

Pacific Journal of Mathematics

A NON-COMPACT KREIN-MILMAN THEOREM

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This paper describes a class of closed bounded convex sets which are the closed convex hulls of their extreme points. It includes all compact ones and those with the positive binary intersection property.

Let K be a closed bounded convex subset of a Hausdorff locally convex linear topological space F . Denote by EK the extreme points of K , by $\text{co } EK$ their convex hull and let $\overline{\text{co } EK}$ be its closure. We are interested in showing when

$$K = \overline{\text{co } EK}.$$

The principal known results are the following:

THEOREM 1.1. *If either*

(a) K is compact;

or (b) K has the positive binary intersection

property;

then

$$K = \overline{\text{co } EK}.$$

Case (a) is the Krein-Milman Theorem [3, p. 131]. Case (b) was proved by Nachbin in [6], and he poses in [5, p. 346] the problem of obtaining a theorem of which both (a) and (b) are specializations. This is answered by Theorem 4.2. For the whole of this paper, S is a Stonean (extremally disconnected compact Hausdorff) space.¹

A simplified version of Theorem 4.2 reads as follows:

THEOREM 1.2. *Let X be a normed linear space. Then any norm-closed ball in the space $\mathfrak{B}(X, C(S))$ of continuous linear operators from X to $C(S)$ is the closure of the convex hull of its extreme points in the strong neighborhood topology.*

The result concerning the unit ball of a dual Banach space in its weak*-topology and that concerning the unit ball in $C(S)$ in its norm topology are special cases of Theorem 1.2.

A sublinear function P from a vector space X to a partially ordered space V satisfies

$$P(x + y) \leq P(x) + P(y)$$

and

¹ Theorem 2.3 and its proof are valid when S is zero-dimensional.

$$P(tx) = tP(x)$$

for all x, y in X and $t \geq 0$.

A linear operator T from X to V is *dominated by P* if $Tx \leq Px$ for all x in X . The set of all linear operators from X to V dominated by P will be written $L(P)$.

2. Let P be a sublinear function into $C(S)$, where S is Stonean. We obtain a compact approximation to $L(P)$ by considering a finite partition $\mathcal{Z} = \{U_1, \dots, U_M\}$ of S into disjoint open-and-closed sets. Let $C(S_{\mathcal{Z}})$ denote the set of all function in $C(S)$ whose restrictions $f|U_k$ are constant. The constant values will be written as $f(U_k)$.

LEMMA 2.1. *Let P be a sublinear function from a vector space X to $C(S_{\mathcal{Z}})$ and let $L(P_{\mathcal{Z}})$ be the set of all linear operators from X to $C(S_{\mathcal{Z}})$ dominated by P . Then*

$$EL(P_{\mathcal{Z}}) \subseteq EL(P) .$$

Proof. Suppose $T \in EL(P_{\mathcal{Z}})$. For $k = 1, \dots, M$ let t_k be chosen arbitrarily in U_k . If $G, H \in L(P)$ and $T = 1/2(G+H)$ define $G', H' \in L(P_{\mathcal{Z}})$ by

$$G'x = \sum_{k=1}^M (Gx)(t_k) \chi_k \qquad H'x = \sum_{k=1}^M Hx(t_k) \chi_k$$

where χ_k is the characteristic function of U_k . Since $1/2(G' + H') = T$ and $T \in EL(P_{\mathcal{Z}})$, we have $G' = H' = T$. Hence, for each $x \in X$ and $k = 1, \dots, M$,

$$G'x(U_k) = H'x(U_k) = Tx(U_k)$$

so that

$$Gx(t_k) = Hx(t_k) = Tx(t_k) .$$

Since t_k was chosen arbitrarily in U_k , $G = H = T$. Hence $T \in EL(P)$.

DEFINITION 2.2. Let X and E be linear topological spaces and let $\mathfrak{B}(X, E)$ be the space of all continuous linear operators from X to E . The *strong neighborhood topology* for $\mathfrak{B}(X, E)$ is the topology with a base given by sets of the form

$$N(T; x_1, \dots, x_n; U) = \{S \in \mathfrak{B}(X, E) : (T-S)x_i \in U, i = 1, \dots, n\}$$

where $x_1, \dots, x_n \in X$ and U is a neighborhood of 0 in E .

If E is normed, then we write

$N(T; x_1, \dots, x_n; \varepsilon)$ for $N(T; x_1, \dots, x_n; U)$ when U is the open ε -ball about 0.

THEOREM 2.3. *Let \mathscr{U} be a finite partition of S into nonempty open-and-closed subsets. Let P be a sublinear function from a linear space X into $C(S_{\mathscr{U}})$. Then $L(P) = \overline{\text{co}} EL(P)$, with the closure in the strong neighborhood topology of $\mathfrak{B}(X, C(S))$.*

Proof. Let \mathscr{U} be any finite partition of S into nonempty open-and-closed sets. From Lemma 2.1, $\overline{\text{co}} EL(P) \cong \overline{\text{co}} EL(P_{\mathscr{U}})$. Now $L(P_{\mathscr{U}})$ can be linearly identified with a certain compact convex subset of a finite product $X^* \times \dots \times X^*$, where X^* is the algebraic dual of X with the topology $w(X^*, X)$. Hence, from the Krein-Milman Theorem, $\overline{\text{co}} EL(P_{\mathscr{U}}) = L(P_{\mathscr{U}})$.

Let $T \in L(P)$ and let $N(T; x_1, \dots, x_n; \varepsilon)$ be a strong neighborhood of T . The functions $\{Tx_i: i = 1, \dots, n\}$ are continuous so for each fixed i there is a finite covering

$$\mathscr{V}^{(i)} = \{V_1^i, \dots, V_{N_i}^i\}$$

of S by open sets such that

$$\text{Var}(Tx_i, V_k^i) < \varepsilon$$

for all k .

Since S is zero-dimensional, there is a finite partition

$$\mathscr{U} = \{U_1, \dots, U_M\}$$

of S into nonempty open-and-closed sets that simultaneously refines $\mathscr{V}^{(1)}, \dots, \mathscr{V}^{(n)}$. By taking a further refinement if necessary, \mathscr{U} may also be assumed to be a refinement of \mathscr{W} and then the functions $P(x)$ are constant on each of the sets U_k .

For each $k = 1, \dots, M$ define a sublinear functional q_k on X by $q_k(x) = \sup \{Tx(t): t \in U_k\}$. From the Hahn-Banach Theorem, there exists a linear functional ϕ_k on X dominated by q_k . Define $T_1: X \rightarrow C(S_{\mathscr{U}})$ by

$$T_1x = \sum_{k=1}^M \phi_k(x) \chi_{U_k}.$$

Then $T_1 \in L(P_{\mathscr{U}})$ and, for $i = 1, \dots, n$,

$$\|(T_1 - T)x_i\| \leq \sup_R \text{Var}(Tx_i, U_k) < \varepsilon.$$

DEDUCTION of THEOREM 1.2. With X and S as in the statement of the theorem, let \mathfrak{B}_1 be the closed unit ball in $\mathfrak{B}(X, C(S))$.

The set \mathfrak{B}_1 is $L(P)$, where P is the sublinear function $P(x) = \|x\| e$, e being the unit function in $C(S)$. By Theorem 2.3 $\mathfrak{B}_1 = \text{co } E\mathfrak{B}_1$ and the result for any closed ball then follows by a scalar multiplication and translation.

3. Nachbin's problem. Let K be a closed bounded convex subset of a linear topological space E . Recall that K has the *positive binary intersection property* if every pairwise-intersecting subfamily of

$$\{x + \lambda K : x \in E, \lambda \geq 0\}$$

has nonempty intersection.

If K is bounded and has the above property, it may be shown to be centrally symmetric with a unique centre c , and to have the *binary intersection property* where the restriction $\lambda \geq 0$ is removed. This is proved in [6].

Results in [4] and [2] then show that the set $K_0 = K - c$ generates a subspace of E which is a hyperconvex normed space and isomorphic to $C(S)$, with S Stonean.

THEOREM 3.1. *Let E be a locally convex Hausdorff linear topological space containing a closed bounded convex subset K with the positive binary intersection property. Let p be a continuous sublinear functional on a locally convex Hausdorff linear topological space X .*

If L is the set of linear maps $T: X \rightarrow E$ such that for all x in X

$$Tx \in \frac{1}{2} [p(x) - p(-x)] e + \frac{1}{2} [p(x) + p(-x)] K_0$$

where e is any extreme point of K_0 , then $L = \overline{\text{co}} L$, with the closure taken in $\mathfrak{B}(X, E)$ with the strong neighborhood topology.

Proof. Because p is continuous the set $L(P)$ is closed in the space $\mathfrak{B}(X, E)$ in the strong neighborhood topology. Since K is centrally symmetric, K_0 has the binary intersection property and is linearly isomorphic to the unit ball in a space $C(S)$ with S Stonean. The isomorphism may be chosen as in [4] so that e is mapped onto the unit function of $C(S)$. Using e to denote also this unit function, we may define a sublinear function $P(x) = p(x) e$ from X to $C(S)$, which is the situation of Theorem 3.1. with $\mathscr{W} = \{S\}$.

Given $T \in L(P)$, $x_1, \dots, x_n \in X$ and $\varepsilon > 0$ there exists $A \in \text{co } EL(P)$ with

$$(T - A)x_i \in \varepsilon K_0 \quad (i = 1, \dots, n).$$

Given a neighborhood U of 0 in E , there exists $r > 0$ with $K_0 \subseteq rU$, since K is bounded. So choosing $\varepsilon = r^{-1}$ there exists $A \in \text{co } EL(P)$ with

$$(T - A)x_i \in r^{-1}K_0 \subseteq U \quad (i = 1, \dots, n),$$

which completes the proof.

DEDUCTION OF THEOREM 1.1. (a) Let p_K be the sublinear functional defined on F^* by

$$p_K(f) = \sup \{f(k) : k \in K\}.$$

Then, from the bipolar theorem,

$$L = \{g \in F^{**} : g(f) \leq p_K(f) \text{ for all } f \in F^*\}$$

is identical with the canonical image \hat{K} of K under the evaluation map. Now apply Theorem 3.1 with $E = \mathbf{R}$, $K = [-1, 1]$, $e = 1$ and $X = F^*$, taken with the topology of uniform convergence on compact subsets of F . This shows that \hat{K} is the closure of $\text{co } E\hat{K}$ in the topology $w(F^{**}, F^*)$, which is equivalent to K being the $w(F, F^*)$ and hence the strong closure of $\text{co } EK$ in F .

(b) Apply Theorem 3.1 with $X = \mathbf{R}$ and $E = F$. Then, under the natural isomorphism of $\mathfrak{B}(X, E)$ and E , K_0 corresponds to L , which satisfies $L = \overline{\text{co } EL}$. Since E is a linear topological space we have

$$K = \overline{\text{co } EK}.$$

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Received August 11, 1969.

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The *Pacific Journal of Mathematics* is published monthly. Effective with Volume 16 the price per volume (3 numbers) is \$8.00; single issues, \$3.00. Special price for current issues to individual faculty members of supporting institutions and to individual members of the American Mathematical Society: \$4.00 per volume; single issues \$1.50. Back numbers are available.

Subscriptions, orders for back numbers, and changes of address should be sent to Pacific Journal of Mathematics, 103 Highland Boulevard, Berkeley, California, 94708.

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

Printed at Kokusai Bunken Insatsusha (International Academic Printing Co., Ltd.), 7-17, Fujimi 2-chome, Chiyoda-ku, Tokyo, Japan.

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