

# Introduction to the Theory of Distributions

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- 1 **Locally Convex Spaces**
  - Preliminary Concepts
  - Topological Vector Spaces
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## Subsection 1

### Preliminary Concepts

# Vector Spaces

- Denote by  $\mathbb{R}$  and  $\mathbb{C}$  the fields of real and complex numbers.
- We use  $\Phi$  to denote either of these two fields.
- A **linear space**, or a **vector space**, over  $\Phi$  is a nonempty set  $X$  on which two operations, **addition** and **scalar multiplication**, are defined such that:
  - (a)  $X$  is an abelian group under addition, i.e., to every pair  $x, y \in X$ , the sum  $x + y$  is also in  $X$ , and we have for all  $x, y, z \in X$ :
    - (i)  $x + y = y + x$ ;
    - (ii)  $x + (y + z) = (x + y) + z$ ;
    - (iii) There is a zero element  $0 \in X$ , such that  $x + 0 = x$ , for all  $x$ ;
    - (iv) For each  $x \in X$ , there is an element  $-x \in X$ , such that  $x + (-x) = 0$ .
  - (b) For every pair  $a, x$  with  $a \in \Phi$  and  $x \in X$ , the scalar product  $a \cdot x$  is an element in  $X$ , and we have for all  $a, b \in \Phi$  and  $x, y \in X$ :
    - (i)  $1 \cdot x = x$ ;
    - (ii)  $a \cdot (b \cdot x) = (a \cdot b) \cdot x$ ;
    - (iii)  $a \cdot (x + y) = a \cdot x + a \cdot y$ ;
    - (iv)  $(a + b) \cdot x = a \cdot x + b \cdot x$ .

# Properties and Notation

- The zero element is unique.
- Every  $x \in X$  has a unique additive inverse  $-x$ .
- $0 \cdot x = 0$  and  $(-1) \cdot x = -x$ , for every  $x \in X$ .
- $a \cdot 0 = 0$ , for every  $a \in \Phi$ .
- The same symbol  $0$  is used to denote the zeros of both  $\Phi$  and  $X$ .
- The dot symbol for the product is usually dropped.

# Linear Independence, Basis and Dimension

- The elements of a vector space  $X$  are called **vectors**.
- The vectors  $x_1, \dots, x_n$  are **linearly independent** if the equation  $a_1x_1 + \dots + a_nx_n = 0$ , with  $a_k \in \Phi$ , implies  $a_k = 0$ , for all  $k$ .
- Otherwise, they are **linearly dependent**.
- The set  $\{x_1, \dots, x_n\}$  of vectors in  $X$  is said to **span** the space  $X$  if any  $x \in X$  can be represented by a linear combination of the form  $x = a_1x_1 + \dots + a_nx_n$ , where  $a_k \in \Phi$ .
- Any (finite) set of linearly independent vectors  $\{x_1, \dots, x_n\}$  which spans  $X$  is called a **basis** of  $X$ .
- The **dimension** of  $X$  is then  $n$ , the number of elements in its basis.
- If no such basis exists,  $X$  is said to be **infinite dimensional**.
- In a linear space  $X$  with basis  $\{x_1, \dots, x_n\}$ , any vector  $x \in X$  has a **unique representation** of the form  $x = a_1x_1 + \dots + a_nx_n$ , in the sense that the scalar coefficients  $a_k$  are uniquely determined by  $x$ .

# Subspaces

- A nonempty subset  $M$  of a linear space  $X$  is called a **(linear) subspace** of  $X$  if whenever  $x, y \in M$  and  $a \in \Phi$ ,

$$x + y \in M \quad \text{and} \quad ax \in M.$$

- In that case  $M$  is a linear space in its own right.
- $\{0\}$  is a subspace of every linear space.
- With  $x \in X, \lambda \in \Phi$  and  $A \subseteq X$ , we use the notation

$$x + A = \{x + y : y \in A\}, \quad \lambda A = \{\lambda y : y \in A\}.$$

- The “sum”  $A + B$  of two subsets of  $X$  denotes the set  $\{x + y : x \in A, y \in B\}$ ;
- The “difference”  $A - B$  will be used to denote the set  $\{x \in A : x \notin B\}$ , for any pair of sets  $A$  and  $B$ , i.e., the complement of  $B$  in  $A$ .

# Subsets of a Vector Space

- We define three types of subsets of the linear space  $X$ :

(1)  $E \subseteq X$  is **convex** if, whenever  $x, y \in E$  and  $0 \leq \lambda \leq 1$ , then

$$\lambda x + (1 - \lambda)y \in E.$$

Thus, a convex set contains the “line segment” joining  $x$  and  $y$  whenever it contains  $x$  and  $y$ .

(2)  $E \subseteq X$  is **balanced** if, whenever  $x \in E$  and  $|\lambda| \leq 1$ , then  $\lambda x \in E$ .

By choosing  $\lambda = 0$ , we see that every balanced set in  $X$  contains  $0$ .

(3)  $E \subseteq X$  is **absorbing** if for every  $x \in X$ , there is a  $\lambda > 0$ , such that  $x \in \lambda E$ .

Here again it is obvious that  $0$  is contained in every absorbing set.



# $n$ -Dimensional Euclidean Space

- The set  $\mathbb{R}^n$  whose elements are the  $n$ -tuples  $(x_1, \dots, x_n)$ , with  $x_k \in \mathbb{R}$ ,  $1 \leq k \leq n$ , is an  $n$ -dimensional linear space over  $\mathbb{R}$  under the operations

$$\begin{aligned}(x_1, \dots, x_n) + (y_1, \dots, y_n) &= (x_1 + y_1, \dots, x_n + y_n) \\ a(x_1, \dots, x_n) &= (ax_1, \dots, ax_n).\end{aligned}$$

- If we define the distance between any two vectors (points)  $x = (x_1, \dots, x_n)$  and  $y = (y_1, \dots, y_n)$  in  $\mathbb{R}^n$  by

$$|x - y| = \left[ \sum_{k=1}^n (x_k - y_k)^2 \right]^{1/2},$$

then  $\mathbb{R}^n$  is called  **$n$ -dimensional Euclidean space**.

- In this space the set of points  $x$ , such that  $|x| \leq r$ , for some positive number  $r$ , defines a **ball of radius  $r$  and center  $0$** .
- Such balls are convex, balanced and absorbing.

# Topological Spaces

- A **topological space** is a nonempty set  $X$  in which a collection  $\tau$  of subsets is defined, such that:
  - $\tau$  contains  $X$  and the empty set  $\emptyset$ ;
  - The intersection of any pair in  $\tau$  is in  $\tau$ ;
  - The union of any collection in  $\tau$  is in  $\tau$ .
- The members of  $\tau$  are known as **open sets**.
- $\tau$  is said to define a **topology** on  $X$ .
- Since different topologies may be defined on the same set  $X$ , the topological space should properly be denoted by the pair  $(X, \tau)$ , but we shall often use only  $X$  to denote the topological space.

# Standard Terminology for Topological Spaces

- Let  $(X, \tau)$  be a topological space.
- (1) A **neighborhood** of  $x \in X$  is any subset of  $X$  which contains an open set containing  $x$ .
- (2)  $(X, \tau)$  is a **Hausdorff space** if distinct points of  $X$  have disjoint neighborhoods.
- (3) Let  $\tau$  and  $\sigma$  be two topologies on  $X$ .  
We say that  $\tau$  is **stronger (finer)** than  $\sigma$ , or that  $\sigma$  is **weaker (coarser)** than  $\tau$ , if  $\sigma \subseteq \tau$ , i.e., if every open set in  $(X, \sigma)$  is open in  $(X, \tau)$ .
- (4) A collection  $\sigma \subseteq \tau$  of open sets is a **base** for  $\tau$  if every member of  $\tau$  is a union of sets of  $\sigma$ .

# Terminology on Topological Spaces II

- (5) The **product topology** on  $X \times Y$ , where  $Y$  is another topological space, is the topology which has as a base the collection of all sets of the form  $U \times V$ , where  $U$  is an open set in  $X$  and  $V$  is an open set in  $Y$ .
- (6) A collection  $\sigma$  of neighborhoods of  $x \in X$  is a **local base** at  $x$  if every neighborhood of  $x$  contains a member of  $\sigma$ .
- (7) A sequence  $(x_n : n \in \mathbb{N})$  in the topological space  $X$  **converges** to a **limit**  $x \in X$ , written  $\lim x_n = x$  or  $x_n \rightarrow x$ , if every neighborhood of  $x$  contains all but finitely many elements of the sequence.

A weaker requirement is to have an element of  $(x_n)$ , different from  $x$ , in every neighborhood of  $x$ , in which case  $x$  is called a **cluster point** of  $(x_n)$ .

In a Hausdorff space the limit of a sequence, if it exists, is unique.

## Terminology on Topological Spaces III

- (8) The **interior** of a set  $E \subseteq X$  is the union of all open subsets of  $E$ . It is denoted by  $E^\circ$  and is clearly an open set.
- (9) A subset  $E$  of  $X$  is **closed** if its complement in  $X$ ,  $E^c = X - E$  is open. The **closure** of  $E \subseteq X$  is the intersection of all closed sets which contain  $E$ .

The closure of  $E$ , denoted by  $\bar{E}$ , is always closed.

By De Morgan's law, its complement is the union of open subsets of  $E^c$ , and is therefore open.

We have

$$\begin{aligned}(\bar{E})^c &= (\bigcap \{F : E \subseteq F, F \text{ closed}\})^c \\ &= \bigcup \{G : G \subseteq E^c, G \text{ open}\} \\ &= (E^c)^\circ.\end{aligned}$$

# Terminology on Topological Spaces IV

(10) A subset  $E$  of  $X$  is **dense** in  $X$  if  $\overline{E} = X$ .

Even when  $E$  is not a subset of  $X$ , we still say that  $E$  is **dense** in  $X$  if  $E \cap X$  is dense in  $X$ .

(11) The **boundary** of  $E \subseteq X$  is the set  $\partial E = \overline{E} - E^\circ$ .

It is closed since it is the intersection of the closed sets  $\overline{E}$  and  $(E^\circ)^c$ .

(12)  $E \subseteq X$  is **compact** if every collection of open sets of  $X$  whose union contains  $E$  has a finite subcollection whose union contains  $E$ .

(13) If  $E \subseteq X$  and  $\sigma$  is the collection of sets  $E \cap U$ , where  $U$  runs through the open sets in  $\tau$ , then  $\sigma$  is a topology on  $E$ .

With this **inherited topology** any subset of  $X$  becomes a topological space in its own right.

This topology is also referred to as the **subspace topology** of  $E$  in  $X$ .

# Mappings I

- Consider a **mapping**, or a **map**, from a nonempty set  $X$  to a nonempty set  $Y$ , written  $T : X \rightarrow Y$ .
- When  $Y = \Phi$ , the mapping  $T$  is usually referred to as a **function** from  $X$  to  $Y$ .

(i) The **image** of any  $x \in X$  is denoted by  $T(x) \in Y$ .

If  $A \subseteq X$ , the set  $T(A) = \{T(x) : x \in A\} \subseteq Y$  is the **image**, under  $T$ , of  $A$ .

If  $B \subseteq Y$ , the set  $T^{-1}(B) = \{x \in X : T(x) \in B\} \subseteq X$  is the **preimage**, under  $T$ , of  $B$ .

$T$  is **injective** (or **one-to-one**) if  $T(x_1) = T(x_2)$  implies  $x_1 = x_2$ , for any pair  $x_1, x_2 \in X$ .

$T$  is **surjective** (or **onto**) if  $T(X) = Y$ .

When  $T$  is both injective and surjective it is called **bijection**.

In this case, the inverse mapping  $T^{-1} : Y \rightarrow X$  is defined by

$$T^{-1}(y) = x \quad \text{if and only if} \quad T(x) = y.$$

A bijective map from  $X$  to  $Y$  is also referred to as a **bijection** or a **one-to-one correspondence** from  $X$  to  $Y$ .

# Linear Maps

(ii) If  $X$  and  $Y$  are linear spaces over  $\Phi$ , then  $T$  is **linear** if

$$T(ax + by) = aT(x) + bT(y),$$

for every  $a, b \in \Phi$  and  $x, y \in X$ .

- When  $T$  is linear it follows that:
  - $T(0) = 0$ ;
  - $T(A)$  is a subspace of  $Y$  whenever  $A$  is a subspace of  $X$ ;
  - $T^{-1}(B)$  is a subspace of  $X$  whenever  $B$  is a subspace of  $Y$ .
- In particular the subspace  $T^{-1}(\{0\}) \subseteq X$  is called the **null space** (or the **kernel**) of  $T$  and is denoted by  $N(T) = \{x \in X : T(x) = 0\}$ .
- When  $X$  is a linear space over  $\Phi$  and  $Y = \Phi$  the linear function  $T$  is called a **linear functional**.



# Continuous Maps

- (iii) If  $X$  and  $Y$  are topological spaces, then  $T$  is **continuous** at  $x \in X$  if, for every neighborhood  $V$  of  $T(x)$ , the set  $T^{-1}(V)$  is a neighborhood of  $x$ .

$T$  is **continuous** on  $X$ , or simply **continuous**, if it is continuous at every point in  $X$ .

Equivalently,  $T$  is continuous on  $X$  if and only if  $T^{-1}(V)$  is an open set in  $X$  whenever  $V$  is an open set in  $Y$ .

By taking complements,  $T$  is continuous if and only if  $T^{-1}(V)$  is a closed subset of  $X$  whenever  $V$  is a closed subset of  $Y$ .

Consequently, if  $E \subseteq X$ , then the identity mapping from  $E$  into  $X$  is continuous on  $E$  provided the topology of  $E$  is either the topology inherited from  $X$  or a stronger topology.

# Homeomorphisms and Embeddings

- A **homeomorphism** from  $X$  to  $E$  is a continuous bijection from  $X$  to  $E$  whose inverse is continuous.

Thus, when there is a homeomorphism from  $X$  to  $Y$ , the image of an open set in  $X$  is an open set in  $Y$ , and the inverse image of an open set in  $Y$  is an open set in  $X$ .

The topologies on  $X$  and  $Y$  are therefore in a one-to-one correspondence, and the two spaces are said to be **homeomorphic**.

- (iv) If  $X$  and  $Y$  are topological spaces and  $T : X \rightarrow Y$  is an injective continuous mapping, then the mapping  $S : X \rightarrow Z = T(X)$ , defined by  $S(x) = T(x)$ , for all  $x \in X$ , is clearly bijective.

If  $S$  is a homeomorphism from  $X$  to  $Z$ ,  $T$  is called a **(topological) embedding** of  $X$  in  $Y$ .

- When  $X \subseteq Y$  the identity mapping from  $X$  to  $Y$  is always an embedding whenever the topology of  $X$  coincides with its subspace topology in  $Y$ .
- If  $X$  carries a stronger topology then we merely have a continuous injection of  $X$  into  $Y$ .

# Metric Spaces

- A **metric space**  $X$  is a topological space in which the topology is generated by a metric, or distance, function  $d : X \times X \rightarrow \mathbb{R}$  satisfying:
  - (i)  $0 \leq d(x, y) < \infty$ ;
  - (ii)  $d(x, y) = 0$  if and only if  $x = y$ ;
  - (iii)  $d(x, y) = d(y, x)$ ;
  - (iv)  $d(x, y) = d(x, z) + d(z, y)$ , for all  $x, y, z \in X$ .
- For any  $x \in X$  and  $r > 0$ , the set  $B(x, r) = \{y \in X : d(x, y) < r\}$  is called an **open ball with center at  $x$  and radius  $r$** .
- By defining a subset of  $X$  to be open if and only if it is a (possibly empty) union of open balls, the axioms of open sets are satisfied and  $X$  becomes a topological space.
- Every metric space is Hausdorff.  
For any distinct pair  $x, y \in X$ , the open balls  $B(x, r)$  and  $B(y, r)$  are disjoint if  $r < \frac{1}{2}d(x, y)$ .

# Sequences in Metric Spaces

- Every point of a metric space has a countable base of neighborhoods. One such choice is  $\{B(x, \frac{1}{n}) : n \in \mathbb{N}\}$ .
- Using this property it can be shown that if  $f$  maps the metric space  $X$  into the topological space  $Y$ , then  $f$  is continuous at  $x \in X$  if and only if, for every sequence  $(x_n)$  in  $X$  which converges to  $x$ , the sequence  $(f(x_n))$  converges to  $f(x)$  in  $Y$ .
- If  $E$  is a subset of  $X$  and  $x$  is a cluster point of  $E$ , then there is a sequence in  $E$  which converges to  $x$ .
- The set of cluster points of  $E$  is contained in its closure  $\overline{E}$ .
- $E$  will be dense in  $X$  if every  $x \in X$  is the limit of a sequence  $(x_n)$  in  $E$ .

# Cauchy Sequences and Complete Metric Spaces

- In a metric space  $X$  the sequence  $(x_n)$  is called a **Cauchy sequence** if, for every  $\varepsilon > 0$ , there is a positive integer  $N$ , such that

$$d(x_n, x_m) < \varepsilon, \text{ for all } n \geq N \text{ and } m \geq N.$$

- $X$  is said to be **(sequentially) complete** if every Cauchy sequence in  $X$  converges to a point in  $X$ .

# Metrizable Spaces and Isometries

- Not every topological space  $(X, \tau)$  is a metric space because it is not always possible to define a metric on  $X$ , with the above properties, which will generate the topology  $\tau$ .
- When this is possible, we say that the topological space is **metrizable**, and that its topology can be **induced** or **generated** by a metric.
- A homeomorphism  $h$  from a metric space  $(X, d_1)$  to another  $(Y, d_2)$  is called an **isometry** if it preserves distances, in the sense that

$$d_2(h(x_1), h(x_2)) = d_1(x_1, x_2), \quad \text{for all } x_1, x_2 \in X.$$

- Two metrics  $d_1$  and  $d_2$  on the same set  $X$  are said to be **equivalent** if the identity map from  $(X, d_1)$  onto  $(X, d_2)$  is a homeomorphism. This is equivalent to saying that a set is open with respect to one metric whenever it is open with respect to the other.

## Subsection 2

# Topological Vector Spaces

# Topological Vector Spaces and Normed Spaces

- A **topological vector space** is a linear space  $X$  on which a topology  $\tau$  is defined so that the operations of addition from  $X \times X$  to  $X$  and scalar multiplication from  $\Phi \times X$  to  $X$  are continuous.
- A linear space  $X$  is a **normed (linear) space** if to every  $x \in X$  corresponds a real number  $\|x\|$ , called the **norm** of  $x$ , such that:
  - (i)  $\|x\| \neq 0$ , whenever  $x \neq 0$ ;
  - (ii)  $\|cx\| = |c|\|x\|$ , for all  $c \in \Phi$  and  $x \in X$ ;
  - (iii)  $\|x + y\| \leq \|x\| + \|y\|$ , for all  $x, y \in X$ .
- Property (iii) yields  $|\|x\| - \|y\|| \leq \|x - y\|$ .
- Thus, the norm of a vector is never negative.
- Property (ii) implies that the norm of the zero vector is zero.



# Banach Spaces

- A normed space is also a metric space if we define  $d(x, y) = \|x - y\|$ , as the distance from  $x$  to  $y$ .
- The normed space is called a **Banach space** if it is complete in this metric.
- The continuity of the operations  $(x, y) \mapsto x + y$  and  $(c, x) \mapsto cx$  is then a direct consequence of the above properties of the norm.

Suppose  $x_n \rightarrow x$  and  $y_n \rightarrow y$  in  $X$  and  $c_n \rightarrow c$  in  $\Phi$ .

Now we have

$$\begin{aligned} \|(x_n + y_n) - (x + y)\| &\leq \|x_n - x\| + \|y_n - y\|; \\ \|c_n x_n - cx\| &= \|c_n(x_n - x) + (c_n - c)x\| \\ &\leq |c_n| \|x_n - x\| + |c_n - c| \|x\|. \end{aligned}$$

Therefore,  $x_n + y_n \rightarrow x + y$  and  $c_n x_n \rightarrow cx$  in  $X$ .

**Example:** The  $n$ -dimensional Euclidean space  $\mathbb{R}^n$ , with the usual Euclidean distance, is a finite dimensional Banach space.

# Boundedness and Translations

- We say that a subset  $E$  of a topological vector space  $X$  is **bounded** if, with a suitable contraction, it can be contained in any neighborhood of  $0$ .
- More precisely,  $E \subseteq X$  is **bounded** if, for every neighborhood  $U$  of  $0 \in X$ , there is a number  $\lambda > 0$ , such that  $E \subseteq \lambda U$ .
- For any point  $x_0$  in the topological vector space  $X$ , consider the translation from  $X$  onto  $X$  defined by  $x \mapsto x + x_0$ .
  - It is injective.
  - By assumption, it is continuous.
  - Its inverse  $x \mapsto x - x_0$  is also continuous.

Therefore translation by  $x_0$  is a homeomorphism in  $X$ .

- In particular, the set  $U + x_0 = \{x + x_0 : x \in U\}$  is open whenever  $U$  is open.
- Consequently,  $\tau$  is completely determined by any local base, which will always be taken at  $0$ .

# Scalability

- For any nonzero  $\lambda \in \Phi$ , the mapping from  $X$  onto itself defined by  $x \mapsto \lambda x$  is a homeomorphism.
- We can use the continuity of the mapping  $(\lambda, x) \mapsto \lambda x$  to conclude that every neighborhood of 0 is absorbing and contains a balanced neighborhood of 0.
  - Suppose  $U$  is a neighborhood of  $0 \in X$ . Let  $x$  is any (nonzero) point in  $X$ . The mapping  $\lambda \mapsto \lambda x$  is continuous at  $\lambda = 0$ . So there is a neighborhood  $\{\lambda \in \Phi : |\lambda| < \varepsilon\}$  of  $0 \in \Phi$  which is mapped into  $U$ . Hence,  $\lambda x \in U$ , for all  $|\lambda| < \varepsilon$ . So  $x \in \mu U$ , for all  $|\mu| > \frac{1}{\varepsilon}$ .
  - The mapping  $(\lambda, x) \mapsto \lambda x$  is continuous at  $(\lambda, x) = (0, 0)$ . So there is a neighborhood  $V$  of  $0 \in X$  and a positive number  $\varepsilon$ , such that  $\lambda V \subseteq U$ , whenever  $|\lambda| < \varepsilon$ . Thus, the set  $W = \bigcup_{|\lambda| < \varepsilon} \lambda V$  is a balanced neighborhood of 0 which is contained in  $U$ .
- We conclude that every topological vector space  $X$  has a balanced, absorbing local base.

# Types of Topological Vector Spaces

- A topological vector space  $X$  is called a:
  - (i) **locally convex space** if its topology has a local base whose members are convex sets;
  - (ii) **locally bounded space** if  $0$  has a bounded neighborhood;
  - (iii) **Frechet space** if it is locally convex, metrizable and complete;
  - (iv) **normable space** if a norm can be defined on  $X$  which is compatible with the topology of  $X$ , in the sense that it generates the topology.

# Cauchy Sequences and Completeness

- Let  $\mathcal{B}$  is a local base for the topology of a topological vector space  $X$ .
- The sequence  $(x_n)$  in  $X$  is a **Cauchy sequence** if, to every  $U \in \mathcal{B}$ , corresponds an  $N$ , such that  $x_n - x_m \in U$ , for all  $n \geq N$  and  $m \geq N$ .
- A topological vector space  $X$  is **complete** if every Cauchy sequence in  $X$  converges to a point in  $X$ .
- We remark that the notion of *completeness* of a topological vector space  $X$  is more general than sequential completeness, and is defined in terms of *Cauchy filters* instead of Cauchy sequences.  
But, for our purposes, it suffices to consider sequential completeness.

# Completeness and Boundedness

- If  $(x_n)$  is a Cauchy sequence in the topological vector space  $X$ , the sequence  $(x_n)$  is bounded in the sense that the set  $\{x_n\}$  is bounded.

Let  $U$  be a neighborhood of 0.

Then there is an  $N$ , such that  $x_k - x_N \in U$ , for all  $k \geq N$ .

Thus,  $\{x_k : k \geq N\} \subseteq x_N + U$ .

But  $\lambda(x_N + U)$  may be contained in any neighborhood of 0 by a suitable choice of  $\lambda > 0$ .

Hence, the sequence  $(x_n)$  is bounded.

# Bounded and Continuous Maps

- Let  $X$  and  $Y$  be topological vector spaces over the same field  $\Phi$ .
- Let  $T$  be a linear map from  $X$  to  $Y$ .
- $T$  is said to be **bounded** if  $T(A)$  is a bounded subset of  $Y$  for every bounded subset  $A$  of  $X$ .
- Since every bounded subset of  $X$  may be mapped homeomorphically into any neighborhood of  $0 \in X$ ,  $T$  is bounded if and only if it is bounded on a neighborhood of  $0$ .
- Similarly,  $T$  is continuous if and only if it is continuous at  $0$ .

Suppose  $T$  is continuous at  $0$ . Then, for every neighborhood  $V$  of  $0 \in Y$ , there is a neighborhood  $U$  of  $0 \in X$ , such that  $T(U) \subseteq V$ .

But then, for every  $x_0 \in X$ ,

$$T(x_0 + U) = T(x_0) + T(U) \subseteq T(x_0) + V.$$

# Algebraic and Topological Dual

- An important class of linear mappings consists of those for which  $Y = \Phi$ , i.e., the linear functional on  $X$ .
- This class is denoted by  $X^*$  and called **algebraic dual** of  $X$ .
- With the definition

$$(aT + bS)(x) = aT(x) + bS(x),$$

for any  $a, b \in \Phi$  and  $x \in X$ ,  $X^*$  is a linear space over  $\Phi$ .

- In the usual metric topology of  $\Phi$ , the continuous linear functionals on  $X$  constitute a subspace  $X'$  of  $X^*$ .
- $X'$  is called the **topological dual** of  $X$ , or simply the **dual** of  $X$ .



# Characterization of Continuity

## Theorem

If  $T$  is a linear functional on a topological vector space  $X$ , then the following statements are equivalent:

- (i)  $T$  is continuous at 0.
- (ii)  $T$  is continuous.
- (iii)  $T^{-1}(\{0\})$  is closed.
- (iv)  $T$  is bounded.

(i)  $\Leftrightarrow$  (ii) This equivalence has already been proved.

(ii)  $\Rightarrow$  (iii) Suppose  $T$  is continuous. But  $\{0\}$  is closed in  $\Phi$ .

So  $T^{-1}(\{0\}) = N(T)$  is closed in  $X$ .

# Characterization of Continuity

(iii) $\Rightarrow$ (iv) Suppose  $N(T)$  is closed.

If  $T$  is identically zero, then it is bounded.

Suppose  $T$  is not identically zero.

Then there is a point  $x_0 \in X - N(T)$ , with  $T(x_0) = 1$ .

Now  $N(T)$  is closed. So its complement  $X - N(T)$  is open.

Thus, there is a balanced neighborhood  $U$  of 0, such that  $x_0 + U \subseteq X - N(T)$ . This implies that  $(x_0 + U) \cap N(T) = \emptyset$ .

Suppose  $|T(x)| \geq 1$ , for some  $x \in U$ .

Then  $y = -\frac{x}{T(x)} \in U$  and  $T(x_0 + y) = 1 - 1 = 0$ . So  $(x_0 + U) \cap N(T) \neq \emptyset$ .

This gives a contradiction. So  $|T(x)| < 1$ , for all  $x \in U$ .

Thus,  $T$  is bounded.

(iv) $\Rightarrow$ (i) Let  $T$  be bounded on some neighborhood  $U$  of 0.

Then there is a number  $M > 0$ , such that  $|T(x)| < M$ , for every  $x \in U$ .

For any  $\varepsilon > 0$ , we therefore have  $|T(x)| < \varepsilon$ , whenever  $x$  is in  $\frac{\varepsilon}{M}U$ .

But  $\frac{\varepsilon}{M}U$  is also a neighborhood of 0. So  $T$  is continuous at 0.

## Subsection 3

# Seminorms and Locally Convex Spaces

# Seminorms

- Let  $X$  be a linear space over  $\Phi$ .
- A **seminorm** on  $X$  is a real-valued function  $p$  satisfying, for all  $x, y \in X$  and  $\lambda \in \Phi$ :
  - (i)  $p(x+y) \leq p(x) + p(y)$  (**subadditivity**);
  - (ii)  $p(\lambda x) = |\lambda|p(x)$ .
- For all  $x, y \in X$ ,

$$p(x) = p(x - y + y) \leq p(x - y) + p(y).$$

Interchanging  $x$  and  $y$  and using property (ii), we obtain

$$p(y) \leq p(x - y) + p(x).$$

Therefore, we always have

$$|p(x) - p(y)| \leq p(x - y).$$

# Properties of Seminorms

- In particular,  $p(x) \geq 0$ , for all  $x \in X$ .
- The equality  $p(0) = 0$  follows directly from (ii).
- However, it may happen that  $p(x) = 0$ , for some  $x \neq 0$ .
- When  $p(x) = 0$  implies  $x = 0$ , then  $p$  is a norm on  $X$ .
- For any linear functional  $T$  on  $X$  the function  $p(x) = |T(x)|$  is an example of a seminorm on  $X$ .
- For  $r > 0$ , the set

$$B_p(r) := \{x \in X : p(x) < r\}$$

corresponds to the ball  $B(0, r)$  in a metric space with center 0 and radius  $r$ .

# Seminorms and Balls

## Theorem

In a linear space  $X$  equipped with a seminorm  $p$ , the  $p$ -ball  $B_p(r) = \{x \in X : p(x) < r\}$  is convex, balanced and absorbing.

- Let  $x, y \in B_p(r)$  and  $0 \leq \lambda \leq 1$ .

Then we have

$$p(\lambda x + (1 - \lambda)y) \leq \lambda p(x) + (1 - \lambda)p(y) < r.$$

So  $B_p(r)$  is convex.

Suppose  $x \in B_p(r)$  and  $|\lambda| \leq 1$ . Then  $p(\lambda x) = |\lambda|p(x) < r$ .

Thus,  $B_p(r)$  is balanced.

Let  $x \in X$  and  $\lambda > p(x)$ . Then  $p(\frac{r}{\lambda}x) = \frac{p(x)}{\lambda}r < r$ . Hence,  $x \in \frac{\lambda}{r}B_p(r)$ .

So  $B_p(r)$  is absorbing.

# The Minkowski Functional

- Let  $E$  be an absorbing subset of the linear space  $X$ .
- Let  $x$  be any point of  $X$ .
- There is always a finite positive number  $\lambda$ , such that  $\frac{1}{\lambda}x \in E$ .
- The **Minkowski functional**  $\mu_E$  of  $E$  is defined, for all  $x \in X$ , by

$$\mu_E(x) = \inf \left\{ \lambda > 0 : \frac{1}{\lambda}x \in E \right\}.$$

# Properties of the Minkowski Functional

- $\mu_E(0) = 0$ .

Every absorbing subset of  $X$  contains 0.

- $\mu_E : X \rightarrow [0, \infty)$ .

- If, besides being absorbing,  $E$  is convex, then for each  $x \in X$ , the set

$$M_E(x) = \left\{ \lambda > 0 : \frac{1}{\lambda}x \in E \right\} = \{ \lambda > 0 : x \in \lambda E \}$$

is convex and unbounded.

$M_E(x)$  is the semi-infinite interval whose left endpoint is  $\mu_E(x)$ .



# The Minkowski Functional as a Seminorm

## Theorem

In a linear space  $X$  the Minkowski functional of a convex, balanced and absorbing set is a seminorm on  $X$ .

- Let  $E$  be a convex and absorbing subset of  $X$ . For any  $x, y \in X$ , we choose  $\lambda_1$  and  $\lambda_2$  so that  $\mu_E(x) < \lambda_1$ ,  $\mu_E(y) < \lambda_2$ . Since  $E$  is convex, it then follows that  $\frac{1}{\lambda_1}x \in E$ ,  $\frac{1}{\lambda_2}y \in E$ . Moreover,

$$\frac{1}{\lambda_1 + \lambda_2}(x + y) = \frac{\lambda_1}{\lambda_1 + \lambda_2} \frac{1}{\lambda_1}x + \frac{\lambda_2}{\lambda_1 + \lambda_2} \frac{1}{\lambda_2}y$$

is in  $E$ . Thus,  $\mu_E(x + y) \leq \lambda_1 + \lambda_2$ . Since  $\lambda_1$  and  $\lambda_2$  can be taken arbitrarily close to  $\mu_E(x)$  and  $\mu_E(y)$ , respectively, we conclude that  $\mu_E(x + y) \leq \mu_E(x) + \mu_E(y)$ .

The relation  $\mu_E(cx) = |c|\mu_E(x)$  is always true for  $c > 0$ .

When  $E$  is balanced, it is also true for  $|c| = 1$ .

Thus,  $\mu_E(cx) = |c|\mu_E(x)$ , for any  $c \in \Phi$ .

# Continuity of the Minkowski Functional

- The definition of  $\mu_E$  implies that

$$\{x \in X : \mu_E(x) < 1\} \subseteq E \subseteq \{x \in X : \mu_E(x) \leq 1\}$$

for any convex (and absorbing) subset  $E$  of the linear space  $X$ .

- If, moreover,  $X$  is a topological vector space, then  $E$  is a neighborhood of 0 if and only if  $\mu_E$  is continuous.

Suppose, first, that  $E$  is a neighborhood of 0. Then the inequality  $|\mu_E(x) - \mu_E(y)| \leq \mu_E(x - y)$ , which follows from the subadditive property of  $\mu_E$ , shows that it suffices to prove continuity at 0.

But, by definition, for any  $\varepsilon > 0$ , if  $x \in \varepsilon E$ , then  $\mu_E(x) \leq \varepsilon$ .

Conversely, suppose  $\mu_E$  is continuous. Then  $\{x \in X : \mu_E(x) < 1\}$  is an open set which contains 0 and is contained in  $E$ . Indeed, in this case:

- $\{x \in X : \mu_E(x) < 1\}$  is the interior  $E^\circ$  of  $E$ ;
- $\{x \in X : \mu_E(x) \leq 1\}$  is the closure  $\overline{E}$  of  $E$ .

# The Topology Induced by a Collection of Seminorms

## Theorem

Given any set  $\{p_i : i \in I\}$  of seminorms on a linear space  $X$ , there is a topology on  $X$ , compatible with its algebraic structure, in which every seminorm  $p_i$ , is continuous. Under this topology  $X$  is a locally convex topological space.

- Let  $\mathcal{P} = \{p_i : i \in I\}$ . For each  $i \in I$ ,  $r > 0$ ,  $B_i(r) = \{x \in X : p_i(x) < r\}$  is convex, balanced and absorbing, according to a previous theorem.

We take  $B_i(r)$  to be an open neighborhood of 0.

For any finite  $I' \subseteq I$ , let  $\mathcal{P}' = \{p_i : i \in I'\}$  be the corresponding finite subset of  $\mathcal{P}$ . Define  $B' = \bigcap_{i \in I'} B_i(1)$ .

Clearly  $B'$  is a convex, balanced and absorbing set.

The collection  $\mathcal{B} = \{rB' : \mathcal{P}' \subseteq \mathcal{P}, r > 0\}$ , where  $\mathcal{P}'$  runs through the finite subsets of  $\mathcal{P}$ , satisfies the properties of a base of neighborhoods of the origin. So  $(X, \mathcal{B})$  is a locally convex space.

# The Topology Induced by Seminorms (Cont'd)

- In this topology, every  $p_i$  is continuous because every  $B_i(r)$  is a neighborhood of 0.

It remains to show that the algebraic operations on  $X$  are also continuous. For any pair  $x, y \in X$  and any  $B$  in  $\mathcal{B}$ , we have, using the convexity of  $B$ ,

$$\left(x + \frac{1}{2}B\right) + \left(y + \frac{1}{2}B\right) = (x + y) + B.$$

So addition is continuous on  $(X, \mathcal{B})$ .

For scalar multiplication, let  $x \in X$ ,  $\lambda \in \Phi$  and  $B \in \mathcal{B}$ .

Note that  $\mu y - \lambda x = \mu(y - x) + (\mu - \lambda)x$ .

So, if  $\mu(y - x) \in \frac{1}{2}B$  and  $(\mu - \lambda)x \in \frac{1}{2}B$ , then  $\mu y - \lambda x$  is in  $B$ .

Pick  $\varepsilon$  small enough so that  $\varepsilon x \in \frac{1}{2}B$ .

- The first condition is satisfied by choosing  $y \in x + \frac{1}{2(|\lambda| + \varepsilon)}B$ ;
- The second condition is satisfied by taking  $|\mu - \lambda| < \varepsilon$ .

# The Separation Axiom

- The topology defined on  $X$  in this proof is the weakest topology in which every seminorm  $p$ , is continuous.

It is referred to as the **topology generated by the family of seminorms**  $\{p_i\}$ .

- Even though  $p(x) = 0$  does not guarantee that  $x = 0$ , if enough seminorms vanished at  $x$ , then, presumably, we may safely conclude that  $x = 0$ .

## Definition

A family  $\mathcal{P}$  of seminorms on the linear space  $X$  satisfies the **separation axiom**, or is **separating**, if, for every  $x \neq 0$  in  $X$ , there is a seminorm  $p \in \mathcal{P}$ , such that  $p(x) \neq 0$ .

# Separation and Locally Convex Hausdorff Spaces

## Proposition

A linear space with a separating family of seminorms may be topologized to produce a locally convex Hausdorff space in which each seminorm is continuous. Conversely, any locally convex Hausdorff space  $X$  is a topological vector space in which the topology is generated by a separating family of continuous seminorms defined by the Minkowski functionals of the convex local base of  $X$ .

- In any locally convex topological vector space  $X$ , let  $\mathcal{B}$  be a convex and balanced local base in  $X$ . For each  $B \in \mathcal{B}$ , which is always absorbing, a previous theorem shows that the Minkowski functional  $\mu_B$  is a seminorm on  $X$ . If  $X$  is Hausdorff then, for any nonzero vector  $x$  in  $X$ , there is  $B \in \mathcal{B}$ , such that  $x \notin B$ . Consequently,  $\mu_B(x) \geq 1$ . Thus,  $\{\mu_B : B \in \mathcal{B}\}$  is a separating family of seminorms in  $X$ .

# Separation and Locally Convex Hausdorff Spaces (Cont'd)

- Conversely, suppose the seminorms  $\{p_i\}$  on the linear space  $X$  are separating. Then the topology which they generate on  $X$ , according to the previous theorem is Hausdorff. This follows from the observation that if  $x - y \neq 0$ , then there is  $p_i$ , such that  $p_i(x - y) = r > 0$ . Then, the two neighborhoods  $x + B_i(\frac{1}{2}r)$  and  $y + B_i(\frac{1}{2}r)$  are disjoint. If not, there exists  $z \in X$ , with  $p_i(z - x) < \frac{1}{2}r$  and  $p_i(z - y) < \frac{1}{2}r$ .

Therefore,

$$p_i(x - y) \leq p_i(z - x) + p_i(z - y) < \frac{1}{2}r + \frac{1}{2}r = r.$$

This gives a contradiction.

# Metrizability of Locally Convex Spaces

## Theorem

A locally convex space  $X$  is metrizable if and only if it is Hausdorff and has a countable local base.

- Suppose  $X$  is metrizable, with metric  $d$ . The balls  $\{x \in X : d(0, x) < \frac{1}{n}, n \in \mathbb{N}\}$  are convex, balanced and absorbing and form a countable base at 0 for a Hausdorff topology.

Suppose  $X$  is Hausdorff and has a countable local base  $\mathcal{B} = \{B_i\}$ . Its topology is generated by the countable, separating family of seminorms  $\mathcal{P} = \{p_i\}$ , where  $p_i$ , is the Minkowski functional of  $B_i$ .

We define  $d(x, y) = \sum_{i=1}^{\infty} \frac{2^{-i} p_i(x-y)}{1+p_i(x-y)}$ , for all  $x, y \in X$ .

In view of the inequality  $\frac{a}{1+a} \leq \frac{b}{1+b}$ ,  $0 \leq a \leq b$ , we have

$$\begin{aligned} \frac{p_i(x-y)}{1+p_i(x-y)} &= \frac{p_i[(x-z)+(z-y)]}{1+p_i[(x-z)+(z-y)]} \leq \frac{p_i(x-z)+p_i(z-y)}{1+p_i(x-z)+p_i(z-y)} \\ &\leq \frac{p_i(x-z)}{1+p_i(x-z)} + \frac{p_i(z-y)}{1+p_i(z-y)}. \end{aligned}$$



# Metrizability of Locally Convex Spaces (Cont'd)

- Therefore  $d$  is subadditive.

Moreover,  $d(x, y) = 0$  implies  $x = y$  because  $\mathcal{P}$  is separating.

So  $d$  is clearly a metric on  $X$ .

We have  $d(x + z, y + z) = d(x, y)$ , for any  $x \in X$ .

So the sets  $U_n = \{x \in X : d(0, x) < \frac{1}{2^n}\}$  form a base of neighborhoods at 0 for the topology of  $(X, d)$ .

Now the series which defines  $d$  converges uniformly on  $X \times X$  and  $p_i$  is continuous on  $X$ . So  $d$  is continuous on  $X \times X$  and  $U_n$  open in  $(X, \mathcal{B})$ .

If  $x \notin B_n$ , then  $p_n(x) \geq 1$ . So  $d(0, x) \geq 2^{-n} \frac{p_n(x)}{1+p_n(x)} \geq 2^{-n-1}$ .

Thus,  $U_{n+1} \subseteq B_n$ . So  $\{U_n\}$  is a local base for the topology of  $(X, \mathcal{B})$ .

## Corollary

A countable, separating family of seminorms on a linear space  $X$  generates a locally convex, metrizable topology on  $X$ .

# Normable Locally Convex Hausdorff Spaces

## Theorem

A locally convex, Hausdorff space  $X$  is normable if and only if its zero vector has a bounded neighborhood.

- Suppose  $X$  is normable. The open unit ball  $\{x \in X : \|x\| < 1\}$  is a bounded neighborhood of 0. Suppose  $U$  is a bounded neighborhood of 0 in the locally convex space  $(X, \tau)$ . Then it contains a convex, balanced and absorbing open set  $U_0$  which is also bounded. Let  $p_0$  be the Minkowski functional of  $U_0$ . If  $p_0(x) = 0$ , then  $x \in \lambda U_0$ , for any  $\lambda > 0$ . But, since  $U_0$  is bounded, every neighborhood of 0 contains  $\lambda U_0$ , for some  $\lambda > 0$ . Hence,  $x = 0$ . So  $p_0$  is a norm on  $X$ . The normed space  $(X, p_0)$  has a local base given by  $\{\lambda U_0 : \lambda > 0\}$ . But each  $\lambda U_0$  is an open set in  $\tau$  on  $X$ . Moreover, every neighborhood of 0 in  $(X, \tau)$  contains  $\lambda U_0$ , for some  $\lambda > 0$ . Thus,  $p_0$  generates  $\tau$ .
- We assume from now on that all locally convex spaces are Hausdorff.

# Remarks on Boundedness

- Suppose  $X$  is a topological vector space.
- Let  $E$  be a subset of  $X$ .
- Let us say that  $E$  is *topologically bounded* if it is absorbable by any neighborhood of 0.
- Let us say that  $E$  is *normally bounded* if  $X$  is normable, with norm  $\|\cdot\|$ , and there exists a positive constant  $M$ , such that  $\|x\| \leq M$ , for all  $x \in E$ .
- When the topological vector space  $X$  is normable, then a subset  $E$  of  $X$  is topologically bounded if and only if it is normally bounded in  $X$ .
- In general, these two notions of boundedness are not equivalent.

## Subsection 4

### Examples of Locally Convex Spaces

# Notation for Functions on $\mathbb{R}^n$

- In the calculus of  $n$  variables we use the  $n$ -tuple  $\alpha = (\alpha_1, \dots, \alpha_n)$  of nonnegative integers  $\alpha_j$  as a multi-index and define:
  - $|\alpha| = \alpha_1 + \dots + \alpha_n$ ;
  - $\alpha! = \alpha_1! \dots \alpha_n!$ .
- With  $x = (x_1, \dots, x_n) \in \mathbb{R}^n$ , we use the notation:
  - $x^\alpha = x_1^{\alpha_1} \dots x_n^{\alpha_n}$ ;
  - $\partial = (\partial_1, \dots, \partial_n) = \left( \frac{\partial}{\partial x_1}, \dots, \frac{\partial}{\partial x_n} \right)$ ;
  - $\partial^\alpha = \partial_1^{\alpha_1} \dots \partial_n^{\alpha_n} = \frac{\partial^{|\alpha|}}{\partial^{\alpha_1} x_1 \dots \partial^{\alpha_n} x_n}$ .

# Functions on $\mathbb{R}^n$ and Support

- Our functions will, in general, be complex-valued and defined on an open subset  $\Omega$  of  $\mathbb{R}^n$ , with the usual Euclidean topology on  $\mathbb{R}^n$ .
- The **support** of a function  $\phi : \Omega \rightarrow \mathbb{C}$ , denoted by  $\text{supp}\phi$ , is defined to be the closure of the set  $\{x \in \Omega : \phi(x) \neq 0\}$  in the topological space  $\Omega$ , i.e., the smallest closed set containing  $\{x \in \Omega : \phi(x) \neq 0\}$ .

# Examples of Function Spaces

- (i)  $C^m(\Omega)$  denotes the set of (complex-valued) functions defined on  $\Omega$  with continuous derivatives of order  $m$ , where  $m < \infty$ , i.e.,  $\partial^\alpha \phi$  is continuous on  $\Omega$ , for every  $\alpha$ , with  $|\alpha| \leq m$ .

When  $m = 0$ , we have the set  $C^0(\Omega)$  of continuous functions on  $\Omega$ .

Clearly,  $C^m(\Omega) \subseteq C^{m-1}(\Omega) \subseteq \dots \subseteq C^0(\Omega)$ .

- (ii)  $C^\infty(\Omega) = \bigcap_{m \geq 0} C^m(\Omega)$  is the set of functions on  $\Omega$  with continuous derivatives of all orders.
- (iii)  $C_K^m(\Omega)$  is the set of functions in  $C^m(\Omega)$  with support in  $K$ , where  $K$  will always denote a compact subset of  $\Omega$ .
- (iv)  $C_K^\infty$  is the set of functions in  $C^\infty(\Omega)$  with support in  $K$ .

# Comments on the Definitions

- Clearly  $C^m(\Omega)$  is a linear space over  $\mathbb{C}$ , for  $m \leq \infty$ , by the usual definition of addition of functions and multiplication by complex numbers

$$(\phi + \psi)(x) = \phi(x) + \psi(x), \quad (c\phi)(x) = c\phi(x).$$

- $C_K^m(\Omega)$  is a subspace of  $C^m(\Omega)$ , for every  $m$ .
- A well-known example of a  $C^\infty(\mathbb{R}^n)$  function of compact support is given by

$$\alpha(x) = \begin{cases} e^{-\frac{1}{1-|x|^2}}, & \text{on } |x| < 1 \\ 0, & \text{on } |x| \geq 1 \end{cases}.$$

It has support in the unit ball  $\{x \in \mathbb{R}^n : |x| \leq 1\}$ .



# Topology on $C^0(\Omega)$

- Since any open subset of  $\mathbb{R}^n$  may be expressed as a countable union of compact sets in  $\mathbb{R}^n$ , we can write  $\Omega = \bigcup K_i$ , where  $K_i$  is a compact subset of  $\mathbb{R}^n$  for all  $i \in \mathbb{N}$ .

Without loss of generality, we may choose  $K_1 \subseteq K_2 \subseteq K_3 \subseteq \dots$ .

For any  $\phi \in C^0(\Omega)$ , we define the seminorm

$$p_i(\phi) = \sup \{ |\phi(x)| : x \in K_i \}, \quad i \in \mathbb{N}.$$

Note that the increasing sequence  $(p_i)$  is clearly separating.

The sets

$$B_i(r) = \{ \phi \in C^0(\Omega) : p_i(\phi) < r \}, \quad i \in \mathbb{N}, r > 0,$$

form a convex local topological base for  $C^0(\Omega)$ .

The resulting topology is compatible with the metric

$$d(\phi, \psi) = \sum_{i=1}^{\infty} 2^{-i} \frac{p_i(\phi - \psi)}{1 + p_i(\phi - \psi)}.$$

# Topology on $C^0(\Omega)$ (Cont'd)

- Since convergence in this metric is uniform on every compact subset of  $\Omega$ , the limit of every Cauchy sequence is always a continuous function on  $\Omega$ .

Thus the metric space  $C^0(\Omega)$  is complete and is therefore a Fréchet space (locally convex, metrizable and complete).

But  $C^0(\Omega)$  is not normable because in every  $B_i(r)$  we can always find a function  $\phi$  for which  $p_{i+1}(\phi)$  is as large as we please, so that no  $B_i(r)$  can be bounded.

Note, however, that every  $B_i(r)$  is bounded in the metric  $d$ .

In fact the whole space  $C^0(\Omega)$  is bounded in this metric.

# Topology on $C^m(\Omega)$

- Assume again that  $\Omega$  is the union of a sequence of compact sets  $K_1 \subseteq K_2 \subseteq \dots$ .

For any  $\phi \in C^m(\Omega)$ , with  $1 \leq m < \infty$ , we define the separating countable family of seminorms

$$p_{i,m}(\phi) = \sup \{ |\partial^\alpha \phi(x)| : x \in K_i, |\alpha| \leq m \}.$$

The corresponding balls

$$B_{i,m}(r) = \{ \phi \in C^m(\Omega) : p_{i,m}(\phi) < r \}$$

provide a base for a topology on  $C^m(\Omega)$  which makes it into a locally convex, metrizable space.

The convergence of  $(\phi_k)$  in  $C^m(\Omega)$  is equivalent to the uniform convergence of  $(\partial^\alpha \phi_k)$  on every compact subset of  $\Omega$ , for all  $|\alpha| \leq m$ .

# Topology on $C^m(\Omega)$ (Cont'd)

- The topology of  $C^m(\Omega)$  is the weakest in which the linear map  $\partial^\alpha : C^m(\Omega) \rightarrow C^0(\Omega)$ ,  $|\alpha| \leq m$ , is continuous, where  $C^0(\Omega)$  carries its natural topology of uniform convergence.

So a sequence  $(\phi_k)$  converges to  $\phi$  in  $C^m(\Omega)$  if and only if the sequence  $(\partial^\alpha \phi_k)$  converges to  $\partial^\alpha \phi$  in  $C^0(\Omega)$ , for all  $|\alpha| \leq m$ .

This is equivalent to the uniform convergence of  $\partial^\alpha \phi_k$  to  $\partial^\alpha \phi$  on every compact subset of  $\Omega$ .

It implies the uniform convergence of  $(\phi_k)$  to  $\phi$  in  $C^0(\Omega)$ .

So the topology of  $C^m(\Omega)$  is stronger than its subspace topology in  $C^0(\Omega)$ .

More generally, the topology of  $C^\ell(\Omega)$  is stronger than its subspace topology in  $C^m(\Omega)$  whenever  $\ell \geq m \geq 0$ .

So the identity map from  $C^\ell(\Omega)$  into  $C^m(\Omega)$  is continuous.

# Completeness of $C^m(\Omega)$

## Theorem

The locally convex space  $C^m(\Omega)$  is complete.

- Let  $(\phi_k)$  be a Cauchy sequence in  $C^m(\Omega)$ . So it is a Cauchy sequence in  $C^0(\Omega)$ . Since  $C^0(\Omega)$  is complete,  $\phi_k \rightarrow \phi \in C^0(\Omega)$ . The sequence  $(\partial^\alpha \phi_k)$  is also a Cauchy sequence in  $C^0(\Omega)$ , for every  $\alpha$  satisfying  $|\alpha| \leq m$ . Therefore,  $\partial^\alpha \phi_k \rightarrow \phi_\alpha \in C^0(\Omega)$ . But the operator  $\partial_\alpha : C^m(\Omega) \rightarrow C^0(\Omega)$  is continuous. So  $\partial^\alpha \phi = \partial^\alpha(\lim \phi_k) = \lim \partial^\alpha \phi_k = \phi_\alpha$  is in  $C^0(\Omega)$ . Hence,  $\phi$  is in  $C^m(\Omega)$ .
- This theorem shows that  $C^m(\Omega)$  is a Fréchet space.
- It is not normable because, as before, every neighborhood of 0 is unbounded.

# Topology on $C^\infty(\Omega)$

- We write  $\Omega$  as the union of an increasing sequence of compact sets  $(K_i)$ .

We define the seminorms

$$p_i(\phi) = \sup \{ |\partial^\alpha \phi(x)| : x \in K_i, |\alpha| \leq i \}, \quad \phi \in C^\infty(\Omega).$$

The balls  $B_i(r) = \{ \phi \in C^\infty(\Omega) : p_i(\phi) < r \}$  form a local base for the topology of  $C^\infty(\Omega)$ .

The same argument as before shows that, with this topology,  $C^\infty(\Omega)$  is a Fréchet space which is not normable.

It is the weakest topology which makes, for all  $m \geq 0$ , the linear map  $\partial^\alpha : C^\infty(\Omega) \rightarrow C^m(\Omega)$  continuous, where  $C^m(\Omega)$  carries its natural topology.

# Bounded Subsets of $C^\infty(\Omega)$

## Theorem

A subset  $E$  of  $C^\infty(\Omega)$  is bounded if and only if, for all  $m \in \mathbb{N}_0 = \{0, 1, 2, \dots\}$  and every compact set  $K \subseteq \Omega$ , there is a positive constant  $M$ , which depends on  $m$  and  $K$ , such that  $|\partial^\alpha \phi(x)| \leq M$ , whenever  $|\alpha| \leq m$ ,  $x \in K$  and  $\phi \in E$ .

- Suppose the elements of  $E$  satisfy the given inequality.

Let  $U$  be a neighborhood of  $0 \in C^\infty(\Omega)$ . Any such neighborhood contains the balls  $B_i = \{\phi \in C^\infty(\Omega) : p_i(\phi) < \frac{1}{i}\}$ , for all values of  $i$  greater than some positive integer. Choose  $i$  large enough so that  $i \geq m$  and  $K_i \supseteq K$ . If we now choose  $\lambda$ , such that  $0 < \lambda < \frac{1}{M(i+1)}$ , we obtain

$$\lambda E = \left\{ \phi \in E : |\partial^\alpha \phi(x)| \leq \frac{1}{i+1}, x \in K, |\alpha| \leq m \right\} \subseteq B_{i+1} \subseteq U.$$

This means that  $E$  is bounded.

## Bounded Subsets of $C^\infty(\Omega)$ (Converse)

- Conversely, suppose  $E$  is bounded.

By a suitable choice of the positive number  $\lambda$ , the set  $\lambda E$  may be contained in any neighborhood of 0.

In particular, for every  $B_i$ , there is a  $\lambda_i > 0$ , such that  $\lambda_i E \subseteq B_i$ .

This means that

$$p_i(\phi) < \frac{1}{i\lambda_i}, \quad \phi \in E.$$

Assume  $m \in \mathbb{N}_0$  and  $K \subseteq \Omega$  compact are given.

We can choose  $i$  so that  $i \geq m$  and  $K_i \supseteq K$ .

Then the inequality of the hypothesis follows by choosing  $M = \frac{1}{i\lambda_i}$ .

- Note that, according to this theorem, no  $B_i$  can be bounded for any finite integer  $i$ .



## More on the Topology of $C^\infty(\Omega)$

- The system of seminorms that we have used to define the topology of  $C^\infty(\Omega)$  is equivalently given by

$$p_{i,K}(\phi) = \sup\{|\partial^\alpha \phi(x)| : x \in K, |\alpha| \leq i\},$$

as  $i$  runs through the nonnegative integers and  $K$  through the compact subsets of  $\Omega$ .

The preceding theorem may then be restated as follows:

$E \subseteq C^\infty(\Omega)$  is bounded if and only if, for every  $m \in \mathbb{N}_0$  and every compact  $K \subseteq \Omega$ , there is an  $M > 0$ , such that  $p_{m,K}(\phi) \leq M$ , for every  $\phi \in E$ .

Furthermore, the set  $\{\phi \in C^\infty(\Omega) : p_{m,K}(\phi) < r\}$  is a neighborhood of 0, for every  $m \in \mathbb{N}_0$ ,  $K \subseteq \Omega$  and  $r > 0$ .

The convergence of  $(\phi_k)$  in  $C^\infty(\Omega)$  is equivalent to the uniform convergence of  $(\partial^\alpha \phi_k)$ , for every multi-index  $\alpha = (\alpha_1, \dots, \alpha_n)$ , on every compact subset of  $\Omega$ .

# Topology on $C_K^m(\Omega)$ , for $m \leq \infty$

**Claim:**  $C_K^m(\Omega)$  is a closed subspace of  $C^m(\Omega)$ , for  $m \leq \infty$ .

Note that, for any  $x \in \Omega$ , the linear mapping  $T_x$  from  $C^m(\Omega)$  to  $\mathbb{C}$  defined by  $T_x(\phi) = \phi(x)$  is continuous.

So its null space  $N(T_x) = \{\phi \in C^m(\Omega) : \phi(x) = 0\}$  is closed, by a previous theorem, for every  $x \in \Omega$ .

But  $C_K^m(\Omega) = \bigcap_{x \in \Omega - K} N(T_x)$ . Hence,  $C_K^m$  is closed in  $C^m(\Omega)$ .

It follows that  $C_K^m(\Omega)$  is also a Fréchet space.

For  $m \leq \infty$ , the seminorms on  $C_K^m(\Omega)$  are given, for all  $0 \leq i \leq m$ , by

$$p_i(\phi) = \sup \{ |\partial^\alpha \phi(x)| : x \in K, |\alpha| \leq i \}.$$

The local base they define is the collection of balls

$$B_i(r) = \{ \phi \in C_K^m(\Omega) : p_i(\phi) < r \}.$$

These seminorms, in contrast to those of the previous examples, actually define norms on  $C_K^m(\Omega)$ , since  $p_i(\phi) = 0$ , for any  $i \in \mathbb{N}_0$ ,  $i \leq m$ , implies  $\phi = 0$ .

# Normability of $C_K^m(\Omega)$ , for $m \leq \infty$

- If  $E$  is a bounded subset of  $C_K^\infty(\Omega)$ , then, by definition, for every  $B_i$ , there is a positive number  $\lambda_i$ , such that  $E \subseteq \lambda_i B_i$ .

This is equivalent to saying that, for every nonnegative integer  $i$ , there is a constant  $M_i$ , such that

$$\sup \{ |\partial^\alpha \phi(x)| : \phi \in E, x \in K, |\alpha| \leq i \} \leq M_i.$$

- Every  $B_i$  is therefore unbounded because it contains a  $\phi$  for which  $p_{i+1}(\phi)$  is arbitrarily large. Hence  $C_K^\infty(\Omega)$  is not normable.
- When  $m < \infty$  the largest of the seminorms, i.e.,  $p_m$ , which is actually a norm, makes  $C_K^m(\Omega)$  into a Banach space.
- If  $K_1 \subseteq K_2 \subseteq \Omega$ , then  $C_{K_1}^m(\Omega)$  is a closed subspace of  $C_{K_2}^m(\Omega)$ ,  $m \leq \infty$ . The topology on  $C_{K_1}^m(\Omega)$  is the topology it inherits as a subspace of  $C_{K_2}^m(\Omega)$ .