

## On Banach Spaces $X$ such that $L(L_p, X) = K(L_p, X)$

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### 1. INTRODUCTION

Several results in Banach spaces theory contain the hypothesis  $L(\ell_p, X) = K(\ell_p, X)$ . In this paper we prove that

(\*)  $L(\ell_p, X) = K(\ell_p, X) \iff$  weakly- $p^*$ -summable sequences in  $X$  converge

something which is essentially known, but for which the author was unable to find any explicit reference. That result suggests to define the ideal of  $p$ -converging operators,  $C_p$ , as those operators transforming weakly- $p$ -summable sequences into norm null sequences. They receive its name from the fact that  $C_1 = \mathfrak{U}$  (the ideal of unconditionally converging operator). The proof of (\*) is based upon the following result: any bounded sequence in  $\ell_p$  admits a weakly- $p^*$ -converging (see below the definition) subsequence. That suggests to define the ideal of weakly- $p$ -compact operators,  $W_p$ , in an obvious manner. To see the versatility of this approach, let us consider the main technical lemma of [1]: if  $X$  is a Banach space such that, for some  $p > 1$ , every operator from  $X$  into  $\ell_p$  is compact, then, for each  $r < p$ , all operators from  $X$  into  $\ell_p$  are compact. This can be easily proved as follows: the hypothesis is  $id(X^*) \in C_p$ ; since  $C_p \subseteq C_r$  for all  $r < p$ , the conclusion follows.

Other applications are given: a) characterization  $\{\ell_2\}$ -strictly singular operators in  $L_p$ -spaces,  $1 < p < 2$ , completing in this way L. Weis results [16], and b) a criterion to find copies of  $\ell_p$ .

### 2. RESULTS

Throughout the paper,  $p$  and  $p^*$  are always conjugate numbers:  $1/p + 1/p^* = 1$ . When  $p = 1$  its conjugate number is  $+\infty$  and, whenever it occurs,  $\ell_\infty$  has to be understood as  $c_0$ .

A sequence  $(x_n)$  in a Banach space  $X$  is said to be weakly- $p$ -summable,  $1 \leq p < +\infty$ , when for each  $f \in X^*$ ,  $\sum_n |f(x_n)|^p < +\infty$ ; equivalently, there is a  $C > 0$  such that for any  $(t_n) \in \ell_{p^*}$ .

$$\sup \left\| \sum_{k=1}^{k=n} t_k x_k \right\| \leq C \|(t_n)\|_{p^*}.$$

We shall say that a sequence  $(x_n)$  is weakly- $p$ -convergent to a point  $x$ , if the sequence  $(x_n - x)$  is weakly- $p$ -summable. We admit that weakly- $\infty$ -convergent sequences are the weakly convergent sequences.

We will work mainly with the following operator ideals:  $K$  (compact operators),  $W$  (weakly compact operators),  $B$  (completely continuous operators, i.e., those sending weakly convergent sequences into norm converging sequences),  $\mathfrak{U}$  (unconditionally summing operators, i.e., those sending weakly-1-summable sequences into unconditionally summable sequences) and  $\mathfrak{S}$  (strictly singular operators, i.e., the operators whose restriction to any infinite dimensional subspace is not an isomorphism). An operator is said to be  $\mathcal{F}$ -singular, where  $\mathcal{F}$  denotes a given class of Banach spaces, if its restriction to any subspace of the class  $\mathcal{F}$  is not an isomorphism. For instance,  $\mathfrak{U} = \{c_0\}$ -strictly singular operators.  $\mathcal{F}$ -strictly singular operators are not, in general, operator ideals.

DEFINITION 1. We shall say that an operator  $T \in L(X, Y)$  is  $p$ -converging,  $1 \leq p < +\infty$ , if it transforms weakly- $p$ -summable sequences of  $X$  into norm null sequences of  $Y$ . We shall denote this class  $C_p$ .

The scale of  $C_p$  ideals is intermediate between the ideals  $B$  and  $\mathfrak{U}$ , since we clearly have:  $C_\infty = B$  and  $C_1 = \mathfrak{U}$ . Some elementary but useful properties of the ideals  $C_p$  are (see [6]):

LEMMA 2. *Let  $1 < p < +\infty$ .  $C_p$  is an injective, non-surjective, closed operator ideal.*

DEFINITION 3. Let  $1 \leq p \leq +\infty$ . A subset  $K$  of a Banach space  $X$  is said to be relatively weakly- $p$ -compact if each bounded sequence admits a weakly- $p$ -converging subsequence.

The following result is in [6, Prop. 1.4]. Since it is essential for our purpose, we reproduce it here.

PROPOSITION 4. *Let  $1 < p < +\infty$ . The closed unit ball of  $\ell_p$  is a weakly- $p^*$ -compact set.*

*Proof.* Let  $(x_n)$  be a bounded sequence in  $\ell_p$ . It admits a weakly convergent subsequence  $(x_k)$ . Let  $x$  be its weak limit and let us call  $y_k = x_k - x$ . If  $(y_k)$  is norm null, we have finished. If not, and we have  $\|y_k\| \geq \epsilon$  for some subsequence, applying the Bessaga-Pelczyński selection principle we obtain a new subsequence, equivalent to the canonical basis  $(e_n)$  of  $\ell_p$ , which is weakly- $p^*$ -summable. ■

COROLLARY 5. *An operator  $T \in C_p(X, Y)$  if and only if for each  $j \in L(\ell_p, X)$  the composition  $T \circ j$  is compact.*

From this and Pitt's lemma (see [13]) we derive:

LEMMA 6. *Let  $1 < r < +\infty$ . For  $p < r^*$ ,  $C_p(\ell_r) = L(\ell_r)$ . For  $p \geq r^*$ ,  $C_p(\ell_r) = K(\ell_r)$ .*

DEFINITION 7. An operator  $T \in L(X, Y)$  is said to be weakly- $p$ -compact if the image of the unit ball of  $X$  is a relatively weakly- $p$ -compact set in  $Y$ . The class of weakly- $p$ -compact operators will be denoted  $W_p$ .

Clearly,  $W_p$  operators are meant to be gradations of the class of weakly compact operators. The well known duality between  $B(= C_\infty)$  and  $W(= W_\infty)$  expressed by  $B \circ W = K$  still works for other  $p$ :  $C_p \circ W_p = K$ .

LEMMA 8. *For  $1 \leq p < +\infty$ ,  $W_p$  is an injective, surjective non-closed operator ideal. Moreover,  $W_1^2 = K$ .*

(See [6]).

*Remark.* The ideals  $C_p$ ,  $1 \leq p \leq +\infty$ , and  $W_1$  are not idempotent. The ideal  $W_\infty$  is idempotent. We do not know whether  $W_p$ ,  $1 < p < +\infty$ , is idempotent.

LEMMA 9. *If  $T \in W_p$  then  $T^* \in C_r$  for all  $r < p^*$ .*

*Proof.* We simply prove that for any operator  $j \in L(\ell_{r^*}, Y^*)$  the composition  $T^* \circ j$  is compact,  $r^* > p$ . This happens if and only if its dual  $j^* \circ T^{**}$  is compact, which is obviously the case if  $T^{**} \in W_p$ . Since the unit ball of  $X$  is  $\sigma(X^{**}, X^*)$ -dense in the unit ball of  $X^{**}$ ,  $T \in W_p$  if and only if  $T^{**} \in W_p$ , which finishes the proof. ■

COROLLARY 10. *Let  $1 < p < +\infty$ . For  $p < r^*$ ,  $W_p(\ell_r) = K(\ell_r)$ . For  $p \geq r^*$ ,  $W_p(\ell_r) = L(\ell_r)$ .*

As an application of Orlicz's result (see [8]): Let  $X$  be a Banach space of cotype  $s$ . If  $(x_n)$  is a weakly- $p$ -sequence of  $X$  and  $p < s$ , then

$$\sum \|x_n\|_{s^*}^{\frac{ps^*}{s^*-p}} < +\infty.$$

It follows

**THEOREM 11.**  *$id(L_r) \in C_p$  if and only if  $p < \min(2, r^*)$ .*

*Remark.* Notice that since  $\ell_r$  is a subspace of  $L_r$ , we could deduce from this result the part a) of Lemma 6, but only for  $r \geq 2$ : we get that the identity of  $\ell_r$  is also absolutely  $(pr^*/(r^* - p), p)$  summing for  $p < r^*$ ; but when  $1 < r < 2$ , with this method we only obtain that the identity of  $\ell_r$  is absolutely  $(2p/(2 - p), p)$  for  $1 \leq p < 2$ . When  $p \geq 2$  the summation becomes meaningless. Lemma 6 says that there is a residual effect extending up to  $r^*$ .

From now on we distinguish the cases  $1 < r < 2$  and  $r \geq 2$ .

**LEMMA 12.** *Let  $2 \leq r$ .  $id(L_r) \in W_2$ .*

*Proof.* This is a consequence of the Kadec-Pelczyński characterization of basic sequences in  $L_p$  spaces. Thus, if we take a bounded sequence in  $L_r$  and extract a weakly convergent subsequence, then: if this is norm null, we have finished; if not, we apply the Kadec-Pelczyński alternative: the final subsequence will be, at worst, equivalent to the unit vector basis of  $\ell_2$ ; that is weakly-2-summable. ■

The distribution of  $C_p$  and  $W_p$  operators in  $L_r$  spaces,  $r \geq 2$ , immediately follows:

**THEOREM 13.** *Let  $2 \leq r$ .*

- (a) *For  $p < r^*$ ,  $C_p(L_r) = L(L_r)$ ,  $W_p(L_r) = K(L_r)$ .*
- (b) *For  $r^* \leq p < 2$ ,  $C_p(L_r) = C_{r^*}(L_r)$ ,  $W_p(L_r) = W_{r^*}(L_r)$ .*
- (c) *For  $2 \leq p$ ,  $C_p(L_r) = K(L_r)$ ,  $W_p(L_r) = L(L_r)$ .*

We see that the three classes are actually different: the identity of  $L_r$  belongs to (a) but not to (b). Any projection  $P : L_r \rightarrow \ell_2$ , considered as an operator  $L_r \rightarrow L_r$ , belongs to (b) but is not compact.

When  $1 < r < 2$ , the result of Kadec and Pelczyński no longer applies. We will work by duality. In the literature, weakly- $p$ -summable sequences have been called  $p$ -Hilbertian. A sequence  $(x_n)$  such that

$$\sum_n t_n x_n \text{ converges} \implies (t_n) \in \ell_p$$

is called  $p$ -Besselian. The following lemma is a straightforward:

LEMMA 14. *Let  $(x_n)$  be a basis in a Banach space  $X$ , and let  $(x_n^*)$  be the sequence of associated functionals.  $(x_n)$  is  $p$ -Hilbertian (resp.,  $p$ -Besselian) if and only if  $(x_n^*)$  is  $p$ -Besselian (resp.,  $p$ -Hilbertian).*

Remark 15. When  $(x_n)$  is simply a basic sequence, and  $(x_n^*)$  a sequence of biorthogonal functionals, the equivalences of Lemma 14 do not hold. It is still true that if  $(x_n^*)$  is  $p$ -Hilbertian, then  $(x_n)$  is  $p$ -Besselian. In the opposite direction, we have that when  $[x_n^*]$  (the closed linear span of  $(x_n^*)$ ) is complemented in  $X^*$ , then if  $(x_n^*)$  is  $p$ -Besselian, then  $(x_n)$  is  $p$ -Hilbertian.

LEMMA 16. *Let  $1 < r < 2$ .  $id(L_r) \in W_{r^*}$ .*

*Proof.* Let  $(x_m)$  be a bounded sequence in  $L_r$ ,  $1 < r < 2$ . A subsequence of  $(x_m)$  is weakly convergent to a point  $x$  due to the reflexivity of  $L_r$ . The sequence  $(y_j) = (x_{m(j)} - x)$  is weakly null. If it is norm null, then there is nothing to prove. If not, assume that  $\|y_j\| \geq \epsilon > 0$ , and pick a basic subsequence  $(y_k)$  out of it. Let  $(y_k^*)$  be a bounded sequence of biorthogonal functionals. Since (possibly a subsequence) is weakly convergent, then we assume that is weakly null. Obviously  $\limsup \|y_k^*\| > 0$ . Applying then the result of Kadec-Pelczyński, it has a subsequence  $(y_n^*)$  equivalent to the unit vector basis of  $\ell_{r^*}$  or  $\ell_2$ . In either case,  $(y_n^*)$  is  $r^*$ -Besselian. Since  $[y_n^*]$  is complemented in  $L_{r^*}$ ,  $(y_n)$  is  $r^*$ -Hilbertian, that is, weakly- $r^*$ -summable. ■

We complete the distribution of  $C_p$  and  $W_p$  operators in  $L_r$  spaces:

THEOREM 17. *Let  $1 < r < 2$ .*

- (a) *For  $p < 2$ ,  $C_p(L_r) = L(L_r)$ ,  $W_p(L_r) = K(L_r)$ .*
- (b) *For  $2 \leq p < r^*$ ,  $C_p(L_r) = C_2(L_r)$ ,  $W_p(L_r) = W_2(L_r)$ .*
- (c) *For  $p \geq r^*$ ,  $C_p(L_r) = K(L_r)$ ,  $W_p(L_r) = L(L_r)$ .*

The three classes are different. Projections  $P : L_r \longrightarrow \ell_r$  belong to (b) and are not compact.

*Remark 18.* It is well known that absolutely- $p$ -summing operators are weakly compact. This follows from the Grothendieck-Pietsch domination theorem which implies that  $\Pi_p$  operators subfactorize through an  $L_p$  space.

Using Lemma 2 we obtain:

**THEOREM 19.** *Let  $1 \leq p < +\infty$ .  $\Pi_p \subseteq W_2$ .*

For  $L_1(\mu)$ -spaces,  $\mu$  finite without atoms, we have that since  $L_1$  spaces have cotype 2,  $id(L_1) \in C_r$ , for all  $r < 2$ . Then  $W_r(L_1) = K(L_1)$  for all  $r < 2$ . Since  $\ell_p$ ,  $p \leq 2$ , is a quotient and a subspace of  $L_1$ , the quotient operator  $L_1 \longrightarrow \ell_p$  regarded as in  $L(L_1)$  belongs to  $W_{p^*}$  (optimum). This proves that the classes  $W_r(L_1)$  are different for  $r \geq 2$ . Applying a result of Bourgain, one sees that for  $r \geq 2$ , any  $C_r$  operator  $T : L_1 \longrightarrow X$  is such that  $T \circ i$  is compact, therefore  $C_r(L_1) = B(L_1)$  for  $r \geq 2$ . Thus we have

**PROPOSITION 20.**

*For  $1 \leq p < 2$ ,  $C_p(L_1) = C_1(L_1)$ ,  $W_p(L_1) = K(L_1)$ .*

*For  $2 \leq p, q \leq +\infty$ ,  $C_p(L_1) = B(L_1)$ ,  $W_p(L_1) \neq W_q(L_1)$ .*

It is well known that for an operator  $T : C(K) \longrightarrow X$  the following are equivalent:  $T \in \mathfrak{U}$ ,  $T \in W$  and  $T \in B$ . Therefore  $\mathfrak{U} = W = B$ . For  $p \geq 2$  the natural injection  $W_r(C(K))$  are different for  $r \leq 2$ . In [6], it is given an example showing that, in general,  $W \neq W_p$  in  $C(K)$ -spaces. With a slight modification we can get  $W_p$  operators from a  $C(K)$  space which are not  $W_r$  for  $r < p$ : consider a sequence  $(\theta_n)$  in  $\ell_p$  but not in  $\ell_r$  for  $r < p$ , and repeat the construction above beginning with an  $f$  such that  $(\langle f, \theta_n r_n \rangle)_n \notin \ell_r$  for no  $r < p$ .

From Theorem 13 and 17 we derive:

**PROPOSITION 21.**

*Let  $2 \leq p < +\infty$ .  $L(L_p, X) = K(\ell_p, X)$  if and only if  $id(X) \in C_2$ .*

*Let  $1 < p < 2$ .  $L(L_p, X) = K(L_p, X)$  if and only if  $id(X) \in C_{p^*}$ .*

## 3. APPLICATIONS

It is an open problem to find conditions on a Banach space in order to contain  $\ell_p$ . When  $p = 1$  a solution is given by Rosenthal  $\ell_1$  theorem. For  $c_0$  ( $p = +\infty$ ),  $id(X) \notin C_1$  is a necessary and sufficient condition. It is therefore quite a tempting conjecture that  $id(X) \notin C_{p^*}$  is, in some sense, the natural condition for  $\ell_p$ . The mutual situation of those ideals shows that this cannot be so unless we introduce at some point the information that  $p^*$  is the limit number. Regarding Lemma 9, the next theorem does exactly this:

**THEOREM 22.** *Let  $X$  be a Banach space. If  $id(X) \notin C_{p^*}$  and  $id(X^*) \in W_p$ , then  $X$  contains a copy of  $\ell_p$ .*

*Proof.* Since the identity of  $X$  is not  $p^*$ -converging, it is possible to find a semi-normalized sequence  $(x_n)$  in  $X$  admitting an upper- $\ell_p$ -estimate. We shall consider it a basic sequence henceforth. Since  $X$  is reflexive we can find a weakly null biorthogonal sequence  $(x_n^*)$  in  $X^*$ . Since  $id(X^*) \in W_p$  there is a weakly- $p$ -summable subsequence  $(x_k^*)$ , and this makes the corresponding subsequence  $(x_k)$  admit a lower- $p$ -estimate. ■

**COROLLARY 23.** *Let  $1 < p < 2$ . Let  $X$  be a closed subspace of  $L_p(\mu)$ . Then  $X$  contains a copy of  $\ell_p$  if and only if  $X^*$  contains a copy of  $\ell_{p^*}$ .*

*Proof.* By [11, Theorem 13], if  $id(X^*) \in C_p$  then  $X$  does not contain  $\ell_p$ . Since  $id(X) \in W_{p^*}$ , if  $id(X^*) \notin C_p$  we obtain a copy of  $\ell_{p^*}$  inside  $X^*$ . ■

**COROLLARY 24.** *Let  $X$  be a closed subspace of  $L_p(\mu)$ ,  $1 < p < 2$ .  $id(X) \in C_2$  if and only if  $X$  does not contain a copy of  $\ell_2$ .*

L. Weis proved in [3] that  $\mathfrak{S}(L_p(\mu)) = \{\ell_2, \ell_p\}$ -strictly singular operators. In addition to that, we can show:

**THEOREM 25.** *Let  $1 < p < 2$ . Let  $T \in L(X, L_p(\mu))$  be an operator.  $T$  does not belong to  $C_2$  if and only if there is a subspace  $Z$  of  $X$ , isomorphic to  $\ell_2$ , such that  $T$  acts as an isomorphism when restricted to  $Z$ .*

*Proof.* Let  $T : X \rightarrow L_p(\mu)$  be a continuous operator not 2-converging. Then there is a sequence  $(x_n)$  in  $X$  weakly-2-summable such that, if we pose  $y_n = Tx_n$ ,  $\|y_n\| > \epsilon$ . Obviously  $\|x_n\| > \epsilon_1$ . Now,  $(y_n)$  has a subsequence equivalent to the unit vector basis of  $\ell_2$ . To see this, we pick a basic subsequence out

of it and consider a sequence  $(y_n^*)$  of associated functionals norm bounded and weakly null. By Kadec-Pelczyński criterion, it admits a subsequence equivalent to the unit vector basis of  $\ell_p$ , or  $\ell_2$ . It is, therefore, weakly-2-summable. The corresponding subsequence of  $(y_n)$  admits a lower-2-estimate and it is, therefore, equivalent to the unit vector basis of  $\ell_2$ . Thus, if we consider the arrows:  $\ell_2 \rightarrow X \rightarrow L_p(\mu)$  we obtain:

$$\| \sum \lambda_n y_n \| \leq \|T\| \| \sum \lambda_n y_n \| \leq \|T\| K (\sum y_n^2)^{\frac{1}{2}} \leq \|T\| K K' \| \sum \lambda_n y_n \|$$

This says that  $T$  is an isomorphism restricted to the subspace, isomorphic to  $\ell_2$ , spanned by certain subsequence of  $(x_n)$ . ■

COROLLARY 26.  $C_{(\text{cotype } L_p)^*}(X, L_p) = \{\ell_{\text{cotype } L_p}\}$ -strictly singular operators.

#### 4. DUNFORD-PETTIS PROPERTY OF ORDER $p$

The Dunford-Pettis property is  $W \subseteq C_\infty$ . A gradation is the Dunford-Pettis property of order  $p$ ,  $(\text{DPP}_p)$ ,  $1 \leq p \leq +\infty$ , namely  $W \subseteq C_p$ . Clearly,  $\text{DPP}_\infty = \text{DPP}$  and every Banach space has  $\text{DPP}_1$ .

These properties were considered in [5] and [7]. There is, however, a simple and direct proof for vector sequence spaces  $\ell_p(X)$  that in some cases works better than that presented in [7].

To study Dunford-Pettis properties of vector valued sequence spaces our notation follows [2]: especially, if  $T : \ell_p(X) \rightarrow Y$  is an operator, it determines a unique sequence  $(T_k)$  of operators,  $T_k \in L(X, Y)$ , such that  $T(x) = \sum T_k(x_k)$ , which is called its representing sequence. With some notational abuse we write  $T = \sum T_k$ , but the meaning is obvious.

The following result is essentially proved in [2]:

LEMMA 27. Let  $A \subseteq \ell_p(X)$ . The following are equivalent:

1. For any operator  $T : \ell_p(X) \rightarrow Y$  with representing sequence  $T_k$ ,

$$\sum_{k=1}^N T_k \rightarrow T \text{ uniformly on } A.$$

2.  $\sup_{x \in A} \sum_{k=1}^N \|x(k)\|^p \xrightarrow{N} 0$ .

Now we can characterize the  $\text{DPP}_r$  in  $\ell_p(X)$  in terms of that property in  $\ell_p$  and  $X$ :



THEOREM 28. *If  $X$  and  $\ell_p$  have the Dunford-Pettis property of order  $r$  then  $\ell_p(X)$  has the same property.*

*Proof.* Let  $T : \ell_p(X) \rightarrow Y$  be a weakly compact operator with representing sequence  $T_k$ , that is,  $T = \sum T_k$  pointwise. Let  $(f_n)$  be a weakly- $r$ -summable sequence in  $\ell_p(X)$ ,  $r < p^*$ . We make our claim:

$$\sup_n \sum_N^{\infty} \|f_n(k)\|^p \xrightarrow{N} 0.$$

If not, an  $\epsilon > 0$  and a sequence  $(N(i))$  of naturals exist such that:

$$\sum_{k=N_i}^{k=N_{i+1}} \|f_{n_i}(k)\|^p > \epsilon.$$

Let us determine normalized elements  $x^*(k) \in X^*$  such that  $\langle x_i^*(k), f_{n_i}(k) \rangle = \|f_{n_i}(k)\|$ . If we call now  $y^*(k) = x_i^*(k)$  for  $N_i \leq k < N_{i+1}$ , we have a bounded sequence in  $X^*$ , which defines an operator  $\ell_p(X) \rightarrow \ell_p$ . It transforms  $(f_n)$  into a weakly- $r$ -summable sequence in  $\ell_p$ , which must be norm null. Thus we have:

$$\sup_n \left[ \sum_{k=N}^{\infty} |\langle x^*(k), f_n(k) \rangle|^p \right]^{1/p} \xrightarrow{N} 0.$$

This gives us a contradiction. Once the claim has been proved we use the Lemma to know that  $\sum^N T_k$  converges uniformly to  $T$  over  $\{f_n\}$ . Thus we get

$$T(\{f_n\}) \subseteq \sum^{N(\epsilon)} T_k(\{f_n\}) + \epsilon B_Y.$$

Since  $X$  has  $\text{DPP}_r$ , the first summand on the right side is a compact set. By Grothendieck's lemma, so is  $T(\{f_n\})$ . ■

## 5. ADDENDUM

This paper was written some well five years ago. In a sense, their results can be seen as folklore. In a sense, they have interest. Several times they have been quoted by other authors and used. It always remained the problem of a proper reference. For this reason I decided to write them out. They appear announced in the Jarandilla Functional Analysis proceedings, and a brief account can be seen in [5].

A result that has been improved deserves mention: thanks to Gonzalo and Jaramillo, and Farmer and Johnson the counterpart of cotype  $s \implies C_r$ ,  $r < s^*$  is true: type  $s \implies W_{s^*}$ . However, an interesting question remains open:

$$X \in C_2 \iff L(\ell_\infty, X) = K(\ell_\infty, X) ?$$

Paper [6] contains some remarks about this. The following is a non complete list of reference.

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