

# $(1+)$ -separation in the unit sphere of a Banach space

Tomasz Kania

(joint work with P. Hájek and T. Russo)

Czech Academy of Sciences, Praha

Birmingham, June 25-29, 2018

## (Pre-)history

$X$  stands for an **inf.-dim.** Banach space;  $S_X$  the unit sphere of  $X$ .

## (Pre-)history

$X$  stands for an **inf.-dim.** Banach space;  $S_X$  the unit sphere of  $X$ .

**Riesz' lemma (1916).** For every  $\theta \in (0, 1)$  there exists  $(x_n)_{n=1}^{\infty} \subset S_X$  with

$$\|x_n - x_k\| \geq \theta \quad (n \neq k).$$

## (Pre-)history

$X$  stands for an **inf.-dim.** Banach space;  $S_X$  the unit sphere of  $X$ .

**Riesz' lemma (1916).** For every  $\theta \in (0, 1)$  there exists  $(x_n)_{n=1}^{\infty} \subset S_X$  with

$$\|x_n - x_k\| \geq \theta \quad (n \neq k).$$

*In other words:*  $S_X$  contains a  $\theta$ -separated sequence.

## (Pre-)history

$X$  stands for an **inf.-dim.** Banach space;  $S_X$  the unit sphere of  $X$ .

**Riesz' lemma (1916).** For every  $\theta \in (0, 1)$  there exists  $(x_n)_{n=1}^{\infty} \subset S_X$  with

$$\|x_n - x_k\| \geq \theta \quad (n \neq k).$$

*In other words:*  $S_X$  contains a  $\theta$ -separated sequence.

**Kottman's theorem (1975).** There exists  $(x_n)_{n=1}^{\infty} \subset S_X$  such that

$$\|x_n - x_k\| > 1 \quad (n \neq k).$$

## (Pre-)history

$X$  stands for an **inf.-dim.** Banach space;  $S_X$  the unit sphere of  $X$ .

**Riesz' lemma (1916).** For every  $\theta \in (0, 1)$  there exists  $(x_n)_{n=1}^{\infty} \subset S_X$  with

$$\|x_n - x_k\| \geq \theta \quad (n \neq k).$$

*In other words:*  $S_X$  contains a  $\theta$ -separated sequence.

**Kottman's theorem (1975).** There exists  $(x_n)_{n=1}^{\infty} \subset S_X$  such that

$$\|x_n - x_k\| > 1 \quad (n \neq k).$$

*Let us call this situation:*  $S_X$  contains an infinite  $(1+)$ -separated subset.

## (Pre-)history

$X$  stands for an **inf.-dim.** Banach space;  $S_X$  the unit sphere of  $X$ .

**Riesz' lemma (1916).** For every  $\theta \in (0, 1)$  there exists  $(x_n)_{n=1}^{\infty} \subset S_X$  with

$$\|x_n - x_k\| \geq \theta \quad (n \neq k).$$

*In other words:*  $S_X$  contains a  $\theta$ -separated sequence.

**Kottman's theorem (1975).** There exists  $(x_n)_{n=1}^{\infty} \subset S_X$  such that

$$\|x_n - x_k\| > 1 \quad (n \neq k).$$

*Let us call this situation:*  $S_X$  contains an infinite  $(1+)$ -separated subset.

**The Elton–Odell theorem (1981).** There exists  $\varepsilon = \varepsilon(X)$  such that  $S_X$  contains a  $(1 + \varepsilon)$ -separated sequence.

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

- For some  $\delta \in (0, 1)$  it is possible to find a  $\delta$ -separated subset of cardinality  $\text{dens } X$ .

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

- For some  $\delta \in (0, 1)$  it is possible to find a  $\delta$ -separated subset of cardinality  $\text{dens } X$ .
- Most optimistic variant: Does  $S_X$  contain a  $(1+)$ -separated subset of cardinality  $\text{dens } X$ ?

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

- For some  $\delta \in (0, 1)$  it is possible to find a  $\delta$ -separated subset of cardinality  $\text{dens } X$ .
- Most optimistic variant: Does  $S_X$  contain a  $(1+)$ -separated subset of cardinality  $\text{dens } X$ ?

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

- For some  $\delta \in (0, 1)$  it is possible to find a  $\delta$ -separated subset of cardinality  $\text{dens } X$ .
- Most optimistic variant: Does  $S_X$  contain a  $(1+)$ -separated subset of cardinality  $\text{dens } X$ ?

**Some examples:**

- In  $\ell_p(\Gamma)$ , the unit vector basis is  $2^{1/p}$ -separated.

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

- For some  $\delta \in (0, 1)$  it is possible to find a  $\delta$ -separated subset of cardinality  $\text{dens } X$ .
- Most optimistic variant: Does  $S_X$  contain a  $(1+)$ -separated subset of cardinality  $\text{dens } X$ ?

**Some examples:**

- In  $\ell_p(\Gamma)$ , the unit vector basis is  $2^{1/p}$ -separated.
- In  $c_0(\omega_1)$ , the unit sphere contains an uncountable  $(1+)$ -separated set (use Zorn's lemma to vectors assuming both 1 and -1 and whose all other non-zero entries are positive).

# Main theme: can one expect more?

**Main problem:** If  $X$  is non-separable, must  $S_X$  contain an uncountable  $(1+)$ -separated subset?

- For some  $\delta \in (0, 1)$  it is possible to find a  $\delta$ -separated subset of cardinality  $\text{dens } X$ .
- Most optimistic variant: Does  $S_X$  contain a  $(1+)$ -separated subset of cardinality  $\text{dens } X$ ?

**Some examples:**

- In  $\ell_p(\Gamma)$ , the unit vector basis is  $2^{1/p}$ -separated.
- In  $c_0(\omega_1)$ , the unit sphere contains an uncountable  $(1+)$ -separated set (use Zorn's lemma to vectors assuming both 1 and -1 and whose all other non-zero entries are positive).

$c_0(\Gamma)$  seems to be the bad guy here

Remark (Elton–Odell, 1981)

For  $\varepsilon \in (0, 1]$ , every  $(1 + \varepsilon)$ -separated subset of  $S_{c_0(\Gamma)}$  is countable.

$c_0(\Gamma)$  seems to be the bad guy here

Remark (Elton–Odell, 1981)

For  $\varepsilon \in (0, 1]$ , every  $(1 + \varepsilon)$ -separated subset of  $S_{c_0(\Gamma)}$  is countable.

The proof relies on the  $\Delta$ -system lemma.

$c_0(\Gamma)$  seems to be the bad guy here

Remark (Elton–Odell, 1981)

For  $\varepsilon \in (0, 1]$ , every  $(1 + \varepsilon)$ -separated subset of  $S_{c_0(\Gamma)}$  is countable.

The proof relies on the  $\Delta$ -system lemma.

Theorem A

Every  $(1+)$ -separated subset of  $S_{c_0(\Gamma)}$  has cardinality at most  $\omega_1$ .

$c_0(\Gamma)$  seems to be the bad guy here

Remark (Elton–Odell, 1981)

For  $\varepsilon \in (0, 1]$ , every  $(1 + \varepsilon)$ -separated subset of  $S_{c_0(\Gamma)}$  is countable.

The proof relies on the  $\Delta$ -system lemma.

Theorem A

Every  $(1+)$ -separated subset of  $S_{c_0(\Gamma)}$  has cardinality at most  $\omega_1$ .

**Conclusion:** The most optimistic variant of the question was perhaps *too optimistic*.

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
- $K$  contains a closed non-metrisable 0-dim. subspace,

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
- $K$  contains a closed non-metrisable 0-dim. subspace,
- $K$  contains a non-separable subspace,

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
- $K$  contains a closed non-metrisable 0-dim. subspace,
- $K$  contains a non-separable subspace,
- $K$  contains a non-Lindelöf subspace,

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
- $K$  contains a closed non-metrisable 0-dim. subspace,
- $K$  contains a non-separable subspace,
- $K$  contains a non-Lindelöf subspace,
- $K$  is Rosenthal,

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
- $K$  contains a closed non-metrisable 0-dim. subspace,
- $K$  contains a non-separable subspace,
- $K$  contains a non-Lindelöf subspace,
- $K$  is Rosenthal,
- $C(K)$  is Grothendieck.

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
  - $K$  contains a closed non-metrisable 0-dim. subspace,
  - $K$  contains a non-separable subspace,
  - $K$  contains a non-Lindelöf subspace,
  - $K$  is Rosenthal,
  - $C(K)$  is Grothendieck.
- **Theorem (K.–Kochanek):**  $S_{C(K)}$  contains an uncountable  $(1+)$ -separated set (K.–Kochanek; significantly improved by Cúth–Kurka–Vejnar);

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
  - $K$  contains a closed non-metrisable 0-dim. subspace,
  - $K$  contains a non-separable subspace,
  - $K$  contains a non-Lindelöf subspace,
  - $K$  is Rosenthal,
  - $C(K)$  is Grothendieck.
- **Theorem (K.–Kochanek):**  $S_{C(K)}$  contains an uncountable  $(1+)$ -separated set (K.–Kochanek; significantly improved by Cúth–Kurka–Vejnar);
- **Theorem (Koszmider):** The existence of an uncountable  $(1 + \varepsilon)$ -separated family in the unit sphere of  $C(K)$  is independent of ZFC.

# $C(K)$ -spaces

$K$  a non-metrisable, cpt space.

- Two papers from 2016: Mercourakis–Vassiliadis and K.–Kochanek address this. Many sufficient conditions for the existence of 2-separated subsets of  $S_{C(K)}$ , e.g.:
  - $K$  contains a closed non-metrisable 0-dim. subspace,
  - $K$  contains a non-separable subspace,
  - $K$  contains a non-Lindelöf subspace,
  - $K$  is Rosenthal,
  - $C(K)$  is Grothendieck.
- **Theorem (K.–Kochanek)**:  $S_{C(K)}$  contains an uncountable  $(1+)$ -separated set (K.–Kochanek; significantly improved by Cúth–Kurka–Vejnar);
- **Theorem (Koszmider)**: The existence of an uncountable  $(1 + \varepsilon)$ -separated family in the unit sphere of  $C(K)$  is independent of ZFC.

# Eventually all is good

Theorem B (to be addressed by Tommaso in more detail)

- *Suppose that  $X$  is 'large enough' ( $w^*$ -dens  $X^* > \exp_2 c$ ). Then both  $S_X$  and  $S_{X^*}$  contain an uncountable  $(1+)$ -separated family.*

# Eventually all is good

Theorem B (to be addressed by Tommaso in more detail)

- *Suppose that  $X$  is 'large enough' ( $w^*$ -dens  $X^* > \exp_2 c$ ). Then both  $S_X$  and  $S_{X^*}$  contain an uncountable  $(1+)$ -separated family.  
In particular, this holds when  $\text{dens } X > \exp_3 c$ .*

# Eventually all is good

Theorem B (to be addressed by Tommaso in more detail)

- Suppose that  $X$  is 'large enough' ( $w^*$ -dens  $X^* > \exp_2 c$ ). Then both  $S_X$  and  $S_{X^*}$  contain an uncountable  $(1+)$ -separated family.  
In particular, this holds when  $\text{dens } X > \exp_3 c$ .
- Let  $X$  be a WLD space with  $\text{dens } X > c$ . Then  $S_X$  and  $S_{X^*}$  contain uncountable  $(1+)$ -separated families.

# Eventually all is good

Theorem B (to be addressed by Tommaso in more detail)

- Suppose that  $X$  is 'large enough' ( $w^*$ -dens  $X^* > \exp_2 c$ ). Then both  $S_X$  and  $S_{X^*}$  contain an uncountable  $(1+)$ -separated family.  
In particular, this holds when  $\text{dens } X > \exp_3 c$ .
- Let  $X$  be a WLD space with  $\text{dens } X > c$ . Then  $S_X$  and  $S_{X^*}$  contain uncountable  $(1+)$ -separated families.

# Reflexive spaces

## Theorem (K.–Kochanek)

- *Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;*

# Reflexive spaces

## Theorem (K.–Kochanek)

- *Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;*
- *Let  $X$  be super-reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family with cardinality  $\lambda$ .*

# Reflexive spaces

## Theorem (K.–Kochanek)

- Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;
- Let  $X$  be super-reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family with cardinality  $\lambda$ .

## Theorem C

- Let  $X$  be a reflexive Banach space. Then there is a  $(1+)$ -separated family  $S_X$  of cardinality  $\text{dens } X$ ;

# Reflexive spaces

## Theorem (K.–Kochanek)

- Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;
- Let  $X$  be super-reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family with cardinality  $\lambda$ .

## Theorem C

- Let  $X$  be a reflexive Banach space. Then there is a  $(1+)$ -separated family  $S_X$  of cardinality  $\text{dens } X$ ;
- Let  $X$  be reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon = \varepsilon(\lambda) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality  $\lambda$ .

# Reflexive spaces

## Theorem (K.–Kochanek)

- Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;
- Let  $X$  be super-reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family with cardinality  $\lambda$ .

## Theorem C

- Let  $X$  be a reflexive Banach space. Then there is a  $(1+)$ -separated family  $S_X$  of cardinality  $\text{dens } X$ ;
- Let  $X$  be reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon = \varepsilon(\lambda) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality  $\lambda$ .
- Let  $X$  be super-reflexive. Then, for some  $\varepsilon = \varepsilon(X) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality

# Reflexive spaces

## Theorem (K.–Kochanek)

- Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;
- Let  $X$  be super-reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family with cardinality  $\lambda$ .

## Theorem C

- Let  $X$  be a reflexive Banach space. Then there is a  $(1+)$ -separated family  $S_X$  of cardinality  $\text{dens } X$ ;
- Let  $X$  be reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon = \varepsilon(\lambda) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality  $\lambda$ .
- Let  $X$  be super-reflexive. Then, for some  $\varepsilon = \varepsilon(X) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality  $\text{dens } X$ .

# Reflexive spaces

## Theorem (K.–Kochanek)

- Let  $X$  be a non-separable, reflexive Banach space. Then there is an uncountable  $(1+)$ -separated family in  $S_X$ ;
- Let  $X$  be super-reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family with cardinality  $\lambda$ .

## Theorem C

- Let  $X$  be a reflexive Banach space. Then there is a  $(1+)$ -separated family  $S_X$  of cardinality  $\text{dens } X$ ;
- Let  $X$  be reflexive and  $\lambda \leq \text{dens } X$  have uncountable cofinality. Then, for some  $\varepsilon = \varepsilon(\lambda) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality  $\lambda$ .
- Let  $X$  be super-reflexive. Then, for some  $\varepsilon = \varepsilon(X) > 0$ ,  $S_X$  contains a  $(1 + \varepsilon)$ -separated family of cardinality  $\text{dens } X$ .

# This result is quite sharp

**Example (K.–Kochanek):** The space

$$X := \left( \bigoplus_{n \in \mathbb{N}} \ell_{p_n}(\omega_n) \right)_{\ell_2} \quad (p_n)_{n=1}^{\infty} \subseteq (1, \infty), p_n \nearrow \infty$$

is reflexive, yet  $S_X$  does not contain  $(1 + \varepsilon)$ -separated subsets of cardinality  $\omega_\omega = \text{dens } X$ .

# This result is quite sharp

**Example (K.–Kochanek):** The space

$$X := \left( \bigoplus_{n \in \mathbb{N}} \ell_{p_n}(\omega_n) \right)_{\ell_2} \quad (p_n)_{n=1}^{\infty} \subseteq (1, \infty), p_n \nearrow \infty$$

is reflexive, yet  $S_X$  does not contain  $(1 + \varepsilon)$ -separated subsets of cardinality  $\omega_\omega = \text{dens } X$ .

**Theorem (Hájek)**

*There exists a reflexive space  $X$  with  $\text{dens } X = \omega_1$  such that for every  $p \in (1, \infty)$  there is no injective linear operator  $X \rightarrow \ell_p(\omega_1)$ .*

## The idea for the final clause of Theorem C

Every non-separable reflexive Banach space has a PRI (Lindenstrauss).

## The idea for the final clause of Theorem C

Every non-separable reflexive Banach space has a PRI (Lindenstrauss).  
Benyamini and Starbird noticed that the Gurarii–James inequality for super-reflexive spaces may be rephrased as follows:

## The idea for the final clause of Theorem C

Every non-separable reflexive Banach space has a PRI (Lindenstrauss).

Benyamini and Starbird noticed that the Gurarii–James inequality for super-reflexive spaces may be rephrased as follows:

For any  $\varepsilon > 0$  and every PRI  $(P_\alpha)_{\omega \leq \alpha \leq \lambda}$  in  $X$  ( $\lambda = \text{dens } X$ ), there is  $p \in (1, \infty)$  such that

$$T: X \longrightarrow \left( \bigoplus_{\omega \leq \alpha < \lambda} (P_{\alpha+1} - P_\alpha)(X) \right)_{\ell_p([\omega, \lambda])}$$

given by

$$Tx = (P_{\alpha+1}x - P_\alpha x)_{\omega \leq \alpha < \lambda} \quad (x \in X)$$

has norm at most  $2 + \varepsilon$ .

## The idea for the final clause of Theorem C

Every non-separable reflexive Banach space has a PRI (Lindenstrauss).

Benyamini and Starbird noticed that the Gurarii–James inequality for super-reflexive spaces may be rephrased as follows:

For any  $\varepsilon > 0$  and every PRI  $(P_\alpha)_{\omega \leq \alpha \leq \lambda}$  in  $X$  ( $\lambda = \text{dens } X$ ), there is  $p \in (1, \infty)$  such that

$$T: X \longrightarrow \left( \bigoplus_{\omega \leq \alpha < \lambda} (P_{\alpha+1} - P_\alpha)(X) \right)_{\ell_p([\omega, \lambda])}$$

given by

$$Tx = (P_{\alpha+1}x - P_\alpha x)_{\omega \leq \alpha < \lambda} \quad (x \in X)$$

has norm at most  $2 + \varepsilon$ .

We use this to construct a linear injection from a subspace of  $X$  that maps some unit vectors onto the unit vector basis of  $\ell_p(\lambda)$ .

...but the main problem persists

*Must the unit sphere of a non-separable space contain  
an uncountable  $(1+)$ -separated subset?*

...but the main problem persists

*Must the unit sphere of a non-separable space contain  
an uncountable  $(1+)$ -separated subset?*

Thank you for your attention!