

The spectral localiser via E-theory

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Sketch of the talk

- ▶ K-theory of C*-algebras can be used to classify the (noncommutative) topology of a quantum system.
- ▶ The **spectral localiser** is a computational tool that allows for **finite-dimensional** computation of index pairings.
- ▶ We provide a (bivariant) K-theoretic framework for it.
- ▶ (Potential) applications in geometry / physics.

C*-algebras and K-theory

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Theorem (Gelfand–Naimark) Every **commutative** C*-algebra is *-isomorphic to $C_0(X)$ for some locally compact Hausdorff space X .

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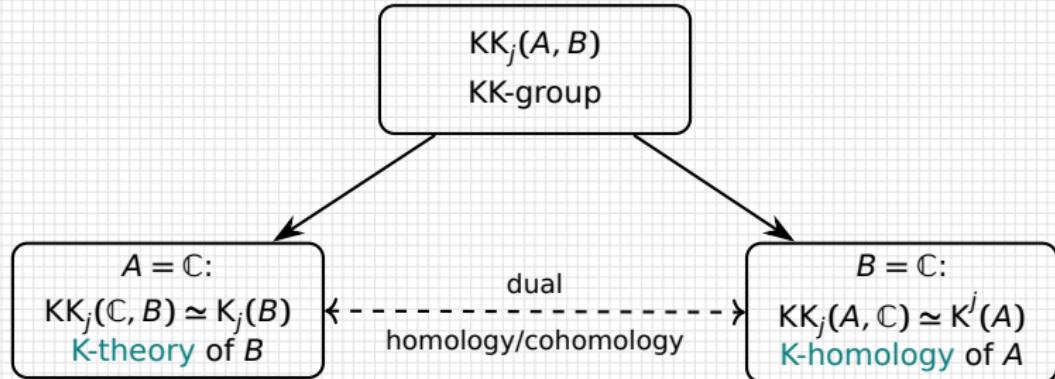
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Theorem (Bott periodicity) $K_i(A) \simeq K_{i+2}(A)$.

Kasparov's bivariant K-theory, 1

Kasparov's KK-theory generalises both K-theory and its “dual theory”.

A, B : (separable) C*-algebras \Rightarrow abelian groups $\text{KK}_j(A, B)$, $j \in \{0, 1\}$.



Kasparov's bivariant K-theory, 2

Kasparov product: there is a natural group homomorphism

$$\mathrm{KK}_i(A, B) \times \mathrm{KK}_j(B, C) \rightarrow \mathrm{KK}_{i+j}(A, C).$$

In particular: $\beta \in \mathrm{KK}_j(B, C)$ induces a group homomorphism

$$\underbrace{\mathrm{KK}_i(\mathbb{C}, B)}_{\simeq \mathrm{K}_i(B)} \xrightarrow{\times \beta} \underbrace{\mathrm{KK}_{i+j}(\mathbb{C}, C)}_{\mathrm{K}_{i+j}(C)}.$$

- If $A = \mathbb{C}$ and $i + j$ even: $\beta \in \mathrm{KK}_j(B, \mathbb{C})$ a K-homology class induces

$$\mathrm{K}_i(B) \xrightarrow{\times \beta} \mathrm{K}_0(\mathbb{C}).$$

- $\mathrm{K}_0(\mathbb{C}) \simeq \mathbb{Z}$ is generated by finite-rank **projections** on \mathcal{H} .
- ⇒ K-homology is a “dual” theory of K-theory.

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- ▶ **Observable algebra** A : C^* -algebra that contains the resolvent of H .
- ▶ H describe an **insulator** if H is invertible. Then

$$[\chi_{(-\infty, 0)}(H)]$$

defines an element in $K_0(A)$.

- ▶ $K_0(A)$ classifies Hamiltonians “up to (stable) homotopy”.
- ▶ In the presence of symmetries: replace $K_0(A)$ by $K_1(A)$ or $KO_i(A)$.

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- ▶ $K_0(A)$ classifies Hamiltonians “up to (stable) homotopy”.
- ▶ In the presence of symmetries: replace $K_0(A)$ by $K_1(A)$ or $KO_i(A)$.
- ▶ **Index pairing**: extract **numerical** information from a K-theory class.
⇐ Kasparov product with an element in $KK_j(A, B)$.

The odd index pairing

Setup: A a unital C*-algebra, $\mathcal{A} \subseteq A$ a dense *-subalgebra;

- ▶ $v \in \mathcal{A}$ a unitary;
- ▶ $(\mathcal{A}, \mathcal{H}, D)$ an odd (=ungraded) spectral triple over A ;
 - ▷ D is an unbounded, self-adjoint operator on \mathcal{H} s.t.
 $[D, a]$ is bounded for all $a \in \mathcal{A}$
and D has compact resolvent.
 - ▷ D may be thought of as a first-order differential operator / Dirac operator.
- ▶ They represent $[v] \in K_1(A)$ and $[D] \in KK_1(A, \mathbb{C})$.

The **odd index pairing** is the Kasparov product

$$K_1(A) \times KK_1(A, \mathbb{C}) \rightarrow K_0(\mathbb{C}) \simeq \mathbb{Z}, \quad ([v], [D]) \mapsto \text{ind}(\underbrace{PvP + 1 - P}_{\text{Fredholm}}),$$

where P is the positive spectral projection of D :

$$P := \chi_{[0, +\infty)}(D).$$

Example: odd index pairing on the circle

- $\mathbb{T} := \{e^{2\pi i \vartheta} \mid \vartheta \in [0, 1)\}$.
- $v \in C^1(\mathbb{T})$ a unitary function.
- $(A, \mathcal{H}, D) = (C^1(\mathbb{T}), L^2(\mathbb{T}), -\frac{i}{2\pi} \frac{d}{d\vartheta})$ an odd spectral triple.
- $T_v := PvP + 1 - P$ is a Fredholm operator on $P\mathcal{H} = H^2(\mathbb{T})$, where

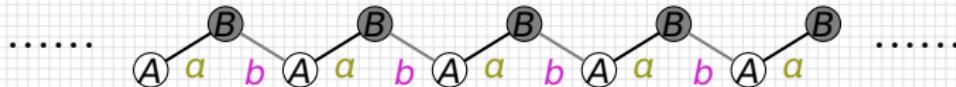
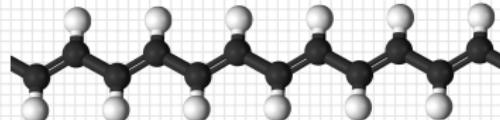
$$H^2(\mathbb{T}) := \left\{ f \in L^2(\mathbb{T}) \mid f = \sum_{n \geq 0} a_n e^{2\pi i n \vartheta} \right\} \simeq \ell^2(\mathbb{N}).$$

Theorem (Gohberg–Krein) $\text{ind}(T_v) = -\text{wind}(v)$, where

$$\text{wind}(v) := \frac{1}{2\pi i} \int_{\mathbb{T}} \frac{v'(\vartheta)}{v(\vartheta)} d\vartheta.$$

Winding number as topological invariant of polyacetylene

Polyacetylene (CH_x)



$$H = \sum_{n \in \mathbb{Z}} \left(-\textcolor{yellow}{a}|n, A\rangle\langle n, B| - \textcolor{magenta}{b}|n+1, A\rangle\langle n, B| + \text{h.c.} \right)$$

$$\implies \widehat{H} = \int_{k \in \mathbb{T}} \widehat{H}_k dk, \quad \widehat{H}_k = - \begin{pmatrix} 0 & \textcolor{yellow}{a} + \textcolor{magenta}{b} \exp(-ik) \\ \textcolor{yellow}{a}^* + \textcolor{magenta}{b}^* \exp(ik) & 0 \end{pmatrix}.$$

- ▶ $\textcolor{yellow}{a} = -im$, $\textcolor{magenta}{b} = 1$ ($m \in \mathbb{R}$ mass term).
- ▶ Bulk topological invariant: $\text{wind} \left(k \mapsto \frac{e^{ik} + im}{|e^{ik} + im|} \right)$.

Problems with numerical computation

- ▶ $(\mathcal{A}, \mathcal{H}, D)$ is given by an **unbounded** operator D acting on an **infinite-dimensional** Hilbert space \mathcal{H} .
- ▶ Computation of $\text{ind}(PvP + 1 - P)$ requires the complete spectral data of D and v .

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Measurements are limited by **finite** energy resolution / spatial scale.

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Numerical computation requests approximation by fin.-dim'l spaces.

- ▶ Every Fredholm operator on a fin.-dim'l space has **zero** index.

The odd spectral localiser, 1

Loring and Schulz-Baldes have introduced a method called **spectral localiser** to compute the odd index pairing $[v] \times [D]$.

Input:

- ▶ an odd spectral triple $(\mathcal{A}, \mathcal{H}, D)$;
- ▶ a unitary $v \in \mathcal{A}$ (or more generally, an invertible);
- ▶ a tuning parameter $\kappa > 0$;
- ▶ a threshold $\lambda > 0$.

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Output:

- ▶ a (family of) unbounded self-adjoint operators

$$L_\kappa := \begin{pmatrix} \kappa D & v \\ v^* & -\kappa D \end{pmatrix};$$

- ▶ a (family of) finite-dimensional matrices $L_{\kappa, \lambda}$;
- ▶ half-signature $\frac{1}{2} \text{sig}(L_{\kappa, \lambda})$.

The odd spectral localiser, 2

Theorem (Loring–Schulz–Balduz 2017, 2019) For sufficiently small tuning parameter κ and sufficiently large threshold λ , then

$$\text{ind}(P \vee P + 1 - P) = \frac{1}{2} \text{sig}(L_{\kappa, \lambda})$$

where $L_{\kappa, \lambda}$ is the truncation of L_κ onto the spectral subspace

$$\mathcal{H}_\lambda := \chi_{|x| \leq \lambda} (D \oplus D)(\mathcal{H} \oplus \mathcal{H}).$$

(finite-dimensional, if D has discrete spectrum)

Examples from topological insulators:

- ▶ D is the position operator.
- ⇒ Finite-volume computation of index pairing.

Signature versus rank

Let \mathcal{K} be a fin.-dim'l Hilbert space. Then $\mathbb{B}(\mathcal{K}) \simeq \mathbb{M}_{\dim \mathcal{K}}(\mathbb{C})$.

- The **signature** of a self-adjoint matrix L is

$$\begin{aligned}\text{sig}(L) &= \#(\text{pos. eigenvalues of } L) - \#(\text{neg. eigenvalues of } L) \\ &= \text{rank}(\chi_{(0,+\infty)}(L)) - \text{rank}(\chi_{(-\infty,0)}(L)).\end{aligned}$$

- If p is a **projection** on \mathcal{K} , then

$$\text{sig}(2p - \text{id}_{\mathcal{K}}) = \text{rank}(p) - \text{rank}(\text{id}_{\mathcal{K}} - p).$$

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- If p is a **quasi-projection** on \mathcal{K} , then

$$\text{sig}(2p - \text{id}_{\mathcal{K}}) = \text{rank}(\kappa_0(p)) - \text{rank}(\kappa_0(\text{id}_{\mathcal{K}} - p)).$$

$$\kappa_0: \mathbb{C} \setminus \{z \in \mathbb{C} \mid \operatorname{Re} z = 1/2\} \rightarrow \{0, 1\}, \quad \kappa_0(z) := \begin{cases} 1, & \operatorname{Re} z > 1/2; \\ 0, & \operatorname{Re} z < 1/2. \end{cases}$$

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⇒ $L_{\kappa, \lambda}$ may come from a **quasi-projection** representative of K-theory.

Quasi-projections and quasi-idempotents

- ▶ Quasi-projection: $\|p^2 - p\| < 1/4$, $p = p^*$;
- ▶ Quasi-idempotent: $\|e^2 - e\| < 1/4$.

Let A be a unital C*-algebra. Then

$$\begin{aligned} K_0(A) &= \text{Gr(homotopy classes of projections in } M_n A) \\ &= \text{Gr(homotopy classes of quasi-projections in } M_n A). \end{aligned}$$

Class of quasi-projection p = class of the projection $K_0(p)$.

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Physical intuition:

$$\begin{array}{ccc} \text{Quasi-projections} & \Leftarrow & \text{self-adjoint invertibles} \\ & \Leftarrow & \text{gapped Hamiltonians.} \end{array}$$

A quasi-idempotent may arise as the image of a projection under an asymptotic morphism.

Blueprint

Goal Compute the index pairing $K_1(A) \times KK_1(A, B) \rightarrow K_0(B)$ between a unitary $v \in A$ and an odd unbounded Kasparov A - B -module (A, E, D) .

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This depends on another parameter λ .
4. The spectral localiser $L_{t^{-1}, \lambda}$ is congruent to $2p_{t,\lambda}^e - 1$, and $p_{t,\lambda}^f$ contributes to zero signature.

Unbounded Kasparov module, 1

Definition Let A and B be C^* -algebras. An **odd unbounded Kasparov A - B -module** is a triple (\mathcal{A}, E, D) , where:

- ▶ E is a Hilbert B -module;
- ▶ $\varrho: A \rightarrow \text{End}_B^*(E)$ is a $*$ -homomorphism onto the C^* -algebra of **adjointable** operators; and $\mathcal{A} \subseteq A$ is a dense $*$ -subalgebra;
- ▶ $D: \text{dom } D \subseteq E \rightarrow E$ is a **self-adjoint** and **regular** operator.

such that:

- ▶ $\varrho(a)(D + i)^{-1} \in \mathbb{K}_B(E)$ for all $a \in \mathcal{A}$ (and hence for all $a \in A$);
- ▶ For every $a \in \mathcal{A}$, $\varrho(a)$ maps $\text{dom } D$ into $\text{dom } D$, and $[D, \varrho(a)]$ extends to an element of $\text{End}_B^*(E)$.

An unbounded Kasparov module is **essential** if $\overline{\varrho(A)E} = E$.

Unbounded Kasparov module, 2

Let $\chi: \mathbb{R} \rightarrow [-1, 1]$ be any chopping function (i.e. $\lim_{x \rightarrow \pm\infty} \chi(x) = \pm 1$).
Then the **bounded transform**

$$(\mathcal{A}, E, D) \longrightarrow (A, E, \chi(D))$$

gives a odd, bounded Kasparov A - B -module.

Theorem (Baaj–Julg) Every class in $\text{KK}_1(A, B)$ can be represented by an **essential** odd, unbounded Kasparov A - B -module.

Example

- ▶ An odd spectral triple is an odd unbounded Kasparov A - \mathbb{C} -module.
- ▶ $(\mathbb{C}, C_0(\mathbb{R}), x)$: odd, unbounded Kasparov \mathbb{C} - $C_0(\mathbb{R})$ -module.

Asymptotic morphism, 1

Definition An **asymptotic morphism** $A \rightarrow B$ is a family of maps $(\Phi_t : A \rightarrow B)_{t \in [1, \infty)}$ such that:

1. $t \mapsto \Phi_t(a)$ is continuous for all $a \in A$;
2. for all $a, a' \in A$ and $\lambda \in \mathbb{C}$,

$$\left. \begin{array}{l} \Phi_t(a^*) - \Phi_t(a)^* \\ \Phi_t(aa') - \Phi_t(a)\Phi_t(a') \\ \Phi_t(a + \lambda a') - \Phi_t(a) - \lambda\Phi_t(a') \end{array} \right\} \rightarrow 0 \quad \text{as } t \rightarrow \infty.$$

An asymptotic morphism $A \rightarrow B$ represents a class in $E(SA, B) =: E_1(A, B)$ in **E-theory** of Connes and Higson.

This is another **bivariant** K-theory, characterised by different universal properties from Kasparov's KK-theory.

Asymptotic morphism, 2

There is a natural transformation $\text{KK}_1 \Rightarrow E_1$, making the following diagram commutes:

$$\begin{array}{ccc} K_1(A) & \xrightarrow{\text{KK}_1(A,B)} & K_0(B) \\ \downarrow^{\text{ind}} & \Downarrow & \downarrow^{\pm 1} \\ K_0(SA) & \xrightarrow{E_1(A,B)} & K_0(B). \end{array}$$

The following result is folklore.

Theorem (Higson–Kasparov 2001; L–Mesland 2025) Let (\mathcal{A}, E, D) be an **essential** odd unbounded Kasparov A - B -module. The asymptotic morphism

$$\Phi_t^D : C_0(\mathbb{R}) \otimes A \rightarrow K_B(E), \quad f \otimes a \mapsto f(t^{-1}D)a,$$

represents the class of the image of $[D] \in \text{KK}_1(A, B)$ in $E_1(A, B)$ under the natural transformation $\text{KK}_1 \rightarrow E_1$.

Quasi-projection representative

The image of $[v] \in K_1(A)$ in $K_0(SA)$ is given by

$$\left[\begin{pmatrix} s(x)^2 \otimes 1 & c(x)s(x) \otimes v \\ c(x)s(x) \otimes v^* & c(x)^2 \otimes 1 \end{pmatrix} \right] - \left[\begin{pmatrix} 0 & 0 \\ 0 & 1 \end{pmatrix} \right].$$

where $c, s: \mathbb{R} \rightarrow [0, 1]$ are continuous functions satisfying

$$c^2(x) + s^2(x) = 1, \quad \lim_{x \rightarrow \infty} s(x) = 1, \quad \lim_{x \rightarrow -\infty} c(x) = 1.$$

Theorem The odd index pairing $\langle [v], [D] \rangle$ is represented by:
(t sufficiently large + certain commutators being bounded):

$$\left[\underbrace{\begin{pmatrix} s_t^2 & \sqrt{c_t s_t} v \sqrt{c_t s_t} \\ \sqrt{c_t s_t} v^* \sqrt{c_t s_t} & c_t^2 \end{pmatrix}}_{\text{quasi-projection representative, } =: e_t} \right] - \underbrace{\left[\begin{pmatrix} 0 & 0 \\ 0 & 1 \end{pmatrix} \right]}_{\text{projection, } =: f_t}.$$

where $c_t := c(t^{-1}D)$ and $s_t := s(t^{-1}D)$.

Spectral truncation, 1

Setup:

- ▶ B a C^* -algebra;
- ▶ \mathcal{E} a Hilbert B -module;
- ▶ \mathcal{D} an unbounded, self-adjoint and regular operator on \mathcal{E} .
- ▶ λ a positive real number (“**spectral threshold**”)

Definition A **spectral decomposition** of \mathcal{E} is a pair of mutually complemented submodules $(\mathcal{E}_\lambda^\downarrow, \mathcal{E}_\lambda^\uparrow)$ of \mathcal{E} , such that

$$\langle \mathcal{D}\xi, \mathcal{D}\xi \rangle \geq \lambda^2 \langle \xi, \xi \rangle \quad \text{for all } \xi \in \text{dom } \mathcal{D} \cap \mathcal{E}_\lambda^\uparrow.$$

Remark For any $\lambda > 0$, a spectral decomposition $\mathcal{E} = \mathcal{E}_\lambda^\downarrow \oplus \mathcal{E}_\lambda^\uparrow$ **always** exists if $B = \mathbb{C}$; may **not** exist for general B .

Spectral truncation, 2

Assumption $(E_\lambda^\downarrow, E_\lambda^\uparrow)$ is a spectral decomposition of $\widehat{E} := E \oplus E$ for the operator $D \oplus D$.

Then e_t decomposes as

$$e_t = \begin{pmatrix} p_{t,\lambda}^e & m_{t,\lambda}^e \\ m_{t,\lambda}^{\dot{e}} & q_{t,\lambda}^e \end{pmatrix}^* \subset \begin{pmatrix} E_\lambda^\downarrow \\ E_\lambda^\uparrow \end{pmatrix} \quad \begin{array}{l} \text{"lower" submodule} \\ \text{"upper" submodule} \end{array}$$

Theorem For $t \gg 0$ and $\lambda \gg 0$, the following quasi-projections are homotopic:

$$\begin{pmatrix} p_{t,\lambda}^e & m_{t,\lambda}^e \\ m_{t,\lambda}^{\dot{e}} & q_{t,\lambda}^e \end{pmatrix} \text{ and } \begin{pmatrix} p_{t,\lambda}^e & \\ & q_{t,\lambda}^e \end{pmatrix}.$$

Therefore, as a class in $K_0(\mathbb{K}_B(E)^+)$:

$$[e_t] = [p_{t,\lambda}^e] + [q_{t,\lambda}^e].$$

Spectral truncation, 3

We have $[f_t] = [p_{t,\lambda}^f] + [q_{t,\lambda}^f]$, and

$$q_{t,\lambda}^e \sim q_{t,\lambda}^f$$

are asymptotically unitarily equivalent. So $[q_{t,\lambda}^e] = [q_{t,\lambda}^f]$.

Summing up:

$$\begin{aligned}[e_t] - [f_t] &= [p_{t,\lambda}^e] + [q_{t,\lambda}^e] - [p_{t,\lambda}^f] - [q_{t,\lambda}^f] \\ &= [p_{t,\lambda}^e] - [p_{t,\lambda}^f],\end{aligned}$$

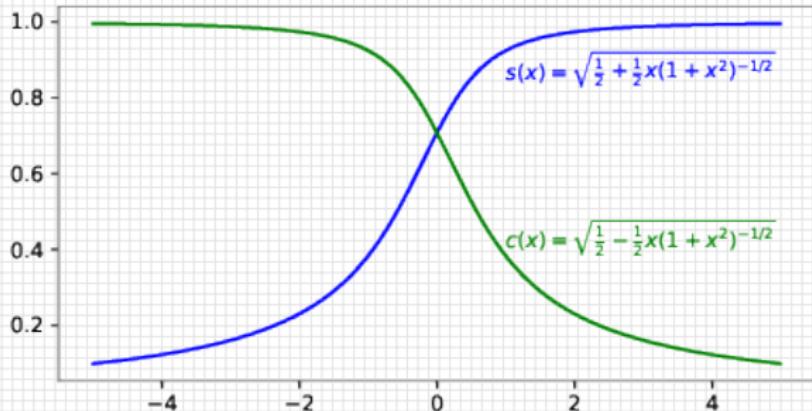
both $p_{t,\lambda}^e$ and $p_{t,\lambda}^f$ are quasi-projections on E_λ^\downarrow .

If (A, E, D) is a spectral triple and D has discrete spectrum, then $p_{t,\lambda}^e$ and $p_{t,\lambda}^f$ are **finite**-dimensional quasi-projections.

Emergence of the spectral localiser, 1

A choice of $c(x)$ and $s(x)$:

$$c(x) := \sqrt{\frac{1}{2} - \frac{1}{2}x(1+x^2)^{-1/2}}, \quad s(x) := \sqrt{\frac{1}{2} + \frac{1}{2}x(1+x^2)^{-1/2}}.$$



They satisfy the prescribed **commutator estimates**.

Emergence of the spectral localiser, 2

- $2p_{t,\lambda}^e - 1$ is given by ($D_t := t^{-1}D$):

$$\begin{aligned} & \begin{pmatrix} D_t(1+D_t^2)^{-1/2} & (1+D_t^2)^{-1/4}\nu(1+D_t^2)^{-1/4} \\ (1+D_t^2)^{-1/4}\nu^*(1+D_t^2)^{-1/4} & -D_t(1+D_t^2)^{-1/2} \end{pmatrix} \\ &= \begin{pmatrix} (1+D_t^2)^{-1/4} & 0 \\ 0 & (1+D_t^2)^{-1/4} \end{pmatrix} \underbrace{\begin{pmatrix} D_t & \nu \\ \nu^* & -D_t \end{pmatrix}}_{L_{t^{-1},\lambda}} \begin{pmatrix} (1+D_t^2)^{-1/4} & 0 \\ 0 & (1+D_t^2)^{-1/4} \end{pmatrix}. \end{aligned}$$

- $2p_{t,\lambda}^f - 1$ is given by

$$\begin{pmatrix} -1 & 0 \\ 0 & 1 \end{pmatrix}$$

and has no signature.

Emergence of the spectral localiser, 3

Theorem (Loring–Schulz–Balides 2017, 2019; L–Mesland 2025)

Assume that $(E_\lambda^\downarrow, E_\lambda^\uparrow)$ is a spectral decomposition of $\widehat{E} := E \oplus E$ (with spectral threshold λ). Define

$$L_{t^{-1}} := \begin{pmatrix} t^{-1}D & v \\ v^* & -t^{-1}D \end{pmatrix},$$

and $L_{t^{-1}, \lambda}$ be its truncation onto E_λ^\downarrow . Let:

- ▶ $\varepsilon, \delta > 0$ satisfy $\varepsilon + \delta < \frac{1}{400}$;
- ▶ t, λ satisfy $t > 4\varepsilon^{-1}\|[D, v]\|$ and $\lambda > t\delta^{-1}$,

Then

$$\frac{1}{2} \operatorname{sig}(L_{t^{-1}, \lambda}) = \langle [v], [D] \rangle \in K_0(\mathbb{K}_B(E)).$$

A sign-ity check

- ▶ The natural transformation $\mathrm{KK}_1 \Rightarrow E_1$ is unique up to a sign.
- ▶ The sign occurs as a choice of chirality in physics.
- ▶ Fix the sign: check on a single instance.

Theorem (Hekkelman, 2021) Let $A = C(\mathbb{T})$, $v = e^{2\pi i \theta}$ and $D = -\frac{i}{2\pi} \frac{d}{d\theta}$. Then

$$\frac{1}{2} \operatorname{sig}(L_{\kappa, \lambda}) = -1 = \langle [v], [D] \rangle, \quad \text{if } \lambda \geq 1 \text{ and } \kappa < 2.$$

- ▶ A 6×6 -matrix suffices:

$$L_{1,1} = \begin{pmatrix} -1 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & -1 \end{pmatrix}, \quad \frac{1}{2} \operatorname{sig}(L_{1,1}) = -1.$$

Further remarks

Why unbounded Kasparov modules?

The data of an **unbounded Kasparov module** yield several **commutator estimates** that are used to construct:

- ▶ homotopies of quasi-projections/idempotents;
- ▶ homotopies of asymptotic morphisms.

Numerical index pairings with traces

The spectral truncation technique also applies to computing index pairings associated to certain **semi-finite spectral triples**, arising as

$$K_1(A) \xrightarrow{\times [D]} K_0(B) \xrightarrow{\tau_*} \mathbb{R},$$

and yields the **semi-finite** spectral localiser of Schulz-Baldes and Stoiber.

Summary

- ▶ The index pairing $\langle [v], [D] \rangle$ may be computed via an **E-theoretic** index pairing.
- ▶ This yields **quasi-projection** representatives of K-theory.
A **spectral truncation** may be applied, providing the existence of a suitable spectral decomposition.
- ▶ The **spectral localiser** occurs as such an index pairing. Similar story for its semi-finite analogue.

Summary and outlook

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- ▶ The index pairing $\langle [v], [D] \rangle$ may be computed via an **E-theoretic** index pairing.
- ▶ This yields **quasi-projection** representatives of K-theory.
A **spectral truncation** may be applied, providing the existence of a suitable spectral decomposition.
- ▶ The **spectral localiser** occurs as such an index pairing. Similar story for its semi-finite analogue.

Outlook

- ▶ Asymptotic morphisms arise also from deformations of C*-algebras. Possible application to **index theorems?**
- ▶ Van Suijlekom has defined a variant of K-theory for **operator systems**. Possible application to a definition of their **K-homology?**