

Von Neumann-Jordan constant and  
uniformly non-square Banach spaces

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**Abstract.** A sequence of characterizations of uniform non-squareness is given, some of which are similar to the well-known homogeneous characterization of uniformly convex spaces. As corollaries: (i) Banach spaces with von Neumann-Jordan constant less than 2 are characterized as those uniformly non-square; (ii) it is presented that uniform non-squareness is inherited by dual spaces.

1. Introduction and preliminaries

According to Clarkson [5] the *von Neumann-Jordan (NJ-) constant* of a Banach space  $X$ , we denote it by  $C_{NJ}(X)$ , is the smallest constant  $C$  for which

$$\frac{1}{C} \leq \frac{\|x + y\|^2 + \|x - y\|^2}{2(\|x\|^2 + \|y\|^2)} \leq C \quad (1)$$

holds for all  $x, y \in X$  with  $\|x\|^2 + \|y\|^2 \neq 0$ . (Note that the first and second inequalities of (1) are equivalent; put  $x + y = u$ ,  $x - y = v$ .) Classical results state that: (i)  $1 \leq C_{NJ}(X) \leq 2$  for any Banach space

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$X$ , and  $X$  is a Hilbert space if and only if  $C_{NJ}(X) = 1$  (Jordan and von Neumann [13]). (ii)  $C_{NJ}(L_p) = 2^{2/t-1}$ , where  $t = \min\{p, p'\}$ ,  $1/p + 1/p' = 1$  (Clarkson [5]). For the NJ-constant of some other Banach spaces we refer the reader to [16, 15, 19]. Recently the authors [18] showed that the uniform convexity of a Banach space  $X$  is nearly characterized by the condition  $C_{NJ}(X) < 2$ : More precisely, if  $X$  is uniformly convex, then  $C_{NJ}(X) < 2$ , while conversely if  $C_{NJ}(X) < 2$ ,  $X$  admits an equivalent uniformly convex norm. In other words,  $X$  is super-reflexive if and only if  $\tilde{C}_{NJ}(X) < 2$ , where  $\tilde{C}_{NJ}(X)$  denotes the infimum of all NJ-constants of equivalent norms of  $X$ .

In this paper we first present a sequence of characterizations of uniformly non-square spaces, some of which are similar to the well-known homogeneous characterization of uniformly convex spaces. It is in particular observed that uniform non-squareness is characterized by behavior of norms of the Littlewood matrix as operators between  $l_r^2(X)$ -spaces. As direct consequences; (i) those Banach spaces with NJ-constant less than 2 are precisely characterized as uniformly non-square spaces, which improves the authors' result stated above; (ii) it is obtained that uniform non-squareness is inherited by dual spaces, which seems not to have appeared in literature. The same for super-reflexivity (James [12]) is immediately derived as well.

Let us recall some definitions and previous results (cf. [1, 7]).

DEFINITIONS. Let  $B_X$  denote the closed unit ball of a Banach space  $X$ .  $X$  is called *uniformly convex* if for any  $\varepsilon$  ( $0 < \varepsilon < 2$ ) there exists a  $\delta > 0$  such that  $\|(x+y)/2\| < 1 - \delta$  whenever  $\|x-y\| \geq \varepsilon$ ,  $x, y \in B_X$ .  $X$  is said to be *uniformly non-square* ([11]) if there exists a  $\delta > 0$  such that  $\|(x+y)/2\| \leq 1 - \delta$  whenever  $\|(x-y)/2\| > 1 - \delta$ ,

$x, y \in B_X$ . A Banach space  $Y$  is said to be *finitely representable in  $X$*  provided for any  $\lambda > 1$  and for any finite-dimensional subspace  $F$  of  $Y$  there is an isomorphism  $T$  of  $F$  into  $X$  for which

$$\lambda^{-1} \|x\| \leq \|Tx\| \leq \lambda \|x\| \quad \text{for all } x \in F.$$

$X$  is said to be *super-reflexive* ([12; cf. 1, 7, 27]) if no non-reflexive Banach space is finitely representable in  $X$ .

It is well known that uniformly convex spaces are uniformly non-square, and uniformly non-square spaces are super-reflexive; the converse is not true in each assertion ([11, 12]; cf. [1, 7, 27], see also [18]). Super-reflexive spaces are just those uniformly convexifiable ([8]; cf. [24]); these spaces are also characterized by means of the NJ-constant as follows:

THEOREM A (Kato and Takahashi [18]). A Banach space  $X$  is super-reflexive if and only if  $\tilde{C}_{NJ}(X) < 2$ , where  $\tilde{C}_{NJ}(X)$  denotes the infimum of all NJ-constants of equivalent norms of  $X$ .

In the following let  $A = \begin{pmatrix} 1 & 1 \\ 1 & -1 \end{pmatrix}$ , and let  $l_r^2(X)$  denote the  $X$ -valued  $l_r^2$ -space.

## 2. Homogeneous characterizations of uniformly non-square spaces

We first recall the following characterization of uniformly convex spaces (see e. g., [22, 1]):

PROPOSITION A. Let  $1 < p < \infty$ . A Banach space  $X$  is uniformly convex if and only if for any  $\varepsilon > 0$  there exists  $\delta = \delta_p(\varepsilon) > 0$  such that  $\|x - y\| \geq \varepsilon$ ,  $x, y \in B_X$  implies

$$\left\| \frac{x+y}{2} \right\|^p \leq (1-\delta) \frac{\|x\|^p + \|y\|^p}{2}. \quad (2)$$

Now let us present some similar homogeneous characterizations for uniformly non-square spaces. We need the following lemma which is easily seen:

LEMMA 1. Let  $1 < p < \infty$ . Then the function  $\phi(t) = (1+t)^p / (1+t^p)$  ( $0 \leq t \leq 1$ ) is strictly increasing.

THEOREM 1. Let  $1 < p < \infty$ . For a Banach space  $X$  the following are equivalent:

(i)  $X$  is uniformly non-square.

(ii) There exist some  $\varepsilon$  and  $\delta$  ( $0 < \varepsilon, \delta < 1$ ) such that  $\|x-y\| \geq 2(1-\varepsilon)$ ,  $x, y \in B_X$  implies

$$\left\| \frac{x+y}{2} \right\|^p \leq (1-\delta) \frac{\|x\|^p + \|y\|^p}{2}. \quad (2)$$

(iii) There exists some  $\delta$  ( $0 < \delta < 1$ ) such that  $\|x-y\| \geq 2(1-\delta)$ ,  $x, y \in B_X$  implies the inequality (2).

(iv) There exists some  $\delta$  ( $0 < \delta < 2$ ) such that for any  $x, y$  in  $X$ ,

$$\left\| \frac{x+y}{2} \right\|^p + \left\| \frac{x-y}{2} \right\|^p \leq (2-\delta) \frac{\|x\|^p + \|y\|^p}{2}. \quad (3)$$

(v)  $\|A : l_p^2(X) \rightarrow l_p^2(X)\| < 2$ .

*Proof.* (i)  $\Rightarrow$  (ii): Note first that the assertion (ii) is equivalent to

(ii') There exist some  $\varepsilon$  and  $\delta$  ( $0 < \varepsilon, \delta < 1$ ) such that  $\|x-y\| \geq 2(1-\varepsilon)$ ,  $\|x\| = 1$ ,  $\|y\| \leq 1$  implies (2).

Now, assume (ii') fails to hold. Then for any positive integer  $n$  there exist  $x_n$  and  $y_n$  in  $X$  such that  $\|x_n - y_n\| \geq 2(1 - 1/n)$ ,  $\|x_n\| = 1$ ,  $\|y_n\| \leq 1$ , and

$$\left\| \frac{x_n + y_n}{2} \right\|^p > \left(1 - \frac{1}{n}\right) \frac{\|x_n\|^p + \|y_n\|^p}{2}.$$

Since

$$2\left(1 - \frac{1}{n}\right) \leq \|x_n - y_n\| \leq 1 + \|y_n\| \leq 2,$$

we have  $\|y_n\| \rightarrow 1$  and

$$\left\| \frac{x_n - y_n}{2} \right\| \rightarrow 1 \quad (4)$$

as  $n \rightarrow \infty$ . On the other hand, since

$$\left(1 - \frac{1}{n}\right) \frac{1 + \|y_n\|^p}{2} < \left\| \frac{x_n + y_n}{2} \right\|^p \leq 1,$$

we have

$$\left\| \frac{x_n + y_n}{2} \right\| \rightarrow 1 \quad \text{as } n \rightarrow \infty. \quad (5)$$

From (4) and (5) it follows that  $X$  is not uniformly non-square.

(ii)  $\Rightarrow$  (iii): This is a direct consequence of the fact that in the assertion (ii) we may replace  $\varepsilon$  and  $\delta$  with any  $\varepsilon' < \varepsilon$  and  $\delta' < \delta$ .

The assertion (iii)  $\Rightarrow$  (i) is clear.

(i)  $\Rightarrow$  (iv): Assume (i). Suppose that (iv) fails to hold. Then for any positive integer  $n$  there exist  $x_n$  and  $y_n$  in  $X$  such that

$$\left\| \frac{x_n + y_n}{2} \right\|^p + \left\| \frac{x_n - y_n}{2} \right\|^p > \left(2 - \frac{1}{n}\right) \frac{\|x_n\|^p + \|y_n\|^p}{2}. \quad (6)$$

Here we may assume  $\|y_n\| \leq \|x_n\| = 1$  for all  $n$  without loss of general-

ity. Further we may assume that  $\{\|y_n\|\}$  converges to some  $\alpha$  ( $0 \leq \alpha \leq 1$ ); if necessary, take a suitable subsequence of  $\{\|y_n\|\}$ . By (6) we have

$$\begin{aligned} \left(2 - \frac{1}{n}\right) \frac{1 + \|y_n\|^p}{2} &< \left\| \frac{x_n + y_n}{2} \right\|^p + \left\| \frac{x_n - y_n}{2} \right\|^p \\ &\leq 2 \left( \frac{\|x_n\| + \|y_n\|}{2} \right)^p \\ &\leq 2 \left( \frac{1 + \|y_n\|^p}{2} \right). \end{aligned} \quad (7)$$

Letting  $n \rightarrow \infty$  in (7), we have  $(1 + \alpha)^p / (1 + \alpha^p) = 2^{p-1}$ , which implies  $\alpha = 1$  by Lemma 2. Hence by (7) again we have

$$\left\| \frac{x_n + y_n}{2} \right\|^p + \left\| \frac{x_n - y_n}{2} \right\|^p \rightarrow 2 \quad \text{as } n \rightarrow \infty. \quad (8)$$

Therefore,  $\|(x_n + y_n)/2\| \rightarrow 1$ ,  $\|(x_n - y_n)/2\| \rightarrow 1$  as  $n \rightarrow \infty$  (note that each term in (8) is not greater than one). This contradicts (i).

(iv)  $\Rightarrow$  (i): Assume that there exists a  $\delta$  ( $0 < \delta < 2$ ) for which (4) holds for all  $x, y$  in  $X$ . Then if  $\|x\| \leq 1$ ,  $\|y\| \leq 1$ , we have

$$\left\| \frac{x + y}{2} \right\|^p + \left\| \frac{x - y}{2} \right\|^p \leq 2 - \delta.$$

Hence  $\min\{\|(x + y)/2\|, \|(x - y)/2\|\} \leq (1 - \delta/2)^{1/p} = 1 - \delta_0$ , where  $\delta_0 = 1 - (1 - \delta/2)^{1/p}$ , that is,  $X$  is uniformly non-square.

(iv)  $\Leftrightarrow$  (v): Note merely that the inequality (3) is rewritten as

$$\|A : l_p^2(X) \rightarrow l_p^2(X)\| \leq 2(1 - \delta/2)^{1/p}.$$

This completes the proof.

*Remarks.* (i) The characterization of uniform convexity stated in Proposition A fails to hold for the case  $p = 1$  ((2) is false in this case; put  $y = 0$ ), while the corresponding characterizations of uniform non-squareness (ii) and (iii) in Theorem 1 hold for  $p = 1$ . Indeed the above proofs of the equivalence of (i)–(iii) remain valid for  $p = 1$ ; the assertions (iv) and (v) are false in this case (the inequality (3) fails to hold with  $y = 0$  ( $x \neq 0$ )).

(ii) For any Banach space  $X$  and for any  $1 \leq p \leq \infty$  it holds that

$$\|A : l_p^2(X) \rightarrow l_p^2(X)\| \leq 2$$

(see (15) in Remarks after Theorem 2). For  $X = L_p$  we have

$$\|A : l_p^2(L_p) \rightarrow l_p^2(L_p)\| = 2^{1/\min(p, p')},$$

which is equivalent to the following Clarkson's inequality:

$$(\|f+g\|_p^p + \|f-g\|_p^p)^{1/p} \leq 2^{1/\min(p, p')} (\|f\|_p^p + \|g\|_p^p)^{1/p} \quad (\forall f, g \in L_p)$$

(Clarkson [4]; cf. [14]).

(iii) A result of Smith and Turett [26, Lemma 14] concerning uniformly non- $l_1(n)$  spaces implies the equivalence of (i) and (iv) of Theorem 1 in the case  $n = 2$  (our proof is different from theirs).

By Theorem 1 (use (iv)) we have

**COROLLARY 1.** Let  $1 < p < \infty$ . Then the Lebesgue-Bochner space  $L_p(X)$  is uniformly non-square if and only if  $X$  is (Smith and Turett [26]; cf. [25, 9]).

### 3. Von Neumann-Jordan constant and uniform non-squareness

We now characterize Banach spaces with NJ-constant less than 2.

LEMMA 2. (i)  $C_{NJ}(X) = 2^{2/t-1}$ ,  $1 \leq t \leq 2$ , if and only if

$$\|A : l_2^2(X) \rightarrow l_2^2(X)\| = 2^{1/t}. \quad (9)$$

(ii)  $C_{NJ}(X') = C_{NJ}(X)$  ( $X'$  is the dual space of  $X$ ).

*Proof.* (i) is easy to see (recall the note after the definition of the NJ-constant).

(ii) Since  $A$  is symmetric,

$$\|A : l_2^2(X') \rightarrow l_2^2(X')\| = \|A : l_2^2(X) \rightarrow l_2^2(X)\|,$$

from which the conclusion follows by (i).

THEOREM 2. For a Banach space  $X$  the following are equivalent:

(i)  $C_{NJ}(X) < 2$ .

(ii)  $X$  is uniformly non-square.

(iii) For any (resp. some)  $r$  and  $s$  with  $1 < r \leq \infty$ ,  $1 \leq s < \infty$

$$\|A : l_r^2(X) \rightarrow l_s^2(X)\| < 2^{1/r' + 1/s}, \quad (10)$$

where  $1/r + 1/r' = 1$ .

*Proof.* (i)  $\Leftrightarrow$  (ii): By Lemma 2 the assertion  $C_{NJ}(X) < 2$  is equivalent to

$$\|A : l_2^2(X) \rightarrow l_2^2(X)\| < 2, \quad (11)$$

which is valid if and only if  $X$  is uniformly non-square by Theorem 1.



(ii)  $\Rightarrow$  (iii): Let  $X$  be uniformly non-square. We first see that for any  $p$  with  $1 < p < 2$

$$\|A : l_p^2(X) \rightarrow l_{p'}^2(X)\| < 2^{2/p'}, \quad (12)$$

where  $1/p + 1/p' = 1$ . By (11) we can put

$$\|A : l_2^2(X) \rightarrow l_2^2(X)\| = 2^{1/t} \quad (9)$$

with some  $t$ ,  $1 < t \leq 2$ . On the other hand, we obviously have

$$\|A : l_1^2(X) \rightarrow l_\infty^2(X)\| = 1. \quad (13)$$

Put  $\theta = 2/p'$  ( $0 < \theta < 1$ ). Then, since  $(1 - \theta)/1 + \theta/2 = 1/p$ ,  $(1 - \theta)/\infty + \theta/2 = 1/p'$ , we have

$$\|A : l_p^2(X) \rightarrow l_{p'}^2(X)\| \leq 1^{1-\theta} 2^{\theta/t} = 2^{2/p' t} < 2^{2/p'}$$

by interpolation (cf. [2; Theorems 5.1.2, 4.2.1 and 4.1.2]) with (13) and (9). Now, let  $1 < r \leq \infty$ ,  $1 \leq s < \infty$ . Take  $p$  as  $1 < p < r$  and  $s < p' < \infty$ . Then by (12) we have

$$\begin{aligned} & \|A : l_r^2(X) \rightarrow l_s^2(X)\| \\ & \leq \|I : l_r^2(X) \rightarrow l_p^2(X)\| \|A : l_p^2(X) \rightarrow l_{p'}^2(X)\| \|I : l_{p'}^2(X) \rightarrow l_s^2(X)\| \\ & < 2^{1/p-1/r} 2^{2/p'} 2^{1/s-1/p'} \\ & = 2^{1/r'+1/s}, \end{aligned} \quad (14)$$

where  $I$ 's are identity operators.

(iii)  $\Rightarrow$  (ii): Assume the inequality (10) to be valid for some  $r$  and  $s$  with  $1 < r \leq \infty$ ,  $1 \leq s < \infty$ . Then there exists a  $\delta$  ( $0 < \delta < 1$ ) such that for any  $x$  and  $y$  in  $X$

$$\left( \frac{\|x+y\|^s + \|x-y\|^s}{2} \right)^{1/s} \leq 2(1-\delta) \left( \frac{\|x\|^r + \|y\|^r}{2} \right)^{1/r}$$

(usual modification is required for the right term if  $r = \infty$ ). Let here  $\|x\| \leq 1$ ,  $\|y\| \leq 1$ . Then we have  $\min\{\|x+y\|, \|x-y\|\} \leq 2(1-\delta)$ , as is desired. This completes the proof.

*Remarks.* (i) For any Banach space  $X$

$$\|A : l_r^2(X) \rightarrow l_s^2(X)\| \leq 2^{1/r'+1/s} \quad \text{for all } 1 \leq r, s \leq \infty \quad (15)$$

and

$$\|A : l_r^2(X) \rightarrow l_s^2(X)\| = 2^{1/r'+1/s} \quad \text{for } r = 1 \text{ or } s = \infty. \quad (16)$$

Indeed to see (15), merely put  $p = 1$  in the first inequality of (14) and use (13); if  $r = 1$  resp.  $s = \infty$ , in the inequality

$$(\|x+y\|^s + \|x-y\|^s)^{1/s} \leq 2^{1/r'+1/s} (\|x\|^r + \|y\|^r)^{1/r},$$

equality attains with  $(x, 0)$  resp.  $(x, x)$  ( $x \neq 0$ ), which implies (16).

For  $X = L_p$  ( $1 \leq p \leq \infty$ ) we have

$$\|A : l_r^2(L_p) \rightarrow l_s^2(L_p)\| = 2^{c(r,s;p)} \quad \text{for all } 1 \leq r, s \leq \infty, \quad (17)$$

where  $c(r,s;p) = \max\{1/r', 1/s, 1/r'+1/s-1/\max(p, p')\}$ , which yields the following Clarkson-Boas-Koskela inequality:

$$\begin{aligned} (\|f+g\|_p^s + \|f-g\|_p^s)^{1/s} &\leq 2^{c(r,s;p)} (\|f\|_p^r + \|g\|_p^r)^{1/r} \\ &\text{for } \forall f, g \in L_p \quad (18) \end{aligned}$$

(Boas [3], Koskela [21], Kato [14]; see also [16, 23]).

(ii) As Boas [3] (cf. [4]) observed, the inequality (18), or (17), with  $c(r,s;p) = 1/r'$  (for the case  $s' \leq r < \infty$ ,  $\max(p, p') \leq s < \infty$ )

implies the uniform convexity of  $L_p$ . The same is clearly true for a general Banach space  $X$ , that is, if

$$\|A : l_r^2(X) \rightarrow l_s^2(X)\| \leq 2^{1/r'} \quad (19)$$

for some  $1 \leq r, s < \infty$ , then  $X$  is uniformly convex. (Note that if (19) is valid, then (19) is in fact reduced to identity;  $(x, x)$ ,  $x \neq 0$ , is norm-attaining.) This fails to be valid if the above norm of  $A$  is greater than  $2^{1/r'}$  (see Example below). By a recent result of the authors [17, Theorem 2.4], if  $2 \leq s < \infty$ ,  $s' \leq r \leq s$ , (19) implies that  $X$  is of cotype  $s$  and 'cotype  $s$  constant' is 1, and vice versa; a similar result for type is also given in [ibid., Theorem 2.2].

(iii) The equivalence of (i) and (ii) in Theorem 2 is very recently proved in a generalized form by the authors and Hashimoto [20] by using a result of Smith and Turett [26; Lemma 14].

The following example explains difference between uniform convexity and uniform non-squareness via behavior of norms of the Littlewood matrix:

*Example* Let  $1 < p \leq 2$  and  $1 < \lambda < 2^{1/p'}$ . Let  $X_{p, \lambda}$  be the space  $l_p$  equipped with the norm  $\|x\|_{p, \lambda} := \max\{\|x\|_p, \lambda \|x\|_\infty\}$ , where  $1/p + 1/p' = 1$ . Then, in the same way as the proof of Proposition 1 in [18] we have for  $p \leq r < \infty$

$$2^{1/r'} < \|A : l_r^2(X_{p, \lambda}) \rightarrow l_{p'}^2(X_{p, \lambda})\| = \lambda 2^{1/r'} < 2^{1/r' + 1/p'}. \quad (20)$$

By Proposition 1 of [18],  $X_{p, \lambda}$  is not uniformly convex (nor strictly convex) for all  $1 < \lambda < 2^{1/p'}$ , whereas Theorem 2 asserts that  $X_{p, \lambda}$  is uniformly non-square (compare (20) with (19)).

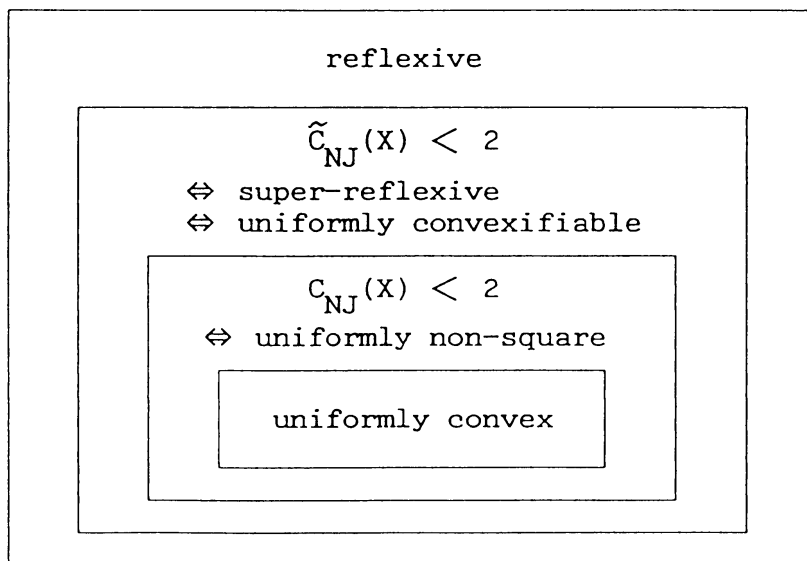
Now, Theorems 2 and A, combined with Lemma 2, immediately yields that uniform non-squareness and super-reflexivity are inherited by dual spaces (recall that uniform convexity is not so; cf. [1]):

COROLLARY 2. (i) The dual space  $X'$  is uniformly non-square if and only if  $X$  is.

(ii) The dual space  $X'$  is super-reflexive if and only if  $X$  is (James [12, Theorem 2]).

*Remark.* The above result (i) of Corollary 2 seems not to have appeared in literature. Giesy [9] showed that the bidual  $X''$  is uniformly non- $l_1(n)$  if and only if  $X$  is; and the dual space  $X'$  is B-convex (uniformly non- $l_1(n)$  for some  $n$ ) if and only if  $X$  is (see also [6; Corollary 13.7]). It is known that for some Orlicz spaces uniform non-squareness coincides with reflexivity and also with B-convexity ([10]).

Our results about relation between NJ-constant and some geometrical properties of Banach spaces are illustrated as follows:



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