

## CONVEXITY AND SMOOTHNESS OF BANACH SPACES WITH NUMERICAL INDEX ONE

VLADIMIR KADETS, MIGUEL MARTÍN, JAVIER MERÍ, AND RAFAEL PAYÁ

ABSTRACT. We show that a Banach space with numerical index one cannot enjoy good convexity or smoothness properties unless it is one-dimensional. For instance, it has no WLUR points in its unit ball, its norm is not Fréchet smooth and its dual norm is neither smooth nor strictly convex. Actually, these results also hold if the space has the (strictly weaker) alternative Daugavet property. We construct a (noncomplete) strictly convex predual of an infinite-dimensional  $L_1$  space (which satisfies a property called lushness which implies numerical index 1). On the other hand, we show that a lush real Banach space is neither strictly convex nor smooth, unless it is one-dimensional. Therefore, a rich subspace of the real space  $C[0, 1]$  is neither strictly convex nor smooth. In particular, if a subspace  $X$  of the real space  $C[0, 1]$  is smooth or strictly convex, then  $C[0, 1]/X$  contains a copy of  $C[0, 1]$ . Finally, we prove that the dual of any lush infinite-dimensional real space contains a copy of  $\ell_1$ .

### 1. Introduction

The classical formula  $\|T\| = \sup\{|\langle Tx, x \rangle| : x \in X, \|x\| = 1\}$  for the norm of a self-adjoint operator  $T$  on a Hilbert space  $X$  can be rewritten, thanks to the well-known representation of the dual  $X^*$  as

$$(1) \quad \|T\| = \sup\{|x^*(Tx)| : x \in X, x^* \in X^*, x^*(x) = \|x^*\| = \|x\| = 1\}.$$

---

Received July 8, 2008; received in final form November 3, 2008.

The first author was supported by Junta de Andalucía grant P06-FQM-01438. The second and the fourth authors were partially supported by the Spanish MEC project no. MTM2006-04837 and Junta de Andalucía Grants FQM-185 and P06-FQM-01438. The third author was partially supported by a Juan de la Cierva grant, by the Spanish MEC project no. MTM2006-04837 and Junta de Andalucía Grants FQM-185 and P06-FQM-01438.

2000 *Mathematics Subject Classification*. 46B04, 46B20, 47A12.

For a non-self-adjoint operator this formula may fail. Nevertheless, there are some Banach spaces  $X$  in which equality (1) is valid for *every* bounded linear operator  $T$  on  $X$ . As we will explain below, such spaces are said to have numerical index 1. Among these spaces, are all classical  $C(K)$  and  $L_1(\mu)$  spaces.

Given a real or complex Banach space  $X$ , we write  $B_X$ ,  $S_X$ ,  $X^*$  and  $L(X)$ , to denote, respectively, the closed unit ball, the unit sphere, the topological dual and the Banach algebra of bounded linear operators on  $X$ .

The *numerical range* of an operator  $T \in L(X)$  is the subset of the base field given by

$$V(T) = \{x^*(Tx) : x^* \in S_{X^*}, x \in S_X, x^*(x) = 1\},$$

and the *numerical radius* of  $T$  is then given by  $v(T) = \sup\{|\lambda| : \lambda \in V(T)\}$ . These concepts were independently introduced by Bauer [3] and Lumer [31] in the 1960s to extend the classical field of values of matrices (Toeplitz, 1918 [43]). We refer the reader to the monographs by Bonsall and Duncan [4], [5] for a detailed account. The *numerical index* of the space  $X$  (Lumer, 1968 [15]) is the constant  $n(X)$  defined by

$$n(X) := \inf\{v(T) : T \in L(X), \|T\| = 1\}$$

or, equivalently, the greatest constant  $k \geq 0$  such that  $k\|T\| \leq v(T)$  for every  $T \in L(X)$ . Observe that  $0 \leq n(X) \leq 1$  for every Banach space  $X$ , and  $n(X) = 1$  if and only if equality (1) is valid for all operators on  $X$ . The reader will find the state-of-the-art on numerical indices in the recent survey paper [20] to which we refer for background.

Let us mention here several facts concerning the numerical index which are relevant to our discussion. Examples of Banach spaces having numerical index 1 are  $C(K)$  spaces,  $L_1(\mu)$  spaces, Lindenstrauss spaces (i.e., isometric preduals of  $L_1(\mu)$  spaces) [15], all function algebras [44] (for instance, the disk algebra  $A(\mathbb{D})$  and  $H^\infty$ ), and finite-codimensional subspaces of  $C[0, 1]$  [8]. Next, one has  $v(T^*) = v(T)$  for every  $T \in L(X)$ , where  $T^*$  is the adjoint operator of  $T$  (see [4, Section 9]), and it clearly follows that  $n(X^*) \leq n(X)$  for every Banach space  $X$ . It has recently been discovered that this inequality can be strict. Actually, in [8, Example 3.1] an example is given of a real Banach space  $X$  such that  $n(X) = 1$  while  $n(X^*) = 0$ . We refer to the very recent paper [34] for sufficient conditions to ensure the equality in the inequality  $n(X^*) \leq n(X)$ . Every separable Banach space containing  $c_0$  can be equivalently renormed to have numerical index 1 [7, Section 4], in particular, this happens with any closed subspace of  $c_0$ . On the other hand, there is no infinite-dimensional real reflexive space with numerical index 1 [30].

Our main goal in this paper is to study which convexity or smoothness properties are possible for the unit ball of a Banach space with numerical index 1. At the end of this [Introduction](#), we give the necessary definitions of the convexity and smoothness properties we use along the paper. A difficulty

with such a study is that the property of having numerical index 1 deals with all operators on the space and we do not know of any characterization of it in terms of the space and its successive duals. The previous solutions to this difficulty have been to deal with either weaker or stronger geometrical properties. Let us briefly give an account of some of them. Let  $X$  be a real or complex Banach space.

- (a)  $X$  is said to be a *CL-space* if  $B_X$  is the absolutely convex hull of every maximal convex subset of  $S_X$ .
- (b) We say that  $X$  is an *almost-CL-space* if  $B_X$  is the closed absolutely convex hull of every maximal convex subset of  $S_X$ .
- (c)  $X$  is *lush* if for every  $x, y \in S_X$  and every  $\varepsilon > 0$ , there is a slice

$$S = S(x^*, \varepsilon) := \{z \in B_X : \operatorname{Re} x^*(z) > 1 - \varepsilon\}$$

with  $x^* \in S_{X^*}$  such that  $x \in S$  and  $\operatorname{dist}(y, \operatorname{aco}(S)) < \varepsilon$ , where  $\operatorname{aco}(S)$  denotes the absolutely convex hull of the set  $S$ .

- (d)  $X$  has *numerical index 1* ( $n(X) = 1$  in short) if  $v(T) = \|T\|$  for every  $T \in L(X)$ .
- (e) We say that  $X$  has the *alternative Daugavet property* provided that every rank-one operator  $T \in L(X)$  satisfies  $v(T) = \|T\|$ . The same equality is then satisfied by all weakly compact operators on  $X$  [36, Theorem 2.2].

The implications (a)  $\implies$  (b)  $\implies$  (c) and (d)  $\implies$  (e) are clear and none of them reverses (see [8, Section 3 and Section 7] for a detailed account). Also, (c)  $\implies$  (d) by [8, Proposition 2.2].

Some additional comments on the above properties may be in place. CL-spaces were introduced in 1960 by Fullerton [17] and it was later shown that a finite-dimensional Banach space has numerical index 1 if and only if it is a CL-space ([38, Theorem 3.1] and [27, Corollary 3.7]). Therefore, the above five properties are equivalent in the finite-dimensional case. All  $C(K)$  spaces as well as real  $L_1(\mu)$  spaces are CL-spaces, while infinite-dimensional complex  $L_1(\mu)$  spaces are only almost-CL-spaces (see [37]). Almost-CL-spaces first appeared without a name in the memoir by Lindenstrauss [28] and were further discussed by Lima [26], [27] who showed that real Lindenstrauss spaces (i.e., isometric preduals of  $L_1(\mu)$ ) are CL-spaces [26, Section 3] and complex Lindenstrauss spaces are almost-CL-spaces [27, Section 3]. The disk algebra is another classical example of an almost-CL-space [5, Theorem 32.9]. More information can be found in [9], [32], [37], [41].

Lush spaces were introduced recently [8], and they were the key to provide an example of a Banach space  $X$  such that  $n(X^*) < n(X)$  and to estimate the polynomial numerical index of some spaces [10], [23]. We refer to [7] for characterizations and examples of lush spaces. Among the advantages of the concept of lushness, are that this property is separably determined [7, Theorem 4.2] and that it gives many new examples of Banach spaces with numerical index 1. Namely,  $C$ -rich subspaces of  $C(K)$  are lush and so they

have numerical index 1 [8, Theorem 2.4]. A closed subspace  $X$  of a  $C(K)$  space is said to be *C-rich* if for every nonempty open subset  $U$  of  $K$  and every  $\varepsilon > 0$ , there is a positive function  $h \in C(K)$  of norm 1 with support inside  $U$  such that the distance from  $h$  to  $X$  is less than  $\varepsilon$ . This definition covers finite-codimensional subspaces of  $C[0, 1]$  [8, Proposition 2.5], so they are lush. Also, all function algebras are lush (see [7, Example 2.4] and [44, Section 3]).

The alternative Daugavet property was introduced and characterized in [36], but, in an equivalent way, the property defining it had appeared in some papers of the 1990s. The name comes from the fact that an operator  $T$  on a Banach space  $X$  satisfies  $v(T) = \|T\|$  if and only if  $\|\text{Id} + \omega T\| = 1 + \|T\|$  for some  $\omega \in \mathbb{T}$  ( $\mathbb{T}$  being the set of modulus one scalars) [15], that is, the operator  $S = \omega T$  satisfies the so-called Daugavet equation  $\|\text{Id} + S\| = 1 + \|S\|$ . Therefore,  $X$  has the alternative Daugavet property if and only if every rank-one operator (equivalently, every weakly compact operator) satisfies the Daugavet equation up to rotation. We refer to the already cited paper [36] and to [33] for more information and background. Let us comment that Banach spaces with the Radon–Nikodým property and the alternative Daugavet property are actually almost-CL-spaces [32]. Asplund spaces with the alternative Daugavet property are lush, but they need not be almost-CL-spaces [8, Example 2.4].

The main question in this paper, not yet solved, is whether a Banach space  $X$  with  $n(X) = 1$  can be smooth or strictly convex. Two remarks are pertinent. First, even though the exact value of  $n(\ell_p^2)$  is not known for  $p \neq 1, 2, \infty$  (see [35]), it is known that the set

$$\{n(\ell_p^2) : 1 < p < \infty\}$$

contains all possible values of the numerical index except 1 [15]. Thus, the question above only makes sense for the value 1. Second, it is clear that an almost-CL-space cannot be strictly convex (almost-CL-spaces are somehow the extremely opposite property to strict convexity), and it has recently been shown that a real almost-CL-space cannot be smooth [9, Theorem 3.1].

Let us summarize the main results in this paper. Section 2 is devoted to show that a Banach space with the alternative Daugavet property and dimension greater than one has no WLUR points in its unit ball, its norm is not Fréchet smooth and its dual norm is neither strictly convex nor smooth. Next, in Section 3, we construct a noncomplete predual of an  $L_1(\mu)$  space which is strictly convex. This space is lush (extending this definition to general normed spaces literally), while its completion is an almost-CL-space. The aim of Section 4 is to show that separable lush spaces actually satisfy a stronger property: there is a norming subset  $\tilde{K}$  of  $S_{X^*}$  such that for every  $x^* \in \tilde{K}$  and every  $\varepsilon > 0$ , one has

$$B_X = \overline{\text{aco}(S(x^*, \varepsilon))}.$$

In the real case, it is actually true that  $B_X$  is the closed absolutely convex hull of the (nonempty) face generated by  $x^*$ . This implies that a real lush Banach space is neither strictly convex nor smooth, unless it is one-dimensional. Therefore, a  $C$ -rich subspace of the real space  $C[0, 1]$  is neither strictly convex nor smooth, and this answers a question of Popov from 1996. In particular, if a subspace  $X$  of the real space  $C[0, 1]$  is smooth or strictly convex, then  $C[0, 1]/X$  contains a copy of  $C[0, 1]$ . We devote Section 5 to some localizations of convexity and smoothness properties. Namely, it was asked in [20, Problem 13] whether a Banach space  $X$  with  $n(X) = 1$  satisfies that  $|x^*(x)| = 1$  for every  $x \in \text{ext}(B_X)$  (the set of extreme points in  $B_X$ ) and every  $x^* \in \text{ext}(B_{X^*})$ , as it happens in the finite-dimensional case [38] (a positive answer would lead to the impossibility of having a strictly convex space with numerical index 1 other than the one-dimensional one). But actually, we construct examples of separable lush spaces where this does not happen, giving a negative answer to the cited problem. On the other hand, we show that for lush spaces,  $|x^*(x)| = 1$  for every  $x^* \in \text{ext}(B_{X^*})$  and every  $w^*$ -extreme point, which gives us that a lush space which is WMLUR has to be one-dimensional.

We finish the Introduction with the definitions and notations of the convexity and smoothness properties that we need throughout the paper. We refer the reader to the books [11], [12] and the papers [2], [24] for more information and background.

The norm of a real or complex Banach space  $X$  (or  $X$  itself) is said to be *smooth* if for every  $x \in S_X$ , there is a unique norm-one functional  $x^*$  such that  $x^*(x) = 1$ . The space  $X$  is said to be *strictly convex* when  $\text{ext}(B_X) = S_X$ . It is well known that  $X$  is smooth (resp. strictly convex) if  $X^*$  is strictly convex (resp. smooth), but the converse is not true. We say that the norm of  $X$  is *Fréchet smooth* when the norm of  $X$  is Fréchet differentiable at any point of  $S_X$ . By the Smulyan test, the norm of  $X$  is Fréchet smooth if and only if every functional  $x^* \in S_{X^*}$  which attains its norm is  $w^*$ -strongly exposed (i.e., there is  $x \in S_X$  such that for every sequence  $(x_n^*)$  in  $B_{X^*}$  such that  $x_n^*(x) \rightarrow 1 = x^*(x)$  one has  $x_n^* \rightarrow x^*$  in norm).

An  $x \in S_X$  is said to be a point of *local uniform rotundity (LUR point)* if  $\|x_n - x\| \rightarrow 0$  for every sequence  $(x_n)$  in  $S_X$  such that  $\|x_n + x\| \rightarrow 2$ . If for every sequence  $(x_n)$  of  $S_X$  with  $\|x_n + x\| \rightarrow 2$  one only has that  $x_n \rightarrow x$  in the weak topology, we say that  $x$  is a point of *weakly local uniform rotundity (WLUR point)*.

A point  $x$  in  $S_X$  is said to be (*weakly*) *midpoint locally uniformly rotund* or *MLUR* (resp. *WMLUR*) if for any sequence  $(y_n)$  in  $B_X$ ,  $\lim_n \|x \pm y_n\| \leq 1$  implies  $\lim_n \|y_n\| = 0$  ( $\lim_n y_n = 0$  in the weak topology). A point  $x$  of  $B_X$  is called *weak\*-extreme* if it is an extreme point of  $B_{X^{**}}$ . Every WMLUR point of  $B_X$  is a weak\*-extreme point of  $B_X$  (see [18, p. 674] and [24, p. 173]). We say that the norm of  $X$  is MLUR (WMLUR) if every point in  $S_X$  is MLUR (WMLUR).

## 2. Prohibitive results for the alternative Daugavet property

The aim in this section is to show that there are some convexity and smoothness properties which are incompatible with the alternative Daugavet property, and so, they are incompatible with the numerical index 1. We start with smoothness and strict convexity of the dual norm.

**THEOREM 2.1.** *Let  $X$  be a Banach space with the alternative Daugavet property and dimension greater than one. Then,  $X^*$  is neither smooth nor strictly convex.*

*Proof.* Since the dimension of  $X$  is greater than 1, we may find  $x_0 \in S_X$  and  $x_0^* \in S_{X^*}$  such that  $x_0^*(x_0) = 0$ . Then we consider the norm-one operator  $T = x_0^* \otimes x_0$ , which satisfies  $T^2 = 0$ . On the other hand, thanks to [1, Theorem 1.2], there is a sequence of norm-one operators  $(T_n)$  converging in norm to  $T$  and such that the adjoint of each of them attains its numerical radius. Moreover, we may suppose that all the  $T_n$ 's are compact by [1, Remark 1.3]. Since  $X$  has the alternative Daugavet property, we get

$$v(T_n^*) = v(T_n) = \|T_n\| = 1.$$

As the operators  $T_n^*$  attain their numerical radius, for every positive integer  $n$ , we may find  $\lambda_n \in \mathbb{T}$  and  $(x_n^*, x_n^{**}) \in S_{X^*} \times S_{X^{**}}$  such that

$$(2) \quad \lambda_n x_n^{**}(x_n^*) = 1 \quad \text{and} \quad [T_n^{**}(x_n^{**})](x_n^*) = x_n^{**}(T_n^*(x_n^*)) = 1.$$

If  $X^*$  is smooth, we deduce that

$$T_n^{**}(x_n^{**}) = \lambda_n x_n^{**} \quad (n \in \mathbb{N}).$$

Thus,

$$\|[T_n^{**}]^2(x_n^{**})\| = \|\lambda_n^2 x_n^{**}\| = 1 \quad (n \in \mathbb{N}).$$

But, since  $T_n \rightarrow T$  and  $T^2 = 0$ , we have that  $[T_n^{**}]^2 \rightarrow 0$ , a contradiction.

If  $X^*$  is strictly convex, we deduce from (2) that

$$T_n^*(x_n^*) = \lambda_n x_n^* \quad (n \in \mathbb{N}),$$

which leads to a contradiction the same way as before. □

As a consequence of the above result, we get that  $n(H^1) < 1$ , where  $H^1$  represents the Hardy space. Actually, we have more.

**EXAMPLE 2.2.** Let  $X$  be  $C(\mathbb{T})/A(\mathbb{D})$ . Then its dual  $X^* = H^1$  is smooth (see [19, Remark IV.1.17], for instance), so  $X$  does not have the alternative Daugavet property by Theorem 2.1 and neither does  $X^* = H^1$ . In particular,  $n(X) < 1$  and  $n(X^*) < 1$ .

**REMARKS 2.3.** (a) The proof of Theorem 2.1 can be adapted to yield the following result. *Let  $X$  be a Banach space with the alternative Daugavet property and such that the set of compact operators attaining its numerical radius is dense in the space of all compact operators. Then  $X$  is neither*

*strictly convex nor smooth, unless it is one-dimensional.* Indeed, we may follow the proof of Theorem 2.1 (without considering adjoint operators) to get the result.

- (b) It is known that for Banach spaces with the Radon–Nikodým property, the set of compact operators attaining their numerical radius is dense in the space of all compact operators [1, Theorem 2.4]. Therefore, we get that *a Banach space having the Radon–Nikodým property and the alternative Daugavet property is neither smooth nor strictly convex, unless it is one-dimensional.*
- (c) Actually, the above result was essentially known. Namely, if  $X$  has the alternative Daugavet property and the Radon–Nikodým property, then  $X$  is an almost-CL-space [32, Theorem 1]. It is clear that a (nontrivial) almost-CL-space cannot be strictly convex. On the other hand, the fact that a nontrivial real almost-CL-space cannot be smooth follows from a very recent result [9, Theorem 3.1].
- (d) The fact that there are Banach spaces in which the set of numerical radius attaining operators is not dense in the space of all operators was discovered in 1992 [39]. Nevertheless, *we do not know of any Banach space for which the set of compact operators which attain their numerical radius is not dense in the space of all compact operators.*
- (e) Let us comment that it is also an open problem whether a Banach space with the Daugavet property can be smooth or strictly convex. We recall that a Banach space has the *Daugavet property* if  $\|\text{Id} + T\| = 1 + \|T\|$  for every rank-one operator  $T \in L(X)$  [22]. It is clear that the Daugavet property implies the alternative Daugavet property (and the converse result is not true). Therefore, an example of a smooth or strictly convex Banach space with the Daugavet property would give an example of a Banach space where the rank-one operators cannot be approximated by compact operators attaining the numerical radius.

More prohibitive results for the alternative Daugavet property are the following.

**PROPOSITION 2.4.** *Let  $X$  be a Banach space with the alternative Daugavet property. Then,  $B_X$  fails to contain a WLUR point, unless  $X$  is one-dimensional.*

*Proof.* Let  $x_0 \in S_X$  be a WLUR point. If the dimension of  $X$  is greater than 1, there is  $x_0^* \in S_{X^*}$  such that  $x_0^*(x_0) = 0$ . Then the rank-one operator  $T = x_0^* \otimes x_0$  satisfies  $\|T\| = 1$  and so,  $v(T) = 1$ . Therefore, we may find sequences  $(x_n)$  in  $S_X$  and  $(x_n^*)$  in  $S_{X^*}$  such that

$$x_n^*(x_n) = 1 \quad \text{and} \quad |x_n^*(x_0)| |x_0^*(x_n)| = |x_n^*(Tx_n)| \longrightarrow 1.$$

Therefore, we get  $|x_n^*(x_0)| \rightarrow 1$  and  $|x_0^*(x_n)| \rightarrow 1$ . If for every  $n \in \mathbb{N}$  we take  $\lambda_n \in \mathbb{T}$  such that  $x_n^*(x_0) = \lambda_n |x_n^*(x_0)|$ , we have

$$2 \geq \|x_0 + \lambda_n x_n\| \geq |x_n^*(x_0 + \lambda_n x_n)| \rightarrow 2.$$

So, being  $x_0$  a WLUR point, we get that  $(\lambda_n x_n) \rightarrow x_0$  in the weak topology, which contradicts the fact that  $|x_0^*(x_n)| \rightarrow 1$ .  $\square$

The above result is not true if we replace the WLUR point by a point of Fréchet smoothness. For instance,  $n(c_0) = 1$  but the norm of  $c_0$  is Fréchet differentiable at a dense subset of  $S_{c_0}$  since  $c_0$  is Asplund. But it is not difficult to show that a Banach space with the alternative Daugavet property cannot have a Fréchet smooth norm, unless it is one-dimensional.

**PROPOSITION 2.5.** *Let  $X$  be a Banach space with the alternative Daugavet property. Then the norm of  $X$  is not Fréchet smooth, unless  $X$  is one-dimensional.*

*Proof.* Using [30, Lemma 1], we have that  $|x^{**}(x^*)| = 1$  for every  $x^{**} \in \text{ext}(B_{X^{**}})$  and every  $w^*$ -strongly exposed point  $x^*$  of  $B_{X^*}$ . Now, if the norm of  $X$  is Fréchet-smooth, then every functional on  $S_{X^*}$  attaining its norm is  $w^*$ -strongly exposed (see [11, Corollary I.1.5] for instance). Since, by the Bishop–Phelps theorem, we have that the set of norm-attaining norm-one functionals is (norm) dense on  $S_{X^*}$ , we get that

$$|x^{**}(x^*)| = 1$$

for all  $x^{**} \in \text{ext}(B_{X^{**}})$  and all  $x^* \in S_{X^*}$ . This clearly leads to the fact that  $X$  is one-dimensional.  $\square$

### 3. A noncomplete strictly convex lush space

The aim of this section is to construct an example of a noncomplete infinite-dimensional strictly convex normed space with numerical index 1 (actually lush). As we will see, its completion is very far away from being strictly convex. In the next section, we will show that actually no real lush complete space can be strictly convex.

We need some definitions and preliminary results.

**DEFINITIONS 3.1.** Let  $\|\cdot\|$  and  $\|\cdot\|$  be two norms on a linear space  $X$  and  $\varepsilon > 0$ . We say that  $\|\cdot\|$  is  $\varepsilon$ -equivalent to  $\|\cdot\|$  if

$$\frac{1}{1 + \varepsilon} \|x\| \leq \|x\| \leq (1 + \varepsilon) \|x\| \quad (x \in X).$$

A property  $\mathcal{P}$  of normed spaces is said to be a *stable  $C$ -property*, if  $C[0, 1] \in \mathcal{P}$  and for every Banach space  $X$  the following condition is sufficient for  $X \in \mathcal{P}$ : for every  $\varepsilon > 0$  and for every finite subset  $F \subset X$ , there is a subspace  $Y \subset X$ , such that  $F \subset Y$  and  $Y$  possesses an  $\varepsilon$ -equivalent norm  $\|\cdot\|_\varepsilon$  with  $(Y, \|\cdot\|_\varepsilon) \in \mathcal{P}$ .

It is immediate that lushness and the alternative Daugavet property are stable C-properties.

We are now ready to state the main result to get the example.

**THEOREM 3.2.** *For every strictly convex separable Banach space  $Y_0$ , there is a strictly convex separable normed space  $X \supset Y_0$  possessing all stable C-properties.*

We will need the following surely well-known lemma.

**LEMMA 3.3.** *Let  $Y$  be a strictly convex closed subspace of a separable Banach space  $X$ . Then for every  $\varepsilon > 0$ , there is an  $\varepsilon$ -equivalent strictly convex norm  $\|\cdot\|$  on  $X$  which coincides with the original one on  $Y$ .*

*Proof.* The existence of a norm  $p$  satisfying all conditions of this statement except being  $\varepsilon$ -equivalent to the original one is well known (see for example [11, p. 84] or [42, Theorem 1.1]). Then for sufficiently small  $t > 0$ , the norm  $\|x\| := (1 - t)\|x\| + tp(x)$  will be the one which we need.  $\square$

*Proof of Theorem 3.2.* We are going to construct a sequence of separable strictly convex Banach spaces  $(X_n)$  with the following properties:

- (i)  $X_1 = Y_0$ .
- (ii)  $X_n$  is a subspace of  $X_m$  for  $n < m$ .
- (iii) For every  $n \in \mathbb{N}$ , there is a  $\frac{1}{n}$ -equivalent norm  $\|\cdot\|_n$  on  $X_n$  with  $(X_n, \|\cdot\|_n)$  being isometric to  $C[0, 1]$ .

Since  $X_1$  is already known, the only thing we need for this construction is to show how to get  $X_{m+1}$  from  $X_m$ . Let us fix  $m \in \mathbb{N}$ . Since  $X_m$  is separable, we can (and do so) consider  $X_m$  as a subspace of  $C[0, 1]$ . According to Lemma 3.3, there is an  $(\frac{1}{m})$ -equivalent strictly convex norm  $\|\cdot\|$  on  $C[0, 1]$  which coincides with the original norm on  $X_m$ . Put  $X_{m+1} = (C[0, 1], \|\cdot\|)$ , and the original norm of  $C[0, 1]$  plays the role of  $\|\cdot\|_n$  in the condition (iii). So the construction is completed.

What remains to complete the proof itself is to put  $X = \bigcup_{m \in \mathbb{N}} X_m$ . Then for every  $\varepsilon > 0$  and for every finite subset  $F \subset X$ , one can find  $n \in \mathbb{N}$  such that  $\frac{1}{n} < \varepsilon$  and  $F \subset X_n$ . Since  $\|\cdot\|_n$  is  $\varepsilon$ -equivalent to the norm of  $X_n$ , we get the requirement.  $\square$

Since lushness is a stable C-property, we get the desired example.

**EXAMPLE 3.4.** There are normed lush spaces which are strictly convex.

We are going to show that the completions of the above examples (which are of course also lush) are not strictly convex. Actually, they are almost-CL-spaces.

Following Bourgain’s book [6], we say that a Banach space  $X$  is an  $\mathcal{L}_{1+}^\infty$ -space if for any finite-dimensional subspace  $E$  of  $X$  and every  $\varepsilon > 0$ , there is another finite-dimensional subspace  $F$  of  $X$  containing  $E$ , such that the

Banach–Mazur distance between  $F$  and  $\ell_\infty^{\dim(F)}$  is less than  $1 + \varepsilon$ . It is well known [25] that this property is equivalent to the fact that  $X^*$  is isometrically isomorphic to an  $L_1(\mu)$  space. The completions of the spaces constructed in Theorem 3.2 are  $\mathcal{L}_{1+}^\infty$ -spaces, so they are preduals of  $L_1(\mu)$  spaces. In the real case, it is known that preduals of  $L_1(\mu)$  spaces are almost-CL-spaces (see [28, Theorem 4.8] or [27, Corollary 3.6]). Actually, the same is true for the complex case. We include here a proof of this fact since we have been unable to find it in the literature.

**PROPOSITION 3.5.** *Let  $X$  be a (real or complex) Banach space such that  $X^*$  is isometrically isomorphic to an  $L_1(\mu)$  space. Then,  $X$  is an almost-CL-space.*

*Proof.* If we consider a maximal convex subset  $F$  of  $B_X$ , the Hahn–Banach and Krein–Milman theorems ensure that there is an extreme point  $f$  of the unit ball of  $X^* = L_1(\mu)$ , such that

$$F = F(f) := \{x \in B_X : f(x) = 1\}.$$

We observe that the linear span of an extreme point  $f$  in the unit ball of an  $L_1(\mu)$  space is an  $L$ -summand (i.e.,  $L_1(\mu) = \text{lin}(f) \oplus_1 Z$  for some closed subspace  $Z$ ). So, a result by Lima [27, Theorem 5.3] says that  $F(f)$  is not empty (we already knew it) and that  $B_X$  is the closure of  $\text{aco}(F(f))$ . This shows that  $X$  is an almost-CL-space.  $\square$

As a immediate consequence of this result, we get the following.

**COROLLARY 3.6.** *The completions of the noncomplete lush strictly convex normed spaces constructed in Theorem 3.2 are almost-CL-spaces and, therefore, they are not strictly convex.*

We finish the section by remarking that the arguments of the construction given in Theorem 3.2 cannot be adapted for smoothness, since a smooth norm on a subspace cannot always be extended to the whole space (see [11, Theorem 8.3]).

#### 4. Separable lush spaces

We have seen in the previous section that the completions of the normed strictly convex lush spaces constructed are not strictly convex by showing that they are almost-CL-spaces. We cannot expect that every Banach space with numerical index 1 is an almost-CL-space since there are lush spaces which do not fulfil this property [8, Example 3.4]. Nevertheless, our aim here is to show that, in the separable case, lush spaces actually have a much stronger property which in the real case is very close to being an almost-CL-space and which will allow us to show that a real lush space cannot be strictly convex, unless it is one-dimensional.

We need a characterization of lushness given in [7] in terms of a norming subset of  $S_{X^*}$ . Also, to carry some consequences to the nonseparable case, we need a result of the same paper saying that lushness is a separably determined property. We state both results here for easier reference.

PROPOSITION 4.1 ([7, Theorems 4.1 and 4.2]). *Let  $X$  be a Banach space.*

- (a) *The following assertions are equivalent:*
  - (i)  *$X$  is lush.*
  - (ii) *For every  $x, y \in S_X$  and for every  $\varepsilon > 0$  there is a slice  $S = S(x^*, \varepsilon) \subset B_X$ ,  $x^* \in \text{ext}(B_X)$ , such that*

$$x \in S \quad \text{and} \quad \text{dist}(y, \text{aco}(S)) < \varepsilon$$
*(i.e.  $x^*$  in the definition of lushness can be chosen from  $\text{ext}(B_X)$ ).*
- (b) *The following two conditions are equivalent:*
  - (i)  *$X$  is lush.*
  - (ii) *Every separable subspace  $E \subset X$  is contained in a separable lush subspace  $Y$ ,  $E \subset Y \subset X$ .*

The following lemma, which will be the key to prove the main result of the section, will be also useful in Section 5 and does not depend upon the separability of the space.

LEMMA 4.2. *Let  $X$  be a lush space and let  $K \subset B_{X^*}$  be the weak\* closure of  $\text{ext}(B_{X^*})$  endowed with the weak\* topology. Then for every  $y \in S_X$ , there is a  $G_\delta$ -dense subset  $K_y$  of  $K$  such that  $y \in \text{aco}(S(y^*, \varepsilon))$  for every  $\varepsilon > 0$  and every  $y^* \in K_y$ .*

*Proof.* Fix  $y \in S_X$ . For every  $n, m \in \mathbb{N}$ , we consider

$$K_{y,n,m} := \{x^* \in K : \text{dist}(y, \text{aco}(S(x^*, 1/n))) < 1/m\}.$$

CLAIM.  $K_{y,n,m}$  is weak\*-open and dense in  $K$ .

In fact, openness is almost evident: if  $x^* \in K_{y,n,m}$ , then there is a finite set  $A = \{a_1, \dots, a_k\}$  of elements of  $S(x^*, 1/n)$  such that  $\text{dist}(y, \text{aco}(A)) < 1/m$ . Denote

$$U := \{y^* \in K : \text{Re } y^*(a_i) > 1 - 1/n \text{ for all } i = 1, \dots, k\}.$$

$U$  is a weak\*-neighborhood of  $x^*$  in  $K$ , and  $A \subset S(y^*, 1/n)$  for every  $y^* \in U$ . This means that  $\text{dist}(y, \text{aco}(S(y^*, 1/n))) < 1/m$  for all  $y^* \in U$ , i.e.  $U \subset K_{y,n,m}$ .

To show density of  $K_{y,n,m}$  in  $K$ , it is sufficient to demonstrate that the weak\* closure of  $K_{y,n,m}$  contains every extreme point  $x^*$  of  $S_{X^*}$ . Since weak\*-slices form a base of neighborhoods of  $x^*$  in  $B_{X^*}$  (see [16, Lemma 3.40], for instance), it is sufficient to prove that every weak\*-slice  $S(x, \delta)$ ,  $\delta \in (0, \min\{1/n, 1/m\})$ , intersects  $K_{y,n,m}$ , i.e., that there is a point  $y^* \in S(x, \delta) \cap K_{y,n,m}$ . Which property of  $y^*$  do we need to make this true? We need that

$y^*(x) > 1 - \delta$ ,  $y^* \in K$ , and that  $\text{dist}(y, \text{aco}(S(y^*, 1/n))) < 1/m$ . But the existence of such a  $y^*$  is a simple application of item (ii) from Proposition 4.1(a). The claim is proved.

Now, we consider  $K_y = \bigcap_{n,m \in \mathbb{N}} K_{y,n,m}$ , which is a weak\*-dense  $G_\delta$  subset of  $K$  due to the Baire theorem. □

We are now ready to state and prove the main result of the section.

**THEOREM 4.3.** *Let  $X$  be a separable lush space. Then there is a norming subset  $\tilde{K}$  of  $S_{X^*}$  such that  $B_X = \text{aco}(S(x^*, \varepsilon))$  for every  $\varepsilon > 0$  and for every  $x^* \in \tilde{K}$ . The last condition implies that*

$$|x^{**}(x^*)| = 1 \quad (x^{**} \in \text{ext}(B_{X^{**}}), x^* \in \tilde{K}),$$

and that in fact  $\tilde{K} \subset \text{ext}(B_{X^*})$ .

*Proof.* We select a sequence  $(y_n)$  dense in  $S_X$  in such a way that every element of the sequence is repeated infinitely many times, and consider  $\tilde{K} = \bigcap_{n \in \mathbb{N}} K_{y_n}$ . Due to the Baire theorem,  $\tilde{K}$  is a weak\*-dense  $G_\delta$  subset of  $K$ . This implies that for every  $x \in S_X$  and for every  $\varepsilon > 0$  there is an  $x^* \in \tilde{K}$ , such that  $x \in S(x^*, \varepsilon)$  (i.e.  $\tilde{K}$  is 1-norming). For  $x_0^* \in \tilde{K}$  and  $\varepsilon > 0$  fixed, the inequality  $\text{dist}(y_n, \text{aco}(S(x_0^*, 1/n))) < 1/n$  holds true for all  $n \in \mathbb{N}$ . Select an  $N > 1/\varepsilon$ . Then for every  $n > N$  we have  $\text{dist}(y_n, \text{aco}(S(x_0^*, \varepsilon))) < 1/n$ . Since every element of the sequence  $(y_n)$  is repeated infinitely many times, this means that  $\text{dist}(y_n, \text{aco}(S(x_0^*, \varepsilon))) = 0$ . So the closure of  $\text{aco}(S(x_0^*, \varepsilon))$  contains the whole ball  $B_X$ . Then

$$B_{X^{**}} = \overline{B_X}^{w^*} \subseteq \overline{\text{aco}(S(x_0^*, \varepsilon))}^{w^*}.$$

Finally, the reversed Krein–Milman theorem gives us that

$$\text{ext}(B_{X^{**}}) \subset \overline{\mathbb{T}S(x_0^*, \varepsilon)}^{w^*},$$

and the arbitrariness of  $\varepsilon > 0$  gives us

$$|x^{**}(x_0^*)| = 1 \quad (x^{**} \in \text{ext}(B_{X^{**}})). \quad \square$$

We do not know whether the statement of the theorem is true in the non-separable case.

**REMARK 4.4.** From the proof of the above theorem, it follows that the set  $\tilde{K}$  is actually a  $G_\delta$ -dense subset of the weak\* closure of  $\text{ext}(B_{X^*})$  endowed with the weak\* topology.

As a consequence of the above theorem and results of Lima [27], we get the following interesting version valid in the real case.

**COROLLARY 4.5.** *Let  $X$  be a lush real separable space. Then there is a subset  $A$  of  $S_{X^*}$  norming for  $X$  such that for every  $a^* \in A$  one has*

$$B_X = \overline{\{x \in S_X : a^*(x) = 1\}}.$$

*Proof.* By the above theorem, there is a subset  $A$  of  $S_{X^*}$  norming for  $X$  such that

$$|x^{**}(a^*)| = 1 \quad (x^{**} \in \text{ext}(B_{X^{**}}), a^* \in A).$$

Now, Theorems 3.1 and 3.5 of [27] give us that each  $a^* \in A$  attains its norm on  $X$  and, moreover, that the closed absolutely convex hull of the points of  $B_X$  where  $a^*$  attains its norm is the whole ball  $B_X$ , as claimed.  $\square$

**COROLLARY 4.6.** *Let  $X$  be a real Banach space which is lush. Then  $X$  is neither strictly convex nor smooth, unless it is one-dimensional.*

*Proof.* If  $X$  is a lush space, then every separable closed subspace  $Z$  of  $X$  is contained in a separable lush subspace  $Y$  by Proposition 4.1(b), and Corollary 4.5 provides us with a face  $F$  of  $B_Y$  such that  $B_Y = \overline{\text{co}(F \cup -F)}$ . If  $Y$  is not one-dimensional, then  $F$  contains at least two distinct points  $y_1, y_2$  and  $\frac{1}{2}(y_1 + y_2) \in F \subset S_Y$  is not extreme. On the other hand, if  $Y$  is not one-dimensional, following the proof of [9, Theorem 3.1], we get that the smooth points of  $F$  are exactly the norm-one elements of the cone generated by  $F$  which are not support points of the cone. But then, the Bishop–Phelps theorem provides us with (norm-one) support points of such a cone (see [40, Theorem 3.18] for instance). Then  $F$  and so  $S_Y$  contains nonsmooth points. Therefore,  $Y$  is not smooth, all the more  $X$ .  $\square$

We do not know whether the above two results are true in the complex case. We do not know either whether there are real strictly convex Banach spaces with numerical index 1 others than  $\mathbb{R}$ .

As a consequence of the corollary above, we get a negative answer to a problem by Popov, which he posed to the first author in 1996 while discussing the still open problem on the existence of a strictly convex Banach space with the Daugavet property.

**COROLLARY 4.7.** *A  $C$ -rich closed subspace of the real space  $C[0, 1]$  is neither strictly convex nor smooth.*

It is known that a subspace  $X$  of  $C[0, 1]$  is  $C$ -rich whenever  $C[0, 1]/X$  does not contain a copy of  $C[0, 1]$  (see [21, Proposition 1.2 and Definition 2.1]). Therefore, the following is a particular case of the above proposition.

**COROLLARY 4.8.** *Let  $X$  be a closed subspace of the real space  $C[0, 1]$ . If  $X$  is smooth or strictly convex, then  $C[0, 1]/X$  contains an isomorphic copy of  $C[0, 1]$ .*

Finally, another interesting consequence of Theorem 4.3 is the following.

**COROLLARY 4.9.** *Let  $X$  be an infinite-dimensional real Banach space which is lush. Then  $X^*$  contains an isomorphic copy of  $\ell_1$ .*

*Proof.* If  $X$  is lush, by Proposition 4.1(b), there is an infinite-dimensional separable closed subspace  $Y$  of  $X$  which is lush. Then, by Theorem 4.3, there is a norming subset  $\tilde{K}$  of  $S_{Y^*}$  (in particular,  $\tilde{K}$  is infinite) such that

$$|y^{**}(y^*)| = 1 \quad (y^{**} \in \text{ext}(B_{Y^{**}}), y^* \in \tilde{K}).$$

Now, Proposition 2 of [30] shows that  $Y^*$  contains either  $c_0$  or  $\ell_1$ . But a dual space contains  $\ell_\infty$  (hence, also  $\ell_1$ ) as soon as it contains  $c_0$  (see [13, Theorem V.10] or [29, Proposition 2.e.8], for instance). Finally, if  $Y^*$  contains a copy of  $\ell_1$ , then so does  $X^*$  (see [14, p. 11], for instance).  $\square$

The above corollary has already been known for real spaces with numerical index 1 which are Asplund or have the Radon–Nikodým property [30], and for real almost-CL-spaces [37].

## 5. Extreme points of the unit ball

The fact that a finite-dimensional strictly convex Banach space with numerical index 1 has to be one-dimensional is a direct consequence of an old result by McGregor [38]. Namely, if  $X$  is a finite-dimensional Banach space with  $n(X) = 1$ , then

$$|x^*(x)| = 1 \quad (x^* \in \text{ext}(B_{X^*}), x \in \text{ext}(B_X)).$$

In [20, Problem 13], it was asked whether the above result is also true in the infinite dimensional case. There are two goals in this section. On the one hand, we will show that this is not the case. We present two examples of lush spaces (actually, C-rich subspaces of  $C(K)$ ) such that there are  $x_0^* \in \text{ext}(B_{X^*})$  and  $x_0 \in \text{ext}(B_X)$  with  $|x_0^*(x_0)| = 0$ . On the other hand, we will show that such an example is not possible when the point  $x_0$  is actually extreme in  $B_{X^{**}}$ . In particular, we obtain that a lush space which is MLUR or WMLUR must be one-dimensional.

Let us start with the first two examples. We give two different constructions, one for both the real and the complex case and another one for the complex case only, showing that the answer to the already mentioned Problem 13 of [20] is negative.

**EXAMPLE 5.1.** There is a C-rich subspace  $X$  of the space  $C[0, 1]$  (hence  $X$  is lush) and there are  $f_0 \in \text{ext}(B_X)$  and  $x_0^* \in \text{ext}(B_{X^*})$  satisfying  $x_0^*(f_0) = 0$ .

*Proof.* Let us fix a function  $f_0 \in C[0, 1]$  such that  $\|f_0\| = 1$ ,  $f_0(t) = 0$  for  $t \in (0, 1/3)$ , and  $f_0(t) = 1$  for  $t \in (2/3, 1)$ . We select a sequence of intervals  $\Delta_n \subset [0, 1]$ ,  $|\Delta_n| < 1/3$ , such that for every  $(a, b) \subset [0, 1]$  there is a  $\Delta_j \subset (a, b)$ . Also, fix a null sequence  $(\varepsilon_n)$ ,  $\varepsilon_n > 0$ . Now, one can easily construct functions  $f_n \in C[0, 1]$ ,  $n \in \mathbb{N}$ , and functionals  $f_n^* \in C[0, 1]^*$ ,  $n = 0, 1, 2, \dots$ , recursively with the following properties:

$$(i) \quad \|f_n\| = 1, \|f_n|_{\Delta_n}\|_\infty = 1 \text{ and } \|f_n|_{[0,1] \setminus \Delta_n}\|_\infty \leq \varepsilon_n.$$

- (ii) All the  $f_n$  are linear splines and  $f_n(t) = 0$  in all the nonsmoothness points of  $f_k, k < n$ , as well as in the points  $0, 1/3, 2/3$  and  $1$ .
- (iii) Every  $f_n|_{(2/3,1)}$  is linearly independent of  $\{f_k|_{(2/3,1)}\}_{k=0}^{n-1}$ .
- (iv) The measure representing  $f_n^*$  is supported in  $(2/3, 1)$ .
- (v)  $f_n^*(f_m) = 0$  when  $n \neq m$ , and  $f_n^*(f_n) = 1$ .

Let us explain the construction. Since  $f_0|_{(2/3,1)} \neq 0$ , we can select  $f_0^*$  supported in  $(2/3, 1)$  with  $f_0^*(f_0) = 1$ . Now, we are going to select  $f_1$ . The conditions (ii) and (v) on  $f_1$  mean that the linear spline  $f_1$  must satisfy a finite number of linear equations:

$$f_1(0) = f_1(1/3) = f_1(2/3) = 0, \quad f_0^*(f_1) = 0,$$

so the set of splines supported on a fixed nonvoid interval satisfying these conditions is a finite-codimensional subspace. Select a norm-one spline  $g_1 \in C[0, 1]$  supported on  $\Delta_1$  satisfying the equations above. Find a spline  $h_1 \in C[0, 1]$  of norm less than  $\varepsilon_1$ , supported on  $(2/3, 1) \setminus \Delta_1$ , linearly independent of  $f_0|_{(2/3,1) \setminus \Delta_1}$ , and also satisfying the linear equations for  $f_1$ . Then  $f_1 := g_1 + h_1$  will serve its purpose. By linear independence of  $f_0|_{(2/3,1) \setminus \Delta_1}$  and  $f_1|_{(2/3,1) \setminus \Delta_1} = h_1$ , we may find a measure supported on  $(2/3, 1)$  (and even more: on  $(2/3, 1) \setminus \Delta_1$ ) which annihilates  $f_0$  and takes the value 1 on  $f_1$ . Take this measure as  $f_1^*$ . Then, in the same way we construct  $f_2$ , then  $f_2^*$ , etc.

Now, we take  $X := \overline{\text{lin}}\{f_n\}_{n \in \mathbb{N} \cup \{0\}}$ . The property (i) ensures that  $X$  is C-rich in  $C[0, 1]$ . Thanks to the property (ii),  $\{f_n\}_{n \in \mathbb{N} \cup \{0\}}$  forms a monotone basic sequence (i.e., a basis of  $X$ ), and property (v) gives us that the coordinate functionals can be written as restrictions of  $f_n^*$  to  $X$ .

Since  $X$  is C-rich, there is a function  $g \in S_X$  which attains its norm only on  $(0, 1/3)$ . Fix  $x_0^* \in \text{ext}(B_{X^*})$  with  $x_0^*(g) = 1$ . Let  $\mu \in S_{C[0,1]^*}$  be a measure representing  $x_0^*$ . Then  $\mu$  is automatically supported on  $(0, 1/3)$ , so  $x_0^*(f_0) = 0$ . What remains to prove is that  $f_0 \in \text{ext}(B_X)$ . To this end, we consider  $h \in X$  such that  $\|f_0 \pm h\| = 1$ . Since  $f_0(t) = 1$  for  $t \in (2/3, 1)$ , we have that  $h = 0$  on  $(2/3, 1)$ . But then,  $h = \sum_{n=0}^\infty f_n^*(h)f_n \equiv 0$ . □

In the complex case, an easier example can be constructed.

**EXAMPLE 5.2.** There is a C-rich subspace  $X$  of the complex space  $C(\mathbb{T})$  (in particular,  $X$  is lush and so  $n(X) = 1$ ), and extreme points  $x_0^* \in B_{X^*}$  and  $\phi_0 \in B_X$  such that  $x_0^*(\phi_0) = 0$ .

*Proof.* Let  $A(\mathbb{D})$  be the disk algebra, considered as a closed subspace of  $C(\mathbb{T})$ . Then  $A(\mathbb{D})$  is C-rich in  $C(\mathbb{T})$ . Indeed, let  $\varphi(z) = \exp(z)/e$  for every  $z \in \mathbb{D}$ . Then  $\|\varphi\| = |\varphi(1)| = 1$  and there is no other point on  $\mathbb{T}$ , but  $z = 1$  where  $\varphi$  attains its norm. Then the family

$$\mathcal{A} = \{\varphi^n(z_0 \cdot) : n \in \mathbb{N}, z_0 \in \mathbb{T}\}$$

belongs to  $A(\mathbb{D})$ , and for every  $\varepsilon > 0$  and every open subset  $U$  of  $\mathbb{T}$ , we may find an element of  $\mathcal{A}$  which is at  $\varepsilon$ -distance from a function whose support is inside  $U$ .

Let  $X = \text{lin}\{A(\mathbb{D}), \phi_0\}$ , where  $\phi_0$  is any function in  $C(\mathbb{T})$  for which there are nonempty open sets  $U_1, U_2$ , and  $U_3$  of  $\mathbb{T}$  such that  $\phi_0 \equiv 1$  on  $U_1$ ,  $\phi_0 \equiv -1$  on  $U_2$  and  $\phi_0 \equiv 0$  on  $U_3$ . Then  $X$  is  $\mathbb{C}$ -rich because it contains  $A(\mathbb{D})$ . Next,  $\phi_0$  is extreme on  $B_X$ . Indeed, if  $g = \alpha\phi_0 + f \in X$  is such that  $\|\phi_0 \pm g\| \leq 1$ , then  $g \equiv 0$  on  $U_1 \cup U_2$ , so  $f \equiv \alpha$  on  $U_1$  and  $f \equiv -\alpha$  on  $U_2$ . It follows that  $\alpha = 0$  and so  $g = 0$ . Also, for every  $z \in \mathbb{T}$ , the functional  $\delta_z$  is extreme in  $B_{X^*}$ . Namely, for every  $z \in \mathbb{T}$  there is a function  $\varphi \in A(\mathbb{D})$  which attains its norm only at the point  $z$ . Then there is an extreme point  $x^*$  of  $B_{X^*}$  such that  $|x^*(\varphi)| = 1$ . Then the norm-one measure which represents  $x^*$  must be supported on  $z$  (otherwise the integral would be strictly smaller than 1), so  $x^*$  is of the form  $\theta\delta_z$ . Finally, taking  $z \in U_2$  and calling  $x_0^* = \delta_z$ , we have that  $x_0^* \in \text{ext}(B_{X^*})$  and  $x_0^*(\phi_0) = 0$ .  $\square$

Let us comment that the extreme points  $f_0$  and  $\phi_0$  of the examples above are not rotund. In fact, we do not know if a rotund point may exist in a lush space with dimension greater than one. We recall that a point  $x$  in the unit sphere of a Banach space  $X$  is said to be *rotund* if it is not an element of any nontrivial closed segment in the unit sphere or, equivalently, if  $\|x + y\| = 2$  for some  $y \in B_X$  implies  $y = x$ .

To finish the section, we show that in the previous examples the extreme points of the unit ball cannot be  $w^*$ -extreme. We will use this to show that there are no lush spaces which are WMLUR.

**PROPOSITION 5.3.** *Let  $X$  be a lush space. Then for every  $w^*$ -extreme point  $x_0$  of  $B_X$  and every  $x^* \in \text{ext}(B_{X^*})$ , one has  $|x^*(x_0)| = 1$ . In particular, this happens for WMLUR points of  $B_X$ .*

*Proof.* We fix a  $w^*$ -extreme point  $x_0$  of  $B_X$ . By [Lemma 4.2](#), there is a subset  $K_{x_0}$  of  $\text{ext}(B_{X^*})$  norming for  $X$  such that  $x_0 \in \text{aco}(S(k^*, \varepsilon))$  for every  $\varepsilon > 0$  and every  $k^* \in K_{x_0}$ . Then since  $x_0$  is an extreme point of the bidual ball, the same argument as at the end of the proof of [Theorem 4.3](#) shows that for all  $k^* \in K_{x_0}$

$$|x_0(k^*)| = 1.$$

Since  $K_{x_0}$  is norming for  $X$ , we have that  $B_{X^*}$  is the weak\*-closure of  $\text{aco}(K_{x_0})$ , and the reversed Krein–Milman theorem gives us that the set  $\text{ext}(B_{X^*})$  is contained in the  $w^*$ -closure of  $\mathbb{T}K_{x_0}$ . The result follows since  $x_0 \in X$ .  $\square$

As a consequence, we have the following prohibitive result. In the real case, it is a particular case of [Corollary 4.6](#), since WMLUR spaces are strictly convex.

**COROLLARY 5.4.** *Let  $X$  be a lush space. Then  $X$  is not WMLUR (in particular, it is not MLUR), unless it is one-dimensional.*

*Proof.* Since  $X$  is a WMLUR, Proposition 5.3 gives us that  $|x^*(x)| = 1$  for every  $x^* \in \text{ext}(B_{X^*})$  and every  $x \in S_X$ . But this clearly implies that  $X$  is one-dimensional.  $\square$

Let us mention that another consequence of Proposition 5.3 is that every  $w^*$ -extreme point of a lush space is actually MLUR, as the following remark shows.

**REMARK 5.5.** Let  $X$  be a Banach space and let  $x$  be a point in  $B_X$  so that  $|x^*(x)| = 1$  for every  $x^* \in \text{ext}(B_{X^*})$ . Then  $x$  is an MLUR point of  $B_X$ . Indeed, fixed  $y \in X$ , we take  $x^* \in \text{ext}(B_{X^*})$  so that  $x^*(y) = \|y\|$  and we estimate as follows

$$\max_{\pm} \|x \pm y\| \geq \max_{\pm} |x^*(x) \pm \|y\|| \geq (|x^*(x)|^2 + \|y\|^2)^{1/2} = (1 + \|y\|^2)^{1/2}.$$

Finally, we present an example showing that the results above are not valid for Banach spaces having the alternative Daugavet property. We do not know whether they are true for spaces with numerical index 1.

**EXAMPLE 5.6.** The real or complex space  $X = C([0, 1], \ell_2^2)$  has the alternative Daugavet property (and even the Daugavet property). However, there exist  $x_0^* \in \text{ext}(B_{X^*})$  and a MLUR point  $f_0$  of  $B_X$  such that  $|x_0^*(f_0)| < 1$ .

*Proof.* First,  $C([0, 1], \ell_2^2)$  has the alternative Daugavet property by [36, Theorem 3.4], for instance. Now, we fix any  $x_0 \in S_{\ell_2^2}$  and consider  $f_0 \in S_X$  given by  $f_0(t) = x_0$  for every  $t \in [0, 1]$ . To prove that  $f_0$  is an MLUR point in  $B_X$ , we take  $g \in X$  and we observe that

$$\max_{\pm} \|f_0 \pm g\| = \sup_{t \in [0, 1]} \max_{\pm} \|x_0 \pm g(t)\| \geq \sup_{t \in [0, 1]} (1 + \|g(t)\|^2)^{1/2} = (1 + \|g\|^2)^{1/2}.$$

We notice that the above inequality becomes an equality when one considers  $g \in X$  given by  $g(t) = x_0^\perp$  for every  $t \in [0, 1]$ , where  $x_0^\perp \in S_{\ell_2^2}$  is orthogonal to  $x_0$ . Finally, it suffices to take  $x_0^* \in \text{ext}(B_{X^*})$  so that  $x_0^*(g) = 1$  to get the desired condition. Indeed,

$$\sqrt{2} = \max_{\omega \in \mathbb{T}} \|f_0 + \omega g\| \geq \max_{\omega \in \mathbb{T}} |x_0^*(f_0) + \omega| = 1 + |x_0^*(f_0)|,$$

so  $|x_0^*(f_0)| \leq \sqrt{2} - 1 < 1$ .  $\square$

**Acknowledgment.** The authors thank the anonymous referee for multiple stylistical improvements.

## REFERENCES

- [1] M. D. Acosta and R. Payá, *Numerical radius attaining operators and the Radon–Nikodým property*, Bull. London Math. Soc. **25** (1993), 67–73. MR 1190367
- [2] P. Bandyopadhyay, Da. Huang, B.-L. Lin and S. L. Troyanski, *Some generalizations of locally uniform rotundity*, J. Math. Anal. Appl. **252** (2000), 906–916. MR 1801249
- [3] F. L. Bauer, *On the field of values subordinate to a norm*, Numer. Math. **4** (1962), 103–111. MR 0145329
- [4] F. F. Bonsall and J. Duncan, *Numerical ranges of operators on normed spaces and of elements of normed algebras*, London Math. Soc. Lecture Note Series, vol. 2, Cambridge Univ. Press, 1971. MR 0288583
- [5] F. F. Bonsall and J. Duncan, *Numerical Ranges II*, London Math. Soc. Lecture Note Series, vol. 10, Cambridge Univ. Press, 1973. MR 0442682
- [6] J. Bourgain, *New classes of  $\mathcal{L}^p$ -spaces*, Lecture Notes in Mathematics, vol. 889, Springer, Berlin, 1981. MR 0639014
- [7] K. Boyko, V. Kadets, M. Martín and J. Merí, *Properties of lush spaces and applications to Banach spaces with numerical index 1*, Studia Math. **190** (2009), 117–133. MR 2461290
- [8] K. Boyko, V. Kadets, M. Martín and D. Werner, *Numerical index of Banach spaces and duality*, Math. Proc. Cambridge Phil. Soc. **142** (2007), 93–102. MR 2296393
- [9] L.-X. Cheng and M. Li, *Extreme points, exposed points, differentiability points in  $CL$ -spaces*, Proc. Amer. Math. Soc. **136** (2008), 2445–2451. MR 2390512
- [10] Y. S. Choi, D. García, M. Maestre and M. Martín, *The polynomial numerical index for some complex vector-valued function spaces*, Quarterly J. Math. **59** (2008), 455–474. MR 2461268
- [11] R. Deville, G. Godefroy and V. Zizler, *Smoothness and renormings in Banach spaces*, Pitman Monographs and Surveys in Pure and Applied Mathematics, vol. 64, Longman Scientific & Technical, London, 1993. MR 1211634
- [12] J. Diestel, *Geometry of Banach spaces: Selected topics*, Springer, New York, 1975. MR 0461094
- [13] J. Diestel, *Sequences and series in Banach spaces*, Springer, New York, 1984. MR 0737004
- [14] D. van Dulst, *Characterizations of Banach spaces not containing  $\ell_1$* , CWI Tract, vol. 59, Stichting Mathematisch Centrum, Centrum voor Wiskunde en Informatica, Amsterdam, 1989. MR 1002733
- [15] J. Duncan, C. McGregor, J. Pryce and A. White, *The numerical index of a normed space*, J. London Math. Soc. **2** (1970), 481–488. MR 0264371
- [16] M. Fabian, P. Habala, P. Hájek, V. Montesinos, J. Pelant and V. Zizler, *Functional analysis and infinite-dimensional geometry*, CMS Books in Mathematics, vol. 8, Springer, New York, 2001. MR 1831176
- [17] R. E. Fullerton, *Geometrical characterization of certain function spaces*, Proc. Inter. Sympos. Linear spaces (Jerusalem 1960), Pergamon, Oxford, 1961, pp. 227–236. MR 0132998
- [18] B. V. Godun, B.-L. Lin and S. L. Troyanski, *On the strongly extreme points of convex bodies in separable Banach spaces*, Proc. Amer. Math. Soc. **114** (1992), 673–675. MR 1070518
- [19] P. Harmand, D. Werner and D. Werner,  *$M$ -ideals in Banach spaces and Banach algebras*, Lecture Notes in Math., vol. 1547, Springer, Berlin, 1993. MR 1238713
- [20] V. Kadets, M. Martín and R. Payá, *Recent progress and open questions on the numerical index of Banach spaces*, Rev. R. Acad. Cien. Serie A Mat. **100** (2006), 155–182. MR 2267407

- [21] V. M. Kadets and M. M. Popov, *The Daugavet property for narrow operators in rich subspaces of  $C[0, 1]$  and  $L_1[0, 1]$* , St. Petersburg Math. J. **8** (1997), 571–584. [MR 1418254](#)
- [22] V. Kadets, R. Shvidkoy, G. Sirotkin and D. Werner, *Banach spaces with the Daugavet property*, Trans. Amer. Math. Soc. **352** (2000), 855–873. [MR 1621757](#)
- [23] S. G. Kim, M. Martín and J. Merí, *On the polynomial numerical index of the real spaces  $c_0$ ,  $\ell_1$  and  $\ell_\infty$* , J. Math. Anal. Appl. **337** (2008), 98–106. [MR 2356057](#)
- [24] K. Kunen and H. Rosenthal, *Martingale proofs of some geometrical results in Banach space theory*, Pacific J. Math. **100** (1982), 153–175. [MR 0661446](#)
- [25] A. J. Lazar and J. Lindenstrauss, *On Banach spaces whose duals are  $L_1$  spaces*, Israel J. Math. **4** (1966), 205–207. [MR 0206670](#)
- [26] Á. Lima, *Intersection properties of balls and subspaces in Banach spaces*, Trans. Amer. Math. Soc. **227** (1977), 1–62. [MR 0430747](#)
- [27] Á. Lima, *Intersection properties of balls in spaces of compact operators*, Ann. Inst. Fourier Grenoble **28** (1978), 35–65. [MR 0511813](#)
- [28] J. Lindenstrauss, *Extension of compact operators*, Memoirs Amer. Math. Soc. **48**, Providence, RI, 1964. [MR 0179580](#)
- [29] J. Lindenstrauss and L. Tzafriri, *Classical Banach spaces I*, Springer, Berlin, 1977. [MR 0500056](#)
- [30] G. López, M. Martín and R. Payá, *Real Banach spaces with numerical index 1*, Bull. London Math. Soc. **31** (1999), 207–212. [MR 1664125](#)
- [31] G. Lumer, *Semi-inner-product spaces*, Trans. Amer. Math. Soc. **100** (1961), 29–43. [MR 0133024](#)
- [32] M. Martín, *Banach spaces having the Radon–Nikodým property and numerical index 1*, Proc. Amer. Math. Soc. **131** (2003), 3407–3410. [MR 1990629](#)
- [33] M. Martín, *The alternative Daugavet property for  $C^*$ -algebras and  $JB^*$ -triples*, Math. Nachr. **281** (2008), 376–385. [MR 2392119](#)
- [34] M. Martín, *Positive and negative results on the numerical index of Banach spaces and duality*, Proc. Amer. Math. Soc. **137** (2009), 3067–3075.
- [35] M. Martín and J. Merí, *A note on the numerical index of the  $L_p$  spaces of dimension two*, Linear Mult. Algebra **57** (2009), 201–204. [MR 2492102](#)
- [36] M. Martín and T. Oikhberg, *An alternative Daugavet property*, J. Math. Anal. Appl. **294** (2004), 158–180. [MR 2059797](#)
- [37] M. Martín and R. Payá, *On  $CL$ -spaces and almost- $CL$ -spaces*, Ark. Mat. **42** (2004), 107–118. [MR 2056547](#)
- [38] C. M. McGregor, *Finite dimensional normed linear spaces with numerical index 1*, J. London Math. Soc. **3** (1971), 717–721. [MR 0287288](#)
- [39] R. Payá, *A counterexample on numerical radius attaining operators*, Israel J. Math. **79** (1992), 83–101. [MR 1195254](#)
- [40] R. R. Phelps, *Convex functions, monotone operators and differentiability*, Lecture Notes in Math., vol. 1364, Springer, Berlin, 1993. [MR 1238715](#)
- [41] S. Reisner, *Certain Banach spaces associated with graphs and  $CL$ -spaces with 1-unconditional bases*, J. London Math. Soc. **43** (1991), 137–148. [MR 1099093](#)
- [42] W.-K. Tang, *On the extension of rotund norms*, Manuscripta Math. **91** (1996), 73–82. [MR 1404418](#)
- [43] O. Toeplitz, *Das algebraische Analogon zu einem Satze von Fejer*, Math. Z. **2** (1918), 187–197. [MR 1544315](#)
- [44] D. Werner, *The Daugavet equation for operators on function spaces*, J. Funct. Anal. **143** (1997), 117–128. [MR 1428119](#)

VLADIMIR KADETS, DEPARTMENT OF MECHANICS AND MATHEMATICS, KHARKOV NATIONAL UNIVERSITY, PL. SVOBODY 4, 61077 KHARKOV, UKRAINE

*E-mail address:* [vova1kadets@yahoo.com](mailto:vova1kadets@yahoo.com)

MIGUEL MARTÍN, DEPARTAMENTO DE ANÁLISIS MATEMÁTICO, FACULTAD DE CIENCIAS, UNIVERSIDAD DE GRANADA, 18071 GRANADA, SPAIN

*E-mail address:* [mmartins@ugr.es](mailto:mmartins@ugr.es)

JAVIER MERÍ, DEPARTAMENTO DE ANÁLISIS MATEMÁTICO, FACULTAD DE CIENCIAS, UNIVERSIDAD DE GRANADA, 18071 GRANADA, SPAIN

*E-mail address:* [jmeri@ugr.es](mailto:jmeri@ugr.es)

RAFAEL PAYÁ, DEPARTAMENTO DE ANÁLISIS MATEMÁTICO, FACULTAD DE CIENCIAS, UNIVERSIDAD DE GRANADA, 18071 GRANADA, SPAIN

*E-mail address:* [rpaya@ugr.es](mailto:rpaya@ugr.es)