

**Finite-dimensional Banach spaces with
symmetry constant of order \sqrt{n}**

by

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Abstract. It is proved that there exists an absolute constant $c > 0$ such that for every positive integer n there is an n -dimensional Banach space X_n with symmetry constant $s(X_n) \geq c\sqrt{n}$.

We shall only consider finite-dimensional Banach spaces over the real field. The complex case can be treated after obvious modifications in exactly the same way.

Given a finite-dimensional Banach space X , let $\mathcal{G}(X)$ denote the set of all compact groups of linear isomorphisms of X with trivial commutator (i.e., all groups G of linear isomorphisms of X with the property that if a linear operator $T: X \rightarrow X$ commutes with every element of the group G then $T = \lambda \text{Id}_X$ for some $\lambda \in \mathbb{R}$). Define

$$s(X, G) = \max \{ \|T\|_{X \rightarrow X} : T \in G \}.$$

The symmetry constant $s(X)$ of the space X is defined by

$$s(X) = \inf \{ s(X, G) : G \in \mathcal{G}(X) \}.$$

It is easy to see that $s(\cdot)$ is a Lipschitz 1 function with respect to the Banach-Mazur distance and that $s(Y) = 1$ for every finite-dimensional Banach space with 1-symmetric basis. Therefore $s(X) \leq \sqrt{n}$ for every n -dimensional Banach space X . On the other hand, all known examples of finite-dimensional Banach spaces for which the symmetry constant has been computed have shown the order of growth to be not bigger than the fourth root of the dimension. In [2] Garling and Gordon conjectured that

$$s_n = \sup \{ s(X) : \dim X = n \} = O(n^{1/4}).$$

The aim of this note is to disprove this conjecture. More precisely we shall prove the following

THEOREM. $s_n = O(\sqrt{n})$.

Because of the trivial estimate $s_n \leq \sqrt{n}$ it will be enough to prove

THEOREM 1. *There is a constant $c > 0$ such that for every $n \in \mathbb{N}$ there is an n -dimensional Banach space X_n with*

$$s(X_n) \geq c\sqrt{n}.$$

As often happens, we are unable to determine spaces with this property; instead, for every $n \in \mathbb{N}$ we construct a class of "random" n -dimensional Banach spaces with the property that for the "vast majority" of the spaces in this class the desired estimate holds. For this, we use the spaces introduced by Gluskin, [3], to prove that the Banach–Mazur distance between certain n -dimensional Banach spaces is of order n . Similar spaces have been used by Gluskin [4] and Szarek [7] to construct finite-dimensional spaces with the "worst possible" Schauder basis constant. Similar examples of a "random approach" to finite-dimensional Banach spaces can also be found in Figiel, Johnson [6] and in Figiel, Kwapien, Pelczyński [5]. Our proof consists of two basic arguments. The first one is a kind of a "subspace mixing" property for groups G in $\mathcal{G}(\mathbb{R}^n)$ and the second is a "small perturbation" of the improved version of Gluskin's argument, [3], due to Szarek [7].

1. Notation. We shall use the standard notation. For every $n \in \mathbb{N}$, let $\{e_i: 1 \leq i \leq n\}$ denote the standard unit vector basis in \mathbb{R}^n and for $x, y \in \mathbb{R}^n$ let $\langle x, y \rangle$ and $|x|$ denote the standard scalar product and the standard norm on \mathbb{R}^n . For $n \in \mathbb{N}$, let $K_n = \{x \in \mathbb{R}^n: |x| \leq 1\}$ and $S_n = \{x \in \mathbb{R}^n: |x| = 1\}$. We shall denote n -dimensional volume in \mathbb{R}^n by vol_n , and normalized Lebesgue surface measure on S_n by μ_n .

For all $n \in \mathbb{N}$, we define

$$\mathcal{A}_n = \{(x_1, x_2, \dots, x_{20n}): x_i \in S_n, 1 \leq i \leq 20n\} = \prod_{i=1}^{20n} S_n,$$

and we let P_n denote the product measure of $20n$ copies of μ_n . If $A = (x_1, x_2, \dots, x_{20n}) \in \mathcal{A}_n$ we define $\|\cdot\|_A$ to be the norm on \mathbb{R}^n with the unit ball

$$\tilde{A} = \text{abs conv} \{e_1, e_2, \dots, e_n, x_1, x_2, \dots, x_{20n}\};$$

in the sequel we shall also denote the Banach space $(\mathbb{R}^n, \|\cdot\|_A)$ by A . Note that P_n induces a normalized measure on the set of Banach spaces \mathcal{A}_n in a natural way; this will also be denoted by P_n .

For every $n \in \mathbb{N}$ and every $A, B \in \mathcal{A}_n$ we shall mean by $A \times B$ the l_2 -product of spaces A and B (i.e., the Banach space $(\mathbb{R}^{2n}, \|\cdot\|_{A \times B})$, where for $(x, y) \in \mathbb{R}^n \times \mathbb{R}^n = \mathbb{R}^{2n}$

$$\|(x, y)\|_{A \times B} = (\|x\|_A^2 + \|y\|_B^2)^{1/2}.$$

Also, we let

$$E_1^n = \{x \in \mathbb{R}^{2n}: x \in \text{lin} \{e_1, e_2, \dots, e_n\}\}$$

and

$$E_2^n = \{x \in \mathbb{R}^{2n}: x \in \text{lin} \{e_{n+1}, e_{n+2}, \dots, e_{2n}\}\}$$

and we let P_i^n be the orthogonal projection on E_i^n for $i = 1, 2$.

We shall deal mainly with linear operators in \mathbb{R}^n . The set of all such operators will be denoted by $L(\mathbb{R}^n)$. If $T \in L(\mathbb{R}^n)$ and $\|\cdot\|_A, \|\cdot\|_B$ are two norms on \mathbb{R}^n , then $\|T\|_{A \rightarrow B}$ will denote the norm of T regarded as an operator from $(\mathbb{R}^n, \|\cdot\|_A)$ into $(\mathbb{R}^n, \|\cdot\|_B)$. In what follows, operators from E_i^n into E_j^n , $i, j = 1, 2$, will be identified in a natural way with operators in $L(\mathbb{R}^n)$.

We shall prove the following theorem which easily implies Theorem 1.

THEOREM 2. *There is an absolute constant $c > 0$ such that*

$$P_n \times P_n \{(A, B) \in \mathcal{A}_n \times \mathcal{A}_n: s(A \times B) < c\sqrt{n}\} \xrightarrow{n \rightarrow \infty} 0$$

From now on, in order to simplify the notation, we shall assume that $n = 10k$ for $k = 1, 2, \dots$ and we shall say that an operator $T \in L(\mathbb{R}^n)$ is *thick* if $|Tx| \geq \frac{1}{4}|x|$ for every x in some k -dimensional subspace of \mathbb{R}^n .

2. Some properties of $\mathcal{G} = \mathcal{G}(\mathbb{R}^n)$. In the sequel we shall need the following easily verified properties of \mathcal{G} :

(*) For every $G \in \mathcal{G}$ and every $U \in L(\mathbb{R}^n)$ we have

$$\int_G T^{-1}UT dh_G(T) = \lambda \text{Id} \quad \text{with} \quad \lambda = \frac{\text{tr}(U)}{n}$$

where h_G denotes the Haar measure on G .

(**) For every $G \in \mathcal{G}(\mathbb{R}^n)$ there is a unique ellipsoid e_G of the smallest volume containing the set

$$\text{conv} \bigcup_{T \in G} T(K_n),$$

and this is G -invariant (i.e., $T(e_G) = e_G$ for every $T \in G$). In other words G can be considered as a group of isometries of $(\mathbb{R}^n, \|\cdot\|_G)$ where $\|\cdot\|_G$ is the hilbertian norm defined by the scalar product $\langle \cdot, \cdot \rangle_G$ induced by the ellipsoid e_G . In particular, if $e_G = K_n$, then G is a group of isometries of $(\mathbb{R}^n, |\cdot|)$. The set of all such groups will be denoted by $\mathcal{G}_0(\mathbb{R}^n)$.

LEMMA 1. *For every pair F_1, F_2 of $5k$ -dimensional subspaces of \mathbb{R}^{2n} and every $G \in \mathcal{G}_0(\mathbb{R}^{2n})$ there is a T_0 in G such that*

$$|P_{F_2} T_0 x| \geq \frac{1}{4}|x|$$

for every x in some k -dimensional subspace \tilde{F}_1 of F_1 , where P_{F_2} denotes the orthogonal projection onto F_2 .

PROOF. Let $P = P_{F_2}$ and μ be the normalized Lebesgue surface measure on $S_{F_1} = \{x \in F_1: |x| = 1\}$. Fix $G \in \mathcal{G}_0(\mathbb{R}^{2n})$. By (*) we have

$$\frac{1}{4} \text{Id} = \int_G T^{-1}PT dh_G(T).$$

Thus, for every $x \in F_1$,

$$\frac{1}{4}(x, x) = \int_G (T^{-1}PTx, x) dh_G(T)$$

and

$$\begin{aligned} \frac{1}{4} &= \int_{S_{F_1}} \left(\int_G (T^{-1}PTx, x) dh_G(T) \right) d\mu(x) \\ &= \int_{S_{F_1}} \left(\int_G (PTx, PTx) dh_G(T) \right) d\mu(x) = \int_G \left(\int_{S_{F_1}} |PTx|^2 d\mu(x) \right) dh_G(T). \end{aligned}$$

Thus, there is a T_0 in G such that

$$\int_{S_{F_1}} |PT_0x|^2 d\mu(x) \geq \frac{1}{4}.$$

Let $U = PT_0$. There exist orthonormal bases $(u_i)_{i=1}^{5k}$, $(v_i)_{i=1}^{5k}$ in F_1 and F_2 , respectively, and non-negative numbers λ_i such that

$$Ux = \sum_{i=1}^{5k} \lambda_i (u_i, x) v_i$$

for every $x \in F_1$. We have

$$\begin{aligned} \frac{1}{4} &\leq \int_{S_{F_1}} |Ux|^2 d\mu(x) = \int_{S_{F_1}} \left| \sum_{i=1}^{5k} \lambda_i (u_i, x) v_i \right|^2 d\mu(x) \\ &= \sum_{i=1}^{5k} \lambda_i^2 \int_{S_{F_1}} (u_i, x)^2 d\mu(x) = \frac{2}{n} \sum_{i=1}^{5k} \lambda_i^2. \end{aligned}$$

Hence $\sum_{i=1}^{5k} \lambda_i^2 \geq \frac{1}{8}n$; we conclude that the cardinality of the set $A = \{i: \lambda_i \geq \frac{1}{4}\}$ is at least k . Indeed, if this were not so, then, since $\|U\| \leq 1$ and therefore $\lambda_i \leq 1$ for $i = 1, 2, \dots, 5k$, we would have

$$\begin{aligned} \sum_{i=1}^{5k} \lambda_i^2 &= \sum_{i \in A} \lambda_i^2 + \sum_{i \notin A} \lambda_i^2 \leq (\text{card } A) 1 + (5k - \text{card } A) \left(\frac{1}{4}\right)^2 \\ &< k + 4k \frac{1}{16} = \frac{1}{8}n, \end{aligned}$$

which gives a contradiction. To conclude the proof note that for x in $\bar{F}_1 = \text{lin}\{u_i: i \in A\}$ we have $|P_{F_2}T_0x| = |Ux| \geq \frac{1}{4}|x|$.

We now turn our attention back to the case of a general group G in $\mathcal{G}(\mathbb{R}^{2n})$. Using Lemma 1, we shall derive

LEMMA 2. For every group $G \in \mathcal{G}(\mathbb{R}^{2n})$ there is a permutation (i, j) of $\{1, 2\}$ and an operator $T_0 \in G$ such that the operator $P_j^*T_0$ restricted to E_i^n is thick (considered as an operator from \mathbb{R}^n into \mathbb{R}^n).

Proof. Fix $G \in \mathcal{G}(\mathbb{R}^{2n})$ and let ε_G be the ellipsoid with property (**). Let F_1 and F_2 be $5k$ -dimensional subspaces of E_1^n and E_2^n , respectively, such that

$|x| = c_i \|x\|_G$ for $x \in F_i$, $i = 1, 2$ (it is easy to show that such subspaces exist, cf. [1]). Assume that $c_1 \leq c_2$ (the other case can be treated in a "symmetric" way). Let E be the orthogonal complement of F_2 in $(\mathbb{R}^{2n}, \langle, \rangle_G)$ and let P be the orthogonal projection with respect to the scalar product \langle, \rangle_G with $\ker P = E$. Set $\bar{E} = \text{Im } P$. Obviously $\dim \bar{E} = 5k$ and $P|_{F_2}$ is 1-1 mapping of F_2 onto \bar{E} . By Lemma 1 applied to $(\mathbb{R}^{2n}, \langle, \rangle_G)$ there is a T_0 in G with the property that $\|PT_0x\|_G \geq \frac{1}{4}\|x\|_G$ for every x in some k -dimensional subspace \bar{F}_1 of F_1 . Let $Q: \bar{E} \rightarrow F_2$ be the inverse of $P|_{F_2}$. Since $\|Px\|_G \leq \|x\|_G$ we infer that $\|Qy\|_G \geq \|y\|_G$ for every $y \in \bar{E}$. Note that $P_{F_2} = QP$ is the orthogonal projection of \mathbb{R}^{2n} onto F_2 with respect to the scalar product (\cdot, \cdot) . Indeed, P_{F_2} annihilates the orthogonal complement of F_2 and $P_{F_2}|_{F_2} = \text{Id}_{F_2}$. Thus, for every $x \in \bar{F}_1$, we have

$$\begin{aligned} |P_{F_2}^*T_0x| &\geq |P_{F_2}T_0x| = c_2 \|P_{F_2}T_0x\|_G \\ &\geq c_2 \|PT_0x\|_G \geq c_2 \frac{1}{4} \|x\|_G \geq c_1 \frac{1}{4} \|x\|_G = \frac{1}{4}|x|, \end{aligned}$$

which concludes the proof.

Remark. Note that, if for some $G \in \mathcal{G}(\mathbb{R}^{2n})$ and some $B_1, B_2 \in \mathcal{A}_n$ $s(B_1 \times B_2, G) \leq c\sqrt{n}$ and if T_0 is an operator which satisfies the conclusion of Lemma 2, then the operator

$$T = P_1^n T_0 |E_1^n: E_1^n \rightarrow E_2^n$$

has the following properties:

- (a) T is thick,
- (b) $\|T\|_{B_1 \rightarrow B_2} \leq c\sqrt{n}$ (because $\|P_j^n\|_{B_1 \times B_2 \rightarrow B_1 \times B_2} = 1$).

3. Volume estimates and Gluskin spaces. We begin with

LEMMA 3. Let $T: \mathbb{R}^n \rightarrow \mathbb{R}^n$ be such that T restricted to some k -dimensional subspace F of \mathbb{R}^n is 1-1 and let A be a subset of \mathbb{R}^n . Then

$$\text{vol}_n \{x \in K_n: Tx \in A\} \leq |\det T| |F|^{-1} \text{vol}_k P(A) \text{vol}_{9k}(K_{9k}),$$

where P is the orthogonal projection onto $\text{Im } T|_F$.

Proof. Let P_1 be the projection onto F with $\ker P_1 = \ker PT$. Then $PT = PT_1$. Since, by the Hadamard inequality, for every $C \subset F$ and $D \subset \mathbb{R}^n$ we have

$$\text{vol}_n \{x \in D: P_1x \in C\} \leq \int_C \text{vol}_{9k} \{x \in D: P_1x = y\} dy,$$

we infer that

$$\begin{aligned} \text{vol}_n \{x \in K_n: Tx \in A\} &\leq \text{vol}_n \{x \in K_n: PTx \in P(A)\} \\ &= \text{vol}_n \{x \in K_n: TP_1x \in P(A)\} = \text{vol}_n \{x \in K_n: P_1x \in T^{-1}(P(A))\} \\ &\leq \int_{T^{-1}(P(A))} \text{vol}_{9k} \{x \in K_n: P_1x = y\} dy \leq \int_{T^{-1}(P(A))} \text{vol}_{9k}(K_{9k}) dy \\ &= \text{vol}_{9k}(K_{9k}) \int_{P(A)} |\det T| |F|^{-1} dx = |\det T| |F|^{-1} \text{vol}_k P(A) \text{vol}_{9k}(K_{9k}). \end{aligned}$$

Lemma 3 yields the following (cf. Gluskin [3], Cor. 1, and Szarek [7], Claim 6.2).

LEMMA 4. *There is an absolute constant $d_1 > 0$ such that for every $c > 0$ and every thick $T \in L(\mathbf{R}^n)$ and every $B_1 \in \mathcal{A}_n$ the following inequality holds*

$$P_n \{B \in \mathcal{A}_n: \|T\|_{B \rightarrow B_1} \leq 2c \sqrt{n}\} \leq (cd_1)^{2n^2}.$$

Proof. By Lemma 3, with $A = 2c \sqrt{n} B_1$, we have for every fixed thick $T \in L(\mathbf{R}^n)$, $B_1 \in \mathcal{A}_n$ and $c > 0$

$$\text{vol}_n \{x \in K_n: Tx \in 2c \sqrt{n} B_1\} \leq 4^k \text{vol}_k(P(2c \sqrt{n} B_1)) \text{vol}_{9k}(K_{9k}).$$

Let \mathcal{D} be the family of all k -elements subsets of the set of extreme points of B_1 . Since, by the Hadamard inequality,

$$\begin{aligned} \text{vol}_k(P(2c \sqrt{n} B_1)) &\leq \sum_{D \in \mathcal{D}} (2c \sqrt{n})^k \text{vol}_k(\text{abs conv } P(D)) \\ &\leq (2c \sqrt{n})^k \text{card } \mathcal{D} \text{vol}_k(\text{abs conv } \{e_1, e_2, \dots, e_k\}) \\ &\leq (c \sqrt{n})^k \left(\frac{d_2}{n}\right)^k \leq \left(\frac{cd_2}{\sqrt{n}}\right)^k \end{aligned}$$

for suitable $d_2 > 0$, we infer that

$$\text{vol}_n \{x \in K_n: Tx \in 2c \sqrt{n} B_1\} \leq 4^k \left(\frac{cd_2}{\sqrt{n}}\right)^k \left(\frac{d_3}{\sqrt{n}}\right)^{9k} \leq c^k \left(\frac{d_4}{\sqrt{n}}\right)^n,$$

for some absolute constants $d_3, d_4 > 0$. Hence, for sufficiently large $d_5 > 0$

$$\mu_n \{x \in S_n: Tx \in 2c \sqrt{n} B_1\} \leq \frac{\text{vol}_n \{x \in K_n: Tx \in 2c \sqrt{n} B_1\}}{\text{vol}_n(K_n)} \leq (d_5)^n c^k.$$

Therefore

$$\begin{aligned} P_n \{B \in \mathcal{A}_n: \|T\|_{B \rightarrow B_1} \leq 2c \sqrt{n}\} \\ \leq \prod_{i=1}^{20n} \mu_n \{x_i \in S_n: Tx_i \in 2c \sqrt{n} B_1\} \leq (d_5^0 c)^{2n^2}, \end{aligned}$$

which gives the required inequality with $d_1 = d_5^0$.

4. Proof of Theorem 2. The rest of the proof is, essentially, a repetition of Gluskin's argument [3], but we shall present it for the sake of completeness. The next lemma can be found in [3].

LEMMA 5. *There exists an absolute constant $d_6 > 0$ such that for every $\varepsilon > 0$, every $B_1 \in \mathcal{A}_n$, every subset of the set of all operators $T \in L(\mathbf{R}^n)$ such that*

$T e_i \in \sqrt{n} B_1$, for $i = 1, 2, \dots, n$, admits an ε -net $\mathcal{M}_\varepsilon^{B_1}$ with respect to the operator norm in $(L(\mathbf{R}^n), \|\cdot\|)$ with

$$\text{card } \mathcal{M}_\varepsilon^{B_1} \leq \left(\frac{d_6}{\varepsilon}\right)^{n^2}.$$

Proof of Theorem 2. Let $c_1 = (2d_1 d_5^0)^{-1}$. By Lemma 2 and the Remark which follows it, we have

$$P_n \times P_n \{(A, B) \in \mathcal{A}_n \times \mathcal{A}_n: s(A \times B) < c_1 \sqrt{n}\} \leq P_n \times P_n(\mathcal{U}_1) + P_n \times P_n(\mathcal{U}_2)$$

where, for $i = 1, 2$ and $j \in \{1, 2\}$, $j \neq i$,

$$\mathcal{U}_i = \{(B_1, B_2) \in \mathcal{A}_n \times \mathcal{A}_n: \text{there exists a thick } T \in L(\mathbf{R}^n)$$

$$\text{such that } \|T\|_{B_i \rightarrow B_j} \leq c_1 \sqrt{n}\}.$$

We shall show that $P_n \times P_n(\mathcal{U}_1) \leq (\frac{1}{2})^{n^2}$. Indeed, for every $B \in \mathcal{A}_n$ set $\mathcal{U}_{1,B} = \{A \in \mathcal{A}_n: (A, B) \in \mathcal{U}_1\}$ and let $\mathcal{M}_{c_1}^B$ be the c_1 -net from Lemma 5 for the set \mathcal{F}_B of all thick operators $T \in L(\mathbf{R}^n)$ such that $T e_i \in \sqrt{n} B$. Note that the set \mathcal{F}_B contains all operators which appeared in the definition of \mathcal{U}_1 . Since, for every $A \in \mathcal{A}_n$ and $T \in \mathcal{F}_B$ such that $\|T\|_{A \rightarrow B} \leq c_1 \sqrt{n}$, we have

$$\begin{aligned} \inf \{\|T - \tilde{T}\|_{A \rightarrow B}: \tilde{T} \in \mathcal{M}_{c_1}^B\} &\leq \inf \{\|T - \tilde{T}\|_{i_2^* \rightarrow i_1^*}: \tilde{T} \in \mathcal{M}_{c_1}^B\} \\ &\leq \sqrt{n} \inf \{\|T - \tilde{T}\|_{i_2^* \rightarrow i_2^*}: \tilde{T} \in \mathcal{M}_{c_1}^B\} \leq c_1 \sqrt{n}. \end{aligned}$$

we infer from the triangle inequality that

$$\mathcal{U}_{1,B} \subset \bigcup_{T \in \mathcal{M}_{c_1}^B} \{A \in \mathcal{A}_n: \|T\|_{A \rightarrow B} \leq 2c_1 \sqrt{n}\}.$$

Hence, by Lemma 4, Lemma 5 and by the choice of c_1 , for every $B \in \mathcal{A}_n$

$$\begin{aligned} P_n(\mathcal{U}_{1,B}) &\leq \sum_{T \in \mathcal{M}_{c_1}^B} P_n \{A \in \mathcal{A}_n: \|T\|_{A \rightarrow B} \leq 2c_1 \sqrt{n}\} \\ &\leq (\text{card } \mathcal{M}_{c_1}^B) (c_1 d_1)^{2n^2} \leq \left(\frac{d_6}{c_1}\right)^{n^2} (c_1 d_1)^{2n^2} = \left(\frac{1}{2}\right)^{n^2} \end{aligned}$$

and therefore, by Fubini Theorem

$$P_n \times P_n(\mathcal{U}_1) = \int_{\mathcal{A}_n} P_n(\mathcal{U}_{1,B}) dP_n(B) \leq \left(\frac{1}{2}\right)^{n^2}.$$

By the same token $P_n \times P_n(\mathcal{U}_2) \leq (\frac{1}{2})^{n^2}$. Thus

$$P_n \times P_n \{(A, B) \in \mathcal{A}_n \times \mathcal{A}_n: s(A \times B) < c_1 \sqrt{n}\} \leq 2 \left(\frac{1}{2}\right)^{n^2};$$

this concludes the proof.

Remark. It follows from the proof (not surprisingly) that if $(A, B) \notin \mathcal{U}_1 \cup \mathcal{U}_2$, then $d(A, B) \geq c_1^2 n$.

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