fact $J \in (\mathbf{M}; v)$; the reason is $Jv = 0$ since v is orthogonal to s_1 . Apparently $(\mathbf{M}; v)$ is nonzero so it has dimension at least 1. We now consider when does $(\mathbf{M}; v)$ have dimension at least 2? To answer this question we recall the Terwilliger algebra. Let \mathbf{T} denote the subalgebra of $\text{Mat}_X(\mathbb{C})$ generated by $A, E_0^*, E_1^*, \dots, E_D^*$, where A denotes the adjacency matrix of Γ . The algebra \mathbf{T} is known as the *Terwilliger algebra* (or *subconstituent algebra*) of Γ with respect to x [19, 20, 21]. By a *\mathbf{T} -module* we mean a subspace $W \subseteq V$ such that $\mathbf{T}W \subseteq W$. Let W denote a \mathbf{T} -module. We say W is *irreducible* whenever $W \neq 0$ and W does not contain a \mathbf{T} -module other than 0 and W . Let W denote an irreducible \mathbf{T} -module. By the *endpoint* of W we mean the minimal integer i ($0 \leq i \leq D$) such that $E_i^*W \neq 0$. We say W is *thin* whenever E_i^*W has dimension at most 1 for $0 \leq i \leq D$. We now state our main theorem.

Theorem 1.1. *Let v denote a nonzero vector in E_1^*V which is orthogonal to s_1 . Then the following (i), (ii) are equivalent.*

(i) $(\mathbf{M}; v)$ has dimension at least 2.

(ii) v is contained in a thin irreducible \mathbf{T} -module with endpoint 1.

Suppose (i), (ii) hold above. Then $(\mathbf{M}; v)$ has dimension exactly 2.

With reference to Theorem 1.1, suppose for the moment that (i), (ii) hold. We find a basis for $(\mathbf{M}; v)$. To describe our basis we need some notation. Let $\theta_0 > \theta_1 > \cdots > \theta_D$ denote the distinct eigenvalues of A , and for $0 \leq i \leq D$ let E_i denote the primitive idempotent of \mathbf{M} associated with θ_i . We recall E_i satisfies $(A - \theta_i I)E_i = 0$. We introduce a type of element in \mathbf{M} which generalizes the E_0, E_1, \dots, E_D . We call this type of element a *pseudo primitive idempotent* for Γ . In order to define the pseudo primitive idempotents, we first define for each $\theta \in \mathbb{C} \cup \infty$ a subspace of \mathbf{M} which we call $\mathbf{M}(\theta)$. For $\theta \in \mathbb{C}$, $\mathbf{M}(\theta)$ consists of those elements Y of \mathbf{M} such that $(A - \theta I)Y \in \mathbb{C}A_D$, where A_D is the D th distance matrix of Γ . We define $\mathbf{M}(\infty) = \mathbb{C}A_D$. We show $\mathbf{M}(\theta)$ has dimension 1 for all $\theta \in \mathbb{C} \cup \infty$. Given distinct θ, θ' in $\mathbb{C} \cup \infty$, we show $\mathbf{M}(\theta) \cap \mathbf{M}(\theta') = 0$. For $0 \leq i \leq D$ we show $\mathbf{M}(\theta_i) = \mathbb{C}E_i$. Let $\theta \in \mathbb{C} \cup \infty$. By a *pseudo primitive idempotent* for θ , we mean a nonzero element of $\mathbf{M}(\theta)$. Before proceeding we define an involution on $\mathbb{C} \cup \infty$. For $\eta \in \mathbb{C} \cup \infty$ we define

$$\tilde{\eta} = \begin{cases} \infty & \text{if } \eta = -1, \\ -1 & \text{if } \eta = \infty, \\ -1 - \frac{b_1}{1+\eta} & \text{if } \eta \neq -1, \eta \neq \infty. \end{cases}$$

We observe $\tilde{\tilde{\eta}} = \eta$ for $\eta \in \mathbb{C} \cup \infty$. Let W denote a thin irreducible \mathbf{T} -module with endpoint 1. Observe E_1^*W is a one dimensional eigenspace for $E_1^*AE_1^*$; let η denote the corresponding eigenvalue. We call η the *local eigenvalue* of W .

Theorem 1.2. *Let v denote a nonzero vector in E_1^*V which is orthogonal to s_1 . Suppose v satisfies the equivalent conditions (i), (ii) in Theorem 1.1. Let W denote the \mathbf{T} -module from part (ii) of that theorem and let η denote the local eigenvalue for W . Let E denote a pseudo primitive idempotent for $\tilde{\eta}$. Then J, E form a basis for $(\mathbf{M}; v)$.*

We comment on when the scalar $\tilde{\eta}$ from Theorem 1.2 is an eigenvalue of Γ . Let W denote a thin irreducible \mathbf{T} -module with endpoint 1 and local

eigenvalue η . It is known $\tilde{\theta}_1 \leq \eta \leq \tilde{\theta}_D$ [18, Theorem 1]. If $\eta = \tilde{\theta}_1$ then $\tilde{\eta} = \theta_1$. If $\eta = \tilde{\theta}_D$ then $\tilde{\eta} = \theta_D$. We show that if $\tilde{\theta}_1 < \eta < \tilde{\theta}_D$ then $\tilde{\eta}$ is not an eigenvalue of Γ .

The paper is organized as follows. In section 2 we give some preliminaries on distance-regular graphs. In section 3 and section 4 we review some basic results on the Terwilliger algebra and its modules. We prove Theorem 1.1 in section 5. In section 6 we discuss pseudo primitive idempotents. In section 7 we discuss local eigenvalues. We prove Theorem 1.2 in section 8.

2 Preliminaries

In this section we review some definitions and basic concepts. See the books by Bannai and Ito [2] or Brouwer, Cohen, and Neumaier [4] for more background information.

Let X denote a nonempty finite set. Let $\text{Mat}_X(\mathbb{C})$ denote the \mathbb{C} -algebra consisting of all matrices whose rows and columns are indexed by X and whose entries are in \mathbb{C} . Let $V = \mathbb{C}^X$ denote the vector space over \mathbb{C} consisting of column vectors whose coordinates are indexed by X and whose entries are in \mathbb{C} . We observe $\text{Mat}_X(\mathbb{C})$ acts on V by left multiplication. We endow V with the Hermitean inner product $\langle \cdot, \cdot \rangle$ which satisfies $\langle u, v \rangle = u^t \bar{v}$ for all $u, v \in V$, where t denotes transpose and $\bar{\cdot}$ denotes complex conjugation. For all $y \in X$, let \hat{y} denote the element of V with a 1 in the y coordinate and 0 in all other coordinates. We observe $\{\hat{y} \mid y \in X\}$ is an orthonormal basis for V .

Let $\Gamma = (X, R)$ denote a finite, undirected, connected graph without loops or multiple edges, with vertex set X , edge set R , path-length distance function ∂ and diameter $D := \max\{\partial(x, y) \mid x, y \in X\}$. We say Γ is *distance-regular* whenever for all integers h, i, j ($0 \leq h, i, j \leq D$) and for all $x, y \in X$ with $\partial(x, y) = h$, the number

$$p_{ij}^h = |\{z \in X \mid \partial(x, z) = i, \partial(z, y) = j\}| \quad (2.1)$$

is independent of x and y . The integers p_{ij}^h are called the *intersection numbers* for Γ . Observe $p_{ij}^h = p_{ji}^h$ ($0 \leq h, i, j \leq D$). We abbreviate $c_i := p_{1i-1}^i$ ($1 \leq i \leq D$), $a_i := p_{1i}^i$ ($0 \leq i \leq D$), $b_i := p_{1i+1}^i$ ($0 \leq i \leq D-1$), $k_i := p_{ii}^0$

($0 \leq i \leq D$), and for convenience we set $c_0 := 0$ and $b_D := 0$. Note that $b_{i-1}c_i \neq 0$ ($1 \leq i \leq D$).

For the rest of this paper we assume $\Gamma = (X, R)$ is distance-regular with diameter $D \geq 3$. By (2.1) and the triangle inequality,

$$p_{i1}^h = 0 \quad \text{if } |h - i| > 1 \quad (0 \leq h, i \leq D), \quad (2.2)$$

$$p_{ij}^1 = 0 \quad \text{if } |i - j| > 1 \quad (0 \leq i, j \leq D). \quad (2.3)$$

Observe Γ is regular with valency $k = k_1 = b_0$, and that $k = c_i + a_i + b_i$ for $0 \leq i \leq D$. By [4, p. 127] we have

$$k_{i-1}b_{i-1} = k_i c_i \quad (1 \leq i \leq D). \quad (2.4)$$

We recall the Bose-Mesner algebra of Γ . For $0 \leq i \leq D$ let A_i denote the matrix in $\text{Mat}_X(\mathbb{C})$ which has yz entry

$$(A_i)_{yz} = \begin{cases} 1 & \text{if } \partial(y, z) = i \\ 0 & \text{if } \partial(y, z) \neq i \end{cases} \quad (y, z \in X).$$

We call A_i the *ith distance matrix* of Γ . For notational convenience we define $A_i = 0$ for $i < 0$ and $i > D$. Observe (ai) $A_0 = I$; (aii) $\sum_{i=0}^D A_i = J$; (aiii) $\overline{A_i} = A_i$ ($0 \leq i \leq D$); (aiv) $A_i^t = A_i$ ($0 \leq i \leq D$), (av) $A_i A_j = \sum_{h=0}^D p_{ij}^h A_h$ ($0 \leq i, j \leq D$), where I denotes the identity matrix and J denotes the all ones matrix. We abbreviate $A := A_1$ and call this the *adjacency matrix* of Γ . Let \mathbf{M} denote the subalgebra of $\text{Mat}_X(\mathbb{C})$ generated by A . Using (ai)–(av) we find A_0, A_1, \dots, A_D form a basis of \mathbf{M} . We call \mathbf{M} the *Bose-Mesner algebra* of Γ . By [2, p. 59, p. 64], \mathbf{M} has a second basis E_0, E_1, \dots, E_D such that (ei) $E_0 = |X|^{-1}J$; (eii) $\sum_{i=0}^D E_i = I$; (eiii) $\overline{E_i} = E_i$ ($0 \leq i \leq D$); (eiv) $E_i^t = E_i$ ($0 \leq i \leq D$); (ev) $E_i E_j = \delta_{ij} E_i$ ($0 \leq i, j \leq D$). We call E_0, E_1, \dots, E_D the *primitive idempotents* for Γ . Since E_0, E_1, \dots, E_D form a basis for \mathbf{M} there exists complex scalars $\theta_0, \theta_1, \dots, \theta_D$ such that $A = \sum_{i=0}^D \theta_i E_i$. By this and (ev) we find $AE_i = \theta_i E_i$ for $0 \leq i \leq D$. Using (aiii) and (eiii) we find each of $\theta_0, \theta_1, \dots, \theta_D$ is a real number. Observe $\theta_0, \theta_1, \dots, \theta_D$ are mutually distinct since A generates \mathbf{M} . By [2, p.197] we have $\theta_0 = k$ and $-k \leq \theta_i \leq k$ for $0 \leq i \leq D$. Throughout this paper, we assume E_0, E_1, \dots, E_D are indexed so that $\theta_0 > \theta_1 > \dots > \theta_D$. We call θ_i the *ith eigenvalue* of Γ .

We recall some polynomials. To motivate these we make a comment. Setting $i = 1$ in (av) and using (2.2),

$$AA_j = b_{j-1}A_{j-1} + a_jA_j + c_{j+1}A_{j+1} \quad (0 \leq j \leq D-1), \quad (2.5)$$

where $b_{-1} = 0$. Let λ denote an indeterminate and let $\mathbb{C}[\lambda]$ denote the \mathbb{C} -algebra consisting of all polynomials in λ which have coefficients in \mathbb{C} . Let f_0, f_1, \dots, f_D denote the polynomials in $\mathbb{C}[\lambda]$ which satisfy $f_0 = 1$ and

$$\lambda f_j = b_{j-1}f_{j-1} + a_jf_j + c_{j+1}f_{j+1} \quad (0 \leq j \leq D-1), \quad (2.6)$$

where $f_{-1} = 0$. For $0 \leq j \leq D$ the degree of f_j is exactly j . Comparing (2.5) and (2.6) we find $A_j = f_j(A)$.

3 The Terwilliger algebra

For the remainder of this paper we fix $x \in X$. For $0 \leq i \leq D$ let $E_i^* = E_i^*(x)$ denote the diagonal matrix in $\text{Mat}_X(\mathbb{C})$ which has yy entry

$$(E_i^*)_{yy} = \begin{cases} 1 & \text{if } \partial(x, y) = i \\ 0 & \text{if } \partial(x, y) \neq i \end{cases} \quad (y \in X). \quad (3.1)$$

We call E_i^* the *i th dual idempotent of Γ with respect to x* . For convenience we define $E_i^* = 0$ for $i < 0$ and $i > D$. We observe (i) $\sum_{i=0}^D E_i^* = I$; (ii) $\overline{E_i^*} = E_i^*$ ($0 \leq i \leq D$), (iii) $E_i^{*t} = E_i^*$ ($0 \leq i \leq D$), (iv) $E_i^*E_j^* = \delta_{ij}E_i^*$ ($0 \leq i, j \leq D$). The E_i^* have the following interpretation. Using (3.1) we find

$$E_i^*V = \text{span}\{\hat{y}|y \in X, \partial(x, y) = i\} \quad (0 \leq i \leq D).$$

By this and since $\{\hat{y}|y \in X\}$ is an orthonormal basis for V ,

$$V = E_0^*V + E_1^*V + \dots + E_D^*V \quad (\text{orthogonal direct sum}).$$

For $0 \leq i \leq D$, E_i^* acts on V as the projection onto E_i^*V . We call E_i^*V the *i th subconstituent of Γ with respect to x* . For $0 \leq i \leq D$ we define $s_i = \sum \hat{y}$, where the sum is over all vertices $y \in X$ such that $\partial(x, y) = i$. We observe $s_i \in E_i^*V$. Let $\mathbf{T} = \mathbf{T}(x)$ denote the subalgebra of $\text{Mat}_X(\mathbb{C})$ generated by $A, E_0^*, E_1^*, \dots, E_D^*$. The algebra \mathbf{T} is semisimple but not commutative in general [19, Lemma 3.4]. We call \mathbf{T} the *Terwilliger algebra*

(or *subconstituent algebra*) of Γ with respect to x . We refer the reader to [1, 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 19, 20, 21, 22, 23, 24] for more information on the Terwilliger algebra. We will use the following facts. Pick any integers h, i, j ($0 \leq h, i, j \leq D$). By [19, Lemma 3.2] we have $E_i^* A_h E_j^* = 0$ if and only if $p_{ij}^h = 0$. By this and (2.2), (2.3) we find

$$E_i^* A_h E_1^* = 0 \quad \text{if} \quad |h - i| > 1 \quad (0 \leq h, i \leq D), \quad (3.2)$$

$$E_i^* A E_j^* = 0 \quad \text{if} \quad |i - j| > 1 \quad (0 \leq i, j \leq D). \quad (3.3)$$

Lemma 3.1. *The following (i), (ii) hold for $0 \leq i \leq D$.*

$$(i) \quad E_i^* J E_1^* = E_i^* A_{i-1} E_1^* + E_i^* A_i E_1^* + E_i^* A_{i+1} E_1^*.$$

$$(ii) \quad A_i E_1^* = E_{i-1}^* A_i E_1^* + E_i^* A_i E_1^* + E_{i+1}^* A_i E_1^*.$$

Proof. (i) Recall $J = \sum_{h=0}^D A_h$ so $E_i^* J E_1^* = \sum_{h=0}^D E_i^* A_h E_1^*$. Evaluating this using (3.2) we obtain the result.

(ii) Recall $I = \sum_{h=0}^D E_h^*$ so $A_i E_1^* = \sum_{h=0}^D E_h^* A_i E_1^*$. Evaluating this using (3.2) we obtain the result. \square

Lemma 3.2. *For $0 \leq i \leq D - 1$ we have*

$$E_{i+1}^* A_i E_1^* - E_i^* A_{i+1} E_1^* = \sum_{h=0}^i A_h E_1^* - \sum_{h=0}^i E_h^* J E_1^*. \quad (3.4)$$

Proof. Evaluate each term in the right-hand side of (3.4) using Lemma 3.1 and simplify the result. \square

Corollary 3.3. *Let v denote a vector in $E_1^* V$ which is orthogonal to s_1 . Then for $0 \leq i \leq D - 1$ we have*

$$E_{i+1}^* A_i v - E_i^* A_{i+1} v = \sum_{h=0}^i A_h v. \quad (3.5)$$

Moreover $E_0^* A v = 0$.

Proof. To obtain (3.5) apply all terms of (3.4) to v and evaluate the result using $E_1^* v = v$ and $J v = 0$. Setting $i = 0$ in (3.5) we find $v - E_0^* A v = v$ so $E_0^* A v = 0$. \square

Lemma 3.4. *The following (i), (ii) hold for $1 \leq i \leq D - 1$.*

$$(i) E_{i+1}^* A E_i^* A_{i-1} E_1^* = c_i E_{i+1}^* A_i E_1^*$$

$$(ii) E_{i-1}^* A E_i^* A_{i+1} E_1^* = b_i E_{i-1}^* A_i E_1^*.$$

Proof. (i) For all $y, z \in X$, on either side the yz entry is equal to c_i if $\partial(x, y) = i + 1$, $\partial(x, z) = 1$, $\partial(y, z) = i$, and zero otherwise.

(ii) For all $y, z \in X$, on either side the yz entry is equal to b_i if $\partial(x, y) = i - 1$, $\partial(x, z) = 1$, $\partial(y, z) = i$, and zero otherwise. \square

Corollary 3.5. *Let v denote a vector in E_1^*V . Then the following (i), (ii) hold for $1 \leq i \leq D - 1$.*

$$(i) \text{ Suppose } E_i^* A_{i-1} v = 0. \text{ Then } E_{i+1}^* A_i v = 0.$$

$$(ii) \text{ Suppose } E_i^* A_{i+1} v = 0. \text{ Then } E_{i-1}^* A_i v = 0.$$

Proof. In Lemma 3.4(i),(ii) apply both sides to v and use $E_1^*v = v$. \square

4 The modules of the Terwilliger algebra

Let \mathbf{T} denote the Terwilliger algebra of Γ with respect to x . By a \mathbf{T} -module we mean a subspace $W \subseteq V$ such that $BW \subseteq W$ for all $B \in \mathbf{T}$. Let W denote a \mathbf{T} -module. Then W is said to be *irreducible* whenever W is nonzero and W contains no \mathbf{T} -modules other than 0 and W . Let W denote an irreducible \mathbf{T} -module. Then W is the orthogonal direct sum of the nonzero spaces among $E_0^*W, E_1^*W, \dots, E_D^*W$ [19, Lemma 3.4]. By the *endpoint* of W we mean $\min\{i | 0 \leq i \leq D, E_i^*W \neq 0\}$. By the *diameter* of W we mean $|\{i | 0 \leq i \leq D, E_i^*W \neq 0\}| - 1$. We say W is *thin* whenever E_i^*W has dimension at most 1 for $0 \leq i \leq D$. There exists a unique irreducible \mathbf{T} -module which has endpoint 0 [10, Prop. 8.4]. This module is called V_0 . For $0 \leq i \leq D$ the vector s_i is a basis for $E_i^*V_0$ [19, Lemma 3.6]. Therefore V_0 is thin with diameter D . The module V_0 is orthogonal to each irreducible \mathbf{T} -module other than V_0 [6, Lem. 3.3]. For more information on V_0 see [6, 10]. We will use the following facts.

Lemma 4.1. [19, Lemma 3.9] *Let W denote an irreducible \mathbf{T} -module with endpoint r and diameter d . Then*

$$E_i^*W \neq 0 \quad (r \leq i \leq r + d). \quad (4.1)$$

Moreover

$$E_i^* A E_j^* W \neq 0 \quad \text{if } |i - j| = 1, \quad (r \leq i, j \leq r + d). \quad (4.2)$$

Lemma 4.2. [6, Lemma 3.4] *Let W denote a \mathbf{T} -module. Suppose there exists an integer i ($0 \leq i \leq D$) such that $\dim(E_i^* W) = 1$ and $W = \mathbf{T}E_i^* W$. Then W is irreducible.*

Theorem 4.3. [12, Lemma 10.1], [22, Theorem 11.1] *Let W denote a thin irreducible \mathbf{T} -module with endpoint one, and let v denote a nonzero vector in $E_1^* W$. Then $W = \mathbf{M}v$. Moreover the diameter of W is $D - 2$ or $D - 1$.*

Theorem 4.4. [12, Corollary 8.6, Theorem 9.8] *Let v denote a nonzero vector in $E_1^* V$ which is orthogonal to s_1 . Then the dimension of $\mathbf{M}v$ is $D - 1$ or D . Suppose the dimension of $\mathbf{M}v$ is $D - 1$. Then $\mathbf{M}v$ is a thin irreducible \mathbf{T} -module with endpoint 1 and diameter $D - 2$.*

5 The proof of Theorem 1.1

We now give a proof of Theorem 1.1.

Proof. ((i) \implies (ii)) We show $\mathbf{M}v$ is a thin irreducible \mathbf{T} -module with endpoint 1. By Theorem 4.4 the dimension of $\mathbf{M}v$ is either $D - 1$ or D . First assume the dimension of $\mathbf{M}v$ is equal to $D - 1$. Then by Theorem 4.4, $\mathbf{M}v$ is a thin irreducible \mathbf{T} -module with endpoint 1. Next assume the dimension of $\mathbf{M}v$ is equal to D . The space $(\mathbf{M}; v)$ contains J and has dimension at least 2, so there exists $P \in (\mathbf{M}; v)$ such that J, P are linearly independent. From the construction $Pv \in E_D^* V$. Observe $Pv \neq 0$; otherwise the dimension of $\mathbf{M}v$ is not D . The elements A_0, A_1, \dots, A_D form a basis for \mathbf{M} . Therefore the elements $A_0 + A_1 + \dots + A_i$ ($0 \leq i \leq D$) form a basis for \mathbf{M} . Apparently there exist complex scalars ρ_i ($0 \leq i \leq D$) such that $P = \sum_{i=0}^D \rho_i (A_0 + A_1 + \dots + A_i)$. Recall $J = \sum_{h=0}^D A_h$. Subtracting a scalar multiple of J from P if necessary, we may assume $\rho_D = 0$. We consider Pv from two points of view. On one hand we have $Pv \in E_D^* V$. Therefore $E_D^* Pv = Pv$ and $E_i^* Pv = 0$ for $0 \leq i \leq D - 1$. On the other hand using (3.5),

$$Pv = \sum_{i=0}^{D-1} \rho_i (E_{i+1}^* A_i v - E_i^* A_{i+1} v).$$

Combining these two points of view we find $Pv = \rho_{D-1}E_D^*A_{D-1}v$, $\rho_0E_0^*Av = 0$, and

$$\rho_{i-1}E_i^*A_{i-1}v = \rho_iE_i^*A_{i+1}v \quad (1 \leq i \leq D-1). \quad (5.1)$$

We mentioned $Pv \neq 0$; therefore $\rho_{D-1} \neq 0$ and $E_D^*A_{D-1}v \neq 0$. Applying Corollary 3.5(i) we find $E_i^*A_{i-1}v \neq 0$ for $1 \leq i \leq D$. We claim $E_i^*A_{i+1}v$ and $E_i^*A_{i-1}v$ are linearly dependent for $1 \leq i \leq D-1$. Suppose there exists an integer i ($1 \leq i \leq D-1$) such that $E_i^*A_{i+1}v$ and $E_i^*A_{i-1}v$ are linearly independent. Then $E_i^*A_{i+1}v \neq 0$. Applying Corollary 3.5(ii) we find $E_j^*A_{j+1}v \neq 0$ for $i \leq j \leq D-1$. Using these facts and (5.1) we routinely find $\rho_j = 0$ for $i \leq j \leq D-1$. In particular $\rho_{D-1} = 0$ for a contradiction. We have now shown $E_i^*A_{i+1}v$ and $E_i^*A_{i-1}v$ are linearly dependent for $1 \leq i \leq D-1$. Observe $\mathbf{M}v$ is spanned by the vectors

$$(A_0 + A_1 + \cdots + A_i)v \quad (0 \leq i \leq D-1).$$

By Corollary 3.3 and our above comments we find $\mathbf{M}v$ is contained in the span of

$$E_{i+1}^*A_i v \quad (0 \leq i \leq D-1). \quad (5.2)$$

Since $\mathbf{M}v$ has dimension D we find $\mathbf{M}v$ is equal to the span of (5.2). Apparently $\mathbf{M}v$ is a \mathbf{T} -module. Moreover $\mathbf{M}v$ is irreducible by Lemma 4.2. Apparently $\mathbf{M}v$ is thin with endpoint 1.

((ii) \implies (i)) We show $(\mathbf{M}; v)$ has dimension at least 2. Since $J \in (\mathbf{M}; v)$ it suffices to exhibit an element $P \in (\mathbf{M}; v)$ such that J, P are linearly independent. Let W denote a thin irreducible \mathbf{T} -module which has endpoint 1 and contains v . By Theorem 4.3 we have $W = \mathbf{M}v$; also by Theorem 4.3 the diameter of W is $D-2$ or $D-1$. First suppose W has diameter $D-2$. Then W has dimension $D-1$. Consider the map $\sigma : \mathbf{M} \rightarrow V$ which sends each element P to Pv . The image of \mathbf{M} under σ is $\mathbf{M}v$ and the kernel of σ is contained in $(\mathbf{M}; v)$. The image has dimension $D-1$ and \mathbf{M} has dimension $D+1$ so the kernel has dimension 2. It follows $(\mathbf{M}; v)$ has dimension at least 2. Next assume W has diameter $D-1$. In this case $E_D^*W \neq 0$ by (4.1). Since $W = \mathbf{M}v$ there exists $P \in \mathbf{M}$ such that Pv is a nonzero element in E_D^*W . Now $P \in (\mathbf{M}; v)$. Observe P, J are linearly independent since $Pv \neq 0$ and $Jv = 0$. Apparently the dimension of $(\mathbf{M}; v)$ is at least 2.

Now assume (i), (ii) hold. We show the dimension of $(\mathbf{M}; v)$ is 2. To do this, we show the dimension of $(\mathbf{M}; v)$ is at most 2. Let H denote the subspace of \mathbf{M} spanned by A_0, A_1, \dots, A_{D-2} . We show H has 0 intersection with $(\mathbf{M}; v)$. By Theorem 4.4 the dimension of $\mathbf{M}v$ is at least $D-1$. Recall \mathbf{M} is generated by A so the vectors $A^i v$ ($0 \leq i \leq D-2$) are linearly independent. Apparently the vectors $A_i v$ ($0 \leq i \leq D-2$) are linearly independent. For $0 \leq i \leq D-2$ the vector $A_i v$ is contained in $\sum_{h=0}^{D-1} E_h^* V$ by Lemma 3.1(ii); therefore $A_i v$ is orthogonal to $E_D^* V$. We now see the vectors $A_i v$ ($0 \leq i \leq D-2$) are linearly independent and orthogonal to $E_D^* V$. It follows H has 0 intersection with $(\mathbf{M}; v)$. Observe H is codimension 2 in \mathbf{M} so the dimension of $(\mathbf{M}; v)$ is at most 2. We conclude the dimension of $(\mathbf{M}; v)$ is 2. \square

6 Pseudo primitive idempotents

In this section we introduce the notion of a pseudo primitive idempotent.

Definition 6.1. For each $\theta \in \mathbb{C} \cup \infty$ we define a subspace of \mathbf{M} which we call $\mathbf{M}(\theta)$. For $\theta \in \mathbb{C}$, $\mathbf{M}(\theta)$ consists of those elements Y of \mathbf{M} such that $(A - \theta I)Y \in \mathbb{C}A_D$. We define $\mathbf{M}(\infty) = \mathbb{C}A_D$.

With reference to Definition 6.1, we will show each $\mathbf{M}(\theta)$ has dimension 1. To establish this we display a basis for $\mathbf{M}(\theta)$. We will use the following result.

Lemma 6.2. *Let Y denote an element of \mathbf{M} and write $Y = \sum_{i=0}^D \rho_i A_i$. Let θ denote a complex number. Then the following (i), (ii) are equivalent.*

$$(i) \quad (A - \theta I)Y \in \mathbb{C}A_D.$$

$$(ii) \quad \rho_i = \rho_0 f_i(\theta) k_i^{-1} \text{ for } 0 \leq i \leq D.$$

Proof. Evaluating $(A - \theta I)Y$ using $Y = \sum_{i=0}^D \rho_i A_i$ and simplifying the result using (2.5) we obtain

$$(A - \theta I)Y = \sum_{i=0}^D A_i (c_i \rho_{i-1} + a_i \rho_i + b_i \rho_{i+1} - \theta \rho_i),$$

where $\rho_{-1} = 0$ and $\rho_{D+1} = 0$. Observe by (2.4), (2.6) that $\rho_i = \rho_0 f_i(\theta) k_i^{-1}$ for $0 \leq i \leq D$ if and only if $c_i \rho_{i-1} + a_i \rho_i + b_i \rho_{i+1} = \theta \rho_i$ for $0 \leq i \leq D-1$. The result follows. \square

Corollary 6.3. For $\theta \in \mathbb{C}$ the following is a basis for $\mathbf{M}(\theta)$.

$$\sum_{i=0}^D f_i(\theta) k_i^{-1} A_i. \quad (6.1)$$

Proof. Immediate from Lemma 6.2. \square

Corollary 6.4. The space $\mathbf{M}(\theta)$ has dimension 1 for all $\theta \in \mathbb{C} \cup \infty$.

Proof. Suppose $\theta = \infty$. Then $\mathbf{M}(\theta)$ has basis A_D and therefore has dimension 1. Suppose $\theta \in \mathbb{C}$. Then $\mathbf{M}(\theta)$ has dimension 1 by Corollary 6.3. \square

Lemma 6.5. Let θ and θ' denote distinct elements of $\mathbb{C} \cup \infty$. Then $\mathbf{M}(\theta) \cap \mathbf{M}(\theta') = 0$.

Proof. This is a routine consequence of Corollary 6.3 and the fact that $\mathbf{M}(\infty) = \mathbb{C}A_D$. \square

Corollary 6.6. For $0 \leq i \leq D$ we have $\mathbf{M}(\theta_i) = \mathbb{C}E_i$.

Proof. Observe $(A - \theta_i I)E_i = 0$ so $E_i \in \mathbf{M}(\theta_i)$. The space $\mathbf{M}(\theta_i)$ has dimension 1 by Corollary 6.4 and E_i is nonzero so E_i is a basis for $\mathbf{M}(\theta_i)$. \square

Remark 6.7. [2, p. 63] For $0 \leq j \leq D$ we have

$$E_j = m_j |X|^{-1} \sum_{i=0}^D f_i(\theta_j) k_i^{-1} A_i,$$

where m_j denotes the rank of E_j .

Definition 6.8. Let $\theta \in \mathbb{C} \cup \infty$. By a *pseudo primitive idempotent* for θ we mean a nonzero element of $\mathbf{M}(\theta)$, where $\mathbf{M}(\theta)$ is from Definition 6.1.

7 The local eigenvalues

Definition 7.1. Define a function $\tilde{\cdot} : \mathbb{C} \cup \infty \rightarrow \mathbb{C} \cup \infty$ by

$$\tilde{\eta} = \begin{cases} \infty & \text{if } \eta = -1, \\ -1 & \text{if } \eta = \infty, \\ -1 - \frac{b_1}{1+\eta} & \text{if } \eta \neq -1, \eta \neq \infty. \end{cases}$$

Observe $\tilde{\tilde{\eta}} = \eta$ for all $\eta \in \mathbb{C} \cup \infty$.

Let v denote a nonzero vector in E_1^*V which is orthogonal to s_1 . Assume v is an eigenvector for $E_1^*AE_1^*$ and let η denote the corresponding eigenvalue. We recall a few facts concerning η and $\tilde{\eta}$. We have $\tilde{\theta}_1 \leq \eta \leq \tilde{\theta}_D$ [18, Theorem 1]. If $\eta = \tilde{\theta}_1$ then $\tilde{\eta} = \theta_1$. If $\eta = \tilde{\theta}_D$ then $\tilde{\eta} = \theta_D$. We have $\theta_D < -1 < \theta_1$ by [18, Lemma 3] so $\tilde{\theta}_1 < -1 < \tilde{\theta}_D$. If $\tilde{\theta}_1 < \eta < -1$ then $\theta_1 < \tilde{\eta}$. If $-1 < \eta < \tilde{\theta}_D$ then $\tilde{\eta} < \theta_D$. We will show that if $\tilde{\theta}_1 < \eta < \tilde{\theta}_D$ then $\tilde{\eta}$ is not an eigenvalue of Γ . Given the above inequalities, to prove this it suffices to prove the following result.

Proposition 7.2. *Let v denote a nonzero vector in E_1^*V . Assume v is an eigenvector for $E_1^*AE_1^*$ and let η denote the corresponding eigenvalue. Then $\tilde{\eta} \neq k$.*

Proof. Suppose $\tilde{\eta} = k$. Then $\eta = \tilde{k}$ so by Definition 7.1,

$$\eta = -1 - \frac{b_1}{k+1}.$$

By this and since $b_1 < k$ we see η is a rational number such that $-2 < \eta < -1$. In particular η is not an integer. Observe η is an eigenvalue of the subgraph of Γ induced on the set of vertices adjacent x ; therefore η is an algebraic integer. A rational algebraic integer is an integer so we have a contradiction. We conclude $\tilde{\eta} \neq k$. \square

Corollary 7.3. *Let v denote a nonzero vector in E_1^*V which is orthogonal to s_1 . Assume v is an eigenvector for $E_1^*AE_1^*$ and let η denote the corresponding eigenvalue. Suppose $\tilde{\theta}_1 < \eta < \tilde{\theta}_D$. Then $\tilde{\eta}$ is not an eigenvalue of Γ .*

8 The proof of Theorem 1.2

We now give a proof of Theorem 1.2.

Proof. We first show E is contained in $(\mathbf{M}; v)$. To do this we show $Ev \in E_D^*V$. First suppose $\eta \neq -1$. Then $\tilde{\eta} \in \mathbb{C}$ by Definition 7.1. By Definition 6.1 there exists $\epsilon \in \mathbb{C}$ such that $(A - \tilde{\eta}I)E = \epsilon A_D$. By this and Lemma 3.1(ii),

$$\begin{aligned} AEv &= \tilde{\eta}Ev + \epsilon A_D v \\ &\in \mathbb{C}Ev + E_{D-1}^*W + E_D^*W. \end{aligned} \tag{8.1}$$

In order to show $Ev \in E_D^*V$ we show $E_i^*Ev = 0$ for $0 \leq i \leq D - 1$. Observe $E_0^*Ev = 0$ since $E_0^*Ev \in E_0^*W$ and W has endpoint 1. We show $E_1^*Ev = 0$. By Corollary 6.3 there exists a nonzero $m \in \mathbb{C}$ such that

$$E = m \sum_{h=0}^D f_h(\tilde{\eta}) k_h^{-1} A_h.$$

Let us abbreviate

$$\rho_h = m f_h(\tilde{\eta}) k_h^{-1} \quad (0 \leq h \leq D), \quad (8.2)$$

so that $E = \sum_{h=0}^D \rho_h A_h$. By this and (3.2) we find $E_1^*EE_1^* = \sum_{h=0}^2 \rho_h E_1^*A_h E_1^*$. Applying this to v we find

$$E_1^*Ev = \sum_{h=0}^2 \rho_h E_1^*A_h v. \quad (8.3)$$

Setting $i = 1$ in Lemma 3.1(i), applying each term to v , and using $Jv = 0$ we find

$$0 = \sum_{h=0}^2 E_1^*A_h v. \quad (8.4)$$

By (8.3), (8.4), and since $E_1^*Av = \eta v$ we find $E_1^*Ev = \gamma v$ where $\gamma = \rho_0 - \rho_2 + \eta(\rho_1 - \rho_2)$. Evaluating γ using (2.6), (8.2), and Definition 7.1 we routinely find $\gamma = 0$. Apparently $E_1^*Ev = 0$. We now show $E_i^*Ev = 0$ for $2 \leq i \leq D - 1$. Suppose there exists an integer j ($2 \leq j \leq D - 1$) such that $E_j^*Ev \neq 0$. We choose j minimal so that

$$E_i^*Ev = 0 \quad (0 \leq i \leq j - 1). \quad (8.5)$$

Combining this with (8.1) we find

$$E_i^*AEv = 0 \quad (0 \leq i \leq j - 1). \quad (8.6)$$

Since W is thin and since $E_j^*Ev \neq 0$ we find E_j^*Ev is a basis for E_j^*W . Apparently $E_{j-1}^*AE_j^*Ev$ spans $E_{j-1}^*AE_j^*W$. The space $E_{j-1}^*AE_j^*W$ is nonzero by (4.2) and since the diameter of W is at least $D - 2$. Therefore $E_{j-1}^*AE_j^*Ev \neq 0$. We may now argue

$$\begin{aligned} E_{j-1}^*AEv &= \sum_{i=0}^D E_{j-1}^*AE_i^*Ev \\ &= E_{j-1}^*AE_j^*Ev \quad \text{by (3.3), (8.5)} \\ &\neq 0 \end{aligned}$$

which contradicts (8.6). We conclude $E_i^*Ev = 0$ for $2 \leq i \leq D - 1$. We have now shown $E_i^*Ev = 0$ for $0 \leq i \leq D - 1$ so $Ev \in E_D^*V$ in the case $\eta \neq -1$. Next suppose $\eta = -1$, so that $\tilde{\eta} = \infty$. By Definition 6.1 there exists a nonzero $t \in \mathbb{C}$ such that $E = tA_D$. In order to show $Ev \in E_D^*V$ we show $A_Dv \in E_D^*V$. Since A_Dv is contained in $E_{D-1}^*V + E_D^*V$ by Lemma 3.1(ii), it suffices to show $E_{D-1}^*A_Dv = 0$. To do this it is convenient to prove a bit more, that $E_i^*A_{i+1}v = 0$ for $1 \leq i \leq D - 1$. We prove this by induction on i . First assume $i = 1$. Setting $i = 1$ in Lemma 3.1(i), applying each term to v and using $Jv = 0$, $E_1^*Av = -v$, we obtain $E_1^*A_2v = 0$. Next suppose $2 \leq i \leq D - 1$ and assume by induction that $E_{i-1}^*A_iv = 0$. We show $E_i^*A_{i+1}v = 0$. To do this we assume $E_i^*A_{i+1}v \neq 0$ and get a contradiction. Note that $E_i^*A_{i+1}v$ spans E_i^*W since W is thin. Then $E_{i-1}^*AE_i^*A_{i+1}v \neq 0$ by (4.2). But $E_{i-1}^*AE_i^*A_{i+1}v = b_iE_{i-1}^*A_iv$ by Lemma 3.4(ii). Of course $b_i \neq 0$ so $E_{i-1}^*A_iv \neq 0$, a contradiction. Therefore $E_i^*A_{i+1}v = 0$. We have now shown $E_i^*A_{i+1}v = 0$ for $1 \leq i \leq D - 1$ and in particular $E_{D-1}^*A_Dv = 0$. It follows $Ev \in E_D^*V$ for the case $\eta = -1$. We have now shown $Ev \in E_D^*V$ for all cases so $E \in (\mathbf{M}; v)$. We now prove E, J form a basis for $(\mathbf{M}; v)$. By Theorem 1.1 $(\mathbf{M}; v)$ has dimension 2. We mentioned earlier $J \in (\mathbf{M}; v)$. We show E, J are linearly independent. Recall E, J are pseudo primitive idempotents for $\tilde{\eta}, k$ respectively. We have $\tilde{\eta} \neq k$ by Proposition 7.2 so E, J are linearly independent in view of Lemma 6.5. \square

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