

ON SPACES OF OPERATORS ON $C(Q)$ SPACES
 (Q COUNTABLE METRIC SPACE)

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(Communicated by Nigel J. Kalton)

ABSTRACT. In this paper we study spaces of nuclear operators $\mathcal{N}(C(Q))$ and spaces of compact operators $\mathcal{K}(C(Q))$ on spaces of continuous functions $C(Q)$, where Q is a countable compact metric space, in connection with the C. Bessaga and A. Pełczyński isomorphic classification of these spaces.

We show that the spaces $\mathcal{K}(C(Q))$ [resp. $\mathcal{N}(C(Q))$] and $\mathcal{K}(C(Q'))$ [resp. $\mathcal{N}(C(Q'))$] are isomorphic if, and only if, $C(Q)$ and $C(Q')$ are isomorphic. We show also that $\mathcal{N}(C(Q))$ is not isomorphic to a subspace of $\mathcal{K}(C(Q))$.

1. NOTATION AND TERMINOLOGY

Throughout this paper, the symbols E, F, X, Y, \dots denote Banach spaces. B_E denotes the closed unit ball of E . “Subspace” means closed linear subspace. “Operator” means “bounded linear operator”.

In the sequel we denote $\alpha, \beta, \gamma, \dots$ ordinal numbers, ω denotes the first infinite ordinal and ω_1 the first uncountable ordinal. Let $\alpha < \beta$ be ordinals; then $\langle \alpha, \beta \rangle$ denotes the interval $\{\gamma; \alpha \leq \gamma \leq \beta\}$ and $\langle \alpha, \beta \rangle$ denotes the interval $\{\gamma; \alpha \leq \gamma < \beta\}$ endowed with the order topology. It is a well-known theorem of Mazurkiewicz and Sierpiński, cf. [5], that every countable compact metric space is homeomorphic to an interval $\langle 1, \alpha \rangle$ with $\omega \leq \alpha < \omega_1$.

$C(\alpha)$ denotes the space of all continuous scalar-valued functions defined on $\langle 1, \alpha \rangle$ with the norm $\|x\| = \sup_{\gamma \in \langle 1, \alpha \rangle} |x(\gamma)|$ and $C_0(\alpha)$ is the subspace $\{x \in C(\alpha); x(\alpha) = 0\}$ of $C(\alpha)$. The space of all continuous E -valued functions defined on $\langle 1, \alpha \rangle$ with the norm $\|x\| = \sup_{\gamma \in \langle 1, \alpha \rangle} \|x(\gamma)\|$ is denoted $C(\alpha, E)$ and $C_0(\alpha, E)$ is the subspace $\{x \in C(\alpha, E); x(\alpha) = 0\}$. The spaces $C(\alpha, E)$ and $C_0(\alpha, E)$ are isomorphic for all $\alpha \in \langle \omega, \omega_1 \rangle$; cf. [1].

The injective norm on $E \otimes F$, denoted by $\|\cdot\|_\varepsilon$, is given by

$$\left\| \sum_{i=1}^n x_i \otimes y_i \right\|_\varepsilon = \sup \left\{ \left| \sum_{i=1}^n x^*(x_i) y^*(y_i) \right| ; x^* \in B_{E^*}, y^* \in B_{F^*} \right\}.$$

The completion of $(E \otimes F, \|\cdot\|_\varepsilon)$ is denoted by $\widehat{E \otimes F}$.

Received by the editors February 19, 2008.

2000 *Mathematics Subject Classification*. Primary 46B03, 46B25; Secondary 47B10.

Key words and phrases. Isomorphic classification of spaces of continuous functions, nuclear operators, compact operators.

The projective norm on $E \otimes F$, denoted by $\|\cdot\|_\pi$, is given by

$$\|u\|_\pi = \sup \{ |\varphi(u)|; \varphi \text{ bounded bilinear form on } E \times F, \|\varphi\| \leq 1 \}.$$

The completion of $(E \otimes F, \|\cdot\|_\pi)$ is denoted by $E \widehat{\otimes} F$.

It is well known that (cf. [2], [3]):

i) given $(\Omega, \mathcal{S}, \mu)$ a measure space, the space $L^1(\mu) \widehat{\otimes} E$ may be isometrically identified with the space $L^1(\mu, E)$ of Bochner-integrable “functions” from Ω to E ,

ii) given K a topological compact space, the space $C(K) \widehat{\otimes} E$ is isometrically isomorphic to the space $C(K, E)$ of all continuous E -valued functions defined on K .

An operator $T : E \rightarrow F$ is called nuclear if it can be written as the sum of an absolutely converging series of rank-one operators, i.e., if there are sequences $(x_n^*)_n$ in E^* and $(y_n)_n$ in F with $\sum_n \|x_n^*\| \|y_n\| < +\infty$ and such that $T(x) = \sum_n x_n^*(x) y_n$ for all $x \in E$. Such a series $\sum_n x_n^* \otimes y_n$ is called a nuclear representation of T ; the

infimum

$$\|T\|_{\mathcal{N}} = \inf \left\{ \sum_n \|x_n^*\| \|y_n\|; \sum_n x_n^* \otimes y_n \text{ nuclear representation of } T \right\}$$

is called the nuclear norm of T . We denote by $\mathcal{N}(E, F)$ the space of nuclear operators from E to F , $\mathcal{N}(E) = \mathcal{N}(E, E)$. The space $(\mathcal{N}(E, F), \|\cdot\|_{\mathcal{N}})$ is a Banach space. Also, $\mathcal{L}(X, Y)$ [resp. $\mathcal{K}(X, Y)$] denotes the space of operators [resp. of compact operators] from X to Y , $\mathcal{L}(X) = \mathcal{L}(X, X)$, $\mathcal{K}(X) = \mathcal{K}(X, X)$.

There exists a closed connection between compact or nuclear operators and tensor products. If E^* or F has the approximation property, then (cf. [2], [3]):

i) the canonical map from $E^* \widehat{\otimes} F$ into $\mathcal{L}(E, F)$ is an isomorphism onto $\mathcal{N}(E, F)$,

ii) the canonical map from $E^* \widehat{\otimes} F$ into $\mathcal{L}(E, F)$ is an isomorphism onto $\mathcal{K}(E, F)$.

The author is grateful to the referee for helpful comments.

2. THE SPACES $\mathcal{N}(C(Q))$ AND $\mathcal{K}(C(Q'))$

W.B. Johnson has shown in [4] that if either X or Y has a local unconditional structure, then $\mathcal{N}(X, Y)$ is a proper subset of $\mathcal{K}(X, Y)$. In this section we shall show that no subspace of $\mathcal{K}(C(Q'))$ is isomorphic to $\mathcal{N}(C(Q))$ whatever the countable metric compact spaces Q and Q' are.

Lemma 2.1. *Let α be a countable ordinal ($\omega \leq \alpha < \omega_1$) and let E be a Banach space which does not contain a subspace isomorphic to c_0 and such that $E \times E$ is isomorphic to a subspace of E . Then every subspace of $C(\alpha, E)$ which does not contain a subspace isomorphic to c_0 is isomorphic to a subspace of E .*

Proof. We prove the lemma by a transfinite induction on α . The proof of the initial case $\alpha = \omega$ is essentially the same as the proof of the case $\omega < \alpha$ where α is a limit ordinal. Suppose that α is a limit ordinal which satisfies $\omega < \alpha < \omega_1$ and that, for every $\beta \in \langle \omega, \alpha \rangle$, every subspace of $C(\beta, E)$ which does not contain a subspace isomorphic to c_0 is isomorphic to a subspace of E .

Consider a subspace X of $C_0(\alpha, E)$ which does not contain a subspace isomorphic to c_0 .

Let $\omega \leq \alpha_1 < \alpha_2 < \dots < \alpha_k < \dots < \alpha$ be a strictly increasing sequence of ordinal numbers converging to α . If there exists an integer k_0 such that X is isomorphic to a subspace of $C(\alpha_{k_0}, E)$, the conclusion will then follow from the induction hypothesis.

Assume on the contrary that, for every integer k , X is not isomorphic to a subspace of $C(\alpha_k, E)$. Let $\varepsilon \in]0, 1[$. By a standard procedure using the operators

$$\pi_k : C_0(\alpha, E) \rightarrow C(\alpha_k, E)$$

defined, for every integer k , by $\pi_k(f) = f|_{\langle 1, \alpha_k \rangle}$, we can find a strictly increasing sequence of integers $(k_l)_{l \geq 1}$ and a normalized sequence $(f_l)_{l \geq 1}$ of X such that, for every integer $l \geq 2$, we have $\|\pi_{k_{l-1}}(f_l)\| \leq \frac{\varepsilon}{2^l}$ and, for every integer $l \geq 1$ and for every ordinal $\gamma > \alpha_{k_l}$, we have $\|f_l(\gamma)\| \leq \frac{\varepsilon}{2^l}$.

It is easy to show that for every integer l_0 and for every finite scalar sequence a_1, \dots, a_{l_0} we have

$$(1 - \varepsilon) \max_{1 \leq l \leq l_0} |a_l| \leq \left\| \sum_{l=1}^{l_0} a_l f_l \right\| \leq (1 + \varepsilon) \max_{1 \leq l \leq l_0} |a_l|.$$

So $(f_l)_{l \geq 1}$ is a normalized basic sequence of X equivalent to the canonical basis of c_0 . The assumption that, for every integer k , X is not isomorphic to a subspace of $C(\alpha_k, E)$ leads to a contradiction.

In the case $\alpha = \omega$ we have to observe that a subspace X of $C_0(\omega, E)$ which does not contain a subspace isomorphic to c_0 is isomorphic to a subspace of E^n for some integer n , so X is isomorphic to a subspace of E . □

The case where α is a successor ordinal is obvious.

The proof of the following lemma is straightforward.

Lemma 2.2. *Every infinite dimensional subspace of $(\ell_\infty^1 \oplus \dots \oplus \ell_\infty^n \oplus \dots)_{\ell_1}$ contains a subspace isomorphic to ℓ_1 .*

Theorem 2.3. *Let α, β be two countable ordinals; then $\mathcal{N}(C_0(\alpha))$ is not isomorphic to a subspace of $\mathcal{K}(C_0(\beta))$.*

Proof. Suppose that there exists an isomorphism T from $\mathcal{N}(C_0(\alpha))$ onto a subspace of $\mathcal{K}(C_0(\beta))$. We know that $\mathcal{N}(C_0(\alpha))$ is isometrically isomorphic to $\ell_1 \widehat{\otimes} C_0(\alpha) = \ell_1(\mathbb{N}, C_0(\alpha))$ and $\mathcal{K}(C_0(\beta))$ is isometrically isomorphic to $\ell_1 \widehat{\otimes} C_0(\beta) = C_0(\beta, \ell_1)$. Let, for every integer n , X_n be a subspace of $C_0(\alpha)$ isometric to ℓ_∞^n . By Lemma 2.2, the subspace $X = (X_1 \oplus \dots \oplus X_n \oplus \dots)_{\ell_1}$ of $\mathcal{N}(C_0(\alpha))$ does not contain a subspace isomorphic to c_0 , so, by Lemma 2.1 with $E = \ell_1$, the subspace $T(X)$ of $C_0(\beta, \ell_1)$ is isomorphic to a subspace of ℓ_1 . This means that c_0 is finitely representable in ℓ_1 , which is, of course, false and ends the proof. □

Using the same arguments we can prove

Theorem 2.4. *Let Q_1, Q_2, Q_3 and Q_4 be four countable compact metric spaces. Then $\mathcal{N}(C(Q_1), C(Q_2))$ is not isomorphic to a subspace of $\mathcal{K}(C(Q_3), C(Q_4))$.*

3. SPACES OF COMPACT OPERATORS

The isomorphic classification of $C(Q)$ spaces with Q a countable compact metric space is due to C. Bessaga and A. Pełczyński [1]. Let $\omega \leq \alpha \leq \beta < \omega_1$ be countable ordinal numbers. Then the spaces $C(\alpha)$ and $C(\beta)$ are isomorphic if, and only if, $\beta < \alpha^\omega$. Thus, under the conditions $\omega \leq \alpha \leq \beta < \alpha^\omega < \omega_1$, the spaces $\mathcal{K}(C(\alpha))$ and $\mathcal{K}(C(\beta))$ are isomorphic. Conversely we shall show that, if $\mathcal{K}(C(\alpha))$ and $\mathcal{K}(C(\beta))$ are isomorphic, then the spaces $C(\alpha)$ and $C(\beta)$ are also isomorphic.

Lemma 3.1. *Let α be a countable ordinal ($\omega \leq \alpha < \omega_1$) and let E be a Banach space. If, for every ordinal $\gamma < \alpha$, the space $C_0(\alpha)$ is not isomorphic to a subspace of $C_0(\gamma, E)$, then the space $C_0(\alpha^\omega)$ is not isomorphic to a subspace of $C_0(\alpha, E)$.*

Proof. We use ideas of the proof of Lemma 3 in [1]. Suppose that α is a countable ordinal such that for every ordinal $\gamma < \alpha$, the space $C_0(\alpha)$ is not isomorphic to a subspace of $C_0(\gamma, E)$ and $C_0(\alpha^\omega)$ is isomorphic to a subspace of $C_0(\alpha, E)$; we shall show that this assumption leads to a contradiction. Let T be an operator from $C_0(\alpha^\omega)$ into $C_0(\alpha, E)$ and b be a real number such that, for every $f \in C_0(\alpha^\omega)$, we have

$$\|f\| \leq \|T(f)\| \leq b\|f\|.$$

Now we fix an integer N and $\varepsilon \in]0, 1[$ such that $b < N$ and $\frac{N}{N+1} \leq \frac{1-\varepsilon}{1+\varepsilon}$.

Let f_0 be the function identically equal to 1 on $\langle 1, \alpha^N \rangle$ and equal to 0 on $\langle \alpha^N + 1, \alpha^\omega \rangle$. There exists an ordinal $\gamma_1 < \alpha$ such that $\|T(f_0)(\gamma)\| \leq \varepsilon$ for every $\gamma_1 < \gamma \leq \alpha$. Let $\Delta_\beta^1 = \langle \alpha^{N-1}\beta + 1, \alpha^{N-1}(\beta + 1) \rangle$ for $0 \leq \beta < \alpha$ and

$$E_1 = \{ f \in C_0(\alpha^\omega); \forall \gamma > \alpha^N, f(\gamma) = 0 \text{ and } \forall 0 \leq \beta < \alpha, f \text{ is constant on } \Delta_\beta^1 \}.$$

It is obvious that E_1 is isomorphic to $C_0(\alpha)$. There is no subspace of $C_0(\gamma_1, \ell_1)$ isomorphic to $C_0(\alpha)$, so there exists $f_1 \in E_1$ such that $\|f_1\| = 1$ and, for every $\gamma \leq \gamma_1$, we have $\|T(f_1)(\gamma)\| \leq \varepsilon$. We may change f_1 to $-f_1$ and suppose that there exists $\beta_1 \in \langle 0, \alpha \rangle$ such that, for every $\lambda \in \Delta_{\beta_1}^1$, we have $1 - \varepsilon \leq f_1(\lambda) \leq 1$. We have $T(f_1) \in C_0(\alpha, \ell_1)$, so we can find $\gamma_2 \in (\gamma_1, \alpha)$ such that $\|T(f_1)(\gamma)\| \leq \varepsilon$ for every $\gamma_2 < \gamma < \alpha$. This ends the first step of the proof. \square

For the second step, let

$$\Delta_\beta^2 = \langle \alpha^{N-1}\beta_1 + \alpha^{N-2}\beta + 1, \alpha^{N-1}\beta_1 + \alpha^{N-2}(\beta + 1) \rangle$$

for $0 \leq \beta < \alpha$ and let

$$E_2 = \{ f \in C_0(\alpha^\omega); \forall \gamma \notin \Delta_{\beta_1}^1, f(\gamma) = 0 \text{ and } \forall 0 \leq \beta < \alpha, f \text{ is constant on } \Delta_\beta^2 \}.$$

The subspace E_2 of $C_0(\alpha^\omega)$ is isomorphic to $C_0(\alpha)$. In the same way as in the previous case, we can find $f_2 \in E_2, \|f_2\| = 1$ and two ordinal numbers $0 \leq \beta_2 < \alpha, \gamma_2 < \gamma_3 < \alpha$ such that $\|T(f_2)(\gamma)\| \leq \varepsilon$ for all $\gamma \leq \gamma_2, \|T(f_2)(\gamma)\| \leq \varepsilon$ for all $\gamma > \gamma_3$ and $1 - \varepsilon \leq f_2(\gamma) \leq 1$ for every $\gamma \in \Delta_{\beta_2}^2$. Repeating this procedure N times we shall find $f_0, \dots, f_N \in C_0(\alpha^\omega)$ and $\gamma_1 < \gamma_2 < \dots < \gamma_N < \alpha$ such that :

- $\|f_0\| = \dots = \|f_N\| = 1,$
- $\emptyset \neq f_N^{-1}([1 - \varepsilon, 1]) \subset f_{N-1}^{-1}([1 - \varepsilon, 1]) \subset \dots \subset f_1^{-1}([1 - \varepsilon, 1]) \subset \langle 1, \alpha^N \rangle = f_0^{-1}(1),$
- $\forall 1 \leq k \leq N, \forall \gamma \leq \gamma_k$ we have $\|T(f_k)(\gamma)\| \leq \varepsilon,$
- $\forall 1 \leq k \leq N, \forall \gamma > \gamma_k$ we have $\|T(f_{k-1})(\gamma)\| \leq \varepsilon.$

It is obvious that $(N + 1)(1 - \varepsilon) \leq \|f_0 + \dots + f_N\|$ and $\|T(f_0) + \dots + T(f_N)\| \leq b + N\varepsilon$; hence $(N + 1)(1 - \varepsilon) \leq b + N\varepsilon$, and so $N \leq b$. We obtain a contradiction with $b < N$, and so the conclusion of the lemma holds.

Theorem 3.2. *Let $\omega \leq \alpha \leq \beta < \omega_1$ be two countable infinite ordinal numbers and let E be a Banach space which does not contain a subspace isomorphic to c_0 . Then $C(\beta)$ is isomorphic to a subspace of $C(\alpha, E)$ if, and only if, $C(\beta)$ is isomorphic to a subspace of $C(\alpha)$.*

Proof. It is obvious that if $C(\beta)$ is isomorphic to a subspace of $C(\alpha)$, then $C(\beta)$ is isomorphic to a subspace of $C(\alpha, E)$.

For the converse we introduce two sets of ordinal numbers:

$$I_1 = \{ \alpha \in \langle \omega, \omega_1 \rangle ; \forall \gamma < \alpha, C(\alpha) \text{ is not isomorphic to a subspace of } C(\gamma) \},$$

$$I_2 = \{ \alpha \in \langle \omega, \omega_1 \rangle ; \forall \gamma < \alpha, C(\alpha) \text{ is not isomorphic to a subspace of } C(\gamma, E) \}.$$

We shall prove that $I_1 = I_2$. It is obvious that $I_2 \subset I_1$. The space E does not contain a subspace isomorphic to c_0 , so, for every integer n , the space E^n does not contain a subspace isomorphic to c_0 ; therefore $\omega \in I_2$. Now, suppose that I_2 is a proper subset of I_1 . Let α_1 be the least element of $I_1 \setminus I_2$. We have $\omega < \alpha_1$ and for every $\beta \in I_1, \beta < \alpha_1$ implies $\beta \in I_2$. The ordinal $\alpha_1 \notin I_2$, so there exists an ordinal $\gamma_1 < \alpha_1$ be such that $C(\alpha_1)$ is isomorphic to a subspace of $C(\gamma_1, E)$. Let

$$\alpha_2 = \min \{ \gamma < \alpha_1 ; C(\alpha_1) \text{ is isomorphic to a subspace of } C(\gamma, E) \}.$$

We have $\alpha_2 \leq \gamma_1$ and $C(\alpha_1)$ is isomorphic to a subspace of $C(\alpha_2, E)$. Let us show that $\alpha_2 \in I_1$. If this is not the case, there exists an ordinal $\gamma_2 < \alpha_2$ such that $C(\alpha_2)$ is isomorphic to a subspace of $C(\gamma_2)$. Therefore $C(\alpha_2, E)$ is isomorphic to a subspace of $C(\gamma_2, E)$ and so $C(\alpha_1)$ is isomorphic to a subspace of $C(\gamma_2, E)$ with $\gamma_2 < \alpha_2$, in contradiction with the definition of α_2 . We have $\alpha_2 \in I_1$ and $\alpha_2 < \alpha_1$, so $\alpha_2 \in I_2$. By Lemma 3.1, the space $C(\alpha_2^{\omega})$ is not isomorphic to a subspace of $C(\alpha_2, E)$. We have $\alpha_1 \in I_1$ and $\alpha_2 < \alpha_1$, so, by the result of C. Bessaga and A. Pełczyński [1], the space $C(\alpha_2^{\omega})$ is isomorphic to a subspace of $C(\alpha_1)$. Therefore $C(\alpha_1)$ is not isomorphic to a subspace of $C(\alpha_2, E)$ in contradiction with the definition of α_2 . Hence $I_1 = I_2$ and the converse is proved. \square

The following theorem is a straightforward consequence of the previous one.

Theorem 3.3. *Let $\omega \leq \alpha \leq \beta < \omega_1$ be two countable infinite ordinal numbers. Then $\mathcal{K}(C(\alpha))$ is isomorphic to $\mathcal{K}(C(\beta))$ if, and only if, $\beta < \alpha^\omega$.*

4. SPACES OF NUCLEAR OPERATORS

Under the conditions $\omega \leq \alpha \leq \beta < \alpha^\omega < \omega_1$ the spaces $\mathcal{N}(C(\alpha))$ and $\mathcal{N}(C(\beta))$ are isomorphic. We shall show conversely that if $\mathcal{N}(C(\alpha))$ and $\mathcal{N}(C(\beta))$ are isomorphic, then $C(\alpha)$ and $C(\beta)$ are also isomorphic.

Lemma 4.1. *Let $\alpha \in \langle \omega, \omega_1 \rangle$ and let E be a subspace of $\ell_1(\mathbb{N}, C(\alpha))$ which is not isomorphic to a subspace of $C(\alpha)$. Then there is a subspace of E which is isomorphic to ℓ_1 .*

Proof. For every integer k , let π_k be the operator on $\ell_1(\mathbb{N}, C(\alpha))$ defined by $\pi_k(x) = (x_1, \dots, x_k, 0, 0, \dots)$ for every $x = (x_i)_{i \geq 1} \in \ell_1(\mathbb{N}, C(\alpha))$. Let $\varepsilon \in]0, 1/2[$. Using a standard trick we can find a normalized sequence $(X_n)_{n \geq 1}$ of E and a strictly increasing sequence $(k_n)_{n \geq 1}$ of integers such that $\|X_1 - \pi_{k_1}(X_1)\| \leq \varepsilon$ and

$\|X_n - (\pi_{k_n} - \pi_{k_{n-1}})(X_n)\| \leq \varepsilon$ for every integer $n \geq 2$. Let $Y_1 = \pi_{k_1}(X_1)$ and $Y_n = (\pi_{k_n} - \pi_{k_{n-1}})(X_n)$ for $n = 2, 3, \dots$. It is obvious that for every integer $n \geq 1$ and for every finite sequence $(a_i)_{1 \leq i \leq n}$ of real numbers we have

$$(1 - \varepsilon) \sum_{i=1}^n |a_i| \leq \left\| \sum_{i=1}^n a_i Y_i \right\| \leq \sum_{i=1}^n |a_i|$$

and

$$\left\| \sum_{i=1}^n a_i Y_i - \sum_{i=1}^n a_i X_i \right\| \leq \varepsilon \sum_{i=1}^n |a_i|,$$

so

$$(1 - 2\varepsilon) \sum_{i=1}^n |a_i| \leq \left\| \sum_{i=1}^n a_i X_i \right\| \leq (1 + \varepsilon) \sum_{i=1}^n |a_i|.$$

Therefore, the sequence $(X_n)_{n \geq 1}$ is equivalent to the canonical basis of ℓ_1 . \square

Theorem 4.2. *Let $\omega \leq \alpha \leq \beta < \omega_1$ be two countable infinite ordinal numbers. Then $\mathcal{N}(C(\alpha))$ is isomorphic to $\mathcal{N}(C(\beta))$ if, and only if, $\beta < \alpha^\omega$.*

Proof. For $\alpha \leq \beta < \alpha^\omega$ the spaces $C(\alpha)$ and $C(\beta)$ are isomorphic and so $\mathcal{N}(C(\alpha))$ and $\mathcal{N}(C(\beta))$ are also isomorphic. For the converse, suppose that the spaces $\mathcal{N}(C(\alpha))$ and $\mathcal{N}(C(\beta))$ are isomorphic. Then, the space $C(\beta)$ is isomorphic to a subspace of $\mathcal{N}(C(\alpha)) = \ell_1(\mathbb{N}, C(\alpha))$ and so, by Lemma 4.1, $C(\beta)$ is isomorphic to a subspace of $C(\alpha)$. This implies that $\beta < \alpha^\omega$. \square

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