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CLASSIFICATIONS OF BAIRE-1 FUNCTIONS AND c_0 -SPREADING MODELS

V. FARMAKI

ABSTRACT. We prove that if for a bounded function f defined on a compact space K there exists a bounded sequence (f_n) of continuous functions, with spreading model of order ξ , $1 \leq \xi < \omega_1$, equivalent to the summing basis of c_0 , converging pointwise to f , then $r_{\text{ND}}(f) > \omega^\xi$ (the index r_{ND} as defined by A. Kechris and A. Louveau). As a corollary of this result we have that the Banach spaces $V_\xi(K)$, $1 \leq \xi < \omega_1$, which previously defined by the author, consist of functions with rank greater than ω^ξ . For the case $\xi = 1$ we have the equality of these classes. For every countable ordinal number ξ we construct a function S with $r_{\text{ND}}(S) > \omega^\xi$. Defining the notion of null-coefficient sequences of order ξ , $1 \leq \xi < \omega_1$, we prove that every bounded sequence (f_n) of continuous functions converging pointwise to a function f with $r_{\text{ND}}(f) \leq \omega^\xi$ is a null-coefficient sequence of order ξ . As a corollary to this we have the following c_0 -spreading model theorem: Every nontrivial, weak-Cauchy sequence in a Banach space either has a convex block subsequence generating a spreading model equivalent to the summing basis of c_0 or is a null-coefficient sequence of order 1.

INTRODUCTION

In the last few years various classifications of the class $B_1(K)$ of bounded Baire-1 functions on a compact metric space K were given by many authors (see [1, 7, 8]). Recently in [5] the class $B_1(K)$ was classified into a transfinite, decreasing hierarchy $V_\xi(K)$, $1 \leq \xi < \omega_1$, of Banach spaces. The first space coincides with $B_{1/4}(K)$, which was first defined in [7]; and the intersection of all $V_\xi(K)$ is equal to the space $\text{DBSC}(K)$ of differences of bounded semicontinuous functions on K . As proved in [7] and [5], $f \in B_{1/4}(K)$ if and only if there exists a sequence (f_n) of continuous functions on K converging pointwise to f and generating a spreading model equivalent to the summing basis of c_0 . Extending the notion of spreading models in [5], it is proved that the functions in $V_\xi(K)$ have a stronger property, namely, that there exists a sequence of continuous functions on K with spreading model of order ξ equivalent to the summing basis of c_0 , converging pointwise to f .

A. Kechris and A. Louveau in [8] defined a natural rank r_{ND} on every bounded function f defined on a compact metric space K not in $\text{DBSC}(K)$, which has values of the form ω^ξ for countable ordinals ξ [6] (by [8] all such ordinals are obtained). With a different terminology but equivalent formulation

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this index is used by H. Rosenthal in [9] to prove the important result: that every bounded sequence (f_n) of continuous functions on K converging pointwise to a function f not in $\text{DBSC}(K)$ has a strongly summing subsequence. From this result and the characterization of functions in $\text{DBSC}(K)$ given by C. Bessaga and A. Pelczynski [4], there follows the c_0 -theorem of Rosenthal, namely, that every nontrivial, weak-Cauchy sequence in a Banach space has either a strongly summing subsequence or a convex block basis equivalent to the summing basis of c_0 .

In this paper we give a relation between the rank r_{ND} and the functions which are pointwise limits of sequences of continuous functions with spreading model of order ξ , $1 \leq \xi < \omega_1$, equivalent to the summing basis of c_0 . Namely, we prove (Theorem 9) that if for a bounded function f defined on a compact metric space K there exists a bounded sequence (f_n) of continuous functions on K , with spreading model of order ξ ($1 \leq \xi < \omega_1$), equivalent to the summing basis of c_0 , converging pointwise to f , then $r_{\text{ND}}(f) > \omega^\xi$. As a corollary of this result we have that for every $1 \leq \xi < \omega_1$

$$V_\xi(K) \subseteq \{f \in B_1(K) : r_{\text{ND}}(f) > \omega^\xi\}.$$

For the case $\xi = 1$ we have the equality of these classes. Finally, for every countable ordinal number ξ we construct a linear, Baire-1 function S on a compact metric space K which is not in $\text{DBSC}(K)$ and prove that $r_{\text{ND}}(S) > \omega^\xi$ using Theorem 9.

Defining the notion of null-coefficient sequences of order ξ , $1 \leq \xi < \omega_1$, we prove a result similar to Rosenthal's for the case of functions with rank less or equal to ω^ξ . Namely, we prove that every bounded sequence (f_n) of continuous functions converging pointwise to a function f with $r_{\text{ND}}(f) \leq \omega^\xi$ ($1 \leq \xi < \omega$) is null-coefficient of order ξ (Theorem 14). In particular (case $\xi = 1$) it is proved that $f \notin B_{1/4}(K)$ if and only if every bounded sequence of continuous functions converging pointwise to f is null-coefficient of order 1. As a corollary to this and the characterization of functions in $B_{1/4}(K) \setminus C(K)$ given in [5] we have the following c_0 -spreading model theorem: Every non-trivial, weak-Cauchy sequence in a Banach space either has a convex block subsequence generating a spreading model equivalent to the summing basis of c_0 or is a null-coefficient sequence of order 1 (Theorem 18).

We will use standard terminology and notation. For completeness we will give some definitions and notation which we will use in the following.

Let K be a compact, metrizable space. The class of continuous functions on K is denoted by $C(K)$ and the class of Baire-1 functions on K (i.e., the pointwise limits of uniformly bounded sequences of continuous functions on K) by $B_1(K)$. $\text{DBSC}(K)$ denotes the subclass of $B_1(K)$ consisting of differences of bounded semicontinuous functions. It is easy to see that

$$\begin{aligned} \text{DBSC}(K) = \{f \in B_1(K) : \text{there exists } (f_n) \subseteq C(K) \\ \text{so that } f = \sum f_n \text{ and } \sum |f_n| \text{ is bounded}\}. \end{aligned}$$

The class $\text{DBSC}(K)$ is a Banach space with respect to the norm

$$\|f\|_D = \inf \left\{ \left\| \sum |f_n| \right\|_\infty : (f_n) \subseteq C(K) \text{ and } \sum f_n = f \right\}.$$

It is not hard to check that $\|f\|_\infty \leq \|f\|_D$, but the two norms are not equivalent in general. The norm-closure of $\text{DBSC}(K)$ is denoted by $B_{1/2}(K)$ in [7]. In the same paper the authors define the subclass $B_{1/4}(K)$ by

$$B_{1/4}(K) = \left\{ f \in B_1(K) : \text{there exists } (f_n) \subseteq \text{DBSC}(K) \right. \\ \left. \text{such that } \|f_n - f\|_\infty \rightarrow 0 \text{ and } \sup_n \|f_n\|_D < \infty \right\}.$$

The space $B_{1/4}(K)$ is complete with respect to the norm

$$\|f\|_{1/4} = \inf \left\{ \sup_n \|f_n\|_D : (f_n) \subseteq \text{DBSC}(K) \text{ and } \|f_n - f\|_\infty \rightarrow 0 \right\}.$$

In [5] this definition was extended in the transfinite as follows: Let

$$V_1(K) = B_{1/4}(K) \text{ and } \| \cdot \|_1 = \| \cdot \|_{1/4}.$$

If the normed space $(V_\xi(K), \| \cdot \|_\xi)$ has been defined, then

$$V_{\xi+1}(K) = \{ f \in B_1(K) : \text{there exists } (f_n) \subseteq \text{DBSC}(K) \\ \text{with } \|f_n - f\|_\xi \rightarrow 0 \text{ and } \sup \|f_n\|_D < \infty \}$$

and

$$\|f\|_{\xi+1} = \inf \left\{ \sup_n \|f_n\|_D : (f_n) \subseteq \text{DBSC}(K) \text{ and } \|f_n - f\|_\xi \rightarrow 0 \right\}.$$

Finally, for a limit ordinal ξ

$$\|f\|_\xi = \sup \{ \|f\|_\beta : 1 \leq \beta < \xi \} \text{ for every } f \in \bigcap_{\beta < \xi} V_\beta(K)$$

and

$$V_\xi(K) = \{ f \in B_1(K) : \|f\|_\xi < \infty \}.$$

The spaces $(V_\xi(K), \| \cdot \|_\xi)$, $1 \leq \xi < \omega_1$, are complete, and their intersection coincides with $\text{DBSC}(K)$ [5]. It is easy to see that $V_\xi(K) \subseteq V_\beta(K)$ and $\|f\|_\infty \leq \|f\|_\beta \leq \|f\|_\xi$ for every $f \in V_\xi(K)$ and $\beta < \xi < \omega_1$. According to [7] and [5], the functions in $B_{1/4}(K) \setminus C(K)$ are characterized in terms of c_0 -spreading models and the functions in $V_\xi(K) \setminus C(K)$ have an analogous stronger property. As we will need these results, we include a precise statement:

Let (x_n) be a seminormalized basic sequence in a Banach space X . A basic sequence (e_n) is said to be a spreading model of (x_n) if for every $k \in \mathbb{N}$ and $\varepsilon > 0$ there exists $m \in \mathbb{N}$ so that if $m < n_1 < n_2 < \dots < n_k$, then

$$\left\| \left\| \sum_{i=1}^k \lambda_i x_{n_i} \right\| - \left\| \sum_{i=1}^k \lambda_i e_i \right\| \right\| < \varepsilon \text{ for all scalars } \lambda_1, \dots, \lambda_k \text{ with } \max_{1 \leq i < k} |\lambda_i| \leq 1.$$

Every seminormalized basic sequence has a subsequence generating a spreading model.

If H, F are two finite subsets of \mathbb{N} , we denote $H < F$ iff $\max H < \min F$.

The summing basis (s_n) of c_0 is characterized by

$$\left\| \sum_{i=1}^\infty \lambda_i s_i \right\| = \sup_n \left| \sum_{i=1}^n \lambda_i \right|.$$

Definition 1 [1]. For every limit ordinal ξ , let (ξ_n) be a sequence of ordinal numbers strictly increasing to ξ . We define:

$$\mathcal{F}_0 = \{\{n\}: n \in \mathbb{N}\},$$

$$\mathcal{F}_{\xi+1} = \{F \subseteq \mathbb{N}: F \subseteq F_1 \cup \dots \cup F_n \text{ with } \{n\} \leq F_1 < \dots < F_n \text{ and } F_i \in \mathcal{F}_\xi, \\ i = 1, \dots, n\},$$

and if ξ is a limit ordinal

$$\mathcal{F}_\xi = \{F \subseteq \mathbb{N}: F \in \mathcal{F}_{\xi_n} \text{ and } n \leq \min F\}.$$

Definition 2. Let X be a Banach space and (x_n) a sequence in X . We say that (x_n) has a spreading model of order ξ equivalent (or δ -equivalent) to the summing basis of c_0 if there exists $\delta > 0$ such that

$$(1/\delta) \left\| \sum_{i=1}^k \lambda_i s_i \right\|_\infty \leq \left\| \sum_{i=1}^k \lambda_i x_{n_i} \right\| \leq \delta \left\| \sum_{i=1}^k \lambda_i s_i \right\|_\infty,$$

for every $(n_1, \dots, n_k) \in \mathcal{F}_\xi$ and scalars $\lambda_1, \dots, \lambda_k$.

It is easy to see that a sequence (y_n) in X has a subsequence generating a spreading model equivalent to the summing basis of c_0 if and only if it has a subsequence with spreading model of order 1 equivalent to the summing basis of c_0 .

Theorem 3 [5, 7]. *Let K be a compact metric space, f a real bounded function on K , and ξ a countable ordinal number. If $f \in V_\xi(K) \setminus C(K)$, then there exists a sequence $(f_n) \subseteq C(K)$, with spreading model of order ξ (for every choice of (\mathcal{F}_ξ)) equivalent to the summing basis of c_0 , converging pointwise to f . Moreover, $f \in B_{1/4}(K) \setminus C(K)$ if and only if there exists $(f_n) \subseteq C(K)$, with spreading model (or order 1) equivalent to the summing basis of c_0 , converging pointwise to f .*

In [8] the authors define a natural rank r_{ND} on every bounded function defined on a compact metric space K , as follows:

Let f be a bounded function on K . One defines the upper regularization of f , $\text{ur}(f)$ (usually denoted by \hat{f}), by

$$\text{ur}(f) = \inf\{g: g \in C(K) \text{ and } g \geq f\}.$$

The function $\text{ur}(f)$ is upper semicontinuous, and one has

$$\text{ur}(f)(x) = \overline{\lim}_{y \rightarrow x} f(y) = \max\{L \in [-\infty, \infty]: \exists x_n \rightarrow x, f(x_n) \rightarrow L\}$$

$$= \inf \left\{ \sup_{y \in U} f(y): U \text{ is a neighbourhood of } x \right\}.$$

In [8] the authors associate with each bounded function f an increasing sequence $(f_\xi)_{1 \leq \xi < \omega_1}$ of upper semicontinuous functions. In a different formulation (but equivalently) in [9] the author defines an increasing sequence $(u_\xi(f))_{1 \leq \xi < \omega_1}$ as

$$u_1(f) = \text{ur}(\text{ur}(f) - f).$$

If $u_\xi(f)$ is defined,

$$u_{\xi+1}(f) = \text{ur}(\text{ur}(u_\xi(f) + f) - f).$$

For a limit ξ , $u_\xi(f)$ is defined if and only if $u_\beta(f)$ is defined for all $\beta < \xi$ and $\sup_{\beta < \xi} u_\beta(f)$ is bounded, and then

$$u_\xi(f) = \text{ur} \left(\sup_{\beta < \xi} u_\beta(f) \right).$$

According to [8], f is in $\text{DBSC}(K)$ if and only if $u_\xi(f)$ is defined for all $\xi < \omega_1$ or, equivalently, if there exists a $\xi < \omega_1$ such that $u_\xi(f)$ is defined and $u_{\xi+1}(f) = u_\xi(f)$. Hence, to every bounded function f on K there corresponds a rank:

$$r_{\text{ND}}(f) = \inf\{1 \leq \xi < \omega_1 : u_\xi(f) \text{ is undefined}\}, \quad \text{if such a } \xi \text{ exists}$$

and $r_{\text{ND}}(f) = \omega_1$ otherwise.

Note that the values of this rank are always limit ordinals. It is proved in [6] that if $f \notin \text{DBSC}(K)$, then $r_{\text{ND}}(f) = \omega^\xi$ for some $1 \leq \xi < \omega_1$ (by [8] all such ordinals are obtained) according to the following lemma.

Lemma 4 [6]. *Let f be a bounded function on K , and suppose that $u_\xi(f)$ is defined. Then $u_{\xi+n}(f)$ is defined and $\|u_{\xi+n}(f)\|_\infty \leq n\|u_\xi(f)\|_\infty$ for all $n \in \mathbb{N}$.*

Proof. Let $M = \|u_\xi(f)\|_\infty$. By induction $u_{\xi+\beta}(f)$ is defined and $M + u_\beta(f) \geq u_{\xi+\beta}(f)$ for every $\beta \leq \xi$. Finally, $u_{\xi+2}(f)$ is defined and $\|u_{\xi+2}(f)\|_\infty \leq 2\|u_\xi(f)\|_\infty$. The result then follows by induction on n .

In the proof of the main theorem we will use two lemmas which are proved in [9]. For completeness we give them below.

Lemma 5 [9]. *Let f be a bounded real function defined on a compact metric space K , ξ a countable ordinal number, and $x \in K$. Assume that $0 < u_\xi(f)(x) < u_{\xi+1}(f)(x) = M < \infty$. If U is an open neighborhood of x and $0 < \varepsilon < 1$, then there exist positive numbers λ, δ , and $x_1 \in U$ such that:*

- (i) $(1 - \varepsilon_1)M < \lambda + \delta < (1 - \varepsilon_1)M$,
- (**) (ii) $x_1 \in \text{cl}(L)$, where $L = \{y \in K : \lambda \leq u_\xi(f)(y) < (1 - \varepsilon_1)M - \delta\}$,
- (iii) $\overline{\lim}_{y \in L, y \rightarrow x_1} (f(y) - f(x_1)) = \delta$.

Lemma 6 [9]. *Let K be a compact metric space and $(f_n) \subseteq C(K)$ converging pointwise to a bounded function f . If $x_1 \in K$, L is a subset of K with $x_1 \in \text{cl}(L)$, $\delta = \overline{\lim}_{y \in L, y \rightarrow x_1} (f(y) - f(x_1)) > 0$, $0 < \varepsilon < 1$, and U is an open neighborhood of x_1 , then there exists a subsequence (f_{n_t}) of (f_n) such that given $t > 1$ there exists an $x_2 \in U \cap L$ satisfying:*

- (i) $f(x_2) - f(x_1) > (1 - \varepsilon)\delta$,
- (ii) $\sum_{1 \leq i < t} |f_{n_i}(x_2) - f(x_1)| < \varepsilon\delta$,
- (*) (iii) $\sum_{i \geq t} |f_{n_i}(x_2) - f(x_2)| < \varepsilon\delta$.

We will define for every countable ordinal number ξ a family \mathcal{A}_ξ of finite subsets of \mathbb{N} such that $\mathcal{A}_{\omega^\beta} = \mathcal{F}_\beta$ for every $1 \leq \beta < \omega_1$.

Definition 7. Let $(\mathcal{F}_\xi)_{1 \leq \xi < \omega_1}$ be a family of finite subsets of \mathbb{N} as described in Definition 1. We define:

$$\mathcal{A}_1 = \{F \subset \mathbb{N} : \#F = 2\},$$

$$\mathcal{A}_{\xi+1} = \{F \subseteq \mathbb{N} : F \subseteq F_1 \cup F_2 \text{ where } F_1 < F_2, F_1 \in \mathcal{A}_1, \text{ and } F_2 \in \mathcal{A}_\xi\}.$$

If ξ is a limit ordinal, then $\xi = \sum_{i=1}^m \rho_i \omega^{\beta_i}$, where $m, \rho_1, \dots, \rho_m \in \mathbb{N}$ and β_1, \dots, β_m are ordinal numbers with $\beta_1 > \dots > \beta_m > 0$. We define

$$\mathcal{A}_{\rho\omega^\beta} = \{F \subseteq \mathbb{N} : F \subseteq F_1 \cup \dots \cup F_\rho \text{ with } F_1 < \dots < F_\rho \text{ and } F_i \in \mathcal{F}_\beta \text{ for } i = 1, \dots, \rho\}$$

and in general

$$\mathcal{A}_\xi = \left\{ F \subseteq \mathbb{N} : F \subseteq F_1 \cup F_2 \text{ with } F_1 < F_2, F_1 \in \mathcal{A}_\gamma, \text{ and } F_2 \in \mathcal{A}_\beta \right. \\ \left. \text{where } \gamma = \rho_m \omega^{\beta_m}, \beta = \sum_{i=1}^{m-1} \rho_i \omega^{\beta_i} \right\}.$$

The following theorem is inspired by Theorem 4.1 of Rosenthal in [9].

Theorem 8. Let f be a real function defined on a compact metric space K and (f_n) a uniformly bounded sequence of continuous functions converging pointwise to f . Let also ξ be a countable ordinal and $x \in K$ with $0 < u_\xi(f)(x) < \infty$. For every open neighborhood U of x and $0 < \varepsilon < 1$ there exists a subsequence (f_{n_i}) of (f_n) with the following properties: Given an infinite sequence of integers $1 \leq t_1 < t_2 < \dots$ there exists $F \in \mathcal{A}_\xi$, where $F = \{n_{t_1} < \dots < n_{t_k}\}$ ($k \in \mathbb{N}$), and $y \in U$ such that:

- (i) $f_{n_{t_i}} - f_{n_{t_{i-1}}}(y) > 0$ for $i = 1, \dots, k$ and
- (ii) $\sum_{i=1}^k f_{n_{t_i}} - f_{n_{t_{i-1}}}(y) > (1 - \varepsilon)u_\xi(f)(x)$.

Proof. The argument is similar to the proof of Theorem 4.1 in [9], except that additional work is required to locate F in \mathcal{A}_ξ .

Let $1 < \varepsilon < 0$ and U be an open neighborhood of x .

Case $\xi = 1$. Let $0 < \varepsilon_1 < 1$ with $(1 - \varepsilon_1)(1 - 3\varepsilon_1) > 1 - \varepsilon$ and $M = u_1(f)(x)$. According to the definition there exists $x_1 \in U$ with

$$(1 - \varepsilon_1)M < \text{ur}(f)(x_1) - f(x_1) = \delta < (1 - \varepsilon_1)M.$$

From Lemma 6 there exists a subsequence (f_{n_i}) of (f_n) such that given $t > 1$ there exists $x_2 \in U$ satisfying (*) (i)–(iii):

- (i) $f(x_2) - f(x_1) > (1 - \varepsilon_1)\delta$,
 - (ii) $\sum_{1 \leq i < t} |f_{n_i}(x_2) - f(x_1)| < \varepsilon_1\delta$,
 - (iii) $\sum_{i \geq t} |f_{n_i}(x_2) - f(x_2)| < \varepsilon_1\delta$.
- (*)

Then given $1 \leq t_1 < t_2$ there exists $x_2 \in U$ satisfying (*) for $t = t_2$. Thus $F = \{n_{t_1}, n_{t_2}\} \in \mathcal{A}_1$ and

$$f_{n_{t_2}}(x_2) - f_{n_{t_1}}(x_2) > f(x_2) - f(x_1) - 2\varepsilon_1\delta \\ > (1 - \varepsilon_1)\delta - 2\varepsilon_1\delta > (1 - 3\varepsilon_1)(1 - \varepsilon_1)M > (1 - \varepsilon)M.$$

Case $\xi + 1$. Suppose the result is established for ξ . Let $0 < u_{\xi+1}(f)(x) = M < \infty$ and $0 < \varepsilon_1 < 1$ with $(1 - \varepsilon_1)(1 - 3\varepsilon_1) > 1 - \varepsilon$. We may assume that $0 < u_\xi(f)(x) < u_{\xi+1}(f)(x)$. Otherwise, if $0 < u_\xi(f)(x) = u_{\xi+1}(f)(x)$, the result follows by hypothesis and $u_\xi(f)(x) = 0$ is impossible.

According to Lemma 5 there exist $\lambda > 0$, $\delta > 0$, and $x_1 \in U$ satisfying (**)
(i)–(iii):

- (i) $(1 - \varepsilon_1)M < \lambda + \delta < (1 - \varepsilon_1)M$,
- (**) (ii) $x_1 \in \text{cl}(L)$, where $L = \{y \in K : \lambda \leq u_\xi(f)(y) < (1 - \varepsilon_1)M - \delta\}$,
- (iii) $\overline{\lim}_{y \in L, y \rightarrow x_1} (f(y) - f(x_1)) = \delta$.

From Lemma 6 there exists a subsequence (f_{n_i}) of (f_n) such that given $t > 1$ there exists $x_2 \in U \cap L$ satisfying (*) (i)–(iii). Without loss of generality we may assume that (f_n) itself has this property.

We will construct positive integers n_s , $s \in \mathbb{N}$, and infinite subsets M_s , $s \in \mathbb{N}$, of \mathbb{N} satisfying (***) (i)–(viii):

- (i) $n_1 < \dots < n_s < M_s$,
- (ii) $M_s \subseteq M_{s-1}$,
- (iii) $n_s = \min M_{s-1}$.

Given $r \in \mathbb{N}$ with $1 < r \leq s$ there exist an open set $V \subseteq U$ and $x_2 \in V$ so that:

- (***) (iv) $f(x_2) - f(x_1) > (1 - \varepsilon_1)\delta$,
- (v) $\sum_{1 \leq i < r} |f_{n_i}(y) - f(x_1)| < \varepsilon_1\delta$ for every $y \in V$,
- (vi) $\sum_{r \leq i \leq s} |f_{n_i}(y) - f(x_2)| < \varepsilon_1\delta$ for every $y \in V$,
- (vii) $\lambda \leq u_\xi(f)(x_2) < (1 + \varepsilon_1)M - \delta$,
- (viii) given $\{m_1, m_2, \dots\} \subseteq M_s$ with $1 \leq m_1 < m_2 < \dots$ there exists $y \in V$ and $F = \{m_1, m_2, \dots, m_{2k}\} \in \mathcal{A}_\xi$ ($k \in \mathbb{N}$) such that $f_{m_{2i}} - f_{m_{2i-1}}(y) > 0$, $i = 1, \dots, k$, and

$$\sum_{i=1}^k f_{m_{2i}} - f_{m_{2i-1}}(y) > (1 - \varepsilon_1)u_\xi(f)(x_2).$$

Let $M_1 = \mathbb{N} \setminus \{1\}$, $n_1 = 1$, and $n_2 = 2$. We set $s = 2 = r$. As we assumed previously, there exists $x_2 \in U \cap L$ such that

$$f(x_2) - f(x_1) > (1 - \varepsilon_1)\delta, \quad |f_1(x_2) - f(x_1)| < \varepsilon_1\delta, \quad \sum_{i \geq 2} |f_i(x_2) - f(x_2)| < \varepsilon_1\delta.$$

Using the continuity of f_1 and f_2 we can choose an open subset V of U with $x_2 \in V$ such that $|f_1(y) - f(x_1)| < \varepsilon_1\delta$ and $|f_2(y) - f(x_2)| < \varepsilon_1\delta$ for every $y \in V$. Finally, using the induction hypothesis we choose an infinite subset M_2 of \mathbb{N} with $2 < M_2$ satisfying the conclusion of the theorem for the case ξ , $\varepsilon = \varepsilon_1$, $U = V$, and $x = x_2$. The proof for $s = 2 = r$ is complete.

Let $s \geq 2$, and suppose that $n_1, \dots, n_s, M_1, \dots, M_s$ have been constructed. Then $n_{s+1} = \min M_s$. We will construct infinite subsets M^1, M^2, \dots, M^{s+1} of \mathbb{N} such that $M_s \setminus \{n_{s+1}\} = M^1 \supseteq M^2 \supseteq \dots \supseteq M^{s+1}$ and for every $1 < r \leq s + 1$ there is an open subset V of U and $x_2 \in V$ satisfying (***) (iv)–(viii), where we replace “ s ” by “ $s + 1$ ” in (vi) and “ M_s ” by “ M^r ” in (viii). Once this is done we set $M_{s+1} = M^{s+1}$.

Let $1 < r \leq s + 1$, and suppose M^{r-1} is defined. Using the property of (f_n) we can find $x_2 \in U \cap L$ satisfying $(*)$ (i)–(iii) for $t = n_r$. Hence we have

$$f(x_2) - f(x_1) > (1 - \varepsilon_1)\delta,$$

$$\sum_{1 \leq i < r} |f_{n_i}(x_2) - f(x_1)| < \varepsilon_1\delta, \quad \sum_{r \leq i \leq s+1} |f_{n_i}(x_2) - f(x_2)| < \varepsilon_1\delta.$$

Using the continuity of $f_{n_1}, \dots, f_{n_{s+1}}$ we can find an open subset V of U with $x_2 \in V$ satisfying $(***)$ (v) and $(***)$ (vi) with “ s ” replaced by “ $s + 1$ ”. At last by the induction hypothesis we choose $M^r \subseteq M^{r-1}$ so that $(***)$ (viii) holds with “ M_s ” replaced by “ M^r ”.

The sequence (f_{n_i}) satisfies the conclusion of the theorem for the case $\xi + 1$. Indeed, let $1 \leq r_1 < r_2 < t_1 < t_2 < \dots$ be an infinite sequence of integers. We set $m_i = n_{t_i}$ for every $i \in \mathbb{N}$. Then $m_1 < m_2 < \dots$ and $\{m_1, m_2, \dots\} \subseteq M_{t_1-1}$. Hence from $(***)$ there exist an open subset V of U and $x_2 \in V$ such that

$$f(x_2) - f(x_1) > (1 - \varepsilon_1)\delta,$$

$$|f_{n_{r_1}}(y) - f(x_1)| < \varepsilon_1\delta, \quad |f_{n_{r_2}}(y) - f(x_2)| < \varepsilon_1\delta \text{ for every } y \in V,$$

$$\lambda \leq u_\xi(f)(x_2) < (1 + \varepsilon_1)M - \delta.$$

Also there exist $y \in V$ and $F_2 = \{m_1, m_2, \dots, m_{2k}\} \in \mathcal{A}_\xi$ such that

$$f_{m_{2i}} - f_{m_{2i-1}}(y) > 0 \text{ for all } 1 \leq i \leq k \text{ and } \sum_{i=1}^k f_{m_{2i}} - f_{m_{2i-1}}(y) > (1 - \varepsilon_1)u_\xi(f)(x_2).$$

Set $F = \{n_{r_1}, n_{r_2}\} \cup F_2 \in \mathcal{A}_{\xi+1}$. Then

$$f_{n_{r_1}} - f_{n_{r_2}}(y) > f(x_2) - f(x_1) - 2\varepsilon_1\delta > (1 - \varepsilon_1)\delta - 2\varepsilon_1\delta > (1 - 3\varepsilon_1)\delta > 0$$

and

$$f_{n_{r_1}} - f_{n_{r_2}}(y) + \sum_{i=1}^k f_{m_{2i}} - f_{m_{2i-1}}(y) > (1 - 3\varepsilon_1)\delta + (1 - \varepsilon_1)u_\xi(f)(x_2)$$

$$\geq (1 - 3\varepsilon_1)\delta + (1 - \varepsilon_1)\lambda > (1 - 3\varepsilon_1)(\delta + \lambda)$$

$$> (1 - 3\varepsilon_1)(1 - \varepsilon_1)M > (1 - \varepsilon)M.$$

This finishes the proof of the theorem for the case $\xi + 1$.

Case ξ : limit ordinal. Suppose the theorem is proved for all ordinal numbers a with $a < \xi$. By the definition of $u_\xi(f)(x)$ there exist $x_1 \in U$ and $a < \xi$ such that:

$$(1 - \varepsilon/2)u_\xi(f)(x) < u_a(f)(x_1) < (1 + \varepsilon/2)u_\xi(f)(x).$$

In particular, if $\xi = \sum_{i=1}^m \rho_i \omega^{\beta_i}$, where m, ρ_1, \dots, ρ_m are positive natural numbers and $\beta_1 > \beta_2 > \dots > \beta_m > 0$ are countable ordinal numbers, then we can choose $\mu \in \mathbb{N}$ such that $a = \beta + \gamma$, where $\beta = \sum_{i=1}^{m-1} \rho_i \omega^{\beta_i}$ ($\beta = 0$ if $m = 1$) and $\gamma = (\rho_m - 1)\omega^{\beta_m} + \mu\omega^\zeta$ if $\beta_m = \zeta + 1$ or $\gamma = (\rho_m - 1)\omega^{\beta_m} + \omega^{\zeta_\mu}$ if β_m is a limit ordinal and (ζ_n) is the sequence of ordinal numbers strictly increasing to β_m .

Now, from the inductive hypothesis there exists a subsequence (f_{n_i}) of (f_n) such that $2\mu < n_1$ and given $t_1 < t_2 < \dots$ an infinite sequence of integers there exists $k \in \mathbb{N}$ and $y \in U$ such that $F = \{n_{t_1}, \dots, n_{t_k}\} \in \mathcal{A}_a$,

$$f_{n_{2i}} - f_{n_{2i-1}}(y) > 0 \quad \text{for } i = 1, \dots, k$$

and

$$\sum_{i=1}^k f_{n_{2i}} - f_{n_{2i-1}}(y) > (1 - \varepsilon/2)u_a(f)(x_1) > (1 - \varepsilon)u_\xi(f)(x).$$

We claim that $F \in \mathcal{A}_\xi$. Indeed, we have that $2\mu < F$. If $\xi = \omega$, then $F \in \mathcal{A}_\mu$ and since $\#F \leq 2\mu$ we have that $F \in \mathcal{F}_1 = \mathcal{A}_\omega$. If $\xi = \omega^{\zeta+1}$, then $F \in \mathcal{A}_{\mu\omega^\zeta}$ and since $F \subseteq F_1 \cup \dots \cup F_\mu$, where $F_1 < \dots < F_\mu$ and $F_i \in \mathcal{F}_\xi$ for all $i = 1, \dots, \mu$, we have that $F \in \mathcal{F}_{\zeta+1} = \mathcal{A}_\xi$. If $\xi = \omega^\beta$ and β is a limit ordinal, then if (β_n) is the sequence of ordinals increasing to β , we have $F \in \mathcal{F}_{\beta_n}$ and finally $F \in \mathcal{F}_\beta = \mathcal{A}_\xi$. Let $\xi = \rho\omega^\beta$, where $\rho \in \mathbb{N}$, $\rho > 1$, and $1 \leq \beta < \omega_1$. Then $F \in \mathcal{A}_\gamma$, where $\gamma = (\rho - 1)\omega^\beta + \gamma_\mu$ with $\gamma_\mu = \mu\omega^\zeta$ if $\beta = \zeta + 1$ or $\gamma_\mu = \omega^{\beta_\mu}$ if β is a limit ordinal. Since $F \subseteq F_1 \cup \dots \cup F_\rho$, where $F_1 \in \mathcal{A}_{\gamma_\mu}$ and $F_2 < \dots < F_\rho \in \mathcal{F}_\beta$, it follows, analogously to the previous cases, that $F_1 \in \mathcal{F}_\beta$ and finally that $F \in \mathcal{A}_\xi$. In general, if $\xi = \sum_{i=1}^m \rho_i \omega^{\beta_i}$ with $m > 1$, $\rho_1, \dots, \rho_m > 0$, and $\beta_1 > \dots > \beta_m > 0$, then $F \in \mathcal{A}_{\beta+\gamma}$ and since $F \subseteq F_1 \cup F_2$, where $F_1 \in \mathcal{A}_\gamma$, $F_2 \in \mathcal{A}_\beta$, and $F_1 < F_2$, we have, analogously to the previous cases, that $F_1 \in \mathcal{A}_\zeta$, where $\zeta \in \rho_m \omega^{\beta_m}$ and finally that $F \in \mathcal{A}_\xi$. This completes the proof of the theorem.

From the previous theorem we have the main theorem:

Theorem 9. *Let f be a bounded function defined on a compact metric space K , let (f_n) be a uniformly bounded sequence of continuous functions converging pointwise to f , and let ξ be a countable ordinal number. If (f_n) has spreading model of order ξ equivalent to the summing basis of c_0 , then $u_{\omega^\xi}(f)$ is defined, equivalently $r_{\text{ND}}(f) > \omega^\xi$.*

Proof. Let (f_n) have spreading model of order ξ δ -equivalent (for some $\delta > 0$) to the summing basis of c_0 , and suppose $u_{\omega^\xi}(f)$ is undefined. Let $r_{\text{ND}}(f) = \omega^\zeta$, with $\zeta \leq \xi$, according to Lemma 4. Hence there exist $x \in K$ and a countable ordinal number a , with $a < \omega^\zeta$, such that $2\delta < u_a(f)(x) < \infty$. We can choose $\mu \in \mathbb{N}$ such that $a = \mu\omega^\beta$ if $\zeta = \beta + 1$ or $a = \omega^{\zeta_\mu}$ if ζ is a limit ordinal and (ζ_n) is the sequence of ordinal numbers strictly increasing to ζ .

From the definition of the families \mathcal{F}_ξ , $1 \leq \xi < \omega_1$, it is easy to see that for every $\zeta < \xi < \omega_1$ there exists $v(\zeta, \xi) \in \mathbb{N}$ such that if $F \in \mathcal{F}_\zeta$ and $v(\zeta, \xi) < F$, then $F \in \mathcal{F}_\xi$ (see [2]).

Let $v = \max(v(\zeta, \xi), \mu)$. According to Theorem 8 there exist $F \in \mathcal{A}_a$ with $2v < F = \{n_1, \dots, n_{2k}\}$ ($k \in \mathbb{N}$) and $y \in K$ such that

$$\sum_{i=1}^k f_{n_{2i}} - f_{n_{2i-1}}(y) > (1/2)u_a(f)(x) > \delta.$$

Since $2\mu < F$, we have that $F \in \mathcal{F}_\zeta$ (see the proof of Theorem 8, case ξ : limit ordinal). Consequently, since $v(\zeta, \xi) < F$, we have that $F \in \mathcal{F}_\xi$. This is a contradiction, because (f_n) has spreading model of order ξ δ -equivalent to the summing basis of c_0 . Hence $u_{\omega^\xi}(f)$ is defined.

The following two corollaries are already proved in [6]. Here we give a proof using the previous theorem.

Corollary 10. *For every compact metric space K and countable ordinal number ξ we have $V_\xi(K) \subseteq \{f \in B_1(K) : r_{\text{ND}}(f) > \omega^\xi\}$.*

Proof. This is true according to the previous theorem and Theorem 3.

For the case $\xi = 1$ the two classes are equal, according to the following:

Corollary 11. *Let K be a compact metric space and f a function on K which is not continuous. The following are equivalent:*

- (i) $f \in B_{1/4}(K)$,
- (ii) $r_{ND}(f) > \omega$,
- (iii) *there exists a bounded sequence $(f_n) \subseteq C(K)$ converging pointwise to f and generating a spreading model equivalent to the summing basis of c_0 .*

Proof. The equivalence of (i) and (iii) is proved in [7] and [5]. According to the previous corollary (i) implies (ii). That (ii) implies (i) is proved in [6].

After these results the following interesting problem remains:

Problem. Is it true that for every compact metric space K and every ordinal number $\xi < \omega_1$ we have $V_\xi(K) = \{f \in B_1(K) : r_{ND}(f) > \omega^\xi\}$?

For every countable ordinal number ξ we will construct a Baire-1 function which is not a difference of bounded semicontinuous functions and has rank greater than ω^ξ .

Example 12. For every countable ordinal ξ , let T_ξ be the Tsirelson-like space which is defined by S. Argyros in [2]. For completeness we recall the definition of T_ξ .

Let $x : \mathbb{N} \rightarrow \mathbb{R}$ be a finitely supported function. For every $m \in \mathbb{N}$ set

$$\|x\|_0^\xi = \sup\{|x(p)| : p \in \mathbb{N}\} \text{ and}$$

$$\|x\|_{m+1}^\xi = \max \left\{ \|x\|_m^\xi, \frac{1}{2} \sup \sum_{i=1}^{k-1} \|x|_{p_i, p_{i+1} - 1}\|_m^\xi \text{ for all } (p_1, \dots, p_k) \in \mathcal{B}_\xi \right\},$$

where $x|_p, q|$ ($p \leq q$) denotes the restriction of x on the set $\{p, p+1, \dots, q\}$ and $\mathcal{B}_\xi = \mathcal{F}_\xi U\{(n, p) : 2 \leq n < p\} U \{\emptyset\}$ for all $1 \leq \xi < \omega_1$. Finally, define

$$\|x\|^\xi = \liminf_{m \rightarrow \infty} \|x\|_m^\xi$$

$$= \max \left\{ \|x\|_0^\xi, \sup \frac{1}{2} \sum_{i=1}^{k-1} \|x|_{p_i, p_{i+1} - 1}\|^\xi \text{ for } \{p_1, \dots, p_k\} \in \mathcal{B}_\xi \right\}.$$

The space T_ξ is the completion of the linear space of all finitely supported functions with the norm $\|\cdot\|^\xi$. The usual basis (e_n) is an unconditional basis of T_ξ and, as proved in [2], T_ξ is reflexive.

Let X_ξ be the ‘‘Jamesification’’ of T_ξ [3]. Let us recall the definition.

For every finitely supported function $x : \mathbb{N} \rightarrow \mathbb{R}$ define:

$$\|x\|_\xi = \sup \left\{ \left\| \sum_{j=1}^m (S_{n_j} - S_{p_j-1})(x)e_{p_j} \right\|^\xi : 1 \leq p_1 \leq n_1 \leq \dots \leq p_m \leq n_m \right\},$$

where $S_n(x) = \sum_{i=1}^n x(i)$ for every $n \in \mathbb{N}$, and $S_0(x) = 0$. The space X_ξ is the completion of the linear space of all finitely supported functions with the norm $\|\cdot\|_\xi$.

As shown in [3] the unit vectors e_n , $n \in \mathbb{N}$, form a boundedly complete normalized basis for X_ξ . Thus, X_ξ is isometric to the space Y_ξ^* , where $Y_\xi = [e_n^*]_{n=1}^\infty$ and (e_n^*) is the sequence of biorthogonal functionals of (e_n) . Furthermore it was shown in [3] that Y_ξ is quasi-reflexive (of order one) and Y_ξ^{**} has a basis given by $\{S, e_1^*, e_2^*, \dots\}$, where $S(\sum_{i=1}^\infty a_i e_i) = \sum_{i=1}^\infty a_i$. Of course $S_n = \sum_{i=1}^n e_i^*$ for every $n \in \mathbb{N}$ and (S_n) converges to S in the w^* -topology. Hence S is a Baire-1 function restricted on $K = (S_{Y_\xi^*}, w^*)$.

Since c_0 is not isomorphically embedding into Y_ξ [3] we have that $S \notin \text{DBSC}(K)$. We will prove that $r_{\text{ND}}(S) > \omega^\xi$. Let $x \in K$ and $F = (n_1, \dots, n_{2k}) \in \mathcal{F}_\xi$ ($k \in \mathbb{N}$). From the definition of the norms and since $(n_1 + 1, \dots, n_{2k-1} + 1, r) \in \mathcal{F}_\xi$ for $r \in \mathbb{N}$ with $r > n_{2k}$ we have

$$1 \geq \|x\|_\xi \geq \left\| \sum_{i=1}^k (S_{n_{2i}} - S_{n_{2i-1}})(x) e_{n_{2i-1}+1} \right\|^\xi \geq \frac{1}{2} \sum_{i=1}^k |S_{n_{2i}}(x) - S_{n_{2i-1}}(x)|.$$

If $r_{\text{ND}}(S) \leq \omega^\xi$, then we can find, analogously to the proof of Theorem 9 ($\delta = 2$), $y \in K$ and $F = \{n_1, \dots, n_{2k}\} \in \mathcal{F}_\xi$ such that

$$\sum_{i=1}^k |S_{n_{2i}}(y) - S_{n_{2i-1}}(y)| > 2.$$

This is a contradiction; hence, $r_{\text{ND}}(S) > \omega^\xi$.

In [9] H. Rosenthal proved the fundamental result that if $f \notin \text{DBSC}(K)$, then every bounded sequence (f_n) in $C(K)$ converging pointwise to f has a strongly summing subsequence. In this article we obtain a result, in the same spirit as the above, concerning the classes:

$$\{f \in B_1(K) : r_{\text{ND}}(f) \leq \omega^\xi\} \subseteq B_1(K) \setminus \text{DBSC}(K), \quad 1 \leq \xi < \omega_1.$$

This result requires the following new concept:

Definition 13. A sequence (x_n) in a Banach space is called null-coefficient (n.c.) of order ξ , where ξ is a countable ordinal number, if whenever the scalars (c_n) satisfy

$$\sup \left\{ \left\| \sum_{i=1}^k c_{n_{2i}} (x_{n_{2i}} - x_{n_{2i-1}}) \right\| : (n_1, \dots, n_{2k}) \in \mathcal{F}_\xi \right\} < \infty,$$

the sequence (c_n) converges to 0.

Remark. If a sequence (x_n) has spreading model of order ξ equivalent to the summing basis of c_0 , then it is not null-coefficient. Indeed, take $c_n = 1$ for every $n \in \mathbb{N}$.

Theorem 14. Let K be a compact metric space, f a bounded function on K , (f_n) a bounded sequence of continuous functions on K converging pointwise to f , and ξ a countable ordinal number. If $r_{\text{ND}}(f) \leq \omega^\xi$, then (f_n) is null-coefficient of order ξ .

Proof. Let $r_{\text{ND}}(f) \leq \omega^\xi$. Then $r_{\text{ND}}(f) = \omega^\zeta$ for some ordinal ζ with $\zeta \leq \xi$, according to Lemma 4. We assume that (f_n) is not a null-coefficient sequence

of order ξ . Then there exists a sequence of scalars (c_n) and $\varepsilon > 0$ such that

$$\sup \left\{ \left\| \sum_{i=1}^k c_{n_{2i}} (f_{n_{2i}} - f_{n_{2i-1}}) \right\|_{\infty} : (n_1, \dots, n_{2k}) \in \mathcal{F}_{\xi} \right\} \leq 1$$

and $|c_n| > \varepsilon$ for infinite many n . Let (g_t) be a subsequence of (f_n) with $g_t = f_{n_t}$ and $c_{n_t} > \varepsilon$ for every $t \in \mathbb{N}$ (otherwise set $-c_n$ instead of c_n).

Since $r_{ND}(f) = \omega^{\zeta}$, there exist $x \in K$ and $a < \omega^{\zeta}$ such that $2/\varepsilon < u_a(f)(x) < \infty$. We can choose $\mu \in \mathbb{N}$ such that $a = \mu\omega^{\beta}$ if $\zeta = \beta + 1$ or $a = \omega^{\zeta\mu}$ if ζ is a limit ordinal and (ζ_n) is the sequence of ordinal numbers strictly increasing to ζ (according to Definition 1).

Let $v = \max(\mu, v(\zeta, \xi))$ (if $F \in \mathcal{F}_{\zeta}$ and $v(\zeta, \xi) < F$, then $F \in \mathcal{F}_{\xi}$). From Theorem 8, there exist $F \in \mathcal{A}_a$ with $2v < F = \{n_{t_1}, \dots, n_{t_{2k}}\}$ ($k \in \mathbb{N}$) and $y \in K$ such that $g_{t_{2i}} - g_{t_{2i-1}}(y) > 0$ for all $i = 1, \dots, k$ and

$$\sum_{i=1}^k g_{t_{2i}} - g_{t_{2i-1}}(y) > (1/2)u_a(f)(x) > 1/\varepsilon.$$

Then $F \in \mathcal{F}_{\zeta}$ (see the proof of Theorem 8, case ξ : limit ordinal) and consequently $F \in \mathcal{F}_{\xi}$. Also,

$$\sum_{i=1}^k c_{n_{t_{2i}}} (f_{n_{t_{2i}}} - f_{n_{t_{2i-1}}})(y) > 1.$$

This is a contradiction, since $(n_{t_1}, \dots, n_{t_{2k}}) \in \mathcal{F}_{\xi}$. Thus, (f_n) is null-coefficient of order ξ .

For the case $\xi = 1$, after Corollary 11, we have the following characterization of functions not in $B_{1/4}(K)$:

Theorem 15. *Let K be a compact metric space and $f \in B_1(K) \setminus C(K)$. Then f is not in $B_{1/4}(K)$ if and only if every uniformly bounded sequence of continuous functions on K converging pointwise to f is null-coefficient of order 1.*

Proof. If $f \in B_1(K) \setminus B_{1/4}(K)$, then $r_{ND}(f) = \omega$ according to Corollary 11. From Theorem 14 we have that every bounded sequence $(f_n) \subseteq C(K)$ converging pointwise to f is null-coefficient of order 1. On the other hand, if every bounded sequence of continuous functions on K converging pointwise to f is null-coefficient of order 1, then according to the remark there is no bounded sequence (f_n) in $C(K)$ converging pointwise to f with spreading model (of order 1) equivalent to the summing basis of c_0 . From Corollary 11, it follows that $f \notin B_{1/4}(K)$.

As a consequence of Theorems 3 and 15 we have the following dichotomy:

Theorem 16. *Let K be a compact metric space and $f \in B_1(K) \setminus C(K)$. Then, either there exists a bounded sequence $(f_n) \subseteq C(K)$ converging pointwise to f and generating a spreading model equivalent to the summing basis of c_0 or every uniformly bounded sequence of continuous functions converging pointwise to f is null-coefficient of order 1.*

Corollary 17. *Let K be a compact metric space, $f \in B_1(K) \setminus C(K)$, and (f_n) a bounded sequence in $C(K)$ converging pointwise to f . Then either there exists a*

convex block subsequence of (f_n) generating a spreading model equivalent to the summing basis of c_0 or every convex block subsequence of (f_n) is null-coefficient of order 1.

Proof. If $f \in B_{1/4}(K) \setminus C(K)$, then, according to [7] and [5], (f_n) has a convex block subsequence generating a spreading model equivalent to the summing basis of c_0 . If $f \notin B_{1/4}(K)$, then Theorem 15 finishes the proof.

Now we will give the c_0 -spreading model theorem:

Theorem 18. *Every weak-Cauchy and non-weakly convergent sequence in a separable Banach space either has a convex block subsequence generating a spreading model equivalent to the summing basis of c_0 or is null-coefficient of order 1 (in fact, every convex block subsequence is null-coefficient of order 1).*

Proof. Let X be a separable Banach space, and let K denote the unit ball of the dual space X^* endowed with the weak*-topology. If (x_n) is a weak-Cauchy and nonweakly convergent sequence in X , then let $x^{**} \in X^{**} \setminus X$ be the weak*-limit of (x_n) . The restriction of x^{**} to K is in $B_1(K) \setminus C(K)$. Theorem 17 finishes the proof.

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