The Fréchet space of holomorphic functions on the unit disc

Jordan Bell
jordan.bell@gmail.com
Department of Mathematics, University of Toronto

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1 Introduction

The goal of this note is to develop all the machinery necessary to understand what it means to say that the set H(D) of holomorphic functions on the unit disc is a separable and reflexive Fréchet space that has the Heine-Borel property and is not normable.

2 Topological vector spaces

If X is a topological space and $p \in X$, a local basis at p is a set \mathscr{B} of open neighborhoods of p such that if U is an open neighborhood of p then there is some $U_0 \in \mathscr{B}$ that is contained in U. We emphasize that to say that a topological vector space (X, τ) is normable is to say not just that there is a norm on the vector space X, but moreover that the topology τ is induced by the norm.

A topological vector space over $\mathbb C$ is a vector space X over $\mathbb C$ that is a topological space such that singletons are closed sets and such that vector addition $X \times X \to X$ and scalar multiplication $\mathbb C \times X \to X$ are continuous. It is not true that a topological space in which singletons are closed need be Hausdorff, but one can prove that every topological vector space is a Hausdorff space. For any $a \in X$, we check that the map $x \mapsto a + x$ is a homeomorphism. Therefore, a subset U of X is open if and only if a + U is open for all $a \in X$. It follows that if X is a vector space and $\mathcal B$ is a set of subsets of X each of which contains 0, then there is at most one topology for X such that X is a topological vector space for which $\mathcal B$ is a local basis at 0. In other words, the topology of a topological vector space is determined by specifying a local basis at 0. A topological vector space X is said to be locally convex if there is a local basis at 0 whose elements are convex sets.

¹Walter Rudin, Functional Analysis, second ed., p. 11, Theorem 1.12.

If X is a vector space and \mathscr{F} is a set of seminorms on X, we say that \mathscr{F} is a separating family if $x \neq 0$ implies that there is some $m \in \mathscr{F}$ with $m(x) \neq 0$. (Thus, if m is a seminorm on X, the singleton $\{m\}$ is a separating family if and only if m is a norm.) The following theorem presents a local basis at 0 for a topology and shows that there is a topology for which the vector space is a locally convex space and for which this is a local basis at 0.2 We call this topology the seminorm topology induced by \mathscr{F} .

Theorem 1 (Seminorm topology). If X is a vector space and \mathscr{F} is a separating family of seminorms on X, then there is a topology τ on X such that (X,τ) is a locally convex space and the collection \mathscr{B} of finite intersections of sets of the form

$$B_{m,\epsilon} = \{ x \in X : m(x) < \epsilon \}, \qquad m \in \mathscr{F}, \epsilon > 0$$

is a local basis at 0.

Proof. We define τ to be those subsets U of X such that for all $x \in U$ there is some $N \in \mathcal{B}$ satisfying $x + N \subseteq U$. If \mathcal{U} is a subset of τ and $x \in \bigcup_{U \in \mathcal{U}} U$, then there is some $U_0 \in \mathcal{U}$ with $x \in U_0$, and there is some $N_0 \in \mathcal{B}$ satisfying $x + N_0 \subseteq U_0$. We have

$$x + N_0 \subseteq U_0 \subseteq \bigcup_{U \in \mathscr{U}} U$$
,

which tells us that $\bigcup_{U\in\mathscr{U}}U\in\tau$. If $U_1,\ldots,U_n\in\tau$ and $x\in\bigcap_{k=1}^nU_k$, then there are $N_1,\ldots,N_n\in\mathscr{B}$ satisfying $x+N_k\in U_k$ for $1\leq k\leq n$. But the intersection of finitely many elements of \mathscr{B} is itself an element of \mathscr{B} , so $N=\bigcap_{k=1}^nN_k\in\mathscr{B}$, and

$$x + N \subseteq \bigcap_{k=1}^{n} U_k,$$

showing that $\bigcap_{k=1}^n U_k \in \tau$. Therefore, τ is a topology.

Suppose that $x \in X$. For $y \neq x$, let $m_y \in \mathscr{F}$ with $\epsilon_y = m_y(x-y) \neq 0$; there is such a seminorm because \mathscr{F} is a separating family. Then $U_y = y + B_{m_y,\epsilon_y}$ is an open set that contains y and does not contain x. Therefore $X \setminus U_y$ is a closed set that contains x and does not contain y, and

$$\bigcap_{y \neq x} X \setminus U_y = \{x\}$$

is a closed set, showing that singletons are closed.

Let $x, y \in X$ and $N \in \mathcal{B}$. There are $m_k \in \mathcal{F}$ and $\epsilon_k > 0$, $1 \le k \le n$, such that $N = \bigcap_{k=1}^n B_{m_k, \epsilon_k}$. Let $U = \bigcap_{k=1}^n B_{m_k, \epsilon_k/2}$. If $v \in (x+U) + (y+U)$ and $1 \le k \le n$, then there are $x_k \in B_{m_k, \epsilon_k/2}$ and $y_k \in B_{m_k, \epsilon_k/2}$ such that $v = x + x_k + y + y_k$, and

$$m_k(v - (x+y)) = m_k(x_k + y_k) \le m_k(x_k) + m_k(y_k) < \frac{\epsilon_k}{2} + \frac{\epsilon_k}{2} = \epsilon_k,$$

 $^{^2\}mathrm{Paul}$ Garrett, Seminorms and locally convex spaces, <code>http://www.math.umn.edu/~garrett/m/fun/notes_2012-13/07b_seminorms.pdf</code>

so $v \in x + y + B_{m_k, \epsilon_k}$. This is true for each $k, 1 \le k \le n$, so $v \in x + y + N$. Hence

$$(x+U)+(y+U)\subseteq x+y+N$$
,

showing that vector addition is continuous at $(x,y) \in X \times X$: for every basic open neighborhood x+y+N of the image x+y, there is an open neighborhood $(x+U)\times (y+U)$ of (x,y) whose image under vector addition is contained in x+y+N.

Let $\alpha \in \mathbb{C}$, $x \in X$, and $N \in \mathcal{B}$, say $N = \bigcap_{k=1}^n B_{m_k,\epsilon_k}$. Let $\epsilon = \min\{\epsilon_k : 1 \le k \le n\}$, let $\delta > 0$ be small enough so that $\delta(\delta + |\alpha| + m_k(x)) < \epsilon$ for each $1 \le k \le n$, let $\Delta = \{\beta \in \mathbb{C} : |\beta - \alpha| < \delta\}$, and let $U = \bigcap_{k=1}^n B_{m_k,\delta}$. If $(\beta, v) \in \Delta \times (x + U)$ and $1 \le k \le n$, then

$$m_k(\beta v - \alpha x) = m_k(\beta v - \beta x + \beta x - \alpha x)$$

$$\leq m_k(\beta (v - x)) + m_k((\beta - \alpha)x)$$

$$= |\beta| m_k(v - x) + |\beta - \alpha| m_k(x)$$

$$< (\delta + |\alpha|) \delta + \delta m_k(x)$$

$$= \delta(\delta + |\alpha| + m_k(x))$$

$$< \epsilon$$

$$\leq \epsilon_k,$$

showing that $\beta v \in \alpha x + B_{m_k, \epsilon_k}$. This is true for each k, so $\beta v \in N$, which shows that scalar multiplication is continuous at (α, x) : for every basic open neighborhood $\alpha x + N$ of the image αx , there is an open neighborhood $\Delta \times (x+U)$ of (α, x) whose image under scalar multiplication is contained in $\alpha x + N$.

We have shown that X with the topology τ is a topological vector space. To show that X is a locally convex space it suffices to prove that each element of the local basis \mathcal{B} is convex. An intersection of convex sets is a convex set, so to prove that each element of \mathcal{B} is convex it suffices to prove that each $B_{m,\epsilon}$ is convex, $m \in \mathcal{F}$ and $\epsilon > 0$. If $0 \le t \le 1$ and $x, y \in B_{m,\epsilon}$, then

$$m(tx+(1-t)y) < m(tx) + m((1-t)y) = tm(x) + (1-t)m(y) < t\epsilon + (1-t)\epsilon = \epsilon$$

showing that $tx + (1-t)y \in B_{m,\epsilon}$ and thus that $B_{m,\epsilon}$ is a convex set. Therefore, (X,τ) is a locally convex space.

In the other direction, we will now explain how the topology of a locally convex space is induced by a separating family of seminorms. We say that a subset S of a vector space X is absorbing if $x \in X$ implies that there is some t > 0 such that $x \in tS$. The Minkowski functional $\mu_S : X \to [0, \infty)$ of an absorbing set S is defined by

$$\mu_S(x) = \inf\{t \ge 0 : x \in tS\}, \qquad x \in X.$$

If U is an open set containing 0 and $x \in X$, then $0 \cdot x = 0 \in U$, and because scalar multiplication is continuous there is some t > 0 such that $tx \in U$. Thus

an open set containing 0 is absorbing. We say that a subset S of a vector space X is balanced if $|\alpha| \leq 1$ implies that $\alpha S \subseteq S$. One proves that in a topological vector space, every convex open neighborhood of 0 contains a balanced convex open neighborhood of 0.3 It follows that a locally convex space has a local basis at 0 whose elements are balanced convex open sets. The following lemma shows that the Minkowski functional of each member of this local basis is a seminorm.

Lemma 2. If X is a topological vector space and U is a balanced convex open neighborhood of 0, then the Minkowski functional of U is a seminorm on X.

Proof. Let $\alpha \in \mathbb{C}$ and $x \in X$. If $\alpha = 0$, then

$$\mu_U(\alpha x) = \mu_U(0) = 0 = |\alpha|\mu_U(x).$$

Otherwise, write $\alpha = ru$ with r > 0 and |u| = 1. Because U is balanced and $|u^{-1}| = 1$, we have

$$\mu_U(\alpha x) = \inf\{t \ge 0 : \alpha x \in tU\}$$

$$= \inf\{t \ge 0 : rux \in tU\}$$

$$= \inf\{t \ge 0 : x \in r^{-1}tu^{-1}U\}$$

$$= \inf\{t \ge 0 : x \in r^{-1}tU\}$$

$$= \inf\{rs \ge 0 : x \in sU\}$$

$$= r\inf\{s \ge 0 : x \in sU\}$$

$$= r\mu_U(x).$$

Therefore, if $\alpha \in \mathbb{C}$ and $x \in X$, then $\mu_U(\alpha x) = |\alpha|\mu_U(x)$.

Let $x, y \in X$. U is absorbing, so let $s = \mu_U(x)$ and $t = \mu_U(y)$. If $\epsilon > 0$ then $x \in (s + \epsilon)U$ and $y \in (t + \epsilon)U$. We have

$$x + y \in (s + \epsilon)U + (t + \epsilon)U = \{(s + \epsilon)u + (t + \epsilon)v : u, v \in U\},\$$

and for $u, v \in U$, because U is convex we have

$$s'u + t'v = (s' + t')\left(\frac{s'}{s' + t'}u + \frac{t'}{s' + t'}v\right) \in (s' + t')U,$$

where $s' = s + \epsilon$ and $t' = t + \epsilon$, so

$$x + y \in (s + t + 2\epsilon)U$$
.

This is true for every $\epsilon > 0$, which means that $\mu_U(x+y) \leq s+t$. Therefore

$$\mu_U(x+y) \le s + t = \mu_U(x) + \mu_U(y),$$

showing that μ_U satisfies the triangle inequality and hence that μ_U is a seminorm on X.

 $^{^3}$ Walter Rudin, Functional Analysis, second ed., p. 12, Theorem 1.14.

We proved above that the Minkowski functional of a balanced convex open neighborhood of 0 is a seminorm. The following lemma shows that the collection of Minkowski functionals corresponding to a balanced convex local basis at 0 are a separating family.⁴

Lemma 3. If X is a topological vector space and U is a balanced convex open neighborhood of 0, then

$$U = \{ x \in X : \mu_U(x) < 1 \}.$$

If \mathcal{B} is a local basis at 0 whose elements are balanced and convex, then

$$\{\mu_U: U \in \mathscr{B}\}$$

is a separating family of seminorms on X.

Proof. Let $U \in \mathcal{B}$. If $x \in U$, then because $1 \cdot x \in U$ and scalar multiplication is continuous, there is some $\delta > 0$ and some open neighborhood N of x such that the image of $[1 - \delta, 1 + \delta] \times N$ under scalar multiplication is contained in U. In particular, if $(1 + \delta)x \in U$ and so $x \in \frac{1}{1 + \delta}U$. Thus we have

$$\mu_U(x) = \inf\{t \ge 0 : x \in tU\} \le \frac{1}{1+\delta} < 1.$$

Therefore, if $x \in U$ then $\mu_U(x) < 1$. On the other hand, if $x \in X$ and $\mu_U(x) < 1$, then there is some t < 1 such that $x \in tU$. As U is balanced, we have $x \in U$. Therefore, if $\mu_U(x) < 1$ then $x \in U$. This establishes that if $U \in \mathcal{B}$ then

$$U = \{x \in X : \mu_U(x) < 1\}.$$

If $x \neq 0$, then because singletons are closed, the set $X \setminus \{x\}$ is open and contains 0, and thus there is some $U \in \mathcal{B}$ with $U \subseteq X \setminus \{x\}$. Hence $x \notin U$, which implies by the first claim that $\mu_U(x) \geq 1$. In particular, $\mu_U(x) \neq 0$, proving the second claim.

If X is a locally convex space then there is a local basis at 0, call it \mathscr{B} , whose elements are balanced and convex, and we have established that $\mathscr{F} = \{\mu_U : U \in \mathscr{B}\}$ is a separating family of seminorms on X. Therefore by Theorem 1, X with the seminorm topology induced by \mathscr{F} is a locally convex space. The following theorem states that the seminorm topology is equal to the original topology of the space.⁵

Theorem 4. If (X, τ) is a locally convex space, then there is a separating family of seminorms on X such that τ is equal to the seminorm topology.

⁴Walter Rudin, Functional Analysis, second ed., p. 27, Theorem 1.36.

⁵Paul Garrett, Seminorms and locally convex spaces, http://www.math.umn.edu/~garrett/m/fun/notes_2012-13/07b_seminorms.pdf

Proof. Let \mathscr{B} be a local basis at 0 whose elements are balanced and convex and let $\mathscr{F} = \{\mu_U : U \in \mathscr{B}\}$. If $U \in \mathscr{B}$, then $U = \{x \in X : \mu_U(x) < 1\}$, which is an open neighborhood of 0 in the seminorm topology induced by \mathscr{F} , and this implies that the seminorm topology is at least as fine as τ .

If $U \in \mathcal{B}$ and $\epsilon > 0$, then

$$\{x \in X : \mu_U(x) < \epsilon\} = \left\{x \in X : \mu_U\left(\frac{x}{\epsilon}\right) < 1\right\} = \left\{\epsilon x \in X : \mu_U(x) < 1\right\} = \epsilon U.$$

 $\epsilon U \in \tau$ and $0 \in \epsilon U$, and it follows that τ is at least as fine as the seminorm topology. Therefore τ is equal to the seminorm topology induced by \mathscr{F} .

We have shown that if X is a vector space and \mathscr{F} is a separating family of seminorms on X, then X with the seminorm topology induced by \mathscr{F} is a locally convex space. Furthermore, we have shown that if X is a locally convex space then there is a separating family \mathscr{F} of seminorms on X such that the topology of X is equal to the seminorm topology induced by \mathscr{F} . In other words, the topology of any locally convex space is the seminorm topology induced by some separating family of seminorms on the space.

A subset E of a topological vector space X is said to be bounded if for every open neighborhood N of 0 there is some s > 0 such that t > s implies that $E \subseteq tN$.

Lemma 5. If X is a locally convex space with the seminorm topology induced by a separating family \mathscr{F} of seminorms on X, then a subset E of X is bounded if and only if each $m \in \mathscr{F}$ is a bounded function on E.

Proof. Suppose that E is bounded and $m \in \mathscr{F}$. The set $U = \{x \in X : m(x) < 1\}$ is an open neighborhood of 0, so there is some t > 0 such that $E \subseteq tU$. Hence if $x \in E$ then m(x) < t, so m is a bounded function on E.

Suppose that for each $m \in \mathscr{F}$ there is some M_m such that $x \in E$ implies that $m(x) \leq M_m$. If U is an open neighborhood of 0, then there are $m_1, \ldots, m_n \in \mathscr{F}$ and $\epsilon_1, \ldots, \epsilon_n > 0$ such that

$$\bigcap_{k=1}^{n} \{x \in X : m_k(x) < \epsilon_k\} \subseteq U.$$

Let $M = \max \left\{ \frac{M_{m_k}}{\epsilon_k} : 1 \le k \le n \right\}$. For t > M,

$$\bigcap_{k=1}^{n} \{tx \in X : m_k(x) < \epsilon_k\} \subseteq tU,$$

i.e.,

$$\bigcap_{k=1}^{n} \{x \in X : m_k(x) < \epsilon_k t\} \subseteq tU.$$

But if $x \in E$ and $1 \le k \le n$ then

$$m_k(x) \le M_{m_k} \le \epsilon_k M < \epsilon_k t,$$

hence x is in the above intersection and thus is in tU. Therefore $E \subseteq tU$, showing that E is bounded.

We now prove that if the topology of a locally convex space is induced by a countable separating family of seminorms then the topology is metrizable.

Theorem 6. If (X, τ) is a locally convex space with the seminorm topology induced by a countable separating family of seminorms $\{m_n : n \in \mathbb{N}\}$ and c_n is a summable nonincreasing sequence of positive numbers, then

$$d(x,y) = \sum_{n=1}^{\infty} c_n \frac{m_n(x-y)}{1 + m_n(x-y)}, \quad x, y \in X,$$

is a translation invariant metric on X, τ is equal to the metric topology for d, and with this metric the open balls centered at 0 are balanced.

Proof. For any $x, y \in X$ we have

$$d(x,y) < \sum_{n=1}^{\infty} c_n < \infty,$$

because the sequence c_n is summable. It is apparent that d(x,y) = d(y,x). If m is any seminorm on X, then

$$\frac{m(x) + m(y)}{1 + m(x) + m(y)} - \frac{m(x+y)}{1 + m(x+y)} = \frac{m(x) + m(y) - m(x+y)}{(1 + m(x) + m(y))(1 + m(x+y))} \ge 0,$$

so

$$\frac{m(x+y)}{1+m(x+y)} \le \frac{m(x)+m(y)}{1+m(x)+m(y)}.$$

Also, it is straightforward to check that the function $f:[0,\infty)\to[0,\infty)$ defined by $f(a)=\frac{a}{1+a}$ satisfies $f(a+b)\leq f(a)+f(b)$. Define $d_0(x)=d(x,0)$. If $x,y\in X$, then

$$d_0(x+y) = \sum_{n=1}^{\infty} c_n \frac{m_n(x+y)}{1+m_n(x+y)}$$

$$\leq \sum_{n=1}^{\infty} c_n \frac{m_n(x)+m_n(y)}{1+m_n(x)+m_n(y)}$$

$$\leq \sum_{n=1}^{\infty} c_n \frac{m_n(x)}{1+m_n(x)} + c_n \frac{m_n(y)}{1+m_n(y)}$$

$$= d_0(x) + d_0(y).$$

Hence, for $x, y \in X$,

$$d(x,z) = d_0(x-y+y-z) \le d_0(x-y) + d_0(y-z) = d(x,y) + d(y,z),$$

showing that d satisfies the triangle inequality.

If d(x,y) = 0, then

$$\sum_{n=1}^{\infty} c_n \frac{m_n(x-y)}{1 + m_n(x-y)} = 0.$$

As each term is nonnegative, each term must be equal to 0. As each c_n is positive, this implies that each $m_n(x-y)$ is equal to 0. But $\{m_n : n \in \mathbb{N}\}$ is a separating family so if $x-y \neq 0$ then there is some m_n with $m_n(x-y) \neq 0$, and this shows that x-y=0, i.e. x=y. Therefore d is a metric on X.

If $x_0 \in X$, then $d(x + x_0, y + x_0) = d(x, y)$: the metric d is translation invariant.

If $|\alpha| \leq 1$ and $x \in X$, then

$$d_0(\alpha x) = \sum_{n=1}^{\infty} c_n \frac{m_n(\alpha x)}{1 + m_n(\alpha x)}$$

$$= \sum_{n=1}^{\infty} c_n \frac{|\alpha| m_n(x)}{1 + |\alpha| m_n(x)}$$

$$= \sum_{n=1}^{\infty} c_n \frac{m_n(x)}{\frac{1}{|\alpha|} + m_n(x)}$$

$$\leq \sum_{n=1}^{\infty} c_n \frac{m_n(x)}{1 + m_n(x)}$$

$$= d_0(x).$$

Thus, if $d(x,0) < \epsilon$ and $|\alpha| \le 1$ then $d(\alpha x,0) < \epsilon$, so the open ball

$$\{x \in X : d(x,0) < \epsilon\}$$

is balanced.

 (X,τ) has a local basis at 0 whose elements are finite intersections of sets of the form $\{x \in X : m_n(x) < \epsilon\}$. Suppose that $\epsilon > 0$, let N be large enough so that $\sum_{n=N+1}^{\infty} c_n < \frac{\epsilon}{2}$, and let M be large enough so that $\frac{1}{M} \sum_{n=1}^{N} c_n < \frac{1}{2}$. If $x \in \bigcap_{n=1}^{N} \{y \in X : m_n(y) < \frac{\epsilon}{M}\}$, then

$$d(x,0) = \sum_{n=1}^{N} c_n \frac{m_n(x)}{1 + m_n(x)} + \sum_{n=N+1}^{\infty} c_n \frac{m_n(x)}{1 + m_n(x)}$$

$$< \sum_{n=1}^{N} c_n m_n(x) + \sum_{n=N+1}^{\infty} c_n$$

$$< \sum_{n=1}^{N} c_n \frac{\epsilon}{M} + \frac{\epsilon}{2}$$

$$< \frac{\epsilon}{2} + \frac{\epsilon}{2}$$

$$= \epsilon.$$

This shows that

$$\bigcap_{n=1}^{N} \left\{ x \in X : m_n(x) < \frac{\epsilon}{M} \right\} \subseteq \{ x \in X : d(x,0) < \epsilon \},$$

and this entails that τ is at least as fine as the metric topology induced by d.

Suppose that $0 < \epsilon < \frac{1}{2}$ and $N \in \mathbb{N}$. If $d(x, 0) < c_N \epsilon$, then of course for each n we have

$$c_n \frac{m_n(x)}{1 + m_n(x)} < c_N \epsilon,$$

and hence if $1 \leq n \leq N$ then

$$\frac{m_n(x)}{1 + m_n(x)} < \frac{c_N}{c_n} \epsilon \le \epsilon,$$

and hence if $1 \le n \le N$ then

$$m_n(x) < \frac{\epsilon}{1 - \epsilon} < 2\epsilon.$$

Therefore,

$${x \in X : d(x,0) < c_N \epsilon} \subseteq \bigcap_{n=1}^N {x \in X : m_n(x) < 2\epsilon}.$$

It follows from this that the metric topology induced by d is at least as fine as τ .

If a locally convex space is metrizable with a complete metric, then it is called a *Fréchet space*.

We now prove conditions under which a topological vector space is normable.

Theorem 7. A topological vector space (X, τ) is normable if and only if there is a convex bounded open neighborhood of the origin.

Proof. Suppose that V is a convex bounded open neighborhood of 0. V contains a balanced convex open neighborhood U of $0,^6$ and because V is bounded so is U. We define $||x|| = \mu_U(x)$, where μ_U is the Minkowski functional of U. If $x \neq 0$, then because $N = X \setminus \{x\}$ is an open neighborhood of 0 and U is bounded, there is some t > 0 such that $U \subseteq tN$. Hence $x \notin \frac{1}{t}U$, i.e., $tx \notin U$. As U is balanced, by Lemma 3 we get $\mu_U(tx) \geq 1$. μ_U is a seminorm, so $\mu_U(x) \geq \frac{1}{t} > 0$, showing that if $x \neq 0$ then $\mu_U(x) > 0$, and hence that $\|\cdot\|$ is a norm on X. Also, we check that

$$\{x \in X : ||x|| < r\} = rU.$$

Because U is bounded, for any open neighborhood N of 0 there is some t>0 such that $U\subseteq tN$, hence

$$\left\{x \in X : \|x\| < \frac{1}{t}\right\} \subseteq N.$$

 $^{^6 \}mbox{Walter Rudin}, \mbox{\it Functional Analysis}, second ed., p. 12, Theorem 1.14.$

This implies that the norm topology for $\|\cdot\|$ is at least as fine as τ . And $\{x \in X : \|x\| < r\} = rU$ is an open set because scalar multiplication is continuous, so τ is at least as fine as the norm topology for $\|\cdot\|$. Therefore that (X,τ) is normable with the norm $\|\cdot\|$.

In the other direction, if τ is the norm topology for some norm $\|\cdot\|$ on X, then

$$U = \{x \in X : ||x|| < 1\}$$

is indeed a convex open neighborhood of the origin. Suppose that N is an open neighborhood of 0. There is some r > 0 such that

$$\{x \in X : ||x|| < r\} \subseteq N,$$

and thus such that $U \subseteq \frac{1}{r}N$, and hence U is bounded, showing that there exists a convex bounded open neighborhood of the origin.

A topological vector space is called *locally bounded* if there is a bounded open neighborhood of the origin. A topological vector space is said to have the *Heine-Borel property* if every closed and bounded subset of it is compact.

Theorem 8. If X is a topological vector space that is locally bounded and has the Heine-Borel property, then X has finite dimension.

Proof. Let V be a bounded neighborhood of 0. It is a fact that the closure of a bounded set is itself bounded,⁷ and therefore \overline{V} is compact. For any $x \in X$, the set $x + \overline{V}$ is a compact neighborhood of x, hence X is locally compact. But a locally compact topological vector space is finite dimensional,⁸ so X is finite dimensional.

3 Continuous functions on the unit disc

Let $D = \{z \in \mathbb{C} : |z| < 1\}$, the open unit disc. Let C(D) be the set of continuous functions $D \to \mathbb{C}$. C(D) is a complex vector space. If K is a compact subset of D, define

$$\nu_K(f) = \sup\{|f(z)| : z \in K\}, \qquad f \in C(D).$$

It is straightforward to check that ν_K is a seminorm on C(D). If $f \in C(D)$ is nonzero then there is some $z \in D$ with $f(z) \neq 0$, and hence $\nu_{\{z\}}(f) = |f(z)| > 0$, so the set of all ν_K is a separating family of seminorms on C(D). Thus, C(D) with the seminorm topology induced by the set of all ν_K is a locally convex space.

Define $K_n = \{z \in \mathbb{C} : |z| \le 1 - \frac{1}{n}\}, n \ge 1$. If K is a compact subset of D, then there is some n with $K \subseteq K_n$, so $\nu_K(f) \le \nu_{K_n}(f)$, and hence

$$\{f \in C(D) : \nu_{K_n}(f) < \epsilon\} \subseteq \{f \in C(D) : \nu_K(f) < \epsilon\}.$$

⁷Walter Rudin, Functional Analysis, second ed., p. 11, Theorem 1.13(f).

⁸Walter Rudin, Functional Analysis, second ed., p. 17, Theorem 1.22.

It follows that the seminorm topology induced by $\{\nu_{K_n} : n \in \mathbb{N}\}$ is at least as fine as the seminorm topology induced by $\{\nu_K : K \text{ is compact}\}$, thus the topologies are equal. Because the topology of C(D) is induced by the countable family $\{\nu_{K_n} : n \in \mathbb{N}\}$, by Theorem 6 it is metrizable: for any summable nonincreasing sequence of positive real numbers c_n , the topology is induced by the metric

$$d(f,g) = \sum_{n=1}^{\infty} c_n \frac{\nu_{K_n}(f-g)}{1 + \nu_{K_n}(f-g)}, \qquad f, g \in C(D).$$
 (1)

Suppose that $f_i \in C(D)$ is a Cauchy sequence. For $n \in \mathbb{N}$, the fact that f_i is a Cauchy sequence in C(D) implies that $\nu_{K_n}(f_i - f_j) \to 0$ as $i, j \to \infty$. $C(K_n)$ is a Banach space with the norm ν_{K_n} , and hence there is some $f_{K_n} \in C(K_n)$ satisfying $\nu_{K_n}(f_i - f_{K_n}) \to 0$ as $i \to \infty$. We define $f: D \to \mathbb{C}$ to be $f_{K_n}(z)$, for $z \in K_n$; this makes sense because the restriction of f_{K_n} to K_m is f_{K_m} if $n \geq m$. f is continuous at each point in D because for each point in D there is some K_n containing an open neighborhood of the point, and f_{K_n} is continuous. Hence $f \in C(D)$. Therefore C(D) with the metric (1) is a complete metric space, which means that it is a Fréchet space.

Theorem 9. The topology of C(D) is not induced by a norm.

Proof. Because the topology of C(D) is the seminorm topology induced by the separating family of seminorms $\{\nu_{K_n} : n \in \mathbb{N}\}$, by Lemma 5 a subset E of C(D) is bounded if and only if each ν_{K_n} is a bounded function on E, i.e., for each $n \in \mathbb{N}$ there is some M_n such that $f \in E$ implies $\nu_{K_n}(f) \leq M_n$.

Suppose by contradiction that there is a bounded convex open neighborhood V of the origin. Because $\nu_{K_n}(f) \leq \nu_{K_{n+1}}(f)$ for any $f \in C(D)$, there is some $N \in \mathbb{N}$ and some $\epsilon > 0$ such that

$$U = \{ f \in C(D) : \nu_{K_N}(f) < \epsilon \} \subseteq V.$$

V being bounded implies that U is bounded. Let

$$\Delta_1 = \left\{ z \in \mathbb{C} : |z| < 1 - \frac{1}{N} + \frac{1}{N(N+1)} \right\}, \quad \Delta_2 = \left\{ z \in \mathbb{C} : 1 - \frac{1}{N} < |z| < 1 \right\},$$

and let ϕ_1, ϕ_2 be a partition of unity subordinate to this open cover of D. For any constant M > 0, the restriction of $M\phi_2$ to K_N is 0 and hence belongs to U. But $\nu_{K_{N+1}}(M\phi_2) = M$, so $\nu_{K_{N+1}}$ is not a bounded function on U, contradicting that U is bounded. Therefore, there is no bounded convex open neighborhood of 0. By Theorem 7, this tells us that C(D) is not normable.

For each n, the set $C(K_n)$ is a Banach space with norm ν_{K_n} . If $n \geq m$ and $f \in C(K_n)$, let $r_{n,m}(f)$ be the restriction of f to K_m . For $n \geq m$, the function $r_{n,m}$ is a continuous linear map $C(K_n) \to C(K_m)$, and if $n \geq m \geq l$ then $r_{n,l} = r_{m,l} \circ r_{n,m}$. Thus the Banach spaces $C(K_n)$ and the maps $r_{n,m}$ are a projective system in the category of locally convex spaces, and it is a fact that any projective system in this category has a projective limit that is unique up to unique isomorphism.

Theorem 10. $C(D) = \varprojlim C(K_n)$.

Proof. Define $r_n: C(D) \to C(K_n)$ by taking $r_n(f)$ to be the restriction of f to K_n . Each r_n is continuous and linear. Certainly, if $n \ge m$ then $r_m = r_{n,m} \circ r_n$. Suppose the Y is a locally convex space, that $\phi_n: Y \to C(K_n)$ are continuous linear maps, and that if $n \ge m$ then

$$\phi_m = r_{n,m} \circ \phi_n. \tag{2}$$

If $z \in K_m$ and $n \ge m$, then by (2) we have $\phi_n(y)(z) = \phi_m(y)(z)$. For $z \in D$, eventually $z \in K_n$, and define $\phi(y)(z)$ to be $\phi_n(y)(z)$ for any n such that $z \in K_n$. For each $z \in D$ there is some n such that z is in the interior of K_n , and the restriction of $\phi(y)$ to K_n is equal to $\phi_n(y)$, hence $\phi(y)$ is continuous at z. Therefore $\phi(y) \in C(D)$, so $\phi: Y \to C(D)$.

Suppose that $y_1, y_2 \in Y$ and $\alpha \in \mathbb{C}$. If $z \in D$, then there is some n with $z \in K_n$, and because ϕ_n is linear,

$$\phi(\alpha y_1 + y_2)(z) = \phi_n(\alpha y_1 + y_2)(z) = \alpha \phi_n(y_1)(z) + \phi_n(y_2)(z) = \alpha \phi(y_1)(z) + \phi(y_2)(z).$$

Therefore ϕ is linear.

Suppose that $y_{\alpha} \in Y$ is a net with limit $y \in Y$. For $\phi(y_{\alpha})$ to converge to $\phi(y)$ means that for each $n \in \mathbb{N}$ we have $\nu_{K_n}(\phi(y_{\alpha}) - \phi(y)) \to 0$. But

$$\nu_{K_n}(\phi(y_\alpha) - \phi(y)) = \nu_{K_n}(\phi_n(y_\alpha) - \phi_n(y)),$$

and $\phi_n(y_\alpha) \to \phi_n(y)$ because ϕ_n is continuous. Therefore, for each $n \in \mathbb{N}$ we have $\nu_{K_n}(\phi(y_\alpha) - \phi(y)) \to 0$, so ϕ is continuous.

We proved in the above theorem that the Fréchet space C(D) is the projective limit of the Banach spaces $C(K_n)$. It is a fact that the projective limit of any projective system of Banach spaces is a Fréchet space.⁹

A topological space is said to be separable if it has a countable subset that is dense.

Theorem 11. C(D) is separable.

Proof. One proves using the Stone-Weierstrass theorem that the Banach space $C(K_n)$ is separable. The product of at most continuum many separable Hausdorff spaces each with at least two points is itself separable with the product topology. Therefore, $\prod_{n=1}^{\infty} C(K_n)$ is separable. Because each $C(K_n)$ is a metric space, this countable product $\prod_{n=1}^{\infty} C(K_n)$ is metrizable, and any subset of a separable metric space is itself separable with the subspace topology. The projective limit of a projective system of topological vector spaces is a closed subspace of the product of the spaces; thus, using merely that the projective limit is a subset of the product $\prod_{n=1}^{\infty} C(K_n)$ and has the subspace topology inherited from the direct product, we get that C(D) is separable.

⁹J. L. Taylor, Notes on locally convex topological vector spaces, http://www.math.utah.edu/~taylor/LCS.pdf, p. 8, Proposition 2.6, and cf. Paul Garret, Functions on circles: Fourier series, I, http://www.math.umn.edu/~garrett/m/fun/notes_2012-13/04_blevi_sobolev.pdf, p. 37, §13.

¹⁰Stephen Willard, General Topology, p. 109, Theorem 16.4.

4 Holomorphic functions on the unit disc

Let H(D) be the set of holomorphic functions $D \to \mathbb{C}$. H(D) is a linear subspace of C(D). Let H(D) have the subspace topology inherited from C(D). One proves that this topology is equal to the seminorm topology induced by $\{\nu_{K_n} : n \in \mathbb{N}\}$. Any subset of a separable metric space with the subspace topology is separable. By Theorem 11 the Fréchet space C(D) is separable, and thus H(D) is separable too.

We now prove that H(D) is a closed subspace of C(D).¹¹ A closed linear subspace of a Fréchet space is itself a Fréchet space, hence this theorem shows that H(D) is a Fréchet space.

Theorem 12. H(D) is a closed subset of C(D).

Proof. Suppose that $f_j \in H(D)$ is a net and that $f_j \to f \in C(D)$. We shall show that $f \in H(D)$. (In fact it suffices to prove this for a sequence of elements in H(D) because we have shown that C(D) is metrizable, but that will not simplify this argument.) To show this we have to prove that if $z \in D$ then $\frac{f(z+h)-f(z)}{h}$ has a limit as $h \to 0$, $h \in \mathbb{C}$. Let γ be a counterclockwise oriented circle contained in D with center z, say of radius $r = \frac{1-|z|}{2} > 0$. For each j the function f_j is holomorphic on D, and so Cauchy's integral formula gives

$$f_j(w) = \frac{1}{2\pi i} \int_{\gamma} \frac{f_j(\zeta)}{\zeta - w} d\zeta, \qquad w \in B_r(z).$$

Therefore

$$f(w) - \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - w} d\zeta = f(w) - f_j(w) + \frac{1}{2\pi i} \int_{\gamma} \frac{f_j(\zeta)}{\zeta - w} d\zeta - \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - w} d\zeta$$
$$= f(w) - f_j(w) + \frac{1}{2\pi i} \int_{\gamma} \frac{f_j(w) - f(w)}{\zeta - w} d\zeta.$$

As γ is a compact subset of D this gives us

$$\left| f(w) - \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - w} d\zeta \right| \le |f(w) - f_j(w)| + \frac{1}{2\pi} \cdot 2\pi r \cdot \frac{\nu_{\gamma}(f_j - f)}{r - |w - z|}.$$

The right-hand side tends to 0, while the left-hand side does not depend on j. Hence

$$f(w) = \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - w} d\zeta, \qquad w \in B_r(z).$$
 (3)

Applying (3), we have for $0 \le |h| < r$,

$$f(z+h) = \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - (z+h)} d\zeta,$$

¹¹Paul Garrett, Holomorphic vector-valued functions, http://www.math.umn.edu/ ~garrett/m/fun/notes_2012-13/08b_vv_holo.pdf

hence

$$f(z+h) - f(z) = \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - (z+h)} d\zeta - \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{\zeta - z} d\zeta$$
$$= \frac{1}{2\pi i} \int_{\gamma} f(\zeta) \left(\frac{1}{\zeta - (z+h)} - \frac{1}{\zeta - z} \right) d\zeta$$
$$= \frac{1}{2\pi i} \int_{\gamma} f(\zeta) \cdot \frac{h}{(\zeta - (z+h))(\zeta - z)} d\zeta,$$

thus

$$\frac{f(z+h)-f(z)}{h} = \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{(\zeta-(z+h))(\zeta-z)} d\zeta.$$

For $\zeta \in \gamma$ we have $\left| \frac{f(\zeta)}{(\zeta - (z+h))(\zeta - z)} \right| \leq \frac{\nu_{\gamma}(f)}{(r-|h|)r}$, and so by the dominated convergence theorem we get

$$\lim_{h \to 0} \frac{f(z+h) - f(z)}{h} = \frac{1}{2\pi i} \int_{\gamma} \frac{f(\zeta)}{(\zeta - z)^2} d\zeta.$$

Thus, for every $z \in D$, the function f is complex differentiable at z. Hence $f \in H(D)$, and therefore H(D) is a closed subset of C(D).

We remind ourselves that a topological vector space is said to have the *Heine-Borel property* if every closed and bounded subset of it is compact. Lemma 5 tells us that a subset E of H(D) is bounded if and only if each seminorm ν_{K_n} is a bounded function on E. The following theorem states that H(D) has the Heine-Borel property.¹² An equivalent statement is called *Montel's theorem*.

Theorem 13 (Heine-Borel property). The Fréchet space H(D) has the Heine-Borel property.

That H(D) has the Heine-Borel property is a useful tool, and lets us prove that the topology of H(D) is not induced by a norm.

Theorem 14. H(D) is not normable.

Proof. If H(D) were normable then by Theorem 7 there would be a convex bounded open neighborhood of the origin. This would imply that H(D) is locally bounded (has a bounded open neighborhood of the origin). But H(D) has the Heine-Borel property, and a topological vector space that is locally bounded and has the Heine-Borel property is finite dimensional by Theorem 8. It is straightforward to check that H(D) is not finite dimensional, and hence H(D) is not normable.

For $f \in H(D)$, let $(df)(z) = \lim_{h \to 0} \frac{f(z+h) - f(z)}{h}$. First, if $f \in H(D)$ then one proves that $df \in H(D)$. Then, the following theorem states that $d: H(D) \to H(D)$ is a morphism in the category of locally convex spaces.¹³

 $^{^{12}} Henri$ Cartan, Elementary Theory of Analytic Functions of One or Several Complex Variables, pp. 162–167, chapter V, $\S 4.$

¹³Henri Cartan, Elementary Theory of Analytic Functions of One or Several Complex Variables, p. 143, chapter V, §1.

Theorem 15. Differentiation $H(D) \to H(D)$ is a continuous linear map.

If K is a compact subset of D and $f \in H(D)$, let $r_K(f)$ be the restriction of f to K, and let $\overline{H}(K)$ be the closure in C(K) of the set $\{r_K(f): f \in H(D)\}$. Each element of $\overline{H}(K)$ is holomorphic on the interior of K. C(K) is a Banach space with the norm ν_K , and hence $\overline{H}(K)$ is a Banach space with the same norm, because it is indeed a linear subspace. If $n \geq m$ and $f \in \overline{H}(K_n)$, let $r_{n,m}(f) = r_{K_m}(f) \in \overline{H}(K_m)$. The $r_{n,m}$ are continuous and linear, and if $n \geq m \geq l$ then $r_{n,l} = r_{m,l} \circ r_{n,m}$. Thus the Banach spaces $\overline{H}(K_n)$ and the continuous linear maps $r_{n,m}$ are a projective system in the category of locally convex spaces, and this projective system has a projective limit $\varprojlim \overline{H}(K_n)$. The following theorem states that this projective limit is equal to the Fréchet space H(D).

Theorem 16. $H(D) = \varprojlim \overline{H}(K_n)$.

5 Dual spaces

The dual of a topological vector space X is the set X^* of continuous linear maps $X \to \mathbb{C}$. If E is a bounded subset of X and $\lambda \in X^*$, then $\lambda(E)$ is a bounded subset of \mathbb{C} (the image of a bounded set under a continuous linear map is a bounded set). Hence

$$p_E(\lambda) = \sup\{|\lambda x| : x \in E\} < \infty.$$

The function p_E is a seminorm on X^* , and if $\lambda \neq 0$ then there is some $x \in X$ with $\lambda x \neq 0$, hence $p_{\{x\}}(\lambda) > 0$. The strong dual topology on X^* is the seminorm topology induced by the separating family

$$\{p_E : E \text{ is a bounded subset of } X\}.$$

(To add to our vocabulary: the set of all bounded subsets of a topological vector space is called the bornology of the space. Similar to how one can define a topology as a collection of sets satisfying certain properties, one can also define a bornology on a set without first having the structure of a topological vector space.) We denote by X_{β}^* the dual space X^* with the strong dual topology. X_{β}^* is a locally convex space. If X is a normed space, one can prove that X_{β}^* is normable with the operator norm

$$\|\lambda\| = \sup\{|\lambda x| : \|x\| \le 1\}.$$

We say that a topological vector space X is reflexive if $(X_{\beta}^*)_{\beta}^* = X$; since the strong dual of a topological vector space is locally convex, for a topological vector space to be reflexive it is necessary that it be locally convex.

¹⁴J. L. Taylor, *Notes on locally convex topological vector spaces*, http://www.math.utah.edu/~taylor/LCS.pdf, p. 8

 $^{^{15}\}mathrm{K}.$ Yosida, Functional Analysis, sixth ed., p. 111, Theorem 1.

Let X be a locally convex space. The Hahn-Banach separation theorem¹⁶ yields that X^* separates X: if $x \neq 0$ then there is some $\lambda \in X^*$ with $\lambda x \neq 0$. If $\lambda \in X^*$, then $|\lambda|$ is a seminorm on X and $\{|\lambda| : \lambda \in X^*\}$ is therefore a separating family of seminorms on X. We call the seminorm topology induced by this separating family the weak topology on X, and X with the weak topology is a locally convex space. The original topology on X is at least as fine as the weak topology on X: any set that is open using the weak topology is open using the original topology.

The following lemma shows that a Fréchet space with the Heine-Borel property is reflexive, and therefore that H(D) is reflexive.

Lemma 17. If a Fréchet space has the Heine-Borel property, then it is reflexive.

Proof. A subset of a locally convex space is called a barrel if it is closed, convex, balanced, and absorbing. A locally convex space is said to be barreled if each barrel is a neighborhood of 0. It is a fact that every Fréchet space is barreled. A locally convex space is reflexive if and only if it is barreled and if every set that is closed, convex, balanced, and bounded is weakly compact. Therefore, for a Fréchet space with the Heine-Borel property to be reflexive it is necessary and sufficient that every set that is compact, convex, and balanced be weakly compact. But if a subset of a locally convex space is compact then it is weakly compact, because the original topology is at least as fine as the weak topology and hence any cover of a set by elements of the weak topology is also a cover of the set by elements of the original topology. Therefore, any Fréchet space with the Heine-Borel property is reflexive.

Morphisms in the category of locally convex spaces are continuous linear maps. If X and Y are locally convex spaces and $\phi: X \to Y$ is a morphism, the dual of ϕ is the morphism

$$\phi^*: Y_\beta^* \to X_\beta^*$$

defined by

$$\phi^*(\lambda) = \lambda \circ \phi, \qquad \lambda \in Y_\beta^*.$$

One verifies that ϕ^* is in fact a morphism. If the spaces X_j and the morphisms $\phi_{i,j}: X_i \to X_j, i \geq j$, are a projective system in the category of locally convex spaces, then the dual spaces $(X_j)^*_{\beta}$ and the morphisms $\phi^*_{i,j}: (X_j)^*_{\beta} \to (X_i)^*_{\beta}, i \geq j$, are a direct system in this category. It is a fact that the dual of a projective limit of Banach spaces is isomorphic to the direct limit of the duals of the Banach spaces. Thus, as H(D) is the projective limit of the Banach spaces $\overline{H}(K_n)$, its dual space $H^*(D) = (H(D))^*_{\beta}$ is isomorphic to the direct limit of the duals of these Banach spaces:

$$H^*(D) = \underline{\lim}(\overline{H}(K_n))_{\beta}^*.$$

¹⁶Walter Rudin, Functional Analysis, second ed., p. 59, Theorem 3.4.

¹⁷K. Yosida, Functional Analysis, sixth ed., p. 138, Corollary 1.

 $^{^{18}\}mathrm{K.}$ Yosida, Functional Analysis, sixth ed., p. 140, Theorem 2.

¹⁹Paul Garrett, Functions on circles: Fourier series, I, http://www.math.umn.edu/~garrett/m/fun/notes_2012-13/04_blevi_sobolev.pdf, p. 15, Theorem 5.1.1.

Cooper²⁰ shows that $H^*(D)$ is isomorphic to the space of germs of functions on the complement of D in the extended complex plane that vanish at infinity. Let \mathfrak{A} be those sequences $a \in \mathbb{C}^{\mathbb{N}}$ satisfying

$$\limsup |a_n|^{1/n} \le 1.$$

By Hadamard's formula for the radius of convergence of a power series, these are precisely the sequences of coefficients of power series with radius of convergence ≥ 1 , and $\mathfrak A$ is a complex vector space. The map

$$a \mapsto \sum_{n=0}^{\infty} a_n z^n$$

is linear and has the linear inverse

$$f \mapsto \left(\frac{f^{(n)}(0)}{n!}\right),$$

so H(D) and \mathfrak{A} are linearly isomorphic. For 0 < r < 1, define

$$q_r(a) = \max\{|a_n|r^n : n \in \mathbb{N}\}.$$

Each q_r is a norm, yet we do not give $\mathfrak A$ the norm topology. Rather, we give $\mathfrak A$ the seminorm topology induced by the family $\{q_r:0< r<1\}$, and with this topology $\mathfrak A$ is a locally convex space. One proves that the above two linear maps are continuous, and hence that H(D) is isomorphic as a locally convex space to $\mathfrak A$. Then, one proves that the dual space of $\mathfrak A$ are those sequences $b\in\mathbb C^{\mathbb N}$ such that

$$\limsup |b_n|^{1/n} < 1,$$

and b corresponds to

$$\sum_{n=0}^{\infty} b_n \left(\frac{1}{z}\right)^{n+1}.$$

²⁰J. B. Cooper, Functional analysis- spaces of holomorphic functions and their duality, http://www.dynamics-approx.jku.at/lena/Cooper/holloc.pdf, p. 11, §5.