Vector space structure in the set of norm attaining functionals I

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Universidad de Murcia, December 2017

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Norm attaining functionals

Norm attaining functionals

$x^* \in X^*$ attains its norm when

$$\exists\, x \in X,\ \|x\| = 1\ :\ x^*(x) = \|x^*\|$$

★ $\mathrm{NA}(X) = \{x^* \in X^* : x^* \text{ attains its norm}\}$

First results

- $\dim(X) < \infty \implies \mathrm{NA}(X) = X^*$ (Heine-Borel).
- X reflexive $\implies \mathrm{NA}(X) = X^*$ (Hahn-Banach).
- X non-reflexive $\implies \mathrm{NA}(X) \neq X^*$ (James),
- but $\mathrm{NA}(X)$ always separates the points of X (Hahn-Banach);
- actually, $\mathrm{NA}(X)$ is always (norm) dense in X^* (Bishop-Phelps).

Examples

- $\mathrm{NA}(c_0) = c_{00} \leqslant \ell_1$,
- $\mathrm{NA}(\ell_1) = \Big\{x \in \ell_\infty : \|x\|_\infty = \max_n\{|x(n)|\}\Big\}$.

Lineability

Examples

- $\mathrm{NA}(c_0) = c_{00} \leqslant \ell_1$,
- $\mathrm{NA}(\ell_1) = \Big\{x \in \ell_\infty \colon \|x\|_\infty = \max_n \{|x(n)|\}\Big\}$.

- Note that $\mathrm{NA}(c_0)$ is a linear space, but $\mathrm{NA}(\ell_1)$ is not.
- However, $\mathrm{NA}(\ell_1)$ contains the infinite-dimensional space c_0 (in fact, it contains the dense subspace of "step sequences") and $\operatorname{span}\mathrm{NA}(\ell_1) = (\ell_1)^* = \ell_\infty$.

Lineability

Recall that a subset S of a vector space V is called lineable if $S \cup \{0\}$ contains an infinite-dimensional subspace.

Example (V. Gurarii, 1966)

$\Big\{f \in C[0,1] \colon f$ is nowhere differentiable$\Big\}$ is lineable in $C[0,1]$.

Lineability of $\mathrm{NA}(X)$

Main question

Lineability of $\mathrm{NA}(X)$**?**

More concretely,

Problems (G. Godefroy, 2001)

(G_∞) Does $\mathrm{NA}(X)$ always contain an infinite-dimensional linear subspace?

(G) Does $\mathrm{NA}(X)$ always contain a linear subspace of dimension 2?

The case of dimension 1 is taken care of by the Bishop-Phelps theorem!

Note that (G_∞) holds in all classical spaces.

Proximinality

- $Y \subset X$ is proximinal:

$$\forall x \in X \ \exists y_0 \in Y: \quad \|x - y_0\| = \inf\{\|x - y\| : y \in Y\} = \mathrm{dist}(x, Y)$$

- Y proximinal iff $Q(B_X) = B_{X/Y}$ ($Q : X \longrightarrow X/Y$ quotient map)

- $x^* \in \mathrm{NA}(X) \iff \ker x^*$ proximinal.

Problem (I. Singer, 1974)

(S) Is there always a proximinal subspace of codimension 2?

Note: If (S) is true, then (G) is true; let see. . .

Proximinality and norm attaining functionals

The two main problems

(S) Is there always a proximinal subspace of codimension 2?

(G) Does $\mathrm{NA}(X)$ always contain a linear subspace of dimension 2?

Important result (Garkavi, 1967)

$$Y \subset X \text{ proximinal of finite codimension} \Rightarrow Y^{\perp} \subset \mathrm{NA}(X).$$

If (S) is true, then (G) is true.

Converse result

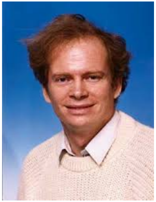
- There exist X and finite codimensional Y such that $Y^{\perp} \subset \mathrm{NA}(X)$ but Y is not proximinal (Phelps, 1963);
- However, both assertions are equivalent if $X \leqslant c_0$ (Godefroy-Indumathi, 1999) and in some other situations. . .

Read's theorem

Theorem

There is a counterexample X_R to (S).

Charles Read (1958–2015) . . .



. . . solved the invariant subspace problem (1984); proved the existence of discontinuous derivations on some algebra of operators $L(E)$ (1989); had an outstanding result on the approximation property (unpublished, 1989); made a major contribution to Quantum Field Theory (1996); solved a fundamental problem on hypercyclic operators (2009); solved Singer's problem (2013, to appear in Israel J. Math.).

Rmoutil's theorem

Recall that (S) $\Rightarrow$ (G) and that X_R is a counterexample to (S). This makes X_R a candidate for a counterexample to (G)!

Indeed, M. Rmoutil (2017) proved:

Theorem

- X/Y strictly convex and $Y^\perp \subset \mathrm{NA}(X) \implies Y$ proximinal.
- $\dim X_R/Y = 2 \implies X_R/Y$ strictly convex.
- Consequently, X_R is also a counterexample to (G).

A simplification of the proof by Kadets/López/Martín:
X_R^{**} is strictly convex; hence *all* quotients of X_R are strictly convex.

Read's construction

X_R is a renorming of c_0:

Let $\Omega = \{(s_n) \colon (s_n) \text{ has finite support, all } s_n \in \mathbb{Q}\} \subset \ell_1$.
Enumerate $\Omega = \{u_1, u_2, \ldots\}$ so that every element is repeated infinitely often.
Take a sequence of integers (a_n) such that

$$a_k > \max \operatorname{supp} u_k, \quad a_k \geqslant \|u_k\|_{\ell_1}.$$

Renorm c_0 by

$$p(x) = \|x\|_\infty + \sum_k 2^{-a_k^2} |\langle u_k - e_{a_k}, x\rangle|.$$

Then Read shows that (c_0, p) fails (S), and Rmoutil shows, relying on Read's work, that (c_0, p) fails (G).

The proof of Read's theorem is not trivial at all!!!!!

A new, direct approach to (G)

We are more used to norm-attainment than to proximinality,
so we changed the point of view:

We want to show directly that certain Banach spaces have a renorming failing (G) and *hence* have a renorming failing (S).

Let $R\colon X \longrightarrow \ell_1$ be continuous; renorm X by

$$p(x) = \|x\| + \|Rx\|_{\ell_1}.$$

More precisely, let $[Rx](n) = 2^{-n} v_n^*(x), \quad (v_n^*) \subset B_{X^*}$.

(Note that Read's renorming is of this type.)

Aim

Under suitable assumptions, the v_n^* can be chosen so that (X, p) fails (G) (and hence fails (S)).

A tentative calculation

Let $p(x) = \|x\| + \sum 2^{-n}|v_n^*(x)|$. Then $B_{(X^*,p^*)} = B_X + \sum 2^{-n}[-v_n^*, v_n^*]$ (Minkowski sum). Let $x^* \in \mathrm{NA}_1(X,p)$ be norm attaining at x; then

$$x^* = x_0^* + \sum 2^{-n} t_n v_n^*$$

for some $x_0^* \in \mathrm{NA}_1(X)$ and $t_n = \operatorname{sign} v_n^*(x)$ whenever the latter is nonzero. Write the same decomposition for $y^* \in \mathrm{NA}_1(X,p)$, norm attaining at y:

$$y^* = y_0^* + \sum 2^{-n} t_n' v_n^*.$$

Let's try to prove that $x^* + y^* \notin \mathrm{NA}(X,p)$: Otherwise we would have a similar decomposition for $z^* = (x^* + y^*)/\|x^* + y^*\|$:

$$z^* = z_0^* + \sum 2^{-n} s_n v_n^*.$$

Sort the items, setting $\lambda = \|x^* + y^*\|$:

$$0 = x^* + y^* - \lambda z^* = [x_0^* + y_0^* - \lambda z_0^*] + \Big[\sum (t_n + t_n' - \lambda s_n) v_n^*\Big]$$

Wish list

$$0 = [x_0^* + y_0^* - \lambda z_0^*] + \left[\sum (t_n + t_n' - \lambda s_n) v_n^*\right]$$

We now **wish** to select the v_n^* to be sort of "orthogonal" to $\operatorname{span} \mathrm{NA}(X)$ (which contains the first bracket) so that both brackets vanish.

In addition we **wish** the v_n^* to have some Schauder basis character so that we can deduce from $\sum (t_n + t_n' - \lambda s_n) v_n^* = 0$ that all $t_n + t_n' - \lambda s_n = 0$.

Finally we **wish** the support points x and y to be distinct, and we **wish** the span of the v_n^* to be dense enough to separate x and y for many n, i.e., $v_n^*(x) < 0 < v_n^*(y)$ and thus $t_n + t_n' = 0$ fairly often, while at the same time $s_n \neq 0$ for at least one of those n.

This contradiction would show that $x^* + y^* \notin \mathrm{NA}(X, p)$.

Modest subspaces

Definition: operator range, (weak*) modest subspace

- V, W Banach spaces, $T\colon V \longrightarrow W$ injective.
  Then $T(V)$ is called an operator range.
- $Z \subset W$ is modest if there is a separable dense operator range Y with $Y \cap Z = \{0\}$.
- If W is a dual space, then $Z \subset W$ is weak* modest if there is a separable weak* dense operator range Y with $Y \cap Z = \{0\}$.

Note that the choice of V in the definition of a modest subspace is at our discretion since

$$E, F \text{ separable} \quad \Rightarrow \quad \exists \text{ continuous injection } S\colon E \longrightarrow F \text{ with dense range.}$$

Example

$\{(s_n)\colon (s_n) \text{ has finite support}\}$ is modest in ℓ_1.

Indeed, let $A_r(\mathbb{D})$ the real Banach space of those function on the disk algebra which takes real valued on the real axis;
define $T\colon A_r(\mathbb{D}) \longrightarrow \ell_1$ by $[Tf](n) = 2^{-n} f(2^{-n})$; then T has dense range and every non-null sequence in $T(A_r(\mathbb{D}))$ can only take the value 0 finitely many times.

Main Theorem

Theorem

If $\operatorname{span}\mathrm{NA}(X)$ is weak* modest, then X has a renorming that fails (G) and, consequently, fails (S). (We call such an equivalent norm a Read norm.)

Recall ansatz: $p(x) = \|x\| + \sum 2^{-n}|v_n^*(x)|$; how to choose the v_n^*?

Lemma

Let $Y \subset X^*$ be a separable operator range. Then there is an injective operator $S\colon \ell_1 \longrightarrow X^*$ such that, for $v_n^* = S(e_n)$, the set $\{v_n^*/\|v_n^*\|\}$ is dense in S_Y.

With this choice of v_n^* it is possible to fulfill our wishes: the v_n^* are "orthogonal" to $\mathrm{NA}(X)$ (wish #1), they are the image of a Schauder basis (wish #2) and sufficiently dense (wish #4). As for wish #3, if $x = y$, then $x \neq -y$ and one should look at $x^* - y^*$!

Thus we can show that for linearly independent $x^*, y^* \in \mathrm{NA}(X, p)$ of norm 1, at most one of $x^* \pm y^*$ can be in $\mathrm{NA}(X, p)$.

First consequence

Example (we recuperate Read's and Rmoutil's results)

c_0 admits a Read norm, that is, a norm failing (G) and hence failing (S).

Indeed, $\mathrm{NA}(c_0) = c_{00}$ is modest in ℓ_1.

Note

The original construction by Read is NOT a particular case of ours:

Indeed, both norms are of the form $p(x) = \|x\| + \sum 2^{-n}|v_n^*(x)|$, but

- in the original Read's construction, the v_n^*'s belong to $\mathrm{NA}(c_0)$,
- in our construction, the v_n^*'s are "orthogonal" to $\mathrm{NA}(c_0)$.

More consequences I

Proposition

A separable Banach space containing a copy of c_0 admits a Read norm.

Indeed, renorm X so that $X = c_0 \oplus_\infty E$; then $X^* = \ell_1 \oplus_1 E^*$ and $\mathrm{NA}(X) \subset \mathrm{NA}(c_0) \oplus_1 E^*$.The latter can be shown to be a weak* modest subspace.

Example

$C[0,1]$ admits an equivalent Read norm.

Norms with additional properties

X separable containing c_0. Then for each $0 < \varepsilon < 2$ there is a Read norm p_ε on X with the following properties:

- p_ε is strictly convex and smooth,
- p_ε^* is strictly convex,
- p_ε^* is $(2-\varepsilon)$-rough; i.e., every slice of $B_{(X,p_\varepsilon)}$ has diameter $\geqslant 2-\varepsilon$,
- If moreover X^* is separable, then p_ε^{**} is strictly convex.

More consequences II

Theorem

A Banach space containing a copy of c_0 which has a countable system of norming functionals admits a Read norm.

$\{x_n^*\}$ is a norming system if $x \longmapsto \sup_n |x_n^*(x)|$ is an equivalent norm. Such a space is isomorphic to a closed subspace of ℓ_∞ and vice versa.

Example

ℓ_∞ admits an equivalent Read norm.

Norms with additional properties

X containing c_0 which a countable system of norming functionals. Then for each $0 < \varepsilon < 2$ there is a Read norm p_ε on X so that

- p_ε is strictly convex,
- p_ε^* is $(2-\varepsilon)$-rough; i.e., every slice of $B_{(X,p_\varepsilon)}$ has diameter $\geqslant 2-\varepsilon$,
- actually, every convex combination of slices (hence every relatively weakly open subset) of $B_{(X,p_\varepsilon)}$ has diameter $\geqslant 2-\varepsilon$.