

GATEAUX DERIVATIVE OF THE NORM IN $\mathcal{K}(X; Y)$

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ABSTRACT. In this article, we consider the φ -Gateaux derivative of the norm in spaces of compact operators in such a way as to extend the Kečkić theorem. Our main result determines the φ -Gateaux derivative of the $\mathcal{K}(X; Y)$ norm.

1. INTRODUCTION AND PRELIMINARIES

Let $(X, \|\cdot\|)$ be a normed space, and let $x, y \in X$. The *directional derivative of the norm at x in the y -direction* is defined by

$$D(x, y) := \lim_{t \rightarrow 0^+} \frac{\|x + ty\| - \|x\|}{t}, \quad x, y \in X.$$

Convexity of the norm yields that the above definition is meaningful. The norm derivative is important in approximation theory and in the geometry of Banach spaces. In [6], the concept of φ -Gateaux derivatives was developed in order to substitute the usual concept of Gateaux derivatives at points which are not smooth. Let $\varphi \in [0, 2\pi)$, or let $\varphi \in \{0, -\pi\}$, if the space X is over \mathbb{R} . The *φ -Gateaux derivative of the norm at x in the φ, y -direction* is defined by

$$D_\varphi(x, y) := \lim_{t \rightarrow 0^+} \frac{\|x + te^{i\varphi}y\| - \|x\|}{t}, \quad x, y \in X.$$

It is a straightforward verification to show that

$$D_\varphi(x, y) = D(x, e^{i\varphi}y), \quad x, y \in X. \quad (1.1)$$

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Given a normed space X and a Banach space Y , both over the same field \mathbb{K} ($\mathbb{K} = \mathbb{R}$ or $\mathbb{K} = \mathbb{C}$), we write $\mathcal{K}(X; Y)$ for the space of all compact operators from X into Y . For $A \in \mathcal{K}(X; Y)$, put $\mathcal{M}(A) := \{y \in S_X : \|Ay\| = \|A\|\}$. It is known that in this case $\mathcal{M}(A^*) \neq \emptyset$. But if X is reflexive, then $\mathcal{M}(A) \neq \emptyset$. Kečkić [6] proved the following theorem.

Theorem 1.1 ([6, Theorem 2.6]). *Let H be a complex Hilbert space, $A, B \in \mathcal{K}(H)$. Then*

$$D_\varphi(A, B) = \max\{D_\varphi(Ay, By) : y \in \mathcal{M}(A)\}.$$

Similar investigations have been carried out by Kečkić in $\mathcal{B}(H)$ (see [7]). In the present article, we will generalize Theorem 1.1 (see Theorems 2.2 and 2.3). The method of proof presented here is different from that of [6] and [7]. Furthermore, our proofs include both real and complex cases. The unit sphere of X is denoted by S_X . Fix $x \in X \setminus \{0\}$. We consider the set $J(x)$ defined as follows:

$$J(x) := \{x^* \in X^* : \|x^*\| = 1, x^*(x) = \|x\|\}. \tag{1.2}$$

It is easy to check that the set $J(x)$ is convex and closed and that $J(x) \subset S_{X^*}$. By the Hahn–Banach theorem, we get $J(x) \neq \emptyset$ for all $x \in X \setminus \{0\}$.

The next result is from the geometry of the normed spaces. While it may be known to some, we present it here for the reader’s convenience.

Theorem 1.2. *Let X be a normed space. Then one has the representation*

$$D(x, y) = \sup\{\operatorname{Re} x^*(y) : x^* \in J(x)\} \quad \text{for all } x, y \in X. \tag{1.3}$$

So, in particular,

$$\forall_{x^* \in J(x)} \operatorname{Re} x^*(y) \leq D(x, y). \tag{1.4}$$

Let X be a normed space over \mathbb{K} . If the norm is generated by an inner product $\langle \cdot | \cdot \rangle$, we consider the standard orthogonality relation: $x \perp y :\Leftrightarrow \langle x | y \rangle = 0$. In the general case, there are several notions of orthogonality, with one of the most outstanding ones being the definition introduced by Birkhoff [3, p. 170] (see also James [5, p. 265]):

$$x \perp_B y :\Leftrightarrow \forall_{\lambda \in \mathbb{K}} \|x\| \leq \|x + \lambda y\|.$$

A well-known theorem of Singer [10] will be useful in the next section.

Theorem 1.3 ([10, p. 170]). *Let X be a normed linear space, let F be an n -dimensional subspace of X , and let $x \in X \setminus F$. The following statements are equivalent.*

- (a) *First, $x \perp_B F$.*
- (b) *Second, there exist h extremal points $\varphi_1, \dots, \varphi_h$ of S_{X^*} , where $1 \leq h \leq n + 1$ if the scalars are real and $1 \leq h \leq 2n + 1$ if the scalars are complex and h numbers $\lambda_1, \dots, \lambda_h > 0$ with $\sum_{j=1}^h \lambda_j = 1$, such that*

$$\forall_{y \in F} \sum_{j=1}^h \lambda_j \varphi_j(y) = 0 \quad \text{and} \quad \forall_{j=1, \dots, h} \varphi_j(x) = \|x\|.$$

A useful tool in our approach in the next section is a theorem of Collins and Ruess [4] (see also [9]) which characterizes the extremal points of the unit sphere in $\mathcal{K}(X; Y)^*$ in terms of extremal points of the unit spheres in X^{**} and Y^* . By $\text{Ext}(W)$ we denote the set of all extremal points of a given set W . By the Krein–Milman theorem, the closed unit ball B_{X^*} has many extreme points. In particular, $\text{Ext}(S_{X^*}) \neq \emptyset$, $\text{Ext}(S_{X^{**}}) \neq \emptyset$.

Theorem 1.4 ([4, Theorem 2.2], [9, Theorem 1]). *If X and Y are Banach spaces, then*

$$\text{Ext}(S_{\mathcal{K}(X; Y)^*}) = \{x^{**} \otimes y^* \in \mathcal{K}(X; Y)^* : x^{**} \in \text{Ext}(S_{X^{**}}), y^* \in \text{Ext}(S_{Y^*})\},$$

where $x^{**} \otimes y^* : \mathcal{K}(X; Y) \rightarrow \mathbb{K}$, $(x^{**} \otimes y^*)(T) := x^{**}(T^*y^*)$ for every $T \in \mathcal{K}(X; Y)$.

2. MAIN RESULTS

It will be assumed that all Banach spaces are over \mathbb{K} . We will extend Theorem 1.1 in this section. But first we need to prove the following lemma.

Lemma 2.1. *Suppose that $A, B \in \mathcal{K}(X; Y)$. Then*

$$A \perp_B B \Rightarrow \exists_{h \in \{2, 3\}} \exists_{\lambda_1, \dots, \lambda_h \in [0, 1]} \exists_{y_1^*, \dots, y_h^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})} \exists_{x_k^{**} \in J(A^*y_k^*) \cap \text{Ext}(S_{X^{**}})} :$$

$$\sum_{k=1}^h \lambda_k x_k^{**}(B^*y_k^*) = 0 \quad \text{and} \quad \sum_{k=1}^h \lambda_k = 1.$$

Proof. Suppose that $A \perp_B B$. Then $A^* \perp_B B^*$. Clearly, $\dim(\text{span}\{B^*\}) = 1$. Applying Theorem 1.3, we obtain

$$\sum_{k=1}^h \lambda_k \varphi_k(B^*) = 0 \quad \text{and} \quad \varphi_k(A^*) = \|A^*\| \quad \text{and} \quad \sum_{k=1}^h \lambda_k = 1 \quad (2.1)$$

for some $h \in \{2, 3\}$, $\lambda_1, \dots, \lambda_h \in [0, 1]$ and for some $\varphi_1, \dots, \varphi_h \in \text{Ext}(S_{\mathcal{K}(X; Y)^*})$.

By Theorem 1.4, we have $\varphi_k = x_k^{**} \otimes y_k^*$ for some $x_k^{**} \in \text{Ext}(S_{X^{**}})$, $y_k^* \in \text{Ext}(S_{Y^*})$. Now the condition (2.1) becomes

$$\sum_{k=1}^h \lambda_k x_k^{**}(B^*y_k^*) = 0 \quad \text{and} \quad x_k^{**}(A^*y_k^*) = \|A^*\| \quad \text{and} \quad \sum_{k=1}^h \lambda_k = 1.$$

Since $x_k^{**}(A^*y_k^*) = \|A^*\|$ and $\|x_k^{**}\| = 1$, we also have $\|A^*y_k^*\| = \|A^*\|$. Thus we obtain $y_k^* \in \mathcal{M}(A^*)$ and $x_k^{**} \in J(A^*y_k^*)$, which completes the proof. \square

Now, we are ready to present a generalization of Theorem 1.1. We prove the main result of this paper.

Theorem 2.2. *Suppose that $A, B \in \mathcal{K}(X; Y)$ and that $A \neq 0$. Then*

$$D_\varphi(A, B) = \sup\{D_\varphi(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\}. \quad (2.2)$$

Proof. First, we show that

$$D(A, B) = \sup\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\}. \quad (2.3)$$

It is easy to check that $D(A, B) = D(A^*, B^*)$. Indeed,

$$D(A, B) = \lim_{t \rightarrow 0^+} \frac{\|A + tB\| - \|A\|}{t} = \lim_{t \rightarrow 0^+} \frac{\|A^* + tB^*\| - \|A^*\|}{t} = D(A^*, B^*).$$

Therefore, we may compute $D(A^*, B^*)$ instead of $D(A, B)$. Fix $t \in (0, +\infty)$. Fix $y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})$ to obtain

$$\begin{aligned} \frac{\|A^*y^* + tB^*y^*\| - \|A^*y^*\|}{t} &= \frac{\|A^*y^* + tB^*y^*\| - \|A^*\|}{t} \\ &\leq \frac{\|A^* + tB^*\| - \|A^*\|}{t}. \end{aligned} \quad (2.4)$$

Since t was arbitrarily chosen from the interval $(0, +\infty)$, letting $t \rightarrow 0^+$ in (2.4) we obtain

$$D(A^*y^*, B^*y^*) \leq D(A^*, B^*).$$

Since y^* was arbitrarily chosen from the set $\mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})$, we get

$$\sup\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\} \leq D(A^*, B^*).$$

Now we prove the converse inequality. It follows from the above inequality that

$$\begin{aligned} D(A^*, B^*) &\geq \sup\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\} \\ &\stackrel{(1.4)}{\geq} \sup\{\sup\{\text{Re } x^{**}(B^*y^*) : x^{**} \in J(A^*y^*)\} : \\ &\quad y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\} \\ &=: \beta. \end{aligned} \quad (2.5)$$

So it suffices to show that $D(A^*, B^*) \leq \beta$. It follows from (2.5) that

$$\forall y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*}) \forall x^{**} \in J(A^*y^*) \quad \text{Re } x^{**}(B^*y^*) \leq \beta. \quad (2.6)$$

Fix $f \in J(A^*)$. Then by (1.2), $f \in \mathcal{K}(Y^*; X^*)^*$, $\|f\| = 1$, and $f(A^*) = \|A^*\|$. Note in particular that $f: \mathcal{K}(Y^*; X^*) \rightarrow \mathbb{K}$. Let us define $\alpha := -\frac{f(B^*)}{f(A^*)} = -\frac{f(B^*)}{\|A^*\|}$. Then

$$f(\alpha A^* + B^*) = 0,$$

whence, for all λ in \mathbb{K} ,

$$\begin{aligned} \|A^*\| &= f(A^*) = f(A^*) + \lambda 0 = f(A^*) + \lambda f(\alpha A^* + B^*) \\ &= f(A^* + \lambda(\alpha A^* + B^*)) \leq \|A^* + \lambda(\alpha A^* + B^*)\|. \end{aligned}$$

That means that $A^* \perp_B \alpha A^* + B^*$, which implies also that $A \perp_B \alpha A + B$. Using Lemma 2.1, we obtain

$$\sum_{k=1}^h \lambda_k x_k^{**}(\alpha A^*(y_k^*) + B^*(y_k^*)) = 0, \quad \sum_{k=1}^h \lambda_k = 1 \quad (2.7)$$

for some $h \in \{2, 3\}$, $y_k^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})$, $x_k^{**} \in J(A^*y_k^*) \cap \text{Ext}(S_{X^{**}})$, and for some $\lambda_1, \dots, \lambda_h \in [0, 1]$. It follows from (2.7) that

$$\begin{aligned} 0 &= \sum_{k=1}^h \lambda_k x_k^{**} (\alpha A^*(y_k^*) + B^*(y_k^*)) \\ &= \alpha \sum_{k=1}^h \lambda_k x_k^{**} (A^*(y_k^*)) + \sum_{k=1}^h \lambda_k x_k^{**} (B^*(y_k^*)) \\ &= -\frac{f(B^*)}{\|A^*\|} \sum_{k=1}^h \lambda_k \|A^*\| + \sum_{k=1}^h \lambda_k x_k^{**} (B^*(y_k^*)) \\ &= -\frac{f(B^*)}{\|A^*\|} \|A^*\| \sum_{k=1}^h \lambda_k + \sum_{k=1}^h \lambda_k x_k^{**} (B^*(y_k^*)) \\ &= -f(B^*) + \sum_{k=1}^h \lambda_k x_k^{**} (B^*(y_k^*)). \end{aligned}$$

That means that $f(B^*) = \sum_{k=1}^h \lambda_k x_k^{**} (B^*(y_k^*))$, which also implies that

$$\begin{aligned} \text{Re } f(B^*) &= \sum_{k=1}^h \lambda_k \text{Re } x_k^{**} (B^*(y_k^*)) \\ &\stackrel{(2.6)}{\leq} \sum_{k=1}^h \lambda_k \beta = \beta. \end{aligned}$$

Since f was arbitrarily chosen from the set $J(A^*)$, we get

$$\sup\{\text{Re } f(B^*) : f \in J(A^*)\} \leq \beta. \quad (2.8)$$

Combining (1.3) and (2.8), we immediately get $D(A^*, B^*) \leq \beta$. The proof of the equality (2.3) is complete. Next we show (2.2). Finally, we deduce from (1.1) that

$$\begin{aligned} D_\varphi(A, B) &= D(A, e^{i\varphi} B) \\ &\stackrel{(2.3)}{=} \sup\{D(Ay^*, e^{i\varphi} By^*) : y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\} \\ &= \sup\{D_\varphi(Ay^*, By^*) : y^* \in \mathcal{M}(A^*) \cap \text{Ext}(S_{Y^*})\}. \end{aligned}$$

The proof of Theorem 2.2 is complete. \square

Theorem 2.2 can be strengthened as follows.

Theorem 2.3. *Let Y be a reflexive Banach space. Suppose that $A, B \in \mathcal{K}(X; Y)$ and $A \neq 0$. Then*

$$D_\varphi(A, B) = \max\{D_\varphi(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*)\}.$$

Proof. Bearing in mind the above proof and (1.1), we may prove only that

$$D(A, B) = \max\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*)\}.$$

In a way similar to the proof of Theorem 2.2, we obtain an inequality

$$\sup\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*)\} \leq D(A, B). \tag{2.9}$$

By Theorems 1.2 and 2.2, let us choose sequences $(y_n^*)_{n \in \mathbb{N}} \subset \mathcal{M}(A^*)$, $x_n^{**} \in J(A^*y_n^*)$ such that

$$\operatorname{Re} x_n^{**}(B^*y_n^*) \longrightarrow D(A, B). \tag{2.10}$$

The closed unit ball $B_{X^{**}}$ is weak*-compact. By reflexivity of Y^* , the closed unit ball B_{Y^*} is weak-compact. Therefore, without loss of generality, we may assume that there are an element y_o^* in B_{Y^*} , a functional $x_o^{**} \in B_{X^{**}}$, and subsequences $(y_{n_k}^*)_{k \in \mathbb{N}} \subset B_{Y^*}$, $(x_{n_k}^{**})_{k \in \mathbb{N}} \subset B_{X^{**}}$ such that

$$y_{n_k}^* \xrightarrow{w} y_o^*, \quad x_{n_k}^{**} \xrightarrow{w^*} x_o^{**}.$$

Since A^* , B^* are compact operators, then A^* , B^* are completely continuous. That means that $A^*y_{n_k}^* \longrightarrow A^*y_o^*$ and $B^*y_{n_k}^* \longrightarrow B^*y_o^*$. Now the condition (2.10) becomes

$$\operatorname{Re} x_o^{**}(B^*y_o^*) = D(A, B). \tag{2.11}$$

Then by a straightforward computation, we can prove that $x_o^{**} \in J(A^*y_o^*)$, $y_o^* \in \mathcal{M}(A^*)$. Finally, we prove that the supremum in (2.9) is attained. Indeed, we have

$$\begin{aligned} D(A, B) &\stackrel{(2.11)}{=} \operatorname{Re} x_o^{**}(B^*y_o^*) \stackrel{(1.4)}{\leq} D(A^*y_o^*, B^*y_o^*) \\ &\leq \sup\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*)\} \stackrel{(2.9)}{\leq} D(A, B). \end{aligned}$$

Therefore $D(A, B) = D(A^*y_o^*, B^*y_o^*) = \sup\{D(A^*y^*, B^*y^*) : y^* \in \mathcal{M}(A^*)\}$, so we can write max instead of sup. The proof of Theorem 2.3 is complete. \square

If X and Y are Banach spaces and $A \in \mathcal{K}(X; Y)$, then: $A^{**}|_X = A$. If X is reflexive, then X^{**} is identified with X . Moreover, $A^{**}|_X$ is identified with A . In this case, $\mathcal{M}(A) \neq \emptyset$ for each A in $\mathcal{K}(X; Y)$. Clearly, $D_\varphi(A^*, B^*) = D_\varphi(A, B)$. Combining these facts with our Theorems 2.2 and 2.3, we obtain the following corollary.

Theorem 2.4. *Let X be a reflexive Banach space, and let $A, B \in \mathcal{K}(X; Y)$. Then*

$$\begin{aligned} D_\varphi(A, B) &= \sup\{D_\varphi(Ay, By) : y \in \mathcal{M}(A) \cap \operatorname{Ext}(S_X)\} \\ &= \max\{D_\varphi(Ay, By) : y \in \mathcal{M}(A)\}. \end{aligned}$$

3. REMARKS

Let X be a complex normed space. The mappings D , D_φ are continuous with respect to the second variable. Fix $x, y \in X$, and note that, due to (1.1), a mapping $[0, 2\pi) \ni \varphi \rightarrow D_\varphi(x, y) \in \mathbb{R}$ is also continuous.

The functions D , D_φ characterize the Birkhoff orthogonality in the following sense. If $x, y \in X$, then it is well known that

$$x \perp_B y \iff \inf\{D_\varphi(x, y) : \varphi \in [0, 2\pi)\} \geq 0.$$

As a consequence, we give a characterization of orthogonality in the sense of Birkhoff in the space $\mathcal{K}(X; Y)$.

Theorem 3.1. *Let X, Y be reflexive Banach spaces over \mathbb{C} . Suppose that $A, B \in \mathcal{K}(X; Y)$ and $A \neq 0$. Then the following conditions are equivalent:*

- (a) $A \perp_B B$,
- (b) $\inf\{\sup\{D_\varphi(Ay, By) : y \in \mathcal{M}(A) \cap \text{Ext}(S_X)\} : \varphi \in [0, 2\pi)\} \geq 0$,
- (c) $\inf\{\max\{D_\varphi(Ay, By) : y \in \mathcal{M}(A)\} : \varphi \in [0, 2\pi)\} \geq 0$,
- (d) $\min\{\max\{D_\varphi(Ay, By) : y \in \mathcal{M}(A)\} : \varphi \in [0, 2\pi)\} \geq 0$.

Proof. The equivalence between (a), (b), and (c) follows from Theorem 2.4. Obviously (d) \Rightarrow (c). We prove the implication (c) \Rightarrow (d). Note that a mapping $[0, 2\pi) \ni \varphi \rightarrow D_\varphi(A, B) \in \mathbb{R}$ is continuous. It is easy to see that a set $\mathbb{T} := \{e^{i\varphi} \in \mathbb{C} : \varphi \in [0, 2\pi)\}$ is compact. Then we define a mapping $\gamma : \mathbb{T} \rightarrow \mathbb{R}$ by

$$\gamma(e^{i\varphi}) := D(A, e^{i\varphi}B) = D_\varphi(A, B) = \max\{D_\varphi(Ay, By) : y \in \mathcal{M}(A)\}.$$

The mapping γ is continuous, so γ attains its minimum. Therefore, we can write min instead of inf. \square

Remark 3.2. If $X = Y$ is a Hilbert space, it is possible to expand Theorem 3.1. Namely, $A \perp_B B$ if and only if there is $x \in X$ such that $\|x\| = 1$, $\|Ax\| = \|A\|$, and $Ax \perp_B Bx$. It is known as the *Bhatia–Šemrl property* (see, e.g., [2], [6], [7]). However, in the absence of an inner product, this is impossible (see [1], [8]).

In fact, condition (d) in Theorem 3.1 is equivalent to the Bhatia–Šemrl property in Hilbert spaces, but not in Banach spaces! This makes this theorem interesting even in the framework of finite-dimensional normed spaces, since condition (d) in Theorem 3.1 is, probably, the closest condition to the Bhatia–Šemrl property that can be obtained.

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