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► **To cite this version:**

Jean-Christophe Bourin, Antoine Mhanna. Numerical range and positive block matrices. Bulletin of the Australian Mathematical Society, 2021, 10.1016/j.crma.2017.10.006/ . hal-03526812

**HAL Id: hal-03526812**

**<https://hal.science/hal-03526812>**

Submitted on 14 Jan 2022

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# Numerical range and positive block matrices

Jean-Christophe Bourin\* and Eun-Young Lee†

**Abstract.** We obtain several norm and eigenvalue inequalities for positive matrices partitioned into four blocks. The results involve the numerical range  $W(X)$  of the off-diagonal block  $X$ , especially the distance  $d$  from 0 to  $W(X)$ . A special consequence is an estimate,

$$\text{diam } W \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) - \text{diam } W \left( \frac{A+B}{2} \right) \geq 2d,$$

between the diameters of the numerical ranges for the full matrix and its partial trace.

*Keywords.* Numerical range, Partitioned matrices, norm inequalities.

*2010 mathematics subject classification.* 15A60, 47A12, 47A30, 15A42.

## 1 The width of the numerical range

Let  $\mathbb{M}_n$  denote the space of  $n$ -by- $n$  complex matrices, and let  $\langle u, v \rangle = u^*v$  be the canonical inner product of  $\mathbb{C}^n$ , linear in the second variable. The numerical range of  $X \in \mathbb{M}_n$  is defined as

$$W(X) = \{ \langle h, Xh \rangle : \|h\| = 1 \}.$$

The Hausdorff-Toeplitz theorem states that  $W(X)$  is a compact convex set containing the spectrum of  $X$ . In case of a normal matrix, the numerical range is precisely the convex hull of the spectrum. The symbol  $\| \cdot \|$  will also denote any symmetric norm on  $\mathbb{M}_{2n}$ . Such a norm is also called a unitarily invariant norm. It satisfies the unitary invariance property  $\|UTV\| = \|T\|$  for all  $T \in \mathbb{M}_{2n}$  and all unitary matrices  $U, V \in \mathbb{M}_{2n}$ , and it induces a symmetric norm on  $\mathbb{M}_n$  in an obvious way, by considering  $\mathbb{M}_n$  as the upper left corner of  $\mathbb{M}_{2n}$  completed with some zero entries.

A positive matrix means a Hermitian positive semi-definite matrix. It has been pointed out [7] that the width of  $W(X)$  contributes to an estimate of the norm of a partitioned positive matrix  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$ . In Matrix Analysis, positive matrices partitioned into four blocks are a fundamental tool and these matrices are also of basic importance in applications, especially in Quantum Information Theory. The main theorem of [7] reads as follows.

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\*Funded by the ANR Projet (No. ANR-19-CE40-0002) and by the French Investissements d'Avenir program, project ISITE-BFC (contract ANR-15-IDEX-03).

†This research was supported by Basic Science Research Program through the National Research Foundation of Korea (NRF) funded by the Ministry of Education (NRF-2018R1D1A3B07043682)

**Theorem 1.1.** Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$ . Suppose that  $W(X)$  has the width  $\omega$ . Then, for all symmetric norms,

$$\left\| \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right\| \leq \|A + B + \omega I\|.$$

Here  $I$  stands for the identity matrix and the width of  $W(X)$  is the smallest distance between two parallel straight lines such that the strip between these two lines contains  $W(X)$ . Hence the partial trace  $A + B$  may be used to give an upper bound for the norms of the full block-matrix. This note will provide a lower bound, stated in Section 2, and several consequences.

Theorem 1.1 is the first inequality involving the width of the numerical range; classical results rather deal with the numerical radius,  $w(X) = \max\{|z| : z \in W(X)\}$ . Our new lower bound will also have an unusual feature as it involves the distance from 0 to the numerical range,  $\text{dist}(0, W(X)) = \min\{|z| : z \in W(X)\}$ . For a background on the numerical range we refer to [12], where the term of Field of values is used. Some very interesting inequalities for the numerical radius can be found in [11], [13], and in the recent article [8].

In case of Hermitian off-diagonal blocks, Theorem 1.1 holds with  $w = 0$ . More generally, if  $X = aI + bH$  for some  $a, b \in \mathbb{C}$  and some Hermitian matrix  $H$ , we have  $\omega = 0$  as  $W(X)$  is a line segment. This special case of the theorem was first shown by Mhanna [14]. In particular, if the off-diagonal blocks are normal two-by-two matrices, then we can take  $\omega = 0$ . This does not hold any longer for three-by-three normal matrices, a detailed study of this phenomenon is given in [10] and [9].

For Hermitian off-diagonal blocks, a stronger statement than Theorem 1.1 with  $w = 0$  holds. The following decomposition was shown in [6, Theorem 2.2].

**Theorem 1.2.** Let  $\begin{bmatrix} A & X \\ X & B \end{bmatrix}$  be a positive matrix partitioned into four Hermitian blocks in  $\mathbb{M}_n$ . Then, for some pair of unitary matrices  $U, V \in \mathbb{M}_{2n}$ ,

$$\begin{bmatrix} A & X \\ X & B \end{bmatrix} = \frac{1}{2} \left\{ U \begin{bmatrix} A + B & 0 \\ 0 & 0 \end{bmatrix} U^* + V \begin{bmatrix} 0 & 0 \\ 0 & A + B \end{bmatrix} V^* \right\}.$$

For decompositions of positive matrices partitioned into a larger number of blocks, see [5]. We close this section by recalling some facts on symmetric norms, classical text books such as [2], [12] and [15] are good references.

A symmetric norm on  $\mathbb{M}_n$ , can be defined by its restriction to the positive cone  $\mathbb{M}_n^+$ . Symmetric norms on  $\mathbb{M}_n^+$  are characterized by three properties:

- (i)  $\|\lambda A\| = \lambda \|A\|$  for all  $A \in \mathbb{M}_n^+$  and all  $\lambda \geq 0$ ,
- (ii)  $\|UAU^*\|$  for all  $A \in \mathbb{M}_n^+$  and all unitaries  $U \in \mathbb{M}_n$ ,
- (iii)  $\|A\| \leq \|A + B\| \leq \|A\| + \|B\|$  for all  $A, B \in \mathbb{M}_n^+$ .

Let  $\lambda_1^\downarrow(A) \geq \dots \geq \lambda_n^\downarrow(A)$  stand for the eigenvalues of  $A \in \mathbb{M}_n^+$  arranged in non-increasing order. Then, the Ky Fan  $k$ -norms,

$$\|A\|_{(k)} = \sum_{j=1}^k \lambda_j^\downarrow(A)$$

are symmetric norms,  $k = 1, \dots, n$ . Thus  $\|A\|_{(1)}$  is the operator norm, usually denoted by  $\|A\|_\infty$  while  $\|A\|_{(n)}$  is the trace norm, usually written  $\|A\|_1$ . For  $A, B \in \mathbb{M}_n^+$ , the following conditions are equivalent:

- (a)  $\|A\|_{(k)} \leq \|B\|_{(k)}$  for all  $k = 1, \dots, n$ ,
- (b)  $\|A\| \leq \|B\|$  for all symmetric norms,
- (c) The vector of the eigenvalues of  $A$  is dominated by a convex combination of permutations of the vector of the eigenvalues of  $B$ , equivalently,

$$A \leq \sum_{i=1}^{n+1} \alpha_i U_i B U_i^*$$

for some unitary matrices  $U_i$  and some scalars  $\alpha_i \geq 0$  such that  $\sum_{i=1}^{n+1} \alpha_i = 1$ .

When these conditions hold (especially when explicitly stated as (a)) one says that  $A$  is weakly majorized by  $B$  and one writes  $A \prec_w B$ . If furthermore in (a) one has the equality  $\|A\|_{(n)} = \|B\|_{(n)}$ , that is  $A$  and  $B$  have the same trace, then  $A$  is majorized by  $B$ , written  $A \prec B$ . Thus  $A \prec B$  means that (c) holds with the equality sign:  $A$  is in the convex hull of the unitary orbit of  $B$ . Theorem 1.2 is a special majorization.

A linear map  $\Phi : \mathbb{M}_n \rightarrow \mathbb{M}_n$  is called doubly stochastic if  $\Phi$  preserves positivity, identity, and trace. For all  $A \in \mathbb{M}_n^+$ , we then have  $\Phi(A) \prec A$ , see the last section of Ando's survey [1].

## 2 The distance from 0 to the numerical range

We state our main result and infer several corollaries. The proof of the theorem is postponed to Section 3.

**Theorem 2.1.** *Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$  and let  $d = \text{dist}(0, W(X))$ . Then, for all symmetric norms,*

$$\left\| \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right\| \geq \left\| \left( \frac{A+B}{2} + dI \right) \oplus \left( \frac{A+B}{2} - dI \right) \right\|.$$

Here, the direct sum is a standard notation for block-diagonal matrices

$$X \oplus Y = \begin{bmatrix} X & 0 \\ 0 & Y \end{bmatrix}.$$

Since we have equality for the trace, Theorem 2.1 is a majorization relation. We have  $(A + B)/2 \geq dI$ , otherwise, the trace norm of the left-hand side would be strictly smaller than the right-hand side one, a contradiction with the theorem.

By a basic principle of majorization, Theorem 2.1 is equivalent to some trace inequalities.

**Corollary 2.2.** *Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$  and let  $d = \text{dist}(0, W(X))$ . Then, for every convex function  $g : [0, \infty) \rightarrow (-\infty, \infty)$ ,*

$$\text{Tr } g\left(\frac{A+B}{2} + dI\right) + \text{Tr } g\left(\frac{A+B}{2} - dI\right) \leq \text{Tr } g\left(\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}\right).$$

Symmetric norms  $\|\cdot\|$  on  $\mathbb{M}_n^+$  are the homogeneous, unitarily invariant, convex functionals. The concave counterpart, the symmetric anti-norms  $\|\cdot\|_!$ , have been introduced and studied in papers [3] and [4, Section 4]. We recall their basic properties, parallel to those of symmetric norms given at the end of Section 1. Symmetric anti-norms on  $\mathbb{M}_n^+$  are continuous functionals characterized by three properties:

- (i)  $\|\lambda A\|_! = \lambda \|A\|_!$  for all  $A \in \mathbb{M}_n^+$  and all  $\lambda \geq 0$ ,
- (ii)  $\|UAU^*\|_!$  for all  $A \in \mathbb{M}_n^+$  and all unitaries  $U \in \mathbb{M}_n$ ,
- (iii)  $\|A + B\|_! \geq \|A\|_! + \|B\|_!$  for all  $A, B \in \mathbb{M}_n^+$ .

Let  $\lambda_1^\uparrow(A) \leq \dots \leq \lambda_n^\uparrow(A)$  stand for the eigenvalues of  $A \in \mathbb{M}_n^+$  arranged in non-decreasing order. Then, the Ky Fan  $k$ -anti-norms,

$$\|A\|_{(k)!} = \sum_{j=1}^k \lambda_j^\uparrow(A)$$

are symmetric anti-norms,  $k = 1, \dots, n$ . The following conditions are equivalent:

- (a)  $\|A\|_{(k)!} \geq \|B\|_{(k)!}$  for all  $k = 1, \dots, n$ ,
- (b)  $\|A\|_! \geq \|B\|_!$  for all symmetric anti-norms,
- (c) The vector of the eigenvalues of  $A$  dominates some convex combination of permutations of the vector of the eigenvalues of  $B$ , equivalently,

$$A \geq \sum_{i=1}^{n+1} \alpha_i U_i B U_i^*$$

for some unitary matrices  $U_i$  and some scalars  $\alpha_i \geq 0$  such that  $\sum_{i=1}^{n+1} \alpha_i = 1$ .

The continuity assumption is not essential, but deleting it would lead to rather strange functionals which are not continuous on the boundary of  $\mathbb{M}_n^+$ , such as  $\|A\|_! := \text{Tr } A$  if  $A$  is invertible and  $\|A\|_! := 0$  if  $A$  is not invertible.

Note that the trace norm is both a symmetric norm and a symmetric anti-norm and that the majorization  $A \prec B$  in  $\mathbb{M}_n^+$  also entails that  $\|A\|_! \geq \|B\|_!$  for all symmetric anti-norms. Thus Theorem 2.1 is equivalent to the following statement:

**Corollary 2.3.** *Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$ , let  $d = \text{dist}(0, W(X))$ . Then, for all symmetric anti-norms,*

$$\left\| \left( \frac{A+B}{2} + dI \right) \oplus \left( \frac{A+B}{2} - dI \right) \right\|_! \geq \left\| \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right\|_!.$$

**Corollary 2.4.** *Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$  and let  $d = \text{dist}(0, W(X))$ . Then,*

$$\lambda_1^\downarrow \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) - \lambda_1^\downarrow \left( \frac{A+B}{2} \right) \geq d$$

and

$$\lambda_1^\uparrow \left( \frac{A+B}{2} \right) - \lambda_1^\uparrow \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) \geq d.$$

*Proof.* The first inequality follows from Theorem 2.1 applied to the symmetric norm  $A \mapsto \lambda_1^\downarrow(A)$  (the operator norm on the positive cone), while the second inequality follows from Corollary 2.3 applied to the anti-norm  $A \mapsto \lambda_1^\uparrow(A)$   $\square$

By adding these two inequalities we get an estimate for the spread of the matrices, i.e., for the diameter of the numerical ranges.

**Corollary 2.5.** *For every positive matrix partitioned into four blocks of same size,*

$$\text{diam } W \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) - \text{diam } W \left( \frac{A+B}{2} \right) \geq 2d,$$

where  $d$  is the distance from 0 to  $W(X)$ .

Of course

$$\text{diam } W \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) \geq \text{diam } W \left( \begin{bmatrix} A & 0 \\ 0 & B \end{bmatrix} \right) \geq \text{diam } W \left( \frac{A+B}{2} \right),$$

however the ratio

$$\rho = \frac{1}{2d} \left\{ \text{diam } W \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) - \text{diam } W \left( \begin{bmatrix} A & 0 \\ 0 & B \end{bmatrix} \right) \right\}$$

can be arbitrarily small as shown by the following example where the blocks are in  $\mathbb{M}_2$ ,

$$\begin{bmatrix} A & X \\ X^* & B \end{bmatrix} = \begin{bmatrix} \begin{pmatrix} \alpha & 0 \\ 0 & \alpha^{-1} \end{pmatrix} & \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} \\ \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} & \begin{pmatrix} \alpha^{-1} & 0 \\ 0 & \alpha \end{pmatrix} \end{bmatrix},$$

and by noting that  $\rho$  then takes the value  $\alpha^{-1}$  which tends to 0 as  $\alpha \rightarrow \infty$ .

The Minkowski inequality for positive  $m$ -by- $m$  matrices,

$$\det^{1/m}(A + B) \geq \det^{1/m}(A) + \det^{1/m}(B),$$

shows that the functional  $A \mapsto \det^{1/m}(A)$  is a symmetric anti-norm on  $\mathbb{M}_m^+$ . For this anti-norm Theorem 2.1 reads as:

**Corollary 2.6.** *Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$  and let  $d = \text{dist}(0, W(X))$ . Then,*

$$\det \left\{ \left( \frac{A+B}{2} \right)^2 - d^2 I \right\} \geq \det \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right).$$

Letting  $X = 0$ , we recapture a basic property: the determinant is a log-concave map on the positive cone of  $\mathbb{M}_n$ . Hence Corollary 2.6 refines this property.

By a basic principle of majorization, Corollary 2.3 is equivalent to the following seemingly more general statement.

**Corollary 2.7.** *Let  $\begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$  be a positive matrix partitioned into four blocks in  $\mathbb{M}_n$ , let  $d = \text{dist}(0, W(X))$ , and let  $f(t)$  be a nonnegative concave function on  $[0, \infty)$ . Then,*

$$\left\| f \left( \frac{A+B}{2} + dI \right) \oplus f \left( \frac{A+B}{2} - dI \right) \right\|_1 \geq \left\| f \left( \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \right) \right\|_1,$$

for all symmetric anti-norms.

### 3 Proof of Theorem 2.1

We want to show the majorization in  $\mathbb{M}_{2n}^+$

$$\begin{bmatrix} \frac{A+B}{2} + dI & 0 \\ 0 & \frac{A+B}{2} - dI \end{bmatrix} \prec \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \quad (3.1)$$

where  $d = \text{dist}(0, W(X))$ . We use two lemmas, the first one might belong to folklore.

**Lemma 3.1.** *Let  $\{A_k\}_{k=1}^m$  and  $\{B_k\}_{k=1}^m$  be two families of  $r$ -by- $r$  positive matrices such that  $A_k \prec B_k$  for each  $k$ . Then,*

$$\bigoplus_{k=1}^m A_k \prec \bigoplus_{k=1}^m B_k.$$

*Proof.* Let  $p_k$  denote any integer such that  $0 \leq p_k \leq m$ ,  $k = 1, \dots, m$ . With this notation, we then have, for each integer  $p = 1, \dots, mr$ ,

$$\begin{aligned} \sum_{j=1}^p \lambda_j^\downarrow(\oplus_{k=1}^m A_k) &= \max_{p_1+p_2+\dots+p_m=p} \sum_{k=1}^m \sum_{j=1}^{p_k} \lambda_j^\downarrow(A_k) \\ &\leq \max_{p_1+p_2+\dots+p_m=p} \sum_{k=1}^m \sum_{j=1}^{p_k} \lambda_j^\downarrow(B_k) \\ &= \sum_{j=1}^p \lambda_j^\downarrow(\oplus_{k=1}^m B_k) \end{aligned}$$

with equality for  $p = mr$ . □

**Lemma 3.2.** *Let  $X, Y \in \mathbb{M}_n^+$  and let  $\delta > 0$  be such that  $X \geq Y \geq \delta I$ . Then,*

$$\begin{bmatrix} X + \delta I & 0 \\ 0 & X - \delta I \end{bmatrix} \prec \begin{bmatrix} X + Y & 0 \\ 0 & X - Y \end{bmatrix}.$$

*Proof.* Let  $\{e_k\}_{k=1}^n$  be an orthonormal basis of  $\mathbb{C}^n$  and define two  $n$ -by- $n$  diagonal positive matrices

$$D_+ = \text{diag}(\langle e_1, (X + Y)e_1 \rangle, \dots, \langle e_n, (X + Y)e_n \rangle)$$

and

$$D_- = \text{diag}(\langle e_1, (X - Y)e_1 \rangle, \dots, \langle e_n, (X - Y)e_n \rangle).$$

Since extracting a diagonal is a doubly stochastic map (a pinching), we have

$$\begin{bmatrix} D_+ & 0 \\ 0 & D_- \end{bmatrix} \prec \begin{bmatrix} X + Y & 0 \\ 0 & X - Y \end{bmatrix}. \quad (3.2)$$

Now, choose the basis  $\{e_k\}_{k=1}^n$  as a basis of eigenvectors for  $X$ ,  $\lambda_k^\downarrow(X) = \langle e_k, X e_k \rangle$ , and observe that the majorization in  $\mathbb{M}_2^+$ ,

$$\begin{pmatrix} \lambda_k^\downarrow(X) + \delta & 0 \\ 0 & \lambda_k^\downarrow(X) - \delta \end{pmatrix} \prec \begin{pmatrix} \langle e_k, (X + Y)e_k \rangle & 0 \\ 0 & \langle e_k, (X - Y)e_k \rangle \end{pmatrix},$$

holds for every  $k$ . Applying Lemma 3.1 then shows that

$$\bigoplus_{k=1}^n \begin{pmatrix} \lambda_k^\downarrow(X) + \delta & 0 \\ 0 & \lambda_k^\downarrow(X) - \delta \end{pmatrix} \prec \bigoplus_{k=1}^n \begin{pmatrix} \langle e_k, (X + Y)e_k \rangle & 0 \\ 0 & \langle e_k, (X - Y)e_k \rangle \end{pmatrix}.$$

This means that

$$\begin{bmatrix} X + \delta I & 0 \\ 0 & X - \delta I \end{bmatrix} \prec \begin{bmatrix} D_+ & 0 \\ 0 & D_- \end{bmatrix}$$

and we may combine this majorization with (3.2) to complete the proof. □



We turn to the proof of (3.1).

*Proof.* Suppose first that  $d = 0$ , that is  $0 \in W(X)$ . Note that

$$\begin{bmatrix} A & 0 \\ 0 & B \end{bmatrix} \prec \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} \quad (3.3)$$

as the operation of taking the block diagonal is doubly stochastic.

Using the unitary congruence with

$$J = \frac{1}{\sqrt{2}} \begin{bmatrix} I & -I \\ I & I \end{bmatrix} \quad (3.4)$$

we observe that

$$J \begin{bmatrix} A & 0 \\ 0 & B \end{bmatrix} J^* = \begin{bmatrix} \frac{A+B}{2} & \frac{A-B}{2} \\ \frac{A^*+B}{2} & \frac{A^*-B}{2} \end{bmatrix}$$

Hence we have

$$\begin{bmatrix} \frac{A+B}{2} & 0 \\ 0 & \frac{A+B}{2} \end{bmatrix} \prec \begin{bmatrix} A & 0 \\ 0 & B \end{bmatrix}$$

and combining with (3.3) establishes (3.1) for the case  $d = 0$ .

Now assume that  $d > 0$ , that is  $0 \notin W(X)$ . Using the unitary congruence implemented by

$$\begin{bmatrix} I & 0 \\ 0 & e^{-i\theta}I \end{bmatrix}$$

we may replace the right hand side of (3.1) with

$$\begin{bmatrix} A & e^{i\theta}X \\ e^{-i\theta}X^* & B \end{bmatrix}$$

Thanks to the rotation property  $W(e^{i\theta}X) = e^{i\theta}W(X)$ , by choosing the adequate  $\theta$ , we may then and do assume that  $W(X)$  lies the half-plane of  $\mathbb{C}$  consisting of complex numbers with real parts greater or equal than  $d$ ,

$$W(X) \subset \{z = x + iy : x \geq d\}.$$

The projection property for the real part of the numerical range,  $\operatorname{Re} W(X) = W(\operatorname{Re} X)$  with  $\operatorname{Re} X = (X + X^*)/2$ , then ensures that

$$\operatorname{Re} X \geq dI.$$

Now, using again a unitary congruence with (3.4), we get

$$J \begin{bmatrix} A & X \\ X^* & B \end{bmatrix} J^* = \begin{bmatrix} \frac{A+B}{2} - \operatorname{Re}X & * \\ * & \frac{A+B}{2} + \operatorname{Re}X \end{bmatrix}$$

where  $*$  stands for unspecified entries. Hence

$$\begin{bmatrix} \frac{A+B}{2} - \operatorname{Re}X & 0 \\ 0 & \frac{A+B}{2} + \operatorname{Re}X \end{bmatrix} \prec \begin{bmatrix} A & X \\ X^* & B \end{bmatrix},$$

equivalently,

$$\begin{bmatrix} \frac{A+B}{2} + \operatorname{Re}X & 0 \\ 0 & \frac{A+B}{2} - \operatorname{Re}X \end{bmatrix} \prec \begin{bmatrix} A & X \\ X^* & B \end{bmatrix}$$

and applying Lemma 3.2 then yields (3.1).  $\square$

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