A SUBSEQUENCE CHARACTERIZATION OF SEQUENCES SPANNING ISOMORPHICALLY POLYHEDRAL BANACH SPACES

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Abstract: Let (x_n) be a sequence in a Banach space X which does not converge in norm, and let E be an isomorphically precisely norming set for X such that

$$\sum_n |x^*(x_{n+1} - x_n)| < \infty, \ \forall x^* \in E. \qquad (*)$$

Then there exists a subsequence of (x_n) which spans an isomorphically polyhedral Banach space. It follows immediately from results of V. Fonf that the converse is also true: If Y is a separable isomorphically polyhedral Banach space then there exists a normalized M-basis (x_n) which spans Y and there exists an isomorphically precisely norming set E for Y such that $(*)$ is satisfied. As an application of this subsequence characterization of sequences spanning isomorphically polyhedral Banach spaces we obtain a strengthening of a result of J. Elton, and an Orlicz-Pettis type result.

Acknowledgments: I would like to thank Professor H. Rosenthal for suggesting this project to me and for his help. Also, I would like to thank Professors N. J. Kalton and G. Godefroy for their comments, and Professor V. Fonf for the simplifications that he suggested.

1. Introduction

In 1958 C. Bessaga and A. Pelczynski proved the following

Theorem 1.1 ([BP]). *If (x_n) is a non-weakly convergent sequence in a Banach space X such that*

$$\sup_{x^* \in Ba(X^*)} \sum_n |x^*(x_{n+1} - x_n)| < \infty \qquad (1)$$

then there exists a subsequence of (x_n) which is equivalent to the summing basis (s_n) of c_0.

Recall that the summing basis (s_n) of c_0 is defined by $s_n = e_1 + \ldots + e_n$, $\forall n \in \mathbf{N}$, where (e_n) denotes the unit vector basis of c_0. In 1981 J. Elton was able to eliminate the assumption "non-weakly convergent" and relax the condition (1) and still obtain that c_0 embeds in the closed linear span $[x_n]$ of (x_n). The result of J. Elton can be stated as follows:

Date: May 27, 1996.
1991 *Mathematics Subject Classification.* 46B.

Theorem 1.2 ([E2]). *If (x_n) is a semi-normalized basic sequence in a Banach space X such that*

$$\sum |x^*(x_n)| < \infty, \ \forall x^* \in \operatorname{ext} Ba(X^*) \tag{2}$$

(where $\operatorname{ext} Ba(X^*)$ *denotes the set of the extreme points of the dual ball) then c_0 embeds in* $[x_n]$.

In order to prove this result, J. Elton first showed that there exists a polyhedral Banach space which embeds in $[x_n]$ (for the definition, examples and properties of the polyhedral Banach spaces see the next section). Then the result of Theorem 1.2 follows from the following theorem of V. Fonf:

Theorem 1.3 ([F3]). *Every polyhedral Banach space X contains an isomorph of c_0, and if in addition X is separable, then X^* is separable.*

We prove a stronger result than Theorem 1.2 by eliminating the condition of having a basic sequence, by replacing the set of the extreme points in condition (2) by any isomorphically precisely norming set, and finally by obtaining the precise way that a polyhedral Banach space embeds in $[x_n]$. Our main result can be stated as follows:

Theorem 1.4. *If (x_n) is a sequence in a Banach space X which does not converge in norm, and E is an isomorphically precisely norming set for X such that*

$$\sum_n |x^*(x_{n+1} - x_n)| < \infty, \ \forall x^* \in E \tag{3}$$

then there exists a subsequence of (x_n) which spans an isomorphically polyhedral Banach space.
Conversely, if Y is a separable isomorphically polyhedral Banach space then there exists an M-basis (x_n) in Y, $\|x_n\| = 1$ for all n, and an isomorphically precisely norming set E for Y such that $[x_n] = Y$ and (3) holds.

We recall the following terminology:

Definition 1.5. *Let $(X, \|\cdot\|)$ be a Banach space.*

1. *A set $E \subset X^*$ is called isomorphically precisely norming for $(X, \|\cdot\|)$, (the terminology is due to H. Rosenthal* [R]*), if there exists $C \geq 1$ such that*
   (a) $E \subseteq C \cdot Ba(X^*)$,
   (b) $\frac{1}{C}\|x\| \leq \sup_{e\in E} |e(x)|, \ \forall x \in X$, *and*
   (c) $\forall x \in X \ \exists e_0 \in E \ |e_0(x)| = \sup_{e \in E} |e(x)|$.
   If E satisfies (a), (b), and (c) for $C = 1$ then E is called precisely norming (or boundary) for $(X, \|\cdot\|)$.
2. *A sequence of vectors (v_i) in X is called to be a "complete minimal system in X with dual system (v_i^*)" if*
   (a) *the finite linear combinations of $\{v_i\}_{i\in\mathbf{N}}$ are dense in X, and*
   (b) $v_i^*(v_j) = \delta_{ij}$ *for all $i, j \in \mathbf{N}$.*

An M-basis for the Banach space X is a complete minimal system $(v_i)_{i\in\mathbf{N}}$ for X with dual system $(v_i^*)_{i\in\mathbf{N}}$ such that whenever $v_i^*(x)=0$ for all $i\in\mathbf{N}$ we have that $x=0$.

Recall that the set of the norm achieving extreme points of the dual ball of a Banach space X is defined as follows:

$$\operatorname{next} Ba(X^*) = \{x^* \in \operatorname{ext} Ba(X^*) : \exists x \in Ba(X)\ |x^*(x)| = 1\}.$$

The set $\operatorname{next} Ba(X^*)$ is an example of a precisely norming set for X.

Theorem 1.4 is a strengthening of the following remark which can be easily derived from a result of V. Fonf [F4].

Remark 1.6. *Under the same hypotheses of Theorem 1.4 there exist a sequence $(\varepsilon_n) \in \{\pm 1\}^{\mathbf{N}}$ and an increasing sequence of positive integers (ℓ_k) such that $[(\sum_{i=1}^{\ell_k} \varepsilon_i (x_i - x_{i-1}))_k]$ is an i.p. space.*

We sketch the proof of Remark 1.6 at the end of Section 3.

The last section is devoted to applications of Theorem 1.4. One application is given in $C(K)$ spaces. If K is a compact metric space then $DSC(K)$ denotes the class of bounded differences of semi-continuous functions on K (the definition appears in section 4). An immediate corollary of Theorem 1.4 is the following:

Theorem 1.7. *Let $f \in DSC(K)\setminus C(K)$ be given, where K is a compact metric space. Then f strictly governs the class of (separable) polyhedral Banach spaces.*

This theorem was the main motivating result for this research. The definitions of the terms “strictly governs” and “governs” appear in section 4. This generalizes the following theorem of J. Elton which was also proved by R.Haydon, E. Odell and H. Rosenthal:

Theorem 1.8 ([E2], [HOR])**.** *Let $f \in DSC(K)\setminus C(K)$ be given, where K is a compact metric space. Then f governs $\{c_0\}$.*

Another application is the following Orlicz-Pettis type result:

Theorem 1.9. *Let (y_n) be a sequence in a Banach space X and let E be an isomorphically precisely norming set for X. If c_0 does not embed isomorphically in the closed linear span $[y_n]$ of (y_n) and*

$$\sum_n |x^*(y_n)| < \infty,\ \forall x^* \in E,$$

then $\sum_n y_n$ converges unconditionally.

2. Isomorphically polyhedral Banach spaces

Polyhedral Banach spaces were introduced by V. Klee [K]. An infinite dimensional Banach space is called *polyhedral* if the ball of any of its finite dimensional subspaces is a polyhedron, i.e. it has finitely many extreme points. c_0 is an example of a polyhedral Banach space. A Banach space will be called *isomorphically polyhedral* (i.p. in short) if it is polyhedral under some equivalent norm. We are interested in isomorphic theory and therefore in i.p. Banach spaces. Examples of i.p. Banach spaces are: c (the space of convergent sequences), the ℓ_1 preduals [F4], the spaces $C(\alpha)$ for any ordinal α [F2], c_0-sum of separable i.p. spaces (easy to prove using Theorem 2.1), finite dimensional extensions of i.p. spaces (easy to prove), the Orlicz sequence space h_M where M is a non-degenerate Orlicz function satisfying $\lim_{t\to 0} M(Kt)/M(t) = \infty$ for some $K > 1$ [L]. The following characterization of the separable i.p. Banach spaces was proved by V. Fonf: (note that if $(X, \|\cdot\|)$ is a Banach space, $|\cdot|$ is an equivalent norm and $C \geq 1$ then we say that these norms are C *equivalent* if $C^{-1}\|x\| \leq |x| \leq C\|x\|$ for all $x \in X$)

Theorem 2.1 ([F3], [F4], [F5])**.** *Let $(X, \|\cdot\|)$ be a separable Banach space. TFAE*

1. *For every $\varepsilon > 0$ there exists a $1+\varepsilon$ equivalent norm $|\cdot|$ on X such that $(X, |\cdot|)$ is polyhedral.*
2. *For every $\varepsilon > 0$ there exists a $1+\varepsilon$ equivalent norm $|\!|\!|\cdot|\!|\!|$ on X such that the set* next $Ba(X, |\!|\!|\cdot|\!|\!|)^*$ *is countable.*

The next two lemmata give sufficient conditions for a Banach space to be an i.p. space. We start with some notation: If X is a Banach space and K is a subset of the unit dual ball then the space $[X, \|\cdot\|_K]$ is the completion of the space X in the norm

$$\|x\|_K = \sup\{|f(x)| : f \in K\}$$

for all $x \in X$. Note that if X is separable then $\mathrm{w}^*\!-\mathrm{cl}\,(K)$ is a compact metric space in the weak* topology and $[X, \|\cdot\|_K]$ is isometric to a subspace of $C(\mathrm{w}^*\!-\mathrm{cl}\,(K))$ hence it is separable.

Lemma 2.2. *Let X be a separable Banach space having a boundary K with $K = \cup_{i=1}^{\infty} K_i$, such that for all i we have $K_i \subset K_{i+1}$ and $X_i = [X, \|\cdot\|_{K_i}]$ is an i.p. space. Then X is an i.p. space.*

Proof Take a decreasing sequence of positive numbers $(\varepsilon_i)_{i\in\mathbf{N}}$, and using the main result of [DFH] (Theorem 1 and Proposition 1-2) find an approximating polytope V_i for the unit ball $\mathrm{Ba}\,(X_i)$ of X_i such that

$$V_i \subset \mathrm{Ba}\,(X_i) \subset (1+\varepsilon_i)V_i$$

and V_i is a closed absolutely convex body i.e there is a $(1+\varepsilon_i)$ equivalent norm $\|\cdot\|_{V_i}$ whose unit ball is the set V_i. Moreover, the unit dual ball V_i^* has a countable boundary $\{h_j^i\}_{j=1}^{\infty}$ with the property that every weak*-approximation point of $\{h_j^i\}_{j=1}^{\infty}$ does not attain its supremum on V_i, where the set of weak*-approximation points of a set A is defined as the set of points of the weak* closure of A which don't belong to A:

$$\mathrm{w}^*\!-\!\mathrm{ap}\,(A) = \mathrm{w}^*\!-\!\mathrm{cl}\,(A) \setminus A.$$

It is clear that for all $i \in \mathbf{N}$,

$$V_i^* \supset \mathrm{Ba}\,(X_i^*) \supset \frac{1}{1+\varepsilon_i} V_i^*.$$

For $i \in \mathbf{N}$ consider the natural restriction map

$$T_i : X \to X_i$$

and note that

$$T_i^*(\mathrm{Ba}\,(X_i^*)) \supset K_i.$$

Now put

$$W^* = \mathrm{w}^*\!-\!\mathrm{cl}\,\mathrm{co}\,\{(1+\varepsilon_i) T_i^*(h_j^i) : i, j \in \mathbf{N}\}$$

and for $x \in X$ define

$$|||x||| = \sup\{|f(x)| : f \in W^*\}.$$

We first show that $|||\cdot|||$ is an equivalent norm on X.

Indeed, for every $x \in X$ there exists $x^* \in K$ such that

$$\|x\| = |x^*(x)|.$$

There exists $i \in \mathbf{N}$ and $y^* \in \mathrm{Ba}\,(X_i^*)$ such that $x^* = T_i^* y^*$. Thus

$$\|x\| = |y^*(T_i x)|.$$

Since $y^* \in V_i^*$ and $\{h_j^i\}_{j=1}^{\infty}$ is a boundary for V_i^*, there exists $j \in \mathbf{N}$ with

$$|y_i^*(T_i x)| \le |h_j^i(T_i x)| < (1+\varepsilon_i)|(T_i^* h_j^i)(x)| \le |||x|||.$$

Also, since

$$T_i^*(h_j^i) \subset (1+\varepsilon_i) T_i^*(\mathrm{Ba}\, X_i^*) \subset (1+\varepsilon_i)\mathrm{Ba}\,(X^*)$$

we have that

$$|||x||| \le (1+\varepsilon_1)^2 \|x\|$$

which proves the equivalence of the norms.

We now claim that for every $x \in X \setminus \{0\}$

$$\sup\{|T_i^*(h_j^i)(x)| : i, j \in \mathbf{N}\} < \sup\{(1+\varepsilon_\mathrm{i})|\mathrm{T}_\mathrm{i}^*(\mathrm{h}_\mathrm{j}^\mathrm{i})(\mathrm{x})| : \mathrm{i}, \mathrm{j} \in \mathbf{N}\}. \tag{4}$$

Indeed, let $x \in X \setminus \{0\}$. Let $x^* \in K$ such that

$$\|x\| = |x^*(x)|$$

and let $i_0 \in \mathbf{N}$ with $x^* \in K_{i_0}$. Note that

$$\begin{aligned}
\sup\{|T_i^*(h_j^i)(x)| : i > i_0, j \in \mathbf{N}\} &\leq \sup\{(1+\varepsilon_i)|(T_i^* y^*)(x)| : i > i_0, y^* \in \mathrm{Ba}\,(X_i^*)\} \\
&\leq (1+\varepsilon_{i_0+1}) \sup\{|(T_i^* y^*)(x)| : i > i_0, y^* \in \mathrm{Ba}\,(X_i^*)\} \\
&\leq (1+\varepsilon_{i_0+1}) \sup\{|y^*(x)| : y^* \in \mathrm{Ba}\,(X^*)\} \\
&= (1+\varepsilon_{i_0+1}) \|x\| \\
&= (1+\varepsilon_{i_0+1}) \sup\{|y^*(x)| : y^* \in K_{i_0}\} \\
&= (1+\varepsilon_{i_0+1}) \|T_{i_0} x\|_{K_{i_0}} \\
&\leq (1+\varepsilon_{i_0+1}) \sup\{|y^*(T_{i_0} x)| : y^* \in V_{i_0}^*\} \\
&= (1+\varepsilon_{i_0+1}) \sup\{|h_j^{i_0}(T_{i_0} x)| : j \in \mathbf{N}\} \\
&< \sup\{(1+\varepsilon_{i_0})|(T_{i_0}^* h_j^{i_0})(x)| : j \in \mathbf{N}\} \\
&\leq \sup\{(1+\varepsilon_i)|T_i^*(h_j^i)(x)| : i, j \in \mathbf{N}\}.
\end{aligned}$$

Also for every $i \in \mathbf{N}$ there exists $i' \in \mathbf{N}$ such that

$$\sup\{|h_j^i(T_i x)| : j \in \mathbf{N}\} = |\mathrm{h}^{\mathrm{i}}_{\mathrm{i}'}(\mathrm{T_i x})|.$$

Thus

$$\begin{aligned}
\sup\{|(T_i^* h_j^i)(x)| : i \leq i_0, j \in \mathbf{N}\} &= \max\{|(T_i^* h_{i'}^i)(x)| : i \leq i_0\} \\
&< \max\{(1+\varepsilon_i)|(T_i^* h_{i'}^i)(x)| : i \leq i_0\} \\
&\leq \sup\{(1+\varepsilon_i)|T_i^*(h_j^i)(x)| : i, j \in \mathbf{N}\}
\end{aligned}$$

which finishes the proof of (4).

Obviously,

$$\mathrm{ext}\,\mathrm{Ba}\,(X, \|\!|\cdot|\!\|)^* \subset \mathrm{w}^*\!-\!\mathrm{cl}\,\{(1+e_i)T_i^* h_j^i : i, j \in \mathbf{N}\}.$$

We claim that

$$\mathrm{next}\,\mathrm{Ba}\,(X, \|\!|\cdot|\!\|)^* = \{(1+\varepsilon_i)T_i^* h_j^i : i, j \in \mathbf{N}\} \tag{5}$$

which will finish the proof of the Lemma by Theorem 2.1. In order to prove (5) it is enough to show that every

$$x^* \in \mathrm{w}^*\!-\!\mathrm{ap}\,\{(1+e_i)T_i^* h_j^i : i, j \in \mathbf{N}\}$$

does not achieve its supremum on $\mathrm{Ba}\,(X, \|\!|\cdot|\!\|)$. Indeed for such x^* there exists a sequence

$$((1+\varepsilon_{i(n)})T_{i(n)}^* h_{j(n)}^{i(n)})_{n \in \mathbf{N}}$$

which converges weak* to x^*. If there exists an infinite subsequence of $(i(n))_{n \in \mathbf{N}}$ which is constant, then the result follows by the choice of $(h_j^i)_{j \in \mathbf{N}}$ for each $i \in \mathbf{N}$. Otherwise, we can assume that $i(n) \to \infty$. Since $\varepsilon_{i(n)} \to 0$ we have that

$$T_{i(n)}^* h_{j(n)}^{i(n)} \to x^*, \mathrm{weak}^*.$$

i.e.

$$x^* \in \mathrm{w}^*\!-\!\mathrm{cl}\,\{T_i^*(h_j^i) : i,j \in \mathbf{N}\}.$$

If there exists $x \in X$, $|||x||| = 1$ with $|x^*(x)| = 1$ then (4) gives a contradiction. □

The following Lemma is just a combination of Lemma 1.5 from [DFH] and Theorem 2.1.

Lemma 2.3. *Let X be a Banach space having a boundary which may be covered by a countable union of norm-compact sets. Then X is an i.p. space.*

The next Lemma gives sufficient conditions for detecting norm-precompact sets.

Lemma 2.4. *Let $\{v_i\}_{i=1}^\infty$ be a complete minimal system in a Banach space X with dual system $\{v_i^*\}_{i=1}^\infty$. If $D \subset \mathrm{Ba}\,(X^*)$ has the property*

$$\sum_{i=1}^\infty \|v_i^*\| \sup_{d\in D} |d(v_i)| < \infty$$

then D is $\|\cdot\|$-precompact.

Proof Take $\varepsilon > 0$ and let $n \in \mathbf{N}$ be such that

$$\sum_{i=n+1}^\infty \|v_i^*\| \sup_{d\in D} |d(v_i)| < \frac{\varepsilon}{4}.$$

Without loss of generality we may assume that D is weak* compact, so that the restriction $D|[v_i]_{i=1}^n$ of D on the (closed) linear span $[v_i]_{i=1}^n$ (where D is now considered as a subset of X^**) is norm-compact. Choose $\{d_j\}_{j=1}^\ell \subset D$ such that $\{d_j|[v_i]_{i=1}^n\}_{j=1}^\ell$ is a δ-net for $D|[v_i]_{i=1}^n$ where $\delta = \frac{\varepsilon}{2}(\sum_{i=1}^n \|v_i^*\|\|v_i\|)^{-1}$. We claim that $\{d_j\}_{j=1}^\ell$ is a finite ε-net for D which finishes the proof. Indeed, for $d \in D$ find $j \in \{1, \dots, \ell\}$ such that $\|(d-d_j)|[v_i]_{i=1}^n\| < \delta$. For every finite linear combination $x = \sum_{i=1}^m x_i v_i$ of $\{v_i\}$ with $\|x\| \le 1$ we have

$$\begin{aligned} |(d-d_j)(x)| &\le \sum_{i=1}^m |x_i||(d-d_j)(v_i)| \\ &\le \sum_{i=1}^n \|v_i^*\|\delta\|v_i\| + \sum_{i=n+1}^m \|v_i^*\| 2 \sup_{d'\in D} |d'(v_i)| < \varepsilon \end{aligned}$$

which proves that $\{d_j\}_{j=1}^\ell$ is an ε-net for D since the finite linear combinations of $\{v_i\}$ are dense in X. □

Finally, the last ingredient of the proof is a technical Lemma which makes repeatedly use of diagonal arguments.

Lemma 2.5. *Let K be a set which can be written as an increasing union of sets $K = \cup_{m=1}^{\infty} K_m$ and let $\{x_n\}_{n=1}^{\infty}$ be a sequence in $\ell_\infty(K)$. Suppose that for each $m \in \mathbf{N}$ and for each subsequence $\{y_n\}$ of $\{x_n\}$ we have that*

$$\inf_{p \neq q} \|y_p - y_q\|_{K_m} = 0,$$

where

$$\|y\|_{K_m} = \sup_{k \in K_m} |k(y)|$$

for $y \in \ell_\infty(K)$. Then there exists a subsequence $\{z_n\}$ of $\{x_n\}$ such that

$$\sum_{n=1}^{\infty} n \|z_{n+1} - z_n\|_{K_m} < \infty$$

for each $m \in \mathbf{N}$.

Proof We begin with the following claim: For every subsequence (y_n) of (x_n), for every $m \in \mathbf{N}$, and for every $\varepsilon > 0$ there exists a subsequence (z_n) of (y_n) such that

$$\|z_1 - z_n\|_{K_m} < \varepsilon, \ \forall n \in \mathbf{N}.$$

Indeed, assume that the claim is false. Thus, if we set

$$I_1 = \{n \in \mathbf{N} : \|\mathrm{y_1 - y_n}\|_{\mathrm{K_m}} < \varepsilon\},$$

then I_1 is finite. Set $i_1 = \max I_1 + 1$. Also, the set

$$I_2 = \{n > i_1 : \|y_{i_1} - y_n)\|_{K_m} < \varepsilon\}$$

is finite. Set $i_2 = \max I_2 + 1$. We continue similarly. Then the subsequence (y_{i_n}) of (y_n) satisfies

$$\inf_{p \neq q} \|(y_{i_p} - y_{i_q})\|_{K_m} > \varepsilon$$

which is a contradiction. The claim is proved.

Note that if (z_n) satisfies the previous claim then

$$\|z_p - z_q\|_{K_m} < 2\varepsilon$$

for all $p, q \in \mathbf{N}$.

For $m = 1$, using this remark and a diagonal argument we can choose a subsequence (z_n^1) of (x_n) such that

$$\|z_p^1 - z_q^1\|_{K_1} < \frac{1}{2^n}$$

for all $n \in \mathbf{N}$ and for all $p, q \geq n$. Take $m = 2$ and similarly find a subsequence (z_n^2) of (z_n^1) such that

$$\|z_p^2 - z_q^2\|_{K_2} < \frac{1}{2^n}$$

for all $n \in \mathbf{N}$ and for all $p, q \geq n$. We continue in the same manner. It is easy to verify that the diagonal sequence (z_n^n) satisfies the statement of the Lemma. □

3. The proof of the main result

Before we present the proof of Theorem 1.4, we give some more preliminary ingredients. We use the following subsequence dichotomy for the c_0 basis, due to J. Elton:

Theorem 3.1 ([E1]). *Every semi-normalized weakly null sequence which does not have a semi-boundedly complete subsequence, has a subsequence equivalent to the unit vector basis of c_0.*

Recall that a sequence (x_n) is called *semi-boundedly complete* if for every sequence $(\lambda_n) \subset \mathbf{R}$ we have

$$\sup_m \|\sum_{n=1}^{m} \lambda_n x_n\| < \infty \Rightarrow \lambda_n \to 0.$$

Our main result will follow from the following:

Theorem 3.2. *If (x_n) is a basic sequence in a Banach space X with $\inf_n \|x_n\| > 0$, and E is an isomorphically precisely norming set for X such that*

$$\sum_n |x^*(x_{n+1} - x_n)| < \infty, \ \forall x^* \in E,$$

then there exists a subsequence of (x_n) which spans an isomorphically polyhedral Banach space.

We postpone the proof of Theorem 3.2 for the moment. We first give a proof of Theorem 1.4 using the result of Theorem 3.2.

Definition 3.3. *Let $(X, \|\cdot\|)$ be a Banach space and Y be a linear (not necessarily closed) subspace of X^*. Y is a norming linear space if there exists $C > 0$ such that*

$$\frac{1}{C}\|x\| \leq \sup_{y \in Y, \|y\|=1} |y(x)| \leq C\|x\|$$

for every $x \in X$.

The following criterion for extracting basic sequences will be used:

Criterion ([KP], see also [M]) Let $(X, \|\cdot\|)$ be a Banach space, Y be a norming subspace of X^*, (x_n) be a sequence in X such that $\inf_n \|x_n\| > 0$. In each of the following cases (x_n) has a basic subsequence.

(a) $y(x_n) \to 0$ for all $y \in Y$.
(b) $(y(x_n))$ is Cauchy for all $y \in Y$ yet there is no x in X with $y(x_n - x) \to 0$ for all $y \in Y$.

Proof of Theorem 1.4 Let (x_n) be a sequence in a Banach space X which does not converge in norm, and let E be an isomorphically precisely norming set for X such that (3) holds. We define the (not necessarily closed) subspace $Y = \operatorname{span}(E)$ of X^*. Then Y is norming. If (b) of the above criterion applies then (x_n) has a basic subsequence, and the result follows from Theorem 3.2. If (b) does not apply then there exists x in X such that $y(x_n - x) \to 0$. Since (x_n) does not converge in norm, there exists a subsequence (x_{n_k}) of (x_n) with $\inf \|x_{n_k} - x\| > 0$. Thus (a) of the above criterion gives that there exists a subsequence $(x_{n_{k_\ell}})$ of (x_{n_k}) such that $(x_{n_{k_\ell}} - x)$ is a basic sequence. Since

$$\sum_{\ell=1}^{\infty} |x^*[(x_{n_{k_{\ell+1}}} - x) - (x_{n_{k_\ell}} - x)]| < \infty,$$

Theorem 3.2 gives the existence of a subsequence (y_n) of $x_n)$ such that $[(y_n - x)_n]$ is isomorphically polyhedral. Thus the 1-dimensional extension $[(y_n - x)_n] + [x]$ is an i.p. space, and therefore so is its subspace $[y_n]$.

Conversely, consider a separable isomorphically polyhedral Banach space Y. By Theorem 2.1 there exists a countable isomorphically precisely norming set $E = \{f_1, f_2, \dots\}$ of non zero functionals which are finitely linearly independent (i.e. $\dim[f_i]_{i=1}^n = n$ for all n. Using [M] find an M-basis (x_n) of X with dual system (x_n^*) such that $[x_i^*]_{i=1}^n = [f_i]_{i=1}^n$, and $\|x_n\| = 1$ for all n. It is trivial that (3) holds. $\square$

We now present the

Proof of Theorem 3.2 We can assume without loss of generality that X is separable (e.g. by considering $X = [x_n]$). For every $x \in X$ we define

$$\|x\| = \sup_{e \in E} |e(x)|.$$

This defines an equivalent norm on X, and E is a precisely norming set for $(X, \|\cdot\|)$. Also, the weak* topology is metrizable on $Ba(X^*)$, and let $d(\cdot,\cdot)$ denote the induced metric. For $m \in \mathbf{N}$ we define (set $x_0 = 0$)

$$K_m = \{x^* \in Ba(X, \|\cdot\|)^* : \sum_{n=1}^{\infty} |x^*(x_n - x_{n-1})| \leq m\}.$$

Then, K_m is a weak* closed subset of $Ba(X^*)$ for every $m \in \mathbf{N}$, $K_1 \subseteq K_2 \subseteq \cdots$, and $K := \cup_{m=1}^{\infty} K_m \supseteq E$. Define $f : K \longrightarrow \mathbf{R}$ by

$$f(k) = \lim_n k(x_n), \ \forall k \in K.$$

We separate the following cases:

<u>Case 1:</u> Assume that there exists $m \in \mathbf{N}$ such that the restriction $f \mid K_m$ is not continuous (K_n will always be equipped with the weak* topology of X^*, for every $n \in \mathbf{N}$).

We claim that for every $m' \geq m$ there exists a subsequence $(x_n^{m'})_n$ of (x_n) satisfying:

- $(x_n^m)_n$ is a subsequence of (x_n).
- $(x_n^{m'+1})_n$ is a subsequence of $(x_n^{m'})_n$.

- $[(x_n^{m'} \mid K_{m'})_n]$ is an i.p. Banach space (where $[(x_n^{m'} \mid K_{m'})_n]$ denotes the completion of the normed space span $(x_n^{m'} \mid K_{m'})_n$).

Indeed, for $m' = m$ we have that

$$\sup\{\sum_n |x^*(x_n - x_{n-1})| : x^* \in Ba([(x_n \mid K_m)_n], \|\cdot\|_{C(K_m)})^*\} \leq m$$

and $(x_n \mid K_m)_n$ is non-weakly convergent in $C(K_m)$. Thus by Theorem 1.1 there exists a subsequence $(x_n^m)_n$ of (x_n) such that $(x_n^m \mid K_m)_n$ is equivalent to the summing basis. Thus $[(x_n^m \mid K_m)_n]$ is an i.p. Banach space. The proof of the inductive step is a repetition of the same argument, since the hypothesis "$f \mid K_m$ is not continuous" gives that "$f \mid K_{m'}$ is not continuous" for every $m' \geq m$. The proof of claim is complete.

Set $y_n = x_n^n$ for every $n \geq m$. Then $(y_n)_{n \geq m}$ is a subsequence of (x_n) and satisfies the assumptions of Lemma 2.2 , therefore $[y_n]$ is an i.p. space.

<u>Case 2:</u> Assume that $f \mid K_m$ is continuous for every $m \in \mathbf{N}$.

We separate two cases:

<u>Subcase 2.1:</u> Assume that there exists a subsequence (y_n) of (x_n) and there exists $m \in \mathbf{N}$ such that

$$\inf_n \|(y_n - f) \mid K_m\|_{C(K_m)} > 0$$

and therefore for every $m' \geq m$ we have that

$$\inf_n \|(y_n - f) \mid K_{m'}\|_{C(K_{m'})} > 0.$$

Thus for every $m' \geq m$, $((y_n - f) \mid K_{m'})_n$ is a weakly null semi-normalized sequence (by the definition of $K_{m'}$, note that $\|y_n \mid K_{m'}\|_{C(K_{m'})} \leq m'$, $\forall n \in \mathbf{N}$).

For every subsequence (z_n) of (y_n) and for every $m' = m, m+1, \ldots$ we have that $((z_n - f) \mid K_{m'})_n$ is not semi-boundedly complete.

Indeed, for every $n \in \mathbf{N}$ we have that

$$\begin{aligned} &\|[(z_1 - f) - (z_2 - f) + \cdots + (-1)^{n+1}(z_n - f)] \mid K_{m'}\|_{C(K_{m'})} \\ &\leq \|[z_1 - z_2 + \cdots + (-1)^{n+1} z_n] \mid K_{m'}\|_{C(K_{m'})} + \|f \mid K_{m'}\|_{C(K_{m'})}. \end{aligned}$$

There exists $k \in K_{m'}$ such that

$$\begin{aligned} \|[z_1 - z_2 + \cdots + (-1)^{n+1} z_n] \mid K_{m'}\|_{C(K_{m'})} & \\ &= |(z_1 - z_2 + \cdots + (-1)^{n+1} z_n)(k)| \\ &\leq |(z_1 - z_2)(k)| + |(z_3 - z_4)(k)| + \cdots + m' \\ &\leq \sum_i |k(x_i - x_{i-1})| + m' \\ &\leq 2m'. \end{aligned}$$

Thus

$$\sup_n \|[(z_1 - f) - (z_2 - f) + \cdots + (-1)^{n+1}(z_n - f)] \mid K_{m'}\|_{C(K_{m'})}$$
$$\leq 2m' + \|f \mid K_{m'}\|_{C(K_{m'})}.$$

Therefore, the sequence $((z_n - f) \mid K_{m'})_n$ is not semi-boundedly complete since the sequence $((-1)^{n+1})_n$ does not converge to zero.

We claim that for every $m' \geq m$ there exists a subsequence $(y_n^{m'})_n$ of (y_n) satisfying

- (y_n^m) is a subsequence of (y_n).
- $(y_n^{m'+1})_n$ is a subsequence of $(y_n^{m'})_n$.
- $([(y_n^{m'} \mid K_{m'})_n], \|\cdot\|_{C(K_{m'})})$ is an i.p. Banach space.

Indeed, for $m' = m$, $((y_n - f) \mid K_m)_n$ is a weakly null semi-normalized sequence which does not have any semi-boundedly complete subsequence (by Claim B). By Theorem 3.1 there exists a subsequence $(y_n^m)_n$ of (y_n) such that $((y_n^m - f) \mid K_m)_n$ is equivalent to the unit vector basis of c_0. Thus $([((y_n^m - f) \mid K_m)_n], \|\cdot\|_{C(K_m)})$ is an i.p. Banach space. Hence $[((y_n^m - f) \mid K_m)_n] + [f \mid K_m]$ is an i.p. Banach space, and therefore so is its subspace $[(y_n^m \mid K_m)_n]$. The proof of the inductive step is a repetition of the same argument. The proof of Claim C is complete and the proof of Subcase 2.1 finishes identically as in Case 1.

<u>Subcase 2.2:</u> Assume that for every subsequence (y_n) of (x_n), and for every $m \in \mathbf{N}$ we have that

$$\inf_n \|(y_n - f)|K_m\|_{C(K_m)} = 0.$$

It is clear that in this case for every subsequence (y_n) of (x_n), and for every $m \in \mathbf{N}$ we have that

$$\inf_{n \neq n'} \|(y_n - y_{n'})|K_m\|_{C(K_m)} = 0.$$

Using Lemma 2.5 find a subsequence (z_n) of (x_n) such that

$$\sum_{n=1}^{\infty} n\|(z_{n+1} - z_n)|K_m\|_{C(K_m)} < \infty, m = 1, 2, \ldots$$

Since (x_n) is a basic sequence with $\inf_n \|x_n\| > 0$, the sequence of the biorthogonal functionals is bounded:

$$\sup_n \|x_n^*\| = C < \infty.$$

Denote

$$v_n = z_{n+1} - z_n, Y = [v_n]_1^{\infty}, v_n^* = -\sum_{i=1}^{n} z_i^*|Y, n = 1, 2, \ldots$$

Then (v_n) is a complete minimal system for Y with dual system (v_i^*). We have

$$\|v_n^*\| \leq Cn, n = 1, 2 \ldots$$

It is clear that for each $m \in \mathbf{N}$

$$\sum_n \|v_n^*\| \|v_n | K_m\|_{C(K_m)} < \infty$$

and therefore by Lemma 2.4 each K_m is $\|\cdot\|$-precompact (actually, $\|\cdot\|$-compact). Using Lemma 2.3 we conclude that Y is an i.p. space, as well as $[z_n]_1^\infty = Y + [z_1]$. The proof of the Theorem 3.2 is complete. □

Using Theorem 1 of [F4] we can give an easy proof of the following weaker result than Theorem 1.4.

Remark 1.6 Under the same hypotheses of Theorem 1.4 there exist a sequence $(\varepsilon_n) \in \{\pm 1\}^{\mathbf{N}}$ and an increasing sequence of positive integers (ℓ_k) such that $[(\sum_{i=1}^{\ell_k} \varepsilon_i (x_i - x_{i-1}))_k]$ is an i.p. space.

Indeed, the proof of Theorem 1 in [F4] shows the following:

> Let $(X, \|\cdot\|)$ be a Banach space, $K_1 \subset K_2 \subset \cdots$ be subsets of $Ba(X^*)$ and let (w_n) be a sequence in X. If (w_n) is basic, $\inf_n \|w_n\| > 0$, $\sum_n \|w_n \mid K_n\| < \infty$ and $\cup_n K_n$ is an isomorphically precisely norming set, then $[w_n]$ is an i.p. Banach space.

Now, the proof of the assertion of the remark can be sketched as follows: If there is no subsequence of (x_n) equivalent to the summing basis, then there exists a sequence $(\varepsilon_n) \in \{\pm 1\}^{\mathbf{N}}$ such that

$$(\sum_{i=1}^n \varepsilon_i (x_i - x_{i-1}))_n \text{ is not bounded.}$$

Therefore there exists an increasing sequence (n_k) of integers such that

$$\|\sum_{i=1}^{n_k} \varepsilon_i (x_i - x_{i-1})\| \geq 2^k k, \ \forall k \in \mathbf{N}.$$

Set $z_k = \sum_{i=1}^{n_k} \varepsilon_i (x_i - x_{i-1})$ for every $k \in \mathbf{N}$. Since (z_k) does not converge in norm, and $(y(z_k))$ is Cauchy for every $y \in \operatorname{span} E$, we obtain (as in the proof of Theorem 1.4) that there exists $z \in X$ (z can also be zero) and an increasing sequence (m_k) of integers such that $(z_{m_k} - z)$ is a basic sequence. Set

$$K_m = \{x^* \in Ba(X^*) : \sum_{n=1}^\infty |x^*(x_n - x_{n-1})| \leq m\}, \forall m \in \mathbf{N}$$

(where $x_0 = 0$). We easily see that

$$\sum_k \|\frac{z_{m_k} - z}{\|z_{m_k} - z\|} \mid K_k\| < \infty.$$

Thus, by the above mentioned Theorem 1 of [F4] we obtain that

$$[(\sum_{i=1}^{n_{m_k}} \varepsilon_i(x_i - x_{i-1}))_k] \text{ is an i.p. space.}$$

4. Applications

As a first application we strengthen a corollary of Theorem 1.2 which was also proved in a different way by R. Haydon, E. Odell and H. Rosenthal [HOR]. First we need some definitions. Let K be a compact metric space. $B_1(K)$ denotes the class of bounded Baire-1 functions on K, i.e. the pointwise limits of the uniformly bounded sequences of continuous functions on K. $DSC(K)$ denotes the space of bounded Differences of Semi-Continuous functions on K, i.e.

$$\begin{aligned} DSC(K) \;=\; & \{f : K \longrightarrow \mathbf{R} \mid \text{ there exists a uniformly bounded sequence} \\ & (f_n)_{n=1}^{\infty} \subset C(K) \text{ such that } \lim_n f_n(k) = f(k) \text{ and} \\ & \sum_{n=1}^{\infty} |f_{n+1}(k) - f_n(k)| < \infty \text{ for all } k \in K\}. \end{aligned}$$

Let f be a non-continuous function on $B_1(K)$ and $\mathcal{C}$ be a non-empty class of Banach spaces. Using terminology which was introduced by R. Haydon, E. Odell and H. Rosenthal [HOR], we say that f *governs* $\mathcal{C}$ if for every uniformly bounded sequence (f_n) of continuous functions on K which converges pointwise to f on K, there exists $X \in \mathcal{C}$ which embeds isomorphically in the closed linear span $[f_n]$ of (f_n) equipped with the supremum norm. We say that f *strictly governs* $\mathcal{C}$ if for every uniformly bounded sequence (f_n) of continuous functions on K which converges pointwise to f on K there exists a convex block sequence (g_n) of (f_n) such that the closed linear span $[g_n]$ of (g_n) is isomorphic to some $X \in \mathcal{C}$. A corollary of Theorem 1.2 which was proved in a different way by R. Haydon, E. Odell and H. Rosenthal can be stated as follows:

Theorem 1.8 [[E2], [HOR]] Let $f \in DSC(K) \backslash C(K)$ be given, where K is a compact metric space. Then f governs $\{c_0\}$.

A generalization of this result is the following:

Theorem 1.7 Let $f \in DSC(K) \backslash C(K)$ be given, where K is a compact metric space. Then f strictly governs the class of (separable) polyhedral Banach spaces.

For deducing Theorem 1.7 from Theorem 1.4 we need the next well known remark. We first fix some terminology: If A is a subset of a Banach space X then $\tilde{A}$ denotes the weak* closure of A in X^{**}. Also if A, B are non-empty subsets of $(X, \|\cdot\|)$ then the minimum distance between A and B is defined by:

$$\operatorname{md}(A, B) = \inf\{\|a - b\| : a \in A, b \in B\}.$$

Remark 4.1. *If A, B are convex subsets of a Banach space, then* $\operatorname{md}(A, B) = \operatorname{md}(\tilde{A}, \tilde{B})$.

Thus, if $f \in DSC(K)\backslash C(K)$ and a bounded sequence (f_n) of continuous functions which converges pointwise to f on K, are given, then by Remark 4.1 there exists a convex block sequence (g_n) of (f_n) such that

$$\sum_{n=1}^{\infty} |g_{n+1}(k) - g_n(k)| < \infty, \ \forall k \in K.$$

Since $f \notin C(K)$, we can also assume (by considering an appropriate subsequence) that (g_n) is a semi-normalized basic sequence. Thus Theorem 1.4 gives that some subsequence of (g_n) spans an i.p. Banach space, which proves Theorem 1.7.

As a second application we obtain an Orlicz-Pettis type result:

Theorem 1.9 Let (y_n) be a sequence in a Banach space X and let E be an isomorphically precisely norming set for X. If c_0 does not embed isomorphically in the closed linear span $[y_n]$ of (y_n) and

$$\sum_n |x^*(y_n)| < \infty, \ \forall x^* \in E,$$

then $\sum_n y_n$ converges unconditionally.

Proof For $(\eta_i) \subset \{\pm 1\}^{\mathbf{N}}$ define the sequence (x_n) by

$$x_n = \sum_{i=1}^{n} \eta_i y_i, \ \forall n \in \mathbf{N}.$$

We have that the sequence (x_n) satisfies (3). Since c_0 does not embed isomorphically in $[y_n] = [x_n]$, we have that the conclusion of Theorem 1.4 fails. Thus the sequence (x_n) converges in norm. Hence $\sum_n y_n$ converges unconditionally. □

As a final application of Theorem 1.4 we prove the following immediate corollary which has been proved previously by V. Fonf [F4].

Corollary 4.2. *Let X be a Banach space which does not contain an isomorph of c_0. Let A be a subset of X, and let B be an isomorphically precisely norming subset of X^*. If for every $b \in B$ the set $\{b(a) : a \in A\}$ is bounded, then A is bounded.*

Proof If A is not bounded, we can find a sequence $(a_n) \subset A$ such that $\|a_n\| > 2^n$ for all $n \in \mathbf{N}$. Set

$$\alpha_n = \sum_{i=1}^{n} \frac{a_i}{\|a_i\|}, \ \forall n \in \mathbf{N}.$$

Thus

$$\sum |b(\alpha_{n+1} - \alpha_n)| < \infty, \ \forall b \in B.$$

Since X does not contain an isomorph of c_0, by Theorem 1.4 we obtain that (α_n) converges in norm, which is a contradiction. □

Remark 4.3. *It can be proved that if $\|\cdot\|$ is a Gateaux differentiable and locally uniformly convex norm on c_0, and B is an isomorphically precisely norming set for $(c_0, \|\cdot\|)$ then for any $A \subset c_0$ with $\{b(a) : a \in A\}$ is bounded for every $b \in B$ we have that A is bounded.*

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