

THE LAMBDA-PROPERTY FOR GENERALISED DIRECT SUMS OF NORMED SPACES

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This paper considers direct sums of normed spaces with respect to a Banach space with a normalised, unconditionally strictly monotone basis. Necessary and sufficient conditions are given for such direct sums to have the λ -property. These results are used to construct examples of reflexive Banach spaces U and V such that U has the uniform λ -property but U^* fails to have the λ -property, while V and V^* fail to have the λ -property.

If X is a normed space and x is in the closed unit ball B_X of X , a triple (e, y, λ) is said to be amenable to x in case $e \in \text{ext}(B_X)$, $y \in B_X$, $0 < \lambda \leq 1$ and $x = \lambda e + (1 - \lambda)y$. In this case, the number $\lambda(x)$ is defined by

$$\lambda(x) = \sup\{\lambda : (e, y, \lambda) \text{ is amenable to } x\}.$$

X is said to have the λ -property if each $x \in B_X$ admits an amenable triple. If X has the λ -property and $\lambda(X) \equiv \inf\{\lambda(x) : x \in B_X\} > 0$, then X is said to have the uniform λ -property.

General facts and geometric ramifications concerning the λ -property can be found in [1] and [4]. It is now known that many different types of classical sequence and function spaces have the λ -property or uniform λ -property (see [1-3, 5, 7, 10]). In this paper, our goal is to consider generalised direct sums of the form $\left(\bigoplus_{k=1}^{\infty} X_k\right)_Z$, where Z is a Banach space with a normalised, unconditionally strictly monotone basis and (X_k) is a sequence of normed spaces. We give necessary and sufficient conditions for such spaces to have the λ -property (Theorem 8, Corollary 10) or to have the uniform λ -property (Theorem 9, Corollary 11). In particular, our results generalise Theorem 3 of [5], which considered $\left(\bigoplus_{k=1}^{\infty} X_k\right)_{\ell_1}$. Using our results, we are able to give examples of reflexive Banach spaces U and V such that U has the uniform λ -property but U^* fails to have the λ -property, while V and V^* both fail to have the λ -property.

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0. NOTATION

Throughout the paper, Z denotes a Banach space with a normalised unconditional basis (z_k) . The basis (z_k) is said to be unconditionally monotone in case $\sum_{k=1}^{\infty} a_k z_k, \sum_{k=1}^{\infty} b_k z_k \in Z$ and $|a_k| \leq |b_k|$ for all k imply

$$(1) \quad \left\| \sum_{k=1}^{\infty} a_k z_k \right\| \leq \left\| \sum_{k=1}^{\infty} b_k z_k \right\|.$$

If, in addition, $|a_k| < |b_k|$ for some k implies strict inequality in (1), then (z_k) is said to be unconditionally strictly monotone. For example, the standard unit vector bases of $\ell_p, 1 \leq p < \infty$, are unconditionally strictly monotone, while the standard unit vector basis of c_0 is not. *Throughout the paper, it is assumed that (z_k) is unconditionally strictly monotone.* S_X denotes the unit sphere of a normed space X . If X and Y are normed spaces, we write $X \cong Y$ if X is isometrically isomorphic to Y .

Given a sequence (X_k) of normed spaces, $X = \left(\bigoplus_{k=1}^{\infty} X_k \right)_Z$ denotes the normed space

$$\{x = (x_k) : x_k \in X_k \text{ for all } k \text{ and } \sum_{k=1}^{\infty} \|x_k\| z_k \in Z\}$$

with $\|x\|$ defined by

$$\|x\| = \left\| \sum_{k=1}^{\infty} \|x_k\| z_k \right\|.$$

If each space X_k has the λ -property, we denote its λ -function by λ_k . In this case, if $x = (x_k) \in B_X$ and $x \neq 0$, we write

$$\Lambda(x) = \inf \left\{ \lambda_k \left(\frac{x_k}{\|x_k\|} \right) : x_k \neq 0 \right\}.$$

1. THE λ -PROPERTY IN $\left(\bigoplus_{k=1}^{\infty} X_k \right)_Z$

In order to investigate the λ -property for the normed space $X = \left(\bigoplus_{k=1}^{\infty} X_k \right)_Z$, it is necessary to have a description of the extreme points of B_X . We wish to thank Professor Pei-Kee Lin for pointing out such a description (Lemma 1) and for suggesting investigation of the λ -property in general spaces X as above. The proof of the following lemma is essentially the same as that for the case $Z = \ell_p$ (see [9]) and is omitted.

LEMMA 1. *If $x = (x_k) \in B_X$, the following are equivalent:*

- (a) $x \in \text{ext}(B_X)$
- (b) $\sum_{k=1}^{\infty} \|x_k\|z_k \in \text{ext}(B_Z)$ and $x_k/\|x_k\| \in \text{ext}(B_{X_k})$, if $x_k \neq 0$.

REMARK 2. Let (ϵ_k) be a sequence of scalars with $|\epsilon_k| = 1$ for all k .

The mapping $T : Z \rightarrow Z$, defined by

$$T \left(\sum_{k=1}^{\infty} a_k z_k \right) = \sum_{k=1}^{\infty} \epsilon_k a_k z_k,$$

is a linear isometry of Z onto Z . In particular, $z \in \text{ext}(B_Z)$ if and only if $T(z) \in \text{ext}(B_Z)$.

LEMMA 3. *Assume that each summand X_k has the λ -property and $x = (x_k) \in S_X$. If $\sum_{k=1}^{\infty} \|x_k\|z_k$ admits an amenable triple $\left(\sum_{k=1}^{\infty} a_k z_k, \sum_{k=1}^{\infty} b_k z_k, \lambda \right)$ and $\Lambda(x) > 0$, then x admits an amenable triple and $\lambda(x) \geq \lambda \Lambda(x)$.*

PROOF: Let $0 < \alpha < \Lambda(x)$. If $x_k \neq 0$, then $\alpha < \Lambda(x) \leq \lambda_k(x_k/\|x_k\|)$. By Proposition 1.2 of [1], there is a triple (e_k, y'_k, α) amenable to $x_k/\|x_k\|$. If $x_k = 0$, define $e_k = y'_k = 0$. Then for all k , we have

$$(2) \quad x_k = \alpha \|x_k\| e_k + (1 - \alpha) \|x_k\| y'_k.$$

Since $\sum_{k=1}^{\infty} \|x_k\|z_k = \sum_{k=1}^{\infty} [\lambda a_k + (1 - \lambda) b_k] z_k$, we obtain

$$(3) \quad \|x_k\| = \lambda a_k + (1 - \lambda) b_k$$

for all k . By (2) and (3), write $x_k = (\alpha \lambda) a_k e_k + (1 - \alpha \lambda) y_k$, where

$$y_k = \frac{\alpha(1 - \lambda) b_k e_k + (1 - \alpha) \lambda a_k y'_k + (1 - \alpha)(1 - \lambda) b_k y'_k}{1 - \alpha \lambda}.$$

Next, observe that all of the sequences $(a_k e_k), (b_k e_k), (a_k y'_k), (b_k y'_k)$ are in B_X (for example, $\|(a_k e_k)\| = \|\sum_{k=1}^{\infty} \|a_k e_k\| z_k\| \leq \|\sum_{k=1}^{\infty} a_k z_k\| = 1$). Thus, if $y = (y_k)$, we have

$$\|y\| \leq \frac{\alpha(1 - \lambda) \|(b_k e_k)\| + (1 - \alpha) \lambda \|(a_k y'_k)\| + (1 - \alpha)(1 - \lambda) \|(b_k y'_k)\|}{1 - \alpha \lambda} \leq 1.$$

Letting $e = (a_k e_k)$, we see that $\|e\| \leq 1$. Since $x = \alpha \lambda e + (1 - \alpha \lambda) y$, $0 < \alpha \lambda < 1$ and $\|x\| = 1$, we must have $\|e\| = \|y\| = 1$. Therefore,

$$1 = \|e\| = \left\| \sum_{k=1}^{\infty} \|a_k e_k\| z_k \right\| \leq \left\| \sum_{k=1}^{\infty} |a_k| z_k \right\| = 1.$$

By strict monotonicity, $\|a_k e_k\| = |a_k|$ for all k . Consequently, $\sum_{k=1}^{\infty} \|a_k e_k\| z_k = \sum_{k=1}^{\infty} |a_k| z_k$. By hypothesis $\sum_{k=1}^{\infty} a_k z_k \in \text{ext}(B_Z)$. Remark 2 yields $\sum_{k=1}^{\infty} |a_k| z_k \in \text{ext}(B_Z)$. Also, if $a_k e_k \neq 0$, then $e_k \in \text{ext}(B_{X_k})$ and $a_k e_k / \|a_k e_k\| = \varepsilon_k e_k$, where $|\varepsilon_k| = 1$. Therefore, $a_k e_k / \|a_k e_k\| \in \text{ext}(B_{X_k})$ whenever $a_k e_k \neq 0$. By Lemma 1, $e \in \text{ext}(B_X)$. This shows $(e, y, \alpha\lambda)$ is amenable to x and establishes the fact that $\lambda(x) \geq \alpha\lambda$. Taking the supremum over all such α establishes $\lambda(x) \geq \lambda\Lambda(x)$.

THEOREM 4. Assume that $X_k, k = 1, 2, \dots$, and Z have the λ -property. If there exists a subset N_0 of \mathbb{N} , with finite complement, such that $\inf_{k \in N_0} \lambda_k(X_k) > 0$, then

- (i) $X = \left(\bigoplus_{k=1}^{\infty} X_k\right)_Z$ has the λ -property.
- (ii) If $0 \neq x = (x_k) \in B_X$,

$$\lambda(x) \geq \frac{1 + \|x\|}{2} \Lambda(x) \lambda \left(\sum_{k=1}^{\infty} \frac{\|x_k\|}{\|x\|} z_k \right).$$

PROOF: Let $0 \neq x = (x_k) \in B_X$. Then $x/\|x\| = (x_k)/\|x\| \in S_X$ and $\sum_{k=1}^{\infty} (\|x_k\|/\|x\| z_k)$ admits an amenable triple $\left(\sum_{k=1}^{\infty} a_k z_k, \sum_{k=1}^{\infty} b_k z_k, \lambda\right)$, where $\lambda \leq \lambda \left(\sum_{k=1}^{\infty} (\|x_k\|/\|x\|) z_k\right)$. Since $\inf_{k \in N_0} \lambda_k(X_k) > 0$, it follows that $\Lambda(x) > 0$. By Lemma 3, $x/\|x\|$ admits an amenable triple and

$$\lambda(x/\|x\|) \geq \lambda\Lambda(x/\|x\|) = \lambda\Lambda(x).$$

Taking the supremum over all such λ shows

$$\lambda \left(\frac{x}{\|x\|} \right) \geq \Lambda(x) \lambda \left(\sum_{k=1}^{\infty} \frac{\|x_k\|}{\|x\|} z_k \right).$$

By the proof of Lemma 2.1 of [1], x admits an amenable triple, establishing (i), and $\lambda(x) \geq ((1 + \|x\|)/2)\lambda(x/\|x\|)$, establishing (ii). □

In order to obtain a converse of Theorem 4, we need $\text{ext}(B_Z)$ to have a diversity of extreme points.

DEFINITION 5. The extreme points of B_Z are said to be diversified if for each increasing sequence (k_n) in \mathbb{N} , B_Z has an extreme point of the form $\sum_{n=1}^{\infty} a_n z_{k_n}$, where $a_n \neq 0$ for all n .

REMARK 6. There are many different conditions under which the extreme points of B_Z are diversified. Let (k_n) be an increasing sequence in \mathbb{N} . If Z is strictly convex, let $w = \sum_{n=1}^{\infty} (z_{k_n}) / (2^n)$. Then $w / \|w\|$ is an extreme point of B_Z of the form required in Definition 5. Also, if Z is a symmetric space (see [8]) and B_Z contains an extreme point $\sum_{k=1}^{\infty} a_k z_k$ with infinite support, let the nonzero a_k 's be indexed by $j_1 < j_2 < \dots$. Then the vector $\sum_{n=1}^{\infty} a_{j_n} z_{k_n}$ is an extreme point of B_Z . Finally, if the extreme points of B_Z are diversified, then for each increasing sequence (k_n) in \mathbb{N} , Remark 2 guarantees that there exists $\sum_{n=1}^{\infty} a_n z_{k_n} \in \text{ext}(B_Z)$ with $a_n > 0$ for all n .

THEOREM 7. Assume $X = \left(\bigoplus_{k=1}^{\infty} X_k \right)_Z$ has the λ -property. Then:

- (i) Each summand X_k has the λ -property.
- (ii) Z has the λ -property.
- (iii) If, in addition, the extreme points of B_Z are diversified, there exists a subset \mathbb{N}_0 of \mathbb{N} , with finite complement, such that $\inf_{k \in \mathbb{N}_0} \lambda_k(X_k) > 0$.

PROOF: (i) We show that X_1 has the λ -property (the proof for other indices is the same). If $x_1 \in S_{X_1}$, define $x = (x_1, 0, 0, \dots)$. By hypothesis, we can write $x = \lambda e + (1 - \lambda)y$, where $e = (e_k) \in \text{ext}(B_X)$, $y = (y_k) \in B_X$, $0 < \lambda \leq 1$. If $\lambda = 1$, then $x = e$ and $x_1 = e_1 \in \text{ext}(B_{X_1})$ by Lemma 1. If $0 < \lambda < 1$, then $x_1 = \lambda e_1 + (1 - \lambda)y_1$ forces $\|e_1\| = \|y_1\| = 1$. By strict monotonicity, $e_k = y_k = 0$ for $k \geq 2$. Then $e_1 \in \text{ext}(B_{X_1})$ and (e_1, y_1, λ) is amenable to x_1 . Since unit vectors in X_1 admit amenable triples, the proof of Lemma 2.1 of [1] shows that X_1 has the λ -property.

(ii) It suffices to show that each $z = \sum_{k=1}^{\infty} a_k z_k \in S_Z$ admits an amenable triple.

By Remark 2, we may assume $a_k \geq 0$ for all k . For each k , choose $e_k \in \text{ext}(B_{X_k})$ and define $x = (a_k e_k)$. Then $\|x\| = \|z\| = 1$. We can write $x = \lambda e + (1 - \lambda)y$, where $e = (v_k) \in \text{ext}(B_X)$, $y = (y_k) \in S_X$ and $0 < \lambda \leq 1$. If $\lambda = 1$, then $x = e$ and Lemma 1 yields $z \in \text{ext}(B_Z)$. Thus, we may assume $0 < \lambda < 1$. For all k , we have

$$a_k e_k = \lambda v_k + (1 - \lambda)y_k.$$

Therefore,

$$\begin{aligned}
 1 = \|x\| &= \left\| \sum_{k=1}^{\infty} a_k z_k \right\| = \left\| \sum_{k=1}^{\infty} \|\lambda v_k + (1 - \lambda)y_k\| z_k \right\| \\
 &\leq \left\| \sum_{k=1}^{\infty} [\lambda \|v_k\| + (1 - \lambda)\|y_k\|] z_k \right\| \\
 &\leq \lambda \left\| \sum_{k=1}^{\infty} \|v_k\| z_k \right\| + (1 - \lambda) \left\| \sum_{k=1}^{\infty} \|y_k\| z_k \right\| \\
 &= 1.
 \end{aligned}$$

By strict monotonicity,

$$a_k = \|a_k e_k\| = \lambda \|v_k\| + (1 - \lambda)\|y_k\|$$

for all k . Consequently,

$$z = \lambda \left(\sum_{k=1}^{\infty} \|v_k\| z_k \right) + (1 - \lambda) \left(\sum_{k=1}^{\infty} \|y_k\| z_k \right).$$

Since $\sum_{k=1}^{\infty} \|v_k\| z_k \in \text{ext}(B_Z)$ by Lemma 1, it follows that $\left(\sum_{k=1}^{\infty} \|v_k\| z_k, \sum_{k=1}^{\infty} \|y_k\| z_k, \lambda \right)$ is amenable to z .

(iii) Assume, to the contrary, that no such set N_0 exists. Then there exist $k_1 < k_2 < \dots$ with $\lambda_{k_n}(X_{k_n}) \rightarrow 0$. Therefore, we can choose $u_{k_n} \in S_{X_{k_n}}$ such that $\lambda_{k_n}(u_{k_n}) \rightarrow 0$. By hypothesis, there exists $\sum_{n=1}^{\infty} a_{k_n} z_{k_n} \in \text{ext}(B_Z)$ with $a_{k_n} > 0$ for all n . If $k \notin \{k_1, k_2, \dots\}$, define $a_k = 0, u_k = 0$. Then $x \equiv (a_k u_k) \in S_X$.

We can write $x = \lambda e + (1 - \lambda)y$, where $0 < \lambda \leq 1, e = (v_k) \in \text{ext}(B_X), y = (y_k) \in S_X$. If $\lambda = 1$, then $x = e$ and, by Lemma 1, $u_{k_n} \in \text{ext}(B_{X_{k_n}})$ for all n , which contradicts $\lambda_{k_n}(u_{k_n}) \rightarrow 0$. Thus, $0 < \lambda < 1$ and, as in the proof of (ii), we obtain

$$a_k = \lambda \|v_k\| + (1 - \lambda)\|y_k\|$$

for all k . In particular, $v_k = y_k = 0$ for $k \notin \{k_1, k_2, \dots\}$. Therefore,

$$\sum_{n=1}^{\infty} a_{k_n} z_{k_n} = \lambda \left(\sum_{n=1}^{\infty} \|v_{k_n}\| z_{k_n} \right) + (1 - \lambda) \left(\sum_{n=1}^{\infty} \|y_{k_n}\| z_{k_n} \right).$$

Since $\sum_{n=1}^{\infty} a_{k_n} z_{k_n} \in \text{ext}(B_Z)$, we must have

$$\sum_{n=1}^{\infty} a_{k_n} z_{k_n} = \sum_{n=1}^{\infty} \|v_{k_n}\| z_{k_n} = \sum_{n=1}^{\infty} \|y_{k_n}\| z_{k_n},$$

or
$$a_{k_n} = \|v_{k_n}\| = \|y_{k_n}\|$$

for all n . Therefore, for all n

$$u_{k_n} = \lambda \frac{v_{k_n}}{\|v_{k_n}\|} + (1 - \lambda) \frac{y_{k_n}}{\|y_{k_n}\|}.$$

But $v_{k_n}/\|v_{k_n}\| \in \text{ext}(B_{X_{k_n}})$ implies $\lambda_{k_n}(u_{k_n}) \geq \lambda$ for all n , a contradiction. □

Combining Theorems 4 and 7, we obtain

THEOREM 8. *Assume that the extreme points of B_Z are diversified. The following are equivalent:*

- (a) $X = \left(\bigoplus_{k=1}^{\infty} X_k\right)_Z$ has the λ -property .
- (b) Each space X_k has the λ -property , there exists a subset N_0 of \mathbb{N} , with finite complement, such that $\inf_{k \in N_0} \lambda_k(X_k) > 0$, and Z has the λ -property

We now turn our attention to the uniform λ -property .

THEOREM 9. *The following are equivalent:*

- (a) $X = \left(\bigoplus_{k=1}^{\infty} X_k\right)_Z$ has the uniform λ -property .
- (b) Each summand X_k has the uniform λ -property , $\Lambda \equiv \inf_k \lambda_k(X_k) > 0$ and Z has the uniform λ -property .

In this case, we have

$$\lambda(X) \geq \frac{\Lambda}{2} \lambda(Z).$$

PROOF: (a) \Rightarrow (b). By Theorem 7, each summand X_k has the λ -property . Moreover, the proof of Theorem 7 shows that if $x_k \in S_{X_k}$, then

$$\lambda_k(x_k) \geq \lambda(0, \dots, 0, x_k, 0, \dots) \geq \lambda(X) > 0.$$

It follows from Lemma 2.1 of [1] that $\Lambda > 0$.

(b) \Rightarrow (a). This follows from Theorem 4, as does the asserted inequality. □

In case the summands are the same, we can sharpen our results as follows.

COROLLARY 10. *Let $X_k = Y$ for all k and assume B_Z contains an extreme point with infinite support. The following are equivalent:*

- (a) $X = \left(\bigoplus_{k=1}^{\infty} Y \right)_Z$ has the λ -property .
- (b) Y has the uniform λ -property and Z has the λ -property .

PROOF: (b) \Rightarrow (a). This follows from Theorem 7.

(a) \Rightarrow (b). By Theorem 7, Y and Z have the λ -property . If Y fails to have the uniform λ -property , there is a sequence (w_n) in S_Y with $\lambda(w_n) \rightarrow 0$. By hypothesis, there exists $\sum_{n=1}^{\infty} a_{k_n} z_{k_n} \in \text{ext} (B_Z)$ with $a_{k_n} > 0$ for all n . Define $a_k = 0$ if $k \notin \{k_1, k_2, \dots\}$ and let

$$u_k = \begin{cases} w_n, & \text{if } k = k_n \text{ for some } n \\ 0, & k \notin \{k_1, k_2, \dots\}. \end{cases}$$

We can then write $x = (a_k u_k)$ and proceed as in the proof of part (iii) of Theorem 7 to obtain the same contradiction as before. □

An immediate consequence of Theorem 9 is

COROLLARY 11. *Let $X_k = Y$ for all k . The following are equivalent:*

- (a) $X = \left(\bigoplus_{k=1}^{\infty} Y \right)_Z$ has the uniform λ -property .
- (b) Y and Z have the uniform λ -property .

In this case, $\lambda(X) \geq \lambda(Y)\lambda(Z)/2$.

Combining Corollaries 10 and 11, we obtain

COROLLARY 12. *Assume that Y has the uniform λ -property and that Z has the λ -property but not the uniform λ -property . If B_Z contains an extreme point with infinite support, then $\left(\bigoplus_{k=1}^{\infty} Y \right)_Z$ has the λ -property but not the uniform λ -property*

The preceding corollary provides us with the following curiosity which one should compare to the well-known fact that $\left(\bigoplus_{k=1}^{\infty} \ell_p \right)_{\ell_p} \cong \ell_p, 1 \leq p < \infty$.

COROLLARY 13. *If Z has the λ -property but not the uniform λ -property and $\left(\bigoplus_{k=1}^{\infty} Z \right)_Z \cong Z$, then all the extreme points of B_Z have finite support.*

REMARK 14. In view of Corollary 12, it should be noted that there are spaces Z which have the λ -property , fail to have the uniform λ -property and for which B_Z contains extreme points with infinite support. For example, consider ℓ_1 and ℓ_2 over the reals and let $Z = (\ell_1 \oplus \ell_2)_{\ell_2}$ (that is, $Z \cong (\ell_1 \oplus \mathbb{R} \oplus \mathbb{R} \oplus \dots)_{\ell_2}$). Then Z has a normalised

unconditionally strictly monotone basis and, by Lemma 1, B_Z contains extreme points with infinite support. On the other hand, ℓ_1 has the λ -property but not the uniform λ -property ([1]). Consequently, Theorems 8 and 9 imply that Z has the λ -property but not the uniform λ -property .

2. REFLEXIVITY AND THE λ -PROPERTY

We close with two examples concerning reflexive Banach spaces. It has been conjectured that reflexivity might play a special role in the study of the λ -property and the uniform λ -property . We now show that the most natural questions one might pose regarding reflexive spaces and the λ -property have a negative answer. Consequently, reflexivity does not appear to play any significant role in the study of these properties.

It follows from the results of [1] that $\lambda(\ell_\infty^k) = 1/2$ and $\lambda(\ell_1^k) \leq 1/k$ for all k . By Theorem 9, the reflexive Banach space

$$U = \left(\bigoplus_{k=1}^{\infty} \ell_\infty^k \right)_{\ell_2}$$

has the uniform λ -property . Since $U^* \cong \left(\bigoplus_{k=1}^{\infty} \ell_1^k \right)_{\ell_2}$, Theorem 8 shows that U^* fails to have the λ -property (this fact was also obtained in [6] by means of direct calculations rather than a general theorem).

Now let $V = (U \oplus U^*)_{\ell_2}$; that is,

$$V \cong (\ell_\infty^1 \oplus \ell_1^1 \oplus \ell_\infty^2 \oplus \ell_1^2 \oplus \dots)_{\ell_2}.$$

Then V is a reflexive Banach space which fails to have the λ -property by Theorem 8. Since $V^* \cong V$, V^* also fails to have the λ -property . This is the first example of a reflexive Banach space with this property (a nonreflexive Banach space with this property was given in [1]).

Finally, it should be noted that a reflexive Banach space W with the λ -property does not necessarily have the uniform λ -property . Such an example is given in [6]. In fact, B_W can be constructed from B_{ℓ_2} with very slight modifications.

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