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Rodney Coleman

Calculus on Normed Vector Spaces

赋范向量空间上的微积分

Springer

世界图书出版公司
www.wpcbj.com.cn

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Calculus on Normed Vector Spaces



Springer

图书在版编目 (CIP) 数据

赋范向量空间上的微积分 = Calculus on Normed Vector Spaces: 英文/(法) 科尔曼 (Coleman, R.) 著. —影印本. —北京: 世界图书出版公司北京公司, 2015. 8
ISBN 978-7-5192-0019-0

I. ①赋… II. ①科… III. ①微积分—英文 IV. ①O172

中国版本图书馆 CIP 数据核字 (2015) 第 207386 号

Calculus on Normed Vector Spaces

赋范向量空间上的微积分

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责任编辑: 刘 慧 岳利青

装帧设计: 任志远

出版发行: 世界图书出版公司北京公司

地 址: 北京市东城区朝内大街 137 号

邮 编: 100010

电 话: 010-64038355 (发行) 64015580 (客服) 64033507 (总编室)

网 址: <http://www.wpcbj.com.cn>

邮 箱: wpcbjst@vip.163.com

销 售: 新华书店

印 刷: 三河市国英印务有限公司

开 本: 711mm × 1245 mm 1/24

印 张: 11

字 数: 212 千

版 次: 2016 年 1 月第 1 版 2016 年 1 月第 1 次印刷

版权登记: 01-2015-4931

ISBN 978-7-5192-0019-0

定价: 45.00 元

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Second Edition

By A. B. G. G. G.

With 100 illustrations

Published by

John Wiley & Sons, Inc.

1000 River Street

Hoboken, N.J. 07030

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in writing.

Printed in the United States

of America.

This book is a revised edition of the first edition, which was published in 1994. The first edition was published by John Wiley & Sons, Inc. and was a hardcover book. This second edition is a paperback book. The book is written for students of mathematics and science. It covers the topics of calculus, algebra, and geometry. The book is written in a clear and concise style. It includes many examples and exercises. The book is a good resource for students who are studying these subjects.

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Printed in the United States

of America.

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ISSN 0172-5939 ISSN 2191-6675 (electronic)
ISBN 978-1-4614-3893-9 ISBN 978-1-4614-3894-6 (eBook)
DOI 10.1007/978-1-4614-3894-6
Springer New York Heidelberg Dordrecht London

Library of Congress Control Number: 2012939881

Mathematics Subject Classification (2010): 46–XX, 46N10

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Reprint from English language edition:

Calculus on Normed Vector Spaces

by Rodney Coleman

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*To Francie, Guillaume, Samuel
and Jeremy*

Preface

The aim of this book is to present an introduction to calculus on normed vector spaces at a higher undergraduate or beginning graduate level. The prerequisites are basic calculus and linear algebra. However, a certain mathematical maturity is also desirable. All the necessary topology and functional analysis is introduced where necessary.

I have tried to show how calculus on normed vector spaces extends the basic calculus of functions of several variables. I feel that this is often not done and we have, on the one hand, very elementary texts, and on the other, high level texts, but few bridging the gap.

In the text there are many nontrivial applications of the theory. Also, I have endeavoured to give exercises which seem, at least to me, interesting. In my experience, very often the exercises in books are trivial or very academic and it is difficult to see where the interest lies (if there is any!).

In writing this text I have been influenced and helped by many other works on the subject and by others close to it. In fact, there are too many to mention; however, I would like to acknowledge my debt to the authors of these works. I would also like to express my thanks to Mohamed El Methni and Sylvain Meignen, who carefully read the text and gave me many helpful suggestions.

Writing this book has allowed me to clarify many of my ideas and it is my sincere hope that this work will prove useful in aiding others.

Grenoble, France

Rodney Coleman

Contents

Preface	vii
1 Normed Vector Spaces	1
1.1 First Notions	1
1.2 Limits and Continuity	4
1.3 Open and Closed Sets	7
1.4 Compactness.....	11
1.5 Banach Spaces.....	16
1.6 Linear and Polynomial Mappings	19
1.7 Normed Algebras.....	24
1.8 The Exponential Mapping	28
Appendix: The Fundamental Theorem of Algebra	31
2 Differentiation	35
2.1 Directional Derivatives.....	35
2.2 The Differential	37
2.3 Differentials of Compositions	43
2.4 Mappings of Class C^1	45
2.5 Extrema	50
2.6 Differentiability of the Norm	54
Appendix: Gâteaux Differentiability	59
3 Mean Value Theorems	61
3.1 Generalizing the Mean Value Theorem	62
3.2 Partial Differentials.....	66
3.3 Integration	69
3.4 Differentiation under the Integral Sign	75
4 Higher Derivatives and Differentials	79
4.1 Schwarz's Theorem	80
4.2 Operations on C^k -Mappings	83
4.3 Multilinear Mappings	84
4.4 Higher Differentials	89

4.5	Higher Differentials and Higher Derivatives	93
4.6	Cartesian Product Image Spaces	96
4.7	Higher Partial Differentials	97
4.8	Generalizing C^k to Normed Vector Spaces	98
4.9	Leibniz's Rule	101
5	Taylor Theorems and Applications	107
5.1	Taylor Formulas	107
5.2	Asymptotic Developments	113
5.3	Extrema: Second-Order Conditions	115
	Appendix: Homogeneous Polynomials	121
6	Hilbert Spaces	125
6.1	Basic Notions	125
6.2	Projections	130
6.3	The Distance Mapping	136
6.4	The Riesz Representation Theorem	138
7	Convex Functions	141
7.1	Preliminary Results	141
7.2	Continuity of Convex Functions	144
7.3	Differentiable Convex Functions	147
7.4	Extrema of Convex Functions	152
	Appendix: Convex Polyhedra	155
8	The Inverse and Implicit Mapping Theorems	161
8.1	The Inverse Mapping Theorem	161
8.2	The Implicit Mapping Theorem	165
8.3	The Rank Theorem	170
8.4	Constrained Extrema	177
	Appendix 1: Bijective Continuous Linear Mappings	185
	Appendix 2: Contractions	188
9	Vector Fields	189
9.1	Existence of Integral Curves	192
9.2	Initial Conditions	199
9.3	Geometrical Properties of Integral Curves	205
9.4	Complete Vector Fields	206
	Appendix: A Useful Result on Smooth Functions	210
10	The Flow of a Vector Field	213
10.1	Continuity of the Flow	213
10.2	Differentiability of the Flow	214
10.3	Higher Differentiability of the Flow	220
10.4	The Reduced Flow	223
10.5	One-Parameter Subgroups	226

11	The Calculus of Variations: An Introduction.....	229
11.1	The Space $C^1(I, E)$	229
11.2	Lagrangian Mappings	230
11.3	Fixed Endpoint Problems	233
11.4	Euler–Lagrange Equations	236
11.5	Convexity	240
11.6	The Class of an Extremal	241
	References.....	245
	Index.....	247

Chapter 1

Normed Vector Spaces

In this chapter we will introduce normed vector spaces and study some of their elementary properties.

1.1 First Notions

We will suppose that all vector spaces are real. Let E be a vector space. A mapping $\|\cdot\| : E \rightarrow \mathbb{R}$ is said to be a *norm* if, for all $x, y \in E$ and $\lambda \in \mathbb{R}$ we have

- $\|x\| \geq 0$;
- $\|x\| = 0 \iff x = 0$;
- $\|\lambda x\| = |\lambda| \|x\|$;
- $\|x + y\| \leq \|x\| + \|y\|$.

The pair $(E, \|\cdot\|)$ is called a *normed vector space* and we say that $\|x\|$ is the *norm* of x . The fourth property is often referred to as the *normed vector space triangle inequality*.

Exercise 1.1. Show that $\|-x\| = \|x\|$ and that $\|\cdot\|$ is a convex function, i.e.,

$$\|\lambda x + (1 - \lambda)y\| \leq \lambda \|x\| + (1 - \lambda)\|y\|$$

for all $x, y \in E$ and $\lambda \in [0, 1]$.

When there is no confusion, we will simply write E for a normed vector space. To distinguish norms on different normed vector spaces we will often use suffixes. For example, if we are dealing with the normed vector spaces E and F , we may write $\|\cdot\|_E$ for the norm on E and $\|\cdot\|_F$ for the norm on F . The most common norms on \mathbb{R}^n are defined as follows:

$$\begin{aligned}\|x\|_1 &= |x_1| + \cdots + |x_n|, & \|x\|_2 &= \sqrt{x_1^2 + \cdots + x_n^2} \quad \text{and} \\ \|x\|_\infty &= \max\{|x_1|, \dots, |x_n|\},\end{aligned}$$

where x_i is the i th coordinate of x . There is no difficulty in seeing that $\|\cdot\|_1$ and $\|\cdot\|_\infty$ are norms. For $\|\cdot\|_2$ the only difficulty can be found in the last property. If we set $x \cdot y = \sum_{i=1}^n x_i y_i$, the dot product of x and y , and write $\|\cdot\|$ for $\|\cdot\|_2$, then

$$p(t) = t^2 \|x\|^2 + 2t(x \cdot y) + \|y\|^2 = \|tx + y\|^2 \geq 0.$$

As p is a second degree polynomial and always nonnegative, we have

$$4((x \cdot y)^2 - \|x\|^2 \|y\|^2) \leq 0$$

and so

$$\begin{aligned} \|x + y\|^2 &= (x + y) \cdot (x + y) = \|x\|^2 + \|y\|^2 + 2(x \cdot y) \\ &\leq \|x\|^2 + \|y\|^2 + 2\|x\|\|y\| = (\|x\| + \|y\|)^2. \end{aligned}$$

This gives us the desired inequality.

If $n = 1$, then these three norms are the same, i.e.,

$$\|x\|_1 = \|x\|_2 = \|x\|_\infty = |x|.$$

Exercise 1.2. Characterize the norms defined on \mathbb{R} .

In general, we will suppose that the norm on \mathbb{R} is the absolute value.

It is possible to generalize the norms on \mathbb{R}^n defined above. We suppose that $p > 1$ and for $x \in \mathbb{R}^n$ we set $\|x\|_p = (\sum_{i=1}^n |x_i|^p)^{\frac{1}{p}}$.

Proposition 1.1. $\|x\|_p$ is a norm on \mathbb{R}^n .

Proof. It is clear that the first three properties of a norm are satisfied. To prove the triangle inequality, we proceed by steps. We first set $q = \frac{p}{p-1}$ and prove the following formula for strictly positive numbers a and b :

$$a^{\frac{1}{p}} b^{\frac{1}{q}} \leq \frac{a}{p} + \frac{b}{q}.$$

For $k \in (0, 1)$ let the function $f_k : \mathbb{R} \rightarrow \mathbb{R}$ be defined by $f_k(t) = k(t-1) - t^k + 1$. Then $f_k(1) = 0$ and $\frac{df_k}{dt}(t) = k(t - t^{k-1})$. It follows that $f_k(t) \geq 0$ if $t \geq 1$ and so, for $k \in (0, 1)$ and $t \geq 1$,

$$t^k \leq tk + (1 - k).$$

If we set $t = \frac{a}{b}$ and $k = \frac{1}{p}$ when $a \geq b$, or $t = \frac{b}{a}$ and $k = \frac{1}{q}$ when $a < b$, then we obtain the result.

The next step is to take $x, y \in \mathbb{R}^n \setminus \{0\}$ and set $a = (\frac{|x_i|}{\|x\|_p})^p$ and $b = (\frac{|y_i|}{\|y\|_q})^q$ in the formula. We obtain

$$\frac{|x_i y_i|}{\|x\|_p \|y\|_q} \leq \frac{1}{p} \left(\frac{|x_i|}{\|x\|_p} \right)^p + \frac{1}{q} \left(\frac{|y_i|}{\|y\|_q} \right)^q,$$

and then, after summing over i ,

$$\sum_{i=1}^n |x_i| |y_i| \leq \|x\|_p \|y\|_q.$$

This inequality clearly also holds when $x = 0$ or $y = 0$.

Now,

$$\|x + y\|_p^p \leq \sum_{i=1}^n |x_i| |x_i + y_i|^{p-1} + \sum_{i=1}^n |y_i| |x_i + y_i|^{p-1}$$

and, using the inequality which we have just proved,

$$\begin{aligned} \sum_{i=1}^n |x_i| |x_i + y_i|^{p-1} &\leq \|x\|_p \left(\sum_{i=1}^n |x_i + y_i|^{(p-1)q} \right)^{\frac{1}{q}} \\ &= \|x\|_p \left(\sum_{i=1}^n |x_i + y_i|^p \right)^{\frac{1}{q}} \\ &= \|x\|_p \|x + y\|_p^{\frac{p}{q}}. \end{aligned}$$

In the same way

$$\sum_{i=1}^n |y_i| |x_i + y_i|^{p-1} \leq \|y\|_p \|x + y\|_p^{\frac{p}{q}}$$

and so

$$\|x + y\|_p^p \leq (\|x\|_p + \|y\|_p) \|x + y\|_p^{\frac{p}{q}},$$

from which we obtain the triangle inequality. \square

Exercise 1.3. Show that

$$\lim_{p \rightarrow 1} \|x\|_p = \|x\|_1 \quad \text{and} \quad \lim_{p \rightarrow \infty} \|x\|_p = \|x\|_\infty$$

for any $x \in \mathbb{R}^n$.

Let E be a vector space and $\mathcal{N}(E)$ the collection of norms defined on E . We define a relation \sim on $\mathcal{N}(E)$ by writing $\|\cdot\| \sim \|\cdot\|^\times$ if there exist constants $\alpha > 0$ and $\beta > 0$ such that

$$\alpha \|x\|^\times \leq \|x\| \leq \beta \|x\|^\times$$

for all $x \in E$. This relation is an equivalence relation. If $\|\cdot\| \sim \|\cdot\|^*$, then we say that the two norms are *equivalent*.

Exercise 1.4. Establish the inequalities $\|x\|_\infty \leq \|x\|_2 \leq \|x\|_1 \leq n\|x\|_\infty$ and deduce that these three norms on \mathbb{R}^n are equivalent.

If S is a nonempty set, then a real-valued function d defined on the Cartesian product S^2 is said to be a *metric* (or *distance*) if it satisfies the following properties for all $x, y, z \in S^2$:

- $d(x, y) \geq 0$;
- $d(x, y) = 0 \iff x = y$;
- $d(x, y) = d(y, x)$;
- $d(x, y) \leq d(x, z) + d(z, y)$.

We say that the pair (S, d) is a *metric space* and that $d(x, y)$ is the *distance* from x to y . The fourth property is referred to as the (metric space) triangle inequality. If $(E, \|\cdot\|)$ is a normed vector space, then it is easy to see that, if we set $d(x, y) = \|x - y\|$, then d defines a metric on E . Many of the ideas in this chapter can be easily generalized to general metric spaces.

Exercise 1.5. What is the distance from $A = (1, 1)$ to $B = (4, 5)$ for the norms we have defined on \mathbb{R}^2 ?

Consider a point a belonging to the normed vector space E . If $r > 0$, then the set

$$B(a, r) = \{x \in E : \|a - x\| < r\}$$

is called the *open ball* of centre a and radius r . For $r \geq 0$ the set

$$\bar{B}(a, r) = \{x \in E : \|a - x\| \leq r\}$$

is called the *closed ball* of centre a and radius r . In \mathbb{R} the ball $B(a, r)$ (resp. $\bar{B}(a, r)$) is the open (resp. closed) interval of length $2r$ and centre a . We usually refer to balls in the plane \mathbb{R}^2 as *discs*.

Exercise 1.6. What is the form of the ball $\bar{B}(0, 1) \subset \mathbb{R}^2$ for the norms $\|\cdot\|_1$, $\|\cdot\|_2$, and $\|\cdot\|_\infty$? (Notice that a ball may have corners.)

1.2 Limits and Continuity

We now consider sequences in normed vector spaces. If $(x_n)_{n \in \mathbb{N}}$ is a sequence in a normed vector space E and there is an element $l \in E$ such that $\lim_{n \rightarrow \infty} \|x_n - l\| = 0$, then we say that the sequence is *convergent*. It is easy to see that the element l must be unique. We call l the *limit* of the sequence and write $\lim_{n \rightarrow \infty} x_n = l$. We will in general abbreviate $(x_n)_{n \in \mathbb{N}}$ to (x_n) and $\lim_{n \rightarrow \infty} x_n = l$ to $\lim x_n = l$. The following result is elementary.

Proposition 1.2. If (x_n) and (y_n) are convergent sequences in E , with $\lim x_n = l_1$ and $\lim y_n = l_2$, and $\lambda \in \mathbb{R}$, then

$$\lim(x_n + y_n) = l_1 + l_2 \quad \text{and} \quad \lim(\lambda x_n) = \lambda l_1.$$

Suppose now that we have two normed vector spaces, $(E, \|\cdot\|_E)$ and $(F, \|\cdot\|_F)$. Let A be a subset of E , f a mapping of A into F and $a \in A$. We say that f is *continuous at a* if the following condition is satisfied:

for all $\epsilon > 0$, there exists $\delta > 0$ such that, if $x \in A$ and $\|x - a\|_E < \delta$,

then $\|f(x) - f(a)\|_F < \epsilon$.

If f is continuous at every point $a \in A$, then we say that f is *continuous* (on A). Finally, if $A \subset E$ and $B \subset F$ and $f : A \rightarrow B$ is a continuous bijection such that the inverse mapping f^{-1} is also continuous, then we say that f is a *homeomorphism*.

Exercise 1.7. Suppose that $\|\cdot\|_E$ and $\|\cdot\|_E^\times$ are equivalent norms on E and $\|\cdot\|_F$ and $\|\cdot\|_F^\times$ equivalent norms on F . Show that f is continuous at a (resp. continuous) for the pair $(\|\cdot\|_E, \|\cdot\|_F)$ if and only if f is continuous at a (resp. continuous) for the pair $(\|\cdot\|_E^\times, \|\cdot\|_F^\times)$.

Proposition 1.3. The norm on a normed vector space is a continuous function.

Proof. We have

$$\|x\| = \|x - y + y\| \leq \|x - y\| + \|y\| \implies \|x\| - \|y\| \leq \|x - y\|.$$

In the same way $\|y\| - \|x\| \leq \|y - x\|$. As $\|y - x\| = \|x - y\|$, we have

$$|\|x\| - \|y\|| \leq \|x - y\|,$$

and hence the continuity. □

The next result is also elementary.

Proposition 1.4. Let E and F be normed vector spaces, $A \subset E$, $a \in A$, f and g mappings from E into F and $\lambda \in \mathbb{R}$.

- If f and g are continuous at a , then so is $f + g$.
- If f is continuous at a , then so is λf .
- If α is a real-valued function defined on E and both f and α are continuous at a , then so is αf .

Corollary 1.1. The functions $f : E \rightarrow F$ which are continuous at a (resp. continuous) form a vector space.

We now consider cartesian products of normed vector spaces. Let $(E_1, \|\cdot\|_{E_1}), \dots, (E_p, \|\cdot\|_{E_p})$ be normed vector spaces. The cartesian product $E_1 \times \dots \times E_p$ is a vector space. For $(x_1, \dots, x_p) \in E_1 \times \dots \times E_p$ we set

$$\|(x_1, \dots, x_p)\|_S = \|x_1\|_{E_1} + \dots + \|x_p\|_{E_p} \quad \text{and}$$

$$\|(x_1, \dots, x_p)\|_M = \max(\|x_1\|_{E_1}, \dots, \|x_p\|_{E_p}).$$

There is no difficulty in seeing that $\|\cdot\|_S$ and $\|\cdot\|_M$ are equivalent norms on $E_1 \times \dots \times E_p$. In general, we will use the second norm, which we will refer to as the usual norm. If $E_1 = \dots = E_p = \mathbb{R}$ and $\|\cdot\|_{E_i} = |\cdot|$ for all i , then $\|\cdot\|_S = \|\cdot\|_1$ and $\|\cdot\|_M = \|\cdot\|_\infty$.

Proposition 1.5. *Let $(E, \|\cdot\|)$ be a normed vector space.*

- *The mapping $f : E \times E \rightarrow E, (x, y) \mapsto x + y$ is continuous.*
- *The mapping $g : \mathbb{R} \times E \rightarrow E, (\lambda, x) \mapsto \lambda x$ is continuous.*

Proof. Let us first consider f . We have

$$\begin{aligned} \|(x, y) - (a, b)\|_M < \epsilon &\implies \|x - a\| < \epsilon, \|y - b\| < \epsilon \\ &\implies \|(x + y) - (a + b)\| \leq \|x - a\| + \|y - b\| < 2\epsilon, \end{aligned}$$

hence f is continuous at (a, b) .

We now consider g . If $\|(\lambda, x) - (\alpha, a)\| < \epsilon$, then $|\lambda - \alpha| < \epsilon$ and $\|x - a\| < \epsilon$ and so

$$\|\lambda x - \alpha a\| = \|\lambda x - \lambda a + \lambda a - \alpha a\| \leq |\lambda| \|x - a\| + |\lambda - \alpha| \|a\| < (|\alpha| + \epsilon)\epsilon + \epsilon \|a\|,$$

therefore g is continuous at (α, a) . □

A composition of real-valued continuous functions of a real variable is continuous. We have a generalization of this result.

Proposition 1.6. *Let E, F and G be normed vector spaces, $A \subset E, B \subset F, f$ a mapping of A into F and g a mapping of B into G . If $f(A) \subset B, f$ is continuous at $a \in A$ and g continuous at $f(a)$, then $g \circ f$ is continuous at a .*

Proof. Let us take $\epsilon > 0$. As g is continuous at $f(a)$, there exists $\delta > 0$ such that, if $y \in B$ and $\|y - f(a)\|_F < \delta$, then $\|g(y) - g(f(a))\|_G < \epsilon$. As f is continuous at a , there exists $\alpha > 0$ such that, if $x \in A$ and $\|x - a\|_E < \alpha$, then $\|f(x) - f(a)\|_F < \delta$. This implies that $\|g(f(x)) - g(f(a))\|_G < \epsilon$. Therefore $g \circ f$ is continuous at a . □

Corollary 1.2. *If $A \subset E$ and $f : A \rightarrow \mathbb{R}$ is continuous and nonzero on A , then the function $g = \frac{1}{f}$ is continuous on A .*