

# My Report about Operator Theory

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# Contents

<b>1</b>	<b>Topological Vector Spaces and Banach Spaces</b>	<b>2</b>
1.1	Topological Vector Spaces . . . . .	2
1.1.1	Topological Spaces . . . . .	2
1.1.2	Definition and Properties . . . . .	8
1.1.3	Continuous Linear Maps . . . . .	12
1.1.4	Complete Topological Vector Spaces . . . . .	12
1.1.5	Finite Dimensional Topological Vector Spaces . . . . .	14
1.2	Locally Convex Topological Vector Spaces . . . . .	16
1.2.1	Definition by Convex Sets . . . . .	16
1.2.2	Definition by Seminorms . . . . .	18
1.2.3	Separability and Metrizability . . . . .	20
1.2.4	Continuous Linear Maps on LCTVS . . . . .	21
1.3	The Hahn-Banach Theorem . . . . .	22
1.3.1	Two Forms of Hahn-Banach Theorem . . . . .	22
1.3.2	Applications . . . . .	23
1.4	Banach Spaces . . . . .	25
1.4.1	Elementary Properties . . . . .	25
1.4.2	Linear Transformations and Linear Functionals . . . . .	26
1.4.3	Weak Topologies . . . . .	30
1.4.4	Adjoint Operators . . . . .	33
1.5	Hilbert Spaces . . . . .	35
1.5.1	Projction Theorem and Riesz Theorem . . . . .	35
1.5.2	Ajoint Operators . . . . .	38
1.5.3	Orthonormal Sets and Schauder Basis . . . . .	39
<b>2</b>	<b>Banach Algebras and <math>C^*</math>-Algebras</b>	<b>42</b>
2.1	Banach Algebras . . . . .	42
2.1.1	Elementary Properties . . . . .	42
2.1.2	Spectrum . . . . .	44
2.1.3	Riesz Functional Calculus . . . . .	47

# Chapter 1

## Topological Vector Spaces and Banach Spaces

### 1.1 Topological Vector Spaces

Linear operations, i.e addition and scalar multiplication, provide an algebraic structure on a set, therefore constructing a vector space. In the course, linear algebra, we have learn the algebraic structure of finite dimensional vector spaces. But how to deal with infinite dimensional vector spaces? By learning the topological spaces, we know that the topological structure can give us a method to research properties of infinity. Thus, we need to equip a vector space with an additional topological structure, which should coincide with the algebraic structure. This is the reason why we define the topological vector space.

#### 1.1.1 Topological Spaces

■ **Definition:** First, we define the topological structure on a general set.

**Definition 1.** A topological space  $X = (X, \mathcal{T}_X)$  consists of a set  $X$ , called the underlying space of  $X$ , and a family  $\mathcal{T}_X$  of subsets of  $X$  s.t.

- 1)  $X, \emptyset \in \mathcal{T}_X$ .
- 2) if  $U_\alpha \in \mathcal{T}_X$  for  $\alpha \in A$ , then  $\bigcup_{\alpha \in A} U_\alpha \in \mathcal{T}_X$ .
- 3) if  $U_1, U_2 \in \mathcal{T}_X$ , then  $U_1 \cap U_2 \in \mathcal{T}_X$ .

And,  $\mathcal{T}_X$  is called a topology on  $X$ . The element in  $\mathcal{T}_X$  is called open set.

Thus, the topological structure on a set  $X$  is totally determined by the family  $\mathcal{T}_X$ . In particular, from 2), we can simplify  $\mathcal{T}_X$ . In other words, like the basis of a vector space, there is a "basis" of  $\mathcal{T}_X$ .

**Definition 2.** If  $X$  is a set, a basis for a topology on  $X$  is a family  $\mathcal{B}$  of subsets of  $X$ , s.t.

- 1)  $\forall x \in X, \exists B \in \mathcal{B}, \text{ s.t. } x \in B.$
- 2) if  $x \in B_1 \cap B_2$ , where  $B_1, B_2 \in \mathcal{B}$ , then there is a  $B_3 \in \mathcal{B}$ , s.t.  $B_3 \subset B_1 \cap B_2.$

$\mathcal{B}$  can generate a topology  $\mathcal{T}_X$  on  $X$  by doing infinite times union of elements in  $\mathcal{B}$ . In fact,

$$\mathcal{T}_X = \{ U \subset X : U = \bigcup_{\alpha \in A} U_\alpha, U_\alpha \in \mathcal{B} \}, \text{ where } A \text{ is any index set.}$$

We can do more on the basis by 3).

**Definition 3.** A subbasis of a topology on  $X$  is a collection  $\mathcal{S}$  of subsets of  $X$ , whose union is  $X$ . The topology generated by  $\mathcal{S}$  is noted by  $\mathcal{T}(\mathcal{S})$ .

In fact, we can generate the basis of  $\mathcal{T}(\mathcal{S})$  by  $\mathcal{S}$ , that is,

$$\mathcal{B} = \{ U \subset X : U = \bigcap_{\alpha=1}^n U_\alpha, U_\alpha \in \mathcal{S}, n \in \mathbb{N} \}$$

Therefore, this basis can generate the coincided topology on  $X$ .

■ **Continuous maps:** Next, we need to endow the general maps with the topological structure.

**Definition 4.** Let  $X, Y$  be topological spaces and  $f: X \rightarrow Y$  be a map. We say  $f$  is continuous if

$$\forall V \in \mathcal{T}_Y, f^{-1}(V) \in \mathcal{T}_X.$$

In other words, if  $f: X \rightarrow Y$  is a continuous map,  $\mathcal{T}_X$  has "more" elements than  $\mathcal{T}_Y$  has. To get more rigorous discription, we define the following concept.

**Definition 5.** Let  $X$  be a set and  $\mathcal{T}, \mathcal{T}'$  be two topologies on  $X$  we say that  $\mathcal{T}$  is coarser than  $\mathcal{T}'$  if  $\mathcal{T} \subset \mathcal{T}'$ .

Therefore, if  $f: X \rightarrow Y$  is a continuous map, the topology  $\mathcal{T}(f^{-1}(\mathcal{T}_Y))$  is coarser than  $\mathcal{T}_X$ .

■ **Generating topologies:** We use above methods to generate some interested topologies on a set.

- 1) Initial topology: Given maps  $f_\alpha: X \rightarrow Y_\alpha$  ( $\alpha \in A$ ) from a set  $X$  to a family of topological spaces  $\{Y_\alpha: \alpha \in A\}$ . Let

$$\mathcal{S} = \{ f_\alpha^{-1}(V): V \in \mathcal{T}_{Y_\alpha}, \alpha \in A \}$$

Then  $\mathcal{T}(\mathcal{S})$  is the coarsest topology on  $X$  such that each  $f_\alpha$  is continuous, called the initial topology induced by the family of maps  $\{f_\alpha: \alpha \in A\}$ .

- 2) Final topology: Given maps  $f_\alpha: X_\alpha \rightarrow Y$  ( $\alpha \in A$ ) from a family of topological spaces  $\{X_\alpha: \alpha \in A\}$  to a set  $Y$ . Let

$$\mathcal{S} = \{ V: f_\alpha^{-1}(V) \in \mathcal{T}_{X_\alpha}, \alpha \in A \}$$

Then  $\mathcal{T}(\mathcal{S})$  is the finest topology on  $Y$  such that each  $f_\alpha$  is continuous, called the final topology induced by the family of maps  $\{f_\alpha: \alpha \in A\}$ .

Here is some important examples using above way to generate topologies.

**Example 6.** (Initial topology)

- 1) Subspace topology: Let  $Y$  be a topological space and  $X \subset Y$  be a subset of  $Y$ . The inclusion map  $i: X \rightarrow Y$  can generate the initial topology  $\mathcal{T}_X$  on  $X$ , then  $X$  become a subspace of  $Y$ . In fact,

$$\mathcal{T}_X = \{ X \cap U: U \in \mathcal{T}_Y \}$$

- 2) Product topology: Let  $\{Y_\alpha: \alpha \in A\}$  be a family of topological spaces. The product set is

$$\prod_{\alpha \in A} Y_\alpha = \{ A \xrightarrow{f} \bigcup_{\alpha \in A} Y_\alpha: \forall \alpha \in A, f(\alpha) \in Y_\alpha \}$$

There is a family of maps  $\{p_\beta: \prod_{\alpha \in A} Y_\alpha \rightarrow Y_\beta (\beta \in A)\}$ . Therefore, these maps can generate the initial topology  $\mathcal{T}$  on  $\prod_{\alpha \in A} Y_\alpha$  and let  $\prod_{\alpha \in A} Y_\alpha$  be the product topological space. In fact,

$$\mathcal{T} = \{ \prod_{\alpha \in A} V_\alpha: V_\alpha \in \mathcal{T}_{Y_\alpha} \text{ \& } \#\{\alpha \in A: V_\alpha \neq Y_\alpha\} < \infty \}$$

*Remark.* The condition,  $\#\{\alpha \in A: V_\alpha \neq Y_\alpha\} < \infty$ , is because that when the subbasis generates the basis, only finite many elements can do intersection.

**Example 7.** (Final topology)

Quotient topology: For a topological space  $X$  on which an equivalent relation  $R$  is fixed,  $\pi: X \rightarrow X/R$  is the quotient map, then the quotient set can be equipped with the final topology  $\mathcal{T}$  generated by the quotient map. Therefore,  $X/R$  become a quotient topological space. In fact,

$$\mathcal{T} = \{ U \subset X/R: \pi^{-1}(U) \in \mathcal{T}_X \}$$

■ **Countability and metrizable topology:** When learning the analysis of real functions, we usually use the sequence to describe the topological properties. But in some general topology, we cannot just use sequence since some properties of "uncountability". In this case, the concept of net can be applied to some "uncountable" topologies. Furthermore, there is a class of more special topology, metrizable topology, which has some better properties.

**Definition 8.** (Net)

1) Direct set: A direct set  $(D, \geq)$  consists of a nonempty set  $D$  and a relation  $\geq$  on  $D$ , satisfies:

- i)  $\forall d \in D, d \geq d$
- ii)  $\forall d_1, d_2, d_3 \in D, \text{ if } d_3 \geq d_2 \text{ \& } d_2 \geq d_1, \text{ then } d_3 \geq d_1$
- iii)  $\forall d, d' \in D, \exists d'' \text{ s.t. } d'' \geq d \text{ \& } d'' \geq d'.$

2) if  $X$  is a set, a net is a map  $x: D \rightarrow X$  from a direct set  $D$  to  $X$

**Example 9.** If  $X$  is a topological space and  $x \in X$ , then let

$$D = \{ \text{all open neighbourhoods of } x \}, U \geq V \Leftrightarrow U \subset V$$

Then  $D$  is a direct set and  $x_\alpha (\alpha \in D)$  is a net. And we say  $x_\alpha \rightarrow x$  if and only if

$\forall$  open neighbourhood  $U$  of  $x$  in  $X, \exists \delta \in D, \forall \alpha \in D$  with  $\alpha \geq \delta \Rightarrow x_\alpha \in U$

Nets can be used as sequences in topological spaces. Like,

**Proposition 10.** If  $X$  is a topological space and the net  $x_\alpha (\alpha \in D)$  defined above and  $A \subset X$ , then

- 1)  $\overline{A} = \{ x \in X : \exists x_\alpha \text{ in } A, x_\alpha \rightarrow x \}$
- 2)  $f: X \rightarrow Y$  is continuous between two topological spaces,  $x_0 \in X$ ,  $f$  is continuous at  $x_0$ , if and only if  
 $\forall$  net  $x_\alpha (\alpha \in D)$ , s.t.  $x_\alpha \rightarrow x_0 \Rightarrow f(x_\alpha) \rightarrow f(x_0)$

**Definition 11.** (Countability)

- 1) First countability: For a topological space  $X$ ,  $X$  is called first countable if for each point  $x \in X$ ,  $x$  has a countable neighbourhood basis.
- 2) Second countability: A topological space  $X$  is second countable if it has the countable topological basis.

*Remark.* Clearly, the second countable topological space is first countable, but the converse is not true.

In particular, if  $X$  is first countable, sequences can be used to illuminate topological properties rather than nets. Like,

**Proposition 12.** *If  $X$  is first countable, then*

- 1)  $U \subset X$  is closed  $\Leftrightarrow \forall x \in U, \exists$  a sequence  $\{x_n\} \subset U$ , s.t.  $x_n \rightarrow x$ .
- 2) sequential compactness is equivalent to compactness.

And for the second countability, it is about the separability.

**Definition 13.** (Separability)

- 1) A subset  $A$  of a topological space  $X$  is called dense if  $\overline{A} = X$ .
- 2) A topological space is called separable if it has a countable dense subset.

By the definition, we can clearly know that:

**Proposition 14.** *If  $X$  is a second countable topological space, then it is separable and every open covering of  $X$  has a finite subcollection covering  $X$ .*

We can classify topological spaces into some classes.

**Definition 15.**  $X$  is a topological space, then we call  $X$  is:

- ( $T_0$ )  $\forall x, y \in X, \exists$  open  $U \subset X$ , s.t.  $x \in U$  but  $y \notin U$  or  $y \in U$  but  $x \notin U$   
(Kolmogorov space)
- ( $T_1$ )  $\forall x, y \in X, \exists$  open  $U, V \subset X$ , s.t.  $x \in U$  but  $y \notin U$  and  $y \in V$  but  $x \notin V$   
( $\Leftrightarrow \forall x \in X, \{x\}$  is closed)
- ( $T_2$ )  $\forall x, y \in X, \exists$  open  $U, V \subset X$ , s.t.  $x \in U$  &  $y \in V$  and  $U \cap V = \emptyset$   
(Hausdorff space)
- ( $T_3$ )  $T_1$  holds and  $\forall x \in X$  and closed  $C \subset X$ , if  $x \notin C$ , then  $\exists$  open  $U, V \subset X$ , s.t.  $x \in U$  &  $C \subset V$  and  $U \cap V = \emptyset$  (regular space)
- ( $T_4$ )  $T_1$  holds and  $\forall$  closed  $C_1, C_2 \subset X$ , if  $C_1 \cap C_2 = \emptyset$ , then  $\exists$  open  $U, V \subset X$ , s.t.  $C_1 \subset U$  &  $C_2 \subset V$  and  $U \cap V = \emptyset$   
(normal space)

Then we can specify a class of more powerful topological space.

**Definition 16.** If  $X$  is a topological space, then  $X$  is said to be metrizable if there exists a metric  $d$  on the set  $X$  that induces the topology of  $X$ .

*Remark.* Clearly, if  $X$  is metrizable,  $X$  is second countable and normal.

Here is two metrization theorems provides the essence of metric spaces.

**Theorem 17.** (*Metrization theorems*)

*Urysohn* A topological space is separable and metrizable if and only if it is regular, Hausdorff and second countable.

*Nagata–Smirnov* A topological space is metrizable if and only if regular, Hausdorff and has a  $\sigma$ -locally finite basis.

■ **Complete metric space:** For a metric space, we know it is first countable, so the concept of net is unnecessary. And thus sequences are enough to determine the topological structures, like that sequential compactness is equivalent to compactness.

**Proposition 18.** A compact subset of a metric space is closed, bounded and separable.

*Remark.* it is clearly, since compactness is also about finity.

For any metric space, we can use the following theorem to get a completion of that and this completion is unique. Thus, we can always assume a metric space is complete.

**Theorem 19.** Let  $(X, d)$  be a metric space. Then, there exists a metric space  $(\hat{X}, \hat{d})$  with the following properties:

- 1)  $(\hat{X}, \hat{d})$  is complete.
- 2) There is an embedding  $\sigma$  from  $X$  to  $\hat{X}$ .
- 3)  $\sigma(X)$  is dense in  $\hat{X}$ .

And this  $(\hat{X}, \hat{d})$  is unique with respect to isomorphism.

Complete metric space is important since it is "sufficiently large". Rigorously, we can use the following definition to describe it.

**Definition 20.** (Baire Category) A metric space is said to be of the first category if it can be written as a countable union of sets that are nowhere dense. Otherwise, it is of the second category.

**Proposition 21.** A complete metric space is a space of the second category.

■ **Filters:** For convenience, we define some terminologies.

**Definition 22.** A filter on a set  $X$  is a family  $\mathcal{F}$  of subsets of  $X$  satisfying the following conditions:

- 1)  $\emptyset \notin \mathcal{F}$
- 2)  $\mathcal{F}$  is closed under finite many intersections



- 3) Any subset of  $X$  containing a set in  $\mathcal{F}$  belongs to  $\mathcal{F}$ .

**Example 23.** For a topological space  $X$  and  $x \in X$ , and let

$$\mathcal{F}(x) = \{ \text{all neighbourhoods of } x \}$$

Then  $\mathcal{F}(x)$  is a filter and  $\mathcal{F}(x)$  satisfies the following properties:

- 1)  $\forall U \in \mathcal{F}(x), x \in U$
- 2)  $\forall U \in \mathcal{F}(x), \exists V \in \mathcal{F}(x), \text{ s.t. } \forall y \in V, U \in \mathcal{F}(y)$

And conversely, if we can find  $\mathcal{F}(x)$  for any  $x \in X$  with above two properties, these can define a unique topology  $\mathcal{T}$  s.t.  $\mathcal{F}(x)$  is the filter of neighbourhoods of  $x$  for any  $x \in X$ . In fact,

$$\mathcal{T} = \{ U \subset X : x \in U \Rightarrow U \in \mathcal{F}(x) \}$$

Also, we can define the basis of  $\mathcal{F}(x)$ , noted by  $\mathcal{B}(x)$ . That is  $\mathcal{B}(x) \subset \mathcal{F}(x)$  with the following properties:

- 1)  $\forall U \in \mathcal{B}(x), x \in U$
- 2)  $\forall U_1 \& U_2 \in \mathcal{B}(x), \exists U_3 \in \mathcal{B}(x), \text{ s.t. } U_3 \subset U_1 \cap U_2$
- 3) If  $y \in U \in \mathcal{B}(x), \exists W \in \mathcal{B}(y), W \subset U$

### 1.1.2 Definition and Properties

■ **Definition:** Now, we need to endow the topological structure on a vector spaces. And the most important thing is that the topological structure should coincide with the algebraic structure.

**Definition 1.** A vector space  $X$  over a field  $\mathbb{K}$  (where  $\mathbb{K} = \mathbb{C} \text{ or } \mathbb{R}$ ) is called a topological vector space if  $X$  is equipped with a topology  $\mathcal{T}$  s.t. the addition and the scalar multiplication, i.e.

$$\begin{aligned} (x, y) &\mapsto x + y \\ (\lambda, x) &\mapsto \lambda x \end{aligned}$$

are continuous with respect to the topology  $\mathcal{T}$ .

In this definition, the most important part is that the addition and the scalar multiplication are continuous. This condition provides some additional properties for the topology and also for the linear operations. First, it can simply the topology.

**Proposition 2.** Given a t.v.s.  $X$ ,

- 1) For any  $x_0 \in X$ , the map  $x \mapsto x + x_0$  is a homeomorphism.

2) For any  $\lambda \in \mathbb{K}$ , then map  $x \mapsto \lambda x$  is a homeomorphism.

*Proof.* It is clearly, since by the definition,  $x \mapsto x - x_0$  and  $x \mapsto \frac{1}{\lambda}x$  are continuous.  $\square$

Therefore, the topology of a t.v.s is completely determined by the filter of neighbourhoods of any point. Or, more rigorously,

**Corollary 3.** For a t.v.s  $X$ , the filter  $\mathcal{F}(x)$  of neighbourhoods of  $x \in X$  is as same as  $\{ U + x : U \in \mathcal{F}(e) \}$ , where  $e$  is the unit element in  $X$ .

Thus, to research the topology of a t.v.s.  $X$ , we just need to research the filter  $\mathcal{F}(e)$  of neighbourhoods of  $e$ . First, there are two special properties of some subsets of a t.v.s.  $X$ .

**Definition 4.** For a subset  $U$  of a t.v.s.  $X$ ,

- 1)  $U$  is absorbing if  $\forall x \in X, \exists \rho > 0$  s.t.  $\forall \lambda \in \mathbb{K}$  with  $|\lambda| \leq \rho$ , we have  $\lambda x \in U$ .
- 2)  $U$  is balanced if  $\forall x \in U, \forall \lambda \in \mathbb{K}$  with  $|\lambda| \leq 1$ , we have  $\lambda x \in U$ .

Then, the following theorem reveals the essence of  $\mathcal{F}(e)$ .

**Theorem 5.** A filter  $\mathcal{F}$  of a vector space  $X$  over  $\mathbb{K}$  is the filter of neighbourhoods of the unit element  $e$  w.r.t. some topology compatible with the algebraic structure of  $X$  if and only if

- 1)  $\forall U \in \mathcal{F}, e \in U$
- 2)  $\forall U \in \mathcal{F}, \exists V \in \mathcal{F}$  s.t.  $V + V \subset U$
- 3)  $\forall U \in \mathcal{F}, \forall \lambda \in \mathbb{K}$  with  $\lambda \neq 0, \lambda U \in \mathcal{F}$
- 4)  $\forall U \in \mathcal{F}, U$  is absorbing
- 5)  $\forall U \in \mathcal{F}, \exists V \in \mathcal{F}$  s.t.  $V \subset U$  is balanced

*Proof.* If  $\mathcal{F} = \mathcal{F}(e)$ , these statements clearly hold.

1) is trivial.

2) is true since the addition is continuous.

3) and 4) hold since the scalar multiplication is continuous.

For 5), because the scalar multiplication is continuous, we can find a  $W \in \mathcal{F}$  s.t.  $\lambda W \subset U$  for any  $|\lambda| \leq \rho$ , then let  $V = \bigcup_{|\lambda| \leq \rho} \lambda W$ . Clearly,  $V \in \mathcal{F}$  and  $V$  is balanced.

Conversely, We can define

$$\mathcal{F}(x) = \{ U + x : U \in \mathcal{F} \}$$

for any  $x \in X$ . It can be easily checked that  $\mathcal{F}(x)$  satisfies the conditions in Example 23 in last subsection. Therefore, these  $\mathcal{F}(x)$  can determine a unique topology  $\mathcal{T}$  on  $X$ .

Now, we just need to check the continuity of the addition and the scalar multiplication. The addition is continuous, since  $\mathcal{F}$  satisfies 2). Using conditions 2) and 4) and 5) to get a balanced absorbing open neighbourhood in  $\mathcal{F}$ , and this neighbourhood prove the continuity of the scalar multiplication.  $\square$

Here is some simple properties of a t.v.s.  $X$ . These properties are directly obtained by definition and above theorem.

**Proposition 6.** *For a t.v.s.  $X$ ,*

- 1) *proper subspaces of  $X$  are never absorbing. In particular, if  $M \subset X$  is a open subspace, then  $M = X$ .*
- 2) *each linear subspace of  $X$ , endowed with subspace topology, is also a t.v.s.*
- 3) *if  $H$  is a linear subspace of  $X$ , then  $\overline{H}$  is also a linear subspace of  $X$ .*
- 4) *if  $Y$  is also a t.v.s. and  $f: X \rightarrow Y$  is a linear map, then  $f$  is continuous if and only if  $f$  is continuous at the unit element  $e$ .*

■ **Hausdorff t.v.s. :** The Hausdorff Space is important since it can let the concept of limit make sense. And the topology of a t.v.s. can be simplified and has some additional properties, we can get a easier condition that make a t.v.s. become Hausdorff.

**Proposition 7.** *A t.v.s  $X$  is a Hausdorff space if and only if for any  $x \in X$  with  $x \neq e$  there exists a  $U \in \mathcal{F}(e)$  s.t.  $x \notin U$ .*

*Proof.* Since the open neighbourhoods of any point in  $X$  is completely determined by the open neighbourhoods of  $e$ , this proposition is equivalent to the statement that  $(T_1)$  implies Hausdorff.

The proof can be accomplished by obtaining a contradiction to the given condition that  $x \neq e$ ,  $\exists U \in \mathcal{F}(e)$  s.t.  $x \notin U$ . For that  $U$ , there is a balanced  $V \in \mathcal{F}(e)$  s.t.  $V + V \subset U$  and the balance implies that  $V - V \subset U$ . Therefore,  $(x + V) \cap V = \emptyset$ . If not,  $x + v_1 = v_2$  for  $v_1, v_2 \in V$ . This implies that  $x = v_1 - v_2 \in V - V \subset U$ . Thus it is a contradiction.  $\square$

The following theorem is more explicit.

**Theorem 8.** *For t.v.s.  $X$  the following statements are equivalent.*

- 1)  *$X$  is Hausdorff.*

2) the intersection of all neighbourhoods of the unit element  $e$  is  $\{e\}$ .

3)  $\{e\}$  is closed.

*Proof.* Before the rigorously proving, the intuition is clearly. Since in a t.v.s.  $(T_1)$  is equivalent to Hausdorff, the equivalence of 1) and 3) is clearly true.

- 1)  $\Rightarrow$  2) It is because that elements in  $\mathcal{F}(e)$  can separate  $e$  and other points.
- 2)  $\Rightarrow$  3) If  $x \in \overline{\{e\}}$ , i.e.  $\forall V_x \in \mathcal{F}(x), V_x \cap \overline{\{e\}} \neq \emptyset \Rightarrow e \in V_x$ , and  $V_x = U + x$  for some  $U \in \mathcal{F}(e)$ , then  $u + x = e$  for some  $u \in U$ . Thus,  $x = -u \in -U$  for all  $U \in \mathcal{F}(e)$ . That implies  $x = e$ .
- 3)  $\Rightarrow$  1) By above mentioned, it just needs to check that if for any topology space  $Y$ ,  $\{y\}$  is closed  $\forall y \in Y$ ,  $Y$  is  $(T_1)$ .  
 Since  $\{y_1\}$  is closed,  $Y \setminus \{y_1\}$  is open. That means if  $y_2 \neq y_1$ , there exists a open neighbourhood  $U$  of  $y_2$  s.t.  $y_1 \notin U$ . Similarly, we can find a open neighbourhood  $V$  of  $y_1$  s.t.  $y_2 \notin V$ . Therefore,  $Y$  is  $(T_1)$ .  $\square$

■ **Quotient t.v.s. :** For a linear subspace  $M$  of a t.v.s.  $X$ , the quotient topology on  $X/M$  can be obtained by the quotient map  $\pi: X \rightarrow X/M$ . But because of the algebraic structure, it has more properties.

**Proposition 9.** For a linear subspace  $M$  of a t.v.s.  $X$ , the quotient map  $\pi: X \rightarrow X/M$  is open.

*Proof.* Let  $V \subset X$  be open, then we have

$$\pi^{-1}(\pi(V)) = V + M = \bigcup_{m \in M} (V + m)$$

Since  $V$  is open,  $V + m$  is open. Thus  $\pi^{-1}(\pi(V))$  is open. And by the definition of the topology on  $X/M$ ,  $\pi(V)$  is open.  $\square$

**Corollary 10.** For a linear subspace  $M$  of a t.v.s.  $X$ , the quotient space  $X/M$  endowed with the quotient topology is a t.v.s..

*Proof.* We have the following commutative graph, where  $f$  and  $g$  are corresponding addition maps or scalar multiplication maps on  $X$  and  $X/M$ .

$$\begin{array}{ccc} X \times X & \xrightarrow{f} & X \\ \downarrow \pi \times \pi & & \downarrow \pi \\ X/M \times X/M & \xrightarrow{g} & X/M \end{array}$$

Then for an open set  $V \subset X/M$ , since  $f$  and  $\pi$  are continuous, and  $\pi$  is open,  $(\pi \times \pi) \circ f^{-1} \circ \pi^{-1}(V)$  is open. By above commutative graph, we have  $g \circ (\pi \times \pi) = \pi \circ f$ . Therefore,  $g^{-1}(V)$  is open, i.e.  $g$  is continuous.  $\square$

Also, we can find the condition that lets the quotient topological vector space be Hausdorff.

**Proposition 11.** *Let  $X$  be a t.v.s..*

- 1)  *$M$  be a linear subspace of  $X$ . Then  $X/M$  is Hausdorff if and only if  $M$  is closed.*
- 2)  *$X/\overline{\{e\}}$  is Hausdorff.*

*Proof.* 2) is true because 1). And 1) clearly holds since  $M$  is the unit element in  $X/M$  and Theorem 8 in this subsection.  $\square$

*Remark.* By this method, for any t.v.s., we can find a Hausdorff space w.r.t it.

### 1.1.3 Continuous Linear Maps

The interesting maps between two topological vector spaces not only preserve the algebraic structure, but also the topological structure, thus these are continuous linear maps.

First, for a linear map  $f: X \rightarrow Y$  between vector spaces  $X$  and  $Y$ , we have the commutative graph, where  $\tilde{f}(x + \ker f) = f(x)$  is well-defined.

$$\begin{array}{ccc} X & \xrightarrow{f} & \text{Im } f \xrightarrow{i} Y \\ \downarrow \pi & \nearrow \tilde{f} & \\ X/\ker f & & \end{array}$$

**Proposition 1.** *Let  $f: X \rightarrow Y$  be a linear map between two t.v.s.'s  $X$  and  $Y$ .*

- 1) *If  $Y$  is Hausdorff and  $f$  is continuous, then  $\ker f$  is closed.*
- 2) *By above notation,  $f$  is continuous if and only if  $\tilde{f}$  is continuous.*

*Proof.* 1) is because that  $\ker f = f^{-1}(\{e\})$  and  $Y$  is Hausdorff. For 2), if  $\tilde{f}$  is continuous, it is clearly that  $f = i \circ \tilde{f} \circ \pi$  is continuous. Conversely, it is because of the universal property of quotient maps. And in this case, let  $U \subset \text{Im } f$  be open, then  $f^{-1}(U)$  is open and  $\tilde{f}^{-1}(U) = \pi(f^{-1}(U))$ . Since  $\pi$  is open,  $\tilde{f}^{-1}(U)$  is open. Thus,  $\tilde{f}$  is continuous.  $\square$

### 1.1.4 Complete Topological Vector Spaces

We have just defined the completeness on a metric space by using sequence, but in metric spaces, we know the topology is so powerful that sequences can do any thing, but in general topology, or the topology in a t.v.s., we need an equivalent concept to describe the completeness.

**Definition 1.** (Completeness)

- 1) A filter  $\mathcal{F}$  on a subset  $A$  of a t.v.s.  $X$  is said to be a Cauchy filter if

$$\forall U \in \mathcal{F}(0) \text{ in } X, \exists M \subset A \text{ s.t. } M \in \mathcal{F} \text{ \& } M - M \subset U$$

- 2) A subset  $A$  of a t.v.s.  $X$  is said to be complete if every Cauchy filter on  $A$  converges to a point  $x \in A$ .

*Remark.* Said "the filter converges to a point" means that we can define a net on this filter, and this net converge a point. And this definition is also valid without the algebraic structure.

By this definition, and using the factor that Hausdorff spaces let the limit point of a net uniquely exist, we have similar results comparing with the metric spaces.

**Proposition 2.** *Let  $X$  be a t.v.s..*

- 1) *If  $X$  is Hausdorff, any complete set is closed.*
- 2) *If  $X$  is complete, any closed set is complete.*

We known any metric space can be completion. Similarly, the same result can obtained in any t.v.s..

**Theorem 3.** *Let  $X$  be a Hausdorff t.v.s., then there exists a complete Hausdorff t.v.s.  $\hat{X}$  and a map  $i: X \rightarrow \hat{X}$  with the following properties.*

- 1)  *$i$  is a topological monomorphism.*
- 2)  *$\overline{i(X)} = \hat{X}$ .*
- 3) *For any complete Hausdorff t.v.s.  $Y$  and for every continuous linear map  $f: X \rightarrow Y$ , there exists a continuous map  $\hat{f}: \hat{X} \rightarrow Y$ , s.t. the following graph is commutative*

$$\begin{array}{ccc} X & \xrightarrow{f} & Y \\ \downarrow i & \nearrow \hat{f} & \\ \hat{X} & & \end{array}$$

*And  $(\hat{X}, \hat{f})$  is unique with respect to the isomorphism*

*Proof.* The proof is similar as the proof of the completion of metric spaces, which constructs the  $\hat{X}$  as a set of equivalent classes of Cauchy sequences. In a t.v.s., we just need to replace Cauchy sequences by Cauchy filters (in fact, Cauchy nets). Let

$$\begin{aligned}
\tilde{X} &= \{ \text{all Cauchy filters in } X \} \\
R &: \mathcal{F} R \mathcal{G} \Leftrightarrow \forall U \in \mathcal{F}(e), \exists A \in \mathcal{F} \ \& \ B \in \mathcal{G} \text{ s.t. } A - B \subset U \\
\hat{X} &= \tilde{X}/R
\end{aligned}$$

We can easily define linear operations and topology, s.t.  $\hat{X}$  become a complete t.v.s.. Then we just need to check the statements in above theorem hold.  $\square$

### 1.1.5 Finite Dimensional Topological Vector Spaces

For a finite dimensional topological vector space, the topology compatible with the algebraic structure has some properties coincided with the "finiteness". First, continuous linear functionals on a t.v.s. have some properties.

**Lemma 1.** *Let  $X$  be a t.v.s. over  $\mathbb{K}$ . Fixed  $v \in X$ , then the  $\phi_v: \mathbb{K} \rightarrow X$  by  $\xi \mapsto \xi v$  is continuous,*

*Proof.* It is because that  $\phi_v = f \circ \psi_v$  where  $f$  is the multiplication map.

$$\begin{array}{ccccc}
\mathbb{K} & \xrightarrow{\psi_v} & \mathbb{K} \times X & \xrightarrow{f} & X \\
\xi & \mapsto & (\xi, v) & \mapsto & \xi v
\end{array}$$

$\square$

**Lemma 2.** *For a non-zero linear functional  $L: X \rightarrow \mathbb{K}$ , where  $X$  is a t.v.s. over  $\mathbb{K}$ , the following statements are equivalent.*

- 1)  $L$  is continuous,
- 2)  $\ker L$  is closed,
- 3)  $\ker L$  is not dense in  $X$ ,
- 4)  $L$  is bounded in some neighbourhood of the origin in  $X$ .

*Proof.* The equivalence of 1) and 2) and 4) is clearly.

- 1)  $\Rightarrow$  2) It is because that  $\ker L = L^{-1}(\{0\})$ .
- 2)  $\Rightarrow$  3) Since  $L$  is non-zero, it clearly holds.
- 3)  $\Rightarrow$  4) By the assumption, there exists a balanced set  $V \in \mathcal{F}(e)$  and a point  $x \notin \overline{\ker L}$  s.t.  $(x + V) \cap \ker L = \emptyset$ .  $L(V)$  is balanced on  $\mathbb{K}$ , therefore  $L(V)$  is bounded or  $L(V) = \mathbb{K}$ . But since  $(x + V) \cap \ker L = \emptyset$ ,  $L(V) \neq \mathbb{K}$ .
- 4)  $\Rightarrow$  1) This implies that  $L$  is continuous at  $e$ . But since  $X$  is a t.v.s.,  $L$  is continuous at every point.  $\square$

**Theorem 3.** *Let  $X$  be a finite dimensional Hausdorff t.v.s. over  $\mathbb{K}$  (endowed with the standard topology), and  $\dim X = d$ . Then we have:*

- 1)  $X$  is topologically isomorphic to  $\mathbb{K}^d$ ,
- 2) every linear functional on  $X$  is continuous,
- 3) every linear map from  $X$  to any t.v.s.  $Y$  is continuous

*Proof.* For 1), we just need to find a homeomorphic isomorphism from  $\mathbb{K}^d$  to  $X$ , like the following map, where  $\{e_i\}_{i=1}^d$  is the basis of  $X$ .

$$\begin{array}{ccc} \mathbb{K}^d & \xrightarrow{\phi} & X \\ (\lambda_1, \lambda_2, \dots, \lambda_d) & \longmapsto & \lambda_1 e_1 + \lambda_2 e_2 + \dots + \lambda_d e_d \end{array}$$

$\phi$  is clearly an algebraic isomorphism. Thus we just need to check  $\phi$  is both continuous and open.

Check:  $\phi$  is continuous.

When  $d = 1$ , it is continuous by above lemma. For the general case, since  $d$  is finite,  $\phi$  is continuous.

Check: 2) holds and  $\phi$  is open.

When  $d = 1$ , it is clearly 1) and 2) are true. And suppose 1) and 2) hold for  $\dim X \leq d-1$ , then when  $\dim X = d$ , let  $L$  be a non-zero linear function on  $X$ . Then since  $X/\ker L \cong \text{Im } L \subset \mathbb{K}$ ,  $\dim \ker L = d-1$ . Therefore,  $\ker L \cong \mathbb{K}^{d-1} \Rightarrow \ker L$  is complete  $\Rightarrow \ker L$  is closed  $\Rightarrow L$  is continuous by above lemma. And,

$$\begin{array}{ccc} X & \xrightarrow{\phi^{-1}} & \mathbb{K}^d \\ \lambda_1 e_1 + \lambda_2 e_2 + \dots + \lambda_d e_d & \longmapsto & (\lambda_1, \lambda_2, \dots, \lambda_d) \end{array}$$

is continuous since each

$$\lambda_1 e_1 + \lambda_2 e_2 + \dots + \lambda_d e_d \longmapsto \lambda_i$$

is continuous.

Then for 3), it is clearly since  $\dim \text{Im } L < \infty$ . □

#### **Corollary 4.**

- 1) Every finite dimensional Hausdorff t.v.s. is complete.
- 2) Every finite dimensional subspace of a Hausdorff t.v.s. is closed.
- 3) For a finite dimensional vector space, there is only one topology w.r.t. homeomorphism that can make it be a Hausdorff t.v.s..
- 4) Every bounded subset on a finite dimensional Hausdorff t.v.s. is compact.

*Proof.* These properties can be easily obtained by regarding the t.v.s. as  $\mathbb{K}^d$  endowed with the standard topology. □



Finally, the most important theorem in this subsection is that the converse of 4) in above corollary is also true.

**Theorem 5.** *A Hausdorff t.v.s. is locally compact if and only if it is finite dimensional.*

*Proof.* Let  $X$  be a locally compact Hausdorff t.v.s. and  $K$  be a compact neighbourhood of  $e$  in  $X$ , i.e.

$$\exists x_1, \dots, x_r \in X \text{ s.t. } K \subset \bigcup_{i=1}^r (x_i + \frac{1}{2}K)$$

Let  $M = \text{span}\{x_1, \dots, x_r\}$ , and  $M$  is closed. Therefore,  $X/M$  is a Hausdorff t.v.s.. Let  $\pi: X \rightarrow X/M$  be the quotient map.

Since  $K \subset M + \frac{1}{2}K$ ,  $\pi(K) \subset \pi(\frac{1}{2}K)$ . Thus, by iterating  $\pi(2^n K) \subset \pi(K)$ .

As  $K$  is absorbing,  $X = \bigcup_{n=1}^{\infty} 2^n K$ ,

$$X/M = \pi(X) = \bigcup_{n=1}^{\infty} \pi(2^n K) \subset \pi(K) \subset X/M$$

And since  $\pi$  is continuous,  $\pi(K)$  is compact, i.e.  $X/M$  is compact.

claim:  $\dim X/M = 0$

Suppose  $\dim X/M > 0$ , then for some  $\overline{x_0} \in X$  with  $\overline{x_0} \neq \overline{e}$ ,  $\mathbb{R}\overline{x_0} \subset X/M$ .

And since  $X/M$  is Hausdorff compact and  $\mathbb{R}\overline{x_0}$  is closed,  $\mathbb{R}\overline{x_0}$  is compact, which is a contradiction.  $\square$

## 1.2 Locally Convex Topological Vector Spaces

The locally convex topological vector space is a topological vector spaces whose topology is generated by a family of seminorms, thus it can provide more properties.

### 1.2.1 Definition by Convex Sets

Firstly, the conception of locally convex space can be obtained by convex sets. So, we need to research some elementary traits of convex sets.

**Definition 1.**

- 1) Let  $S$  be any subset of a vector space  $X$  over  $\mathbb{K}$ . The convex hull of  $S$ ,  $\text{conv}(S)$ , is the smallest convex subset containing  $S$ . In fact,

$$\text{conv}(S) = \left\{ \sum_{i=1}^n \lambda_i x_i : x_i \in S, \lambda_i \in [0, 1], \sum_{i=1}^n \lambda_i = 1, n \in \mathbb{N} \right\}$$

- 2) A subset  $S$  of a vector space  $X$  over  $\mathbb{K}$  is absolutely convex, if  $S$  is convex and balanced
- 3) A subset  $S$  of a vector space  $X$  over  $\mathbb{K}$  is called a barrel if  $S$  is closed, absorbing and absolutely convex.

**Proposition 2.**

- 1) Arbitrary intersections of convex sets are convex sets, and the sum of two convex sets is convex, and linear maps preserve convex.
- 2) The convex hull of a balanced set is balanced.
- 3) The closure and the interior of a convex set in a t.v.s. is convex.
- 4) Every neighbourhood of the origin of a t.v.s. is contained in a neighbourhood of the origin which is a barrel.

*Proof.* 1) and 2) are easily obtained by the definition.

To prove 3), for any  $\lambda \in [0, 1]$ , we define the map

$$\begin{aligned} \phi : X \times X &\longrightarrow X \\ (x, y) &\mapsto \lambda x + (1 - \lambda)y \end{aligned}$$

Using the fact that  $\phi(S \times S) \subset S$ ,  $S \times S \subset \phi^{-1}(S)\phi^{-1}(\overline{S})$ . And since  $X$  is a t.v.s.,  $\phi$  is continuous. Thus  $\phi^{-1}(\overline{S})$  is closed, i.e.  $\overline{S} \times \overline{S} \subset \phi^{-1}(\overline{S}) \Rightarrow \phi(\overline{S} \times \overline{S}) \subset \overline{S}$ .  $\overline{S}$  is convex.

Since  $z + u = \lambda x + (1 - \lambda)y + \lambda u + (1 - \lambda)u$  if  $z = \lambda x + (1 - \lambda)y$ ,  $x + U$  &  $y + U \subset S \Rightarrow z + U \subset S$ . That means  $\mathring{S}$  is convex.

For 4),  $\forall U \in \mathcal{F}(e)$ , the set

$$\overline{\text{conv} \left( \bigcup_{|\lambda| \leq 1} \lambda U \right)}$$

is a barrel. □

**Corollary 3.** Every neighbourhood of the origin in a t.v.s.  $X$  is contained in a neighbourhood of the origin which is absolutely convex.

Now, we can get the definition of a locally convex t.v.s..

**Definition 4.** A t.v.s.  $X$  is said to be locally convex if there is a basis of neighbourhoods of the origin in  $X$  consisting of convex sets.

By this definition, the structure of the neighbourhoods of the origin in a locally convex t.v.s. can be more explicit by using above proposition.

**Proposition 5.** Let  $X$  be a locally convex t.v.s..

1)  $X$  has a basis of neighbourhoods of origin consisting with open absorbing absolutely convex sets.

2)  $X$  has a basis of neighbourhoods of origin consisting with barrels.

**Theorem 6.** *If  $X$  is a locally convex t.v.s., then there exists a basis  $\mathcal{B}$  of neighbourhoods of origin consisting of absorbing absolutely convex set s.t.*

$$\forall U \in \mathcal{B}, \forall \rho > 0, \exists W \in \mathcal{B} \text{ s.t. } W \subset \rho U$$

*Conversely, if  $\mathcal{B}$  is a collection of absorbing absolutely convex subsets of a vector space satisfying above condition, it can generate a unique locally convex t.v.s..*

### 1.2.2 Definition by Seminorms

**Definition 1.** Let  $X$  be a vector space over  $\mathbb{K}$ . A map  $p: X \rightarrow \mathbb{R}^+$  is called a seminorm if it satisfies:

- 1)  $p(x + y) \leq p(x) + p(y), \forall x, y \in X,$
- 2)  $p(\lambda x) = |\lambda| p(x), \forall x \in X, \forall \lambda \in \mathbb{K}.$

*Remark.* In fact,  $\ker p$  is a linear subspace and if  $\ker p = \{0\}$ ,  $p$  is called a norm.

By the intuition, the seminorm could construct the continuity of the addition and multiplication since it satisfies above properties. Now, we can build this rigorously.

**Definition 2.** Let  $X$  be a vector space and  $A \subset X$  be a nonempty subset. The Minkowski functional of  $A$  is the map

$$\begin{aligned} p_A : X &\longrightarrow \mathbb{R} \\ x &\longmapsto \inf \{ \lambda > 0 : x \in \lambda A \} \end{aligned}$$

Let  $X$  be a vector space and  $p$  is a seminorm on  $X$ , then let  $\mathring{U}_p = \{ x \in X : p(x) < 1 \}$ ,  $U_p = \{ x \in X : p(x) \leq 1 \}$ . Thus,  $U$  may be the basis generating the topology. To see it, the following proposition is helpful.

**Proposition 3.** *Let  $A \subset X$  be a nonempty subset of a vector space, which is absorbing and absolutely convex, then  $p_A$  is a seminorm and  $\mathring{U}_{p_A} \subset A \subset U_{p_A}$ . Conversely, if  $q$  is a norm on  $X$  then  $\mathring{U}_q$  is an absorbing absolutely convex set and  $q = p_{\mathring{U}_q}$ .*

*Proof.* Since  $A$  is balanced,  $\xi A \in \lambda A \Leftrightarrow x \in \frac{\lambda}{|\xi|} A$ . Thus,

$$p_A(x) = |\xi| \inf \left\{ \frac{\lambda}{|\xi|} : x \in \frac{\lambda}{|\xi|} A \right\} = |\xi| p_A(x)$$

And  $p_A(x) < \infty$  ( $\forall x \in X$ ) since  $A$  is absorbing.

Fixed  $x, y \in X, \forall \varepsilon > 0, \exists \lambda, \mu > 0$ , s.t.  $x \in \lambda A$  &  $y \in \mu A$  and

$$\lambda \leq p_A(x) + \varepsilon, \mu \leq p_A(y) + \varepsilon,$$

By convexity of  $A$ ,  $\lambda A + \mu A \subset (\lambda + \mu)A$ . Thus,

$$p_A(x) = \inf \{ \delta > 0 : x \in \delta A \} \leq \lambda + \mu \leq p_A(x) + p_A(y) + 2\varepsilon$$

$\Rightarrow p_A(x)$  is a seminorm.

$$\begin{aligned} x \in \mathring{U}_{p_A} &\Rightarrow \exists \lambda \in [0, 1] \text{ s.t. } x \in \lambda A \subset A \\ x \in A &\Rightarrow 1 \in \inf \{ \lambda > 0 : x \in \lambda A \} \Rightarrow p_A(x) \leq 1 \Rightarrow x \in U_{p_A} \end{aligned}$$

That means  $\mathring{U}_{p_A} \subset A \subset U_{p_A}$ .

Finally, the statements for  $q$  can be obtained easily by the definition.  $\square$

Now, we can give the definition of a locally convex t.v.s. by seminorms coinciding with the definition by convex sets.

**Theorem 4.** *Let  $X$  be a vector space and  $\mathcal{P} = \{p_i\}_{i \in I}$  be a family of seminorms. Then the initial topology  $\mathcal{T}_P$  generated by  $\mathcal{P}$  makes  $X$  be a locally convex t.v.s. In fact, the basis of neighbourhoods of the origin in  $X$  is like*

$$\mathcal{B} = \{ \{x \in X : p_{i_1}(x) < \varepsilon, \dots, p_{i_n}(x) < \varepsilon\} : i_1, \dots, i_n \in I, n \in \mathbb{N}, \varepsilon > 0 \}$$

*Conversely, the topology of any locally convex t.v.s. can be generated by a family of seminorms.*

*Proof.* Each element in the subbasis of  $\mathcal{T}_P$  is like  $\{x \in X : p_i(x) < \varepsilon\} = \varepsilon \mathring{U}_{p_i}$ , which is clearly absorbing and absolutely convex. Therefore, every element in  $\mathcal{B}$  is convex.  $(X, \mathcal{T}_P)$  is a locally convex t.v.s..

Conversely, if  $(X, \mathcal{T})$  is a locally convex t.v.s., the basis of neighbourhoods of the origin in  $X$  consists of absorbing and absolutely convex sets, which can generate a family of seminorms by above proposition. Therefore, these seminorms can generate a locally convex topology  $\mathcal{T}_P$ . In fact,  $\mathcal{T}_P = \mathcal{T}$ , since  $\mathring{U}_{p_A} \subset A \subset U_{p_A}$ .  $\square$

*Remark.* By this theorem, in a vector space  $X$ , the seminorms on  $X$  can coincide with a locally convex topology making  $X$  be a t.v.s..

There some extra properties for the seminorms on a vector space.

**Proposition 5.** *Let  $X$  be a vector space and  $p$  be a seminorm on  $X$ . Then,*

$$1) \forall r > 0, r\mathring{U}_p = \{x \in X : p(x) < r\} = \mathring{U}_{\frac{1}{r}p}.$$

$$2) \forall x \in X, x + \mathring{U}_p = \{y \in X : p(y - x) < 1\}.$$

3) if  $q$  is a seminorm on  $X$ ,  $p \leq q \Leftrightarrow \mathring{U}_q \subset \mathring{U}_p$ .

4) if  $\{s_i\}_{i=1}^n$  are seminorms on  $X$ , then  $s(x) = \max_{i=1, \dots, n} s_i(x)$  is also a seminorm and  $\mathring{U}_s = \bigcap_{i=1}^n \mathring{U}_{s_i}$

**Theorem 6.** Let  $\mathcal{P} = \{p_i\}_{i \in I}$  and  $\mathcal{Q} = \{q_j\}_{j \in J}$  be two families of seminorms on a vector space  $X$  inducing  $\mathcal{T}_P$  and  $\mathcal{T}_Q$ , then

$$\mathcal{T}_Q \subset \mathcal{T}_P \Leftrightarrow \forall q \in \mathcal{Q}, \exists \{i_k\}_{k=1}^n \subset I, \exists C > 0, \text{ s.t. } Cq(x) \leq \max_{k=1, \dots, n} p_{i_k}(x)$$

*Proof.* This right side of above statement is equivalent to that

$$\forall q \in \mathcal{Q}, \exists \{i_k\}_{k=1}^n \subset I, \exists C > 0, \text{ s.t. } C \bigcap_{k=1}^n \mathring{U}_{p_{i_k}} \subset \mathring{U}_q$$

So, it is clearly equivalent to  $\mathcal{T}_Q \subset \mathcal{T}_P$ . □

*Remark.* Because of this, we have the definition of equivalent norms. In fact, two norms  $p$  and  $q$  are said to be equivalent if and only if there exists  $C_1, C_2 > 0$ , s.t.  $C_1 p(x) \leq q(x) \leq C_2 p(x)$ , for all  $x \in X$ . This definition means that two equivalent norms can generate one same topology.

**Corollary 7.** The family  $\mathcal{P} = \{p_i\}_{i \in I}$  of seminorms and  $\mathcal{Q} = \{ \max_{i \in B} p_i : \emptyset \neq B \subset I \text{ with } B \text{ finite} \}$  can generate one same topology on  $X$

### 1.2.3 Separability and Metrizable

For a t.v.s.,  $(T_1)$  is equivalent to Hausdorff and  $(T_1)$  is associated with the ability of a topology separating points. Therefore, wheather a t.v.s. is a Hausdorff space or not is completely determined by wheather the topology of it can separate points or not. Then for a locally convex t.v.s., whose topology is induced by a family of seminorms, this separability is related to these seminorms.

**Definition 1.** A family of seminorms  $\mathcal{P} = \{p_i\}_{i \in I}$  on a vector space  $X$  is said to be separating, if

$$\forall x \in X \setminus \{0\}, \exists i \in I \text{ s.t. } p_i(x) \neq 0$$

*Remark.* In fact, above condition is equivalent to

$$\text{if } p_i(x) = 0, \forall i \in I \Rightarrow x = 0$$

Now, we can give the condition that makes a locally convex t.v.s. be Hausdorff.

**Theorem 2.** *A locally convex t.v.s.  $X$  is Hausdorff if and only if its topology can be induced by a separating family of seminorms  $\mathcal{P} = \{ p_i \}_{i \in I}$ .*

*Proof.* If  $\mathcal{P} = \{ p_i \}_{i \in I}$  is separating, the fact that  $\mathcal{T}_P$  is Hausdorff can be obtained easily by the definition.

Conversely, if  $X$  is Hausdorff, for  $x \neq 0$ , we can find a  $U \in \mathcal{F}(0)$ , s.t.  $U$  can separate  $x$  and 0. But since  $X$  is locally convex,  $U$  can be chosen as  $\mathring{U}_p$  for a seminorm  $p$ . Thus, for this  $p$ ,  $p(x) \neq 0$ .  $\square$

For the metrizable of a locally convex t.v.s., the consequence is also easier than general case.

**Theorem 3.** *A locally convex t.v.s.  $X$  is metrizable if and only if its topology is determined by a countable separating family of seminorms.*

*Proof.* It can be directly obtained by the Nagata–Smirnov’s Metrization Theorem. Also, there is a more explicit proof. If the topology of  $X$  is generated by a countable separating family of seminorms  $\mathcal{P} = \{ p_n \}_{n=1}^\infty$ , we can define the metric  $d$  on  $X$  by

$$d(x, y) = \sum_{n=1}^{\infty} 2^{-n} \frac{p_n(x - y)}{1 + p_n(x - y)}$$

Conversely, if  $(X, d)$  is the metric space, the subbasis of the topology generated by this metric is like  $U_n = \{x: d(x, 0) < 1/n\}$ . And these  $U_n$  can provide a countable separating family of seminorms. In fact, if  $\mathcal{Q} = \{ q_i \}_{i \in I}$  generates the topology of  $X$ , for each  $U_n$ , there are  $q_1, \dots, q_k \in \mathcal{Q}$  and  $\varepsilon_1, \dots, \varepsilon_k > 0$ , s.t.  $\bigcap_{i=1}^k \{x: q_i(x) < \varepsilon_i\} \subset U_n$ . Then let  $p_n = \sum_{i=1}^k \varepsilon_i^{-1} q_i$ . It can check that the family  $\{p_n\}_{n=1}^\infty$  generate the coincided topology on  $X$ .  $\square$

#### 1.2.4 Continuous Linear Maps on LCTVS

To give the special property of continuous linear maps on LCTVS, we need firstly refine the family of seminorms.

**Definition 1.** A family  $\mathcal{Q} = \{ q_j \}_{j \in J}$  of seminorms on a vector space  $X$  is said to be directed if

$$\forall j_1, \dots, j_n \in \mathcal{Q}, \exists j \in J \text{ \& } C > 0, \text{ s.t. } Cq_j(x) \geq \max_{k=1, \dots, n} q_{j_k}(x), \forall x \in X$$

*Remark.* By **Proposition 5** in **1.2.2**, this definition is equivalent to that

$$\forall \mathring{U}_{q_{j_1}}, \dots, \mathring{U}_{q_{j_n}}, \exists \mathring{U}_{q_j} \text{ s.t. } \mathring{U}_{q_j} \subset \bigcap_{k=1}^n \mathring{U}_{q_{j_k}}$$

And thus the basis of this directed family of seminorms should be like

$$\mathcal{B}_d = \{ r\mathring{U}_q: q \in \mathcal{Q}, r > 0 \}$$

By this special topology, we can find the condition making linear functional continuous.

**Proposition 2.** *Let  $\mathcal{T}$  be a locally convex topology on a vector space  $X$  generated by a directed family  $\mathcal{Q}$  of seminorms on  $X$ . Then*

$$L: X \longrightarrow \mathbb{K}$$

*is a  $\mathcal{T}$ -continuous linear functional if and only if  $\exists q \in \mathcal{Q}$  s.t.  $L$  is  $q$ -continuous, i.e.  $|L(x)| \leq Cq(x)$  for some  $C > 0$ .*

*Proof.* In fact, this property of continuous linear functional is because the element in a directed locally convex topology is like  $r\mathring{U}_q$ . In fact, we just need to check the origin point.

If  $L$  is continuous, there exists a  $r\mathring{U}_q$  s.t.  $r\mathring{U}_q \subset L^{-1}(B_1(0))$ , where  $B_1(0)$  is the unit ball centered at 0. This is equivalent to the  $q$ -continuity of  $L$ .

Conversely, it is clearly by the fact  $\mathcal{T}_q \subset \mathcal{T}$ .  $\square$

We can easily see that the topology of a locally convex t.v.s. can be always induced by a directed family of seminorms by the **Corollary 7** in **1.2.2**. Thus, we have the corollary.

**Corollary 3.**  *$(X, \mathcal{T})$  is a locally convex t.v.s. and  $\mathcal{T}$  is generated by the family  $\mathcal{P} = \{p_i\}_{i \in I}$ . Then  $L: X \longrightarrow \mathbb{K}$  is a continuous linear functional if and only if*

$$\exists i_1, \dots, i_n \in I, \exists C > 0 \text{ s.t. } |L(x)| \leq C \max_{k=1, \dots, n} p_{i_k}(x), \forall x \in X$$

And this corollary can be easily extended to linear maps. And the proof is similar as above statement. In fact, we just need to replace  $B_1(0)$  by  $\mathring{U}_q$ .

**Theorem 4.** *Let  $X$  and  $Y$  be two locally convex t.v.s.'s generated by  $\mathcal{P}$  and  $\mathcal{Q}$ . Then linear map  $f: X \rightarrow Y$  is continuous if and only if*

$$\forall q \in \mathcal{Q}, \exists p_1, \dots, p_n \in \mathcal{P}, \exists C > 0 \text{ s.t. } q(f(x)) \leq C \max_{i=1, \dots, n} p_i(x)$$

## 1.3 The Hahn-Banach Theorem

### 1.3.1 Two Forms of Hahn-Banach Theorem

**Theorem 1** (Geometric form). *Let  $X$  be a t.v.s. over  $\mathbb{K}$ ,  $N$  be a linear subspace of  $X$  and  $\Omega$  be a convex open subset of  $X$  with  $N \cap \Omega = \emptyset$ . Then there is a closed hyperplane  $H$  of  $X$  s.t.*

$$N \subset H \quad \& \quad H \cap \Omega = \emptyset$$

*Proof.* Assume that  $\Omega \neq \emptyset$ .

Let  $\mathcal{F} = \{ \text{all linear subspace } L \text{ of } X \text{ s.t. } N \subset L \text{ and } L \cap \Omega = \emptyset \}$ .

Since  $N \in \mathcal{F}$ ,  $\mathcal{F} \neq \emptyset$ . And  $\mathcal{F}$  can be ordered by " $\subset$ ". Clearly, for every chain  $\mathcal{C} = \{C_i\}_{i \in I} \in \mathcal{F}$ , it has a maximal element  $C = \bigcup_{i \in I} C_i \in \mathcal{F}$ . Then by Zorn's Lemma, there exists a maximal  $H \in \mathcal{F}$ . And this  $H$  is closed because the maximality of  $H$ .

In fact, we just need to check  $\dim X/H = 1$ . In the case  $\mathbb{K} = \mathbb{R}$ , if  $\dim X/H \geq 2$ , then we can find one dimensional subspace  $L$  in  $X$  s.t.  $L \oplus H$  satisfies above condition. Then it is a contradiction to the maximality of  $H$ . And for  $\mathbb{K} = \mathbb{C}$ , using above process to get a real hyperplane  $H_0$  and then  $H = H_0 \cap iH_0$  is the hyperplane we need.

The main difficulty of this proof is to construct  $L$ . In fact, we just need to find a line  $\tilde{L}$  in  $X/H$  s.t.  $\tilde{L} \cap A = \emptyset$ , where  $A = \bigcup_{\lambda > 0} \lambda \pi(\Omega)$  is a cone. This  $\tilde{L}$  can easily be found because we can find  $\bar{x}, -\bar{x} \in X/H \setminus A$  with  $\bar{x} \neq \bar{0}$  by using the fact that  $\dim X/H \geq 2$ .  $\square$

*Remark.* In this theorem, if  $N$  is an affine linear subspace, then the  $H$  can be chosen as a affine hyperplane satisfying above condition. It is clear by using translation.

**Theorem 2** (Analytic form). *Let  $p$  be a seminorm on a vector space  $X$  over  $\mathbb{K}$ ,  $M$  is a linear space of  $X$  and  $f$  is a linear functional on  $M$  s.t.  $|f(x)| \leq p(x)$ ,  $\forall x \in M$ . Then there is a linear function  $\tilde{f}$  on  $X$  s.t.  $\tilde{f}(x) = f(x)$ ,  $\forall x \in M$  and  $|\tilde{f}(x)| \leq p(x)$ ,  $\forall x \in X$ .*

*Proof.* Let  $N = \{x \in M : f(x) = 1\}$  (affine hyperplane) and  $\Omega = \{x \in X : p(x) < 1\}$  (open convex set). Then since  $N \cap \Omega = \emptyset$ , we can find a closed affine hyperplane  $H$  of  $X$ , s.t.  $N \subset H$  and  $H \cap \Omega = \emptyset$ . Fixed  $x_0 \in N \subset H$ ,  $H - x_0$  is a hyperplane, thus it can generate a functional  $\tilde{f}$  on  $X$ . Set  $\tilde{f}(x_0) = 1$ , then define

$$\begin{aligned} \tilde{f} : \quad X = (H - x_0) \oplus \mathbb{K}x_0 &\longrightarrow \mathbb{K} \\ (h - x_0) + \lambda x_0 &\longmapsto \lambda \end{aligned}$$

Since  $M = (N - x_0) \oplus \mathbb{K}x_0$  and  $f(x_0) = 1$  and  $H \cap \Omega = \emptyset$ , we can easily check that  $\tilde{f}(x) = f(x)$ ,  $\forall x \in M$  and  $|\tilde{f}(x)| \leq p(x)$ ,  $\forall x \in X$ .  $\square$

### 1.3.2 Applications

By the geometric form of the Hahn-Banach Theorem, it says about hyperplanes can separate some non-intersecting subsets. And moreover, by the analytic form of the Hahn-Banach Theorem, since hyperplanes are linked with functionals, functionals can also separate some non-intersecting subsets in a t.v.s. First, we can define this association more explicit.



**Definition 1.** Let  $X$  be a t.v.s. over  $\mathbb{R}$  and  $H$  is a closed affine hyperplane. For  $A, B \subset X$  and  $A \cap B = \emptyset$ , we say  $A$  and  $B$  separated by  $H$ , if

$$\exists a \in \mathbb{R}, \text{ s.t. } H = f^{-1}(\{a\}) \text{ for some } f: X \rightarrow \mathbb{R} \text{ \& } f(A) \geq a, f(B) \leq a.$$

**Theorem 2.** Let  $X$  be a t.v.s. over  $\mathbb{R}$  and  $A, B$  be two disjoint convex non-empty subsets of  $X$ , then we have:

- 1) if  $A$  is open, then there exists a closed affine hyperplane  $H$  of  $X$  separating  $A$  and  $B$ .
- 2) if  $A, B$  are open,  $H$  can strictly separate  $A$  and  $B$ .
- 3) if  $A$  is a cone and  $B$  is open, then  $H$  can be chosen as a hyperplane.

*Proof.* Let  $U = A - B$ . Clearly,  $U$  is open and convex and  $N = \{0\} \cap H = \emptyset$ . Therefore, there exists a continuous functional  $f$  on  $X$ , s.t.  $f(U) > 0$  i.e.  $f(x) > f(y), \forall x \in A \text{ \& } y \in B$ . Since  $B \neq \emptyset$ , let  $a = \inf_{x \in A} f(x) > -\infty$ . And thus 1) and 2) can be obtained.

For 3), if  $A$  is a cone, then  $tf(x) = f(tx) \geq a, \forall t > 0 \Rightarrow f(x) \geq \frac{a}{t}$ . Thus,  $f(A) \geq 0$ .  $H$  can be chosen as a hyperplane.  $\square$

For a locally convex t.v.s  $X$ , each point in  $X$  has some convex neighbourhoods. Therefore, we have following corollaries.

**Corollary 3.** Let  $X$  be a locally convex t.v.s over  $\mathbb{R}$ .

- 1) If  $A$  and  $B$  are two disjoint closed subsets and  $B$  is compact, then  $A$  and  $B$  are strictly separated.
- 2) If  $A$  is a closed convex subset of  $X$  and  $x \notin A$ , then  $x$  is strictly separated from  $A$ .
- 3) If  $A$  is a subset of  $X$ , then  $\overline{\text{span}\{A\}}$  is the intersection of all closed hyperplanes containing  $A$ .

And these consequences can be extended to  $\mathbb{C}$ .

**Theorem 4.** Let  $X$  be a locally convex t.v.s over  $\mathbb{C}$  and  $A, B$  be two disjoint closed convex subsets of  $X$ . If  $B$  is compact, then there is a continuous linear functional  $f: X \rightarrow \mathbb{C}$ , and  $\alpha \in \mathbb{R}$ , and  $\varepsilon > 0$  s.t.

$$\text{Re } f(x) \leq \alpha < \alpha + \varepsilon \leq \text{Re } f(y), \forall x \in A, \forall y \in B$$

## 1.4 Banach Spaces

The Banach space is a very special locally convex topological space, whose topology is generated by only one seminorm. To make this space be a Hausdorff space, this seminorm is actually a norm. And more, we need it become complete. So, a Banach space is a complete normed space. Because it is definitely a locally convex Hausdorff t.v.s., all results mentioned above can be applied on it. And we can have more interesting results of the Banach space because of its simple structure.

### 1.4.1 Elementary Properties

**Definition 1.** A normed space is a vector space  $X$  with a compatible norm  $\|\cdot\|$ , which makes it be a locally convex Hausdorff topological vector space. A Banach space is a complete normed space.

*Remark.* By this definition, we know that any result mentioned above can be also true for the Banach space  $(X, \|\cdot\|)$  by replacing the family of seminorms by the  $\|\cdot\|$ . Moreover, two equivalent norms on  $X$  provide same topology.

The properties of finite dimensional Banach spaces is in the subsection 1.1.5. And for the quotient space of a Banach space, we can get a more explicit expression of the induced quotient norm.

**Theorem 2.** Let  $(X, \|\cdot\|)$  be a Banach space and  $M$  be a closed linear subspace of  $X$  and  $\pi: X \rightarrow X/M$ , then the induced quotient norm on  $X/M$  is defined as  $\|x + M\| = \inf \{\|x + y\| : y \in M\}$ . Thus, using the consequences of the quotient t.v.s., we have following results.

- 1)  $\pi$  is continuous and  $\|\pi(x)\| \leq \|x\|$ .
- 2)  $X/M$  is a Banach space.
- 3)  $W \subset X/M$  is open if and only if  $\pi^{-1}(W)$  is open.
- 4)  $\pi$  is open.
- 5) if  $N$  is a finite dimensional subspace of  $X$ , then  $M + N$  is closed.

*Proof.* The element in the subbasis of the topology generated by  $\|\cdot\|$  at 0 is like  $U_\varepsilon = \{x \in X : \|x\| < \varepsilon\}$  for a fixed  $\varepsilon > 0$ . Therefore, the element  $V_\epsilon$  in the subbasis of the induced topology on  $X/M$  at 0 satisfies  $\pi^{-1}(V_\epsilon) = \{x : \|x\| < \epsilon\}$  for some  $\epsilon > 0$ , i.e.  $V_\epsilon = \{x + M : \|x + y_0\| < \epsilon, \exists y_0 \in M\}$ . Clearly,  $V_\epsilon$  is an absorbing absolutely convex set. Then the Minkowski functional  $p_\epsilon$  of  $V_\epsilon$  is like

$$\begin{aligned} p_\epsilon(x + M) &= \inf\{\lambda > 0 : x + M \in \lambda V_\epsilon\} \\ &= \inf\{\lambda > 0 : \|x + y_0\| < \lambda\epsilon, \exists y_0 \in M\} \\ &= \frac{1}{\epsilon} \inf\{\|x + y\| : y \in M\} \end{aligned}$$

Clearly, for any  $\epsilon > 0$ ,  $p_\epsilon$  is a norm and it is equivalent to the norm  $\|x + M\|$ . Thus the quotient topology is definitely generated by  $\|x + M\|$ . Then, 1) and 3) clearly hold by the definition. 2) is true since  $H$  is a Banach space. 4) is true for any general t.v.s.. 5) holds since  $N + M$  is a finite dimensional subspace of  $X/M$ .  $\square$

Similarly, we can define the norm on the product space of some Banach spaces.

**Definition 3.** Let  $\{X_i\}_{i=1}^p$  is a family of Banach spaces with norm  $\|\cdot\|$ . Then,

1) if  $1 \leq p < \infty$ ,

$$\oplus_{i=1}^p X_i = \left\{ x \in \prod_i X_i : \|x\| = \left[ \sum_{i=1}^p \|x_i\|^p \right]^{1/p} \right\}$$

2) if  $p = \infty$ ,

$$\oplus_{i=1}^\infty X_i = \left\{ x \in \prod_i X_i : \|x\| = \sup_i \{x(i)\} < \infty \right\}$$

#### 1.4.2 Linear Transformations and Linear Functionals

By results in **Theorem 4** in the subsection **1.2.4** the linear transformation  $T: X \rightarrow Y$  between two Banach spaces is continuous if and only if  $\exists C > 0$ , s.t.  $\|Tx\| \leq \|x\|$ ,  $\forall x \in X$ . Because of this property, we can define the norm of continuous linear transformation.

**Definition 1.** Let  $T: X \rightarrow Y$  between two Banach spaces be a linear transformation. Then the norm of  $T$  is defined as

$$\|T\| = \sup_{x \in X, x \neq 0} \frac{\|Tx\|}{\|x\|}$$

*Remark.* By this definition, we know  $T$  is continuous if and only if  $\|T\| < \infty$ , and we call  $T$  is bounded. Also, the formula of the norm can be

$$\|T\| = \sup_{\|x\|=1} \frac{\|Tx\|}{\|x\|}$$

Let  $\mathcal{B}(X, Y) = \{\text{all bounded linear transformations between } X \text{ and } Y\}$ .  $\mathcal{B}(X, Y)$  is a Banach space with this norm. Then in the space  $\mathcal{B}(X, Y)$ , there are two topologies. The first one is generated by a family of seminorms  $\{p_x\}_{x \in X}$ , where  $p_x(T) = \|Tx\|$ . And the second one is generated by the norm  $\|\cdot\|$ . In fact, the convergence of a sequence in  $\mathcal{B}(X, Y)$  with respect to the first one is about pointwise convergence, and with respect to the second one is about uniform convergence. Clearly, the second one is stronger. But in some case the first one can give some information of the first one.

**Theorem 2** (The Principle of Uniform Boundedness). *Let  $X$  be a Banach space and  $Y$  be a normed space, and  $\{T_i\}_{i \in I}$  be a subset of  $\mathcal{B}(X, Y)$ . If for any  $x \in X$   $\{\|T_i x\|\}_{i \in I}$  is bounded, then  $\{\|T_i\|\}_{i \in I}$  is bounded.*

*Proof.* Firstly, there is a open ball  $B(x_0, \varepsilon)$  such that for any  $x \in B(x_0, \varepsilon)$ ,  $\|T_i\| x \leq K$  for some constant  $K$ . Assume it is not true. We can find a family of open balls  $B(x_n, \varepsilon_n)$  s.t.  $B(x_n, \varepsilon_n) \subset B(x_{n-1}, \varepsilon_{n-1})$ ,  $\varepsilon_n < 1/n$ , and a sequence  $i_n \subset I$ , satisfying  $\|T_{i_n} x\| > n$ . And since each  $\overline{B(x_n, \varepsilon_n)}$  is compact, there is a  $z \in \bigcap_{n=1}^{\infty} \overline{B(x_n, \varepsilon_n)}$ . This contradicts to the boundedness of  $\{T_i z\}_{i \in I}$ .

Next, with this  $B(x_0, \varepsilon)$ , if  $y \in X$  and  $y \neq 0$ , then  $z = \frac{\varepsilon}{\|y\|} y + x_0 \in B(x_0, \varepsilon)$ . Therefore,

$$\frac{\varepsilon}{\|y\|} \|T_i y\| - \|T_i x_0\| \leq \left\| \frac{\varepsilon}{\|y\|} \|T_i y\| + \|T_i x_0\| \right\| = \|T_i z\| \leq K$$

Then since  $K' = \sup_{i \in I} \|T_i x_0\| < \infty$ ,

$$\|T_i y\| \leq \frac{K + K'}{\varepsilon} \|y\| < \infty$$

Thus  $\|T_i\|_{i \in I}$  is bounded. □

*Remark.* Let  $X^* = \mathcal{B}(X, \mathbb{K})$  be the continuous linear functional space. Above theorem can easily apply to it.

**Corollary 3.** *For a Banach space  $X$  and  $S \subset X^*$  a subset,  $S$  is normed bounded if and only if for every  $x \in X$ ,  $\sup\{|f(x)| : f \in S\} < \infty$ .*

Another important property of the linear transformation between two Banach spaces is that any continuous linear surjective transformation is open.

**Theorem 4** (Open Mapping Theorem). *Let  $X$  and  $Y$  be two Banach spaces and  $T: X \rightarrow Y$  be a continuous linear surjection. Then  $T$  is open.*

*Proof.* Let  $X_\varepsilon$  and  $Y_\varepsilon$  be two open balls in  $X$  and  $Y$  with centering at 0 and radius  $\varepsilon$ .

1) For any  $\varepsilon > 0$ , there is a  $\delta > 0$ , s.t.  $Y_\delta \subset \overline{T(X_\varepsilon)}$ .

By  $X = \bigcup_{n=1}^{\infty} nX_\varepsilon$ ,  $Y = \bigcup_{n=1}^{\infty} T(nX_\varepsilon)$ . Then since  $Y$  is the second Baire category, there exists  $n_0$  and a ball  $B_r(z) \subset Y$  s.t.  $B_r(z) \subset \overline{T(n_0 X_\varepsilon)}$  i.e.  $B_\delta(y_0) \subset \overline{T(X_\varepsilon)}$  with  $\delta = r/n$  and  $y_0 = z/n$ . Then since for any  $y \in Y_\delta$ ,  $y = (y + y_0) - y_0$

$$Y_\delta \subset \{y_1 - y_2 : y_1, y_2 \in B_\delta(y_0)\} \subset \overline{T(\{x_1 - x_2 : x_1, x_2 \in X_\varepsilon\})} \subset \overline{T(X_{2\varepsilon})}$$

2) For any  $\varepsilon_0 > 0$ , there is a  $\delta_0 > 0$ , s.t.  $Y_{\delta_0} \subset T(X_{2\varepsilon_0})$ .

Choose a positive sequence  $\{\varepsilon_n\}$  with  $\sum_{n=1}^{\infty} \varepsilon_n < \varepsilon_0$ , then there exists a positive sequence  $\delta_n$  with  $\delta_n \rightarrow 0$  s.t.  $Y_{\delta_n} \subset \overline{T(X_{\varepsilon_n})}$

For any  $y \in Y_{\delta_0}$ , there is a  $x_0 \in X_{\varepsilon_0}$ , s.t.  $\|y - Tx_0\| < \delta_1$ . since  $y - Tx_0 \in Y_{\delta_0}$ , there is a  $x_1 \in X_{\varepsilon_1}$  s.t.  $\|y - Tx_0 - Tx_1\| < \delta_2$ . Thus by induction, we can find a sequence  $\{x_n\}$  s.t.  $x_n \in X_{\varepsilon_n}$  and

$$\left\| y - T \left( \sum_{k=0}^n x_k \right) \right\| < \delta_{n+1}$$

And since  $\sum_{n=1}^{\infty} \varepsilon_n < \varepsilon_0$ , the sequence  $\sum_{k=0}^n x_k$  absolutely converges to  $x$  in  $X$ . And

$$\|x\| \leq \sum_{n=1}^{\infty} \|x_n\| \leq \sum_{n=1}^{\infty} \varepsilon_n < 2\varepsilon_0$$

By the continuity of  $T$  and  $\delta_n \rightarrow 0$ ,  $y = Tx$ . Therefore,  $Y_{\delta_0} \subset T(X_{2\varepsilon_0})$ .

3) For any open set  $G \subset X$  and  $y_0 = Tx_0$  with  $x_0 \in G$ , there is a open ball  $Y_\delta$  s.t.  $y_0 + Y_\delta \subset T(G)$ .

Since  $G$  is open, there is a open ball  $X_\varepsilon$  with  $x_0 + X_\varepsilon \subset G$ . Then there is a  $\delta > 0$  s.t.  $Y_\delta \subset T(X_\varepsilon)$ . Thus

$$y_0 + Y_\delta \subset Tx_0 + T(X_\varepsilon) = T(x_0 + X_\varepsilon) \subset T(G) \quad \square$$

Then there is a directed corollary from the Open Mapping Theorem.

**Corollary 5** (The Inverse Mapping Theorem). *Let  $X$  and  $Y$  be two Banach spaces and  $T: X \rightarrow Y$  be a continuous linear isomorphism, then  $T^{-1}$  is also bounded.*

**Corollary 6** (The Closed Graph Theorem). *Let  $X$  and  $Y$  be two Banach spaces and  $T: X \rightarrow Y$  be a linear transformation. If the graph of  $T$ ,  $G = \{x \oplus Tx: x \in X\}$  is closed, then  $T$  is continuous.*

*Proof.* Since  $X$  and  $Y$  are two Banach spaces and  $G$  is closed,  $G$  is also a Banach space. Let  $P_1: G \rightarrow X$  be  $P_1(x \oplus Tx) = x$  and  $P_2: G \rightarrow Y$  be  $P_2(x \oplus Tx) = Tx$ . Then  $P_1$  is bounded and bijective. Therefore, by the Inverse Mapping Theorem,  $P_1^{-1}: X \rightarrow G$  is continuous. Since  $P_2$  is also continuous,  $A = P_2 \circ P_1^{-1}$  is continuous.  $\square$

The next important theorem is Hahn-Banach Theorem. We have known the Hahn-Banach Theorem holds in any general t.v.s.. But for the Banach space, it can induce some interesting corollaries of the bounded linear functional space.

**Corollary 7.** *Let  $X$  be a Banach space. Then,*

- 1) if  $\{x_i\}_{i=1}^d$  is a linearly independent in  $X$ , and  $\{\alpha_i\}_{i=1}^d$  are arbitrary scalars, then there is a  $f \in X^*$  s.t.  $f(x_i) = \alpha_i$  for  $i = 1, \dots, d$ .
- 2) if  $Y$  is a linear subspace of  $X$  and  $x_0 \in X$  with  $\inf\{\|x_0 - y\| : y \in Y\} = d > 0$ , then there is a  $f \in X^*$  s.t.  $f(x_0) = 1$  and  $f(y) = 0 \forall y \in Y$  and  $\|f\| = d^{-1}$ .
- 3) if  $x \in X$ , then

$$\|x\| = \sup_{\|f\| \neq 0} \frac{|f(x)|}{\|f\|} = \sup\{|f(x)| : f \in X^*, \|f\| \leq 1\}$$

- 4) if  $x \neq y$  in  $X$ , then there is a  $f \in X^*$  s.t.  $f(x) \neq f(y)$ .
- 5) if  $Y$  is a linear subspace of  $X$  and  $Y$  is not dense, then there is  $f \in X^*$  with  $f \neq 0$  s.t.  $f(y) = 0 \forall y \in Y$ .
- 6) if  $Y$  is a linear subspace of  $X$ , then

$$\overline{Y} = \bigcap \{\ker f : f \in X^*, Y \subset \ker f\}$$

*Proof.* For 1), let  $Y = \text{span}\{x_i\}_{i=1}^d$  and  $g$  be a linear functional on  $Y$  with  $g(x_i) = \alpha_i$ , then  $g$  can extend to  $f$ .

For 2), let  $Y_1 = \text{span}\{Y, \{x_0\}\}$  and  $g$  be a linear functional on  $Y_1$  with  $g(y + \lambda x_0) = \lambda$ .

Then since  $\|y + \lambda x_0\| = |\lambda| \|\frac{1}{\lambda}y + x_0\| \geq |\lambda| d$ ,  $\|g\| \leq d^{-1}$ . Let  $\{y_n\} \in Y$  s.t.  $\|x_0 - y_n\| \rightarrow d$ , then  $1 = g(x_0 - y_n) \leq \|g\| \|x_0 - y_n\| \rightarrow \|g\| d$ .

Thus  $\|g\| = d^{-1}$ .  $g$  can extend to  $f$  on  $X$ .

For 3), clearly,  $\|x\| \geq \sup\{|f(x)| : f \in X^*, \|f\| \leq 1\}$ . But by above proof, there is a  $f(x) = \|x\|$  with  $\|f\| = 1$ .

4) and 5) can be easily obtained by the separability of continuous linear functionals and the fact that  $X$  is locally convex.

6) is a special case of **Corollary 3** in the subsection **1.3.2**.  $\square$

For linear functionals on a general vector space, there is a interesting result.

**Proposition 8.** Let  $f, \{f_k\}_{k=1}^n$  be linear functionals on a vector space  $X$ . If  $\bigcap_{k=1}^n \ker f_k \subset \ker f$ , then there are scalars  $\alpha_1, \dots, \alpha_n$  such that  $f = \sum_{k=1}^n \alpha_k f_k$ .

*Proof.* Assume for  $1 \leq k \leq n$ ,  $\bigcap_{j \neq k} \ker f_j \neq \bigcap_{j=1}^n \ker f_j$ .

Therefore, there is a  $y_k \in \bigcap_{j \neq k} \ker f_j$  s.t.  $y_k \notin \bigcap_{j=1}^n \ker f_j$ , i.e.  $f_j(y_k) = 0$  for  $j \neq k$  and  $f_k(y_k) \neq 0$ .

Thus we can find  $x_{k=1}^n$ , s.t.  $f_k(x_k) = 1$  and  $f_j(x_k) = 0$  for  $j \neq k$ .

Let  $\alpha_k = f(x_k)$ . For  $x \in X$ , let  $y = x - \sum_{k=1}^n \alpha_k f_k(x) x_k$ .

Then  $f_j(y) = f_j(x) - \sum_{k=1}^n \alpha_k f_k(x) f_j(x_k) = 0$ . Thus  $f(y) = 0$ ,

i.e.  $f(x) = \sum_{k=1}^n \alpha_k f_k(x)$ .  $\square$

### 1.4.3 Weak Topologies

In a Banach space  $X$ ,  $X^*$  denoted the set of all bounded linear functionals is also a Banach space with the induced norm. Then we can also find all bounded linear functionals on the space  $(X^*, \|\cdot\|)$ , denoted by  $X^{**}$ . By the Hahn-Banach Theorem, we can easily know the following proposition.

**Proposition 1.** *Let  $X$  be a Banach space. Then  $X$  can be isometrically embeded in  $X^{**}$ .*

*Proof.* Define the map  $\phi$ , where  $\hat{x}(f) = f(x)$ ,

$$\begin{aligned} \phi: X &\longrightarrow X^{**} \\ x &\longmapsto \hat{x} = \phi(x) \end{aligned}$$

Then by the corollary of Hahn-Banach Theorem,  $\|\hat{x}\| = \|x\|$ .  $\square$

*Remark.* In a special case, if  $X^{**} = \hat{X}$ , where  $\hat{X} = \pi(X)$ , then  $X$  is called a reflexive space.

For a Banach space  $X$  and  $X^*$ , we can define different topologies.

**Definition 2.** Let  $X$  be a Banach space.

- 1) The weak topology on  $X$ , denoted by  $wk$ , is generated by the family of seminorms  $\{p_f: f \in X^*\}$ , where  $p_f(x) = |f(x)|$ .
- 2) The weak\* topology on  $X^*$ , denoted by  $wk^*$ , is generated by the family of seminorms  $\{p_x: x \in X\}$ , where  $p_x(f) = |f(x)|$ .

*Remark.* Since the  $|f(x)| \leq \|f\| \|x\|$ , we can easily know  $wk$  on  $X$  and  $wk^*$  on  $X^*$  are weaker than the norm topology respectively.

- 1) The subbasis of the weak topology at  $x_0$  is like

$$U_\varepsilon(x_0) = \{x \in X: |f(x - x_0)| < \varepsilon\}$$

Therefore, a net  $\{x_\alpha\}$  in  $X$  converges weakly to  $x_0$  if and only if  $f(x_\alpha) \rightarrow f(x_0)$  for all  $f \in X^*$ .

- 2) The subbasis of the weak\* topology at  $f_0$  is like

$$V_\varepsilon(f_0) = \{f \in X^*: |(f - f_0)(x)| < \varepsilon\}$$

Therefore, a net  $\{f_\alpha\}$  in  $X^*$  converges weakly to  $f_0$  if and only if  $f_\alpha(x) \rightarrow f_0(x)$  for all  $x \in X$ .

There are some easy properties between these two topologies and the respective norm topology.

**Proposition 3.** *Let  $X$  be a Banach space. Then we have*

$$1) (X, wk)^* = X^*$$

$$2) (X^*, wk^*)^* = X$$

$$3) \text{ if } A \subset X \text{ is convex, then } \overline{A} = \overline{A}^{wk}$$

*Proof.* 1) can be obtained easily by the fact that  $wk$  is weaker than the norm topology and by the definition of continuous functionals.

For 2), because of the **Corollary 3** in the subsection **1.2.4** and the **Proposition 5** in the subsection **1.2.2** and the **Proposition 8**.

$$\begin{aligned} F \in (X^*, wk^*)^* &\Rightarrow |F(f)| \leq \sum_{i=1}^n |\hat{x}_k| \text{ for some } \{\hat{x}_k\}_{k=1}^n \subset \hat{X} \\ &\Rightarrow \bigcap_{k=1}^n \ker \hat{x}_k \subset \ker F \Rightarrow F = \sum_{k=1}^n \alpha_k \hat{x}_k \in \hat{X} \cong X \end{aligned}$$

And the converse is because  $wk^*$  is weaker than norm topology.

For 3), because  $wk$  is weaker than the norm topology,  $\overline{A} \subset \overline{A}^{wk}$ . By the separability of continuous functionals in **Theorem 4** in the **1.3.2**, we can find a  $f \in X^*$  s.t.  $f$  separates  $\overline{A}$  and any  $x \in X \setminus \overline{A}$  in using a positive real number  $\alpha$ . But  $\overline{A} \subset B = \{y \in X : \operatorname{Re} f(y) \leq \alpha\}$  and  $B$  is clearly  $wk$ -closed. Therefore,  $\overline{A}^{wk} \subset B$ .  $x \notin \overline{A}$  implies  $x \notin B$ , thus  $x \notin \overline{A}^{wk}$ , i.e.  $\overline{A}^{wk} \subset \overline{A}$ .  $\square$

Also, by the Hahn-Banach Theorem and the **Theorem 4** in the **1.2.4**, the bounded linear map can be characterized as the following statement.

**Proposition 4.** *Let  $T: X \rightarrow Y$  be a linear map between two Banach spaces. Then  $T$  is bounded if and only if  $T: (X, wk) \rightarrow (Y, wk)$  is continuous.*

By the **Theorem 3** in the **1.2.3**, we can easily see how to make  $X^*$  be  $wk^*$ -metrizable.

**Theorem 5.** *If  $X$  is a Banach space, then  $X^*$  is  $wk^*$ -metrizable if and only if  $X$  is separable.*

*Proof.* It is because that  $wk^*$  is generated by  $\{p_x : x \in X\}$ .  $\square$

Let  $Y$  be a closed subspace a Banach space  $X$ . We can define the orthogonal complement of  $Y$ ,  $Y^\perp = \{f \in X^* : Y \subset \ker f\}$  (similar definition in  $X^*$ ). Then we have the following theorem.

**Theorem 6.** *If  $Y$  is a closed subspace a Banach space  $X$  and  $\pi: X \rightarrow X/Y$  is the quotient map, then*

1) *the following map is an isometric isomorphism, i.e.  $X^*/Y^\perp \cong Y^*$ .*

$$\begin{aligned} \rho: \quad X^*/Y^\perp &\longrightarrow Y^* \\ f + Y^\perp &\longmapsto f|_Y \end{aligned}$$



2) the the following map is an isometric isomorphism, i.e.  $(X/Y)^* \cong Y^\perp$ .

$$\begin{array}{ccc} \kappa: & (X/Y)^* & \longrightarrow & Y^\perp \\ & f & \longmapsto & f \circ \pi \end{array}$$

*Proof.* For 1), clearly,  $\rho$  is linear and injective. Since for any  $f \in X^*$  and  $g \in Y^\perp$ ,

$$\|f|_Y\| = \|(f + g)|_Y\| \leq \|f + g\|$$

we have  $\|f|_Y\| \leq \|f + Y^\perp\|$ . By the Hahn-Banach Theorem, for any  $\phi \in Y^*$ , there is a  $f \in X^*$  with  $f|_Y = \phi$  and  $\|\phi\| = \|f\| \geq \|f + Y^\perp\|$ .

For 2), clearly  $\|\kappa(f)\| \leq \|f\|$ . We can find a sequence  $x_n + y_n$  with  $x_n \in X$  and  $y_n \in Y$  and  $\|x_n + y_n\| < 1$  s.t.

$$\|\kappa(f)\| \geq |\kappa(f)(x_n + y_n)| = f(x_n + Y) \rightarrow \|f\|$$

thus  $\kappa$  is an isometry. And by the universal property of quotient map, in the **Proposition 1** in the subsection **1.1.3**, we can prove that  $\kappa$  is surjective.

$$\begin{array}{ccc} X & \xrightarrow{f} & \mathbb{K} \\ \downarrow \pi & \nearrow \tilde{f} & \uparrow f' \\ X/\ker f & \xrightarrow{i} & X/Y \end{array}$$

□

We have an important theorem to describe the  $wk^*$ -compactness in dual space.

**Theorem 7** (Alaoglu's Theorem). *Let  $X$  be a normed space, then the unit ball in  $X^*$  is  $wk^*$ -compact.*

*Proof.* Let  $D_x = \{\alpha \in \mathbb{K} : |\alpha| \leq 1\}$  for any  $x \in X$ , then put  $D = \prod_{x \in X} D_x$ . By Tychonoff's Theorem,  $D$  is compact. Let the unit ball in  $X^*$  be denoted by  $B$  and  $\tau$  be defined as

$$\begin{array}{ccc} \tau: & B & \longrightarrow & D \\ & f & \longmapsto & \tau(f) \end{array}$$

where  $\tau(f)(x) = f(x)$ . Then we can prove that  $B$  is homeomorphic to  $\tau(B)$  with respect to the induced topology of  $D$  and  $\tau(B)$  is closed in  $D$ . Thus  $B$  is compact.

1) Injection:  $\tau(f) = \tau(g) \Rightarrow f(x) = g(x) \forall x \in B \Rightarrow f = g$ .

2) Continuity:  $f_i \rightarrow f \text{ } wk^* \Rightarrow \tau(f_i)(x) \rightarrow \tau(f)(x) \forall x \in B \Rightarrow \tau(f_i) \rightarrow \tau(f)$ .

- 3) Closedness:  $\tau(f_i) \rightarrow f \in D \Rightarrow f_i(x) \rightarrow f(x) \forall x \in B$ , then we extend  $f$  by defining  $\tilde{f}(x) = \alpha^{-1}f(\alpha x)$  for any  $x \in X$  and  $\alpha > 0$  with  $\|\alpha x\| \leq 1$ . It is well-defined by the linearity. Then  $\tilde{f} \in B$ .  $\tau(B)$  is closed, and  $\tau(B)$  is complete.
- 4) Homeomorphism:  $\tau: B \rightarrow \tau(B)$  is continuous linear map between two Banach spaces. Thus it is a homeomorphism.

□

**Corollary 8.** *Let  $X$  be a Banach space and  $Y$  is a closed linear subspace of  $X$ .*

- 1)  $X$  is reflexive if and only if the unit ball in  $X$  is weakly compact.
- 2) If  $X$  is reflexive and  $x_0 \in X \setminus Y$ , then there is a point  $y_0 \in Y$  s.t.  $\|x_0 - y_0\| = \inf\{y - x_0 : y \in Y\}$ .

*Proof.* For 1), by above theorem, the unit ball in  $X^{**}$  is  $wk^*$ -compact. Since  $X = X^{**}$ , the unit ball in  $X$  is  $wk$ -compact. The converse is similar as above proof.

For 2),  $Y$  is  $wk$ -compact by above corollary. Since by the Hahn-Banach Theorem, for each  $x$ , we can find a  $f \in X^*$  with  $\|f\| = 1$  and  $f(x) = x$ . The map  $x \mapsto \|x - x_0\|$  is weakly lower semicontinuous. Therefore, there is a  $y_0 \in Y$  s.t.  $\|x_0 - y_0\| = \inf\{y - x_0 : y \in Y\}$ . □

#### 1.4.4 Adjoint Operators

**Definition 1.** Let  $T: X \rightarrow Y$  be a bounded linear map between two Banach spaces. Then the adjoint of operator of  $T$  is defined as

$$\begin{aligned} T^*: Y^* &\longrightarrow X^* \\ f &\longmapsto f \circ T \end{aligned}$$

There are some easy properties of the adjoint operator, which can be obtained by the definition.

**Proposition 2.** *Let  $X, Y$  and  $Z$  be three Banach spaces and  $T \in \mathcal{B}(X, Y), S \in \mathcal{B}(Y, Z)$ . Then, we have*

- 1)  $T^{**}|_X = T$
- 2) the map  $T \rightarrow T^*$  is an isometric isomorphism.
- 3)  $(ST)^* = T^*S^*$ .
- 4)  $\ker T^* = (\text{ran } T)^\perp$  and  $\ker T = (\text{ran } T^*)^\perp$ .

Then for the 4) in above theorem, we can find dual consequences. Firstly, there is a useful lemma.

**Lemma 3.** Let  $T: X \rightarrow Y$  be a bounded linear map between two Banach spaces. Then  $\text{ran } T$  is closed if and only if there exists a constant  $C > 0$ , for any  $y \in \text{ran } T$  there is a point  $x \in X$  s.t.  $\|y\| \geq C \|x\|$ .

*Proof.* By the Open Mapping Theorem, for the unit open ball  $B \subset X$  and some  $\delta > 0$ , s.t.

$$\{y \in \text{ran } T: \|y\| < \delta\} \subset T(B)$$

Thus for any nonzero  $y \in \text{ran } T$ ,

$$\exists z \in B \text{ s.t. } Tz = \frac{\delta}{2\|y\|}y \Rightarrow \|y\| \geq \frac{2}{\delta}\|x\| \text{ where } x = \frac{2\|y\|}{\delta}z \text{ with } Tx = y$$

Conversely, if  $y \in \overline{\text{ran } T}$ , there is  $\{y_n\} \subset \text{ran } T$  with  $y_n \rightarrow y$ . By the assumption, there is a constant  $C > 0$  and a sequence  $\{x_n\} \subset X$  s.t.  $\|x_n - x_m\| \leq C \|Tx_n - Tx_m\|$ . Since  $\{y_n\}$  is Cauchy,  $\|x_n - x_m\|$  is Cauchy. Thus there exists a  $x \in X$  s.t.  $x_n \rightarrow x$  and  $Tx = y$ .  $\square$

*Remark.* There is a more special case for this lemma.  $\ker T = \{0\}$  and  $\text{ran } T$  is closed if and only if there exists a constant  $C > 0$  s.t.  $\|Tx\| \geq C \|x\|$  for any  $x \in X$ .

**Theorem 4.** Let  $T: X \rightarrow Y$  be a bounded linear map between two Banach spaces.

$$1) \overline{\text{ran } T} = (\ker T^*)^\perp.$$

$$2) \text{ If } \text{ran } T \text{ is closed, then } \text{ran } T^* \text{ is closed and } \text{ran } T^* = (\ker T)^\perp.$$

*Proof.* For 1), let  $y \in \overline{\text{ran } T}$  and  $y_n \in \text{ran } T$  with  $y_n \rightarrow y$ . If  $g \in \ker T^*$ , then

$$g(y_n) = g(Tx_n) = T^*g(x_n) = 0 \rightarrow g(y) \text{ i.e. } y \in (\ker T^*)^\perp$$

Conversely, if  $y_0 \notin \overline{\text{ran } T}$ , then by the Hahn-Banach Theorem, there is a  $g \in Y^*$  s.t.

$$\text{ran } T \subset \ker g \text{ i.e. } g \in \ker T^* \text{ \& } g(y_0) \neq 0 \Rightarrow y_0 \notin (\ker T^*)^\perp$$

For 2), if  $f \in (\ker T)^\perp$  i.e.  $\ker T \subset \ker f$ , then there is a  $\tilde{g} \in (\text{ran } T)^*$  s.t.  $\tilde{g}(Tx) = f(x)$  since  $\text{ran } T \cong X/\ker T$ . By above lemma, there exists a constant  $C > 0$  s.t. for any  $y \in \text{ran } T$  there is a  $x \in X$  with  $Tx = y$  and  $\|x\| \leq C \|y\|$ . Therefore,

$$|\tilde{g}(y)| = |f(x)| \leq C \|f\| \|x\|$$

Thus  $\tilde{g}$  can extend to  $g$  defining on  $Y^*$  s.t.

$$T^*g(x) = g(Tx) = f(x) \text{ i.e. } T^*g = f$$

Therefore,  $(\ker T)^\perp \subset \text{ran } T^*$ .

Conversely, if  $f \in \text{ran } T^*$ , i.e. there is a  $g \in Y^*$  with  $T^*g = f$ , then for any  $x \in \ker T$ ,  $f(x) = T^*g(x) = g(Tx) = 0$ . Therefore,  $f \in (\ker T)^\perp$ .  $\square$

**Corollary 5.** Let  $T: X \rightarrow Y$  be a bounded linear map between two Banach spaces. Then  $T$  is invertible if and only if  $T^*$  is invertible. In this case,  $(T^*)^{-1} = (T^{-1})^*$ .

## 1.5 Hilbert Spaces

A Hilbert space is a special Banach space, which is endowed with an inner product. And the structure of inner product can provide better properties of Hilbert spaces.

### 1.5.1 Projection Theorem and Riesz Theorem

**Definition 1.** On a vector space  $\mathcal{H}$  over  $\mathbb{C}$ , an inner product is a map  $\langle \cdot, \cdot \rangle: \mathcal{H} \times \mathcal{H} \rightarrow \mathbb{K}$  satisfies that for any  $\alpha, \beta \in \mathbb{K}$  and  $x, y, z \in \mathcal{H}$ ,

- 1)  $\langle \alpha x + \beta y, z \rangle = \alpha \langle x, z \rangle + \beta \langle y, z \rangle$
- 2)  $\langle x, y \rangle = \overline{\langle y, x \rangle}$
- 3)  $\langle x, x \rangle \geq 0$  and  $\langle x, x \rangle = 0 \Leftrightarrow x = 0$

*Remark.* The vector space  $\mathcal{H}$  with the inner product  $\langle \cdot, \cdot \rangle$  is called an inner product space. And the inner product can induce the CBS-Inequality,

$$|\langle x, y \rangle|^2 \leq \langle x, x \rangle \langle y, y \rangle$$

by using the positivity of the inner product,  $\langle x - \alpha y, x - \alpha y \rangle \geq 0$ .

Then on the  $\mathcal{H}$ , a nature norm can be induced by the inner product, defined as  $\|x\|^2 = \langle x, x \rangle$  for any  $x \in \mathcal{H}$ . This definition is valid since the linearity, positivity and CBS-Inequality of the inner product. And there are two forms of the norm.

**Proposition 2.** Let  $(\mathcal{H}, \langle \cdot, \cdot \rangle)$  be an inner product space, and  $\|\cdot\|$  be the coincided with this inner product. Then, we have the following identities.

*Polarization identity:*

$$\langle x, y \rangle = \frac{1}{4}(\|x + y\|^2 - \|x - y\|^2 + i\|x - iy\|^2 - i\|x + iy\|^2)$$

*Parallelogram law:*

$$\|x + y\|^2 + \|x - y\|^2 = 2(\|x\|^2 + \|y\|^2)$$

*Remark.* The first identity can be used to construct an inner product, but not all norm can do this successfully. So, the second identity can be used to check whether a norm can construct an inner product on a normed space.

**Definition 3.** A Hilbert space is an inner product space, which is complete with respect to the induced norm.

Therefore, a Hilbert space is indeed a Banach space, whose norm can construct an inner product. Now, we can find the extra properties provided by the inner product. The following theorem is the most important property the Hilbert space has.

**Theorem 4.** If  $\mathcal{H}$  is a Hilbert space and  $K$  is a closed convex nonempty subset of  $\mathcal{H}$  and  $x \in \mathcal{H} \setminus K$ , then there exists a unique  $k_0 \in K$  s.t.

$$\|x - k_0\| = \inf \|x - k\| : k \in K$$

*Proof.* Let  $d = \inf \|x - k\| : k \in K$ , then there is a sequence  $\{k_n\} \subset K$  s.t.  $\|x - k_n\| \rightarrow d$ . By the parallelogram law,

$$4 \left\| x - \frac{1}{2}(k_m + k_n) \right\|^2 + \|k_m - k_n\|^2 = 2(\|x - k_m\|^2 + \|x - k_n\|^2) \rightarrow 4d^2$$

Since  $\frac{1}{2}(k_m + k_n) \in K$ ,

$$4 \left\| x - \frac{1}{2}(k_m + k_n) \right\|^2 \geq 4d^2$$

Thus  $\|k_m - k_n\| \rightarrow 0$ . By the facts that  $\mathcal{H}$  is complete and  $K$  is closed, there exists  $k_0 \in K$  s.t.  $k_n \rightarrow k_0$ . Then  $\|x - k_0\| = \lim_{n \rightarrow \infty} \|x - k_n\| = d$ . If there is another  $k_1 \in K$ ,  $\|x - k_0\| = \|x - k_1\|$ .

$$d \leq \left\| x - \frac{1}{2}(k_0 + k_1) \right\| \leq \frac{1}{2}(\|x - k_0\| + \|x - k_1\|) = 2d$$

Then

$$\left\| x - \frac{1}{2}(k_0 + k_1) \right\| = \frac{1}{2}(\|x - k_0\| + \|x - k_1\|)$$

Thus by the parallelogram law,  $k_0 = k_1$ . □

*Remark.* The main method of above proof is the parallelogram law, which is the most essential property of the norm induced by the inner product.

For  $x, y \in \mathcal{H}$ , if  $\langle x, y \rangle = 0$ , we say  $x$  is orthogonal to  $y$ . Similarly, if  $W$  is a subset of  $\mathcal{H}$ , we define  $W^\perp = \{y \in \mathcal{H} : \langle x, y \rangle = 0 \forall x \in W\}$ . Then we can use above theorem to obtain an important structure of a Hilbert space.

**Theorem 5** (Projection Theorem). Let  $\mathcal{M}$  be a closed subspace of a Hilbert space  $H$ . Then  $\mathcal{H} = \mathcal{M} \oplus \mathcal{M}^\perp$ .

*Proof.* Clearly,  $\mathcal{M} \cap \mathcal{M}^\perp = \{0\}$ . We just need to prove that for any  $x \in \mathcal{H}$ , there exist a unique  $x_1 \in \mathcal{M}$  and  $x_2 \in \mathcal{M}^\perp$ , s.t.  $x = x_1 + x_2$ . If  $x \in \mathcal{M}$ , let  $x_1 = x$  and  $x_2 = 0$ .

Assume  $x \notin \mathcal{M}$ , then by above theorem, we can find a unique  $m_0 \in \mathcal{M}$  s.t.  $\|x - m_0\| = \inf \{\|x - m\| : m \in \mathcal{M}\}$ . Let  $x_1 = m_0$ . Then  $x = x_1 + (x - m_0)$ . Therefore, it is sufficient to prove that  $x - m_0 \in \mathcal{M}^\perp$ .

For any  $m \in \mathcal{M}$  and any  $\lambda \in \mathbb{C}$ , since  $m_0 + \lambda m \in \mathcal{M}$ , we have

$$\begin{aligned} \|x - m_0\|^2 &\leq \|x - m_0 - \lambda m\|^2 \\ &= \|x - m_0\|^2 - 2 \operatorname{Re} \lambda \langle m, x - m_0 \rangle + |\lambda|^2 \|m\|^2 \end{aligned}$$

Thus  $-2 \operatorname{Re} \lambda \langle m, x - m_0 \rangle + |\lambda|^2 \|m\|^2 \geq 0$ . Then taking the  $\lambda = \varepsilon > 0$  and let  $\varepsilon \rightarrow 0$ , therefore

$$\operatorname{Re} \langle m, x - m_0 \rangle \leq 0$$

Similarly, taking  $\lambda = -i\varepsilon$  and let  $\varepsilon \rightarrow 0$ ,

$$\operatorname{Im} \langle m, x - m_0 \rangle \leq 0$$

Also, these are true for  $-m$ . Therefore,  $\langle m, x - m_0 \rangle = 0$  for any  $m \in \mathcal{M}$ , i.e.  $x - m_0 \in \mathcal{M}^\perp$ .  $\square$

By the Projection Theorem, we can directly obtained the following corollary.

**Corollary 6.** *Let  $\mathcal{H}$  be a Hilbert space.*

- 1) *If  $\mathcal{M}$  is a closed subspace of  $\mathcal{H}$ , then  $(\mathcal{M}^\perp)^\perp = \mathcal{M}$ .*
- 2) *If  $A \subset \mathcal{H}$  is a subset, then  $(A^\perp)^\perp = \overline{\operatorname{span} A}$ .*

Using the Projection Theorem, the dual space of a Hilbert space can be more explicit.

**Theorem 7** (Riesz Theorem). *Let  $\mathcal{H}$  be a Hilbert space. Then the map  $\sigma$  is defined as*

$$\begin{aligned} \sigma: \mathcal{H} &\longrightarrow \mathcal{H}^* \\ x &\longmapsto L_x \end{aligned}$$

where  $L_x(y) = \langle y, x \rangle$ . Then  $\sigma$  is an isometric antilinear bijection, i.e.  $\mathcal{H} \cong \mathcal{H}^*$ .

*Proof.* Clearly,  $L_x$  is antilinear. And by the CBS-Inequality,  $\|L_x\| = \|x\|$ , thus  $\sigma$  is definitely an isometry. Then we just need to prove  $\sigma$  is surjective. If  $L \in \mathcal{H}^*$  is nonzero, then there is a  $x_0 \in (\ker L)^\perp$ . Thus we can assume  $L(x_0) = 1$ . If  $y \in \mathcal{H}$ , then  $y - L(y)x_0 \in \ker L$ . Therefore,

$$0 = \langle y - L(y)x_0, x_0 \rangle = \langle y, x_0 \rangle - L(y) \|x_0\|^2$$

Then let  $x = \|x_0\|^{-2} x_0$ ,  $L_x = L$ .  $\square$

**Corollary 8.** *A Hilbert space  $\mathcal{H}$  is reflexive. Thus,  $\mathcal{H}$  is weakly complete and a subset in  $\mathcal{H}$  is weakly compact if and only if it is bounded and weakly closed.*

And the Riesz Theorem can extend to bounded sesquilinear forms.

**Definition 9.** Let  $\mathcal{H}_1$  and  $\mathcal{H}_2$  be two Hilbert spaces. The map

$$f: \mathcal{H}_1 \times \mathcal{H}_2 \rightarrow \mathbb{C}$$

is called a sesquilinear form, if it satisfies

- 1)  $f(\alpha x + \beta y, z) = \alpha f(x, z) + \beta f(y, z)$
- 2)  $f(x, \alpha y + \beta z) = \bar{\alpha} f(x, y) + \bar{\beta} f(x, z)$

*Remark.* If  $f$  is continuous, then we know  $|f(x, y)| \leq C \|x\| \|y\|$  for some  $C < \infty$ . Also, the converse is true. Then we can define the norm of  $f$  as

$$\|f\| = \sup_{x \in \mathcal{H}_1, y \in \mathcal{H}_2} \frac{|f(x, y)|}{\|x\| \|y\|}$$

**Theorem 10.** Let  $f: \mathcal{H}_1 \times \mathcal{H}_2 \rightarrow \mathbb{C}$  be a bounded sesquilinear form of two Hilbert spaces  $\mathcal{H}_1$  and  $\mathcal{H}_2$ . Then there is a unique bounded linear map with  $\|S\| = \|f\|$

$$S: \mathcal{H}_1 \rightarrow \mathcal{H}_2 \text{ s.t. } f(x, y) = \langle Sx, y \rangle \quad \forall x \in \mathcal{H}_1 \quad \forall y \in \mathcal{H}_2$$

### 1.5.2 Adjoint Operators

Let  $T: \mathcal{H} \rightarrow \mathcal{H}$  be a bounded linear operator on a Hilbert space  $\mathcal{H}$ . Since  $\mathcal{H}$  is also a Banach space, we can define the adjoint operator of  $T$  as

$$\begin{aligned} T^*: \mathcal{H}^* &\longrightarrow \mathcal{H}^* \\ f &\longmapsto T^* f \end{aligned}$$

By the Riesz Theorem, each  $f \in \mathcal{H}^*$  can be expressed as  $f = \langle \cdot, x \rangle$  for some  $x \in \mathcal{H}$ . Then for any  $y \in \mathcal{H}$  we have

$$T^*(\langle \cdot, x \rangle)(y) = (\langle \cdot, x \rangle)(Ty) = \langle Ty, x \rangle$$

Clearly,  $f(y) = \langle Ty, x \rangle \in \mathcal{H}^*$ , thus there is a unique  $\tilde{x} \in \mathcal{H}$  s.t.  $f(y) = \langle y, \tilde{x} \rangle$ . Then, we have

$$T^*(\langle \cdot, x \rangle)(y) = \langle Ty, x \rangle = \langle y, \tilde{x} \rangle = (\langle \cdot, \tilde{x} \rangle)(y)$$

Thus, we have

$$T^*(\langle \cdot, x \rangle) = \langle \cdot, \tilde{x} \rangle$$

Since  $\mathcal{H} \cong \mathcal{H}^*$ , in fact  $T^*: \mathcal{H} \rightarrow \mathcal{H}$ , and by above mention,  $T^*(x) = \tilde{x}$ , where  $\tilde{x}$  is determined by the equation

$$\langle y, \tilde{x} \rangle = \langle Ty, x \rangle, \quad \forall y \in \mathcal{H}$$

Therefore, we can give the definition of the adjoint operator on a Hilbert space.

**Definition 1.** Let  $T: \mathcal{H} \rightarrow \mathcal{H}$  be a bounded linear operator on a Hilbert space  $\mathcal{H}$ . Then the adjoint operator  $T^*: \mathcal{H} \rightarrow \mathcal{H}$  is defined as

$$\langle y, T^*x \rangle = \langle Ty, x \rangle \quad \forall y \in \mathcal{H}$$

*Remark.* Equivalently,  $\langle T^*x, y \rangle = \langle x, Ty \rangle \quad \forall y \in \mathcal{H}$ . By above mention, this definition is well-defined and nature.

Since this definition is induced by the definition of a Banach space, thus all results in the subsection 1.4.4 also hold for the adjoint operators on a Hilbert space, except the  $T \rightarrow T^*$  is linear. In fact, on a Hilbert space, this map  $T \rightarrow T^*$  is antilinear, i.e.  $((\alpha + \beta)T)^* = \bar{\alpha}T^*T^* + \bar{\beta}T^*$ . Moreover, Since any Hilbert space is reflexive, the first result in **Proposition 2** in the subsection 1.4.4 can be  $T^{**} = T$ .

And by the **Corollary 6** of the Projection Theorem and the last result in **Proposition 2** in the subsection 1.4.4, we have the following proposition.

**Proposition 2.** Let  $T: \mathcal{H} \rightarrow \mathcal{H}$  be a bounded linear operator on a Hilbert space  $\mathcal{H}$ . Then, we have

$$\begin{aligned} \ker T^* &= (\text{ran } T)^\perp, & \ker T &= (\text{ran } T^*)^\perp \\ \overline{\text{ran } T} &= (\ker T^*)^\perp, & \overline{\text{ran } T^*} &= (\ker T)^\perp \end{aligned}$$

### 1.5.3 Orthonormal Sets and Schauder Basis

For a Hilbert space  $\mathcal{H}$ , subset  $W \subset \mathcal{H}$  is called orthonormal if elements in  $W$  are pairwise orthogonal and each element has norm 1. Then we can find a maximal orthonormal set, which is called a Schauder basis. Since the algebraic basis, Hamel basis, of a Hilbert space may be uncountable, we firstly need to define the uncountable summation.

**Definition 1.** Let  $\{h_i: i \in I\}$  be family of elements in  $\mathcal{H}$  and  $\mathcal{F}$  be a collection of all finite subsets of  $I$ .  $\mathcal{F}$  can be endowed with the order by  $\subset$ , then  $\mathcal{F}$  is a directed set. Define the net, where  $F \in \mathcal{F}$

$$h_F = \sum \{h_i: i \in F\}$$

Therefore, we can define sum of  $\{h_i: i \in I\}$  as

$$\sum \{h_i: i \in I\} = \lim h_F$$

where the limit is with respect to the norm topology on  $H$ .



For finite orthonormal set, the results can be obtained by the algebraic structure. And if the orthonormal set is infinite, we have similar results.

**Theorem 2** (Bessel's Inequality). *If  $\{e_n\}_{n=1}^{\infty}$  is an orthonormal set of a Hilbert space and  $h \in \mathcal{H}$ , then*

$$\sum_{n=1}^{\infty} |\langle h, e_n \rangle|^2 \leq \|h\|^2$$

*Proof.* Let  $h_n = h - \sum_{k=1}^n \langle h, e_k \rangle e_k$ . Then  $h_n$  is clearly orthogonal to  $\{e_k\}_{k=1}^n$ .

$$\begin{aligned} \|h\|^2 &= \|h_n\|^2 + \left\| \sum_{k=1}^n \langle h, e_k \rangle e_k \right\|^2 \\ &= \|h_n\|^2 + \sum_{k=1}^n |\langle h, e_k \rangle|^2 \\ &\geq \sum_{k=1}^n |\langle h, e_k \rangle|^2 \end{aligned}$$

□

**Corollary 3.** *Let  $\mathcal{H}$  be a Hilbert space and  $\mathcal{E}$  be an orthonormal subset.*

- 1) *For any  $h \in \mathcal{H}$ ,  $|\langle h, e \rangle| \neq 0$  for at most a countable many  $e \in \mathcal{E}$ .*
- 2)  *$\sum_{e \in \mathcal{E}} |\langle h, e \rangle|^2 \leq \|h\|^2$ .*
- 3)  *$\sum \{\langle h, e \rangle e : e \in \mathcal{E}\}$  is converges.*

*Proof.* For 1), let  $\mathcal{E}_n = \{e \in \mathcal{E} : |\langle h, e \rangle| \geq \frac{1}{n}\}$ , then  $\mathcal{E}_n$  has to be finite. But

$$\bigcup_{n=1}^{\infty} \mathcal{E}_n = \{e \in \mathcal{E} : |\langle h, e \rangle| \neq 0\}$$

For 2), it is clearly by the Bessel's Inequality and above corollary.

For 3), it is because the net  $h_F = \sum \{h_i : i \in F\}$ , where  $F \subset \mathcal{E}$  is finite, is Cauchy by using the fact that for any  $\varepsilon > 0$  there is a  $N \in \mathbb{N}$  s.t.

$$\sum_{n=N}^{\infty} |\langle h, e_n \rangle| < \varepsilon$$

□

**Definition 4** (Schauder basis). A orthonormal set  $\mathcal{E}$  of a Hilbert space  $\mathcal{H}$  is called a Schauder basis if for any  $h \in \mathcal{H}$ ,

$$h = \sum \{\langle h, e \rangle e : e \in \mathcal{E}\}$$

*Remark.* By above corollary, this definition is equivalent to that for any  $h \in \mathcal{H}$ , there exists  $\{e_n\}_{n=1}^{\infty} \subset \mathcal{E}$ , s.t.

$$h = \sum_{n=1}^{\infty} \langle h, e_n \rangle e_n$$

Moreover, by the Zorn's Lemma, every Hilbert space has a Schauder basis.

By the definition, and above theorem and corollaries, we can find the properties of the Schauder basis.

**Theorem 5.** *Let  $\mathcal{H}$  be a Hilbert space and  $\mathcal{E}$  be an orthonormal subset. Then the following statements are equivalent.*

- 1)  $\mathcal{E}$  is a Schauder basis.
- 2)  $h \in \mathcal{H}$  with  $h \perp \mathcal{E}$ , then  $h = 0$ .
- 3)  $g, h \in \mathcal{H}$ , then

$$\langle g, h \rangle = \sum \{ \langle g, e \rangle \langle e, h \rangle : e \in \mathcal{E} \}$$

- 4) (Parseval's Identity)  $h \in \mathcal{H}$ , then

$$\|h\|^2 = \sum \{ |\langle h, e \rangle|^2 : e \in \mathcal{E} \}$$

**Proposition 6.** *Let  $\mathcal{H}$  be a Hilbert space and  $\mathcal{E}$  be an orthonormal subset.*

- 1)  $\mathcal{H}$  is separable if and only if  $\mathcal{E}$  is countable.
- 2) Any separable Hilbert space is isometrically isomorphic to  $l^2(\mathbb{C})$ .

## Chapter 2

# Banach Algebras and $C^*$ -Algebras

### 2.1 Banach Algebras

Let  $\mathcal{H}$  be a Hilbert space. Then  $\mathcal{B}(\mathcal{H})$  is indeed a Banach space. But we have more structure on it. Any two element  $S, T \in \mathcal{B}(\mathcal{H})$  can do multiplication, defined as  $ST = S \circ T$ , then  $ST \in \mathcal{B}(\mathcal{H})$  by the definition of norm, and moreover  $\|ST\| \leq \|S\| \|T\|$ . Therefore,  $\mathcal{B}(\mathcal{H})$  is an algebra with the extra property of the multiplication, called a Banach algebra.

#### 2.1.1 Elementary Properties

**Definition 1.** A Banach algebra  $\mathfrak{A}$  is an algebra over  $\mathbb{C}$  with a norm  $\|\cdot\|$  relative to which  $\mathfrak{A}$  is a Banach space and s.t. for all  $a, b \in \mathfrak{A}$ ,

$$\|ab\| \leq \|a\| \|b\|.$$

*Remark.* The extra condition guarantees the multiplication is norm continuous. In fact,  $\mathfrak{A}$  with the multiplication and the norm is a topological semigroup.

If  $\mathfrak{A}$  has an identity 1, it assumes  $\|1\| = 1$ . But if  $\mathfrak{A}$  does not have an identity, we can add an identity to it.

**Proposition 2.** If  $\mathfrak{A}$  is a Banach algebra without the identity. The let  $\tilde{\mathfrak{A}} = \mathfrak{A} \oplus \mathbb{C}$  be an induced vector space. Then we define a norm on  $\tilde{\mathfrak{A}}$  as

$$\|(a, \lambda)\| = \|a\| + |\lambda|$$

and define a multiplication on  $\tilde{\mathfrak{A}}$  as

$$(a, \alpha)(b, \beta) = (ab + \alpha b + \beta a, \alpha\beta)$$

Then  $\tilde{\mathfrak{A}}$  is a Banach algebra with the identity  $(0, 1)$ .

Then  $\mathfrak{A}$  can be isometrically imbedded into  $\tilde{\mathfrak{A}}$ . Therefore, we can always assume  $\mathfrak{A}$  has an identity. For a unit algebra, the invertibility of a element is important.

**Theorem 3.** *Let  $\mathfrak{A}$  be a Banach algebra and  $a \in \mathfrak{A}$ . If  $\|a - 1\| < 1$ , then  $a$  is invertible.*

*Proof.* For a nonzero real number  $\lambda \in \mathbb{R}$  with  $|\lambda| < 1$ , we know

$$(1 - \lambda)^{-1} = \sum_{n=0}^{\infty} \lambda^n$$

Similar, for  $a \in \mathfrak{A}$  with  $\|a - 1\| < 1$ , set

$$b = \sum_{n=0}^{\infty} (1 - a)^n$$

Firstly, since  $\|(1 - a)^n\| \leq \|(1 - a)\|^n$ ,  $b$  is well-defined. Then we can prove  $b = (1 - (1 - a))^{-1} = a^{-1}$ .  $\square$

*Remark.* This result is important. It says a small perturbation of an invertible element is also invertible. It is because that the multiplication is norm continuous. And by the continuity of multiplication, this result can be true at any point other than 1.

**Corollary 4.** *Let  $\mathfrak{A}$  be a Banach algebra and*

$$\begin{aligned} G_l &= \{ a \in \mathfrak{A} : a \text{ is left invertible} \} \\ G_r &= \{ a \in \mathfrak{A} : a \text{ is right invertible} \} \\ G &= G_l \cap G_r = \{ a \in \mathfrak{A} : a \text{ is invertible} \} \end{aligned}$$

*Then  $G_l$  and  $G_r$  and  $G$  are open. Moreover, the map  $a \rightarrow a^{-1}$  from  $G$  to  $G$  is continuous.*

*Proof.*  $G_l$  and  $G_r$  and  $G$  are open by above theorem.

We just need to check this map is continuous at 1 because of the continuity of multiplication. For  $\{a_n\} \subset G$  with  $a_n \rightarrow 1$ , thus  $\|1 - a_n\| < \delta < 1$ . Since

$$a_n^{-1} = (1 - (1 - a_n))^{-1} = \sum_{k=0}^{\infty} (1 - a_n)^k = 1 + \sum_{k=1}^{\infty} (1 - a_n)^k$$

Therefore, we have

$$\begin{aligned} \|1 - a_n^{-1}\| &= \left\| \sum_{k=1}^{\infty} (1 - a_n)^k \right\| \\ &\leq \sum_{k=1}^{\infty} \|1 - a_n\|^k \\ &< \frac{\delta}{1 + \delta} < \delta = \|1 - a_n\| \end{aligned}$$

i.e.  $\lim a_n = 1$ . □

**Corollary 5.** *Let  $\mathfrak{A}$  be a Banach algebra.*

- 1) *The closure of a proper ideal is a proper ideal.*
- 2) *A maximal ideal is closed.*
- 3) *every ideal contained in a maximal ideal.*

If  $\mathfrak{B}$  is a closed ideal of a Banach algebra  $\mathfrak{A}$ , then the quotient algebra  $\mathfrak{A}/\mathfrak{B}$  with the induced norm is also a Banach algebra since

$$\|(a + \mathfrak{B})(b + \mathfrak{B})\| = \|ab + \mathfrak{B}\| \leq \|(a + b_1)(b + b_2)\| \leq \|(a + b_1)\| \|(b + b_2)\|$$

for any  $b_1, b_2 \in \mathfrak{B}$ .

### 2.1.2 Spectrum

**Definition 1.** Let  $\mathfrak{A}$  be a Banach algebra and  $a \in \mathfrak{A}$ . The spectrum of  $a$ , denoted by  $\sigma(a)$  defined as

$$\sigma(a) = \{ \lambda \in \mathbb{C} : a - \lambda \text{ is invertible} \}$$

And the resolvents of  $a$ ,  $\rho(a) = \mathbb{C} \setminus \sigma(a)$ .

Moreover, we can define the spectral radius of  $a$  as

$$r(a) = \sup \{ |\lambda| : \lambda \in \sigma(a) \}$$

Firstly, there are some elementary properties of the spectrum.

**Theorem 2.** *Let  $\mathfrak{A}$  be a Banach algebra and  $a \in \mathfrak{A}$ .*

- 1) *If  $|\lambda| > \|a\|$ , then  $\lambda \notin \sigma(a)$ .*
- 2)  *$\sigma(a)$  is a compact subset of  $\mathbb{C}$ .*
- 3) *the map  $\lambda \mapsto (a - \lambda)^{-1}$  from  $\rho(a)$  to  $\mathfrak{A}$  is analytic and  $\sigma(a)$  is nonempty.*
- 4)  *$r(a) = \lim_{n \rightarrow \infty} \|a^n\|^{\frac{1}{n}}$ .*

*Proof.* 1) holds by above theorem.

For 2), since  $\lambda \rightarrow a - \lambda$  is continuous from  $\mathbb{C}$  to  $\mathfrak{A}$  and  $G$  is open,  $\rho(a)$  is open i.e.  $\sigma(a) = \mathbb{C} \setminus \rho(a)$  is closed. Then by 1),  $\sigma(a)$  is compact.

For 3), by the identity  $a^{-1} - b^{-1} = a^{-1}(b - a)b^{-1}$  and the continuity of  $a \rightarrow a^{-1}$ , we can compute the derivative of  $F(\lambda) = (a - \lambda)^{-1}$ ,

$$F'(\lambda) = (a - \lambda)^{-2}$$

And clearly,  $F'(\lambda)$  is continuous. Thus it is analytic and it vanishes at  $\infty$ . By the Liouville's Theorem, if  $\rho(a) = \mathbb{C}$ ,  $F$  is constant. Therefore,  $\rho(a) \neq \mathbb{C}$  i.e.  $\sigma(a) \neq \emptyset$ .

For 4), let  $U = \{\lambda \in \mathbb{C} : \lambda = 0 \text{ or } \lambda^{-1} \in \rho(a)\}$  and

$$f(\lambda) = \begin{cases} (\lambda^{-1} - a)^{-1} & x \neq 0, \\ 0, & x = 0 \end{cases}$$

Then  $f$  is analytic on  $U$ , i.e.  $f(\lambda) = \lambda \sum_{n=0}^{\infty} \lambda^n a^n$  is well-defined. Therefore, the convergent radius  $R = r(a)^{-1}$

$$R^{-1} = \limsup_{n \rightarrow \infty} \|a^n\|^{\frac{1}{n}} = r(a)$$

Conversely, by the identity  $(a^n - \lambda^n) = (a - \lambda)(a^{n-1} + \lambda a^{n-2} + \lambda^2 a^{n-3} + \dots + \lambda^{n-1})$ . Then, if  $(a^n - \lambda^n)$  is invertible, then  $(a - \lambda)$  is invertible, i.e.  $\sigma(a) \subset \sigma(a^n)$ . Thus  $|\lambda|^n \leq \|a^n\|$  for any  $\lambda \in \sigma a$ .  $r(a) = \liminf_{n \rightarrow \infty} \|a^n\|^{\frac{1}{n}}$ . Therefore,  $r(a) = \lim_{n \rightarrow \infty} \|a^n\|^{\frac{1}{n}}$ .  $\square$

If  $\mathfrak{B} \subset \mathfrak{A}$  is a subalgebra with the same identity of a Banach algebra  $\mathfrak{A}$ , then we know for any element  $b \in \mathfrak{B}$ ,  $\sigma_{\mathfrak{A}}(b) \subset \sigma_{\mathfrak{B}}(b)$ . Then we can have more results other than it. Since the spectrum is a subset of  $\mathbb{C}$ , we need some topological properties results of  $\mathbb{C}$ .

**Lemma 3.** *If  $K$  is any compact subset of  $\mathbb{C}$ , then  $\mathbb{C} \setminus K$  has a countable components, only one of which is unbounded. And the boundary of each component is in  $K$ .*

*Proof.* Let  $\tilde{K} = \mathbb{C} \setminus K$ , then  $\tilde{K}$  is open.

Firstly, the connected component of open set in  $\mathbb{C}$  is open.

Let  $U$  be an connected component in  $\tilde{K}$  and  $x \in U$ . For any point  $x \in U$ , Since any open neighbourhood of  $x$  is connected, and  $K$  is open, there is a open neighbourhood  $V$  of  $x$  s.t.  $V \subset U$ .

Secondly,  $\mathbb{C}$  has just at most countable many open sets, which are pairwise disjoint.

This result is because any open set in  $\mathbb{C}$  contains a rational point.

For any two disjoint open sets  $A$  and  $B$  in  $\mathbb{C}$ ,  $\partial A \cap B = \emptyset$ . Thus the boundary of some component of  $\tilde{K}$  can not be contained in any component of  $\tilde{K}$ , i.e. it is contained  $K$ .

Finally, since  $K$  is bounded, there is a closed ball  $B$  containing  $K$ . But the complement of  $B$  is connected, thus there is only one component of  $\tilde{K}$  containing  $B$ . Thus the other components of  $\tilde{K}$  are bounded.  $\square$

*Remark.* The bounded component of  $\mathbb{C} \setminus K$  is called a hole of  $K$ .

**Definition 4.** If  $f: A \rightarrow \mathbb{C}$ , where  $A$  is a set, then the norm of  $f$  on  $A$  is defined as

$$\|f\|_A = \sup \{|f(x)| : x \in A\}$$

For a compact set  $K \in \mathbb{C}$ , the polynomially convex hull of  $K$  is defined as

$$\hat{K} = \{ z \in \mathbb{C} : |p(z)| \leq \|p\|_K \text{ for any polynomial } p \}$$

If  $K = \hat{K}$ ,  $K$  is called polynomially convex.

**Proposition 5.** Let  $K$  be a compact subset of  $\mathbb{C}$ . Then  $\mathbb{C} \setminus \hat{K}$  is the unbounded component of  $\mathbb{C} \setminus K$ . Therefore,  $K$  is polynomially convex if and only if  $\mathbb{C} \setminus K$  is connected.

*Proof.* Let  $L$  be the set containing  $K$  and all bounded component of  $\mathbb{C} \setminus K$ . Then by the Maximal Principle,  $L \subset \hat{K}$ . Conversely, if  $\alpha \notin L$ , then  $(z - \alpha)^{-1}$  is analytic in a neighbourhood of  $L$ . Therefore, there is a sequence of polynomials  $\{p_n\}$  s.t.  $p_n \rightarrow (z - \alpha)^{-1}$ . Let  $q_n = (z - \alpha)p_n$ . Then  $q_n \rightarrow 1$ , i.e.  $\|q_n - 1\| < \frac{1}{2}$  for some  $n$ . But  $|q_n(\alpha) - 1| = 1$ , this implies  $\alpha \notin \hat{K}$ , i.e.  $\hat{K} \subset L$ .  $\square$

By above results, now we can provide the relationships between  $\sigma_{\mathfrak{A}}(b)$  and  $\sigma_{\mathfrak{B}}(b)$ .

**Theorem 6.** If  $\mathfrak{A}$  and  $\mathfrak{B}$  are Banach algebras with same identity s.t.  $\mathfrak{B} \subset \mathfrak{A}$  and  $b \in \mathfrak{B}$ , then

- 1)  $\sigma_{\mathfrak{A}}(b) \subset \sigma_{\mathfrak{B}}(b)$  and  $\partial\sigma_{\mathfrak{B}}(b) \subset \partial\sigma_{\mathfrak{A}}(b)$
- 2)  $\sigma_{\mathfrak{A}}^{\circ}(b) = \sigma_{\mathfrak{B}}^{\circ}(b)$
- 3) if  $G$  is a hole of  $\sigma_{\mathfrak{A}}(b)$ , then  $G \subset \sigma_{\mathfrak{B}}(b)$  or  $G \cap \sigma_{\mathfrak{B}}(b) = \emptyset$

*Proof.*

For 1), let  $\lambda \in \partial\sigma_{\mathfrak{B}}(b)$ . Since  $\sigma_{\mathfrak{A}}^{\circ}(b) \subset \sigma_{\mathfrak{B}}^{\circ}(b)$ , it is sufficient to show  $\lambda \in \sigma_{\mathfrak{A}}(b)$ . Suppose  $\lambda \notin \sigma_{\mathfrak{A}}(b)$ , i.e.  $(b - \lambda)$  is invertible in  $\mathfrak{A}$ . But since  $\lambda \in \partial\sigma_{\mathfrak{B}}(b)$ , there are  $\lambda_n \in \mathbb{C} \setminus \mathfrak{B}$  with  $\lambda_n \rightarrow \lambda$ . Thus  $(b - \lambda_n)^{-1} \in \mathfrak{B}$ . But  $(b - \lambda_n)^{-1} \rightarrow (b - \lambda)^{-1} \in \sigma_{\mathfrak{B}}(b)$ , contradicting to  $\lambda \in \sigma_{\mathfrak{A}}(b)$ .

2) holds because of the result of 1) and the Maximal Principle.

For 3), let  $G_1 = G \cap \sigma_{\mathfrak{B}}(b)$  and  $G_2 = G \setminus \sigma_{\mathfrak{B}}(b)$ . Since  $\partial\sigma_{\mathfrak{B}}(b) \subset \sigma_{\mathfrak{A}}(b)$  and  $G \cap \sigma_{\mathfrak{A}}(b) = \emptyset$ ,  $G_1 = G \cap \sigma_{\mathfrak{B}}^{\circ}(b)$  is open. By the facts that  $G_2$  is clearly open and  $G = G_1 \cup G_2$  and  $G_1 \cap G_2 = \emptyset$ , either  $G_1$  or  $G_2$  is empty.  $\square$

Then we can have some useful corollaries.

**Corollary 7.** Let  $\mathfrak{A}$  and  $\mathfrak{B}$  be Banach algebras with same identity s.t.  $\mathfrak{B} \subset \mathfrak{A}$  and  $b \in \mathfrak{B}$ .

1) If  $\sigma_{\mathfrak{A}}(b)$  has no holes, then  $\sigma_{\mathfrak{A}}(b) = \sigma_{\mathfrak{B}}(b)$ .

2) If  $\sigma_{\mathfrak{B}}(b) \subset \mathbb{R}$ , then  $\sigma_{\mathfrak{A}}(b) = \sigma_{\mathfrak{B}}(b)$ .

3)  $\sigma_{\mathfrak{A}}(b) = \sigma_{\mathfrak{B}}(b)$  if and only if  $\rho_{\mathfrak{A}}(b)$  is connected.

*Proof.* 1) is clearly true since unbounded component does not intersect  $\sigma_{\mathfrak{B}}(b)$ .  
2) is because  $\mathbb{C} \setminus \sigma_{\mathfrak{A}}(b)$  has no holes. 3) is similar as 2).  $\square$

### 2.1.3 Riesz Functional Calculus