A strong boundedness result for separable Rosenthal compacta

by

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Abstract. It is proved that the class of separable Rosenthal compacta on the Cantor set having a uniformly bounded dense sequence of continuous functions is strongly bounded.

1. Introduction. Our main result is a strong boundedness result for the class of separable Rosenthal compacta (that is, separable compact subsets of the first Baire class—see [ADK] and [Ro2]) on the Cantor set having a uniformly bounded dense sequence of continuous functions. We shall denote this class by SRC. The phenomenon of strong boundedness, which was first touched by A. S. Kechris and W. H. Woodin in [KW], is a strengthening of the classical property of boundedness of Π_1^1 -ranks. Abstractly, one has a Π_1^1 set B, a natural notion of embedding between elements of B and a canonical Π^1_1 -rank ϕ on B which is coherent with the embedding, in the sense that if $x, y \in B$ and x embeds into y, then $\phi(x) \leq \phi(y)$. The strong boundedness of B is the fact that for every analytic subset A of B there exists $y \in B$ such that x embeds into y for every $x \in A$. Basic examples of strongly bounded classes are the well-orderings WO and the well-founded trees WF (although in these cases strong boundedness is easily seen to be equivalent to boundedness). Recently, it was shown (see [AD] and [DF]) that several classes of separable Banach spaces are strongly bounded, where the corresponding notion of embedding is that of (linear) isomorphic embedding. These results have, in turn, important consequences in the study of universality problems in Banach space theory.

We will add another example to the list of strongly bounded classes, namely the class SRC. We notice that every \mathcal{K} in SRC can be naturally coded by its dense sequence of continuous functions. Hence, we identify

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SRC with the set

 $\{(f_n) \in B(2^{\mathbb{N}})^{\mathbb{N}} : \overline{\{f_n\}}^{\mathbb{P}} \subseteq \mathcal{B}_1(2^{\mathbb{N}}) \text{ and } f_n \neq f_m \text{ if } n \neq m\}$

where $B(2^{\mathbb{N}})$ stands for the closed unit ball of the separable Banach space $C(2^{\mathbb{N}})$. With this identification, the set SRC is Π_1^1 -true. A canonical Π_1^1 -rank on SRC comes from the work of H. P. Rosenthal. Specifically, for every $\mathbf{f} = (f_n)$ in SRC one is looking at the order of the ℓ_1 -tree of the sequence (f_n) . One also has a natural notion of topological embedding between elements of SRC. In particular, if $\mathbf{f} = (f_n)$ and $\mathbf{g} = (g_n)$ are in SRC, then we say that \mathbf{g} topologically embeds into \mathbf{f} if there exists a homeomorphic embedding of the compact set $\overline{\{g_n\}}^{\mathrm{p}}$ into $\overline{\{f_n\}}^{\mathrm{p}}$. This topological embedding, however, is rather weak and not coherent with the Π_1^1 -rank on SRC. Thus, we strengthen the notion of embedding by imposing extra metric conditions on the relation between \mathbf{g} and \mathbf{f} . To motivate our definition, assume that $\mathbf{g} = (g_n)$ and $\mathbf{f} = (f_n)$ are in addition Schauder basic sequences. In this case the most natural thing to consider is equivalence of basic sequences, i.e. \mathbf{g} embeds into \mathbf{f} if there exists $L = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that (g_n) is equivalent to (f_{l_n}) . In such a case, it is easily seen that the order of the ℓ_1 -tree of \mathbf{g} is dominated by the one of \mathbf{f} .

Although not every sequence $\mathbf{f} \in \text{SRC}$ is Schauder basic, the following condition incorporates the above observation. We say that $\mathbf{g} = (g_n)$ strongly embeds into $\mathbf{f} = (f_n)$ if \mathbf{g} topologically embeds into \mathbf{f} , and moreover, for every $\varepsilon > 0$ there exists $L_{\varepsilon} = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that for every $k \in \mathbb{N}$ and all $a_0, \ldots, a_k \in \mathbb{R}$ we have

$$\left|\max_{0\leq i\leq k}\left\|\sum_{n=0}^{i}a_{n}g_{n}\right\|_{\infty}-\left\|\sum_{n=0}^{k}a_{n}f_{l_{n}}\right\|_{\infty}\right|\leq \varepsilon\sum_{n=0}^{k}\frac{|a_{n}|}{2^{n+1}}$$

The notion of strong embedding is coherent with the Π_1^1 -rank on SRC and is consistent with our motivating observation, in the sense that if $\mathbf{g} = (g_n)$ strongly embeds into $\mathbf{f} = (f_n)$ and (g_n) is Schauder basic, then there exists $L = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that (f_{l_n}) is Schauder basic and equivalent to (g_n) . Under the above terminology, we prove the following.

MAIN THEOREM. Let A be an analytic subset of SRC. Then there exists $\mathbf{f} \in SRC$ such that for every $\mathbf{g} \in A$ the sequence \mathbf{g} strongly embeds into \mathbf{f} .

2. Background material. We let $\mathbb{N} = \{0, 1, 2, ...\}$. For every infinite set L we denote by [L] the set of all infinite subsets of L. For every Polish space X we let $\mathcal{B}_1(X)$ denote the set of all real-valued, Baire-1 functions on X. If \mathcal{F} is a subset of \mathbb{R}^X , then $\overline{\mathcal{F}}^p$ denotes the closure of \mathcal{F} in \mathbb{R}^X .

Our descriptive set theoretic notation and terminology follows [Ke]. If X, Y are Polish spaces, $A \subseteq X$ and $B \subseteq Y$, then we say that A is Wadge (respectively *Borel*) reducible to B if there exists a continuous (respectively

Borel) map $f : X \to Y$ such that $f^{-1}(B) = A$. If A is Π_1^1 , then a map $\phi : A \to \omega_1$ is said to be a Π_1^1 -rank on A if there exist relations $\leq_{\Sigma}, \leq_{\Pi}$ in Σ_1^1 and Π_1^1 respectively such that for all $y \in A$ we have

$$x \in A \text{ and } \phi(x) \leq \phi(y) \Leftrightarrow x \leq_{\Sigma} y \Leftrightarrow x \leq_{\Pi} y.$$

We notice that if B is Borel reducible to a set A via a Borel map f and ϕ is a Π_1^1 -rank on A, then the map $\psi: B \to \omega_1$ defined by $\psi(y) = \phi(f(x))$ for all $y \in B$ is a Π_1^1 -rank on B.

2.1. Trees. Let Λ be a non-empty set. We denote by $\Lambda^{<\mathbb{N}}$ the set of all finite sequences in Λ . We view $\Lambda^{<\mathbb{N}}$ as a tree equipped with the (strict) partial order \Box of end-extension. If $t \in \Lambda^{<\mathbb{N}}$, then the length |t| of t is defined to be the cardinality of the set $\{s \in \Lambda^{<\mathbb{N}} : s \sqsubset t\}$. If $s, t \in \Lambda^{<\mathbb{N}}$, then $s^{\uparrow}t$ denotes their concatenation. Two nodes $s, t \in \Lambda^{<\mathbb{N}}$ are said to be comparable if either $s \sqsubseteq t$ or $t \sqsubseteq s$; otherwise they are called *incomparable*. A subset of $\Lambda^{<\mathbb{N}}$ consisting of pairwise comparable nodes is said to be a chain. If $\Lambda = \mathbb{N}$ and $L \in [\mathbb{N}]$, then FIN(L) denotes the subset of $L^{<\mathbb{N}}$ consisting of all finite strictly increasing sequences in L. For every $x \in \Lambda^{\mathbb{N}}$ and every $n \ge 1$ we set $x | n = (x(0), \ldots, x(n-1)) \in \Lambda^{<\mathbb{N}}$ while $x | 0 = \emptyset$.

A tree T on Λ is a downwards closed subset of $\Lambda^{<\mathbb{N}}$. We denote by $\operatorname{Tr}(\Lambda)$ the set of all trees on Λ . Hence

$$T \in \operatorname{Tr}(\Lambda) \,\, \Leftrightarrow \,\, \forall s, t \in \Lambda^{<\mathbb{N}} \,\, (t \in T \,\, \land s \sqsubseteq t \Rightarrow s \in T).$$

A tree T on Λ is said to be *pruned* if for every $t \in T$ there exists $s \in T$ with $t \sqsubset s$. If $T \in \operatorname{Tr}(\Lambda)$, then the *body* [T] of T is defined to be the set $\{x \in \Lambda^{\mathbb{N}} : x | n \in T \ \forall n\}$. A tree T is said to be *well-founded* if $[T] = \emptyset$. The subset of $\operatorname{Tr}(\Lambda)$ consisting of all well-founded trees on Λ will be denoted by WF(Λ). If $T \in \operatorname{WF}(\Lambda)$, we let $T' = \{t : \exists s \in T \ \text{with} \ t \sqsubset s\} \in \operatorname{WF}(\Lambda)$. By transfinite recursion we define the iterated derivatives $T^{(\xi)}$ of T. The *order* o(T) of T is defined to be the least ordinal ξ such that $T^{(\xi)} = \emptyset$. If S, T are well-founded trees, then a map $\phi : S \to T$ is called *monotone* if $s_1 \sqsubset s_2$ in S implies that $\phi(s_1) \sqsubset \phi(s_2)$ in T. Notice that in this case $o(S) \leq o(T)$. If Λ, M are non-empty sets, then we identify every tree T on $\Lambda \times M$ with the set of all pairs $(s, t) \in \Lambda^{<\mathbb{N}} \times M^{<\mathbb{N}}$ such that |s| = |t| = kand $((s(0), t(0)), \dots, (s(k-1), t(k-1))) \in T$. If $\Lambda = \mathbb{N}$, then we shall simply denote by Tr and WF the sets of all trees and well-founded trees on \mathbb{N} respectively. For every countable set Λ the set WF(Λ) is $\mathbf{\Pi}_1^1$ -complete and the map $T \mapsto o(T)$ is a $\mathbf{\Pi}_1^1$ -rank on WF(Λ) (see [Ke]).

2.2. Schauder basic sequences. A sequence (x_n) of non-zero vectors in a Banach space X is said to be a Schauder basic sequence if it is a Schauder basis of its closed linear span (see [LT]). This is equivalent to saying that there exists a constant $K \ge 1$ such that for all $m, k \in \mathbb{N}$ with m < k and all

 $a_0, \ldots, a_k \in \mathbb{R}$ we have

(1)
$$\left\|\sum_{n=0}^{m} a_n x_n\right\| \le K \left\|\sum_{n=0}^{k} a_n x_n\right\|.$$

The least constant K for which inequality (1) holds is called the *basis con*stant of (x_n) . A Schauder basic sequence (x_n) is said to be monotone if K = 1. It is said to be seminormalized (respectively normalized) if there exists M > 0 such that $1/M \le ||x_n|| \le M$ (respectively $||x_n|| = 1$) for all $n \in \mathbb{N}$.

Let X and Y be Banach spaces. If (x_n) and (y_n) are two sequences in X and Y respectively and $C \ge 1$, then we say that (x_n) is *C*-equivalent to (y_n) (or simply equivalent, if C is understood) if for every $k \in \mathbb{N}$ and all $a_0, \ldots, a_k \in \mathbb{R}$ we have

$$\frac{1}{C} \left\| \sum_{n=0}^{k} a_n y_n \right\|_{Y} \le \left\| \sum_{n=0}^{k} a_n x_n \right\|_{X} \le C \left\| \sum_{n=0}^{k} a_n y_n \right\|_{Y}.$$

We denote by $(x_n) \stackrel{C}{\sim} (y_n)$ the fact that (x_n) is C-equivalent to (y_n) .

3. Coding SRC. Let X be a compact metrizable space and let SRC(X) be the family of all separable Rosenthal compacta in X having a dense set of continuous functions which is uniformly bounded with respect to the supremum norm. We denote by B(X) the closed unit ball of the separable Banach space C(X). Notice that every $\mathcal{K} \in \text{SRC}(X)$ is naturally coded by its dense sequence of continuous functions. Hence we may identify SRC(X) with the set

$$\{(f_n) \in B(X)^{\mathbb{N}} : \overline{\{f_n\}}^{\mathbb{P}} \subseteq \mathcal{B}_1(X) \text{ and } f_n \neq f_m \text{ if } n \neq m\}.$$

Denote by $\mathbf{B}(X)$ the G_{δ} subset of $B(X)^{\mathbb{N}}$ consisting of all sequences $\mathbf{f} = (f_n)$ in $B(X)^{\mathbb{N}}$ such that $f_n \neq f_m$ if $n \neq m$. With the above identification the set SRC(X) becomes a subset of the Polish space $\mathbf{B}(X)$. Moreover, as for every compact metrizable space X the Banach space C(X) embeds isometrically into $C(2^{\mathbb{N}})$, we denote by SRC the set $\mathrm{SRC}(2^{\mathbb{N}})$ and we view SRC as the set of all separable Rosenthal compacta having a uniformly bounded dense sequence of continuous functions and defined on a compact metrizable space (it is crucial that C(X) embeds isometrically into $C(2^{\mathbb{N}})$ —this will be clear later on). The following lemma provides an estimate for the complexity of the set $\mathrm{SRC}(X)$.

LEMMA 1. For every compact metrizable space X the set SRC(X) is Π_1^1 . Moreover, the set SRC is Π_1^1 -true.

Proof. Instead of calculating the complexity of SRC(X) we will actually find a Borel map $\Phi : \mathbf{B}(X) \to Tr$ such that $\Phi^{-1}(WF) = SRC(X)$. In other

words, we will find a Borel reduction of SRC(X) to WF. This will not only show that SRC(X) is Π_1^1 , but it will also provide a natural Π_1^1 -rank on SRC(X). This canonical reduction comes from the work of H. P. Rosenthal.

Specifically, let (e_i) be the standard basis of ℓ_1 . To every $d \in \mathbb{N}$ with $d \geq 1$ and every $\mathbf{f} = (f_n)$ in $\mathbf{B}(X)$ we associate a tree $T_{\mathbf{f}}^d$ on \mathbb{N} defined by

$$s \in T^d_{\mathbf{f}} \iff s = (n_0 < \dots < n_k) \in \mathrm{FIN}(\mathbb{N}) \text{ and } (e_i)_{i=0}^k \sim (f_{n_i})_{i=0}^k.$$

Notice that $(e_i)_{i=0}^k \stackrel{d}{\sim} (f_{n_i})_{i=0}^k$ if for all $a_0, \ldots, a_k \in \mathbb{R}$ we have

$$\frac{1}{d}\sum_{i=0}^{k}|a_{i}| \le \left\|\sum_{i=0}^{k}a_{i}f_{n_{i}}\right\|_{\infty} \le d\sum_{i=0}^{k}|a_{i}|$$

Observe that for every $t \in \mathbb{N}^{<\mathbb{N}}$ the set $\{\mathbf{f} : t \in T_{\mathbf{f}}^d\}$ is a closed subset of $\mathbf{B}(X)$. This shows that the map $\mathbf{B}(X) \ni \mathbf{f} \mapsto T_{\mathbf{f}}^d \in \mathrm{Tr}$ is Borel (actually it is Baire-1). Next we glue together the sequence of trees $\{T_{\mathbf{f}}^d : d \ge 1\}$ to obtain a tree $T_{\mathbf{f}}$ on \mathbb{N} defined by the rule

$$s \in T_{\mathbf{f}} \iff \exists d \geq 1 \ \exists s' \text{ with } s = d^{\frown}s' \text{ and } s' \in T_{\mathbf{f}}^d.$$

The tree $T_{\mathbf{f}}$ is usually called the ℓ_1 -tree of the sequence $\mathbf{f} = (f_n)$. Clearly the map $\Phi : \mathbf{B}(X) \to \text{Tr}$ defined by $\Phi(\mathbf{f}) = T_{\mathbf{f}}$ is Borel.

We observe that

$$\mathbf{f} = (f_n) \in \operatorname{SRC}(X) \Leftrightarrow T_{\mathbf{f}} \in \operatorname{WF}$$

This equivalence is essentially Rosenthal's dichotomy [Ro1] (see also [Ke] and [To]). Indeed, let $\mathbf{f} = (f_n)$ be such that $T_{\mathbf{f}}$ is well-founded. By Rosenthal's dichotomy, every subsequence of (f_n) has a further pointwise convergent subsequence. By the Main Theorem in [Ro2], the closure of $\{f_n\}$ in \mathbb{R}^X is in $\mathcal{B}_1(X)$, and so $\mathbf{f} \in \text{SRC}(X)$. Conversely, assume that $T_{\mathbf{f}}$ is ill-founded. There exists $L = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that the sequence (f_{l_n}) is equivalent to the standard basis of ℓ_1 . Using the fact that (f_n) is uniformly bounded and Lebesgue's dominated convergence theorem we find that (f_{l_n}) has no pointwise convergent subsequence. This implies that the closure of $\{f_n\}$ in \mathbb{R}^X contains a homeomorphic copy of $\beta \mathbb{N}$, and so $\mathbf{f} \notin \text{SRC}(X)$. It follows that Φ determines a Borel reduction of SRC(X) to WF. Hence SRC(X) is $\mathbf{\Pi}_1^1$ and the map $\phi_X : \text{SRC}(X) \to \omega_1$ defined by $\phi_X(\mathbf{f}) = o(T_{\mathbf{f}})$ is a $\mathbf{\Pi}_1^1$ -rank on SRC(X).

We proceed to show that SRC is Π_1^1 -true. Denote by ϕ the canonical Π_1^1 -rank $\phi_{2^{\mathbb{N}}}$ on SRC defined above. In order to prove that SRC is Π_1^1 -true, by [Ke, Theorem 35.23], it is enough to show that $\sup\{\phi(\mathbf{f}) : \mathbf{f} \in \text{SRC}\} = \omega_1$. In the argument below we shall use the following simple fact.

FACT 2. Let X, Y be compact metrizable spaces and $e: X \to Y$ a continuous onto map. Let $\mathbf{f} = (f_n) \in \text{SRC}(Y)$ and define $\mathbf{g} = (g_n) \in C(X)^{\mathbb{N}}$ by

 $g_n(x) = f_n(e(x))$ for every $x \in X$ and every $n \in \mathbb{N}$. Then $\mathbf{g} \in \text{SRC}(X)$ and $\phi_Y(\mathbf{f}) = \phi_X(\mathbf{g})$.

Now let \mathcal{F} be a family of finite subsets of \mathbb{N} which is *hereditary* (i.e. if $F \in \mathcal{F}$ and $G \subseteq F$, then $G \in \mathcal{F}$) and compact in the pointwise topology (i.e. compact in $2^{\mathbb{N}}$). To every such family \mathcal{F} one associates its *order* $o(\mathcal{F})$, which is simply the order of the downwards closed, well-founded tree $T_{\mathcal{F}}$ on \mathbb{N} defined by

$$s \in T_{\mathcal{F}} \Leftrightarrow s = (n_0 < \dots < n_k) \in \text{FIN}(\mathbb{N}) \text{ and } \{n_0, \dots, n_k\} \in \mathcal{F}.$$

Such families are well-studied in combinatorics and functional analysis and a detailed exposition can be found in [AT]. What we need is the simple fact that for every countable ordinal ξ one can find a compact hereditary family \mathcal{F} with $o(\mathcal{F}) \geq \xi$.

So, fix a countable ordinal ξ and let \mathcal{F} be a compact hereditary family with $o(\mathcal{F}) \geq \xi$. We will additionally assume that $\{n\} \in \mathcal{F}$ for all $n \in \mathbb{N}$. Define $\pi_n^{\mathcal{F}} : \mathcal{F} \to \mathbb{R}$ by $\pi_n^{\mathcal{F}}(F) = \chi_F(n)$ for all $F \in \mathcal{F}$. Clearly for every $n \in \mathbb{N}$ we have $\pi_n^{\mathcal{F}} \in C(\mathcal{F})$ and $\|\pi_n^{\mathcal{F}}\|_{\infty} = 1$. Moreover, as the family \mathcal{F} contains all singletons, we get $\pi_n^{\mathcal{F}} \neq \pi_m^{\mathcal{F}}$ if $n \neq m$. It is easy to see that the sequence $(\pi_n^{\mathcal{F}})$ converges pointwise to 0, and so $(\pi_n^{\mathcal{F}}) \in \text{SRC}(\mathcal{F})$.

CLAIM 3. We have $\phi_{\mathcal{F}}((\pi_n^{\mathcal{F}})) \ge o(\mathcal{F}) \ge \xi$.

Proof of Claim 3. The proof is essentially based on the fact that \mathcal{F} is hereditary. Indeed, notice that if $F = \{n_0 < \cdots < n_k\} \in \mathcal{F}$, then $(e_i)_{i=0}^k \sim (\pi_{n_i}^{\mathcal{F}})_{i=0}^k$ or equivalently $F \in T^2_{(\pi_n^{\mathcal{F}})}$. To see this, fix $F = \{n_0 < \cdots < n_k\} \in \mathcal{F}$ and let $a_0, \ldots, a_k \in \mathbb{R}$ be arbitrary. We set

$$I_+ = \{i \in \{0, \dots, k\} : a_i \ge 0\}$$
 and $I_- = \{0, \dots, k\} \setminus I_+$.

Then either $\sum_{i \in I_+} a_i \geq \frac{1}{2} \sum_{i=0}^k |a_i|$ or $-\sum_{i \in I_-} a_i \geq \frac{1}{2} \sum_{i=0}^k |a_i|$. Assume that the second case occurs (the argument is symmetric). Let $F_- = \{n_i : i \in I_-\} \subseteq F \in \mathcal{F}$. Then $F_- \in \mathcal{F}$ as \mathcal{F} is hereditary. Now observe that

$$\frac{1}{2}\sum_{i=0}^{k}|a_{i}| \leq -\sum_{i\in I_{-}}a_{i} = \Big|\sum_{i=0}^{k}a_{i}\pi_{n_{i}}^{\mathcal{F}}(F_{-})\Big| \leq \Big\|\sum_{i=0}^{k}a_{i}\pi_{n_{i}}^{\mathcal{F}}\Big\|_{\infty} \leq 2\sum_{i=0}^{k}|a_{i}|.$$

It follows by the above discussion that the identity map $\mathrm{Id}: T_{\mathcal{F}} \to T^2_{(\pi_n^{\mathcal{F}})}$ is a well-defined monotone map. The claim is proved. \Diamond

By Fact 2 and Claim 3, we conclude that $\sup{\phi(\mathbf{f}) : \mathbf{f} \in SRC} = \omega_1$ and the entire proof is complete.

4. Topological and strong embedding. Consider the classes SRC(X) and SRC(Y), where X and Y are compact metrizable spaces, as they were

coded in the previous section. There is a canonical notion of embedding between elements of SRC(X) and SRC(Y), defined as follows.

DEFINITION 4. Let X, Y be compact metrizable spaces, $\mathbf{f} = (f_n) \in$ SRC(X) and $\mathbf{g} = (g_n) \in$ SRC(Y). We say that \mathbf{g} topologically embeds into \mathbf{f} , in symbols $\mathbf{g} < \mathbf{f}$, if there exists a homeomorphic embedding of $\overline{\{g_n\}}^p$ into $\overline{\{f_n\}}^p$.

Clearly the notion of topological embedding is natural and meaningful, as $\mathbf{f}_1 < \mathbf{f}_2$ and $\mathbf{f}_2 < \mathbf{f}_3$ imply that $\mathbf{f}_1 < \mathbf{f}_3$. However, in this setting, one also has a canonical $\mathbf{\Pi}_1^1$ -rank on SRC and any notion of embedding between elements of SRC should be coherent with this rank, in the sense that if $\mathbf{g} < \mathbf{f}$, then $\phi_Y(\mathbf{g}) \leq \phi_X(\mathbf{f})$. Unfortunately, the topological embedding is not strong enough in order to have this property.

EXAMPLE 1. Let \mathcal{F}_1 and \mathcal{F}_2 be two compact hereditary families of finite subsets of N. As in the proof of Lemma 1, consider the sequences $(\pi_n^{\mathcal{F}_1}) \in$ $\operatorname{SRC}(\mathcal{F}_1)$ and $(\pi_n^{\mathcal{F}_2}) \in \operatorname{SRC}(\mathcal{F}_2)$. Both of them are pointwise convergent to 0. Hence, they are topologically equivalent and clearly bi-embeddable. However, it is easy to see that the corresponding ranks of the two sequences depend only on the order of the families \mathcal{F}_1 and \mathcal{F}_2 , and so they are totally unrelated.

We are going to strengthen the notion of topological embedding between the elements of SRC. To motivate our definition, let $\mathbf{f} = (f_n), \mathbf{g} = (g_n) \in$ SRC and assume that both (f_n) and (g_n) are Schauder basic sequences. In this case, the most natural notion of embedding is that of equivalence, i.e. \mathbf{g} embeds into \mathbf{f} if there exists $L = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that the sequence (g_n) is equivalent to (f_{l_n}) . It is easy to verify that, in this case, we do have $\phi(\mathbf{g}) \leq \phi(\mathbf{f})$. Although not every $\mathbf{f} \in$ SRC is a Schauder basic sequence, there is a metric relation we can impose on \mathbf{f} and \mathbf{g} which incorporates the above observation.

DEFINITION 5. Let X, Y be compact metrizable spaces, $\mathbf{f} = (f_n) \in$ SRC(X) and $\mathbf{g} = (g_n) \in$ SRC(Y). We say that \mathbf{g} strongly embeds into \mathbf{f} , in symbols $\mathbf{g} \prec \mathbf{f}$, if \mathbf{g} topologically embeds into \mathbf{f} , and moreover, for every $\varepsilon > 0$ there exists $L_{\varepsilon} = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that for every $k \in \mathbb{N}$ and all $a_0, \ldots, a_k \in \mathbb{R}$ we have

(2)
$$\left\| \max_{0 \le i \le k} \left\| \sum_{n=0}^{i} a_n g_n \right\|_{\infty} - \left\| \sum_{n=0}^{k} a_n f_{l_n} \right\|_{\infty} \right\| \le \varepsilon \sum_{n=0}^{k} \frac{|a_n|}{2^{n+1}}.$$

Below we gather the basic properties of the notion of strong embedding.

PROPOSITION 6. Let X and Y be compact metrizable spaces. The following hold.

- (i) If $\mathbf{f} \in SRC(X)$ and $\mathbf{g} \in SRC(Y)$ with $\mathbf{g} \prec \mathbf{f}$, then $\mathbf{g} < \mathbf{f}$.
- (ii) If f ∈ SRC(X), g ∈ SRC(Y) with g ≺ f and the sequence (g_n) is a normalized Schauder basic sequence, then there exists L = {l₀ < l₁ < ···} ∈ [N] such that the sequence (f_{l_n}) is Schauder basic and equivalent to (g_n).
- (iii) If $\mathbf{f}_1 \prec \mathbf{f}_2$ and $\mathbf{f}_2 \prec \mathbf{f}_3$, then $\mathbf{f}_1 \prec \mathbf{f}_3$.
- (iv) If $\mathbf{f} \in \text{SRC}(X)$ and $\mathbf{g} \in \text{SRC}(Y)$ with $\mathbf{g} \prec \mathbf{f}$, then $\phi_Y(\mathbf{g}) \leq \phi_X(\mathbf{f})$.
- (v) Let Z be a compact metrizable space and $e : Z \to X$ be onto continuous. Let $\mathbf{f} = (f_n) \in \text{SRC}(X)$ and define, as in Fact 2, $\mathbf{h} = (h_n) \in \text{SRC}(Z)$ by $h_n(z) = f_n(e(z))$ for every $n \in \mathbb{N}$ and every $z \in Z$. If $\mathbf{g} \in \text{SRC}(Y)$ is such that $\mathbf{g} \prec \mathbf{f}$, then $\mathbf{g} \prec \mathbf{h}$.

Proof. (i) This is straightforward.

(ii) Let $K \geq 1$ be the basis constant of (g_n) . We are going to show that there exists $L = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that (g_n) is 2K-equivalent to (f_{l_n}) . Indeed, let $0 < \varepsilon < 1/4K$ and select $L_{\varepsilon} = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that inequality (2) is satisfied. Let $k \in \mathbb{N}$ and $a_0, \ldots, a_k \in \mathbb{R}$. Notice that

(3)
$$\left\|\sum_{n=0}^{k} a_n g_n\right\|_{\infty} \le \max_{0\le i\le k} \left\|\sum_{n=0}^{i} a_n g_n\right\|_{\infty} \le K \left\|\sum_{n=0}^{k} a_n g_n\right\|_{\infty}.$$

Moreover, for every $m \in \{0, \ldots, k\}$ we have

(4)
$$|a_m| \le 2K \Big\| \sum_{n=0}^k a_n g_n \Big\|_{\infty}$$

as (g_n) is a normalized Schauder basic sequence (see [LT]). Plugging in inequalities (3) and (4) into (2) we get

$$\left\|\sum_{n=0}^{k} a_n f_{l_n}\right\|_{\infty} \le K \left\|\sum_{n=0}^{k} a_n g_n\right\|_{\infty} + 2K\varepsilon \left\|\sum_{n=0}^{k} a_n g_n\right\|_{\infty}$$
$$\le 2K \left\|\sum_{n=0}^{k} a_n g_n\right\|_{\infty}$$

by the choice of ε . Arguing similarly, we see that

$$\frac{1}{2K} \left\| \sum_{n=0}^{\kappa} a_n g_n \right\|_{\infty} \le \left\| \sum_{n=0}^{\kappa} a_n f_{l_n} \right\|_{\infty}.$$

Thus (g_n) is 2K-equivalent to (f_{l_n}) , as desired.

(iii) This is a simple calculation, similar to that of part (ii), and we prefer not to bother the reader with it.

(iv) Let $d \ge 1$. We fix $\varepsilon > 0$ with $\varepsilon < 1/2d$ and we select $L_{\varepsilon} = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that inequality (2) is satisfied. For every $s = (m_0 < \cdots < m_k)$

 $\in T^d_{\mathbf{g}}$ we set $t_s = (l_{m_0} < \cdots < l_{m_k}) \in \text{FIN}(\mathbb{N})$. Observe that for every $k \in \mathbb{N}$ and all $a_0, \ldots, a_k \in \mathbb{R}$ we have

$$2d\sum_{n=0}^{k} |a_{n}| \ge \left\|\sum_{n=0}^{k} a_{n} f_{l_{m_{n}}}\right\|_{\infty} \ge \max_{0 \le i \le k} \left\|\sum_{n=0}^{i} a_{n} g_{m_{n}}\right\|_{\infty} - \varepsilon \sum_{n=0}^{k} |a_{n}|$$
$$\ge \left\|\sum_{n=0}^{k} a_{n} g_{m_{n}}\right\|_{\infty} - \varepsilon \sum_{n=0}^{k} |a_{n}|$$
$$\ge \frac{1}{d} \sum_{n=0}^{k} |a_{n}| - \frac{1}{2d} \sum_{n=0}^{k} |a_{n}| = \frac{1}{2d} \sum_{n=0}^{k} |a_{n}|.$$

This shows that $t_s \in T_{\mathbf{f}}^{2d}$. It follows that $s \mapsto t_s$ is a monotone map from $T_{\mathbf{g}}^d$ to $T_{\mathbf{f}}^{2d}$. Hence $o(T_{\mathbf{g}}^d) \leq o(T_{\mathbf{f}}^{2d})$. As d was arbitrary, this implies that $\phi_Y(\mathbf{g}) \leq \phi_X(\mathbf{f})$, as desired.

(v) This is also straightforward, as the map e induces an isometric embedding of C(X) into C(Z).

We are going to present another property of the notion of strong embedding which has a Banach space theoretic flavor. To this end, we give the following definition.

DEFINITION 7. Let E be a compact metrizable space and $\mathbf{g} = (g_n)$ be a bounded sequence in C(E). We denote by $X_{\mathbf{g}}$ the completion of $c_{00}(\mathbb{N})$ under the norm

(5)
$$\|x\|_{\mathbf{g}} = \sup\left\{\left\|\sum_{n=0}^{k} x(n)g_n\right\|_{\infty} : k \in \mathbb{N}\right\}.$$

We denote by $(e_n^{\mathbf{g}})$ the standard Hamel basis of $c_{00}(\mathbb{N})$ regarded as a sequence in $X_{\mathbf{g}}$. Let us isolate some elementary properties of $(e_n^{\mathbf{g}})$.

- (P1) The sequence $(e_n^{\mathbf{g}})$ is a monotone basis of $X_{\mathbf{g}}$. Moreover, $(e_n^{\mathbf{g}})$ is normalized (respectively seminormalized) if and only if (g_n) is.
- (P2) If (g_n) is Schauder basic with basis constant K, then $(e_n^{\mathbf{g}})$ is K-equivalent to (g_n) .

Less trivial is the fact (which we will see in the next section) that $\mathbf{g} \in \operatorname{SRC}(E)$ if and only if $(e_n^{\mathbf{g}})$ is in $\operatorname{SRC}(K)$, where K is the closed unit ball of $X_{\mathbf{g}}^*$ with the weak* topology. In light of property (P2) above, the sequence $(e_n^{\mathbf{g}})$ can be regarded as a sort of "approximation" of (g_n) by a Schauder basic sequence.

The following proposition relates the strong embedding of a sequence $\mathbf{g} = (g_n)$ into a sequence $\mathbf{f} = (f_n)_n$ to the existence of subsequences of (f_n) which are "almost isometric" to $(e_n^{\mathbf{g}})$. Its proof, which is left to the interested reader, is based on arguments similar to the proof of Proposition 6.

PROPOSITION 8. Let X and Y be compact metrizable spaces, $\mathbf{g} = (g_n) \in$ SRC(X) and $\mathbf{f} = (f_n) \in$ SRC(Y). If \mathbf{g} strongly embeds into \mathbf{f} , then for every $\varepsilon > 0$ there exists $L_{\varepsilon} = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that $(e_n^{\mathbf{g}})$ is $(1 + \varepsilon)$ -equivalent to (f_{l_n}) .

5. The main result. We are ready to state and prove the strong boundedness result for the class SRC.

THEOREM 9. Let A be an analytic subset of SRC. Then there exists $\mathbf{f} \in \text{SRC}$ such that for every $\mathbf{g} \in A$ we have $\mathbf{g} \prec \mathbf{f}$.

We record the following consequence of Theorem 9 and Proposition 8.

COROLLARY 10. Let X be a compact metrizable space and $\mathbf{g} = (g_n) \in \operatorname{SRC}(X)$. Then $(e_n^{\mathbf{g}})$ is in $\operatorname{SRC}(K)$, where K is the closed unit ball of $X_{\mathbf{g}}^*$ with the weak^{*} topology.

We proceed to the proof of Theorem 9.

Proof of Theorem 9. We fix a norm dense sequence (d_n) in the closed unit ball of $C(2^{\mathbb{N}})$ such that $d_n \neq d_m$ if $n \neq m$ and $d_n \neq 0$ for every $n \in \mathbb{N}$. We also fix a sequence (D_n) of infinite subsets of \mathbb{N} such that $D_n \cap D_m = \emptyset$ if $n \neq m$ and $\mathbb{N} = \bigcup_n D_n$. Let A be an analytic subset of SRC and define $\widetilde{A} \subseteq \mathbb{N}^{\mathbb{N}}$ by

$$\sigma \in \widetilde{A} \iff \exists \mathbf{g} = (g_n) \in A \; \exists \varepsilon > 0 \text{ such that} \\ [\forall n \; \forall k \; (k \in D_n \Rightarrow \|g_n - d_{\sigma(k)}\|_{\infty} \le \varepsilon/2^{k+1})] \text{ and} \\ [\forall n \; \forall m \; (n \neq m \Rightarrow \sigma(n) \neq \sigma(m))].$$

Then \widetilde{A} is Σ_1^1 . Let T be the unique downwards closed, pruned tree on $\mathbb{N} \times \mathbb{N}$ such that $\widetilde{A} = \operatorname{proj}[T]$. We define a sequence $(h_t)_{t \in T}$ in $C(2^{\mathbb{N}})$ as follows. If $t = (\emptyset, \emptyset)$, then we set $h_t = 0$. If $t \in T$ with $t \neq (\emptyset, \emptyset)$, then t = (s, w)with $s = (n_0, \ldots, n_m) \in \mathbb{N}^{<\mathbb{N}}$. We set $h_t = d_{n_m}$. Clearly $\|h_t\|_{\infty} \leq 1$ for every $t \in T$. We notice the following properties of the sequence $(h_t)_{t \in T}$.

- (P1) For every $\sigma \in [T]$ there exists $\mathbf{g} = (g_n) \in A$ and $\varepsilon > 0$ such that for every $n \in \mathbb{N}$ and every $k \geq 1$ with $k 1 \in D_n$ we have $\|g_n h_{\sigma|k}\|_{\infty} \leq \varepsilon/2^k$.
- (P2) For every $\mathbf{g} = (g_n) \in A$ and every $\varepsilon > 0$ there exists $\sigma \in [T]$ such that for every $n \in \mathbb{N}$ and every $k \ge 1$ with $k 1 \in D_n$ we have $\|g_n h_{\sigma|k}\|_{\infty} \le \varepsilon/2^k$.

We pick an embedding $\phi : T \to 2^{<\mathbb{N}}$ such that for all $t, t' \in T$ we have $\phi(t) \sqsubset \phi(t')$ if and only if $t \sqsubset t'$. Let also $e : T \to \mathbb{N}$ be a bijection such that e(t) < e(t') if $t \sqsubset t'$ for all $t, t' \in T$. We enumerate the nodes of T as (t_n) according to e. Now for every $n \in \mathbb{N}$ we define $f_n : 2^{\mathbb{N}} \times 2^{\mathbb{N}} \to \mathbb{R}$ by

(6)
$$f_n(\sigma_1, \sigma_2) = \chi_{V_{\phi(t_n)}}(\sigma_1) \cdot h_{t_n}(\sigma_2)$$

where $V_{\phi(t_n)} = \{ \sigma \in 2^{\mathbb{N}} : \phi(t_n) \sqsubset \sigma \}$. Clearly $f_n \in C(2^{\mathbb{N}} \times 2^{\mathbb{N}})$ and $||f_n||_{\infty} \leq 1$ for all $n \in \mathbb{N}$. Moreover, it is easy to check that $f_n \neq f_m$ if $n \neq m$.

It will be convenient to adopt the following notation. For every function $g: 2^{\mathbb{N}} \to \mathbb{R}$ and $\tau \in 2^{\mathbb{N}}$ we denote by $g * \tau : 2^{\mathbb{N}} \times 2^{\mathbb{N}} \to \mathbb{R}$ the function defined by $g * \tau(\sigma_1, \sigma_2) = \delta_{\tau}(\sigma_1) \cdot g(\sigma_2)$ for $(\sigma_1, \sigma_2) \in 2^{\mathbb{N}} \times 2^{\mathbb{N}}$ (δ_{τ} stands for the Dirac function at τ).

CLAIM 11. We have $(f_n) \in \text{SRC}(2^{\mathbb{N}} \times 2^{\mathbb{N}})$.

Proof of Claim 11. By the Main Theorem in [Ro2], it is enough to show that every subsequence of (f_n) has a further pointwise convergent subsequence. So, let $N \in [\mathbb{N}]$ arbitrary. By Ramsey's theorem, there exists $M \in [N]$ such that the family $\{\phi(t_n) : n \in M\}$ either consists of pairwise incomparable nodes, or of pairwise comparable ones. In the first case $(f_n)_{n \in M}$ is pointwise convergent to 0. In the second case, by the properties of ϕ and the enumeration of T, for any $n, m \in M$ with n < m we have $t_n \sqsubset t_m$. It follows that there exists $\sigma \in [T]$ such that $t_n \sqsubset \sigma$ for every $n \in M$. We may also assume that $t_n \neq (\emptyset, \emptyset)$ for all $n \in M$. By property (P1) above, there exist $\mathbf{g} = (g_n) \in A$, $\varepsilon > 0$ and a sequence $(k_n)_{n \in M}$ in \mathbb{N} (with possible repetitions) such that $||g_{k_n} - h_{t_n}||_{\infty} \leq \varepsilon/2^{|t_n|}$ for all $n \in M$. As $\mathbf{g} \in SRC$, there exists $L \in [M]$ such that $(g_{k_n})_{n \in L}$ is pointwise convergent to a Baire-1 function g. Since $\lim_{n \in L} |t_n| = \infty$, the sequence $(h_{t_n})_{n \in L}$ is also pointwise convergent to g. Finally, $(\chi_{V_{\phi(t_n)}})_{n \in L}$ converges pointwise to δ_{τ} , where τ is the unique element of $2^{\mathbb{N}}$ determined by the infinite chain $\{\phi(t_n) : n \in L\}$ of $2^{<\mathbb{N}}$. It follows that $(f_n)_{n\in L}$ is pointwise convergent to $g * \tau$. The claim is proved. \Diamond

CLAIM 12. For every $\mathbf{g} = (g_n) \in A$, \mathbf{g} topologically embeds into (f_n) .

Proof of Claim 12. Let $\mathbf{g} = (g_n) \in A$. By (P2), there exists $\sigma \in [T]$ such that for every $n \in \mathbb{N}$ and every $k \geq 1$ with $k - 1 \in D_n$ we have $\|g_n - h_{\sigma|k}\|_{\infty} \leq 1/2^k$. By the choice of ϕ , there exists a unique $\tau \in 2^{\mathbb{N}}$ such that $\phi(\sigma|k) \sqsubset \tau$ for all $k \in \mathbb{N}$. Fix $n_0 \in \mathbb{N}$. Since there exist infinitely many k with $\|g_{n_0} - h_{\sigma|k}\|_{\infty} \leq 1/2^k$, arguing as in Claim 11 we find that $g_{n_0} * \tau$ belongs to the closure of $\{f_n\}$ in $\mathbb{R}^{2^{\mathbb{N}} \times 2^{\mathbb{N}}}$. It follows that

$$\overline{\{g_n\}}^{\mathbf{p}} \ni g \mapsto g \ast \tau \in \overline{\{f_n\}}^{\mathbf{p}}$$

is a homeomorphic embedding and the claim is proved. \diamondsuit

CLAIM 13. For every $\mathbf{g} = (g_n) \in A$, \mathbf{g} strongly embeds into (f_n) .

Proof of Claim 13. Fix $\mathbf{g} = (g_n) \in A$. By Claim 12, it is enough to show that for every $\varepsilon > 0$ there exists $L_{\varepsilon} = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}]$ such that inequality (2) is satisfied for (g_n) and (f_{l_n}) . So, let $\varepsilon > 0$ be arbitrary. By property (P2), there exists $\sigma \in [T]$ such that for every $n \in \mathbb{N}$ and every $k \geq 1$ with $k - 1 \in D_n$ we have $||g_n - h_{\sigma|k}||_{\infty} \leq \varepsilon/2^k$. There exists

 $D = \{m_0 < m_1 < \cdots\} \in [\mathbb{N}] \text{ with } m_0 \geq 1 \text{ and } m_n - 1 \in D_n \text{ for all } n \in \mathbb{N}. \text{ By the properties of the enumeration } e \text{ of } T, \text{ there exists } L = \{l_0 < l_1 < \cdots\} \in [\mathbb{N}] \text{ such that } t_{l_n} = \sigma | m_n \text{ for every } n \in \mathbb{N}. \text{ We isolate, for future use, the following facts.}$

- (F1) For every $n \in \mathbb{N}$ we have $||g_n h_{t_{l_n}}||_{\infty} \le \varepsilon/2^{m_n} \le \varepsilon/2^{n+1}$.
- (F2) For any $n, m \in \mathbb{N}$ with n < m we have $t_{l_n} \sqsubset t_{l_m}$.

We claim that the sequences (g_n) and (f_{l_n}) satisfy inequality (2) for the given $\varepsilon > 0$. Indeed, let $k \in \mathbb{N}$ and $a_0, \ldots, a_k \in \mathbb{R}$. By (F1), for every $i \in \{0, \ldots, k\}$ we have

$$\left| \left\| \sum_{n=0}^{i} a_{n} g_{n} \right\|_{\infty} - \left\| \sum_{n=0}^{i} a_{n} h_{t_{l_{n}}} \right\|_{\infty} \right| \le \varepsilon \sum_{n=0}^{i} \frac{|a_{n}|}{2^{n+1}}.$$

This implies that

$$\left\|\max_{0\leq i\leq k}\left\|\sum_{n=0}^{i}a_{n}g_{n}\right\|_{\infty}-\max_{0\leq i\leq k}\left\|\sum_{n=0}^{i}a_{n}h_{t_{l_{n}}}\right\|_{\infty}\right\|\leq \varepsilon\sum_{n=0}^{k}\frac{|a_{n}|}{2^{n+1}}.$$

The above inequality is a consequence of the following elementary fact. If $(r_i)_{i=0}^k$, $(\theta_i)_{i=0}^k$ and $(\delta_i)_{i=0}^k$ are finite sequences of positive reals such that $|r_i - \theta_i| \leq \delta_i$ for all $i \in \{0, \ldots, k\}$, then

$$\left|\max_{0\leq i\leq k}r_i - \max_{0\leq i\leq k}\theta_i\right| \leq \max_{0\leq i\leq k}\delta_i.$$

So the claim will be proved once we show that

$$\max_{0 \le i \le k} \left\| \sum_{n=0}^{i} a_n h_{t_{l_n}} \right\|_{\infty} = \left\| \sum_{n=0}^{k} a_n f_{l_n} \right\|_{\infty}.$$

To this end we argue as follows. For every $t \in T$ the function h_t is continuous. So there exist $j \in \{0, ..., k\}$ and $\sigma_2 \in 2^{\mathbb{N}}$ such that

$$\max_{0 \le i \le k} \left\| \sum_{n=0}^{i} a_n h_{t_{l_n}} \right\|_{\infty} = \left| \sum_{n=0}^{j} a_n h_{t_{l_n}}(\sigma_2) \right|.$$

By (F2), we have $t_{l_0} \sqsubset \cdots \sqsubset t_{l_k}$. Hence, by the properties of ϕ , we see that $\phi(t_{l_0}) \sqsubset \cdots \sqsubset \phi(t_{l_k})$. It follows that there exists $\sigma_1 \in 2^{\mathbb{N}}$ such that $\chi_{V_{\phi(t_{l_n})}}(\sigma_1) = 1$ if $n \in \{0, \ldots, j\}$ while $\chi_{V_{\phi(t_{l_n})}}(\sigma_1) = 0$ otherwise. So

$$\Big|\sum_{n=0}^{k} a_n f_{l_n}\Big\|_{\infty} \ge \Big|\sum_{n=0}^{k} a_n f_{l_n}(\sigma_1, \sigma_2)\Big| = \Big|\sum_{n=0}^{j} a_n h_{t_{l_n}}(\sigma_2)\Big|.$$

Conversely, let $(\sigma_3, \sigma_4) \in 2^{\mathbb{N}} \times 2^{\mathbb{N}}$ be such that

$$\left\|\sum_{n=0}^{k} a_n f_{l_n}\right\|_{\infty} = \left|\sum_{n=0}^{k} a_n f_{l_n}(\sigma_3, \sigma_4)\right|.$$

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We notice that if $\chi_{V_{\phi(t_{l_n})}}(\sigma_3) = 1$ for some $n \in \mathbb{N}$, then for every $m \in \mathbb{N}$ with $m \leq n$ we also have $\chi_{V_{\phi(t_{l_n})}}(\sigma_3) = 1$. Hence, there exists $p \in \{0, \ldots, k\}$ such that $\chi_{V_{\phi(t_{l_n})}}(\sigma_3) = 1$ if $n \in \{0, \ldots, p\}$ while $\chi_{V_{\phi(t_{l_n})}}(\sigma_3) = 0$ otherwise. This implies that

$$\left\|\sum_{n=0}^{k} a_{n} f_{l_{n}}\right\|_{\infty} = \left|\sum_{n=0}^{k} a_{n} f_{l_{n}}(\sigma_{3}, \sigma_{4})\right| = \left|\sum_{n=0}^{p} a_{n} f_{l_{n}}(\sigma_{3}, \sigma_{4})\right|$$
$$= \left|\sum_{n=0}^{p} a_{n} h_{t_{l_{n}}}(\sigma_{4})\right| \le \max_{0 \le i \le k} \left\|\sum_{n=0}^{i} a_{n} h_{t_{l_{n}}}\right\|_{\infty}$$

and the claim is proved. \Diamond

As $2^{\mathbb{N}} \times 2^{\mathbb{N}}$ is homeomorphic to $2^{\mathbb{N}}$, by Claims 11 and 13 and invoking Proposition 6(v), the proof of the theorem is complete.

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