

Eliza Wajch

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COMPACTIFICATIONS WITH FINITE REMAINDERS

Eliza WAJCH

Abstract: For a locally compact space X and a positive integer n , denote $B_n(X) = \{f \in C(X) : \text{there is a compact } K \subset X \text{ such that } |f(X \setminus K)| \leq n\}$. Then the diagonal mapping $e_n = \Delta \{f : f \in B_n(X)\}$ is a homeomorphic embedding and the closure of $e_n(X)$ is a compactification of X denoted by $e_n X$. It is shown here that $|e_n X \setminus X| = n$ if and only if X has exactly one n -point compactification which holds if and only if $B_n(X)$ is a subalgebra of $C^*(X)$ but $B_m(X)$ is not whenever $1 < m < n$. A number of other necessary and sufficient conditions for X to have only one n -point compactification are given.

Key words: n -point compactifications, locally compact spaces, sets generating compactifications, algebras of functions.

Classification: 54D35, 54D40, 54C20

Throughout this paper, X denotes a locally compact Hausdorff space. The algebra of all real-valued continuous functions on X is denoted by $C(X)$ and its subalgebra of bounded functions - by $C^*(X)$.

For a compactification αX of X , let C_α denote the set of all functions $f \in C^*(X)$ continuously extendable to αX . For $f \in C_\alpha$, let f^α be the continuous extension of f to αX and, for $F \subset C_\alpha$, let $F^\alpha = \{f^\alpha : f \in F\}$.

Let $\mathcal{C}(X)$ be the family of all sets $F \subset C^*(X)$ such that the diagonal mapping $e_F = \Delta_{f \in F} f$ is a homeomorphic embedding. If $F \in \mathcal{C}(X)$, then the closure of $e_F(X)$ in $R^{|F|}$ is a compactification of X . This compactification is said to be generated by F and is denoted by $e_F X$. Of course, $e_F X$ is the smallest compactification of X to which all functions from F are continuously extendable.

For a positive integer n , denote $B_n(X) = \{f \in C(X) : \text{there exists a compact set } K \subset X \text{ such that } |f(X \setminus K)| \leq n\}$. It is easily verified that $B_n(X)$ separates points from closed sets, and so belongs to $\mathcal{C}(X)$. For simplicity, denote $e_n X = e_{B_n} X$ where $F = B_n(X)$. It follows from [2; Theorem 3.3] and [5; Theorem 3.3'] (cf. also [3; Corollary 6.5, p. 67]) that if $|\beta X \setminus X| = n$, then $\beta X = e_n X$.

In [3; Remarks 6.9, p. 71] R.E. Chandler asked the question whether $|e_n X \setminus X|$ equals n for X having an n -point compactification (i.e. a compactification with the remainder of cardinality n). In this note, we shall show that $|e_n X \setminus X| = n$ if and only if X has exactly one (up to equivalence) n -point compactification which holds if and only if $B_n(X)$ is a subalgebra of $C^*(X)$ but $B_m(X)$ is not whenever $1 < m < n$. We shall also give a number of other necessary and sufficient conditions for X to have only one (up to equivalence) n -point compactification.

We shall use the following theorem proved in [2] by B.J. Ball and Shoji Yokura:

Theorem 0. For any subset F of $C^*(X)$ and any compactification αX of X , the following conditions are equivalent:

- (i) $F \in \mathcal{C}_\alpha(X)$ and $e_F X = \alpha X$;
- (ii) $F \subset C_\alpha$ and F^α separates points of αX .

For notation and terminology not defined here, see [3] and [4].

Results. To begin with, let us observe that if X is a noncompact locally compact space and ωX is the one-point compactification of X , then $B_1(X) \subset C_\omega$ and $B_1(X)^\omega$ separates points of ωX . Theorem 0 implies that $B_1(X)$ generates ωX .

Lemma 1. If αX is a compactification of X for which $|\alpha X \setminus X|$ is finite, then $B_2(X) \cap C_\alpha$ generates αX .

Proof. Without any difficulties one can check that the set $B_1(X)^\alpha$ separates each pair of distinct points $y, z \in \alpha X$ such that $y \in X$.

Suppose that $y, z \in \alpha X \setminus X$ and $y \neq z$. As the set $\alpha X \setminus X$ is finite, there exist sets V, W open in αX and such that $y \in V$, $(\alpha X \setminus X) \setminus \{y\} \subset W$ and $(cl_{\alpha X} V) \cap (cl_{\alpha X} W) = \emptyset$. Take a function $f^\alpha \in C(\alpha X)$ such that $f^\alpha(cl_{\alpha X} V) = \{0\}$ and $f^\alpha(cl_{\alpha X} W) = \{1\}$ and put $f = f^\alpha|_X$. The set $K = X \setminus (V \cup W) = \alpha X \setminus (V \cup W)$ is compact and $f(X \setminus K) \subset \{0, 1\}$, so $f \in B_2(X) \cap C_\alpha$. Clearly, $f^\alpha(y) \neq f^\alpha(z)$, hence

$[B_2(X) \cap C_\alpha]^\alpha$ separates points of αX . It follows from Theorem 0 that $B_2(X) \cap C_\alpha$ generates αX .

Lemma 2. If αX is an n -point compactification of X where $n > 1$, then there exist functions $f_i \in B_2(X) \cap C_\alpha$ ($i=1, \dots, n$) such that

$$\sum_{i=1}^n f_i \in B_n(X) \setminus B_{n-1}(X).$$

Proof. Let z_1, \dots, z_n be distinct points of $\alpha X \setminus X$. Take sets V_i , open in αX , such that $z_i \in V_i$ and $(cl_{\alpha X} V_i) \cap (cl_{\alpha X} V_j) = \emptyset$ for $i \neq j$ ($i, j=1, \dots, n$). There exist functions $f_i^\alpha \in C(\alpha X)$ such that $f_i^\alpha (cl_{\alpha X} V_i) = \{i\}$ and $f_i^\alpha (\bigcup_{j \neq i} cl_{\alpha X} V_j) = \{0\}$ ($i=1, \dots, n$). Denote $f_i = f_i^\alpha |_X$ ($i=1, \dots, n$) and $f = \sum_{i=1}^n f_i$. Then $f_i \in B_2(X) \cap C_\alpha$ and $f^\alpha (cl_{\alpha X} V_i) = \{i\}$ for $i=1, \dots, n$. If there is a compact set $K \subset X$ such that $|f(X \setminus K)| \leq n-1$, then $V_i \cap X \subset K$ for some $i \in \{1, \dots, n\}$, which is impossible because $z_i \in cl_{\alpha X} (V_i \cap X)$. Hence $f \in B_n(X) \setminus B_{n-1}(X)$.

Lemma 3. If $n > 1$ and $f \in B_n(X) \setminus B_{n-1}(X)$, then there exists an n -point compactification αX of X such that $f \in C_\alpha$.

Proof. Suppose that K is a compact subset of X such that $|f(X \setminus K)| = n$. Let $f(X \setminus K) = \{a_1, \dots, a_n\}$ and, for $i=1, \dots, n$, let us put $G_i = f^{-1}(a_i) \setminus K$. It is easily seen that the sets G_i are open in X , pairwise disjoint and $X \setminus \bigcup_{i=1}^n G_i = K$. If $K \cup G_i$ is compact for some i , then, since $|f[X \setminus (K \cup G_i)]| \leq n-1$, we have that $f \in B_{n-1}(X)$ - a contradiction. Hence all the sets $K \cup G_i$ are not compact. The proof of Magill's theorem (cf. [6; the proof of Theorem 2.1] or [3; the proof of Theorem 6.8, p. 70]) implies that there exists an n -point compactification αX of X such that if $\alpha X \setminus X = \{z_1, \dots, z_n\}$, then the set $G_i \cup \{z_i\}$ is a neighbourhood of z_i in αX ($i=1, \dots, n$). Let us define $f^\alpha(z) = f(z)$ for $z \in X$ and $f^\alpha(z_i) = a_i$ for $i=1, \dots, n$. The function f^α is a continuous extension of f to αX , so $f \in C_\alpha$.

Let us recall the notion of β -families (cf. [3; Definition 5.15, p.52]).

Definition. Let αX be a compactification of X and let $h: \beta X \rightarrow \alpha X$ be a continuous mapping such that $h \circ \beta = \alpha$. The set $\{h^{-1}(z) : z \in \alpha X \setminus X\}$ is denoted by $\mathcal{F}(\alpha X)$ and is called the β -family of αX .

Lemma 4. If αX and γX are nonequivalent n -point compactifications of X , then neither $\alpha X \leq \gamma X$ nor $\gamma X \leq \alpha X$.

Proof. Suppose that $\alpha X \leq \gamma X$, $\mathcal{F}(\alpha X) = \{A_1, \dots, A_n\}$ and $\mathcal{F}(\gamma X) = \{E_1, \dots, E_n\}$. For $j=1, \dots, n$, denote $N_j = \{i \in \{1, \dots, n\} : E_i \subset A_j\}$. Then the sets N_j are pairwise disjoint and, moreover, Lemma 5.16 of [3; p. 52] yields that

$$\bigcup_{j=1}^n N_j = \{1, \dots, n\}. \text{ As } \bigcup_{i=1}^n E_i = \bigcup_{i=1}^n A_i = \beta X \setminus X, \text{ then } |N_j| = 1 \text{ for each } j.$$

$j \in \{1, \dots, n\}$. This implies that $\mathcal{F}(\alpha X) = \mathcal{F}(\mathcal{G}X)$. By virtue of [3; Corollary 5.17, p. 53], we have that $\alpha X = \mathcal{G}X$ - a contradiction.

Our next lemma is a consequence of Lemmas 6.12 and 6.13 of [3; p. 72].

Lemma 5. Suppose that X has an n -point compactification for some $n > 1$. Then all n -point compactifications of X are equivalent if and only if X has no m -point compactification where $m > n$.

Theorem 1. For every locally compact space X and any positive integer $n > 1$, the compactifications $e_2 X$ and $e_n X$ of X are equivalent.

Proof. Let us fix a positive integer $n > 1$. Since $B_2(X) \subset B_n(X)$, according to Theorem 2.10 of [3; p. 14], it suffices to show that $B_n(X) \subset C_{e_2}$.

Suppose that $f \in B_n(X) \setminus B_2(X)$ and let p be the smallest positive integer for which $f \in B_p(X)$. It follows from Lemma 3 that X has a p -point compactification αX such that $f \in C_\alpha$. By virtue of Lemma 1, the set $B_2(X) \cap C_\alpha$ generates αX . Using Theorem 2.10 of [3], we obtain that $\alpha X \not\subseteq e_2 X$; thus, $C_\alpha \subset C_{e_2}$ and $f \in C_{e_2}$. Consequently, $B_n(X) \subset C_{e_2}$.

Theorem 2. For every locally compact space X and any positive integer $n > 1$, the following conditions are equivalent:

- (i) X has exactly one (up to equivalence) n -point compactification;
- (ii) $B_m(X) = B_n(X) \neq B_{n-1}(X)$ for each $m \geq n$;
- (iii) $B_{n+1}(X) = B_n(X) \neq B_{n-1}(X)$;
- (iv) $|e_2 X \setminus X| = n$.

Proof. Assume (i). Applying Lemma 2, we deduce that $B_n(X) \neq B_{n-1}(X)$. If $B_m(X) \neq B_n(X)$ for some $m > n$, then there exists a positive integer $p > n$ such that $B_p(X) \setminus B_{p-1}(X) \neq \emptyset$. Thus, by Lemma 3, X has a p -point compactification. This, together with Lemma 5, contradicts (i). Hence (i) \implies (ii).

Assume (iii). According to Lemma 3, there exists a compactification αX of X such that $|\alpha X \setminus X| = n$. Let us take a function $f \in B_2(X)$ and suppose that $f \notin C_\alpha$. As $B_1(X) \subset C_\alpha$, by virtue of Lemma 3, X has a 2-point compactification $\mathcal{G}X$ such that $f \in C_{\mathcal{G}}$. Denote $\mathcal{F}(\alpha X) = \{A_1, \dots, A_n\}$ and $\mathcal{F}(\mathcal{G}X) = \{E_1, E_2\}$. Since $C_{\mathcal{G}} \setminus C_\alpha \neq \emptyset$, the inequality $\mathcal{G}X \not\subseteq \alpha X$ does not hold. It follows from Lemma 5.16 of [3; p. 52] that there is an $i \in \{1, \dots, n\}$ such that $A_i \cap E_1 \neq \emptyset$ and $A_i \cap E_2 \neq \emptyset$. Then there exists a compactification $\mathcal{D}X$ of X for which $\mathcal{F}(\mathcal{D}X) = \{A_1, \dots, A_{i-1}, A_i \cap E_1, A_i \cap E_2, A_{i+1}, \dots, A_n\}$. Clearly, $|\mathcal{D}X \setminus X| = n+1$ and, by

using Lemma 2, we obtain that $B_{n+1}(X) \neq B_n(X)$ - a contradiction. Hence, $f \in C_\alpha$ and $B_2(X) \subset C_\alpha$. It follows from Lemma 1 that $e_2X = \alpha X$, so (iii) \Rightarrow (iv). It remains to show that (iv) \Rightarrow (i).

Assume (iv) and let αX be an arbitrary n -point compactification of X . By Lemma 1, the set $B_2(X) \cap C_\alpha$ generates αX . This, along with Theorem 2.10 of [3; p. 14], yields that $\alpha X \subseteq e_2X$. Lemma 4 implies that $\alpha X = e_2X$; hence (iv) \Rightarrow (i).

Corollary 1. For every locally compact space X and any positive integer n , the following conditions are equivalent:

- (i) X has exactly one (up to equivalence) n -point compactification;
- (ii) $|e_nX \setminus X| = n$.

Corollary 2. For every locally compact space X , the following conditions are equivalent:

- (i) X does not have any 2-point compactification;
- (ii) $B_n(X) = B_1(X)$ for each positive integer n ;
- (iii) $|e_2X \setminus X| \leq 1$.

Corollary 3. For every locally compact space X , the following conditions are equivalent:

- (i) X has an n -point compactification for any positive integer n ;
- (ii) $B_{n+1}(X) \neq B_n(X)$ for any positive integer n ;
- (iii) $|e_2X \setminus X| \geq \aleph_0$.

Example. Let X be an infinite discrete space. It is easily seen that if y, z are distinct points of βX , then there exist sets V and W , open in βX , such that $y \in V, z \in W, V \cap W = \emptyset$ and $V \cup W = \beta X$. This implies that $B_2(X)^\beta$ separates points of βX ; thus, by Theorem 0, $e_2X = \beta X$.

In connection with the above example one may suspect that $e_2X = \beta X$ whenever $|e_2X \setminus X|$ is infinite. That this is false is shown by the following

Theorem 3. For every cardinal number $\aleph \neq 0$, there exists a locally compact space X such that $|e_2X \setminus X| = \aleph$ and $e_2X \neq \beta X$.

Proof. Let Y be the discrete space of cardinality $\aleph \neq 0$. By virtue of [8; Proposition 4.17, p. 36], there exists a locally compact space X such that $\beta X \setminus X$ is homeomorphic to $[0;1] \times \omega Y$. For simplicity, assume that $\beta X \setminus X = [0;1] \times \omega Y$. Let us observe that if z_0, z_1 are distinct points of ωY , then one can find a function $f \in B_2(X)$ such that $f^\beta([0;1] \times \{z_i\}) = \{i\}$ for $i=0,1$.

Since $B_2(X)^\beta$ does not separate points of $[0;1] \times \{z\}$ where $z \in \omega Y$, it follows from Theorem 0 that $\mathcal{F}(e_2 X) = \{[0;1] \times \{z\} : z \in \omega Y\}$. Hence $|e_2 X \setminus X| = \aleph$ and, moreover, $e_2 X \not\perp \beta X$.

Theorem 4. For every cardinal number \aleph , there exists a locally compact space X such that $|e_2 X \setminus X| = \aleph$ and $e_2 X = \beta X$.

Proof. Let Y be the discrete space of cardinality \aleph . If X is a locally compact space such that $\beta X \setminus X$ is homeomorphic to ωY (cf. [8; Proposition 4.17, p. 36]), then $B_2(X)^\beta$ separates points of βX ; hence, by Theorem 0, $e_2 X = \beta X$.

Let F be a nonempty subset of $C^*(X)$. For a positive integer n , denote $M^n(F) = \{h \circ \Delta_{i=1}^n f_i : h \in C(\mathbb{R}^n) \text{ and } f_i \in F \text{ for } i=1, \dots, n\}$ and $M^\infty(F) = \bigcup_{n=1}^{\infty} M^n(F)$. The sets $M^n(F)$ and $M^\infty(F)$ were first considered by B.J. Ball and Shoji Yokura in [1]. As shown in [7], $M^\infty(F)$ is a subalgebra of $C^*(X)$ containing F and all constant functions. Denote by $\mathcal{A}(F)$ the smallest subalgebra of $C^*(X)$ which contains F and all constant functions, and let $\overline{\mathcal{A}(F)}$ be the closure of $\mathcal{A}(F)$ in $C^*(X)$ with the topology of uniform convergence. Proposition 1.10 of [7] says that $M^\infty(F) \subset \overline{\mathcal{A}(F)}$.

Without any difficulties we can check that $B_1(X) = M^\infty(B_1(X))$, so $B_1(X)$ is a subalgebra of $C^*(X)$. We are now going to generalize this result to sets $B_n(X)$ such that $|e_n X \setminus X| = n$.

Theorem 5. For every locally compact space X and any positive integer n , the following conditions are equivalent:

- (i) $|e_n X \setminus X| = n$;
- (ii) $M^\infty(B_n(X)) = B_n(X)$, and if $1 < m < n$, then $M^\infty(B_m(X)) \neq B_m(X)$;
- (iii) $B_n(X)$ is a subalgebra of $C^*(X)$, and if $1 < m < n$, then $B_m(X)$ is not an algebra.

Proof. Assume (i). It is easily seen that $M^\infty(B_n(X)) \subset \bigcup_{m=1}^{\infty} B_m(X)$; thus, by virtue of Theorem 2, $B_n(X) \subset M^\infty(B_n(X)) \subset \bigcup_{m=1}^n B_m(X) = B_n(X)$; so that $M^\infty(B_n(X)) = B_n(X)$ and, moreover, $B_n(X)$ is a subalgebra of $C^*(X)$. Suppose that $1 < m < n$. Lemma 2 yields the existence of functions $f_i \in B_2(X)$ such that

$\sum_{i=1}^n f_i \notin B_m(X)$. Hence we have proved that (i) implies both (ii) and (iii).

Assume either (ii) or (iii), and suppose that (i) does not hold. Then $n > 1$ and $B_n(X) \not\subseteq B_{n-1}(X)$. It follows from Theorem 2 that $B_m(X) \not\subseteq B_{m-1}(X)$ for some $m > n$. By Lemma 3, X has an m -point compactification. Lemma 2 implies that there exist functions $g_i \in B_n(X)$ such that $\sum_{i=1}^m g_i \notin B_{m-1}(X)$. As $B_n(X) \subset B_{m-1}(X)$, we have a contradiction. This completes the proof.

Remarks. Assume that $\mathcal{C}_\infty X$ is the unique (up to equivalence) n -point compactification of X . By our theorems, $B_n(X)$ is an algebra which generates $\mathcal{C}_\infty X$. Applying Theorem 3.1 of [2], we deduce that $B_n(X)$ is a uniformly dense subset of $C_{\mathcal{C}_\infty}$. In this way, we obtain a new proof of Theorem 3.1 of [5].

If $n > 1$, then, by Theorem 2, $B_2(X)$ generates $\mathcal{C}_\infty X$. It follows from Theorem 2.3 of [7] that $C_{\mathcal{C}_\infty}$ consists of all functions of the form $h \circ \bigtriangleup_{i=1}^{\infty} f_i$, where $h \in C(\mathbb{R}^{\mathbb{N}})$ and $f_i \in B_2(X)$ for $i=1, 2, \dots$. Of course, by Theorem 2.3 of [7], a function $f \in C^*(X)$ is continuously extendable to the one-point compactification of X if and only if $f = h \circ \bigtriangleup_{i=1}^{\infty} f_i$ for some $h \in C(\mathbb{R}^{\mathbb{N}})$ and $f_i \in B_1(X)$ ($i=1, 2, \dots$).

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Institute of Mathematics, University of Łódź, Banacha 22, 90-238 Łódź, Poland.

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