# Notes for MATH 3210: Foundation of Analysis I

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# 1 Ring and Field

Notations:

- N: The set of natural numbers;
- Z: The set of integers (ring, not field, has no inverse);
- Q: The set of rational numbers;
- $\mathbb{R}$ : The set of real numbers (ring and field).

# 1.1 Ring

The set A has two binary operations, addition and multiplication. For any  $a,b\in A$ ,

$$A*A \to A$$
$$a,b \to a+b$$

#### 1.1.1 Addition Axiom

- 1. a + b = b + a (commutative)
- 2. (a+b)+c=a+(b+c) (associative)
- 3. There is an element 0 such that a + 0 = a (additive identity)
- 4. There exists -a (additive inverse) such that a + (-a) = 0

#### 1.1.2 Multiplication Axiom

- 1.  $a \cdot b = b \cdot a$
- 2.  $(a \cdot b) \cdot c = a \cdot (b \cdot c)$
- 3. There is an element 1 such that  $a \cdot 1 = a$  and  $0 \neq 1$
- 4.  $a \cdot (b+c) = a \cdot b + a \cdot c$  (distributive)

### 1.2 Field

A is a field if A is a ring for any  $a \in A$  and  $a \neq 0$ , there exists  $a^{-1}$  (inverse of a) such that  $a \cdot a^{-1} = 1$ .

A has no zero divisors if  $x \neq 0, y \neq 0 \rightarrow x \cdot y \neq 0$ 

Example:  $x, y \in A$ ,  $x \neq 0$ ,  $y \neq 0$ , xy = 0

$$\begin{bmatrix} 1 & 0 \\ 0 & 0 \end{bmatrix} \cdot \begin{bmatrix} 0 & 0 \\ 0 & 1 \end{bmatrix} = \begin{bmatrix} 0 & 0 \\ 0 & 0 \end{bmatrix}$$

# 1.3 Construction of Integers

We need to construct  $\mathbb{Z}$  from  $\mathbb{N}$  with **localization**.

$$\mathbb{N} = \{0, 1, 2, 3, \ldots\}$$

Set of equivalence class:  $\mathbb{N} \times \mathbb{N} / \sim$ 

Equivalence relation:  $(a,b) \sim (a',b')$  if a+b'=b+a', since a-b=a'-b'

$$(a,b) \sim (a',b') \sim (a'',b'')$$
 $a' + b'' = b' + a''$ 
 $(a + b'') + b' = (a + b') + b'' = b + a' + b'' = b + b' + a'' = (a'' + b) + b'$ 
 $\therefore a + b'' = a'' + b$ 
 $\therefore (a,b) \sim (a'',b'')$ 

We then should define addition:

$$[(a,b)] + [(a',b')] = [(a+a',b+b')]$$
(1)

$$[(a_1, b_1)] + [(a', b')] = [(a_1 + a', b_1 + b')]$$
(2)

Equation 1 and equation 2 are equal since independent of choice of equivalence classes:

$$a + a' + b_1 + b' = a_1 + a' + b + b'$$
  
 $a + b_1 = a_1 + b$ 

Additive identity: 0 = [(0,0)]

For example: [(a,b)] + [(b,a)] = [(a+b,a+b)] = [(0,0)] = 0

We then need to define multiplication:

$$[(a,b)] \cdot [(a',b')] = [(aa' + bb', ab' + a'b)]$$

$$(a - b)(a' - b')$$
=  $aa' - ab' - a'b + bb'$   
=  $(aa' + bb') - (ab' + a'b)$ 

Multiplicative identity: 1 = [(1,0)]For example:  $[(a,b)] \cdot [(1,0)] = [(a,b)]$  $\therefore \mathbb{N} \times \mathbb{N} / \sim$  is a ring, that is,  $\mathbb{Z}$ .

$$\begin{split} \mathbb{N} &\longrightarrow \mathbb{Z} \\ m &\longrightarrow [(m,0)] \\ -m &\longrightarrow [(0,m)] = -[(m,0)] \end{split}$$

For example:

$$[(a,b)] = [(a,0)] + [(0,b)]$$
$$= [(a,0)] - [(b,0)]$$

# 1.4 Construction of Fractions (Rational Numbers)

We need to show that K is a field (with addition and multiplication). Assume A is a commutative ring with no zero divisors, and  $A^* = A - \{0\}$ .

$$A\times A^*=\{(a,b)\mid a,b\in A,b\neq 0\}$$

Set of equivalence classes:  $K = (A \times A^*)/\sim$  (elements of K are fractions) We first need to define addition:

$$(a,b) \sim (a',b')$$
$$\frac{a}{b} = \frac{a'}{b'}$$
$$ab' = a'b$$

[(a,b)]: The equivalence class of (a,b)

$$[(a,b)] + [(a',b')] = [(ab' + a'b,bb')] = \frac{ab' + a'b}{bb'}$$
$$[(0,1)] = 0 \in K \quad \text{(additive identity)}$$

The following is to prove that it is independent of the choice of equivalence class:

$$[(a_1, b_1)] + [(a', b')] = [(a_1b' + a'b_1, b_1b')]$$
  
 
$$\therefore (ab' + a'b) \cdot b_1b' = (a_1b' + a'b_1) \cdot bb'$$
  
 
$$\therefore left = right$$

We then need to define multiplication:

$$[(a,b)][(a',b')] = [(aa',bb')] = \frac{aa'}{bb'}$$
 
$$[(1,1)] = 1 \in K \quad \text{(multiplicative identity)}$$

### Examples:

$$[(x,y)] + [(0,1)] = [(x,y)]$$
$$[(x,y)] \cdot [(1,1)] = [(x,y)]$$
$$[(x,y)] \neq [(0,1)]$$

So we need to show that K is a field:

$$[(x,y)] \cdot [(y,x)] = [(xy,xy)] = [(1,1)] \quad \text{(Non-zeros have inverse)}$$

$$\therefore ab' = a'b$$

$$(a,b) \sim (a',b')$$

$$\therefore [(xy,xy)] = [(1,1)]$$

**Therefore** K is a field of fractions of A. We need to show the following map is injective: If  $A = \mathbb{Z}$  and  $K = \mathbb{Q}$ :

$$\begin{split} A &\longrightarrow K \quad \text{(injective)} \\ x &\longrightarrow [(x,1)] \\ x+y &\longrightarrow [(x+y,1)] = [(x,1)] + [(y,1)] \\ x \cdot y &\longrightarrow [(xy,1)] = [(x,1)] \cdot [(y,1)] \end{split}$$

Comm. ring without  $0 \longrightarrow \text{Field containing the ring}$ 

Assume [(a, 1) = [(b, 1)]] where  $a, b \in A$ :

$$a \cdot 1 = b \cdot 1 \Rightarrow a = b$$
  
  $\therefore$  The map is injective.

$$P(x)=a_0x^n+a_1x^{n-1}+a_2x^{n-2}+\cdots+a_n, a\in R$$
  
Ring of polynomials:  $P(x)\times Q(x)\Rightarrow R(x)$  (with no zero divisors)

#### 1.5 Ordered Set

#### 1.5.1 Partial Order

 $(S, \leq)$  is a (partially) ordered set (poset),  $\forall x, y, z \in S$ :

- 1.  $x \leq x$
- $2. \ x \leq y, y \leq x \Rightarrow x = y$
- $3. \ x \le y, y \le z \Rightarrow x \le z$

#### 1.5.2 Total Order

Total/Linear order: Either  $x \leq y$  or  $y \leq x$ .

Ordered field is a field K with  $\leq$  total order.

**Definition:** 

- 1. If  $x \leq y$  then  $x + z \leq y + z$  and
- 2. if  $x \ge 0, y \ge 0$  then  $x \times y \ge 0$

There is no total order in complex numbers.

First example:

$$\mathbb{Q} = \{(a,b)\}, (a,b) = \frac{a}{b}$$
 Since  $a \ge 0, b > 0$ 

 $\therefore \mathbb{Q}$  is an ordered set.

#### Second example:

$$x \ge 0 \Rightarrow x^2 \ge 0$$

$$x \le 0 \Rightarrow (-x)^2 = x^2 \ge 0$$

$$1^2 = 1 > 0$$

$$2 > 1$$

$$3 > 2$$

 $x > 0 \Leftrightarrow -x < 0$ 

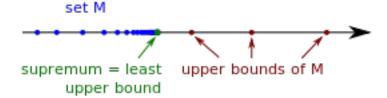
n > n - 1

### 1.5.3 Least-upper-bound Property

Q: Ordered field of rational numbers (with gaps)

Least-upper-bound property: K has least-upper-bound property if any bounded subset  $E \subset K$  has least upper bound.

K is a field with order relation  $\leq$ ,  $E \subset K$  and E is bounded above if  $\exists \alpha \in K$  such that  $p \leq \alpha, p \in E$ .



 $\beta$  is the least-upper-bound of E if

- 1.  $\beta$  is an upper bound,
- 2. for any other upper bound  $\alpha$ , we have  $\beta \leq \alpha$ .

We call  $\beta = \sup E$ .

We then need to prove that  $\mathbb{Q}$  does not have least-upper-bound property, that is, there are gaps in  $\mathbb{Q}$ .

Proof.

$$E = \{q \in \mathbb{Q} : q^2 \le 2\} \quad \Rightarrow \quad \text{no sup } E$$
$$q \in E \Leftrightarrow -q \in E \quad \text{and} \quad q \ge 0$$

Let  $p \in \mathbb{Q}$  such that  $p \geq 0, p^2 > 2$ .

$$\begin{split} \therefore p^2 > 2 \ge q^2 \Rightarrow p^2 \ge q^2 \\ p^2 - q^2 &= (p+q)(p-q) \ge 0 \quad \text{(property of ordered field)} \\ \therefore p \ge 0, q > 0 \\ \therefore p + q \ge 0 + q = q \ge 0 \\ \therefore p \ge q \\ p \in \mathbb{Q}, p \ge 0, p^2 > 2 \text{ are upper bound of } E. \end{split}$$

Remark: Let p be upper bound of  $E, \forall q \in E, q \leq p, p > 0$ . Define p':

$$p' = p - \frac{p^2 - 2}{p + 2} = \frac{2p + 2}{p + 2} = 2\frac{p + 1}{p + 2}$$
$$\therefore p'^2 - 2 = 2\frac{p^2 - 2}{(p + 2)^2}$$

In the above equation,  $p^2 - 2 \le 0$  and  $(p+2)^2 \ge 0$ . Assume  $p \in E \Rightarrow p^2 \le 2 \Rightarrow p^2 - 2 \le 0$ .  $\therefore p'^2 - 2 \le 0 \Rightarrow p' \in E$  and  $p' \ge p$ .

$$p'^2 - 2 < 0 \Rightarrow p' \in E \text{ and } p' > p.$$

 $\therefore$  Either p' = p or p' > p.

But neither of them is possible since  $\sqrt{2}$  is irrational:

$$p = p' \Rightarrow p^2 = 0, p \in \mathbb{Q}$$
 but  $p$  is irrational.  
 $\therefore p \notin E$ . All upper bounds of  $E$  are  $\{p \in \mathbb{Q}, p^2 > 2\}$ 

r: an upper bound, and  $r^2 \geq 2$ 

$$r' = r - \frac{r^2 - 2}{r^2 + 2}$$
  $\therefore r' < r$  
$$r'^2 - 2 = 2\frac{r^2}{(r+2)^2} > 0$$
  $\therefore r'^2 > 2$ 

 $\therefore r'$  is an upper bound of E.

So we have no upper bound property in E.

#### 1.6 Real Numbers

#### 1.6.1 Construction of Real Numbers

**Theorem.** There exists a total ordered field  $\mathbb{R}$  which has least upper bound property. So every subset  $E \subset \mathbb{R}$ , are bounded above, has a supremum. Such field is **unique**.

$$K \xrightarrow{\varphi} K'$$

$$\varphi(x+y) = \varphi(x) + \varphi(y)$$

$$\varphi(x \cdot y) = \varphi(x) \cdot \varphi(y)$$

if bijective, then isomorphism; otherwise, morphism.

History of construction of real numbers: Dedekind used cuts and Cantor used Cauchy sequence, which works for more general occasions, in 1872.

What is *cuts*?

$$\begin{split} E \subset \mathbb{Q}, E \neq \mathbb{Q} \to E \text{ is bounded above} \\ q \in \mathbb{Q}, E_q = \{ p \in \mathbb{Q} : p < q \} \\ \text{If } \alpha \in E, \beta < \alpha \Rightarrow \beta \in \alpha \\ \gamma \in E, \delta \in E, \delta > \gamma \end{split}$$

### 1.6.2 Archimedean Property

**Theorem** (Archimedean Property).

$$x, y \in \mathbb{R}, x > 0, y > 0$$
  
$$\exists n \in \mathbb{Z}_+, n \cdot x > y$$

*Proof.* Assume  $\{nx \mid n \in \mathbb{Z}\}$  is bounded above, i.e. has least upper bound property.

$$\exists \alpha = \sup\{nx \mid n \in \mathbb{Z}\}$$

 $n \cdot x \le \alpha, \forall n \text{ and } \alpha - x < \alpha$ 

 $\therefore \quad \alpha = \sup\{nx \mid n \in \mathbb{Z}\}$ 

 $\therefore$   $\alpha - x$  is NOT an upper bound.  $\exists m$  such that  $\alpha - x < n \cdot x$ 

 $\alpha < (n+1)x$ 

: Contridication.

 $\therefore$   $\{nx \mid n \in \mathbb{R}\}$  is not bounded above.

#### 1.6.3 Density of Real Numbers

*Proof.* Assume  $x, y \in \mathbb{R}$  and x < y.

There exists  $q \in \mathbb{Q}$  such that x < q < y. Because y - x > 0 and 1 > 0, so there exists n such that n(y - x) > 1.

$$nx < m_1, \quad m_1 \in \mathbb{Z}$$
  
 $-nx < m_2, \quad m_2 \in \mathbb{Z}$   
 $\therefore -m_2 < nx < m_1$ 

Conclusion:  $\exists m \in \mathbb{Z}, m-1 \leq nx < m$ , so  $nx < m \leq nx + 1 < ny$ .

$$nx < m < ny$$
$$m \le mx + 1$$
$$\therefore x < \frac{m}{n} < y$$

#### 1.6.4 Property of Real Numbers

We have  $x > 0, y > 0, n \ge 2$ , and  $y^n = x$ , such y is unique.

We first need to prove **uniqueness**:

*Proof.* We have  $y_1, y_2 > 0, y_1^n = x, y_2^n = x \Rightarrow y_1 = y_2$ 

We assume  $y_1 \neq y_2$  and  $0 < y_1 < y_2$ . If a > 0, then  $ay_1 > ay_2$ .

We claim  $y_1^n < y_2^n$ , then we apply mathematical induction:

When  $n = 1, y_1 < y_2$ .

$$y_1 y_1^n < y_1^n y_2 < y_2 y_2^n$$
  
$$y_1^{n+1} < y_2^{n+1}$$
  
$$\therefore y_1^n < y_2^n$$

But they should both be equal to x, therefore we have a contradiction.

We then need to prove **existence**:

$$E = \{ t \in \mathbb{R} \mid t^n < x, x > 0, x \in \mathbb{R} \}$$

*Proof.* We first need to show that set E is not empty. We construct  $t = \frac{x}{x+1} \Rightarrow 0 < t < 1$  and  $t^n < t^{n-1} < \cdots < t < 1$ 

$$t = \frac{x}{x+1}$$

$$x = t + tx$$

$$t = x - tx < x$$

$$t = x - tx < x$$

We then need to show that E is bounded above:

*Proof.* Suppose  $S \geq x+1 \Rightarrow S > 1$ , so  $S^m > S^{m-1} > \cdots > S$ , therefore  $S^m > x + 1 > S$ .

It follows that if  $t \in E$ , then  $t < x+1 \Rightarrow x+1$  is an upper bound of E.  $\exists y = \sup E, y > 0$ 

We claim  $y^n = x$ , since  $y^n < x$  and  $y^n > x$  are both contradictions. For the first case of contradictions:

$$\frac{x-y^n}{n(y+1)^{n-1}} > 0$$

We have 0 < n < 1 and  $h < \frac{x - y^n}{n(y+1)^{n-1}}$ .

$$(y+h)^n - y^n$$

$$(y+h)^{n-k-1} * k < (y+h)^{n-k-1} * (y+h)^k$$

$$= (y+h)^{n-1}$$

$$< n * h * (y+h)^{n-1} < x - y^n$$

$$\therefore (y+h)^n - y^n < x - y^n$$

$$(y+h)^n < x$$

$$y+h \in E \text{ and } \sup E = y < y+h$$

Contradiction.

For the first case of contradictions:

$$y^n > x$$

We have  $k = \frac{y^n - x}{ny^{n-1}} > 0$ .

$$\therefore 0 < k < \frac{y^n}{ny^{n-1}} = \frac{y}{n} < y$$

$$\therefore 0 < k < y \text{ and } 0 < y - k \le t$$

$$y^{n} - t^{n} \le y^{n} - (y - k)^{n}$$
$$< y^{n-1} < kny^{n-1} = y^{n} - x$$
$$\therefore t^{n} > x \Rightarrow t \notin E$$

 $\therefore y - k \notin E$  is an upper bound of E

# 1.7 Complex Number

Properties:

- 1.  $|z| \ge 0$
- 2.  $|z| = 0 \iff z = 0$
- 3. |z| = |-z|
- 4. Triangular inequity:  $|z_1 + z_2| \le |z_1| + |z_2|$

Proof of Triangular Inequity.

$$|z_{1} + z_{2}|^{2} = (z_{1} + z_{2})\overline{(z_{1} + z_{2})}$$

$$= (z_{1} + z_{2})(\overline{z_{1}} + \overline{z_{2}})$$

$$= z_{1}\overline{z_{1}} + z_{1}\overline{z_{2}} + \overline{z_{1}}z_{2} + z_{2}\overline{z_{2}}$$

$$= |z_{1}|^{2} + |z_{2}|^{2} + (z_{1}\overline{z_{2}} + \overline{z_{1}}z_{2})$$

$$\leq z_{1}\overline{z_{1}} + z_{1}\overline{z_{2}} + 2|z_{1}\overline{z_{2}}|$$

$$\leq (|z_{1}| + |z_{2}|)^{2}$$

#### 1.7.1 Construction of Complex Numbers

$$\mathbb{R}^2 = \{(a,b)|a,b \in \mathbb{R}\} \text{ forms abelian group}$$
 
$$(a,b) + (a',b') = (a+a',b+b') \quad \therefore (0,0) = 0$$
 
$$-(a,b) = (-a,-b)$$
 Multiplication: 
$$(a,b) \cdot (a',b') = (aa'-bb',a'b+ab')$$
 Identity for mult.: 
$$(1,0) = \mathbb{1} \text{ and } (a,b) \cdot (1,0) = (a,b)$$

 $\mathbb{R}^2$  is a ring and  $(a, b) \neq (0, 0)$ . For any such elements, we can form

$$(a,b)^{-1} = (\frac{a}{a^2 + b^2}, \frac{-b}{a^2 + b^2})$$
  
 $(a,b) \cdot (a,b)^{-1} = (1,0) = 1$ 

 $\therefore \mathbb{R}^2$  is a field of complex numbers, that is,  $\mathbb{C}$ .

$$: (0,1)^2 = (-1,0) = -1$$
$$(0,-1)^2 = -1$$
$$: i = (0,1)$$
$$(a,b) = a \cdot (1,0) + b \cdot (0,1) = a + ib$$

#### 1.7.2 Automorphism of Complex Numbers

$$z=(a,b) \text{ and } \overline{z}=(a,-b) \text{ (complex conjugate)}$$
 
$$\overline{z_1+z_2}=\overline{z_1}+\overline{z_2}$$
 
$$\overline{z_1*z_2}=\overline{z_1}*\overline{z_2}$$
 
$$z*\overline{z}=(a,b)*(a,-b)=(a^2+b^2,0)=(a^2,b^2)$$

We can extend from  $\mathbb{R}$  to  $\mathbb{C}$ , so we have  $a \in \mathbb{R}$  and  $(a, 0) \in \mathbb{C}$ , therefore  $\mathbb{R}$  is a subfield of  $\mathbb{C}$ .

Absolute value of complex number z:

$$\sqrt{z\overline{z}} = \sqrt{a^2 + b^2} = |z| > 0$$

# 1.8 Inner Product Space

V: vector space over  $\mathbb{R}$ 

$$V \times V \to \mathbb{R}$$
  
 $(u, v) \to (v \mid u)$  inner product

Some properties:

We have  $\alpha, \beta \in \mathbb{R}$ :

- 1.  $(u \mid v) = (v \mid u)$
- 2.  $(u \mid u) \ge 0$  and  $(u \mid u) = 0 \iff u = 0$
- 3. Norm:  $||u|| = (u \mid u)^{\frac{1}{2}}$
- 4.  $(\alpha v + \beta w \mid u) = \alpha(v \mid u) + \beta(w \mid u)$
- 5.  $(v \mid \alpha u + \beta w) = \alpha(v \mid u) + \beta(v \mid w)$

Euclidean inner product: In  $\mathbb{R}^n$ ,  $x=\{x_1,x_2,\cdots,x_n\}$ ,  $y=\{y_1,y_2,\cdots,y_n\}$ ,  $(x\mid y)=\sum_{i=1}^n x_iy_i$ 

# 1.9 Cauchy-Schwarz Inequality

Theorem (Cauchy-Schwarz Inequality).

$$\forall u,v \in V, |(u \mid v)| \leq \|u\| \cdot \|v\|$$

*Proof.* We can assume that  $u, v \neq 0$  and  $\forall t \in \mathbb{R}$ ,  $(tu - v \mid tv - u) \geq 0$ 

$$t^{2}(u \mid u) - t(u \mid v) - t(v \mid u) + (v \mid v) \ge 0$$

$$\therefore b^{2} - 4ac \le 0$$

$$4(u \mid v)^{2} \le 4||u||^{2}||v||^{2}$$

$$|(u \mid v)| \le ||u||||v||$$

Properties of norms:

- 1.  $||v|| \ge 0$
- 2.  $||v|| = 0 \iff v = 0$
- 3.  $\|\alpha v\| = |a| \|v\|, \alpha \in \mathbb{R}$
- 4.  $||u+v|| \le ||u|| + ||v||$

# 2 Basic Topology

Metric (distance function) of  $x_0$  and x:  $d(x_0, x) = |x - x_0|$ 

# 2.1 Metric Space M

$$d: M \times M \to \mathbb{R}$$

- 1.  $d(x_0, x_1) \ge 0$  where  $x_0, x_1 \in M$
- 2.  $d(x_0, x_1) = 0 \iff x_0 = x_1$
- 3.  $d(x_0, x_1) = d(x_1, x_0)$  (irrespective of order)
- 4.  $d(x,z) \le d(x,y) + d(y,z)$  (triangular inequity)

Euclidean metric on  $\mathbb{R}^2$ :  $d(x,y) = \sqrt{(x_1 - y_1)^2 + (x_2 - y_2)^2}$ Discrete metric:  $d(x,y) = \begin{cases} 1 & \text{if } x \neq y \\ 0 & \text{if } x = y \end{cases}$ Open ball of radius  $\epsilon$ :  $B_{\epsilon}(x_0) = B(x_0, \epsilon) = \{ y \in M \mid d(x_0, y) < \epsilon \}$ 

### 2.2 Open Sets

#### 2.2.1 Metric Spaces X

 $U \subset X$  is open if for any  $x \in U$  there exists  $\epsilon > 0$  such that  $B(x, \epsilon) \subset U$ . Open interval is open set; closed interval is not open set.

#### **2.2.2** Topological Spaces (X, U)

Let U be a family of all sets, X be a set. U is a **topology** on X if

- 1.  $\emptyset$  (Empty set) is always open; X is open.  $\Leftrightarrow \emptyset$  and X itself belong to U.
- 2. F is a collection of open sets, then  $\bigcup_{U \in F} U$  is open.  $\Leftrightarrow$  Any union of members of U still belongs to U. (Union)
- 3. F is a *finite* collection of open sets, then  $\bigcap_{U \in F} U$  is open.  $\Leftrightarrow$  The intersection of any finite number of members of U belongs to U. (Intersection)

Finite case:  $x \in \bigcap_{U \in F} U$ ,  $x \in U$ , hence  $B(x, \epsilon_U) \subset U$ 

$$\delta = \min \epsilon_U > 0 \quad where \quad U \in F$$
$$B(x, \delta) \subset B(x, \epsilon_U) \subset U$$
$$\therefore B(x, \delta) \subset \bigcap_{U \in F} U$$

Infinite case: For example, the intersection of all intervals of  $\left(-\frac{1}{n}, \frac{1}{n}\right)$ , where n is a positive number, is the set  $\{0\}$  which is not open in the real line.

# 2.3 Compact Sets

In metric space X, compact sets are <u>closed</u>.

Compact  $\Leftrightarrow$  closed and bounded (only for Euclidean metric,  $\mathbb{R}^n$ )