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EXTREMAL ELEMENTS OF THE CONVEX CONE OF SEMI-NORMS

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# EXTREMAL ELEMENTS OF THE CONVEX CONE OF SEMI-NORMS

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1. Introduction. Let L be a real linear space and let p be a real function on L such that (1)  $p(\lambda x) = |\lambda| p(x)$  for all x in L and all real  $\lambda$ , and  $p(x_1 + x_2) \leq p(x_1) + p(x_2)$  for all  $x_1$  and  $x_2$  in L, i.e. is a semi-norm on L. Since the sum of two semi-norms,  $p_1 + p_2$  and the positive scalar multiplication of a semi-norm,  $\lambda p, \lambda > 0$  are seminorms, the set of semi-norms on L, C form a convex cone. Those  $p \in C$  such that if  $p = p_1 + p_2$  where  $p_1$  and  $p_2 \in C$  we have  $p_1$  and  $p_x$  proportional to p are extremal element of C, [1]. In this paper it is shown that p = |f|, where f is a real linear functional of L is an extremal element of C. For L, the plane it is shown that these are the only extremal elements of C. Since norms are semi-norms, C includes this interesting class of functionals.

2. The main results. The convex cone C and the convex cone -C, the negatives of the elements of C have only the zero seminorm in common since semi-norms are nonnegative. The zero seminorm is an extremal element if one wishes to allow in the definition the vertex of a convex cone to be an extremal element. Below only the nonzero elements are considered.

The following lemma which characterizes the nature of certain semi-norms will be used in obtaining the two main theorems.

LEMMA 1. If p is a semi-norm on L such that the co-dimension of N(p) = 1, then p is of the form p = |f| where f is a linear functional on L.

**Proof.** Let  $b \in L \setminus N(p)$ , where N(p) is the null space of p. Then any element  $x \in L$  can be written  $x = z + \lambda b$  where  $z \in N(p)$  and  $\lambda$  is real. Let  $f(x) = \lambda p(b)$ . Then clearly f is a linear functional on L. It shall now be shown that |f(x)| = p(x) for all  $x \in L$ . Notice that

$$|f(x)| = |f(z + \lambda b)| = |\lambda p(b)| = |\lambda| p(b).$$

Thus

$$|f(x)| = p(\lambda b) = p(z) + p(\lambda b) \ge p(z + \lambda b) = p(x).$$

The proof will be complete if it can be shown that the inequality

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cannot be a strict inequality for  $\lambda \neq 0$ .

Consider the case of the strict inequality occurring at  $z' + \lambda_0 b$ where  $\lambda_0 > 0$  and  $z' \in N(p)$ . The set  $U = \{x : p(x) \leq \lambda_0 p(b)\}$  is a convex circled set containing N(p) and  $\lambda_0 b$ . It follows that there exists  $\gamma \geq 1$ such that

$$p(\gamma(z' + \lambda_0 b)) = \gamma p(z' + \lambda_0 b) = \lambda_0 p(b)$$

and hence  $\gamma(z' + \lambda_0 b) \in U$ . Take  $\beta = (\gamma(1 - \alpha))/\alpha$  where  $\alpha = (\gamma - 1)/(2\gamma)$ . Then  $0 < \alpha < 1$  and

$$lpha[eta(-z')]+(1-lpha)[\gamma(z'+\lambda_0b)]=(1-lpha)\gamma\lambda_0b$$

belongs to U since -z' and  $\gamma(z' + \lambda_0 b) \in U$  and U is convex. Now

$$p((1-lpha)\gamma\lambda_{\scriptscriptstyle 0}b)=(1-lpha)\gamma p(\lambda_{\scriptscriptstyle 0}b)>\lambda_{\scriptscriptstyle 0}p(b)$$

since  $(1 - \alpha)\gamma = (1/2)(1 + \gamma) > 1$ , a contradiction since  $(1 - \alpha)\gamma\lambda_0 b \in U$ . Thus |f(x)| = p(x) for  $\lambda_0 > 0$ . Now for the case  $\lambda_0 < 0$  it follows from the above

$$|f(x)| = |f(z + \lambda_0 b)| = |-f(-z - \lambda_0 b)| = |f(-z - \lambda_0 b)|$$

and

$$|f(-z-\lambda_0 b)| = p(-z-\lambda_0 b) = p(z+\lambda_0 b).$$

Thus p(x) = |f(x)| for all  $x \in L$ .

It is now possible to prove the following theorem which shows that the absolute value of a real linear functional is an extremal element of C.

THEOREM 1. If f is a real linear functional on L, then |f| is an extremal element of C.

*Proof.* It is easy to check that |f| is subadditive and absolutely homogeneous and hence  $|f| \in C$ .

Suppose  $|f| = p_1 + p_2$  where  $p_1$  and  $p_2 \in C$ . Since  $p_1$  and  $p_2$  are nonnegative  $0 \leq p_i \leq |f|$ , i = 1, 2. Thus when f(x) = 0,  $p_i(x) = 0$ , i = 1, 2 and  $N(f) \subset N(p_i)$ , i = 1, 2. Hence the co-dimension of  $p_1$ and  $p_2$  is less than or equal to one. If the co-dimension of  $N(p_1)$  is zero, then clearly  $p_1$  and  $p_2$  are proportional to |f|. If the codimension of  $N(p_1)$  is one then by Lemma 1, there exists a real linear functional  $f_1$  such that  $p_1 = |f_1|$ . Since  $N(f_1) = N(p_1) \supset N(f)$ it follows that  $\lambda_1 f = f_1$  for some real  $\lambda_1 \neq 0$ . Hence  $|\lambda_1| |f| = p_1$ . Thus  $p_1$  (and consequently  $p_2$ ) is proportioned to |f|, and hence |f|is an extremal element of C.

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The following theorem shows that for the case  $L = E^2$ , the Euclidean plane, the only extremal elements for C are the seminorms given in Theorem 1.

THEOREM 2. Let  $L = E^2$ , then if p is an extremal element of C, there exists a linear functional f on L such that p = |f|.

In order to prove this theorem it will be necessary to show that for p a semi-norm on L and p not of the form p = |f| then there exists semi-norms  $p_1$  and  $p_2$  on L such that  $p = p_1 + p_2$  and  $p_1$  (and consequently  $p_2$ ) is not proportional to p.

It follows from Lemma 1 that for a semi-norm p on L to not be of the form |f|, where f is a linear functional on L that the codimension of N(p) must be greater than one. Hence for arbitrary Land p an extremal element of C other than those of Theorem 1, then p must have the co-dimension of N(p) > 1. For  $L = E^2$  and  $p \in C$  such that the co-dimension of N(p) > 1, then p is a norm. Thus for the proof of Theorem 2 a non-proportional decomposition must be provided for all norms on  $E^2$ .

For p a norm on  $E^2 = \{(x_1, x_2)\}$ , the unit ball  $U(p) = \{x : p(x) \leq 1\}$ is a convex circled set containing the origin as a core point. There is no loss in generality in assuming that the segment (-1, 0), (1, 0)is a diameter of U(p). This will mean that U(p) is contained in the closed unit disk with center at the origin. Let  $b_p(x_1) = \sup \{x_2 : (x_1, x_2) \in U(p)\}$ , the function giving the upper boundary of U(p). Then  $b_p$  is a concave function on [-1, 1] and  $b_p(+1) = 0$ . The lower boundary is given by  $b'_p(x_1) = -b_p(-x_1)$  since p(-x) = p(x). The next lemma gives a non-proportional decomposition of norms p such that the set U(p) is a parallelogram.

LEMMA 2. Let p be a norm on  $E^2$  such that  $b_p(a_1) = b_1 > 0$  for some  $a_1$ ,  $-1 \leq a_1 \leq 1$  and  $b(x_1)$  is linear on  $[-1, a_1]$  and on  $[a_1, 1]$ , then p is not an extremal element of C.

**Proof.** Let  $p_1((x_1, x_2)) = (1/b_1) | b_1x_1 - a_1x_1 |$  and let  $p_2((x_1, x_2)) = (1/b_1) | x_2 |$ . Then  $p_1$  and  $p_2 \in C$  since they are positive multiples of the absolute values of linear functionals. In order to see  $f = p_1 + p_2$  it is sufficient to show that  $p_1((x_1, b_p(x_1))) + p_2((x_1, b_p(x_1))) = 1$  for all  $x_1 \in [-1, 1]$ . This can be easily checked directly by substituting in the equations of the appropriate straight lines for  $b_p$ . Clearly  $p_1$  and  $p_2$  are not proportional to p.

The next lemma will give a non-proportional decomposition of a norm p such that the set U(p) is a six-sided polygon.

LEMMA 3. Let p be a norm on  $E^2$  such that  $b_p(a_i) = b_i > 0$ ,

i = 1, 2, where  $-1 < a_1 < a_2 < 1$  and  $b_p$  is linear on  $[-1, a_1]$ ,  $[a_1, a_2]$ and on  $[a_2, 1]$ , then p is not an extremal element of C.

*Proof.* Let  $p_i((x_1, x_2)) = \alpha_i | a_i x_2 - b_i x_1 |$ , i = 1, 2 and let  $p_3((x_1, x_2)) = \alpha_3 | x_2 |$  where

$$egin{aligned} &lpha_1=(b_2/\mathcal{A})\,(b_1-b_2+|\,b_2a_1-a_2b_1\,|),\ &lpha_2=(b_1/\mathcal{A})\,(b_2-b_1+|\,b_2a_1-a_2b_1\,|),\ &lpha_3=((|\,b_2a_1-a_2b_1\,|)/\mathcal{A})\,(b_1+b_2-|\,b_2a_1-a_2b_1\,|), \end{aligned}$$

and

$$\varDelta = 2b_1b_2 | b_2a_1 - a_2b_1 |.$$

Then  $p = p_1 + p_2 + p_3$  gives a non-proportional decomposition of p.

Although an extension of this method will not be used in the proof of Theorem 2 it is worth noting at this point that this method of decomposing p can be used on any norm p such that U(p) is a polygon. For a polygon with 2n + 2 sides then  $b_p(x)$  is a concaver polygonal function having vertices at  $\{(a_i, b_i)\}, i = 1, 2, \dots, n$  where  $b_i > 0$  and  $-1 < a_1 < a_2 < \dots < a_n < 1$ . In this case set.

$$p(x) = \sum_{i=1}^{n} \alpha_i |a_i x_2 - b_i x_1| + \alpha_{n+1} |x_2|.$$

By substituting each of the points  $(a_i, b_i)$ ,  $i = 1, 2, \dots, n$  and (1, 0)in this equation we have n + 1 linear equations in  $\alpha_1, \alpha_2, \dots, \alpha_{n+1}$ since  $p((a_i, b_i)) = p((1, 0)) = 1$  for all *i*. By solving for the  $\alpha_i$  and nothing that they are nonnegative we get the required decomposition of *p*. Notice that *p* is a finite sum of extremal elements of *C*.

For any norm p on  $E^2$  such that U(p) is not a polygon of less than six sides, that is p is a norm different from those considered in Lemmas 2 and 3, then there exist points of  $E^2$ ,  $x^{(1)} = (a_1, b_p(a_1))$ ,  $x^{(2)} = (a_2, b_p(a_2))$ ,  $-1 \leq a_1 < a_2 \leq 1$ ,  $a_2 - a_1 < 2$  such that  $b_p$  is not piecewise linear on  $[a_1, a_2]$  on three or fewer non-overlapping segments whose union is  $[a_1, a_2]$ . This means that p restricted to the line segment  $[x^{(1)}, x^{(2)}]$  is a strictly positive convex function that is not piecewise linear on three or fewer non-overlapping segments whose union is  $[x^{(1)}, x^{(2)}]$ .

Let  $C_{12}$  be the convex cone in  $E^2$  with vertex at the origin that is generated by  $[x^{(1)}, x^{(2)}]$  and let  $-C_{12}$  be the negatives of the vectors in  $C_{12}$ . Let U(p') be the closed convex hull of  $U(p)\setminus(C_{12}\cup(-C_{12}))$ . Let  $t_1$  and  $t_2$  be the tangent half-lines to U(p) at  $x^{(1)}$  and  $x^{(2)}$  respectively. These tangent half-lines are to be taken from the interior of  $C_{12}$ . Their intersection  $x^{(3)}$  will be a point in  $C_{12}$ . Let U(p'') be the closed convex circled set whose boundary  $U(p)\setminus(C_{12}\cup(-C_{12}))$  is the same as U(p) and whose boundary in  $C_{12}$  is  $[x^{(1)}, x^{(3)}] \cup [x^{(3)}, x^{(2)}]$ .

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Let p' and p'' be the semi-norms whose unit ball is U(p') and U(p'')respectively. Since  $U(p') \subset U(p) \subset U(p'')$  we have  $p'(x) \leq p(x) \leq p''(x)$ for all  $x \in E^2$ . Then if there exist semi-norms  $q_1$  and  $q_2$  on  $E^2$  such that  $p'(x) \leq q_i(x) \leq p''(x)$ , i = 1, 2 for all  $x \in E^2$  and such that on  $C_{12} \cup (-C_{12})$ ,

$$\alpha q_1(x) + (1 - \alpha)q_2(x) = p(x),$$

 $0 < \alpha < 1$ ,  $q_1$  (and hence  $q_2$ ) is not equal to p on  $C_{12} \cup (-C_{12})$ , then  $p_1 = \alpha q_1$  and  $p_2 = (1 - \alpha)q_2$  will be semi-norms on  $E^2$  such that  $p_1 + p_2 = p$  and  $p_i$ , i = 1, 2 is not proportional to p. Thus the problem reduces to showing the existence of these semi-norms  $q_1$  and  $q_2$ .

Notice that it must be that  $q_1(x) = q_2(x) = p(x)$  on  $E^2 \setminus$  $(C_{12} \cup (-C_{12}))$  and hence it remains to show that the definition of  $q_1$ and  $q_2$  can be satisfactorily extended as required above to all of  $E^2$ . If  $q_i$ , i = 1, 2, restricted to the closed line segment  $[x^{(1)}, x^{(2)}]$  is defined to be a convex function such that  $q_i \neq p$  restricted to this same segment but agreeing with p at  $x^{(1)}$  and  $x^{(2)}$  and  $q_i \ge p'$ restricted to this same segment then  $q_i$  can be extended to a seminorm on  $E^2$ . Consider the following: For  $x \in C_{12}$ ,  $x \neq 0$ , there is a  $\lambda > 0$  such that  $\lambda x$  belongs to  $[x^{(1)}, x^{(2)}]$ . Then take  $q_i(x) = (1/\lambda)q_i(\lambda x)$ . For  $x \in (-C_{12})$  take  $q_i(x) = q_i(-x)$  and take  $q_i(0) = 0$ . Now  $U(q_i)$  is a closed convex circled set since the central projection of a convex curve is convex. Hence  $q_i$  is a semi-norm. Notice  $U(p') \subset U(q_i) \subset U(p'')$ and thus  $p'(x) \leq q_i(x) \leq p''(x)$ , i = 1, 2 and  $x \in E^2$ . Notice also that the slopes of the half-tangents to  $q_i$ , i = 1, 2 restricted to  $[x^{(1)}, x^{(2)}]$ are finite even at the end-points. The possibility of defining  $q_i$ , i = 1, 2 on  $[x^{(1)}, x^{(2)}]$  as required above is assured by the following lemma.

LEMMA 4. Let f be a real convex function on [a, b] such that the right-hand derivative at  $a, f'_+(a)$  and the left-hand derivative at  $b, f'_-(b)$  are finite. Suppose further that f is not piecewise linear on three or fewer non-overlapping segments whose union is [a, b]. Then there exist real convex functions  $f_1$  and  $f_2$  on [a, b] that differ from f on [a, b], but have the same values and derivatives as f at the end-points and for some  $\alpha, 0 < \alpha < 1$ ,  $\alpha f_1(x) = (1 - \alpha)f_2(x) +$ f(x) for all  $x \in [a, b]$ 

**Proof.** Let  $h(x) = f'_+(a)(x-a) + f(a)$ . Then F = (1/m)(f-h), where m is the left-hand derivative of f-h at b, is a nonnegative convex function on [a, b] such that F(a) = 0,  $F'_+(a) = 0$ , and  $F'_-(b) = 1$ . The right-hand derivative of F,  $F'_+$  is a nondecreasing right continuous function on [a, b]. Let  $F'_+$  be defined at b by  $F'_+(b) = F'_-(b)$ . Since f is not piecewise linear on three or fewer non-overlapping segments whose union is [a, b] then the range of  $F'_+$  has at least four values, that is two besides 0 and 1. If there exist two non-decreasing right continuous functions  $F_i$ , i = 1, 2 on [a, b] such that  $F_i(a) = 0$ ,  $F_i(b) = 1$ ,  $F_i \neq F'_+$  on some subinterval of [a, b],

$$\alpha F_{1}(x) + (1 - \alpha)F_{2}(x) = F'_{+}(x),$$

 $0 < \alpha < 1$  on [a, b], and

$$\int_a^b F_i(x) dx = \int_a^b F'_+(x) dx$$

then the required functions  $f_i$  are given by

$$f_i(x) = h(x) + m \int_a^x F_i(t) dt,$$

i = 1, 2.

Consider first the case of  $F'_{+}$  having at least three discontinuities. Let  $F'_{+}$  have positive jump discontinuities of  $\theta_i$  at  $c_i$ , i = 1, 2, 3where  $a < c_1 < c_2 < c_3 < b$ . Take  $\theta = (1/2) \min(\theta_1, \theta_2, \theta_3)$ . Let

$$F_{\scriptscriptstyle 1}(x) = F'_{\scriptscriptstyle +}(x) - \sigma_{\scriptscriptstyle 1},$$

when  $c_1 \leq x < c_2$ ,

$$F_1(x) = F'_+(x) + \sigma_2,$$

when  $c_2 \leq x < c_3$ , and  $F_1(x) = F'_+(x)$  elsewhere; and let

$$F_2(x) = F'_+(x) + \sigma_1,$$

when  $c_1 \leq x < c_2$ ,

$$F_2(x) = F'_+(x) - \sigma_2,$$

when  $c_2 \leq x < c_3$ , and  $F_2(x) = F'_+(x)$  elsewhere. Take  $\sigma_i$ , i = 1, 2such that  $0 < \sigma_i < \theta$ ,  $\sigma_1(c_2 - c_1) = \sigma_2(c_3 - c_2)$ . It follows that  $F_1$  and  $F_2$  satisfy the above requirement for  $\alpha = (1/2)$ .

Now for the case where  $F'_{+}$  has less than three points of discontinuity it follows from the condition that  $F'_{+}$  has at least four range values that there exists a subinterval of [a, b] on which  $F'_{+}$  is continuous and non-constant. If now  $F_{1}$  and  $F_{2}$  can be defined on  $[a_{1}, b_{1}]$  as it was required that they be on [a, b] then  $F_{1}$  and  $F_{2}$ , can be extended to [a, b] by taking  $F_{1}(x) = F_{2}(x) = F'_{+}(x)$  for  $x \in [a, b] \setminus [a_{1}, b_{1}]$ . It will follow that  $F_{1}$  and  $F_{2}$  obtained in this manner satisfy the above requirements. Thus it is sufficient to show the existence of  $F_{1}$  and  $F_{2}$  where  $F'_{+}$  is continuous on [a, b]. Let us perform one further simplification. Let  $\bar{a} = \sup\{x: F'_+(x)=0\}$ and let  $\bar{b} = \inf\{x: F'_+(x) = 1\}$ . Then  $a \leq \bar{a} < \bar{b} \leq b$ . Since  $F_1$  and  $F_2$  are non-decreasing,  $F_i(a)=0$ , and  $F_i(b)=1$ , and since  $\alpha F_1+(1-\alpha)F_2=$  $F'_+$  it follows that  $F_i(x) = 0$  on  $[a, \bar{a}]$  and  $F_i(x) = 1$  on  $[\bar{b}, b]$ , i = 1, 2. Thus we may assume that  $0 < F'_+(x) < 1$  on the interior of the interval of definition. Take the interval  $[\bar{a}, \bar{b}]$  to be [0, 1] since there is no loss in generality in doing so.

The problem is now reduced to the following: Given F (instead of  $F'_+$  for simplicity) a continuous non-decreasing function on [0, 1] such that F(0) = 0, F(1) = 1 and 0 < F(x) < 1 for 0 < x < 1. Show that there exist two functions  $F_1$  and  $F_2$  that have the same properties as F but are not F (that is, they differ from F at one point) and such that for some  $\alpha$ ,  $0 < \alpha < 1$ ,  $\alpha F_1 + (1 - \alpha)F_2 = F$  and such that

$$\int_0^1 F_i \, dx = \int_0^1 F \, dx$$

i = 1, 2. Take  $\eta_1, \eta_2, \eta_3$  such that  $0 < \eta_1 < \eta_2 < \eta_3 < 1$  and let  $\xi_i$ , i = 1, 2, 3 be such that  $F(\xi_i) = \eta_i$ . Then let

$$F_1(x) = (\gamma_2/\gamma_1) \min (F(x), \gamma_1),$$

when  $0 \leq x \leq \xi_2$  and

$$F_1(x) = ((1 - \eta_2)/(1 - \eta_3))(\max{(F(x), \eta_3)} - \eta_3) + \eta_2,$$

when  $\xi_2 < x \leq 1$ . Let

$$F_2(x) = (\eta_2/(\eta_2 - \eta_1))(\max{(F(x), \eta_1)} - \eta_1),$$

when  $0 \leq x \leq \xi_2$  and

$$F_2(x) = ((1 - \eta_2)/(\eta_3 - \eta_2))(\min{(F(x), \eta_3)} - \eta_2) + \eta_2,$$

when  $\xi_2 < x \leq 1$ . Now  $F_1$  and  $F_2$  are continuous non-decreasing on [0, 1] such that  $F_i(0) = 0$ ,  $F_i(1) = 1$ , i = 1, 2 and  $F_i \neq F$ . Then

$$(\eta_1/\eta_2)F_1 + ((\eta_2 - \eta_1)/\eta_2)F_2 = F$$

on  $[0, \xi_2]$  and

$$((1 - \eta_3)/(1 - \eta_2))F_1 + ((\eta_3 - \eta_2)/(1 - \eta_2))F_2 = F_2$$

on  $(\xi_2, 1)$ . Take  $\eta_1 = (1/2)\eta_2$  and  $\eta_3 = (1/2)(1 + \eta_2)$ . Then it follows that  $f = (1/2)F_1 + (1/2)F_2$  on [0, 1], with  $\eta_2$  arbitrary. It remains only to be shown that  $\eta_2$  can be chosen such that

$$\int_0^1 F_i \, dx = \int_0^1 F \, dx,$$

i=1,2 but this is assured if there exists a  $\xi_2$ ,  $0<\xi_2<1$  such that

$$G(\xi_2) = \int_0^{\xi_2} (F_1 - F) \, dx = \int_{\xi_2}^1 (F - F_1) \, dx = H(\xi_2).$$

It can easily be checked that G(0) = H(1) = 0, G is a not identically zero non-decreasing continuous function on [0, 1) and H is a not identically zero non-increasing continuous function on (0, 1]. Hence there exists  $\xi_2$ ,  $0 < \xi_2 < 1$  such that  $G(\xi_2) = H(\xi_2)$ .

3. Remarks. The argument in  $E^2$  that shows that the norms in  $E^2$  are not extremal elements of C shows also that for L general and  $p \in C$  such that the co-dimension of N(p) = 2, then p is not an extremal element of C. Thus for L general any extremal element of C other than those mentioned in Theorem 1 must be such that the co-dimension of its null space is greater than or equal to two.

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