

P-Adic Ascoli theorems

J. MARTÍNEZ-MAURICA and S. NAVARRO

ABSTRACT. The aim of this paper is the study of a certain class of compact-like sets within some spaces of continuous functions over non-archimedean ground fields. As a result, some *p*-adic Ascoli theorems are obtained.

INTRODUCTION

In recent years, there has been a renewed interest in the study of analysis over the field \mathbb{Q}_p of *p*-adic numbers (or more in general over any complete non-archimedean valued field \mathbb{K}) in view of its new applications in some parts of modern physics (see for instance [4], [5] and [15]).

The aim of this paper is to give some *p*-adic Ascoli theorems; this is, we will explore the relationships between a certain kind of compact-like sets and equicontinuous sets within some subspaces of the space $C(X)$ of all continuous functions $f: X \rightarrow \mathbb{K}$ where X is a given separated topological space. In order to ensure the existence of enough elements in $C(X)$ we shall assume in addition that X is zerodimensional. Also, the valuation over \mathbb{K} is supposed to be non trivial.

The first difference with its archimedean analog is the class of compact-like sets we are going to consider. For that it is worth mentioning here that (pre) compactness is not very interesting in *p*-adic analysis; in fact, there is no compact convex subset of a locally convex space over \mathbb{K} with more than one point unless \mathbb{K} is locally compact. Although \mathbb{Q}_p is locally compact, in many occasions it is certainly useful to consider some other valued fields apart from \mathbb{Q}_p (for instance, the non locally compact field \mathbb{C}_p defined as the completion of the algebraic closure of \mathbb{Q}_p).

Quite a number of different variants of (pre)compact sets have been studied in p-adic analysis (see [19]), and it seems for many reasons that the most successful ones are compactoids defined in [6] as follows: a subset A of a locally convex space E is said to be compactoid if for every neighborhood of zero U there exists a finite set $Y \subset E$ such that $A \subset U + c_0(Y)$, where $c_0(Y)$ denotes the absolutely convex hull of Y .

So, we shall study the relationships between compactoids and equicontinuous sets in some different spaces of continuous functions.

1. THE CASE OF THE TOPOLOGY OF UNIFORM CONVERGENCE

Following [16], we are going to indicate by $PC(X)$ the space of all continuous functions $f \in C(X)$ such that $f(X)$ is a precompact subset of \mathbb{K} , endowed with the topology of uniform convergence: this is the topology defined by the norm $\|f\| = \|f\|_\infty = \sup_{x \in X} |f(x)|$. If X is also locally compact, $C_\infty(X)$ will indicate the subspace of $PC(X)$ consisting of all continuous functions which vanish at infinity.

Given a subset \mathcal{F} of \mathbb{K} -valued functions defined on X , we define $\mathcal{F}(x) = \{f(x) : f \in \mathcal{F}\}$. Also $B_\varepsilon(0)$ will indicate the closed ball in $PC(X)$ with center 0 and radius ε .

Theorem 1. *A subset $\mathcal{F} \subset PC(X)$ is compactoid if and only if the following properties are satisfied:*

(a) $\mathcal{F}(x)$ is bounded in \mathbb{K} for every $x \in X$.

and (b) For every $\varepsilon > 0$, there exists a finite partition X_1, \dots, X_n of X consisting of clopen sets such that $x, y \in X_i \implies |f(x) - f(y)| \leq \varepsilon$ for all $f \in \mathcal{F}$ ($i = 1, \dots, n$).

Proof: First we assume that \mathcal{F} is compactoid. Given $x \in X$, the map $H_x : PC(X) \rightarrow \mathbb{K}$ defined by $H_x(f) = f(x)$ is linear and continuous. Hence $\mathcal{F}(x) = H_x(\mathcal{F})$ is compactoid in \mathbb{K} .

Also, given $\varepsilon > 0$, there exists $Y = \{\varphi_1, \dots, \varphi_m\} \subset PC(X)$ such that $\mathcal{F} \subset B_\varepsilon(0) + c_0(Y)$. Now for every $j \in \{1, \dots, m\}$ we consider the equivalence relation R_j in X defined by.

$$xR_jy \text{ if } |\varphi_j(x) - \varphi_j(y)| \leq \varepsilon \quad (x, y \in X)$$

It is well known that for each $j \in \{1, \dots, m\}$ there is only a finite number of equivalence classes and that these classes are clopen sets in X .

Let us consider for every $x \in X$ and $j \in \{1, \dots, m\}$ the class P_j^x which contains x and let $P_x = \bigcap_j P_j^x$. Since $\{P_x : x \in X\}$ is finite, we obtain a finite partition X_1, \dots, X_n of X consisting of clopen sets such that

$$x, y \in X_i \implies |\varphi_j(x) - \varphi_j(y)| \leq \varepsilon \text{ for all } i \in \{1, \dots, n\} \text{ and } j \in \{1, \dots, m\}$$

Now if $f \in \mathcal{F}$, there are $\lambda_1, \dots, \lambda_m \in \mathbb{K}$ with $|\lambda_j| \leq 1$ for all $j \in \{1, \dots, m\}$ such that $\|f - \sum_j \lambda_j \varphi_j\| \leq \varepsilon$. It follows that for $x, y \in X_i$,

$$\begin{aligned} |f(x) - f(y)| &\leq \max \{ |f(x) - \sum_j \lambda_j \varphi_j(x)|, |\sum_j \lambda_j (\varphi_j(x) - \varphi_j(y))|, \\ &\quad |\sum_j \lambda_j \varphi_j(y) - f(y)| \} \leq \varepsilon. \end{aligned}$$

Conversely, take $\varepsilon > 0$ and let X_1, \dots, X_n be clopen subsets of X satisfying (b). Pick, for each $i \in \{1, \dots, n\}$, x_i within X_i . Since $\bigcup_i \mathcal{F}(x_i)$ is compactoid, there are v_1, \dots, v_m in \mathbb{K} such that

$$\bigcup_i \mathcal{F}(x_i) \subset \{ \lambda \in \mathbb{K} : |\lambda| \leq \varepsilon \} + C_0 \{v_1, \dots, v_m\}$$

Let us define for $i \in \{1, \dots, n\}$ and $j \in \{1, \dots, m\}$ $\varphi_{ij} : X \rightarrow \mathbb{K}$ by $\varphi_{ij} = v_j \xi_{X_i}$ where ξ_{X_i} stands for the characteristic function of X_i .

It is obvious that $\varphi_{ij} \in PC(X)$. Also, if $f \in \mathcal{F}$ there are for each $i \in \{1, \dots, n\}$ $\lambda_{ij} \in \mathbb{K}$ ($j \in \{1, \dots, m\}$) such that $|\lambda_{ij}| \leq 1$ and $|f(x_i) - \sum_j \lambda_{ij} v_j| \leq \varepsilon$. Hence, given $x \in X$, we have

$$\begin{aligned} |f(x) - \sum_{i,j} \lambda_{ij} \varphi_{ij}(x)| &= |f(x) - \sum_j \lambda_{i_0,j} v_j| \leq \max \{ |f(x) - f(x_{i_0})|, \\ &\quad |f(x_{i_0}) - \sum_j \lambda_{i_0,j} v_j| \} \leq \varepsilon \end{aligned}$$

if $x \in X_{i_0}$, which finally implies that $\mathcal{F} \subset B_\varepsilon(0) + c_0(\{\varphi_{ij}\})$.

Remarks: (1) Condition (b) in the above theorem implies equicontinuity of \mathcal{F} . Also, if X is compact both properties coincide.

(2) Our theorem 1 is a generalization of a previous one of N. De Grande-de Kimpe [2, theorem 1.8] in which she characterizes compactoids in the space $C(X)$ where X is a compact subset of a nonarchimedean valued field \mathbb{K} .

Corollary 2: *A subset \mathcal{F} of $C_\infty(X)$ is compactoid if and only if*

(a) $\mathcal{F}(x)$ is bounded in \mathbb{K} for every $x \in X$.

and (b) For every $\varepsilon > 0$, there exists a finite number of pairwise disjoint clopen compact sets P_1, \dots, P_n in X such that $x, y \in P_i \implies |f(x) - f(y)| \leq \varepsilon$ for all $f \in \mathcal{F}$, $i \in \{1, \dots, n\}$ and $|f(x)| < \varepsilon$ for every $x \in X - (\bigcup_i P_i)$, $f \in \mathcal{F}$.

Proof: First we assume that \mathcal{F} is compactoid in $C_\infty(X)$ (which is the same as compactoid in $PC(X)$, see [8] theorem 4.1). Then property (a) is satisfied and there is, for a given $\varepsilon > 0$, a finite number of clopen sets X_1, \dots, X_n verifying condition (b) of theorem 1. On the other hand let $\varphi_1, \dots, \varphi_m$ be in $C_\infty(X)$ such that $\mathcal{F} \subset B_\varepsilon(0) + c_o(\{\varphi_1, \dots, \varphi_m\})$ and let K be a compact clopen set in X such that $|\varphi_j(x)| < \varepsilon$ for all $x \in X - K$ and $j \in \{1, \dots, m\}$. Now we define $P_i = X_i \cap K$ for every $i \in \{1, \dots, n\}$; it is easy to check that P_1, \dots, P_n satisfy property (b).

In order to prove the converse, it is enough to take $X_i = P_i$ for $i = 1, \dots, n$ and $X_{n+1} = X - (\bigcup_{i=1}^n P_i)$ and then apply theorem 1.

Another characterization of compactoids in $C_\infty(X)$ is contained in the following corollary which is an easy consequence of the above results.

Corollary 3: A subset \mathcal{F} of $C_\infty(X)$ is compactoid if and only if

- (a) $\mathcal{F}(x)$ is bounded in \mathbb{K} for every $x \in X$.
- (b) \mathcal{F} is equicontinuous.

and (c) For every $\varepsilon > 0$, there exists a compact set K in X such that $|f(x)| < \varepsilon$ for every $f \in \mathcal{F}$ and every $x \in X - K$.

2. ULTRA \mathbb{K} -SPACES

A topological space X is called a k -space when a subset $A \subset X$ is open if $A \cap K$ is open in K for every compact set K in X . More generally X is called a k_Y -space (for a given topological space Y) if $f: X \rightarrow Y$ is continuous when $f|K$ is continuous for each compact $K \subset X$.

Definition 4: A zero-dimensional space X is called an ultra k -space (or a k_o -space, see [16] p. 273) if it is a $k_{\{0,1\}}$ -space, where $\{0, 1\}$ is endowed with the discrete topology.

Theorem 5: The following properties are equivalent for a zero-dimensional topological space X .

- (a) X is an ultra k -space.
- (b) $A \subset X$ is clopen if and only if $A \cap K$ is clopen in K for each compact set K in X .
- (c) X is a k_Y -space for every separated zero-dimensional topological space Y .

- (d) X is a $k_{\mathbb{K}}$ -space for every non-archimedean valued field \mathbb{K} .
- (e) There exists a non-archimedean valued field \mathbb{K} for which X is a $k_{\mathbb{K}}$ -space.

Proof: (a) \implies (b). Let $A \subset X$ be such that $A \cap K$ is clopen in K for every compact set K in X and let $f = \xi_A : X \rightarrow \{0, 1\}$ be the characteristic function of A . Then, $f|_K$ is continuous for every compact set K and hence f is continuous; that is, A is clopen.

(b) \implies (c), (c) \implies (d) and (d) \implies (e) are obvious. In order to prove (e) \implies (a) it is enough to notice that $\{0, 1\}$ has the topology of a subspace of \mathbb{K} .

Remarks: (1) The above theorem suggests the following question: Is every zerodimensional ultra k -space a k -space? The answer is no. The space \mathbf{N}^I (\mathbf{N} with the discrete topology and I an uncountable index set) endowed with the product topology is a zerodimensional $k_{\mathbb{R}}$ -space (which implies it is an ultra k -space) but is not a k -space (see [1], p. 65).

(2) The preceding remark leads to the following open question: Is every zerodimensional ultra k -space a $k_{\mathbb{R}}$ -space?

(3) There are examples of zerodimensional spaces which are not ultra k -spaces; that is the case of the so-called space of Arens (see [12], p. 77).

Also, if \mathbb{K} is not locally compact, $c_o = C_{\infty}(\mathbf{N})$ with the weak topology $\sigma(c_o, \mathcal{F}^o)$ is another zerodimensional space which is not an ultra k -space: the unit ball $\{x \in c_o : \|x\| \leq 1\}$ is not clopen for $\sigma(c_o, \mathcal{F}^o)$ whereas its intersection with every weakly compact set K is clopen in K because on K the norm topology and the weak topology coincide [18, theorem 3.8].

3. EQUICONTINUOUS SETS IN $C(X)$

Now we are going to consider the space $C(X)$ endowed with the topology of uniform convergence on compact sets.

Our first result, related to completeness of $C(X)$, is an obvious consequence of our theorem 5 and theorem 3.2 in [11].

Proposition 6: *The following properties are equivalent,*

- (a) $C(X)$ is complete.
- (b) $C(X)$ is quasicomplete (that is, every bounded and closed subset of $C(X)$ is complete).
- (c) X is an ultra k -space.

Theorem 7: *If X is an ultra k -space then, every compactoid subset in $C(X)$ is equicontinuous.*

Proof: Let $H: X \rightarrow C(X)'$ be defined by $H(x) = H_x$ where as in theorem 1 $H_x(f) = f(x)$. It is obvious that H is continuous if we choose the topology $\sigma(C(X)', (C(X)))$ on $C(X)'$.

Also, for a given compact K in X , $H(K)$ is equicontinuous because $H(K) \subset \{f \in C(X) : \sup_{x \in K} |f(x)| \leq 1\}^\circ$. Since on equicontinuous sets of the dual of a locally convex space the weak topology coincides with the topology τ_{co} of uniform convergence on compactoids (see [17], lemma 10.6), we deduce that $H: X \rightarrow (C(X))', \tau_{co}$ is continuous on compact sets of X . Hence, as X is an ultra k -space, it follows that H is continuous.

Now let \mathcal{F} be a compactoid in $C(X)$. By continuity of H , given $\epsilon > 0$ and $x \in X$ there is a neighborhood U of x in X and $v \in \mathbb{K}$ with $|v| < \epsilon$ such that

$$y \in U \Rightarrow H_y - H_x \in v \mathcal{F}^\circ \Rightarrow |f(y) - f(x)| \leq |v| < \epsilon \text{ for each } f \in \mathcal{F}.$$

Thus, every compactoid subset of $C(X)$ is equicontinuous.

Theorem 8: *Let X be an ultra k -space and let $\mathcal{F} \subset C(X)$. Then \mathcal{F} is compactoid if and only if \mathcal{F} is equicontinuous and $\mathcal{F}(x)$ is bounded in \mathbb{K} for every $x \in X$.*

Proof: By theorem 7, \mathcal{F} compactoid implies \mathcal{F} equicontinuous and it is obvious that $\mathcal{F}(x)$ is bounded in \mathbb{K} for every $x \in X$.

Conversely let K be a compact subset of X . By corollary 3, $\mathcal{F}/K = \{f|K : f \in \mathcal{F}\}$ is compactoid in $C(K)$. This implies that for a given $\epsilon > 0$ there exist $f_1, \dots, f_n \in C(K)$ such that

$$\mathcal{F}/K \subset \{g \in C(K) : \sup_{x \in K} |g(x)| \leq \epsilon\} + c_o\{f_1, \dots, f_n\}$$

Now, if we extend each f_i to a continuous map $\hat{f}_i: X \rightarrow \mathbb{K}$ [16, theorem 5.24], we have,

$$\mathcal{F} \subset \{g \in C(K) : \sup_{x \in K} |g(x)| \leq \epsilon\} + c_o\{\hat{f}_1, \dots, \hat{f}_n\}$$

which implies that \mathcal{F} is compactoid.

4. THE CASE OF THE STRICT TOPOLOGY

The strict topology in the space $BC(X)$ of all bounded continuous functions $f: X \rightarrow \mathbb{K}$ was introduced in the non-archimedean setting by J.B. Prolla [14, chapter 9] in case X is locally compact. For general zerodimensional spaces X the strict topology has been studied by A.C.M. Van Rooij [16] and A.K. Katsaras ([9] and [10]).

This topology is defined by the family of seminorms $\{p_\varphi : \varphi \in B_\infty(X)\}$ where $B_\infty(X)$ is the set of all bounded functions $\varphi: X \rightarrow \mathbb{K}$ which vanish at infinity and

$$p_\varphi(f) = \sup_{x \in X} |\varphi(x) f(x)|$$

The strict topology τ_β in $BC(X)$ is between the topology τ_c of uniform convergence on compact sets and the topology τ_u of uniform convergence; this is $\tau_c \leq \tau_\beta \leq \tau_u$ ([10], 2.10).

In particular for $X = \mathbb{N}$ with the discrete topology, the strict topology in l^∞ coincides with the natural topology in the sense of perfect spaces of sequences (see [3]).

Proposition 9: *The following properties are equivalent for the strict topology in $BC(X)$,*

- (a) $BC(X)$ is complete.
- (b) $BC(X)$ is quasicomplete.
- (c) X is an ultra k -space.

Proof: (a) \implies (b) is obvious. In order to prove (b) \implies (c) we consider $f: X \rightarrow \{0, 1\}$ which is continuous on compact sets. Let for every compact subset K in X , $\hat{f}_K: X \rightarrow \mathbb{K}$ be a continuous extension of f/K to X such that

$$\sup_{x \in X} |\hat{f}_K(x)| = \sup_{x \in K} |f(x)| \leq 1$$

[16, theorem 5.24]. Let us see that $A = \{g \in BC(X) : \|g\|_\infty \leq 1\}$ is τ_c -closed (and hence τ_β -closed); assume $g \notin A$ and choose $x \in X$ such that $|g(x)| > 1$. Then, $\{h \in BC(X) : |h(x) - g(x)| < 1\}$ has empty intersection with A . Also A is τ_β -bounded, which implies A is complete for the strict topology. Furthermore, A is complete for the topology τ_c of uniform convergence on compact sets because τ_c coincides with the strict topology on uniform bounded sets ([10], 2.9).

If we denote by \mathcal{K} the directed set of all compact subsets of X ordered by inclusion, it is easy to check that $(\hat{f}_K)_{K \in \mathcal{K}}$ is a Cauchy net in A for the

topology of uniform convergence on compact sets; let $g \in A$ be its limit. On the other hand it is obvious that for each $x \in X$, $f(x) = \lim (\hat{f}_K(x))_{K \in \mathcal{K}}$. Hence, we conclude that $f = g$ is continuous. The proof of (c) \implies (a) is the same as its archimedean counterpart in which X is assumed to be a k -space (see [7], theorem 9, p. 72).

Theorem 10: *Let X be an ultra k -space. A subset $\mathcal{F} \subset BC(X)$ is compactoid for the strict topology if and only if the following properties are satisfied,*

- (a) $\sup \{ |f(x)| : f \in \mathcal{F}, x \in X \} < \infty$.
- (b) \mathcal{F} is equicontinuous.

Proof: First assume that \mathcal{F} is compactoid. Then, \mathcal{F} is also compactoid in the topology of uniform convergence on compact sets, which implies that \mathcal{F} is equicontinuous (theorem 7). Also if \mathcal{F} is compactoid, then \mathcal{F} is τ_β -bounded which implies (a) [10, prop.2.11].

Conversely let $\epsilon > 0$ and $\varphi \in B_\infty(X)$. Let K be a compact set in X such that $|\varphi(x)| < \epsilon$ if $x \in X - K$ and let $M = \sup_{x \in X} |\varphi(x)|$. Since $\mathcal{F}/K = \{ f/K : f \in \mathcal{F} \}$ is compactoid in $C(K)$ (theorem 1), there are $f_1, \dots, f_n \in C(K)$ such that

$$\mathcal{F}/K \subset \{ g \in C(K) : \sup_{x \in K} |g(x)| \leq \epsilon \} + c_o \{ f_1, \dots, f_n \}$$

Let $\hat{f}_i : X \rightarrow \mathbb{K}$ ($i = 1, \dots, n$) be a continuous extension of f_i such that $\sup_{x \in X} |\hat{f}_i(x)| \leq S$ where $S = \max_i \sup_{x \in K} |f_i(x)|$ [16, theorem 5.24]. Then, $\hat{f}_i \in BC(X)$ for $i = 1, \dots, n$ and

$$\mathcal{F} \subset \{ g \in BC(X) : \sup_{x \in K} |g(x)| \leq \epsilon \} + c_o \{ \hat{f}_1, \dots, \hat{f}_n \}$$

which implies

$$\mathcal{F} \subset \{ g \in BC(X) : \sup_{x \in X} |\varphi(x) g(x)| \leq C\epsilon \} + c_o \{ \hat{f}_1, \dots, \hat{f}_n \}$$

where $C = \max \{ \sup \{ |f(x)| : f \in \mathcal{F}, x \in X \}, M, S \}$.

In particular, $\mathcal{F} \subset l^\infty$ is compactoid for the strict topology if and only if $a = \sup \{ |f(n)| : n \in \mathbb{N}, f \in \mathcal{F} \} < \infty$. In this case \mathcal{F} is contained in the normal hull of the constant map $g \equiv \lambda$ where $|\lambda| \geq a$. This is a particular case of [3, theorem 3.6] and [13, proposition 2.1] where more results on compactoids in perfect spaces of sequences are found.

References

1. E. BECKENSTEIN, L. NARICI and C. SUFFEL, *Topological algebras*, North-Holland, Amsterdam, 1977.
2. N. DE GRANDE-DE KIMPE, *The non-archimedean space $C^\infty(X)$* , *Comp. Math.* 48 (1983), 297-309.
3. N. DE GRANDE-DE KIMPE, *Nuclear topologies on non-archimedean locally K -convex spaces*, *Proc. Kon. Ned. Akad. van Wetensch A90* (1987), 279-292.
4. P. G. O. FREUND and M. OLSON, *Non-archimedean strings*, *Phys. Lett. B* 199 (1987), 186-190.
5. B. GROSSMAN, *p -adic strings, the Weil conjectures and anomalies*, *Phys. Lett. B* 199 (1987), 101-104.
6. L. GRUSON and M. VAN DER PUT, *Banach spaces*, *Bull. Soc. Math. France, Mem.* 39-40 (1974), 55-100.
7. H. JARCHOW, *Locally convex spaces*, Teubner, Stuttgart, 1981.
8. A. K. KATSARAS, *On compact operators between non-archimedean spaces*, *Ann. Soc. Sci. Bruxelles. Sér. I* 96 (1982), 129-137.
9. A. K. KATSARAS, *Strict topologies in non-archimedean function spaces*, *Internat. J. Math. & Math. Sci.* 7 (1984), 23-33.
10. A. K. KATSARAS, *The strict topology in non-archimedean vector-valued function spaces*, *Proc. Kon. Ned. Akad. van Wetensch A87* (1984), 189-201.
11. A. K. KATSARAS, *Spaces of non-archimedean valued functions*, *Boll. Unione Mat. Ital* B5 (1986), 603-621.
12. J. L. KELLEY, *General Topology*, Springer, New York, 1955.
13. C. PÉREZ-GARCÍA, *On compactoidity in non-archimedean locally convex spaces with a Schauder basis*, *Indag. Math.* 50 (1988), 85-88.
14. J. B. PROLLA, *Approximation of vector valued functions*, North-Holland, Amsterdam, 1977.
15. R. RAMMAL, G. TOULOUSE and M. A. VIRASORO, *Ultrametricity for physicists*, *Rev. Modern Phys.* 58 (1986), 765-788.
16. A. VAN ROOIJ, *Non-archimedean functional analysis*, Marcel Dekker, New York, 1978.
17. W. H. SCHIKHOF, *Locally convex spaces over nonspherically complete valued fields*, *Groupe d'étude d'Analyse ultramétrique*, 12^e année 24 (1984/85), 1-33.
18. W. H. SCHIKHOF, *On weakly precompact sets in non-archimedean Banach spaces*, Report 8645, Mathematisch Instituut, Katholieke Universiteit, Nijmegen (1986), 1-14.
19. W. H. SCHIKHOF, *Compact-like sets in non-archimedean functional analysis*, *Proc. Conference on p -adic analysis*, Hengelhoeft (1986). Editors: N. De Grande-De Kimpe and L. Van Hamme, 19-30.

Departamento de Matemáticas
 Universidad de Cantabria
 Facultad de Ciencias
 Avda. Los Castros
 39071 Santander (España)

Recibido: 19 de agosto de 1988

Departamento de Matemáticas
 Universidad de Santiago de Chile
 Casilla 5659 C-2
 Santiago (Chile)