

Pacific Journal of Mathematics

BASES OF TENSOR PRODUCTS OF BANACH SPACES

BERNARD RUSSEL GELBAUM AND JESUS GIL DE LAMADRID

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1. Introduction. In this note we use the conventions and notations of Schatten [4] with the exception that we use B' to indicate the dual (conjugate) space of a Banach space B and $\langle x, x' \rangle$ as the action of an element x and a functional x' on each other. Schatten defines the tensor product $B_1 \otimes_{\alpha} B_2$ as the completion of the algebraic tensor product $B_1 \otimes B_2$ of two Banach spaces B_1 and B_2 , on which the cross norm α has been imposed. We discuss the proposition, "If B_1 and B_2 have Schauder bases, then $B_1 \otimes_{\alpha} B_2$ has a Schauder basis." We prove this for $\alpha = \gamma$ ($B_1 \otimes_{\gamma} B_2$ is the trace class of transformations of B_1' into B_2). We also prove it for $\alpha = \lambda$ ($B_1 \otimes_{\lambda} B_2$ is the class of all completely continuous linear transformations of B_1' into B_2) in the case in which the bases of B_1 and B_2 satisfy an "isometry condition". This condition is not very restrictive. We know of no instance in which it is not satisfied. Next we show that unconditional bases of B_1 and B_2 do not necessarily yield an unconditional basis for the tensor product, even in the nicest conceivable infinite dimensional case, that in which $B_1 = B_2 =$ Hilbert space, and the bases are orthonormal and identical.

We recall certain facts about Schauder bases, and set some general notation that we use throughout the paper. We usually work with a biorthogonal set $\Omega = \{x_i, x'_i\}_i$ associated with a Banach space B , so that $\chi = \{x_i\}_i$ is a basis for B with coefficients supplied by the corresponding sequence of functionals $\chi' = \{x'_i\}_i$. We will have to do with the closed linear manifold B° of B' generated by the elements of χ' . Since B and B° are in duality it is possible to embed B in $(B^{\circ})'$ by the same formula that effects the embedding of B in B'' . We denote by ${}_n P_m$ the projection of B defined by ${}_n P_m x = \sum_{i=n}^m \langle x, x'_i \rangle x_i$. The double sequence $\{{}_n P_m\}_{n,m}$ is uniformly bounded. We denote by T' the transpose of any transformation T . The following lemma, given without proof, is but a trivial strengthening of [2, p. 18, Theorem 1].

LEMMA 1. *Let E be a dense vector subspace of B , Ω a biorthogonal set of B such that $\chi \subset E$, the vector space spanned by χ is dense in E and the sequence $\{{}_n P_m\}_{n,m}$ is uniformly bounded on E . Then Ω defines a basis for B .*

2. The tensor product of two biorthogonal sets. Let $\Omega_1 = \{x_i, x'_i\}_i$ be a biorthogonal set of B_1 and $\Omega_2 = \{y_i, y'_i\}_i$ a biorthogonal set of B_2 .

Received November 15, 1960. This research was supported in part by NSF research grant No. NSF 14137 and in part by NSF research grant No. NSF 11048.

The elements $x'_i \otimes y'_j$ can be considered as belonging to $(B_1 \otimes_{\alpha} B_2)'$ for any cross norm α [4 p. 43], and $\{x_i \otimes y_j, x'_i \otimes y'_j\}_{i,j}$ is clearly a biorthogonal set. We enumerate it, not by the diagonal method, i.e., as in the usual proof that the rationals are denumerable, but as follows: In the table

$$\begin{array}{ccccccc}
 x_1 \otimes y_1 & x_1 \otimes y_2 & x_1 \otimes y_3 & \cdots \cdots & & & \\
 x_2 \otimes y_1 & x_2 \otimes y_2 & x_2 \otimes y_3 & \cdots \cdots & & & \\
 x_3 \otimes y_1 & x_3 \otimes y_2 & x_3 \otimes y_3 & \cdots \cdots & & & \\
 \cdots \cdots \cdots & \cdots \cdots \cdots & \cdots \cdots \cdots & \cdots \cdots \cdots & & &
 \end{array}$$

we simply order the elements by listing the entries on the two inner sides of each successive upper left hand block to obtain $x_1 \otimes y_1, x_1 \otimes y_2, x_2 \otimes y_2, x_2 \otimes y_1, x_1 \otimes y_3, x_2 \otimes y_3, x_3 \otimes y_3, x_3 \otimes y_2, x_3 \otimes y_1, \cdots, x_1 \otimes y_k, x_2 \otimes y_k \cdots x_k \otimes y_k, x_k \otimes y_{k-1}, \cdots, x_k \otimes y_2, x_k \otimes y_1, \cdots$. This double sequence with the given order is called the tensor product of $\chi_1 = \{x_i\}_i$ and $\chi_2 = \{y_j\}_j$ and is denoted by $\chi_1 \otimes \chi_2$. Similarly $\chi'_1 \otimes \chi'_2$ denotes the set $\{x'_i \otimes y'_j\}_{i,j}$ with the corresponding order. The biorthogonal set formed by $\chi_1 \otimes \chi_2$ and $\chi'_1 \otimes \chi'_2$ is called the tensor product of Ω_1 and Ω_2 and denoted by $\Omega_1 \otimes \Omega_2$.

THEOREM 1. *If Ω_1 defines a basis for B_1 and Ω_2 defines a basis for B_2 , then $\Omega_1 \otimes \Omega_2$ defines a basis for $B_1 \otimes_{\gamma} B_2$.*

Proof. We show that the vector space spanned by $\chi_1 \otimes \chi_2$ is dense in $B_1 \otimes B_2$. To see this let ${}_n P_m^i$ be the ${}_n P_m$ defined in §1 for Ω_i , and define

$$\begin{aligned}
 (1) \quad A_m &= x \otimes y - \sum_{k,j=1}^m \langle x, x'_k \rangle \langle y, y'_j \rangle x_k \otimes y_j = x \otimes y - [{}_1 P_m^1 x] \otimes [{}_1 P_m^2 y] \\
 &= x \otimes [y - {}_1 P_m^2 y] + [x - {}_1 P_m^1 x] \otimes {}_1 P_m^2 y .
 \end{aligned}$$

Then

$$(2) \quad \gamma(A_m) \leq \|x\| \|y - {}_1 P_m^2 y\| + \|x - {}_1 P_m^1 x\| \|{}_1 P_m^2 y\| .$$

The right hand side of (2) tends to zero with m^{-1} . This argument extends by linearity to sums of elements of the form $x \otimes y$.

Let now T_q be the ${}_1 P_q$ defined in §1 corresponding to $\Omega_1 \otimes \Omega_2$. It remains to show that $\{T_q\}_q$ is uniformly bounded. It is easy to show that each T_q has one of the following three forms: ${}_1 P_n^1 \otimes {}_1 P_n^2, {}_1 P_n^1 \otimes {}_1 P_n^2 + {}_{n+1} P_{n+1}^1 \otimes {}_1 P_m^2, {}_1 P_m^1 \otimes {}_{n+1} P_{n+1}^2$. Hence, it suffices to show that $\{{}_n P_m^1 \otimes {}_q P_r^2\}_{q,r,n,m}$ is uniformly bounded. Let M be a common bound for all ${}_n P_m^1$ and ${}_q P_r^2$. For $\Sigma x \otimes y \in B_1 \otimes B_2$

$$\begin{aligned}
 (3) \quad \gamma[{}_n P_m^1 \otimes {}_q P_r^2 (\Sigma x \otimes y)] &= \gamma[\Sigma ({}_n P_m^1 x) \otimes ({}_q P_r^2 y)] \\
 &\leq (\Sigma \|x\| \|y\|) M^2 .
 \end{aligned}$$

Since (3) holds for any representation $\Sigma x \otimes y$ of a given tensor product element, we may replace in it the sum $\Sigma \|x\| \|y\|$ by $\gamma(\Sigma x \otimes y)$, thereby proving our assertion. From Lemma 1, we can conclude that $\Omega_1 \otimes \Omega_2$ defines a basis for $B_1 \otimes_{\gamma} B_2$.

3. The space of completely continuous transformations. We recall that there is a canonical imbedding of B , with a biorthogonal set Ω defining a basis of B , into $(B^n)'$. The norm of the image of an element $x \in B$ is less than or equal to $\|x\|$. We say that Ω satisfies the condition of isometry if the imbedding is actually an isometry. For such an Ω , $(B^n)^n = B$, isometrically. We state first the following corollary of Theorem 1.

COROLLARY 1. *If Ω_k is a biorthogonal set defining a basis for $B_k, k = 1, 2$, then $\Omega_1 \otimes \Omega_2$ defines a basis for $B_1^{q_1} \otimes_{\lambda} B_2^{q_2}$.*

Proof. Each $x'_i \otimes y'_j$ is an element of $B_1^{q_1} \otimes B_2^{q_2}$ which, as a subset of $B'_1 \otimes_{\lambda} B'_2$, can be imbedded isometrically in $(B_1 \otimes_{\gamma} B_2)'$ [4, p. 47, Theorem 3.2]. What is more, the vector space spanned by $\{x'_i \otimes y'_j\}_{i,j}$ is dense, with respect to λ , in $B_1^{q_1} \otimes B_2^{q_2}$, hence in $B_1^{q_1} \otimes_{\lambda} B_2^{q_2}$. This is true because

$$(4) \quad \lambda[x' \otimes y' - (\sum_{i=1}^n \langle x_i, x' \rangle x'_i) \otimes (\sum_{i=1}^n \langle y_i, y' \rangle y'_i)] \leq \gamma[x' \otimes y' - (\sum_{i=1}^n \langle x_i, x' \rangle x'_i) \otimes (\sum_{i=1}^n \langle y_i, y' \rangle y'_i)]$$

and the latter quantity tends to 0. Hence $B_1^{q_1} \otimes_{\lambda} B_2^{q_2} = (B_1 \otimes_{\gamma} B_2)^{q_1 \otimes q_2}$. Our result is a consequence of this.

The next theorem follows easily from this corollary.

THEOREM 2. *If both Ω_1 and Ω_2 satisfy the condition of isometry $\Omega_1 \otimes \Omega_2$ defines a basis for $B_1 \otimes_{\lambda} B_2$.*

Proof. If in Corollary 1 we replace B_1 by $B_1^{q_1}$ and B_2 by $B_2^{q_2}$, we conclude that $\Omega_1 \otimes \Omega_2$ defines a basis for $(B_1^{q_1})^{q_1} \otimes_{\lambda} (B_2^{q_2})^{q_2}$. When the condition of isometry is satisfied the last tensor product can be identified with $B_1 \otimes_{\lambda} B_2$, owing to the relations $B_k = (B_k^{q_k})^{q_k}$ for $k = 1, 2$, and the universal character of λ , [4, p. 35, Lemma 2.12].

Theorem 2 can be considered as a sharpening of the well known fact that if B_1 and B_2 have bases, then every completely continuous linear transformation of B'_1 into B_2 can be uniformly approximated by finite dimensional linear transformations. Our theorem goes further to state that if Ω_1 and Ω_2 satisfy the condition of isometry, the space of all completely continuous linear transformations of B'_1 into B_2 has a

basis consisting of one-dimensional linear transformations.

The condition of isometry deserves some explanation. It is satisfied by a large class of bases, which includes every base for which

$$(5) \quad B^2 = B' \text{.}^{(1)}$$

The equation (5) holds always for reflexive spaces. It also holds for certain bases of non-reflexive spaces.

A non-reflexive example of (5) is exhibited in [2, p.188, Example 1], involving the usual basis of c_0 , $x_i = \{\delta_j^i\}_j$, with $x'_i = \{\delta_j^i\}_j \in l^1$. An example of the condition of isometry, in the absence (5), is obtained from this first example, by setting [2, p.188, Example 2] $y_1 = x_1$, and $y_i = x_i - x_{i-1} + \dots + (-1)^{i-1}x_1$, for $i > 1$, and $y'_i = x'_i + x'_{i+1}$. For $\Omega = \{y_i, y'_i\}_i$, $x'_i \in B' \setminus B^2$. Ω satisfies the condition of isometry for, if $x \in c_0$, then

$$\left\| \sum_{k=1}^n \langle x, y'_k \rangle y_k \right\| = \left\| \sum_{k=1}^n \langle x, x'_k \rangle x_k \right\| \leq \|x\|.$$

The conclusion is now a consequence of the following theorem and its corollary.

THEOREM 3. *If for every $x' \in B'$, $\|{}_1P'_n x'\| \rightarrow \|x'\|$, then Ω satisfies the condition of isometry.*

Proof. Let $x_0 \in B$ and $x'_0 \in B'$ such that $\|x'_0\| = 1$ and $\langle x_0, x'_0 \rangle = \|x_0\|$. Then

$$\lim_{n \rightarrow \infty} \frac{\langle x_0, {}_1P'_n x'_0 \rangle}{\|{}_1P'_n x'_0\|} = \|x_0\|, \quad \text{Q.E.D.}$$

COROLLARY 2. *If $\|{}_1P_n\| \leq 1$ for every n , then Ω satisfies the condition of isometry.*

Proof. We show the above hypothesis implies the hypothesis of Theorem 3. To see this, let $x'_0 \in B'$, and $\varepsilon > 0$. There is $x_0 \in B$ so that $\|x_0\| = 1$ and $\langle x_0, x'_0 \rangle > \|x_0\| - \varepsilon/2$ and an integer $N > 0$ so that

$$\begin{aligned} \|x'_0\| &\geq \|{}_1P'_n x'_0\| \geq \langle x_0, {}_1P'_n x'_0 \rangle = \langle {}_1P_n x_0, x'_0 \rangle > \langle x_0, x'_0 \rangle - \varepsilon/2 \\ &> \|x'_0\| - \varepsilon, \end{aligned} \quad \text{Q.E.D.}$$

As we have seen, the two biorthogonal sets described above for c_0 satisfy the hypothesis of Corollary 1.

An example of the isometry condition in which B' is not separable is furnished by Schauder's basis for $C([0, 1])$, given by the biorthogonal system $\Omega = \{x_i, x'_i\}_i$ described in [1, p. 69]. We consider $[0, 1]$ imbedded

¹ This equation may be described by saying that $\{x'_i\}_i$ is a *retrobasis* for B' , [2, p.188, Definition 1].

in B' and treat its points as functionals. The space B^a of this example contains the set D of all dyadic fractions. Consequently Ω satisfies the condition of isometry, since, for $f \in B$, $\|f\| = \sup_{a \in D} |f(d)|$.

We know of no biorthogonal set defining a basis which does not satisfy the condition of isometry. Neither do we know if $B_1 \otimes_a B_2$ has a basis for an arbitrary cross norm α , even if B_1 and B_2 have bases. It is clear that for any element of $B_1 \otimes B_2$, the formal expansion of Theorem 1 converges to that element with respect to α , since it does with respect to $\gamma \geq \alpha$. The difficulty lies in establishing that the set $\{ {}_p P_q^1 \otimes {}_r P_s^2 \}_{p,q,r,s}$ is uniformly bounded with respect to α .

4. Hilbert spaces and unconditional bases. The problem of approximation of compact operators by finite dimensional operators in a Banach space, can, after elaborate rearrangement, lead to the following question: Can there exist a matrix $C = (c_{ij})_{i,j=1}^\infty$ satisfying the following conditions:

- (a) For some $a_i \geq 0$, $\sum_{i=1}^\infty a_i^2 < \infty$, $|c_{ij}| \leq a_i a_j$;
- (b) $C^2 = 0$;
- (c) $\sum_{i=1}^\infty c_{ii} = 1$?

Of course, (b) and (c) are incompatible if C is in the trace class. Thus there arises the question: Does (a) imply that C is in the trace class? To this we can give a definite negative answer via the following theorems.

Theorem 4. Let $\Omega = \{x_i, x'_i\}$, $x_i = \{\delta_j^i\}_j$, $x'_i = \{\delta_j^i\}_j$ be the canonical orthonormal basis in l_2 . Then $\Omega \otimes \Omega$ defines an unconditional basis in $l_2 \otimes_\gamma l_2$ if and only if condition (a) implies C is in the trace class.

Proof. Let $\Omega \otimes \Omega$ define an unconditional basis for $l_2 \otimes_\gamma l_2$. Then we note that (a) may be rephrased by stating: $c_{ij} = \varepsilon_{ij} a_i a_j$, $|\varepsilon_{ij}| \leq 1$. Since $l_2 \otimes_\gamma l_2$ is precisely the trace class of operators [4] it follows that $\sum_{i,j=1}^\infty \varepsilon_{ij} a_i a_j (x_i \otimes x_j)$ exists in $l_2 \otimes_\gamma l_2$ and is therefore in the trace class.

On the other hand, if (a) implies that C is in the trace class, then for $a \otimes a$ in $l_2 \otimes_\gamma l_2$ ($a = (a_1, a_2, \dots)$), $a \otimes a = \sum_{i,j=1}^\infty a_i a_j (x_i \otimes x_j)$. If $B = (\varepsilon_{ij} a_i a_j)$ is in the trace class, then B has an expansion $\sum_{i,j=1}^\infty \varepsilon_{ij} a_i a_j (x_i \otimes x_j)$, which shows $\Omega \otimes \Omega$ defines an unconditional basis for $l_2 \otimes_\gamma l_2$.

THEOREM 5. $\Omega \otimes \Omega$ does not define an unconditional basis for $l_2 \otimes_\gamma l_2$.

Proof. Let $A_1 = (a_{ij})$ be a 2×2 matrix with $a_{11} = a_{12} = a_{22} = -a_{21} = 1$, and A_n the $2^n \times 2^n$ matrix (A_{ij}) $i, j = 1, 2$, with $A_{11} = A_{12} = A_{22} = -A_{21} = A_{n-1}$. Let B be the direct sum of the matrices $\{1/2^{n/2} A_n\}_n$. Then a direct computation reveals that B is unitary. Let $B = (b_{ij})$, and let

$C = (|b_{ij}|)$. If $\Omega \otimes \Omega$ were an unconditional basis for $l_2 \otimes_{\gamma} l_2$, then for B , regarded as a member of $(l_2 \otimes_{\gamma} l_2)'$ [4, p. 47, Theorem 3.2] and arbitrary $u \otimes v$ in $l_2 \otimes_{\gamma} l_2$, $\sum_{i,j=1}^{\infty} u_i v_j \langle x_i, Bx_j \rangle$ would converge unconditionally, i.e. $\sum_{i,j=1}^{\infty} u_i v_j |b_{ij}|$ would converge. In particular, let $u = v$, where u is given by the vector: $\sum_{n=1}^{\infty} (1/n)x_n$, $(\sqrt{2^n})x_n = \underbrace{(0, 0, \dots, 0,}_{2^{(2^n-1-1)}} \underbrace{1, 1, \dots, 1, 0, 0, \dots)}$. A simple verification shows that u exists in l_2 . On the other hand, more calculation shows $\sum_{i,j=1}^{\infty} |b_{ij}| u_i u_j = \infty$. The contradiction implies the theorem.

Theorem 5 remains valid when γ is replaced by λ , since $l_2 \otimes_{\gamma} l_2 = (l_2 \otimes_{\lambda} l_2)'$, and unconditionality of $\Omega \otimes \Omega$ in $l_2 \otimes_{\lambda} l_2$ implies the same in $l_2 \otimes_{\gamma} l_2$.

NOTE. We owe to the referee the remark that a space B with a biorthogonal set Ω which defines a basis for B can always be renormed, preserving the topology of B [1, Theorem 1, p. 67], in such a way that Ω satisfies the condition of isometry (section 3) with respect to the resulting norm of B and the corresponding norm of B' . This makes possible the following completely general form of Theorem 2.

THEOREM 2'. *If Ω_i defines a basis for B_i , for $i = 1, 2$, then $\Omega_1 \otimes \Omega_2$ defines a basis for $B_1 \otimes_{\lambda} B_2$.*

Proof. Renorm B_1 and B_2 as indicated above. Then, if λ' denotes the operator norm with respect to the new norms of B_1 and B_2 , $B_1 \otimes_{\lambda'} B_2$ has a basis defined by $\Omega_1 \otimes \Omega_2$ (Theorem 2). But $B_1 \otimes_{\lambda'} B_2 = B_1 \otimes_{\lambda} B_2$ both point-set-wise and topologically. Hence our conclusion.

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The *Pacific Journal of Mathematics* is published quarterly, in March, June, September, and December. The price per volume (4 numbers) is \$12.00; single issues, \$3.50. Back numbers are available. Special price to individual faculty members of supporting institutions and to individual members of the American Mathematical Society: \$4.00 per volume; single issues, \$1.25.

Subscriptions, orders for back numbers, and changes of address should be sent to Pacific Journal of Mathematics, 103 Highland Boulevard, Berkeley 8, California.

Printed at Kokusai Bunken Insatsusha (International Academic Printing Co., Ltd.), No. 6, 2-chome, Fujimi-cho, Chiyoda-ku, Tokyo, Japan.

PUBLISHED BY PACIFIC JOURNAL OF MATHEMATICS, A NON-PROFIT CORPORATION

The Supporting Institutions listed above contribute to the cost of publication of this Journal, but they are not owners or publishers and have no responsibility for its content or policies.

Reprinted 1966 in the United States of America

Pacific Journal of Mathematics

Vol. 11, No. 4

, 1961

A. V. Balakrishnan, <i>Prediction theory for Markoff processes</i>	1171
Dallas O. Banks, <i>Upper bounds for the eigenvalues of some vibrating systems</i>	1183
A. Białynicki-Birula, <i>On the field of rational functions of algebraic groups</i>	1205
Thomas Andrew Brown, <i>Simple paths on convex polyhedra</i>	1211
L. Carlitz, <i>Some congruences for the Bell polynomials</i>	1215
Paul Civin, <i>Extensions of homomorphisms</i>	1223
Paul Joseph Cohen and Milton Lees, <i>Asymptotic decay of solutions of differential inequalities</i>	1235
István Fáry, <i>Self-intersection of a sphere on a complex quadric</i>	1251
Walter Feit and John Griggs Thompson, <i>Groups which have a faithful representation of degree less than $(p - 1/2)$</i>	1257
William James Firey, <i>Mean cross-section measures of harmonic means of convex bodies</i>	1263
Avner Friedman, <i>The wave equation for differential forms</i>	1267
Bernard Russel Gelbaum and Jesus Gil De Lamadrid, <i>Bases of tensor products of Banach spaces</i>	1281
Ronald Kay Gettoor, <i>Infinitely divisible probabilities on the hyperbolic plane</i>	1287
Basil Gordon, <i>Sequences in groups with distinct partial products</i>	1309
Magnus R. Hestenes, <i>Relative self-adjoint operators in Hilbert space</i>	1315
Fu Cheng Hsiang, <i>On a theorem of Fejér</i>	1359
John McCormick Irwin and Elbert A. Walker, <i>On N-high subgroups of Abelian groups</i>	1363
John McCormick Irwin, <i>High subgroups of Abelian torsion groups</i>	1375
R. E. Johnson, <i>Quotient rings of rings with zero singular ideal</i>	1385
David G. Kendall and John Leonard Mott, <i>The asymptotic distribution of the time-to-escape for comets strongly bound to the solar system</i>	1393
Kurt Kreith, <i>The spectrum of singular self-adjoint elliptic operators</i>	1401
Lionello Lombardi, <i>The semicontinuity of the most general integral of the calculus of variations in non-parametric form</i>	1407
Albert W. Marshall and Ingram Olkin, <i>Game theoretic proof that Chebyshev inequalities are sharp</i>	1421
Wallace Smith Martindale, III, <i>Primitive algebras with involution</i>	1431
William H. Mills, <i>Decomposition of holomorphs</i>	1443
James Donald Monk, <i>On the representation theory for cylindric algebras</i>	1447
Shu-Teh Chen Moy, <i>A note on generalizations of Shannon-McMillan theorem</i>	1459
Donald Earl Myers, <i>An imbedding space for Schwartz distributions</i>	1467
John R. Myhill, <i>Category methods in recursion theory</i>	1479
Paul Adrian Nickel, <i>On extremal properties for annular radial and circular slit mappings of bordered Riemann surfaces</i>	1487
Edward Scott O'Keefe, <i>Primal clusters of two-element algebras</i>	1505
Nelson Onuchic, <i>Applications of the topological method of Ważewski to certain problems of asymptotic behavior in ordinary differential equations</i>	1511
Peter Perkins, <i>A theorem on regular matrices</i>	1529
Clinton M. Petty, <i>Centroid surfaces</i>	1535
Charles Andrew Swanson, <i>Asymptotic estimates for limit circle problems</i>	1549
Robert James Thompson, <i>On essential absolute continuity</i>	1561
Harold H. Johnson, <i>Correction to "Terminating prolongation procedures"</i>	1571