

Dual Operators

Seminar Functional Analysis

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January 2026

1 Motivation

2 The adjoint operator

- The basic definitions and conventions
- The basic properties
- The dual space of the dual space
- Compact (adjoint) operators
- The rank-nullity theorem for operators

3 References

The goal of dual- or adjoint operators is to generalize the notion of an adjoint matrix (often denoted as A^T over \mathbb{R} or A^H over \mathbb{C}) to operators on normed \mathbb{R} or \mathbb{C} vector spaces.

We will cover the following topics:

- The general version of the operator \cdot^H is linear and isometric wrt. the spectral norm.

- The general version of the fundamental theorem of linear algebra (Gilbert Strang) or rank-nullity theorem: $(\text{Im } A)^\perp = \text{Ker } A^H$.

- How the adjoint operation behaves on compact operators.

- A characterisation of $\exists x \in X : Tx = y$.

The terms **adjoint** and **dual** are often used interchangeably. We will standardize to **adjoint**, to avoid unnecessary confusion. Following [Wer18], we write $\mathbb{F} \in \{\mathbb{R}, \mathbb{C}\}$ when the field is unspecified.

Definition: Linear Operator

Definition 1

We remind ourselves of the following concepts from the lecture [KP25]: Let $(X, \|\cdot\|_X)$, $(Y, \|\cdot\|_Y)$ and $(Z, \|\cdot\|_Z)$ be normed \mathbb{F} -vector spaces

i) Let

$$T : (X, \|\cdot\|_X) \rightarrow (Y, \|\cdot\|_Y)$$

be a linear mapping. Then we call T a **linear operator**. We call T **bounded**, if

$$\exists C > 0, \forall x \in X : \|Tx\|_Y \leq C\|x\|_X$$

For brevity, we will use the notation $T : X \rightarrow Y$ for linear operators rather than $T : (X, \|\cdot\|_X) \rightarrow (Y, \|\cdot\|_Y)$.

ii) The (topological) dual space is defined as

$$X' := \mathcal{L}(X, \mathbb{F})$$

Revision

The following statements are foundational for this topic:

Let $(X, \|\cdot\|_X)$ and $(Y, \|\cdot\|_Y)$ be normed \mathbb{F} -vector spaces.

- i) The set of continuous, linear operators $\mathcal{L}(X, Y)$ is a Banach space if and only if Y is a Banach space. In particular, the topological dual space $\mathcal{L}(X, \mathbb{F})$ is a Banach space.
- ii) Let $T : X \rightarrow Y$ be a linear operator. Then T is bounded if and only if T is continuous.
- iii) Let $(Z, \|\cdot\|_Z)$ be a normed \mathbb{F} -vector space, let $T : X \rightarrow Y$ be a linear, bounded operator and let $S : Y \rightarrow Z$ be a linear, bounded operator. Then $S \circ T$ is a linear, bounded operator.
- iv) Let $(Z, \|\cdot\|_Z)$ be a normed \mathbb{F} -vector space, let $T : X \rightarrow Y$ be a linear operator and let $S : Y \rightarrow Z$ be a linear operator. If T or S is compact, $S \circ T$ is compact.

Definition: Adjoint Operator

Definition 2

Let $(X, \|\cdot\|_X)$ and $(Y, \|\cdot\|_Y)$ be normed \mathbb{F} -vector spaces and $T \in \mathcal{L}(X, Y)$. Then $T' : Y' \rightarrow X', y' \mapsto y' \circ T$ is called the adjoint operator.

Remark

In comparison to the operators we have previously worked with, the adjoint operator takes and outputs linear, bounded operators. It's one more level of abstraction removed from \mathbb{F} . For $y' \in Y' = \mathcal{L}(Y, \mathbb{F})$, the adjoint operator evaluates to $T'y' \in \mathcal{L}(X, \mathbb{F}) = X'$.

Example: Dual Space of \mathbb{R}^n

Example 3

Let $n \in \mathbb{N}$. Then we have

$$\begin{aligned}(\mathbb{R}^n)' &= \{g : \mathbb{R}^n \rightarrow \mathbb{R} \text{ linear, continuous}\} && \text{(apply def. of dual space)} \\ &= \{g : \mathbb{R}^n \rightarrow \mathbb{R} \text{ linear}\} && \text{(result from linear algebra)} \\ &\cong \mathbb{R}^n && \text{(result from linear algebra see [FS25])}\end{aligned}$$

Example: Adjoint of Matrix Operator

Example 4

Let $m \in \mathbb{N}$ and let $A \in \mathbb{R}^{m \times n}$.

Consider the function $f : \mathbb{R}^n \rightarrow \mathbb{R}^m, x \mapsto Ax$. The signature of the adjoint is $f' : (\mathbb{R}^m)' \rightarrow (\mathbb{R}^n)'$. With e_j we denote the standard basis vectors and with e'_i we denote the dual standard basis vectors.

Let $i = 1, \dots, m$ and $j = 1, \dots, n$. We have

$$\begin{aligned}(f'e'_i)(e_j) &= (e'_i \circ f)(e_j) && \text{(apply def. of adjoint op.)} \\ &= f(e_j)_i = a_{ij} && \text{(apply def. of } e'_i \text{ and } f)\end{aligned}$$

So if we set $i = 1$ for instance, we get $(f'e'_1)(e_j) = a_{1j}$. The first "column" of f' (up to isomorphism) must be $(a_{1j})_{j=1, \dots, n}$. In conclusion, we have (up to isomorphism):

$$f' : \mathbb{R}^m \rightarrow \mathbb{R}^n, x \mapsto A^T x$$

Revision: Hahn-Banach and Dual Unit Ball

Revision (Hahn-Banach)

Let $(X, \|\cdot\|_X)$ be a normed space and $0 \neq x \in X$.

Then we have $\exists f \in X' : \|f\|_{X'} = 1 \wedge f(x) = \|x\|_X$

Revision

The dual unit ball retains information about the norm of primal vectors:

Let $(X, \|\cdot\|)$ be a normed \mathbb{F} vector space and $x \in X$.

Then we have $\|x\|_X = \sup_{f \in X', \|f\| \leq 1} |f(x)|$

Theorem: Properties of Adjoint Operator

Theorem 5

The adjoint operator has the following properties:

- i) $T' \in \mathcal{L}(Y', X')$, so T' is linear and bounded.
▷ This implies $\forall y' \in Y' : T'y' \in X'$.
- ii) $T \mapsto T'$ is linear and isometric.

Theorem: Properties of Adjoint Operator – Proof (i)

Proof

"i)": Let $y' \in Y'$. Plugging it into the adjoint operator, we get $T'y' = y' \circ T$ with signature $X \rightarrow Y \rightarrow \mathbb{F}$. We can now see that $\text{Im } T' \subset X'$.

Let $y'_1, y'_2 \in Y', \alpha \in \mathbb{F}$. We then prove linearity:

$$\begin{aligned} T'(\alpha y'_1 + y'_2) &= (\alpha y'_1 + y'_2) \circ T && \text{(apply def. of adjoint operator)} \\ &= \alpha y'_1 \circ T + y'_2 \circ T && \text{(expand expression)} \\ &= \alpha T'y'_1 + T'y'_2 && \text{(apply def. of adjoint operator)} \end{aligned}$$

Let $y' \in Y'$. We then prove boundedness of the operator norm:

$$\begin{aligned} \|T'y'\|_{X'} &= \|y' \circ T\|_{X'} && \text{(apply def. of adjoint operator)} \\ &\leq \|y'\|_{Y'} \|T\|_{\mathcal{L}(X, Y)} && \text{(apply def. of op. norm)} \\ &:= C \|y'\|_{Y'} && \text{(def. the constant)} \end{aligned}$$

Theorem: Properties of Adjoint Operator – Proof (ii) Linearity

Proof

"ii)": Let $T_1, T_2 \in \mathcal{L}(X, Y)$, $y' \in Y'$, $x \in X$, $\alpha \in \mathbb{F}$. We first prove linearity:

$$\begin{aligned}(\alpha T_1 + T_2)'(y')(x) &= y'(\alpha T_1 x + T_2 x) && \text{(apply def. of adjoint operator)} \\ &= \alpha y'(T_1 x) + y'(T_2 x) && (y' \text{ is linear}) \\ &= (\alpha T_1' y' + T_2' y')(x)\end{aligned}$$

Theorem: Properties of Adjoint Operator – Proof (ii) Isometry

Proof.

We then prove isometry:

$$\begin{aligned}\|T\| &= \sup_{\|x\|_X \leq 1} \|Tx\|_Y && \text{(use supremum char. of op. norm)} \\ &= \sup_{\|x\|_X \leq 1} \sup_{\|y'\| \leq 1} |y'(Tx)| && \text{(apply Hahn-Banach corollary)} \\ &= \sup_{\|y'\| \leq 1} \sup_{\|x\|_X \leq 1} |y'(Tx)| && \text{(supremum order can be switched)} \\ &= \sup_{\|y'\| \leq 1} \|T'y'\| && \text{(apply def. of adjoint operator and op. norm)} \\ &= \|T'\| && \text{(apply def. of op. norm)}\end{aligned}$$



Example: Shift Operator (1/3)

Example 6

Let $p \in (1, \infty)$ with $p \neq 2$. This makes l_p a Banach space according to the lecture, but not a Hilbert space as the parallelogram rule is not satisfied. We know that the dual space of l_p is isometrically isomorph to l_{p^*} where p^* is the **Hölder conjugate** with $1/p + 1/p^* = 1$.

As a reminder, the general idea of the proof of $l'_p \cong l_{p^*}$ goes as follows:

Define the isometric isomorphism as $T : l_{p^*} \rightarrow l'_p, s \mapsto (x \mapsto \sum_{k \in \mathbb{N}} x_k s_k)$

Verify $(Ts)x$ converges as $|(Ts)x| \leq \|x\|_p \|s\|_{p^*} < \infty$ and absolute convergence implies convergence.

Verify T is injective using the linearity.

Verify T is surjective and isometric (the long part). See [Wer18] for a full proof.

Example: Shift Operator (2/3)

Example (cont.)

To illustrate the adjoint operator, we now work through an example. Consider the **left shift** operator $T : l_p \rightarrow l_p, (x_k)_{k \in \mathbb{N}} \mapsto (x_{k+1})_{k \in \mathbb{N}}$. It is well-defined since

$$\sum_{k \in \mathbb{N}} |x_{k+1}|^p \leq \sum_{k \in \mathbb{N}} |x_k|^p < \infty$$

We can now compute the adjoint operator T' : The adjoint T' must have the signature $l'_p \cong l_{p^*} \rightarrow l'_p \cong l_{p^*}$.

Example: Shift Operator (3/3)

Example (cont.)

Let $y' \in l'_p \cong l_{p^*}$. Then we can write $y' : l_p \rightarrow \mathbb{F}, x \mapsto \sum_{k \in \mathbb{N}} x_k s_k$ with $s \in l_{p^*}$.
Now for $x \in l_p$ we have

$$\begin{aligned}(T'y')(x) &= (y' \circ T)(x) = y'(Tx) && \text{(apply def. of } T') \\ &= y'((x_{k+1})_{k \in \mathbb{N}}) && \text{(apply def. of } T) \\ &= \sum_{k \in \mathbb{N}} x_{k+1} s_k && \text{(apply def. of } y') \\ &= \sum_{k \in \mathbb{N}} x_k s'_k && \text{(with } s'_1 = 0 \text{ and } s'_k = s_{k-1} \text{ for } k > 1)\end{aligned}$$

This tells us that the adjoint operator T' acts as a **right shift** (up to isomorphism):
 $T' : l_{p^*} \rightarrow l_{p^*}, (s_k)_{k \in \mathbb{N}} \mapsto (0, s_1, s_2, \dots)$

Theorem: Adjoint Reverses Composition

Theorem 7

Let X, Y, Z be normed \mathbb{F} vector spaces.

Then the adjoint operator reverses composition:

$$\forall T \in \mathcal{L}(X, Y), \forall S \in \mathcal{L}(Y, Z) : (S \circ T)' = T' \circ S'$$

Theorem: Adjoint Reverses Composition – Proof

Proof.

Let $T \in \mathcal{L}(X, Y)$ and $S \in \mathcal{L}(Y, Z)$.

We know $ST = S \circ T$ is still a linear, bounded operator from X to Z . So $(ST)'$ is well-defined.

Let $z' \in Z' = \mathcal{L}(Z, \mathbb{F})$ and set $y' = z' \circ S \in \mathcal{L}(Y, \mathbb{F})$. We have

$$\begin{aligned}(ST)'(z') &= z' \circ (ST) && \text{(apply def. of adjoint operator)} \\ &= (z' \circ S) \circ T && \text{(write out chain explicitly)} \\ &= y' \circ T && \text{(subst. } y') \\ &= T'y' && \text{(apply def. of adjoint operator)} \\ &= T'(z' \circ S) && \text{(subst. } y') \\ &= T'S'z' && \text{(apply def. of adjoint operator)}\end{aligned}$$

So in total $(ST)' = T'S'$.



Example: Composition Rule

Example 8

Referring back to the example with $A \in \mathbb{R}^{m \times n}$, the adjoint operator reverses composition rule is compatible with the way matrix transposition on \mathbb{R} or the matrix adjoint on \mathbb{C} behave.

Definition: Bidual Space

Definition 9

Let X be a normed \mathbb{F} vector space.

- i) X'' is called the bidual space.
- ii) Let $J_X : X \rightarrow X'', p \mapsto (x' \mapsto x'(p))$. J_X is called the **canonical embedding** from X into X'' .

So J_X returns a function that evaluates dual space elements at $p \in X$.

Figure: Dual of Dual

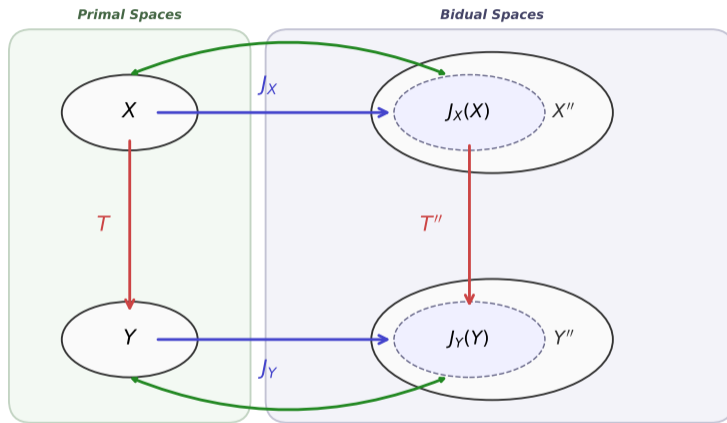


Figure 1: An illustration of the main concepts in the dual of duals chapter. The operator and bidual operator are in **red**. The canonical embeddings are in **blue**. Isomorphisms are in **green**.

Theorem: Bidual Adjoint Embedding

Theorem 10

Let $(X, \|\cdot\|_X)$ and $(Y, \|\cdot\|_Y)$ be normed \mathbb{F} vector spaces. Let $T \in \mathcal{L}(X, Y)$ be a bounded linear operator. Then we have: $J_Y \circ T = T'' \circ J_X$.

Theorem: Bidual Adjoint Embedding – Proof Setup

Proof

Before the proof, we can avoid confusion by typing out what T' and T'' evaluate to:

$T' : Y' \rightarrow X', y' \mapsto y' \circ T$ is the adjoint operator.

$T'' : X'' \rightarrow Y'', x'' \mapsto x'' \circ T'$ is the biadjoint operator.

Now first of all, we need to check that the signatures of both sides of the equation match:

$J_Y : Y \rightarrow Y''$ and $T : X \rightarrow Y$ means $(J_Y \circ T) : X \rightarrow Y''$.

$T'' : X'' \rightarrow Y''$ and $J_X : X \rightarrow X''$ means $(T'' \circ J_X) : X \rightarrow Y''$.

Theorem: Bidual Adjoint Embedding – Proof Calculation

Proof.

Finally, for $p \in X$ and $y' \in Y'$ we have

$$\begin{aligned} ((J_Y \circ T)(p))(y') &= J_Y(Tp)(y') = y'(Tp) && \text{(subst. } p \text{ in and apply def. of } J_Y) \\ &= (y'T)(p) && \text{(use associativity)} \\ &= (T'y')(p) && \text{(apply def. of } T') \\ &= (x' \mapsto x'(p))(T'y') && \text{(pull out subst. function)} \\ &= J_X(p)(T'y') && \text{(recognize this is just } J_X) \\ &= T''(J_X(p))(y') && \text{(apply def. use } T'') \\ &= ((T'' \circ J_X)(p))(y') && \text{(use } \circ \text{ notation)} \end{aligned}$$



Revision

Let $(X, \|\cdot\|)$ be a normed \mathbb{F} vector space. Then we have

- i) The canonical embedding J_X is an isometric injective function.
- ii) $J : X \rightarrow J_X(X), x \mapsto J_X(x)$ is an isometric isomorphism.
- iii) J_X is a bounded, linear operator.
- iv) $(J_X|_{X \rightarrow J_X(X)})^{-1}$ is a bounded, linear operator.

Revision: Canonical Embedding Properties – Proof

Proof

- i) Please refer to the functional analysis lecture notes [KP25] from SS/2025.
- ii) Follows by definition of J and from "i)".
- iii) Since $J : X \rightarrow J_X(X), x \mapsto J_X(x)$ is an isometric isomorphism, we have
 J_X is linear since the $x' \in X'$ are linear.
 $\|J_X\| = 1$. This means J_X is bounded.
- iv) Since $J : X \rightarrow J_X(X), x \mapsto J_X(x)$ is an isometric isomorphism, we have
 $(J_X|_{X \rightarrow J_X(X)})^{-1}$ inherits linearity from J .
 $\|J_X\| = 1$ and therefore $\|(J_X|_{X \rightarrow J_X(X)})^{-1}\| = 1$. This means $(J_X|_{X \rightarrow J_X(X)})^{-1}$ is bounded.

Corollary: Strengthened Bidual Adjoint Embedding

Corollary 11

We can strengthen the theorem using the isomorphism:

Let $(X, \|\cdot\|_X)$ and $(Y, \|\cdot\|_Y)$ be normed \mathbb{F} vector spaces. Let $T \in \mathcal{L}(X, Y)$ be a bounded linear operator. Then we have

- i) $J_Y \circ T = T'' \circ J_X$.*
- ii) $T''|_{J_X(X)} = J_Y \circ T \circ (J_X|_{X \rightarrow J_X(X)})^{-1}$*
- iii) $T = (J_Y|_{Y \rightarrow J_Y(Y)})^{-1} \circ T'' \circ J_X$.*

Proof.

"i)": This is the statement of the theorem.

"ii)": The isomorphism from the revision gives us the result.

"iii)": The isomorphism from the revision gives us the result.



Figure: Strengthened Bidual Adjoint Embedding

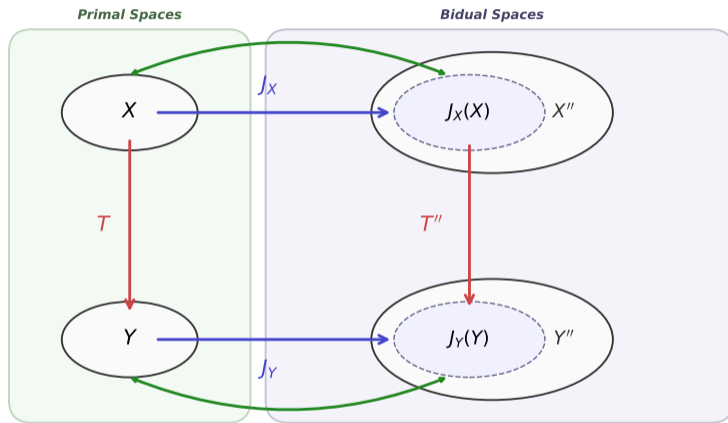


Figure 2: An illustration of the main concepts in the dual of duals chapter. The operator and bidual operator are in **red**. The canonical embeddings are in **blue**. Isomorphisms are in **green**.

Theorem: Characterization of Adjoint Operators

Theorem 12

Let $S \in \mathcal{L}(Y', X')$ be a continuous, linear operator. Then we have

$$\exists T \in \mathcal{L}(X, Y) : T' = S \text{ if and only if } S'(J_X(X)) \subset J_Y(Y)$$

Theorem: Characterization of Adjoint Operators – Proof (\Rightarrow)

Proof

" \Rightarrow ": We have

$$\begin{aligned} S'(J_X(X)) &= T''(J_X(X)) && \text{(substitute in } S = T') \\ &= J_Y(T(X)) && \text{(use the theorem)} \\ &\subset J_Y(Y) && \text{(use } T(X) \subset Y) \end{aligned}$$

Theorem: Characterization of Adjoint Operators – Proof (\Leftarrow) Setup

Proof (cont.)

" \Leftarrow ": We have $S'(J_X(X)) \subset J_Y(Y)$ and the revision gives us $J_Y(Y) \cong Y$.

So for $x \in X$ and $y_x'' = S'(J_X(x))$ there is a (unique) $y_x \in Y$ with $y_x'' = J_Y(y_x)$.

Choose $T : X \rightarrow Y, x \mapsto y_x$. We know T exists (and is unique) due to the previous argument.

We know T is linear and continuous, as $T = y. = (J_Y|_{Y \rightarrow J_Y(Y)})^{-1} \circ S' \circ J_X$ and all elements in the chain are bounded, linear operators.

Theorem: Characterization of Adjoint Operators – Proof (\Leftarrow) $S = T'$

Proof.

Let $y' \in Y'$ and $x \in X$. Lastly, we need to prove that $S = T'$:

$(Sy')(x) = J_X(x)(Sy')$	(express using J_X)
$= (S'J_X(x))(y') = (S' \circ J_X)(x)(y')$	(apply def. of adjoint op.)
$= J_Y(((J_Y _{Y \rightarrow J_Y(Y)})^{-1} \circ S' \circ J_X)(x))(y')$	(use $J_Y \circ (J_Y _{Y \rightarrow J_Y(Y)})^{-1} = \text{Id}$)
$= y'(((J_Y _{Y \rightarrow J_Y(Y)})^{-1} \circ S' \circ J_X)(x))$	(evaluate J_Y at the vector)
$= y'(Tx) = (y' \circ T)(x)$	(subst. in $T = J_Y^{-1} \circ S' \circ J_X$)
$= (T'y')(x)$	(apply def. of adjoint op.)



Definition 13

The following definitions are revisions from the lecture:

Let X, Y be normed \mathbb{F} vector spaces.

- i) $M \subset X$ is relatively compact, if $\forall (x_n)_{n \in \mathbb{N}} \subset M : (x_n)_{n \in \mathbb{N}}$ has a converging subsequence in X
- ii) $T \in \mathcal{L}(X, Y)$ is compact, if $T(\overline{B}_X)$ is relatively compact.
- iii) The rank of T is $\text{rk } T = \dim T(X)$.

Definition: Uniformly Equicontinuous and Pointwise Bounded

Definition 14

The following definitions are critical for the theorem of [Arzelà-Ascoli](#):

Let X, Y be metric spaces and $M \subset \{f : X \rightarrow Y\}$.

i) M is uniformly equicontinuous, if

$$\forall \epsilon > 0, \exists \delta > 0, \forall T \in M, \forall x, y \in X : d_X(x, y) < \delta \Rightarrow d_Y(Tx, Ty) < \epsilon$$

ii) M is pointwise bounded, if $\forall x \in X : \{f(x) \mid f \in M\}$ is bounded

Revision (Arzelà-Ascoli)

Let D be a compact metric space and $M \subset C(D)$ with the supremum norm. Then we have M is uniformly equicontinuous and pointwise bounded implies M is relatively compact.

Theorem: Schauder

Theorem 15 (Schauder)

Let X, Y be Banach spaces and $T : X \rightarrow Y$ be a bounded, linear operator. Then we have T is compact if and only if T' is compact.

Theorem: Schauder – Proof (\Rightarrow) Setup

Proof

" \Rightarrow ": Let $(y'_n)_{n \in \mathbb{N}} \subset Y' = \mathcal{L}(Y, \mathbb{F}) \subset C(Y)$ be bounded.

Our goal is to show that there is a convergent subsequence in $(T'y'_n)_{n \in \mathbb{N}}$ with respect to $(X', \|\cdot\|)$ where $\|\cdot\|$ is the operator norm. For all $n \in \mathbb{N}$ set $f_n = y'_n|_{T(\overline{B}_X)}$.

We have

$$\begin{aligned}\|T'y'_n - T'y'_m\| &= \|y'_n \circ T - y'_m \circ T\| && \text{(apply def. of adjoint op.)} \\ &= \sup_{\|x\|_X \leq 1} |((y'_n \circ T) - (y'_m \circ T))(x)| && \text{(use supremum char. of the op. norm)} \\ &= \sup_{\|x\|_X \leq 1} |((f_n \circ T) - (f_m \circ T))(x)| && \text{(subst. in } f_n \text{ and } f_m) \\ &= \sup_{d \in T(\overline{B}_X)} |f_n(d) - f_m(d)| && \text{(subst. in } f_n \text{ and } f_m)\end{aligned}$$

Theorem: Schauder – Proof (\Rightarrow) Setup for Arzelà-Ascoli

Proof (cont.)

We know $(T'y'_n)_{n \in \mathbb{N}}$ converges if and only if it is a Cauchy sequence $(\mathcal{L}(X, \mathbb{F}), \|\cdot\|)$. Therefore the convergence of $(T'y'_n)_{n \in \mathbb{N}}$ in the operator norm is only dependent on the behaviour of $(f_n)_{n \in \mathbb{N}}$ on $\overline{T(\overline{B_X})}$.

We now set $D = \overline{T(\overline{B_X})}$ and pack the sequence into $M := \{f_n \mid n \in \mathbb{N}\}$ and examine them for the conditions of Arzelà-Ascoli.

Theorem: Schauder – Proof (\Rightarrow) D is compact, M is pointwise bounded

Proof (cont.)

D is compact: We have \overline{B}_X is bounded and T is a compact operator. So $T(\overline{B}_X)$ is relatively compact and D is compact.

M is pointwise bounded: For $x \in \overline{B}_X$ and $n \in \mathbb{N}$ we have

$$\begin{aligned} |f_n(Tx)| &= |y'_n(Tx)| := |y'_n(d)| \quad (\text{apply def. of } f_n \text{ and define } d) \\ &\leq C_1 \|d\|_Y \leq C_1 C_2 \quad (\text{apply op. norm ineq. and } D \text{ bounded means } \|d\|_Y \leq C_2) \end{aligned}$$

For $d \in D$ we can choose $(x_k)_{k \in \mathbb{N}} \subset \overline{B}_X$ with $Tx_k \rightarrow d$ and $|f_n(Tx_k)| \leq C_1 C_2$.

Using continuity we get $|f_n(d)| \leq C_1 C_2$.

Theorem: Schauder – Proof (\Rightarrow) M is uniformly equicontinuous

Proof (cont.)

M is uniformly equicontinuous: For $n \in \mathbb{N}$, $\epsilon > 0$, $\delta = \epsilon/C_1$, $\forall d_1, d_2 \in D$, $\|d_1 - d_2\|_Y < \delta$ we have

$$\begin{aligned} |f_n(d_1) - f_n(d_2)| &\leq \|y'_n\| \cdot \|d_1 - d_2\|_Y && \text{(factor out and apply op. norm ineq.)} \\ &\leq C_1 \|d_1 - d_2\|_Y && \text{(use the upper bound } \|y'_n\| \leq C_1) \\ &< C_1 \delta = \epsilon && \text{(substitute in } \delta) \end{aligned}$$

Theorem: Schauder – Proof (\Rightarrow) Conclusion

Proof (cont.)

The theorem of Arzelà-Ascoli now tells us that M is relatively compact. So every sequence in M has a convergent subsequence. In particular for the convergent subsequence $(f_{n(k)})_{k \in \mathbb{N}}$ we have

$$\begin{aligned}(f_{n(k)} \circ T)_{k \in \mathbb{N}} &= (y'_{n(k)} \circ T)_{k \in \mathbb{N}} && \text{(apply def. of } f_{n(k)}) \\ &= (T' y'_{n(k)})_{k \in \mathbb{N}} && \text{(apply def. of adjoint operator)}\end{aligned}$$

So finally, $(T' y'_{n(k)})_{k \in \mathbb{N}}$ is a convergent subsequence of $(T' y'_k)_{k \in \mathbb{N}}$.

Theorem: Schauder – Proof (\Leftarrow)

Proof.

" \Leftarrow ": The other proof direction tells us that T compact $\Rightarrow T'$ compact So in extension this also yields T' compact $\Rightarrow T''$ compact The corollary tells us that

$T = (J_Y|_{Y \rightarrow J_Y(Y)})^{-1} \circ T'' \circ J_X$ Lastly, the operator T'' is compact, the revision tells us J_X and $(J_Y|_{Y \rightarrow J_Y(Y)})^{-1}$ are bounded, linear operators and therefore T is a composition of bounded, linear operators.

Using the revision we can conclude that T is compact. □

Example: Compact Integral Operator

Example 16

The lecture [KP25] states that the following integral operator is compact:

$$T : C[0, 1] \rightarrow C[0, 1], Tf(x) = \int_0^1 f(t) dx$$

So $T' : C[0, 1]' \rightarrow C[0, 1]'$ is compact too. Evaluating $C[0, 1]'$ is beyond the scope of this paper.

Definition: Annihilator

Definition 17

Let $(X, \|\cdot\|)$ be a normed \mathbb{F} vector space and $V \subset X'$. Then we define the annihilator of V in X as

$$V_{\perp} = \{x \in X \mid \forall x' \in V : x'(x) = 0\}$$

▷ The annihilator is the set of linear, bounded functionals that "see" exactly the opposite of V and are "blind" to V .

Revision: Hahn-Banach Corollary

Revision

Let $(X, \|\cdot\|)$ be a normed \mathbb{F} vector space, $U \subset X$ a closed subspace and $x \in X \setminus U$. Then we have

$$\exists x' \in X' : x'|_U = 0 \wedge x'(x) \neq 0$$

Theorem: Annihilator is Closed Linear Subspace

Theorem 18

Let $(X, \|\cdot\|)$ be a normed \mathbb{F} vector space and $V \subset X'$. Then we have

$V_{\perp} \subset X$ is a closed linear subspace

Proof.

We have $V_{\perp} = \bigcap_{x' \in V} (x')^{-1}(0)$ As an intersection of closed sets, V_{\perp} must be closed. □

Theorem: Rank-Nullity Generalized

Theorem 19

Let $T \in \mathcal{L}(X, Y)$ be a bounded, linear operator. Then we have

$$\overline{\operatorname{Im} T} = (\operatorname{Ker} T')_{\perp}$$

▷ In linear algebra lectures this is proven for finite-dimensional vector spaces (see Satz 6.1.5 [Wer18])

Theorem: Rank-Nullity Generalized – Proof (\subset)

Proof

" \subset ": Let $Tx \in \text{Im } T$ with $x \in X$ and $y' \in \text{Ker } T'$.

We first prove $Tx \in (\text{Ker } T')_{\perp}$:

$$\begin{aligned} y'(Tx) &= (y' \circ T)(x) && \text{(associativity and use } \circ \text{ notation)} \\ &= (T'y')(x) && \text{(apply adjoint op. definition)} \\ &= 0(x) = 0 && \text{(apply } y' \in \text{Ker } T') \end{aligned}$$

Since this holds for all choices of Tx we get $\text{Im } T \subset (\text{Ker } T')_{\perp}$. Since $(\text{Ker } T')_{\perp}$ is closed, we also get $\overline{\text{Im } T} \subset (\text{Ker } T')_{\perp}$.

Theorem: Rank-Nullity Generalized – Proof (\supset)

Proof.

" \supset ": We can prove the contraposition $(Y \setminus \overline{\text{Im } T}) \subset (Y \setminus (\text{Ker } T')^\perp)$. Set $U = \overline{\text{Im } T}$ and let $y \in Y \setminus U$. We know U that a closed linear subspace. The corollary of the theorem of Hahn-Banach tells us that $\exists y' \in Y' : y'|_U = 0 \wedge y'(y) \neq 0$. Since $\text{Ker } T' \subset Y'$ and $\forall y' \in \text{Ker } T' : y'(y) \neq 0$ we get $y \in Y \setminus (\text{Ker } T')^\perp$. □

Corollary: Operator Solutions

Corollary 20

Let $T \in \mathcal{L}(X, Y)$ be a linear, continuous operator with $\text{Im } T$ closed. Then we have

$$y \in \text{Im } T \text{ if and only if } \forall y' \in Y' : T'y' = 0 \Rightarrow y'(y) = 0$$

Proof.

We have

$$\begin{aligned} y \in \text{Im } T &= \overline{\text{Im } T} && (\text{Im } T \text{ is closed}) \\ &= (\text{Ker } T')_{\perp} && (\text{apply the theorem}) \\ \iff \forall y' \in \text{Ker } T' : y'(y) = 0 &&& (\text{apply def. of annihilator}) \\ \iff \forall y' \in Y' : T'y' = 0 \Rightarrow y'(y) = 0 &&& (\text{write in equivalent way}) \end{aligned}$$



Example: Left Shift

Example 21

Consider the left shift operator $T : l_p \rightarrow l_p$ from earlier. Its adjoint $T' : l_p^* \rightarrow l_p^*$ is the right shift operator: $T'(s_1, s_2, \dots) = (0, s_1, s_2, \dots)$

To apply the theorem, we first find $\text{Ker } T'$. If $T's = 0$, then $(0, s_1, s_2, \dots) = (0, 0, 0, \dots)$, which implies $s = 0$. Thus, $\text{Ker } T' = \{0\}$.

The theorem states that $\overline{\text{Im } T} = (\text{Ker } T')^\perp = \{0\}^\perp = l_p$. This is consistent with the fact that the left shift is surjective ($\text{Im } T = l_p$).

Example: Right Shift

Example 22

Consider the right shift operator $T : l_p \rightarrow l_p$, $T(x_1, x_2, \dots) = (0, x_1, x_2, \dots)$. Its image is the closed subspace $\text{Im } T = \{y \in l_p \mid y_1 = 0\}$.

The adjoint $T' : l_{p^*} \rightarrow l_{p^*}$ is the left shift, $T'(s_1, s_2, s_3, \dots) = (s_2, s_3, \dots)$. Thus $\text{Ker } T' = \{(s_1, 0, 0, \dots) \mid s_1 \in \mathbb{F}\} = \text{span}\{e'_1\}$.

By the corollary, $y \in \text{Im } T$ iff it is annihilated by every functional in $\text{Ker } T'$. For any $s \in \text{Ker } T'$, the condition $s(y) = 0$ becomes: $\sum_{k=1}^{\infty} y_k s_k = y_1 s_1 = 0$

Since this must hold for all $s_1 \in \mathbb{F}$, we must have $y_1 = 0$. This matches $\text{Im } T$, verifying the theorem.

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Summary

Defined the **adjoint operator** $T' : Y' \rightarrow X'$ for bounded linear operators

Showed $T \mapsto T'$ is **linear and isometric**

Proved the adjoint **reverses composition**: $(ST)' = T'S'$

Characterized when an operator $S : Y' \rightarrow X'$ is an adjoint via the **canonical embedding**

Proved **Schauder's theorem**: T compact $\iff T'$ compact

Generalized the **rank-nullity theorem**: $\overline{\text{Im } T} = (\text{Ker } T')_{\perp}$