Maximal norms on Banach spaces of continuous functions

CORRIGENDUM

‘Orthonormal systems in Banach spaces and their applications’
by N. J. Kalton and G. V. Wood

BY

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The purpose of this short note is to reformulate theorem 9.3 in [5] which is not correct as stated. We note that all other results in [5] are independent of that statement.

The notation is the same as [5] with the sole exception that $C_0(S)$ will always denote the space of all real-valued continuous functions on the locally compact space $S$ vanishing at infinity. As usual, $\alpha S$ stands for the one-point compactification of $S$. Recall that a norm $\| \cdot \|$ on a Banach space $X$ is said to be maximal if there is no equivalent norm on $X$ whose isometry group contains properly that of $\| \cdot \|$.

We begin with the following somewhat surprising result:

Theorem 1. Let $S$ be a connected, locally compact space. If there exists a homeomorphism $\phi$ of $\alpha S$ such that $\phi(\infty) \neq \infty$, then the supremum norm is not maximal on the real space $C_0(S)$.

This yields a large class of manifolds $S$ for which the usual supremum norm fails to be maximal on $C_0(S)$ (compare to [5, theorem 9.3]):

Corollary 1. Let $S$ be a connected non-compact space whose one-point compactification is a manifold without boundary. Then the supremum norm fails to be maximal on the space $C_0(S)$. In particular $C_0(\mathbb{R}^n)$ lacks maximal norm for every $n \geq 1$. \hfill $\square$

Proof of Theorem 1. Given $f \in C_0(S)$, define

$$
\varrho(f) = \sup \{|f(x) - f(y)| : x, y \in S\},
$$

that is, $\varrho(f)$ is the diameter of the range of $f$. If $S$ is not compact, then $\varrho(\cdot)$ is a norm on $C_0(S)$ which shall be referred to as the diameter norm. In fact one has

$$
\|f\|_\infty \leq \varrho(f) \leq 2\|f\|_\infty
$$

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for all \( f \in C_0(S) \). We prove that \( (C_0(S), \varrho(\cdot)) \) has a strictly larger group of isometries than \( (C_0(S), \| \cdot \|_\infty) \).

Since \( S \) is a connected space every isometry of \( (C_0(S), \| \cdot \|_\infty) \) is an isometry under the diameter norm as well (this is not true if \( S \) is not connected or if one allows complex functions).

Consider now \( C_0(S) \) as a subspace of \( C(\alpha S) \) in the obvious way. Given a homeomorphism \( \phi : \alpha S \to \alpha S \) one can define a surjective isometry of \( (C_0(S), \varrho(\cdot)) \) by

\[
U(f) = f \circ \phi - f(\phi(\infty))1_{\alpha S}.
\]

It is clear that \( U \) preserves the supremum norm if and only if \( \phi \) leaves fixed the infinity point of \( \alpha S \). Hence if \( \phi(\infty) \neq \infty \) for some homeomorphism \( \phi \) of \( \alpha S \) the isometry group of \( \varrho(\cdot) \) contains properly that of \( \| \cdot \|_\infty \), which completes the proof.

\[
\square
\]

Remark 1. As far as we know, the diameter (semi) norm was first studied by Györy and Mohár in [4], where the general form of the diameter preserving bijections of the (real or complex) spaces \( C(S) \) for \( S \) compact metric was given. Later, González and Uspenski [3] and the second named author [1] got similar results for arbitrary compact \( S \). The paper [1] contains a complete description of the isometries of the space \( (C_0(S), \varrho(\cdot)) \).

The following result covers all spaces considered in [5, theorem 9.3]. The somewhat involved proof depends heavily on [5, lemma 9.2] and also on the argument given by Kalton and Wood on p. 309. Note that even in the compact case the proof requires some extra work.

**Theorem 2.** Let \( S \) be a connected manifold without boundary of dimension greater than one.

(a) If \( S \) is compact, then the supremum norm is maximal on \( C(S) \).

(b) If \( S \) is locally compact but not compact, then the diameter norm is maximal on \( C_0(S) \).

**Corollary 2.** Let \( S \) be a connected non-compact manifold without boundary of dimension greater than one. If every homeomorphism of \( \alpha S \) leaves fixed the infinity point, then the supremum norm is maximal on \( C_0(S) \).

**Proof.** The hypothesis about \( S \) together with [1, theorem 4] implies that the supremum norm and the diameter norm have the same isometry group. Hence the result follows from the part (b) of Theorem 2. \( \square \)

**Beginning of the proof of Theorem 2.** Let \( \| \cdot \| \) be any norm on \( C_0(S) \) whose isometry group contains all isometries induced by homeomorphisms of \( S \). Let \( K^* \) denote the unit ball of \( (C_0(S), \| \cdot \|)^* \). By [5, lemma 9.2] every extreme point of \( K^* \) has the form \( \alpha x - \beta y \) for some \( x, y \in S \) with \( x \neq y \) and some \( \alpha, \beta \geq 0 \).

Now, let \( U \) be an isometric automorphism of \( (C_0(S), \| \cdot \|) \). We must prove that \( U \) is an isometry for the supremum norm if \( S \) is compact and that \( U \) is diameter preserving for locally compact, noncompact \( S \).
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Let $U^*$ be the adjoint isometry. Reasoning as in [5], one sees that for every $x \in S$ the support of the measure $U^*\delta_x$ contains at most two points. Write $S = S_1 \oplus S_2$, where

$$S_i = \{x \in S : |\text{supp } U^*\delta_x| = i\}.$$  

If $S_2$ is empty, it is easily seen that $U$ is induced by a homeomorphism of $S$ and there is nothing to prove.

From now on, we assume that $S_2$ is nonempty (and hence it is infinite because $S_2$ is always open in $S$). This implies that there exists $\alpha, \beta > 0$ (which we consider fixed in what follows) and $x, y \in S$ with $x \neq y$ such that $\alpha \delta_x - \beta \delta_y$ is an extreme point of $K^*$, since otherwise $||\cdot||$ is simply a multiple of $||\cdot||_\infty$. By homogeneity of $S$ one actually has that $\alpha \delta_x - \beta \delta_y$ is an extreme point of $K^*$ for any distinct points $x, y \in S$.

**Step 1.** There is $p \in S$ such that $p \in \text{supp } U^*\delta_x$ for all $x \in S_2$.

**Proof.** Let $x, y \in S_2$. Since $\alpha \delta_x - \beta \delta_y$ is an extreme point of $K^*$ so is $U^*(\alpha \delta_x - \beta \delta_y)$. Hence

$$\text{supp } U^*\delta_x \cap \text{supp } U^*\delta_y \neq \emptyset.$$  

Let $P_2(S)$ stand for the collection of all subsets of $S$ having exactly two points. Then one can define a mapping $\Phi : S_2 \to P_2(S)$ by

$$\Phi(x) = \text{supp } U^*\delta_x.$$  

Now take a subset $A \subset S_2$ such that for every $x \in S_2$ there is exactly one $a \in A$ for which $\Phi(a) = \Phi(x)$. Since $\bigcap_{a \in A} \Phi(a) = \bigcap_{x \in S_2} \Phi(x)$ our claim will be proved if we show that $\bigcap_{a \in A} \Phi(a)$ is nonempty. To see this, first note that $A$ is infinite (this follows from the facts that $S_2$ is itself infinite and that, since the set $\{U^*\delta_x : x \in S\}$ is linearly independent, no more than two points of $S_2$ can have the same image in $P_2(S)$).

Take $a_1, a_2 \in A$ with $a_1 \neq a_2$ and let $p$ be the only element of $\Phi(a_1) \cap \Phi(a_2)$, so that $\Phi(a_1) = \{p, s_1\}$ and $\Phi(a_2) = \{p, s_2\}$, with $s_1 \neq s_2$. We show that $p \in \Phi(a)$ for all $a \in A$.

Suppose on the contrary that there exists $a_3 \in A$ such that $p \notin \Phi(a_3)$. Then by (1) one has $\Phi(a_3) = \{s_1, s_2\}$. Let $a_4 \in A$ be a point different from $a_1, a_2$ and $a_3$. Then $p \in \Phi(a_4)$ (for if not $\Phi(a_4) = \{s_1, s_2\} = \Phi(a_3)$ and $\Phi$ cannot be injective on $A$) and since $\Phi(a_3)$ and $\Phi(a_4)$ must have a common point one has either $\Phi(a_4) = \Phi(a_1)$ or $\Phi(a_4) = \Phi(a_2)$, a contradiction. \qed

It is now clear that there are maps $a$ and $b$ from $S_2$ to $\mathbb{R} \setminus \{0\}$ and $\varphi : S_2 \to S$ such that

$$U^*\delta_x = a(x)\delta_\varphi(x) + b(x)\delta_p$$  

for all $x \in S_2$.

**Step 2.** The maps $a, b$ and $\varphi$ are continuous on $S_2$.

**Proof.** The continuity of $b$ easily follows from weak* continuity of $U^*$. The continuity of $a$ and $\varphi$ then follows from that of $b$ and weak* continuity of $U^*$. \qed
Step 3. The map $b$ is constant on $S_2$. Moreover, if $\alpha \delta_x - \beta \delta_y$ is an extreme point of $K^*$ with $x \neq y$ and $\alpha, \beta \neq 0$, then $\alpha = \beta$.

Proof. Let us fix $x \in S_2$. Note that the set $\Sigma_x = \{ z \in S_2 : \varphi(z) = \varphi(x) \}$ contains at most two points. Take $y \in S_2 \setminus \Sigma_x$ and choose nonzero $\alpha, \beta$ such that $\alpha \delta_x - \beta \delta_y$ is an extreme point of $K^*$. It follows that the support of the measure

$$U^*(\alpha \delta_x - \beta \delta_y) = a\alpha(x)\delta_{\varphi(x)} - \beta a(y)\delta_{\varphi(y)} + (ab(x) - \beta b(y))\delta_p$$

cannot contain more than two points. But $\varphi(x), \varphi(y)$ and $p$ are different points of $S$. Hence $ab(x) = \beta b(y)$ holds for every $y \in S_2 \setminus \Sigma_x$. Now, the fact that $S_2 \setminus \Sigma_x$ is dense in $S_2$, the continuity of $b$ and a moment of reflection show that $b$ is constant on $S_2$ and also that $\alpha = \beta$. \qed

Step 4. The map $a$ is constant on $S_2$.

Proof. Again, fix $x \in S_2$ and let $\Sigma_x$ be as before. Let $y \in S_2 \setminus \Sigma_x$. Since $\alpha (\delta_x - \delta_y)$ in an extreme point of $K^*$ so is

$$U^*(\alpha (\delta_x - \delta_y)) = \alpha (a(x)\delta_{\varphi(x)} - a(y)\delta_{\varphi(y)}),$$

so that $a(x) = a(y)$ for all $y \in S_2 \setminus \Sigma_x$ and the result follows. \qed

Step 5. The set $S_1$ is nonempty.

Proof. Suppose on the contrary that $S_1$ is empty. Then $S = S_2$ and one has

$$U^*\delta_x = a(x)\delta_{\varphi(x)} + b\delta_p$$

for every $x \in S$.

If $S$ is compact, the range of $\varphi$ is a compact subset of $S$ which does not contain $p$ and it is straightforward that $U^*$ cannot be surjective. This proves the claim for compact $S$.

Now assume that $S$ is locally compact, but not compact. Since $\delta_x \to 0$ weakly* as $x \to \infty$, using the weak* continuity of $U^*$, we obtain that $\varphi(x) \to p$ as $x \to \infty$. This shows that the range of $\varphi$ lies in an compact subset of $S$. Since $S$ is not compact $U^*$ cannot be surjective, a contradiction. \qed

Step 6. The set $S_1$ is a singleton.

Proof. Write $U^*\delta_z = c(z)\delta_{\psi(z)}$ for $z \in S_1$, where $\psi : S_1 \to S$ is a suitable map and $c(z) = \pm 1$. Take $x \in S_2$ and $z \in S_1$. Since $\alpha (\delta_x - \delta_z)$ in an extreme point of $K^*$ the support of the measure

$$U^*(\alpha (\delta_x - \delta_z)) = \alpha (a\delta_{\psi(z)} + b\delta_p - c(z)\delta_{\psi(z)})$$

contains at most two points. Hence

$$\psi(z) \in \bigcap_{x \in S_2} \{ \varphi(x), p \}$$

and, therefore, $\psi(z) = p$ for every $z \in S_1$. Since $\psi$ must be injective, the result follows. \qed
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Let $q$ denote the only point of $S_1$, so that $S_1 = \{q\}$ and $U^*_\delta_q = \alpha \delta_p$, where $c = \pm 1$. Moreover, we may assume (and do) that $c = -1$.

Thus, we can summarize the information about $U$ obtained so far as follows: there exist nonzero numbers $a, b$, two points $p, q \in S$ and a continuous mapping $\varphi : S \setminus \{q\} \to S$ for which

$$
U^*_\delta_x = a\delta_{\varphi(x)} + b\delta_p \quad (x \neq q)
$$

$$
U^*_\delta_q = -\delta_p
$$

(2)

End of the proof of (a). Letting $x \to q$ in (2) and using the weak* continuity of $U^*$ one obtains that $a\delta_{\varphi(x)} + b\delta_p \to -\delta_p$ in the weak* topology of $C(S)^*$. By compactness of $S$ this implies that $\varphi(x) \to p$ as $x \to q$ and also that $a + b = -1$. On the other hand, it is clear that $U$ generates a bounded group of operators only if $|a| = 1$. Since $b \neq 0$, this yields $a = 1$ and $b = -2$ and $U$ cannot have uniformly bounded powers. This contradiction shows that $U$ is an isometry of the supremum norm and ends the proof of part (a).

End of the proof of (b). In this case since $\delta_x \to 0$ weakly* as $x \to \infty$ we obtain from (2) $a + b = 0$ and $\varphi(x) \to p$ as $x \to \infty$. Therefore $a(\delta_{\varphi(x)} - \delta_p) \to -\delta_p$ weakly* as $x \to q$. This clearly implies that $\varphi(x) \to \infty$ as $x \to q$ and also that $a = 1$. Thus, we can extend $\varphi$ to a continuous mapping $\phi : \alpha S \to \alpha S$ taking $\phi(\infty) = p$ and $\phi(q) = \infty$. It is easily seen that $U$ is given by

$$
(U(f))(x) = f(\phi(x)) - f(\phi(\infty))
$$

for all $x \in \alpha S$ and therefore $U$ is an isometry with respect to the diameter norm. This completes the proof.

We now discuss some examples in the light of Corollaries 1 and 2.

The supremum norm fails to be maximal on the real space $C_0(S)$ when $S = K \setminus \{p\}$, $K$ being a connected, compact manifold and $p \in K$. In particular the conclusion holds for $S = \mathbb{R}^n$ for every $n \geq 1$ taking $K = S^n$ (the $n$-dimensional sphere) and when $S$ is the Möbius strip taking $K = \mathbb{P}_2$ (the projective plane). This is straightforward from Corollary 1.

On the positive side, the supremum norm is maximal on the real space $C_0(S)$ whenever $S$ can be decomposed as $S = K \times \mathbb{R}^n$, $K$ being a connected, compact manifold of positive dimension $k$ and $n \geq 1$ or when $S$ admits a two-point compactification (for instance if $S$ is a region of the Riemann sphere whose complement is disconnected).

In the last case, it is clear that the infinity point is the only point of $\alpha S$ having disconnected punctured neighbourhoods, so that Corollary 2 applies.

As for the former one, it is not hard to see that $\pi_{n-2}(U \setminus \{\infty\})$ does not vanish if $U$ is a sufficiently small neighbourhood of the infinity point in $\alpha S$ (here $\pi$ stands for the corresponding free homotopy group) while, obviously, $\pi_{n-2}(U \setminus \{p\}) = \pi_{n-2}(\mathbb{R}^{n+k} \setminus \{0\})$ vanishes on a neighbourhood base at any $p \in S$. Thus, every homeomorphism of $\alpha S$ fixes the infinity point.
Remark 2. The hypotheses about $S$ in Theorem 2 (and also in its Corollary 2) can be considerably relaxed: one only needs, apart from the connectedness and locally compactness, the following properties of $S$:

(3) Given two ordered sets $(x_1, \ldots, x_n)$ and $(y_1, \ldots, y_n)$ of distinct points of $S$ there exists a homeomorphism $\varphi$ of $S$ such that $\varphi(x_i) = y_i$ for every $1 \leq i \leq n$.

(4) Each $x \in S$ has a neighbourhood base $V$ of open sets such that, given $B \in V$, there is a sequence $(\varphi_n)$ of homeomorphisms of $S$ leaving fixed $S \setminus B$ while $\lim_{n} \varphi_n(y) = x$ for all $y \in B$.

Actually, an examination of the proofs of [5, lemma 9.2] and our Theorem 2 above yields the following characterization of the diameter norm for sufficiently homogeneous spaces.

Theorem 3. Let $S$ be a connected, locally compact space satisfying (3) and (4). Suppose $\| \cdot \|$ is an equivalent norm on the real space $C_0(S)$ whose isometry group contains properly that of the supremum norm. Then $\| \cdot \|$ is, up to a constant factor, the diameter norm.

Thus, the diameter norm is not only maximal but also “uniquely maximal” and hence convex-transitive (see [2]).

The proof of Theorem 3 is as follows: assuming that $U$ is an isometry for the norm $\| \cdot \|$ but not for $\| \cdot \|_\infty$ and taking into account (2) and the argument given in the end of the proof of (b) we obtain that the adjoint map $U^*$ has the form

$$U^*\delta_x = \delta_{\varphi(x)} - \delta_y \quad (x \neq q)$$

$$U^*\delta_q = -\delta_y$$

for suitable $x, p, q$ and $\varphi$. This implies (normalizing $\| \cdot \|$ by the condition $\|\delta_p\| = 1$ if necessary) that the set of extreme points of $K^*$ is exactly $\{\pm \delta_x : x \in S\} \cup \{\pm (\delta_y - \delta_x) : y, z \in S\}$ and hence $\| \cdot \|$ and $\varphi$ coincide on $C_0(S)$.

We leave the details to the reader.

REFERENCES