CHARACTERIZATION AND PROPERTIES OF EXTREME OPERATORS INTO C(Y)

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ABSTRACT

Let E be a real (or complex) Banach space, Y a compact Hausdorff space, and C(Y) the space of real (or complex) valued continuous functions on Y. If T is an extreme point in the unit ball of bounded linear operators from E into C(Y), then it is shown that T^* maps (the natural imbedding in $C(Y)^*$ of) Y into the weak*-closure of ext $S(E^*)$, provided that Y is extremally disconnected, or E = C(X), where X is a dispersed compact Hausdorff space

1. Introduction

Suppose that E is a real (or complex) Banach space. Let S(E) denote its unit ball. Suppose that Y is a compact Hausdorff space. We may identify L(E, C(Y)), the space of bounded linear operators from E to C(Y), with the space of weak*-continuous mappings of Y into E^* [5, p. 490], and the unit ball of the first space is identified with the set of those mappings which map Y into the unit ball, $S(E^*)$, of E^* . Following Morris and Phelps [9], we call an operator T in S(L(E, C(Y))) a nice operator, if its adjoint map T^* maps Y into ext $S(E^*)$. It is easily verified (see [3]) that every nice operator is extreme in the unit ball of L(E, C(Y)). The converse assertion is not true in general. Blumenthal, Lindenstrauss and Phelps [3] have in fact, presented two examples which show that, for each compact Hausdorff space Y, there is a Banach space E and an extreme operator T in S(L(E, C(Y))) such that $T^*(y)$ is extreme in $S(E^*)$ if and only if Y is is isolated in Y and if Y = [0, 1], E may be taken to be four-dimensional.

Consider the following two properties:

- (A) For T extreme in S(L(E, C(Y))), $T^*(Y) \subset (\text{ext } S(E^*))^{-w^*}$
- (B) If E is a Banach space such that ext $S(E^*)$ is weak*-closed, then T is extreme in S(L(E, C(Y))) if and only if T is a nice operator.

Neither of these properties need be true in general, as is seen by example 4 in [3]. However, it is likely that they hold for a wide class of pairs (E, Y) as Theorem 4 might indicate.

A natural choice for E in property (B) is C(X), for a compact Hausdorff space X, since ext $S(C(X)^*)$ is precisely $\Gamma X = \{\lambda \delta_x; x \in X, |\lambda| = 1\}$, where δ_x denotes the point measure at x([2], cf. [5, p. 441]).

The validity of (B) for E = C(X) has been proved only for real scalars and some special X or Y inspite of the fact that it is known to be true for arbitrary compact Hausdorff spaces X and Y and for arbitrary scalars (real or complex) if T is a positive linear operator, by a theorem of A. and C. Ionescu-Tulcea [7] (see also [11]). Property (A) is known to be true in one trivial case, namely, if Y has a dense set of isolated points [3].

The known cases for assertion (B) with E = C(X) and real scalars are:

- 1) X is metrizable [3]
- 2) X is Eberlein-compact and Y is metrizable [1]
- 3) T is compact [3]
- 4) T is weakly compact and Y is separable [4].

In this paper we add another two cases, both of which are true for complex scalars too.

Theorem 1 deals with a general property of extreme operators in S(L(E, C(Y))), namely, the set of points in Y where the adjoint map attains its maximum norm (=1) is dense in Y.

Theorems 2 and 4 establish (A) and (B) provided that Y is extremally disconnected.

Theorem 3 is related to Kelley's theorem [8] on the characterization of P_1 spaces and deals with extreme extensions of extreme operators.

Theorem 5 establishes property (B) for E = C(X), where X is a dispersed compact Hausdorff space, again for arbitrary scalars.

It should be noted that no selection theorems were needed in order to prove our results, while the proofs of the cases mentioned above rely mainly on their existence.

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2. Proofs of the theorems

For any Banach space E, E^* will denote its dual and the action of $\mu \in E^*$ on $x \in E$ will be denoted bu $\mu(x)$. S(E) will denote the closed unit ball of E. If E and F are normed linear spaces, L(E, F) will denote the space of bounded linear operators from E into F. If E = C(X) for a compact Hausdorff space X, we may identify E^* with the space of all countably-additive regular Borel measures on X, and we shall treat an element μ of $C(X)^*$ either as a functional or as a measure, using the same symbol. If the scalars are real, and $\mu \in C(X)^*$, μ^+ and μ^- will denote the positive and the negative variations of μ respectively and one has $\mu = \mu^+ - \mu^-$. We also denote by ext A the set of extreme points of A, where A is a set in a linear space.

For each T in L(E, C(Y)), there is a weak*-continuous mapping $T^*: Y \to E^*$ such that

$$T^*(y)(x) = Tx(y)$$
 $x \in E$, $y \in Y$ $\|T\| = \sup\{ \|T^*(y)\| ; y \in Y \}$

and

This correspondence is shown in [5. p, 490] to be one-to-one onto the space of all weak*-continuous functions from Y to E*. This correspondence is also linear.

Hence, T is extreme in S(L(E,C(Y))) if and only if every weak*-continuous map $U^*: Y \to E^*$ such that $||T^*(y) \pm U^*(y)|| \le 1$ for each $y \in Y$, is identically zero.

Now we are ready to prove our results.

THEOREM 1. Let E be a Banach-space, Y a compact Hausdorff space, and T an extreme operator in S(L(E,C(Y))). Then the set $\{y \in Y; \|T^*(y)\| = 1\}$ is dense in Y.

PROOF. The map $y \to ||T^*(y)||$ is lower semi-continuous. Hence, for each integer n, the set

$$G_n = \{ y \in Y; || T^*(y) || > 1 - \frac{1}{n} \}$$

is an open subset of Y. We shall show that G_n is dense in Y. To this end, suppose that $f \in C(Y)$, $0 \le f \le 1$, $f \mid G_n = 0$. Let $\mu \in S(E^*)$ be a non-zero functional; then the map $F^*: Y \to E^*$ given by $F^*(y) = (1/n)f(y)\mu$, $y \in Y$, is weak*-continuous, and we have $||T^*(y) \pm F^*(y)|| \le 1$ for each $y \in Y$. Since T is extreme, we must have $f \equiv 0$, and G_n is therefore dense in Y.

Now, by Baire's category theorem,

$$\bigcap_{n=1}^{\infty} G_n = \{ y \in Y; || T^*(y) || = 1 \}$$

is also a dense subset of Y, and the proof is completed.

THEOREM 2. Suppose that Y is an extremally disconnected compact Hausdorff space and the scalars are real. Then every extreme operator in S(L(C(X), C(Y))) is nice.

PROOF. It is well-known (see [6, p. 96]) that a compact Hausdorff space Y is extremally disconnected if and only if it is the Stone-Cech compactification of every dense subset.

Let T be extreme in S(L(C(X), C(Y))). The set $H = \{y \in Y; ||T^*(y)|| = 1\}$ is, by Theorem 1, a dense subset of Y, and therefore $Y = \beta H$ (the Stone-Cech compactification of H).

By using an idea from [3], we shall show now that the maps $y \to T^*(y)^+$, $y \to T^*(y)^-$, $y \in Y$, are weak*-continuous at every point of H. Suppose that $\{y_\alpha\}$ is a net in Y converging to $y \in H$. $\{T^*(y_\alpha)^+\}$ is a bounded net in $C(X)^*$, and since the unit ball of $C(X)^*$ is weak*-compact, we may assume, by taking subnets if necessary, that $T^*(y_\alpha)^{+W^*} \to \mu_1 \ge 0$ and similarly $T^*(y_\alpha)^{-W^*} \to \mu_2 \ge 0$. Hence

$$T^*(y_{\alpha}) = T^*(y_{\alpha})^+ - T^*(y_{\alpha})^- \rightarrow \mu_1 - \mu_2$$

But T^* is weak*-continuous and so $T^*(y_\alpha)^{W^*} \to T^*(y)$. It follows that $T^*(y) = \mu_1 - \mu_2$, where $\mu_1, \mu_2 \ge 0$. But by the minimality of the decomposition $T^*(y) = T^*(y)^+ - T^*(y)^-$, we have $\mu_1 \ge T^*(y)^+$, $\mu_2 \ge T^*(y)^-$. But $y \in H$ and so

$$1 = || T^*(y) || = || T^*(y)^+ || + || T^*(y)^- || \le || \mu_1 || + || \mu_2 ||$$

$$\le \lim || T^*(y_\alpha)^+ || + \lim || T^*(y_\alpha)^- || \le \lim || T^*(y_\alpha) || \le 1$$

Hence, every inequality is actually an equality and we must have $\mu_1 = T^*(y)^+$, $\mu_2 = T^*(y)^-$. This argument shows that the maps in question are weak*-continuous at each point of H, and hence weak*-continuous on H.

So far we have not used the fact that Y is extremally disconnected, and the argument holds in general. But now, $Y = \beta H$, and $T^*(y)^+$, $T^*(y)^-$, for each $y \in H$, are in $S^+ = \{\mu \in S(C(X)^*) : \mu \ge 0\}$, which is weak*-compact. Therefore, there exist (unique) weak*-continuous maps T_+ , $T_-: Y \to S^+$, such that for each $y \in H$, $T_+(y) = T^*(y)^+$ and $T_-(y) = T^*(y)^-$, Define now another map $T: Y \to C(X)^*$ by

$$T^{\#}(y) = ||T_{+}(y)||T_{+}(y) + ||T_{-}(y)||T_{-}(y), \quad y \in Y.$$

Since $||T_{\pm}(y)|| = |T_{\pm}(y)(1)|$, $T^{\#}$ is weak*-continuous. If $y \in H$ then $||T^{*}(y) \pm T^{\#}(y)|| \le 1$, as easily verified.

But since $T^* \pm T^\#$ are weak*-continuous, H is dense in Y and $S(C(X)^*)$ is weak*-compact, we have $\|T^*(y) \pm T^\#(y)\| \le 1$ for each $y \in Y$. Since T is extreme in the unit ball of operators, we must have $T^\# = 0$. For $y \in H$ this means that

$$0 = T^{\#}(y)(1) = 2 \| T^{*}(y)^{+} \| \| T^{*}(y)^{-} \|$$

that is, for each $y \in H$, $T^*(y) \ge 0$ or $T^*(y) \le 0$. Again, using the weak*-continuity of T^* , this must be true for each $y \in Y$.

Now, by [3, theorem 1] this is a necessary and sufficient condition for an extreme operator T to be nice, and so the proof is completed.

In order to replace C(X) by a general Banach space, we make use of other properties of C(Y), for an extremally disconnected compact Hausdorff space Y. The spaces C(Y), for such Y, are exactly the P_1 -spaces, namely, for any two Banach spaces E, F with $E \subset F$ and any T in L(E, C(Y)), there exists a norm-preserving extension of T to F (see [8]). We shall prove a finer result for extreme operators:

THEOREM 3. Suppose that Y is an extremally-disconnected compact Hausdorff space, E and F are Banach spaces and $E \subset F$. If T_0 is an extreme operator in S(L(E, C(Y))), then there is a norm-preserving extension of T_0 , $T:F \to C(Y)$, extreme in the unit ball of L(F, C(Y)).

PROOF. Assume first that the scalars are real. With complete analogy to the standard proof of the Hahn-Banach theorem, it is easy to see (even if we confine ourselves to extreme operators) that it is sufficient to check the case where $\dim F/E=1$.

Take $x \in F \sim E$, such that ||x|| = 1. By the extension property of C(Y), there exists at least one norm preserving extension T_1 of T_0 to F. Let us define $B = \{f \in C(Y); f = \widetilde{T}x, \widetilde{T} \text{ is a norm-preserving extension of } T_0 \text{ to } F\}$. B is a bounded family in C(Y). Let h be the least upper bound of B in C(Y), (see [6, p. 52]). If we define an extension $T_1: F \to C(Y)$ of T_0 such that $T_1 x = h$, then, it is easily verified that T_1 is norm-preserving. T_1 is also extreme in S(L(F, C(Y))), for suppose that

$$T_1 = \frac{1}{2}P + \frac{1}{2}Q$$
 where $P, Q \in S(L(F, C(Y))),$

then $P|_E = Q|_E = T_0$, since T_0 is extreme, and

$$h = T_1 x = \frac{1}{2} P x + \frac{1}{2} Q x$$

But by the definition of h, $h \ge Px$, $h \ge Qx$, which implies that Px = Qx = h, whence P = Q and T_1 must be extreme. Thus the proof for the real case is completed.

Now take the complex case, and let T be any element of $L(E, C_c(Y))$, where $C_c(Y)$ denotes for the moment the space of complex-valued continuous functions on Y. We associate with T the operator

$$T_R: E_R \to C(Y)$$
 (with real scalars)

such that

$$T_R^*(y) = \text{Re } T^*(y)$$
 $y \in Y$.

Thus T_R is a linear bounded operator from E_R (E considered as a real Banach space) into C(Y) (the weak*-continuity of T_R^* is immediate). The map $f \to \operatorname{Re} f$ between E^* and E_R^* (the space of real continuous linear functionals over E) is an isometry onto, and so $||T_R|| = ||T||$ and it follows easily that the map $T \to T_R$ is an affine isometry from $L(E, C_C(Y))$ onto $L(E_R, C(Y))$.

Now, let T_0 be extreme in $S(L(E, C_C(Y)))$. $(T_0)_R$ is then extreme in $S(L(E_R, C(Y)))$, and from the proof for the real case, it follows that there is a norm-preserving extension T_R of $(T_0)_R$, extreme in $S(L(E_R, C(Y)))$. The corresponding operator T has all the required properties and the proof is completed.

THEOREM 4. Suppose that Y is an extremally disconnected compact Hausdorff space and E is a Banach space. If T is extreme in S(L(E, C(Y))) then $T^*(Y) \subset (\text{ext } S(E^*))^{-w^*}$. Hence, if E is a Banach space such that ext $S(E^*)$ is weak*-closed, then T is extreme in S(L(E, C(Y))) if and only if T is nice.

PROOF. Assume first the real case. Let us denote $(\operatorname{ext} S(E^*))^{-w^*}$ by M. E can be imbedded in C(M) by the mapping $x \in E \to \hat{x} \mid_M \in C(M)$, where \hat{x} is the canonical image of x in E^{**} . (We assign the weak*-topology to M, thus obtaining a compact Hausdorff space on which \hat{x} is continuous.) By the Krein-Milman theorem it is easily verified that this is an isometry, so we may consider E as a closed subspace of C(M).

Now, by Theorem 3, T may be extended to an operator \tilde{T} of norm 1, such that \tilde{T} is extreme in S(L(C(M), C(Y))). Thus, by Theorem 2, \tilde{T} is nice and we have $\tilde{T}^*(Y) \subset \pm M$. Take $y \in Y$. Then there are $\varepsilon = \pm 1$, $m \in M$ such that for each $x \in E$, $\tilde{T}^*(y)(x) = T^*(y)(x) = \varepsilon m(x)$.

But now we may consider M as a subset in E^* , and since M is symmetric we have $\varepsilon m \in M$, Hence

$$T^*(Y) \subset M = (\operatorname{ext} S(E^*))^{-w^*}.$$

Now take the complex case, and use the affine isometry between $L(E, C_c(Y))$ and $L(E_R, C(Y))$ with the notations of the proof of Theorem 3. Let T be extreme in $S(L(E, C_C(Y)))$ and let T_R be the corresponding operator in $S(L(E_R, C(Y)))$. T_R is extreme there too, and by what we have just shown $T_R^*(Y) \subset (\text{ext } S(E_R^*))^{-w^*}$. Using the fact that E^* and E_R^* are also weak*-affinely homeomorphic, it is immediate that

$$T^*(Y) \subset (\operatorname{ext} S(E^*))^{-w^*}$$

Hence the proof is completed.

COROLLARY 1. Let E be a Banach-space such that ext $S(E^*)$ is weak*-closed, Y a compact Hausdorff space and T an operator in S(L(E, C(Y))). Let J be the canonical mapping of C(Y) into $C(Y)^{**}$. Then T is a nice operator if and only if JT is extreme in $S(L(E, C(Y)^{**}))$.

PROOF. $C(Y)^{**}$ may be identified isometrically with $C(Y_0)$ for some extremally disconnected compact Hausdorff space Y_0 . The operator $J: C(Y) \to C(Y_0)$ is multiplicative and therefore $J^*(Y_0) \subset Y$ (This is an easy characterization of multiplicative operators; see, e. g, [7] and [11]). Since J is an isometry it is easily seen that $J^*|_{Y_0}$ must be onto Y. Now, assume that T is a nice operator. Then

$$(JT)^*(Y_0) = T^*(J^*(Y_0)) = T^*(Y) \subset \text{ext } S(E^*).$$

Hence JT is nice and therefore extreme in $S(L(E, C(Y)^{**}))$. Conversely, if JT is extreme in $S(L(E, C(Y)^{**}))$, then, by the previous theorem, JT is nice. Thus we have $T^*(Y) = (JT)^*(Y_0) \subset \text{ext } S(E^*)$, so that T is a nice operator and the proof is completed.

COROLLARY 2. The composition of two extreme operators into spaces of continuous functions, even if one of them is an isometry, need not be extreme.

PROOF. Take Y = [0,1], and E, T as in [3, example 4]. Then the composition of $T: E \to C[0,1]$, with $J: C[0,1] \to C[0,1]^{**}$ is not extreme, by the previous corollary.

We now establish property (B) when E = C(X), where X is a dispersed compact Hausdorff space.

Let X, Y be any compact Hausdorff spaces and $T: C(X) \to C(Y)$ a bounded linear operator. For each $x \in X$ we define a scalar function T_x on Y by

$$T_x(y) = T^*(y) (\{x\}), \qquad y \in Y$$

LEMMA. Let T be an extreme operator in S(L(C(X), C(Y))), $V \subset Y$ a non-void open subset and $x_1 \neq x_2$ in X such that T_{x_1} , T_{x_2} are continuous on V. Then for each $y \in V$

$$T_{x_1}(y)T_{x_2}(y) = 0$$

PROOF. Suppose, on the contrary, that there is y_0 in V such that $T_{x_1}(y_0)$ $T_{x_2}(y_0) \neq 0$. Define

$$V_{1} = \{ y \in V; \mid T_{x_{1}}(y) \mid \ge \mid T_{x_{2}}(y) \mid \}$$

$$V_{2} = \{ y \in V; \mid T_{x_{1}}(y) \mid \le \mid T_{x_{2}}(y) \mid \}$$

then V_1 , V_2 are relatively closed in V and $V_1 \cup V_2 = V$. Define a map $g: V \to C(X)^*$ by

$$g(y) = \begin{cases} w[T_{x_1}(y)] | T_{x_2}(y) | \delta_{x_1} - T_{x_2}(y) \delta_{x_2} & y \in V_1, \\ T_{x_1}(y) \delta_{x_1} - w[T_{x_1}(y)] | T_{x_1}(y) | \delta_{x_2}, & y \in V_2 \end{cases}$$

where

$$w(z) = \begin{cases} z/|z| & z \neq 0 \\ 0 & z = 0 \end{cases}$$

Since on $V_1 \cap V_2$ the two definitions coincide, g is weak*-continuous on V. Now for each $y \in Y$ we have the decomposition $T^*(y) = \mu_y + T_{x_1}(y)\delta_{x_1} + T_{x_2}(y)\delta_{x_2}$ where

$$\mu_{y} = T^{*}(y)|_{X \sim \{x_{1}, x_{2}\}}$$

and

$$||T^*(y)|| = ||\mu_y|| + |T_{x_1}(y)| + |T_{x_2}(y)|$$

Then we have for each $y \in V$, $||T^*(y) \pm g(y)|| \le 1$.

Now, by our initial assumption, $g(y_0) \neq 0$. Take $h \in C(Y)$ such that $0 \leq h \leq 1$, $h(y_0) = 1$, and $h|_{Y \setminus Y} \equiv 0$, and define $\tilde{g}: Y \to C(X)^*$ by

$$\tilde{g}(y) = \begin{cases} h(y)g(y), & y \in V \\ 0, & y \notin V. \end{cases}$$

It follows that \tilde{g} is weak*-continuous and that for each $y \in Y$, $||T^*(y) \pm \tilde{g}(y)|| \le 1$. But this is a contradiction of the fact that T is extreme in the unit ball of operators, for $\tilde{g}(y_0) = h(y_0)g(y_0) \ne 0$, and so the Lemma is proved.

We recall that a topological space X is called *dispersed* if it contains no non-void perfect subsets. If X is a compact Hausdoff space, then, by a theorem of Rudin [12] (cf. [10]), X is dispersed only if $C(X)^*$ is $l^1(X)$, namely, each μ in $C(X)^*$ admits a representation $\mu = \sum_{n=1}^{\infty} a_n \delta_{x_n}$ with $\|\mu\| = \sum_{n=1}^{\infty} |a_n| < \infty$ and $x_n \in X$ for each integer n.

Theorem 5. Let X be a dispersed compact Hausdorff space, Y a compact Hausdorff space and T an extreme operator in S(L(C(X), C(Y))). Then T is a nice operator.

PROOF. Define $V = \{y \in Y; T^*(y) \notin \Gamma X\}$. Since ΓX is weak*-closed, V is an open subset of Y. We want to show that V is void, so let us assume, on the contrary, that $V \neq \emptyset$.

Let β be an ordinal and L_{β} the β -th derived set of X (where we put $L_0 = X$). Let I_{β} be the set of (relatively) isolated points of L_{β} . Since X is dispersed, then I_{β} is non-void when L_{β} is non-void. Let $G_{\beta} = \bigcup \{I_{\gamma}; \gamma < \beta\}$, then it is clear that $G_{\beta} \cup L_{\beta} = X$ and $G_{\beta} \cap L_{\beta} = \emptyset$,

Let α be the smallest ordinal such that there exists $x \in I_{\alpha}$ for which T_x does not vanish identitically on V. There has to be such an ordinal, since otherwise, for each $x \in X$, $T_x |_{V} \equiv 0$, and since $C(X)^*$ contains only purely-atomic measures, we must have $T^*|_{V} \equiv 0$ which is a contradiction by Theorem 1.

We shall show that for each $x \in I_{\alpha}$, T_x is continuous on V. Indeed, let $x \in I_{\alpha}$. Since x is isolated in L_{α} , $U = G_{\alpha} \cup \{x\}$ is an open neighbourhood of x. Let $f \in C(X)$ such that $f_{X\setminus U} \equiv 0$ and f(x) = 1. Then the mapping $y \to T^*(y)$ (f) is continuous on Y, but for each $y \in V$, $T^*(y)(f) = T_x(y)$. Indeed, one has $T^*(y)(f) = \sum_{n=1}^{\infty} a_n f(x_n)$ for a suitable sequence $\{a_n\}$ of non-zero scalars and a sequence $\{x_n\}$ in X. But, by the definition of α , each x_n is either x or is in $X \setminus U$. and the result follows easily. Thus T_x is continuous on V for each $x \in I_{\alpha}$.

Now we may define

$$V_0 = \{ y \in V ; T_x(y) \neq 0 \text{ for some } x \in I_\alpha \}$$
.

Since the T_x are continuous functions on V for $x \in I_x$, V_0 is a non-void open subset of Y. Using the same method as before, it is easy to prove by transfinite induction the following two claims for an ordinal $\beta \ge \alpha$:

- I. T_x is continuous on V_0 for each $x \in I_B$.
- II. For each $y \in V_0$, $T_x(y) \neq 0$ for at most one $x \in \{I_y : \gamma \leq \beta\}$.

Claim II follows directly from the preceding Lemma, once claim I is established. Hence, the claims are true for all $x \in X$.

Let us now apply Theorem 1. Define

$$H = \{ y \in Y; || T^*(y) || = 1 \},$$

H is dense in Y and so there is $y_0 \in H \cap V_0$. We have a representation $T^*(y_0) = \sum_{n=1}^{\infty} a_n \delta_{x_n}$ where $\sum_{n=1}^{\infty} \left| a_n \right| = 1$ and $\{x_n\} \subset X$. Now, for each integer n, $T_{x_n}(y_0) = a_n$, and by claim II, $a_n \neq 0$ for at most one integer n, say n_0 . Hence $T^*(y_0) = a_{n_0} \delta_{x_{n_0}}$ and $\left| a_{n_0} \right| = 1$. Whence $T^*(y_0) \in \Gamma X$, which contradicts the definition of V_0 . Thus V is void and T is therefore a nice operator.

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