

THE EQUIVALENCE OF SOME BANACH SPACE PROBLEMS

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0. Introduction. The problem of whether every Banach space (always infinite dimensional in this article) has a separable quotient appears to have been considered since 1932 although we cannot find an explicit mention of it earlier than 1969 [10]. In [9] and [10], it is proved that $C(X)$ has a separable quotient, where X is compact Hausdorff.

In Section 1 of this article we give six other properties equivalent to this one. Most of these are known, some can be found in such articles as [10] and [2]. The main result, which we believe to be new, is that a Banach space has a separable quotient if and only if it has a dense non-barrelled subspace. (Thus it may be significant that there exist spaces of all of whose dense subspaces are barrelled [4].) We also give some simplified proofs of the known results. In order to make the work self-contained we prove all results.

1. We now list 7 properties which a Banach space E may have. Later we prove them to be equivalent. It is unknown whether every Banach space has these properties. (P 1016)

P_1 . E has a separable quotient.

That is, E can be mapped onto a separable Banach space.

P_2 . E has a dense non-barrelled subspace.

Dense barrelled subspaces are plentiful, however (see [13]).

An S_σ -subspace is the union of a strictly increasing sequence of closed subspaces. An S_σ -space is a locally convex space which is an S_σ -subspace of itself.

P_3 . E has a dense S_σ -subspace.

A *BE*-subspace is a proper subspace of E which can be given a larger complete norm, i.e., it is a Banach space properly and continuously included in E . For example, l is a Bc_0 -subspace of c_0 .

P_4 . E has a dense *BE*-subspace.

If in the preceding definition Banach is replaced by Fréchet, we have an *FE*-subspace.

P_5 . E has a dense locally convex *FE*-subspace.

P_6 . There exists a sequence $\{f_n\}$ in E' with $\|f_n\| = 1$ for all n and $\bigcup_{n=1}^{\infty} \bigcap_{i=n}^{\infty} f_i^{\perp}$ dense in E .

Note that $f_n \rightarrow 0$ weak-*. Let us define a *normal sequence* to be a sequence $\{f_n\} \subset E'$ with $\|f_n\| = 1$, $f_n \rightarrow 0$ weak-*. It has recently been proved independently by A. Nissenzweig and B. Josefson (see [6]) that every Banach space has a normal sequence. We may express P_6 as follows:

There exists a normal sequence $\{f_n\}$ with $\bigcup_{n=1}^{\infty} \bigcap_{i=n}^{\infty} f_i^{\perp}$ dense.

P_7 . There exist closed subspaces A and B of E with $A + B$ a dense proper subset of E .

Remark on P_7 . It follows from P_7 that A and B can be found so that $A \cap B = \{0\}$, i.e., A and B are quasicomplementary. To see this, observe that P_7 implies P_1 (see below), thus, as remarked in [10], p. 188 (2), E has a quasicomplemented separable subspace. From this it also follows that E has a quasicomplemented separable subspace if and only if it has a quasicomplemented subspace.

The equivalence of P_2 , P_4 and P_5 was given in [2], p. 512-513, and that of P_1 and P_3 in [5], p. 85. Our proofs are somewhat simpler. That P_3 implies P_2 follows from [1], p. 274; the special case needed here is given an easy proof.

1.1. P_4 implies P_5 ; P_5 implies P_2 .

Let F be a dense locally convex *FE*-space. If (F, T_E) were barrelled, Ptak's open mapping theorem applied to the identity map from (F, T_F) to (F, T_E) would make $T_E = T_F$, and so F would be a closed subspace of E , hence $F = E$.

Note. This argument fails if we omit "locally convex" from P_5 ; indeed, E may have a barrelled subspace which is a dense *FE*-subspace.

1.2. P_2 implies P_4 .

Let S be a dense non-barrelled subspace of E . Let B be a bounded barrel in S which is not a neighborhood of 0. (If B is not bounded, replace it by $B \cap D$, D being the unit disc.) Let F be the span of \bar{B} , the closure of B in E . Then \bar{B} is not a neighborhood of 0 in F ($B = \bar{B} \cap S$). Now \bar{B} is an

absolutely convex, bounded, closed (hence complete) subset of E , and so its gauge p is a complete norm for F which is larger than the relative topology of E (see [16], 6-1-17). Thus F is a dense BE -subspace of E . ($F \neq E$, since \bar{B} not a neighborhood of 0 in F implies F is not barrelled.)

Note. W. H. Ruckle suggests the following proof of 1.2. Let $\{f_n\}$ be unbounded, but convergent on a dense subspace. Then

$$F = \{x: \lim f_n(x) \text{ exists}\}$$

is a BE -subspace with $\|x\|_1 = \|x\| + \sup |f_n(x)|$.

1.3. P_1 implies P_3 .

This is clear since P_3 is true for the separable quotient.

1.4. P_3 is equivalent to P_6 .

If $\bigcup S_n$ is dense, let $\|f_n\| = 1$, $f_n = 0$ on S_n .

1.5. THEOREM. *Let E be a quasibarrelled topological vector space. The following are equivalent:*

- (i) E is barrelled.
- (ii) E is ω -barrelled (every w^* bounded sequence is equicontinuous).
- (iii) E is c -barrelled (every w^* Cauchy sequence is equicontinuous).
- (iv) E is sequentially barrelled (every w^* convergent sequence is equicontinuous).
- (v) (E', w^*) is sequentially complete.

This improves the result of De Wilde [3], Theorem 2.7, that (v) implies (i) for metrizable spaces, since metrizable implies quasibarrelled. The implications (i) \Rightarrow (ii) \Rightarrow (iii) \Rightarrow (iv) are trivial. The implication (iv) \Rightarrow (i) is proved by Webb [14], Proposition 4.1. The implication (iii) \Rightarrow (v) is obvious. Finally, assuming (v), let $A \subset E'$ be w^* -bounded. Then A is $\beta(E', E)$ -bounded by the Banach-Mackey theorem (see [8], 20.11(8)), hence it is equicontinuous, since E is quasibarrelled. Thus E is barrelled.

We note that (iii) \equiv (v) under the weaker hypothesis that E is relatively strong. This follows from [7], Theorems 2.4 and 3.1.

1.6. LEMMA. *Let X be a metrizable S_σ -space. Then X' cannot be w^* -sequentially complete.*

Let $X = \bigcup S_n$, $x^n \in S_n \setminus S_{n-1}$, and $x^n \rightarrow 0$. Let $f_n \in X'$ with $f_1 = 0$, $f_n = f_{n-1}$ on S_{n-1} , and $f_n(x^n) = 1$ for $n = 2, 3, \dots$. For all x , $\{f_n(x)\}$ is eventually constant but its pointwise limit f is not continuous, since $f(x^n) = 1$ for all n .

1.7. COROLLARY. *A metrizable S_σ -space cannot be barrelled.*

This generalizes the known result that a metrizable space of countable dimension cannot be barrelled. More precisely, one can prove that

a barrelled S_σ -space must have the inductive limit topology by the closed subspaces and inclusion maps.

1.8. P_3 implies P_2 .

This follows from 1.7.

1.9. THEOREM. *Let E have a dense non-barrelled subspace; then E has an increasing sequence $\{S_n\}$ of closed subspaces with $\bigcup S_n$ dense and $\dim S_n/S_{n-1} = 1$ for each n .*

Let F be, as in 1.2, a dense subspace having a barrel B which is not a neighborhood of 0 in F and which is closed in E . Let

$$B_1 = B, \quad B_n = B + \left\{ \sum_{i=1}^{n-1} a_i x^i : |a_i| \leq 1 \right\},$$

where x^1, x^2, \dots are about to be defined. Each B_n is closed and not absorbing. (Otherwise, it would be a barrel in E , hence a neighborhood of 0, and so each B_i ($i < n$) would be a neighborhood of 0 in its span; but B_1 is not.) We first choose $x^1 \notin 2B_1$, $\|x^1\| = 1$, and $f_1 \in E'$ with $f_1(x^1) = 1$, $|f_1| \leq 1/2$ on B_1 . Since the span of B_2 has infinite codimension, it does not include f_1^\perp , thus there exists x^2 with $\|x^2\| = 1$, $f_1(x^2) = 0$, $x^2 \notin 4B_2$. Then $f_2 \in E'$ with $f_2(x^2) = 1$, $|f_2| \leq 1/4$ on B_2 . The span of B_3 does not include $f_1^\perp \cap f_2^\perp$, thus there exists x^3 with $\|x^3\| = 1$, $f_1(x^3) = f_2(x^3) = 0$, $x^3 \notin 8B_3$, and $f_3 \in E'$ with $f_3(x^3) = 1$, $|f_3| \leq 1/8$ on B_3 . In general,

$$\|x^n\| = 1, \quad f_i(x^n) = 0 \text{ for } i < n, \quad f_n(x^n) = 1, \quad |f_i| \leq \frac{1}{2^i}$$

on B_i , and so $|f_i(x^n)| \leq 1/2^i$ for $i > n$.

Now let $x \in B_1$. Fix a positive integer k . Let $\alpha_1 = -f_{k+1}(x)$. So $|\alpha_1| < 1/2^{k+1}$. Let

$$\alpha_n = -f_{k+n} \left(x + \sum_{i=1}^{n-1} \alpha_i x^{k+i} \right).$$

So $|\alpha_n| \leq 1/2^{k+n-1}$ (by induction).

Let

$$z = \sum_{i=1}^{\infty} \alpha_i x^{k+i};$$

then $\|z\| \leq 1/2^k$ and $f_{k+n}(x+z) = 0$ for all $n = 1, 2, \dots$

Indeed,

$$f_{k+n}(x+z) = f_{k+n} \left(x + \sum_{i=1}^{n-1} \alpha_i x^{k+i} \right) + \alpha_n + \sum_{i=n+1}^{\infty} \alpha_i f_{k+n}(x^{k+i}) = -\alpha_n + \alpha_n + 0.$$

Thus, setting

$$S_k = \bigcap_{i=k+1}^{\infty} f_i^\perp$$

we have proved that $d(x, S_k) \leq 1/2^k$. Setting $S = \bigcup S_k$ we have $d(x, S) = 0$. Thus S is dense in B_1 , hence dense in its span, hence dense in E .

1.10. P_2 implies P_1 .

With $\{S_n\}$ as in 1.9, let $S_n = S_{n-1} \oplus y^n$. Let $q: E \rightarrow F = E/S_1$ be the quotient map and suppose that, for some $v \in F'$, $v(qy^n) = 0$ for all n . Then, with $q': F' \rightarrow E'$, $q'v$ vanishes on $\bigcup S_n$.

Indeed, for $x \in S_n$,

$$x = s^1 + \sum_{i=1}^{n-1} a_i y^i, \quad q'v(x) = v(qx) = \sum_{i=1}^{n-1} a_i v(qy^i) = 0.$$

So we have $q'v = 0$. Since q' is one-to-one, $v = 0$. Thus $\{qy^n\}$ is a total sequence and F is separable.

1.11. P_1 implies P_7 .

See the Remark following P_7 .

1.12. P_7 implies P_4 .

We make $A + B$ into a BE -space by means of the inductive topology by the inclusion maps, i.e.,

$$\|x\| = \inf \{\|a\| + \|b\| : x = a + b, a \in A, b \in B\}$$

(see [16], Section 13-4).

Thus the seven properties are equivalent.

2. We present some comments on the seven equivalent conditions. As noted above,

(*) every Banach space has a normal sequence.

Previously, it had been known that each property P_i implies (*). In fact, for E separable the unit disc of E' is w^* -metrizable, thus P_1 implies (*). If F is a dense non-barrelled subspace, by 1.5 we can find an unbounded sequence $B \subset E'$ with B pointwise bounded on F . Thus P_2 implies (*). If F is a dense BE -subspace and $i: F \rightarrow E$ is inclusion, i' is not an isomorphism, thus P_4 implies (*).

It is also easy to see that a reflexive space has a normal sequence, for if not, its unit disc, being weakly compact, is weakly sequentially compact (see, e.g., [15], 13.4, Example 2), and so the unit circumference would be norm compact.

2.1. Example. The implication $P_6 \Rightarrow (*)$ is trivial and leads to the hope that (*) implies P_6 , thus solving our main problem. This is false, since, e.g.,

$$E = c_0 \cap bs, \quad \text{where } bs = \left\{ x : \|x\| = \sup \left| \sum_{k=1}^n x_k \right| < \infty \right\}.$$

Here $\{f_n\}$, with $f_n(x) = x_n$, is (essentially) a normal sequence, but the set given in P_6 is not dense, since E is not separable.

However, P_6 does show that the main problem is equivalent to the existence of a normal sequence with an additional property.

2.2. Remark. Another way in which (*) would solve the main problem is that it might be possible to find a sequence $\{a_n\}$ of real numbers, tending to infinity, such that $S_a = \{x: a_n f_n(x) \rightarrow 0\}$ is dense. Since S_a cannot be barrelled, P_2 would hold. This also is not possible in general.

2.3. Example (A. K. Snyder). Let E and f_n be as in 2.1. Let $\{a_n\}$ be a strictly increasing sequence of positive numbers tending to infinity. We may assume that $a_1 \geq 1$. Let $\{p_n\}$ be a sequence of positive integers increasing to infinity with $p_n \leq a_n$ for all n . Let

$$q_n = 1 + \sum_{k=1}^{n-1} p_k.$$

Define $z \in E$ by $z_1 = 0$, and

$$z_i = \begin{cases} 1/p_{2k-1} & \text{for } q_{2k-1} < i \leq q_{2k}, \\ -1/p_{2k} & \text{for } q_{2k} < i \leq q_{2k+1}. \end{cases}$$

We assert that $d(z, S_a) \geq 1/4$ (see 2.2 for S_a). If this is false, let $\|x - z\| < 1/4$, $x \in S_a$. Now

$$\sum_{i=1}^{q_j} z_i = \begin{cases} 0 & \text{for } j \text{ odd,} \\ 1 & \text{for } j \text{ even.} \end{cases}$$

Thus

$$\left| \sum_{i=1}^{q_j} x_i \right| \begin{cases} < 1/4 & \text{for } j \text{ odd,} \\ > 3/4 & \text{for } j \text{ even,} \end{cases}$$

and so

$$(1) \quad \left| \sum \{x_i: q_{k-1} < i \leq q_k\} \right| > \frac{1}{2} \quad \text{for all } k.$$

Since $x \in S_a$, $p_n x_n \rightarrow 0$, thus, for large k , $q_{k-1} < i \leq q_k$ implies $|p_i x_i| < 1/2$. It follows that

$$\frac{1}{2|x_i|} > p_i \geq p_{q_{k-1}} \geq p_{k-1},$$

and so

$$\left| \sum \{x_i: q_{k-1} < i \leq q_k\} \right| \leq \frac{q_k - q_{k-1}}{2p_{k-1}} = \frac{1}{2},$$

contradicting (1).

2.4. Example (A. K. Snyder). However, the space of Example 2.3 does have a separable quotient for $q: E \rightarrow bs$ given by

$$qx = \left\{ \sum_{k=n^2}^{(n+1)^2-1} x_k \right\}$$

is onto, and bs is equivalent to l^∞ which is known to have a separable quotient.

2.5. Remark. It can be checked that the space of Example 2.3 has a dense non-barrelled subspace independently of 2.3 and the fact that P_1 implies P_2 ; namely,

$$\{x: x_{2n} = 0 \text{ for almost all } n\}$$

is a dense S_σ -subspace. Moreover, the quotient of $c_0 \cap bs$ by $\{x: x_{2n} = 0 \text{ for all } n\}$ is separable.

2.6. Remark. *The statement P_1 is equivalent to*

P_8 . *For every set S and closed subspace A of $l_1(S)$ of infinite dimension and codimension there exists a closed subspace B such that $A + B$ is a dense proper subspace.*

Let E be a Banach space; then there exist S and a subspace A of $l_1(S)$ such that $E = l_1(S)/A$. If A is finite dimensional, then $l_1(S) = E \oplus A$ and the map of $l_1(S)$ onto a separable space does the same for E . If A is infinite dimensional, let $A + B$ be dense and proper. Then $Q[B]$ is a dense proper BE -subspace. Conversely, P_8 follows by applying P_7 to $l_1(S)/A$.

3. In this section we prove that every Banach space has a strictly larger barrelled norm and a larger non-barrelled norm.

3.1. LEMMA. *Let E be a barrelled metrizable space and H a Hamel basis for E . Then all but a finite number of the coefficient functionals are discontinuous.*

Suppose that there is a sequence $\{P_n\}$ of continuous coefficient functionals corresponding to $\{h^n\} \subset H$. For an arbitrary sequence $\{s_n\}$ of positive real numbers, $\{s_n P_n\}$ is w^* -null, hence equicontinuous. Choose scalars $a_n \neq 0$ with $a_n h^n \rightarrow 0$. The set $\{a_n h^n\}$ is bounded, hence $\{s_n P_n(a_n h^n)\} = \{s_n a_n\}$ is a bounded sequence for any choice of $\{s_n\}$. This is impossible.

3.2. THEOREM. *Every Banach space E has a larger non-barrelled norm and a strictly larger barrelled norm.*

Let H be a Hamel basis for E and put

$$p(x) = \sum |t| \cdot \|h\| \quad \text{for } x = \sum th, h \in H.$$

For each $h \in H$ the corresponding coefficient functional P satisfies $|P(x)| \leq p(x)$ and it follows from 3.1 that (E, p) is not barrelled. Next, let f be an unbounded linear functional on E and write $q(x) = \|x\| + |f(x)|$. Then (E, q) is the direct sum of a one-dimensional space and $F = (f^\perp, q)$, hence it is barrelled, since, as we now show, F is barrelled. Indeed, $q(x) = \|x\|$ for $x \in F$, and so F is a maximal subspace of the Banach space E , hence it is barrelled (see [13]).

The second result of 3.2 says that certain barrelled spaces have smaller complete norms. Others do not, for example, a space of countable dimension or a space such as $(l^{1/2}, \|\cdot\|_1)$ which has a larger Fréchet topology. ($\|x\|_1 = \sum |x_n|$.)

3.3. *Every finite-codimensional subspace S of a Banach space E is a barrelled space which has a smaller complete norm.*

We may assume that S is of the form $\bigcap \{f_i^\perp : i = 1, 2, \dots, m\}$, where each f_i is an unbounded linear functional on E ,

$$E = S \oplus \{x^1, x^2, \dots, x^m\} \quad \text{and} \quad f_i(x^j) = \delta_i^j.$$

For $a \in E$ and $f \in E'$, write $(a \otimes f)(x) = f(x)a$. Now set

$$P = I - \sum_{i=1}^m x^i \otimes f_i,$$

a projection of E onto S . Let $g_1, g_2, \dots, g_m \in E'$ with $g_i(x^j) = \delta_i^j$, $H = \bigcap g_i^\perp$. Then $A = P|_H$ is an algebra isomorphism of H onto S with the inverse

$$B = Q|_S, \quad \text{where} \quad Q = I - \sum x^i \otimes g_i.$$

Since B is continuous, it transfers from H to S a smaller norm $\|\cdot\|_B$ such that $(S, \|\cdot\|_B)$ is equivalent to H (the original norm of E on H).

3.4. Example. Take $m = 1$ in the construction of 3.3 and omit the subscripts and superscripts. Assume that for $y \in E$, $x = h + ax$, and $h \in H$ we have $\|x\| = \|h\| + |\alpha|$. (This is equivalent to the original norm.) Then, for $y \in H$,

$$\|y\|_A = \|Ay\| = \|y - f(y)x\| = \|y\| + |f(y)|.$$

This is precisely the norm defined in the second part of 3.2 and gives another proof that it is barrelled. In fact, $(H, \|\cdot\|_A)$ is equivalent to S (original norm of E on S).

3.5. COROLLARY. *The second norm q defined in 3.2 has the property that (E, q) is of codimension 1 in its completion.*

In 3.4, $(H, \|\cdot\|_A)$ is equivalent to S which is a dense maximal subspace.

3.6. Example. *A vector space E with two non-comparable complete norms p and q such that $(E, p + q)$ is barrelled.*

Let (E, p) be a Banach space, S a dense maximal subspace, and q any smaller complete norm for S (e.g., 3.3). We extend q to E by $q(y + ax) = q(y) + |\alpha|$ for $y \in S$, and fixed $x \notin S$. Then p and q are complete and non-comparable (S is q -closed in E). To see that $(E, p + q)$ is barrelled note that p and $p + q$ are equivalent on S , since $q \leq p$ on S . Thus $(S, p + q)$

is barrelled. Now S is a closed subspace of (E, q) , hence of $(E, p + q)$, and so $(E, p + q)$ is the direct sum of a barrelled subspace and a one-dimensional one.

4. The following result is a step in the direction of P_2 .

4.1. THEOREM. *Every Banach space E has a dense non-Baire subspace S ; indeed, S may be included in the union of a sequence of closed proper subspaces of E .*

Let $\{x^i\} \subset E$ and $\{f_i\} \subset E'$ be bi-orthogonal. For each $x \in E$, $\varepsilon > 0$, and $i = 1, 2, 3, \dots$, choose one scalar a_i such that $a_i + f_i(x)$ is rational and $|a_i| < \varepsilon/2^i$. Let

$$A = \{x^i\} \cup \left\{ x + \sum a_i x^i \right\},$$

where $x \in E$, $\varepsilon > 0$, and the a_i are chosen for x, ε as specified. Now fix $n > 1$ and write

$$P = \sum_{i=1}^n x^i \otimes f_i$$

(as in 3.3), a projection onto $U = \text{span}\{x^1, x^2, \dots, x^n\}$. Let C be a subset of PA which has fewer than n members. Then $H = P^{-1}(\text{span} C)$ is a closed subspace of E and is proper. (Choose $y \in U \setminus \text{span} C$. Then $Py = y \notin \text{span} C$, so $y \notin H$.) Note that PA is countable, and so there are at most countably many such subsets C , hence countably many H , and the union of all such H contains each point $z \in \text{span} A$ which is a linear combination of fewer than n members of A . ($Pz \in C$ for some C , so $z \in P^{-1}C$.) Since every member of $\text{span} A$ is of this type for some n , we thus have $\text{span} A$ covered by the union of countably many proper closed subspaces. Finally, $\text{span} A$ is obviously dense.

4.2. Remark. With the notation of 4.1, let

$$B = \{x \in E: f_i(x) \text{ is rational for } i = 1, 2, \dots\}.$$

It is shown in [12] that the span of B is also dense and non-Baire and it is barrelled as well.

5. Questions. Besides the famous questions indicated in Section 1 we also ask:

5.1. Must $(E, p + q)$ be barrelled if p and q are non-comparable complete norms for a vector space E (cf. 3.6)? (**P 1017**)

5.2. Must a countable codimensional subspace of a Banach space have a smaller complete norm (cf. 3.3 and [13])? (**P 1018**)

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Reçu par la Rédaction le 3. 4. 1975