

## ON THE ORDER-THEORETIC CANTOR THEOREM

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Dedicated to Fon-Che Liu

**Abstract.** In this report<sup>1</sup>, we present an order-theoretic version of the Cantor theorem. This result, which is based on the interplay of the notions of partial order and of completeness, permits to give a unified and simplified account to a long list of results related to the Bishop–Phelps theorem. We survey briefly only its simplest applications and refer the reader to [10] for a complete presentation of the results.

### 1. CANTOR SPACES

Let  $(X, \preceq)$  be a partially ordered set. For any  $z \in X$ , denote the *terminal tail*  $\{y \in X \mid z \preceq y\}$  by  $Tz$ ; if  $y \in Tz$ , the set  $Ty \subset Tz$  is called a *subtail* of  $Tz$ . Clearly an element  $y$  is maximal in  $(X, \preceq)$  provided  $\{y\} = Ty$ . A map  $F : X \rightarrow X$  is said to be *expanding* if  $x \preceq F(x)$  for each  $x \in X$ . We observe that if  $F : X \rightarrow X$  is expanding then: (i) any tail in  $(X, \preceq)$  is invariant under  $F$ , (ii) any maximal element of  $(X, \preceq)$  is a fixed point of  $F$ .

Let  $(X; d, \preceq)$  be a metric space in which a partial order  $\preceq$  is defined. We say that  $(X; d, \preceq)$  *admits arbitrarily small tails* if for each tail  $Tz$  and any  $\varepsilon > 0$  there exists a subtail  $Ty \subset Tz$  with  $\text{diam}(Ty) \leq \varepsilon$ .

**Proposition 1.** *Let  $(X; d, \preceq)$  be a partially ordered complete metric space which admits arbitrarily small tails. Then for any  $x_0 \in X$  there exists an*

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ascending and convergent sequence  $x_0 \preceq x_1 \preceq \cdots \preceq x_n \preceq \cdots$  such that  $\lim_{n \rightarrow \infty} x_n \in \bigcap_{n \in \mathbb{N}} \overline{Tx_n}$ .

*Proof.* The point  $x_0$  being given, we first choose  $x_1 \in Tx_0$  such that  $\text{diam}(Tx_1) \leq 1$ . Assume that we have an ascending finite sequence  $x_0 \preceq x_1 \preceq \cdots \preceq x_n$  such that  $\text{diam}(Tx_k) \leq 1/k$  for  $0 < k \leq n$ . Choose  $x_{n+1} \in Tx_n$  such that  $\text{diam}(Tx_{n+1}) \leq 1/(n+1)$ . By induction, we have an increasing sequence  $\{x_n\}_{n \in \mathbb{N}}$  with  $\text{diam}(Tx_n) \leq 1/n$  for each  $n > 0$ . The sequence of sets  $\{\overline{Tx_n}\}_{n \in \mathbb{N}}$  is clearly decreasing, so by the Cantor Theorem there exists a point  $\hat{x} \in X$  such that  $\{\hat{x}\} = \bigcap_{n \in \mathbb{N}} \overline{Tx_n}$ . Obviously,  $\hat{x} = \lim_{n \rightarrow \infty} x_n$ . ■

**Proposition 2.** *Let  $(X; d, \preceq)$  be a partially ordered complete metric space which admits arbitrarily small tails and  $f : X \rightarrow X$  an expanding continuous map. Then for each  $x_0 \in X$  there exists a fixed point  $\hat{x} = f(\hat{x})$  of  $f$  with  $\hat{x} \in \overline{Tx_0}$ .*

*Proof.* Given  $x_0 \in X$ , take a convergent ascending sequence  $x_0 \preceq x_1 \preceq \cdots \preceq x_n \preceq \cdots$  with  $\lim_{n \rightarrow \infty} x_n = \hat{x} \in \bigcap_{n \in \mathbb{N}} \overline{Tx_n}$  and  $\text{diam}(Tx_n) \leq 1/n$  for each  $n > 0$ . We have  $x_n \preceq f(x_n)$  for each  $n \in \mathbb{N}$  and therefore  $f(x_n) \in Tx_n$ . It follows that the sequence  $\{f(x_n)\}_{n \in \mathbb{N}}$  converges to  $\hat{x}$  and by continuity that  $\hat{x} = f(\hat{x})$ . ■

We now come to our main concept.

**Definition 1.** We say that  $(X; d, \preceq)$  is a *partially ordered Cantor space* (or simply a *Cantor space*), provided (i) tails are closed, (ii)  $(X; d, \preceq)$  admits arbitrarily small tails and (iii)  $d$  is complete.

The main property of Cantor spaces is given in

**Theorem 1 (Order-theoretic Cantor theorem).** *Let  $X = (X; d, \preceq)$  be a Cantor space. Then:*

- (i) *Any tail  $Tx$  in  $X$  is also a Cantor space.*
- (ii)  *$X$  contains at least one maximal element.*
- (iii) *Any tail  $Tx$  in  $X$  contains at least one maximal element  $x^*$  in  $X$ .*
- (iv) *If  $F : X \rightarrow X$  is expanding, then each tail  $Tx$  contains a fixed point of  $F$ .*

*Proof.* (i) is obvious from the definitions involved; (iii) and (iv) follow clearly from (i) and (ii). It thus remains to verify that (ii) is true. The existence in  $X$  of a maximal element follows from Proposition 1. Indeed, let  $x_0 \preceq x_1 \preceq \cdots \preceq x_n \preceq \cdots$  be an ascending sequence which converges to a point

$\hat{x}$  such that  $\hat{x} \in \bigcap_{n \in \mathbb{N}} Tx_n$ . We claim that  $\hat{x}$  is maximal in  $X$ : for, if  $z \succ \hat{x}$ , then  $z \succ \hat{x} \succeq x_n$  for each  $n \geq 0$ , so  $z \in \bigcap_{n \in \mathbb{N}} Tx_n$  and therefore  $z = \hat{x}$ . This completes the proof. ■

## 2. BISHOP–PHELPS THEOREM

Following Bishop–Phelps, we introduce the following:

**Definition 2.** Let  $(X, d)$  be a metric space,  $\varphi : X \rightarrow R$  be a real-valued function and  $\lambda$  a positive number. Following Bishop–Phelps, we define a relation  $\preceq_{\varphi, \lambda}$  on  $X$  by

$$(BP) \quad x \preceq_{\varphi, \lambda} y \quad \text{if and only if} \quad \varphi(y) + \lambda d(x, y) \leq \varphi(x).$$

This is in fact a partial ordering on  $X$ : clearly,  $x \preceq_{\varphi, \lambda} x$  for each  $x \in X$ ; if  $x \preceq_{\varphi, \lambda} y$  and  $y \preceq_{\varphi, \lambda} x$ , then  $2\lambda d(x, y) = \lambda d(x, y) + \lambda d(y, x) \leq \varphi(x) - \varphi(y) + \varphi(y) - \varphi(x) = 0$  and  $x = y$ ; finally, if  $x \preceq_{\varphi, \lambda} y$  and  $y \preceq_{\varphi, \lambda} z$ , then from the triangle inequality, we find  $x \preceq_{\varphi, \lambda} z$ . The space  $(X, d)$  together with this partial ordering is denoted by  $X_{\varphi, \lambda}$ . In the special case  $\lambda = 1$ , we shall write  $\preceq_{\varphi}$  for  $\preceq_{\varphi, \lambda}$  and  $X_{\varphi}$  for  $X_{\varphi, 1}$ . Observe that if  $x, y$  are known to be related then the condition  $\varphi(y) \leq \varphi(x)$  alone assures that both  $x \preceq_{\varphi, \lambda} y$  and  $\varphi(y) + \lambda d(x, y) \leq \varphi(x)$ .

**Proposition 3.** Let  $\varphi : X \rightarrow R$  be a function and  $\lambda > 0$ . Then (i) if  $\varphi : X \rightarrow R$  is bounded below, then  $X_{\varphi, \lambda}$  admits arbitrarily small tails; (ii) if  $\varphi$  is lower semicontinuous, then each tail in  $X_{\varphi, \lambda}$  is closed.

*Proof.* Clearly, for the proof, we may assume that  $\lambda = 1$ . (i) Letting  $x \in X$  and  $\varepsilon > 0$  be given, we choose an element  $y \in Tx$  so that

$$\varphi(y) - \inf_{t \in Tx} \varphi(t) \leq \varepsilon/2.$$

From  $Ty \subset Tx$  we have, for any  $z_1, z_2 \in Ty$ ,

$$d(z_1, z_2) \leq d(z_1, y) + d(z_2, y) \leq 2\varphi(y) - 2 \inf_{t \in Ty} \varphi(t) \leq 2\varphi(y) - 2 \inf_{t \in Tx} \varphi(t) \leq \varepsilon.$$

From this we get  $\text{diam}(Ty) \leq \varepsilon$  as asserted.

(ii) Indeed, given a tail  $Tx = \{y \mid \varphi(y) + d(x, y) \leq \varphi(x)\}$ , because the map  $y \mapsto \varphi(y) + d(x, y)$  is lower semicontinuous, the conclusion follows. ■

Theorem 1 leads immediately to the following fundamental result:

**Theorem 2 (Bishop–Phelps).** *Let  $(X, d)$  be complete,  $\varphi : X \rightarrow R$  a l.s.c. function on  $X$  with a finite lower bound and  $\lambda$  a positive number. Then given any  $x_0$  there exists at least one maximal element  $x^*$  in  $X_{\varphi, \lambda}$  with  $x^* \in Tx_0$ . Precisely, for any  $x_0$  there is at least one  $x^* \in X$  such that*

$$\varphi(x^*) + \lambda d(x_0, x^*) \leq \varphi(x_0)$$

and

$$\varphi(x^*) < \varphi(x) + \lambda d(x, x^*)$$

for any  $x \neq x^*$ .

*Proof.* Let  $Tx_0 \subset X_{\varphi, \lambda}$  be the tail containing a given element  $x_0$  in  $X$ ; by Proposition 3,  $Tx_0$  is a Cantor space, and thus our assertion is an immediate consequence of Theorem 1. ■

### 3. APPLICATIONS TO FIXED POINTS

Let us say that a function  $F : X \rightarrow X$  defined on a metric space  $(X, d)$  fulfils *Caristi's condition* with respect to a given function  $\varphi : X \rightarrow R_+$  if

$$(*) \quad d(x, Fx) \leq \varphi(x) - \varphi(Fx) \quad \text{for each } x \in X.$$

If it is clear from the context which function  $\varphi$  is involved, we will simply say that Caristi's condition holds. Notice that if  $(*)$  holds with respect to a function  $\varphi : X \rightarrow R$  which is only assumed to be bounded below, then it obviously holds with respect to  $\varphi - \inf_{x \in X} \varphi(x)$ . So, there is no loss of generality if  $\varphi$  is assumed to be positive instead of bounded below. We establish now a version of the Caristi–Brøndsted theorem (cf. [3] and [5]).

**Theorem 3.** *Let  $(X, d)$  be complete and  $\varphi : X \rightarrow R_+$  be a l.s.c. function on  $X$ . Then given any  $x_0$ , there exists an  $x^* \in X$  such that  $x_0 \preceq_{\varphi} x^*$  and  $x^*$  is a common fixed point for the family of functions (not necessarily continuous)  $F : X \rightarrow X$  for which Caristi's condition holds.*

*Proof.* Consider the Cantor space  $X_{\varphi}$  and note that the estimate  $(*)$  means that  $F : X_{\varphi} \rightarrow X_{\varphi}$  is expanding with respect to the partial order  $\preceq_{\varphi}$ . Now, by the introductory remarks on expanding maps, and because a tail  $Tx_0 \subset X_{\varphi}$  is a Cantor space, the conclusion follows. ■

**Theorem 4 (Brøndsted).** *Let  $(X, d)$  be complete and  $\varphi : X \rightarrow R_+$  an arbitrary function. Then given any  $x_0 \in X$ , there exists an ascending convergent sequence  $x_0 \preceq_{\varphi} x_1 \preceq_{\varphi} \cdots \preceq_{\varphi} x_n \preceq_{\varphi} \cdots$  such that  $\lim_{n \rightarrow \infty} x_n$  is a*

common fixed point for the family of all continuous functions  $F : X \rightarrow X$  for which Caristi's condition holds.

*Proof.* We have seen that  $X_\varphi$  admits arbitrarily small tails and that the estimate (\*) means that  $F : X_\varphi \rightarrow X_\varphi$  is expanding with respect to the partial order  $\preceq_\varphi$ . Now, the conclusion follows from Propositions 1 and 2. ■

The order-theoretic Cantor theorem is equally useful for dealing with multivalued maps. Following W. Takahashi [15], we give the multivalued extension of Caristi's theorem and then establish Nadler's fixed point theorem for set-valued contractions.

**Theorem 5 (W. Takahashi [15]).** *Let  $(X, d)$  be complete and  $\varphi : X \rightarrow R$  be a l.s.c. function bounded below on  $X$ . Let  $\mathcal{F} : X \rightarrow X$  be a multivalued map such that for each  $x \in X$  there is  $y \in \mathcal{F}x$  satisfying*

$$d(x, y) \leq \varphi(x) - \varphi(y).$$

*Then given any  $x_0$  there exists at least one fixed point  $x^*$  of  $\mathcal{F}$  with  $x_0 \preceq_\varphi x^*$ .*

*Proof.* For each  $x \in X$ , choose  $Fx \in \mathcal{F}x$  such that  $d(x, y) \leq \varphi(x) - \varphi(Fx)$ . Obviously,  $F$  is a single-valued selector of  $\mathcal{F}$ . By Caristi's theorem, there is a point  $x_0$  such that  $x_0 \preceq_\varphi x^*$  and  $Fx_0 = x_0$ . Obviously,  $x_0 \in \mathcal{F}x_0$ . ■

Given a metric space  $(X, d)$ , let us denote by  $\mathcal{CB}(X)$  the family of closed nonempty bounded subsets of  $X$ . The Hausdorff metric on  $\mathcal{CB}(X)$  is denoted by  $d_H$ . A map  $\mathcal{F} : X \rightarrow \mathcal{CB}(X)$  is  $\alpha$ -contractive, where  $0 \leq \alpha < 1$ , if

$$d_H(\mathcal{F}x, \mathcal{F}y) \leq \alpha d(x, y) \text{ for all } x, y \in X.$$

**Theorem 6 (Nadler [12]).** *If  $(X, d)$  is a complete metric space, then every  $\alpha$ -contractive map  $\mathcal{F} : X \rightarrow \mathcal{CB}(X)$  has a fixed point.*

*Proof.* First, notice that for any  $x \in X$  and any  $y \in \mathcal{F}x$ , we have  $d(y, \mathcal{F}y) \leq \alpha d(x, y)$ . Indeed, for any  $\delta > 0$  we have

$$\mathcal{F}x \subset \bigcup_{z \in \mathcal{F}y} B(z, \alpha d(x, y) + \delta).$$

Therefore, if  $y \in \mathcal{F}x$  there is a point  $z \in \mathcal{F}y$  such that  $d(y, z) < \alpha d(x, y) + \delta$ . Taking the infimum over  $z \in \mathcal{F}y$  yields  $d(y, \mathcal{F}y) \leq \alpha d(x, y) + \delta$ . Since  $\delta > 0$  was arbitrary, the conclusion follows.

Now, fix  $\epsilon > 0$ . For any  $x \in X$  there exists a point  $y_\epsilon(x) \in \mathcal{F}x$  such that

$$d(x, y_\epsilon(x)) \leq (1 + \epsilon)d(x, \mathcal{F}x).$$

From this we get

$$\left[ \left( \frac{1}{1 + \epsilon} \right) - \alpha \right] d(x, y_\epsilon(x)) \leq d(x, \mathcal{F}x) - \alpha d(x, y_\epsilon(x)) \leq d(x, \mathcal{F}x) - d(y_\epsilon(x), \mathcal{F}y_\epsilon(x)).$$

Let

$$\varphi_\epsilon(x) = \left[ \left( \frac{1}{1 + \epsilon} \right) - \alpha \right]^{-1} d(x, \mathcal{F}x).$$

If  $\epsilon$  is chosen such that  $(1 + \epsilon)^{-1} > \alpha$ , then  $\varphi_\epsilon$  is continuous and bounded below. Furthermore, we have just shown that for any  $x \in X$ ,

$$x \preceq_{\varphi_\epsilon} y_\epsilon(x) \quad \text{and} \quad y_\epsilon(x) \in \mathcal{F}x.$$

Let  $x^*$  be a maximal element for the partial order  $\preceq_{\varphi_\epsilon}$ . From  $x^* \preceq_{\varphi_\epsilon} y_\epsilon(x^*)$  we get  $x^* = y_\epsilon(x^*)$ , and therefore  $x^* \in \mathcal{F}x^*$ . ■

#### 4. APPLICATIONS TO GEOMETRY OF BANACH SPACES

Let  $B = B(z, r)$  be a closed ball in a Banach space. For any  $x \notin B$ , the convex hull of  $x$  and  $B$  is called a *drop* and is denoted by  $D(x, B)$ ; it is clear that if  $y \in D(x, B)$ , then  $D(y, B) \subset D(x, B)$ , and, if  $z = 0$ , that  $\|y\| \leq \|x\|$ .

**Theorem 7 (Daneš [7]).** *Let  $A$  be a closed subset of a Banach space  $E$ , let  $z \in E - A$ , and let  $B = B(z, r)$  be a closed ball of radius  $0 < r < d(z, A) = R$ . Let  $F : A \rightarrow A$  be any map such that  $F(a) \in A \cap D(a, B)$  for each  $a \in A$ . Then for each  $x \in A$ , the map  $F$  has at least one fixed point in  $A \cap D(x, B)$ .*

*Proof.* We can assume  $z = 0$ . Let  $\|x\| = \varrho \geq R$  and let  $X = A \cap D(x, B)$ ; clearly,  $F$  maps  $X$  into itself and we shall develop an expression for  $\|x - F(x)\|$  on  $X$ .

Given  $y \in X$ , there is a  $b \in B$  with  $F(y) = tb + (1 - t)y$ ; since  $\|F(y)\| \leq t\|b\| + (1 - t)\|y\|$ , we have  $t[\|y\| - \|b\|] \leq \|y\| - \|F(y)\|$  so because  $\|y\| - \|b\| \geq R - r$ , we find

$$t \leq \frac{\|y\| - \|Fy\|}{R - r}.$$

Thus,

$$\|y - F(y)\| \leq t\|y - b\| \leq t[\|y\| + \|b\|] \leq t[\varrho + r] \leq \frac{\varrho + r}{R - r} [\|y\| - \|F(y)\|].$$

Therefore, applying the Theorem of Caristi with

$$\varphi(x) = \frac{\varrho + r}{R - r} \|x\|,$$

the result follows. ■

As a consequence, we obtain

**Theorem 8 (Supporting Drops Theorem).** *Let  $A$  be a closed set in a Banach space  $E$ , and  $z \in E - A$  a point with  $d(z, A) = R > 0$ . Then for any  $r < R < \varrho$  there is an  $x_0 \in \partial A$  with*

$$\|z - x_0\| \leq \varrho \text{ and } A \cap D(x_0, B(z, r)) = \{x_0\}.$$

*Proof.* Let  $\tilde{A} = A \cap B(z, \varrho)$ . It is a closed and nonempty subset of  $E$ . For each point  $x \in \tilde{A}$ , choose a point  $F(x) \in \tilde{A} \cap D(x, B)$  such that  $F(x) \neq x$  if  $A \cap D(x, B) \neq \{x\}$ . One can easily see that a fixed point  $x_0$  of  $F$  occurs at points of  $\partial A$  and that  $\tilde{A} \cap D(x, B) = A \cap D(x, B)$ . ■

## 5. APPLICATIONS TO CRITICAL POINT THEORY

Let  $\varphi : X \rightarrow R$  be a real-valued function<sup>2</sup> on a metric space  $X$  with a finite  $\eta = \inf\{\varphi(x) \mid x \in X\}$ . Recall that a *minimizer* (resp. a *strict minimizer*) of  $\varphi$  is an element  $x_0 \in X$  with  $\varphi(x_0) = \eta$  (resp. such that the relation  $\varphi(z) \leq \varphi(x_0)$  implies  $z = x_0$ ). A sequence  $\{x_n\}$  in  $X$  for which  $\varphi(x_n) \rightarrow \eta$  is called a *minimizing sequence* for  $\varphi$ .

**Theorem 9 (Ekeland [9]).** *Let  $(X, d)$  be complete and let  $\varphi : X \rightarrow R$  be a lower semicontinuous function with finite lower bound  $\eta$ . Let  $\{x_n\}$  be a minimizing sequence for  $\phi$  and  $\lambda_n = (\varphi(x_n) - \eta)^{1/2}$ . Then there exists a minimizing sequence  $\{y_n\}$  for  $\varphi$  such that for any natural  $n$  we have:*

- (i)  $\varphi(y_n) \leq \varphi(x_n)$  and  $d(x_n, y_n) \leq \lambda_n$ ,
- (ii)  $y_n$  is a strict minimizer of the function  $\varphi_n : X \rightarrow R$  given by

$$\varphi_n(z) = \varphi(z) + \lambda_n d(z, y_n) \quad \text{for } z \in X,$$

- (iii)  $\varphi(y_n) = \varphi_n(y_n) \leq \varphi(z) + \lambda_n d(z, y_n)$  for  $z \in X$ .

<sup>2</sup> For simplicity, we avoid considering the extended real functions  $\varphi : X \rightarrow R \cup \{\infty\}$ .

*Proof.* We first describe the construction of  $\{y_n\}$ . For a given natural  $n$ , consider the space  $X_{\varphi, \lambda_n}$ , where  $\lambda_n = (\varphi(x_n) - \eta)^{1/2}$ . By the Bishop–Phelps theorem applied in  $X_{\varphi, \lambda_n}$  for the point  $x_n$ , there exists an element  $y_n$  in  $X_{\varphi, \lambda_n}$  such that (a)  $x_n \preceq_{\varphi, \lambda_n} y_n$  and (b)  $y_n$  is maximal in  $X_{\varphi, \lambda_n}$ . We now show that  $y_n$  and the function  $\varphi_n$  defined in (ii) have the properties (i)–(iii).

Indeed, the relation  $x_n \preceq_{\varphi, \lambda_n} y_n$  in  $X_{\varphi, \lambda_n}$  translates into the estimate

$$\lambda_n d(x_n, y_n) \leq \varphi(x_n) - \varphi(y_n),$$

and gives

$$d(x_n, y_n) \leq \frac{1}{\lambda_n} (\varphi(x_n) - \varphi(y_n)) \leq \frac{1}{\lambda_n} (\eta + \lambda_n^2 - \eta) = \lambda_n;$$

thus (i) is satisfied.

To establish (ii), suppose that  $\varphi_n(z) \leq \varphi_n(y_n)$  for some  $z$  in  $X$ ; we then have

$$\varphi_n(z) = \varphi(z) + \lambda_n d(z, y_n) \leq \varphi(y_n) = \varphi_n(y_n),$$

which (by the definition of the order in  $X_{\varphi, \lambda_n}$ ) gives  $y_n \preceq_{\varphi, \lambda_n} z$ . Since  $y_n$  is maximal in  $X_{\varphi, \lambda_n}$ , the last relation implies  $y_n = z$ , showing that  $y_n$  is a strict minimizer of  $\varphi_n$ , as asserted.

(iii) is an obvious consequence of (ii).

Thus we have constructed a minimizing sequence  $\{y_n\}$  satisfying (i)–(iii). ■

**Corollary 1.** *Let  $E$  be a Banach space,  $\varphi : E \rightarrow \mathbb{R}$  be a differentiable function on  $E$  with finite lower bound, and  $\{x_n\}$  be a minimizing sequence for  $\varphi$ . Then there exists a minimizing sequence  $\{y_n\}$  in  $E$  for  $\varphi$  such that  $\varphi(y_n) \leq \varphi(x_n)$  for each  $n$  and  $D\varphi(y_n) \rightarrow 0$  in  $E^*$ .*

*Proof.* By Theorem 9, there exists a minimizing sequence  $\{y_n\}$  in  $E$  for  $\varphi$  such that for all  $n$ ,  $\varphi(y_n) \leq \varphi(x_n)$  and

$$(*) \quad \varphi(y_n) \leq \varphi(z) + \lambda_n \|z - y_n\| \quad \text{for all } z \in E.$$

For a given  $n$ , letting  $z = y_n + v$  we obtain from (\*) the estimate

$$\begin{aligned} \varphi(y_n) &\leq \varphi(y_n + v) + \lambda_n \|(y_n + v) - y_n\| \\ &= \varphi(y_n + v) + \lambda_n \|v\| \quad \text{for all } v \in E, \end{aligned}$$

and consequently

$$\|D\varphi(y_n)\|_{E^*} = \lim_{\rho \rightarrow 0} \sup_{\substack{\|v\| \leq \rho \\ v \neq 0}} \frac{\varphi(y_n) - \varphi(y_n + v)}{\|v\|} \leq \lambda_n.$$



Thus,  $\|D\varphi(y_n)\|_{E^*} \leq \lambda_n$  for each  $n$  and, because  $\lambda_n \rightarrow 0$ , our assertion follows. ■

## 6. REMARKS

(1) The Bishop–Phelps technique presented in Sections 2–5 originated in and evolved from the work of the above authors in the theory of support functionals in Banach spaces. Let  $E$  be a Banach space and  $X \subset E$ . A point  $x_0 \in X$  is a *support point* of  $X$  if for some  $f \in E^*$ , called a *support functional* of  $X$ , we have  $f(x_0) = \sup\{f(x) \mid x \in X\}$ . The following theorem was established by Bishop–Phelps [1]: *Let  $C$  be a closed convex subset of  $E$ . Then (a) the support points of  $C$  are dense in the boundary  $\partial C$  of  $C$ , and (b) the support functionals of  $C$  are norm dense in the set  $\{f \in E^* \mid \sup_C f < \infty\}$ .*

In connection with the Bishop–Phelps theorem, we make the following comments:

(i) If  $\text{Int}(C) \neq \emptyset$ , then every  $x \in C$  is a support point of  $C$ ; this follows at once from the Mazur separation theorem.

(ii) If  $C$  is the closed unit ball in  $E$ , then the set  $\{f \in E^* \mid f(x) = \|f\| \text{ for some } x \in \partial C\}$  is norm dense in  $E^*$ ; this is a special case of the Bishop–Phelps theorem.

(iii) If  $C$  is the closed unit ball in  $E$ , then [each  $f \in E^*$  is a support functional of  $C$ ]  $\Leftrightarrow$  [the space  $E$  is reflexive] (theorem of James [11]).

(iv) Let  $\varphi : E \rightarrow R$  be convex and lower semicontinuous. Let

$$\partial\varphi(x) = \{f \in E^* \mid f(y - x) \leq \varphi(y) - \varphi(x) \text{ for } y \in E\}$$

be the subdifferential of  $\varphi$  at  $x \in E$ . Because the elements of  $\partial\varphi(x)$  can be identified with support functionals of the closed convex epigraph  $\text{epi}(\varphi) \subset E \times R$  of  $\varphi$  at  $(x, \varphi(x))$ , the Bishop–Phelps theorem leads to the following theorem: *The set  $\{x \in E \mid \partial\varphi(x) \neq \emptyset\}$  is dense in  $E$ .* This important result (and, in fact, its “extended” version valid for functions  $\varphi$  possibly equal to  $\infty$ ), is due to Brøndsted–Rockafellar [4].

(2) The order-theoretic Cantor theorem implies the usual Cantor theorem. Indeed, let  $\{F_n\}_{n \in N}$  be a decreasing sequence of nonempty closed sets in a complete metric space  $(X, d)$  (we can always assume  $F_0 = X$ ) such that  $\inf_{n \in N} \text{diam } F_n = 0$ . Let  $x \preceq y$  if  $x = y$  or there exists  $n \in N$  such that  $y \in F_n$  and  $x \notin F_n$ . Then  $\preceq$  is compatible with the metric since  $Tx = \{x\}$  if  $x \in \bigcap_{n \in N} F_n$  and  $Tx = \{x\} \cup F_{n(x)+1}$  otherwise, where  $n(x) = \max\{n \in N \mid x \in F_n\}$ . Clearly, any maximal element belongs to  $\bigcap_{n \in N} F_n$ .

(3) The theorem of Daneš can be proved by replacing the norm by a function  $\varphi : E \rightarrow R \cup \{\infty\}$  which is l.s.c., coercive, bounded below and convex.

(4) The formulation of the Bishop–Phelps theorem is taken from [8]; the result appeared in a different form in the survey by Phelps [14] written in 1971. For various interrelations between results related to the Bishop–Phelps theorem, the reader is referred to [6] and [13].

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