

COMPACTNESS OF DERIVATIONS FROM COMMUTATIVE BANACH ALGEBRAS

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Abstract. We consider the compactness of derivations from commutative Banach algebras into their dual modules. We show that if there are no compact derivations from a commutative Banach algebra, A , into its dual module, then there are no compact derivations from A into any symmetric A -bimodule; we also prove analogous results for weakly compact derivations and for bounded derivations of finite rank. We then characterise the compact derivations from the convolution algebra $\ell^1(\mathbb{Z}_+)$ to its dual. Finally, we give an example (due to J. F. Feinstein) of a non-compact, bounded derivation from a uniform algebra A into a symmetric A -bimodule.

1. Introduction. The question of the compactness of endomorphisms of Banach algebras has been studied in, for example [10], [7], and [8]. In this paper we consider compactness for another class of maps of interest in Banach algebra theory, derivations from a Banach algebra to its dual. In [3] Yemon Choi and the present author showed that all derivations from the disc algebra to its dual are compact. In [4] the same two authors characterised when derivations from $\ell^1(\mathbb{Z}_+)$ to its dual are weakly compact.

1.1. Definitions and notation. Throughout we shall take all Banach spaces to be over the field of complex numbers.

Let A be a Banach algebra. Recall that a *Banach A -bimodule* is a Banach space together with two bilinear maps $A \times E \rightarrow E$ denoted $(a, x) \mapsto a \cdot x$ and $(a, x) \mapsto x \cdot a$ such that:

$$a \cdot (b \cdot x) = (ab) \cdot x, (x \cdot a) \cdot b = x \cdot (ab), a \cdot (x \cdot b) = (a \cdot x) \cdot b \quad (a, b \in A, x \in E).$$

Clearly, if we define both actions to be the product, A becomes an A -bimodule. If E and F are Banach A -bimodules we call a linear map $R : E \rightarrow F$ an *A -bimodule homomorphism*

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if

$$R(a \cdot e) = a \cdot R(e), R(e \cdot a) = R(e) \cdot a \quad (a \in A, e \in E).$$

We say E is a *symmetric* A -bimodule if, for all $a \in A$ and all $x \in E$, we have $a \cdot x = x \cdot a$.

Let A be an algebra and E an A -bimodule. We call a linear map $D : A \rightarrow E$ a *derivation* if the following identity holds for all $a, b \in A$:

$$D(ab) = a \cdot D(b) + D(a) \cdot b.$$

The derivation D is called *inner* if there is $e \in E$ such that $D(a) = a \cdot e - e \cdot a$ for all $a \in A$. We call this inner derivation δ_e . If E is symmetric, it is clear that the only inner derivation from A into E is the zero derivation.

For a Banach space E we denote the topological dual of E by E^* . If A is a Banach algebra and E a Banach A -bimodule we make E^* into a Banach A -bimodule by defining the actions

$$(a \cdot \psi)(x) = \psi(x \cdot a), (\psi \cdot a)(x) = \psi(a \cdot x), \quad (a \in A, \psi \in E^*, x \in E).$$

We denote the open unit ball of a Banach space E by $B(E)$.

2. Results

2.1. General results. Recall the well-known result, due to Bade *et al.* ([1], also found as [5, 2.8.63(iii)]), that, if a commutative Banach algebra A has no non-zero, bounded derivations into A^* (i.e. if A is weakly amenable), then it has no non-zero, bounded derivations into any symmetric A -bimodule. In this subsection we prove analogues of this result with “bounded” replaced by “compact”, by “weakly compact” and by “bounded and of rank less than n ” for some $n \in \mathbb{N}$.

We shall need the following lemma, which is a stronger version of [5, 2.8.63(i)].

LEMMA 2.1. *Let A be a Banach algebra with no non-zero, non-inner, bounded derivations of rank 1, into A^* . Then $\overline{A^2} = A$.*

Proof. We prove this result in the contrapositive. Let A be a Banach algebra such that $\overline{A^2} \neq A$; we shall construct the required derivation. Take $a_0 \in A \setminus \overline{A^2}$. By the Hahn-Banach theorem we may choose $\lambda_0 \in A^*$ with $\lambda_0|_{A^2} = 0$ and $\lambda_0(a_0) = 1$. We define a function as follows:

$$D : A \rightarrow A^*, \quad a \mapsto \lambda_0(a)\lambda_0.$$

It is clear that D is a bounded linear map. Also, $D(A) = \lambda_0\mathbb{C}$ and so D is of rank 1. Since $\lambda_0(A^2) = 0$, we have, for $a, b, c \in A$,

$$D(ab)(c) = \lambda_0(ab)\lambda_0(c) = 0$$

and

$$(a \cdot D(b) + D(a) \cdot b)(c) = D(b)(ca) + D(a)(bc) = \lambda_0(b)\lambda_0(ca) + \lambda_0(a)\lambda_0(bc) = 0.$$

Hence, $D(ab) = a \cdot D(b) + D(a) \cdot b = 0$ and so D is a derivation. Furthermore,

$$\|D(a_0)(a_0)\| = |\lambda_0(a_0)|\lambda_0(a_0) = 1$$

while, for each $\lambda \in A^*$,

$$\delta_\lambda(a_0)(a_0) = (a_0 \cdot \lambda)(a_0) - (\lambda \cdot a_0)(a_0) = \lambda(a_0^2) - \lambda(a_0^2) = 0.$$

Thus D is not inner, and so the result follows. ■

We shall also need the following elementary lemma (see [5, 2.6.6(i)]).

LEMMA 2.2. *Let A be a commutative Banach algebra, let E be a symmetric A -bimodule and let $\lambda \in E^*$. Then there is a bounded A -bimodule homomorphism $R_\lambda : E \rightarrow A^*$ such that*

$$R_\lambda(x)(a) = \lambda(a \cdot x) \quad (a \in A, x \in E).$$

We can now prove the main result of this subsection. Each part of the proof follows the pattern of [5, 2.8.63(iii)].

THEOREM 2.3. *Let A be a commutative Banach algebra. Then the following are true:*

1. *if A has no non-zero, bounded, derivations of rank less than $n \in \mathbb{N}$ into A^* then it has no non-zero derivations of rank less than n into any symmetric Banach A -bimodule E ;*
2. *if A has no non-zero, compact derivations into A^* then it has no non-zero compact derivations into any symmetric Banach A -bimodule E ;*
3. *if A has no non-zero, weakly compact derivations into A^* then it has no non-zero weakly compact derivations into any symmetric Banach A -bimodule E .*

Proof. In each case we shall assume, towards a contradiction, that such a derivation exists. First, let E be a symmetric A -bimodule and let $D : A \rightarrow E$ be any non-zero, bounded derivation. By Lemma 2.1, $\overline{A^2} = A$, and so there is $a_0 \in A$ with $D(a_0^2) \neq 0$. Thus, $a_0 \cdot D(a_0) = 1/2D(a_0^2) \neq 0$, and so, by the Hahn-Banach theorem, there exists $\lambda_D \in E^*$ such that $\lambda_D(a_0 \cdot D(a_0)) = 1$. By Lemma 2.2 there is a continuous A -bimodule homomorphism $R_{\lambda_D} : E \rightarrow A^*$ such that $R_{\lambda_D}(x)(a) = \lambda_D(a \cdot x)$ for each $x \in E$. Now let $D' = R_{\lambda_D} \circ D : A \rightarrow A^*$. Clearly D is a bounded linear map, and since R_{λ_D} is an A -bimodule homomorphism we have, for $a, b \in A$,

$$\begin{aligned} D'(ab) &= R_{\lambda_D}(D(ab)) = R_{\lambda_D}(a \cdot D(b) + b \cdot D(a)) \\ &= a \cdot R_{\lambda_D}(D(b)) + b \cdot R_{\lambda_D}(D(a)) = a \cdot D'(b) + b \cdot D'(a). \end{aligned}$$

Thus, D' is a derivation. Also, $D'(a_0)(a_0) = \lambda_D(a_0 \cdot D(a_0)) = 1$ and so $D' \neq 0$.

To show part (1) we now let $n \in \mathbb{N}$ and D be a bounded derivation of rank less than n . Then $D'(A) = R_{\lambda_D}(D(A))$ is a linear image of a space of dimension less than n . Hence, $D'(A)$ has dimension less than n and so D' has rank less than n .

To show part (2) we let D be a compact derivation. Then

$$\overline{R_{\lambda_D}(\overline{D(B(A))})} \supseteq \overline{D'(B(A))} = \overline{R_{\lambda_D}(D(B(A)))} \supseteq R_{\lambda_D}(\overline{D(B(A))}). \tag{1}$$

Now, since D is compact, $\overline{D(B(A))}$ is compact and so $R_{\lambda_D}(\overline{D(B(A))})$ is compact. In particular, $R_{\lambda_D}(\overline{D(B(A))})$ is closed. Thus, (1) gives

$$\overline{R_{\lambda_D}(\overline{D(B(A))})} = \overline{D'(B(A))} = R_{\lambda_D}(\overline{D(B(A))}), \tag{2}$$

and so $\overline{D'(B(A))}$ is compact. Hence, D' is a compact linear map.

To show part (3) let D be a weakly compact derivation. Since D is weakly compact, $\overline{D(B(A))}$ is weakly compact and so $R_{\lambda_D}(\overline{D(B(A))})$ is weakly compact since bounded linear maps are weak-weak continuous. Thus equation (1) holds with the closures taken in the weak topology, and so the weak closure of $D'(B(A))$ is weakly compact. Hence, D' is a weakly compact linear map.

In each case we have a contradiction and so the result follows. ■

2.2. Compact derivations from $\ell^1(\mathbb{Z}^+)$. In this section we look at compactness of derivations from the semigroup algebra $\ell^1(\mathbb{Z}^+)$ —that is, the Banach space $\ell^1(\mathbb{Z}^+)$ together with the product

$$ab := \left(\sum_{r=0}^n a_r b_{n-r} : n \in \mathbb{Z}^+ \right)_{n \in \mathbb{Z}^+}, \quad (a = (a_n)_{n \in \mathbb{Z}^+}, b = (b_n)_{n \in \mathbb{Z}^+} \in \ell^1)$$

—into its dual. It is standard (see for example [5, 2.1.13(v)]) that this is a Banach algebra, which we shall call A , and that c_{00} is dense in A . We identify c_{00} with the algebra $\mathbb{C}[t]$ of complex valued polynomials in one variable, so that the sequence $(0, 1, 0, \dots) = t$. It is standard that $\phi \mapsto (\phi(t^k))_{k \in \mathbb{Z}^+}$ is an isometric linear isomorphism from A^* to ℓ^∞ . The following proposition follows trivially from [2, Lemma 3.3.1]. We provide a direct proof for the convenience of the reader.

PROPOSITION 2.4. *Let $\phi \in A^*$. The following are equivalent:*

1. $(n\phi(t^{n-1}))_{n \in \mathbb{N}} \in \ell^\infty$,
2. $\phi = D(t)$ for some continuous derivation $D : A \rightarrow A^*$.

Furthermore $\|(n\phi(t^{n-1}))_{n \in \mathbb{Z}^+}\|_\infty = \|D\|$.

Proof. We first show that (1) implies (2) and that $\|(n\phi(t^{n-1}))_{n \in \mathbb{Z}^+}\|_\infty \geq \|D\|$. Simple algebra yields that, for every $\phi \in A^*$, there is a unique derivation, D , from $\mathbb{C}[t]$ into A^* with $\phi = D(t)$. By the derivation identity we have $D(t^k)(t^n) = k(t^{k-1}) \cdot \phi(t^n) = k\phi(t^{k+n-1})$ and so, if we let f be the polynomial $f = \sum_{k=0}^N a_k t^k$, we have, by linearity,

$$D(f)(t^n) = \sum_{k=1}^N k a_k \phi(t^{k+n-1}).$$

Hence, since $\psi \mapsto (\psi(t^k))_{k \in \mathbb{N}}$ is an isometric isomorphism,

$$\|D(f)\| = \sup_{n \in \mathbb{N}} \left| \sum_{k=1}^N k a_k \phi(t^{k+n-1}) \right|.$$

For each $n \geq 0$,

$$|k\phi(t^{k+n-1})| \leq |(k+n)\phi(t^{k+n-1})| \leq \|(n\phi(t^{n-1}))_{n \in \mathbb{Z}^+}\|_\infty,$$

and so

$$\|D(f)\| \leq \sup_{k, n \in \mathbb{N}} |k\phi(t^{k+n-1})| \sum_{k=0}^N |a_k| \leq \|(n\phi(t^{n-1}))_{n \in \mathbb{Z}^+}\|_\infty \|f\|_1.$$

Hence D is bounded with norm at most $\|(n\phi(t^{n-1}))_{n \in \mathbb{Z}^+}\|_\infty$ and so extends continuously to a derivation $D : A \rightarrow A^*$ with $\|D\| \leq \|(n\phi(t^{n-1}))_{n \in \mathbb{Z}^+}\|_\infty$.

To prove that (2) implies (1) and that $\|D\| \geq \|(n\phi(t^{n-1}))\|_\infty$, note that

$$D(t^k)(1) = kt^{k-1} \cdot \phi(1) = k\phi(t^{k-1}),$$

and so

$$|k\phi(t^{k-1})| = |D(t^k)(1)| \leq \|D\|.$$

Hence $\|D\| \geq \|(n\phi(t^{n-1}))\|_\infty$. The result follows. ■

We denote the space of bounded derivations from A to A^* , given the operator norm, by $\mathcal{D}(A)$.

COROLLARY 2.5. *The map*

$$T : \mathcal{D}(A) \rightarrow A^*, \quad D \mapsto D(\cdot)(1)$$

is an isometric isomorphism.

Proof. By the derivation identity, $D(t^k)(1) = kD(t)(t^{k-1})$, and so

$$\|D(\cdot)(1)\| = \|(D(t^k)(1))_{k \in \mathbb{Z}^+}\|_\infty = \|(kD(t)(t^{k-1}))_{k \in \mathbb{Z}^+}\|_\infty,$$

which is equal to $\|D\|$ by Proposition 2.4. ■

THEOREM 2.6. *A bounded derivation $D : A \rightarrow A^*$ is compact if and only if it has $(D(t^n)(1))_{n \in \mathbb{N}} \in c_0$.*

Proof. If $(D(t^n)(1))_{n \in \mathbb{N}} \in c_0$, then, by Corollary 2.5, we have that it is in the closure of the set $\{D : (D(t^n)(1))_{n \in \mathbb{N}} \in c_{00}\}$, which consists of finite rank derivations. Hence D is compact. Now let $D : A \rightarrow A^*$ be a derivation such that $(D(t^n)(1))_{n \in \mathbb{N}} \in \ell^\infty \setminus c_0$. We shall show that the sequence $(D(t^k))_{k \in \mathbb{N}}$ has a subsequence with no convergent subsequence. Without any loss of generality, we assume that D has $\|D\| = 1$. There exists $\varepsilon > 0$ and a sequence, $(n_k)_{k \in \mathbb{N}} \subseteq \mathbb{N}$, such that, for all $k \in \mathbb{N}$, $n_k > n_{k-1}$ and $|D(t^{n_k})(1)| > \varepsilon$. Let $k, l \in \mathbb{N}$. Then

$$|D(t^k)(t^l)| = |kt^{k+l-1} \cdot D(t)(1)| = \frac{k}{k+l} |D(t^{k+l})(1)| \leq \frac{k}{k+l}. \tag{3}$$

Now suppose that $k+l \in \{n_k : k \in \mathbb{N}\}$. Then

$$|D(t^k)(t^l)| = |kt^{k+l-1} \cdot D(t)(1)| = \frac{k}{k+l} |D(t^{k+l})(1)| \geq \frac{\varepsilon k}{k+l}. \tag{4}$$

Suppose that we have already chosen $j_1, \dots, j_{k-1} \in \mathbb{N}$ such that for all $i, i' \in \mathbb{N}$ with $i < i' < k$, we have $j_i < j_{i'}$ and $\|D(t^{j_i}) - D(t^{j_{i'}})\| > \frac{\varepsilon}{4}$. Choose $N \in \{n_k : k \in \mathbb{N}\}$ with $N > 1000\varepsilon^{-1}j_{k-1}$, and let $l_k = \lfloor N/2 \rfloor$ and $j_k = N - l_k$. Then, by (4),

$$|D(t^{j_k})(t^{l_k})| \geq \frac{\varepsilon j_k}{N} > \frac{\varepsilon}{3}.$$

Also, if $m \leq j_{k-1}$, then, by (3),

$$|D(t^m)(t^{l_k})| \leq \frac{m}{m+l_k} \leq \frac{j_{k-1}}{250\varepsilon^{-1}j_{k-1}} = \frac{\varepsilon}{250}.$$

Thus

$$|D(t^m)(t^{l_k}) - D(t^{j_k})(t^{l_k})| > \frac{\varepsilon}{4}.$$

In particular, if $i < k$, then $\|D(t^{j_i}) - D(t^{j_k})\| > \frac{\varepsilon}{4}$. Hence, by induction, we obtain a sequence, $(j_i)_{i \in \mathbb{N}}$, such that, if $i, k \in \mathbb{N}$ and $i \neq k$ then $\|D(t^{j_i}) - D(t^{j_k})\| > \frac{\varepsilon}{4}$. Thus $(D(t^{j_i}))_{i \in \mathbb{N}}$ has no convergent subsequence, and so, D is not compact. ■

We conclude that the space of compact derivations on A is linearly isomorphic to c_0 .

We finish with a relevant example due to J. F. Feinstein that appears in the present author's PhD thesis [9].

2.3. A non-compact, bounded derivation from a uniform algebra. For a compact Hausdorff space X let $C(X)$ be the algebra of continuous functions from X to \mathbb{C} equipped with the uniform norm, which we denote by $|\cdot|_X$. For a compact subset, X , of the complex plane we let $R_0(X)$ be the algebra of rational functions with no poles contained in X . We let $R(X)$ be the closure of $R_0(X)$ in $C(X)$. Let Δ be the closed unit disc. We shall construct a plane set X by removing a sequence, $(D_n)_{n \in \mathbb{N}}$, of open discs from Δ such that there is a non-compact, bounded derivation from $R(X)$ into a symmetric Banach $R(X)$ -bimodule. We shall need the following result, which is [6, Lemma 3].

PROPOSITION 2.7. *Let Δ be the closed unit disc and $(D_n)_{n \in \mathbb{N}}$ a sequence of open discs each contained in Δ . Set*

$$X := \Delta \setminus \bigcup_{i=1}^{\infty} D_n.$$

We set $r_n = r(D_n)$ and for each $z \in X$ we set $s_n(z) = \text{dist}(z, D_n)$. We also set $r_0 = 1$ and $s_0(z) = 1 - |z|$. If $s_n(z) > 0$ for all $n \in \mathbb{N}$ then for $f \in R_0(X)$ we have

$$|f'(z)| \leq \sum_{j=0}^{\infty} \frac{r_j}{s_j(z)^2} |f|_X.$$

EXAMPLE 2.8. Let $I = [0, \frac{1}{2}]$. For any compact plane set X with $I \subseteq X$, we make $C(I)$ a symmetric Banach $R(X)$ -bimodule by defining the action

$$(f \cdot g)(x) = (g \cdot f)(x) = f(x)g(x), \quad f \in R(X), g \in C(I).$$

It is clear that the map $D : R_0(X) \rightarrow C(I)$ given by $D(f) = f'|_I$ is a derivation. We shall construct a collection $\{D_n : n \in \mathbb{N}\}$ of disjoint open discs contained in Δ such that, setting $X = \Delta \setminus \bigcup_{n=1}^{\infty} D_n$, we have $I \subseteq X$ and such that the derivation D is bounded and so extends by continuity to a bounded derivation $R(X) \rightarrow C(I)$ which is not compact. For $n \in \mathbb{N}$, let $I_n = [\frac{1}{2} - 2^{-n}, \frac{1}{2} - 2^{-(n+2)}[$ and $x_n = \frac{1}{2} - 3 \cdot 2^{-(n+1)}$; that is, x_n is the midpoint of I_n . Choose $y_n \in]0, 1[$ small enough that

$$x_n + iy_n \in \Delta, \tag{5}$$

$$\frac{1}{(1 - y_n)^2} < 2, \tag{6}$$

$$\frac{y_n^2}{((2^{-2(n+2)}) - y_n^2)^{\frac{1}{2}} + y_n^2} < 2^{-(n+1)}. \tag{7}$$

Set $a_n = x_n + iy_n$, $r_n = y_n^2$, $D_n = B(a_n, r_n)$ and $X = \Delta \setminus \bigcup_{n=1}^{\infty} D_n$. We also set $r_0 = 1$. Let $z \in X$. We let $s_0(z) = 1 - |z|$ and for $n \in \mathbb{N}$, let $s_n(z) = \text{dist}(z, D_n)$. Now let $x \in I$. Then $s_0(x) \geq \frac{1}{2}$ so $\frac{r_0}{s_0(x)^2} = s_0(x)^{-2} \leq 4$. Also, either $x = \frac{1}{2}$, in which case, for each

$j \in \mathbb{N}$, $s_j(x) \geq \text{dist}(D_j, \mathbb{R} \setminus I_j) = (2^{-2(j+2)} + y_j^2)^{\frac{1}{2}} - y_j^2$; or there exists a unique $n \in \mathbb{N}$ such that $x \in I_n$. In this second case, for $j \in \mathbb{N}$,

$$s_j(x) \geq \begin{cases} \text{dist}(D_n, \mathbb{R}) = y_n - r_n = y_n - y_n^2 & \text{if } j = n, \\ \text{dist}(D_j, \mathbb{R} \setminus I_j) \geq (2^{-2(n+1)} + y_j^2)^{\frac{1}{2}} - y_j^2 & \text{if } j \neq n. \end{cases} \tag{8}$$

Thus, by (6), (7) and (8),

$$\begin{aligned} \sum_{j=0}^{\infty} \frac{r_j}{s_j(x)^2} &\leq 4 + \frac{y_n^2}{(y_n - y_n^2)^2} + \sum_{j=1}^{\infty} \frac{y_j^2}{((2^{-2(j+2)} + y_j^2)^{\frac{1}{2}} - y_j^2)^2} \\ &< 4 + 2 + \sum_{j=1}^{\infty} 2^{-(j+1)} = \frac{13}{2}. \end{aligned}$$

By Proposition 2.7, this implies that $|f'|_I < \frac{13}{2}|f|_X$ for $f \in R_0(X)$. Hence D is a bounded derivation from $R_0(X)$ to $C(I)$. We extend D by continuity to a derivation from $R(X)$ to $C(I)$, which we shall also call D . It remains to show that D is not compact. Let $n \in \mathbb{N}$, and let

$$f_n(z) = \frac{r_n}{z - a_n} \quad (z \in X).$$

Then $|f_n|_X = 1$. Also

$$f'_n(z) = \frac{-r_n}{(z - a_n)^2} \quad (z \in X).$$

Clearly, for each $x \in [0, 1/2[$, $f'_n(x) \rightarrow 0$ as $n \rightarrow \infty$. Thus, if $(f'_n|_I)_{n \in \mathbb{N}}$ were to have a convergent subsequence the limit would have to be the zero function. However, $|f'_n(x_n)| = 1$ for each $n \in \mathbb{N}$. Hence $(D(f_n))_{n \in \mathbb{N}} = (f'_n|_I)_{n \in \mathbb{N}}$ has no convergent subsequence, and thus D is not a compact linear map.

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