COMPACTIFICATION AND COMPACTOIDIFICATION

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Abstract. After discussing some of the many ways to get the Banaschewski compactification $\beta_0 T$ of an arbitrary ultraregular space $T$, we develop another construction of $\beta_0 T$ in Th. 2.1. Using those ideas, we develop an analog of $\beta_0 T$—what we call a compactoidification $\kappa T$ of an ultraregular space $T$ in Sec. 3; $\kappa T$ is, in essence, a complete absolutely convex compactoid ‘superset’ of $T$ to which continuous maps of $T$ with precompact range into any complete absolutely convex compactoid subset may be ‘continuously extended.’

1991 Mathematics subject classification: 46S10, 54D35, 54C45

1 The Many Faces

For any topological spaces $X$ and $Y$, $C(X,Y)$ and $C^*(X,Y)$ denote the spaces of continuous maps of $X$ into $Y$ and the continuous maps of $X$ into $Y$ with relatively compact range, respectively. To say that a topological space $X$ is ultraregular or ultranormal means, respectively, that the clopen sets are a basis or disjoint closed subsets of $X$ may be separated by clopen sets. A synonym for ultraregular is 0-dimensional. We have a slight preference for the former in order to avoid confusion with other notions of dimension. Throughout the discussion, $T$ denotes at least a Hausdorff space. For an ultraregular space $E$ containing at least two points and ultraregular $T$, B. Banaschewski [2] discovered a compactification $\beta_0 T$ of $T$ in which every $x \in C^*(T,E)$ may be continuously extended to $\beta_0 x \in C(\beta_0 T, E)$. $\beta_0 T$ is nowadays usually called the Banaschewski compactification of $T$. It functions as the natural analog of the Stone-Čech compactification ($\beta_0 T$ is $\beta T$ for ultranormal $T$) in non-Archimedean analysis. Like the Stone-Čech compactification, the Banaschewski compactification is a protean entity, assuming many different guises. We discuss some of them in this section and then develop a new one in Sec. 2.

1.1 As a completion

Let $E$ be an ultraregular space containing at least two points and let $T$ be ultraregular. Let $C^*(T,E)$ denote the weakest uniform structure on $T$ making each $x \in C^*(T,E)$ uniformly continuous into the compact space $\text{cl} \, x(T)$ equipped with its unique compatible uniform
structure. By [1], pp. 92-93, since $T$ is ultraregular, $C^*(T, E)$ is compatible with the topology on $T$ and $C^*(T, E)$ is a precompact uniform structure on $T$. Since $C^*(T, E)$ is precompact, its completion $\beta_0T$ is compact and is called the Banaschewski compactification of $T$. $\beta_0T$ is ultranormal ([2], p. 131, Satz 2 or [1], p. 93, Theorem 1)—hence ultraregular—and, by the usual process of extension by continuity function from a dense subspace to the whole space, each $x \in C^*(T, E)$ may be continuously extended to a unique continuous function $\beta_0x \in C^*(\beta_0T, E)$. $\beta_0T$ is unique in a sense we discuss in the context of $E$-compactifications (Th. 1.6). At this point the reader may find the notation $\beta_0T$ curious. Why $\beta_0T$ and not $\beta_1T$? As long as $E$ is ultraregular and contains at least two points ([1], p. 93, [8], pp. 240-243), the uniformity $C^*(T, E)$ does not depend on $E$! A fundamental system of entourages for $C^*(T, E)$, no matter what $E$ is, is defined by the sets $V_P = \bigcup \{ V \times V : V \in P \}$ where $P$ is any finite open (therefore clopen) cover of $T$ by pairwise disjoint sets. The completion of $T$ with respect to this uniformity is the way Banaschewski obtained $\beta_0T$. The definition of $\beta_0T$ as the completion of $C^*(T, E)$ where $E$ is the discrete space of integers was first given in [7], though the idea of treating compactifications as completions is due to Nachbin. The connection with the Stone-Čech compactification is the following.

**Definition 1.1** Let $P$ be a finite clopen cover of a topological space $S$ by pairwise disjoint sets and let $V$ denote the uniformity generated by $V_P$. We say that $S$ is strongly ultra regular if $V = C^*(T, R)$.

**Theorem 1.2** ([8], pp. 251-2) (a) Every ultra normal $T_1$-space $S$ is strongly ultra regular.

(b) If a topological space $S$ is strongly ultra regular then $\beta_0S = \beta S$.

### 1.2 As an $E$-Compactification

Tihonov proved that a completely regular space $T$ may be characterized as one that is homeomorphic to a subspace of a product $[0, 1]^m$ of unit intervals. Even though his name is not associated with it, he created the first version of the Stone-Čech compactification $\beta T$ of $T$ by then taking the closure of $T$ in $[0, 1]^m$. Engelking and Mrówka [5] developed analogous notions of $E$-completely regular space $T$ and $E$-compactification $\beta_1T$. Let $S$ and $E$ be two topological spaces. $S$ is called $E$-completely regular if it is homeomorphic to a subspace of the $m$-fold topological product $E^m$ for some cardinal $m$. If $E = R$ or $[0, 1]$, this is the familiar notion of complete regularity. With $2$ denoting the discrete space $\{0, 1\}$, it happens that

**Theorem 1.3** ([16], p. 17) A topological space $S$ is 2-completely regular if and only if it is an ultra regular $T_0$-space.

An $E$-compact space is one which is homeomorphic to a closed subspace of a topological product $E^m$ for some cardinal $m$. The 2-compact spaces are characterized as follows:

**Theorem 1.4** ([5], p.430, Example (iii)) A topological space $S$ is 2-compact if and only if it is compact and ultra regular.
An $E$-compactification $\beta_E T$ of an $E$-completely regular space $T$ is

(1) an $E$-compact space which contains $T$ as a dense subset and
(2) ('the $E$-extension property') each $x \in C (T, E)$ may be extended to $\beta_E x \in C (\beta_E T, E)$.

The following analogs of properties of the Stone-Čech compactification obtain for $E$-compactifications.

**Theorem 1.5** ([5], p. 433, Theorem 4, [16], pp. 25-27, 4.3 and 4.4). An $E$-completely regular (Hausdorff) space $T$ has a Hausdorff $E$-compactification $\beta_E T$ with the following properties:

(a) If $S$ is an $E$-compact space then every continuous function $x : T \to S$ has a continuous extension $\overline{x} : \beta_E T \to S$.
(b) The space $\beta_E T$ is unique in the sense that if $S$ is an $E$-compact space containing $T$ as a dense subset and such that every continuous $x : T \to E$ has a continuous extension to $S$, then $S$ is homeomorphic to $\beta_E T$ under a homeomorphism that is the identity on $T$.
(c) $T$ is $E$-compact if and only if $T = \beta_E T$.

How does this apply to $\beta_0 T$? Ultraregular spaces $T$ are 2-completely regular by Th. 1.3. Since $\beta_0 T$ is compact and ultranormal, it follows that $\beta_0 T$ is 2-compact by Th. 1.4. Therefore, by Th. 1.5(b) it follows that

**Theorem 1.6** **UNIQUENESS OF $\beta_0 T$.** $\beta_0 T$ is homeomorphic to $\beta_2 T$ under a homeomorphism that is the identity on $T$, as would be any ultraregular compactification of an ultraregular $T$ with the $E$-extension property.

### 1.3 As a Space of Characters

Let $F$ be an ultraregular Hausdorff topological field so that $X = C^* (T, F)$ may be considered as an $F$-algebra. A character of $X$ is a nonzero algebra homomorphism from $X$ into $F$. Let the set $H$ of characters of $X$ be equipped with the weakest topology for which the maps $H \to F$, $h \mapsto h (x)$, are continuous for each $x \in C^* (T, F)$. For each $p \in \beta_0 T$, let $p^*$ denote the evaluation map at $p$, the map $C^* (T, F) \to F$, $x \mapsto \beta_0 x (p)$. It is trivial to verify that each $p^*$ is a character of $C^* (T, F)$. But more is true: You get all the characters of $C^* (T, F)$ this way. In fact, the map

$$A : \beta_0 T \to H$$

$$p \mapsto p^*$$

establishes a homeomorphism between $\beta_0 T$ and $H$. The details may be found in [1], Theorem 3 and [8], Theorem 8.15.
1.4 Characters Again

Once again \( \beta_0 T \) is realized as a space of nonzero homomorphisms—ring homomorphisms this time—into the very simple (discrete) field \( 2 \) with 2 elements.

A commutative ring \( X \) with identity in which each element is idempotent is called a Boolean ring. A subcollection \( X \) of the set of subsets of a given set \( T \) which is closed under union, intersection and set difference of any two of its members is called a ring of sets. Such a collection forms a ring in the usual algebraic sense if addition and multiplication are taken to be symmetric difference and intersection, respectively. If the sets in \( X \) cover \( T \) then \( X \) is called a covering ring. Since \( X \) must have a multiplicative identity (i.e., with respect to intersection) any covering ring must contain \( T \) as an element. Any covering ring \( X \) generates (in the sense that it is a subbase for) a ultraregular topology on \( T \); the topology is ultraregular since the complement \( T - A \) of any open set (member of \( X \)) must belong to \( X \). In the converse direction, the class \( \text{Cl}(T) \) of clopen subsets obviously constitutes a covering ring of any topological space \( T \).

Let \( X \) be a Boolean ring and endow \( 2^X \) with the product topology. The Stone space \( S(X) \) of the Boolean ring \( X \) is the subspace of \( 2^X \) of all nonzero ring homomorphisms of \( X \) into \( 2 \). \( S(X) \) is called the Stone space because of Stone's use of it in his remarkable characterization of compact ultraregular spaces.

**The Stone Representation Theorem** ([12], Theorem 4, [12], [4] p.227 or [6], pp. 77-80) If \( T \) is a compact ultraregular space, then \( T \) is homeomorphic to the Stone space of the Boolean ring \( \text{Cl}(T) \) of clopen subsets of \( T \). Conversely, the Stone space \( S(X) \) of any Boolean ring \( X \) is a compact ultraregular Hausdorff space and \( X \) is ring-isomorphic to the Boolean ring \( \text{Cl}(T) \) of clopen subsets of \( S(X) \).

If \( T \) is ultraregular then \( \beta_0 T \) is the Stone space of \( \text{Cl}(T) \). Indeed, the map \( \beta : T \to S(\text{Cl}(T)), t \mapsto \beta t \), defined for \( t \in T \) and \( K \in \text{Cl}(T) \) by

\[
(\beta t)(K) = \begin{cases} 1 & \text{if } t \in K \\ 0 & \text{if } t \notin K \end{cases}
\]

is a homeomorphism of \( T \) onto a dense subset of the compact ultraregular Hausdorff space \( S(\text{Cl}(T)) \).

1.5 As a Space of Measures

Let \( T \) be ultraregular and let \( \text{Cl}(T) \) be the ring (algebra, actually, since \( T \in \text{Cl}(T) \)) of clopen subsets of \( T \), and let \( F \) be an ultraregular Hausdorff topological field. A 0-1 measure on \( T \) is a finitely additive set function \( m : \text{Cl}(T) \to \{0, 1\} \subset F \) satisfying the condition:

\[
m(U) = 0 \quad \text{and} \quad U \supset V \in \text{Cl}(T) \implies m(V) = 0
\]

in other words, that clopen subsets of sets of measure 0 also have measure 0. Measures \( m \), 'concentrated at points \( t \in T \)' (also called 'purely atomic' or 'the point mass at \( t \)') which
are 1 on a clopen set \( U \) if \( t \in U \) and 0 otherwise are 0-1 measures on \( T \). The **weak clopen topology** for the collection \( M \) of all 0-1 measures on \( T \) has as a neighborhood base \( m_0 \in M \) sets of the form

\[
V(m_0; S_1, \ldots, S_n) = \{m \in M : m(S_j) = m_0(S_j), j = 1, \ldots n\}
\]

where the \( S_j \) are clopen sets and \( n \in \mathbb{N} \). It is trivial to verify that the map \( t \mapsto m_t \) is a homeomorphism of \( T \) into \( M \). Using the techniques of [1] one can demonstrate that \( M \) is a compact ultranormal Hausdorff space to which any \( \iota_{Gc} \) \((T, F)\) may be continuously extended. It follows that \( \beta_0 T = M \) in the sense of Th. 1.6.

Last, let us mention that \( \beta_0 T \) may also be realized as a Wallman compactification utilizing the lattice of clopen subsets of \( T \).

## 2 A New Approach

A construction of \( \beta_0 T \) using the methods of non-Archimedean functional analysis is presented in Theorem 2.1. The proof hinges on the fact that, for a local field \( F \), if \( U \) is a neighborhood of 0 in a locally \( F \)-convex space \( X \) then its polar \( U^* \) is \( \sigma(X', X) \)-compact ([15], Th. 4.11). Note that \( \sigma(X', X) \) is ultraregular since the seminorms \( p_x(f) = |f(x)|, x \in X, f \in X' \), are non-Archimedean.

**Theorem 2.1** Let \( F \) be a local field, let \( T \) be ultraregular and let \( C^* (T, F) \) denote the sup-normed space of all continuous \( F \)-valued functions on \( T \) with relatively compact range. There is an ultranormal compactification \( \beta_0 T \) of \( T \) such that any \( x \in C^*(T, F) \) may be continuously extended to a function \( \beta_0 x \in C(\beta_0 T, F) \).

**Proof.** For \( t \in T \), let \( t^* \) denote the evaluation map \( x \mapsto x(t) \) for any \( x \in C^*(T, F) \). We note that each such \( t^* \) is a continuous linear form (algebra homomorphism, actually) and is of norm one. Thus \( T^* = \{t^* : t \in T\} \subset U \) where \( U \) denotes the unit ball of the norm-dual \( C^*(T,F)' \) of \( C^*(T, F) \). Furthermore, the map \( i : T \rightarrow C^*(T,F)' \), \( t \mapsto t^* \), embeds \( T \) homeomorphically in \( C^*(T,F)' \) endowed with its weak-* topology by the following argument. The map \( i \) is obviously injective. If a net \( t_s \rightarrow t \in T \) then \( x(t_s) \rightarrow x(t) \) for any \( x \in C^*(T,F) \); hence \( t_s^* \rightarrow t^* \) and therefore \( i \) is continuous. To see that \( i \) is a homeomorphism onto \( i(K) \), let \( K \) be a closed subset of \( T \). Since \( T \) is ultraregular, if \( t \not\in K \) then there exists \( x \in C^*(T,F) \) such that \( x(t) = 0 \) and \( |x(K)| = r > 1 \). Hence the polar \( \{x\}^* \) of \( \{x\} \) is a neighborhood of \( t^* \) disjoint from \( K^* \) and \( K^* \) is a closed subset of \( i(K) \). As \( U \) is the polar of the unit ball of \( C^*(T,F) \), it follows that \( U \) is weak-* compact ([15], Th. 4.11). Therefore the closure \( cT \) in \( U \) of (the homeomorphic image of ) \( T^* \) is compact in \( C^*(T,F)' \) endowed with the weak-* topology. As to the continuous extendibility of \( x \in C^*(T,F) \), consider the canonical image \( Jx \) of \( x \) in the second algebraic dual of \( C^*(T,F) \), i.e., for any \( f \in C^*(T,F)' \), \( Jx(f) = f(x) \). Clearly \( Jx \) is weak-* continuous on \( C^*(T,F)' \); so, therefore, is its restriction \( \beta_0 x = Jx |_{cT} \). Should this be called \( c_F T \) rather than \( cT \)? No topologically significant changes occur for different \( F \)'s: the compactness of the ultraregular space \( cT \) and the fact that \( T \) is \( C^* \)-embedded in \( cT \) imply that \( cT = \beta_0 T \) by Th. 1.6.
3 Compactoidification

In this section we construct a compactoidification $\kappa T$ of an ultraregular space $T$. $(F, |\cdot|)$ denotes a complete nontrivially ultravalued field throughout. As usual, we abbreviate ‘$F$-convex’ to ‘convex.’ A map $f$ defined on an absolutely convex subset $A$ of a vector space over $F$ with values in some absolutely convex set in a vector space over $F$ is called affine if $f(ax + by) = af(x) + bf(y)$ for all $x, y \in A$ and all $a, b \in F$ with $|a| \leq 1$ and $|b| \leq 1$.

**Definition 3.1** A compactoidification of an ultraregular space $T$ is a pair $(i, \kappa T)$ where $\kappa T$ is a complete absolutely convex compactoid subset of some Hausdorff locally convex space $E$ over $F$ and $i : T \to \kappa T$ is a continuous map with precompact range for which following extendibility property holds: For any complete absolutely convex compactoid subset $A$ of some Hausdorff locally convex space $E$ over $F$ and any continuous map $j : T \to A$ with precompact range, there exists a unique continuous affine map $J : \kappa T \to A$ such that $J \circ i = j$.

![Diagram](https://via.placeholder.com/150)

**Theorem 3.2** A compactoidification is unique in the following natural sense: if $(i_1, \kappa_1 T)$ and $(i_2, \kappa_2 T)$ are compactoidifications of $T$ then there exists a unique affine homeomorphism $J_1 : \kappa_1 T \to \kappa_2 T$ such that $J_1 \circ i_1 = i_2$. Moreover, the map $i$ must be injective.

**Proof.** By definition, there exist unique continuous affine maps $J_1$ and $J_2$ such that $J_2 \circ i_1 = i_2$ and $J_1 \circ i_2 = i_1$. Thus, $J_1 \circ (J_2 \circ i_1) = J_1 \circ i_2 = i_1$.

![Diagram](https://via.placeholder.com/150)

Since the identity map $I_1 : t \mapsto t$ of $\kappa_1 T$ onto $\kappa_1 T$ also satisfies $I_1 \circ i_1 = i_1$, it follows from the uniqueness that $I_1 = J_1 \circ J_2$. Similarly, $I_2 = J_2 \circ J_1$ where $I_2$ is the identity map of $\kappa_2 T$ onto $\kappa_2 T$. It follows that $J_1$ is a homeomorphism of $\kappa_1 T$ onto $\kappa_2 T$ and $J_2$ is its inverse. If $i_1(t_1) = i_2(t_2)$ then $i_2(t_1) = J_1 \circ i_1(t_1) = J_1 \circ i_1(t_2) = i_2(t_2)$ so if one of the maps $i$ is 1-1, all such $i$ must be. As shown in Theorem 3.3, there is an $i$ that is 1-1.

In the notation of Sec. 2:

**Theorem 3.3** Let $T$ be ultraregular and let the continuous dual $C^\ast(T, F)'$ of $C^\ast(T, F)$ carry the weak-* topology. Then

(a) the closed absolutely convex hull $\kappa T$ of $T^\ast$ is the unit ball $U$ of $C^\ast(T, F)'$ and

(b) the pair $(i, \kappa T)$ is a compactoidification of $T$.

**Proof.** Clearly the absolute convex hull $B$ of $T^\ast$ is contained in the unit ball $U$ of $C^\ast(T, F)'$. Since $U$ is a complete compactoid by the $p$-adic Alaoglu theorem ([9], Prop.
3.1), so, therefore, is the closed absolutely convex hull $\kappa T$ of the compact set $\text{cl} T$.

It follows from [10], Prop. 1.3 that $B$ is edged (i.e., if the valuation of $F$ is dense then $\text{cl} B = \cap \{ a( \text{cl} B) : a \in F, |a| > 1 \}$) and therefore ([9], Th. 4.7) a polar set in $C^*(T, F)'$.

If $\text{cl} B \neq U$ there must exist $g \in C^*(T, F)'$ such that $|g| \leq 1$ on $B$ and $|g(f)| > 1$ for some $f \in U - \text{cl} B$. Since $g$ must be an evaluation map determined by some point $x \in C^*(T, F)'$ by [9], Lemma 7.1, we have found an $x$ such that $|x(t)| = |t^*(x)| \leq 1$ for all $t \in T$ but $|f(x)| > 1$. As this contradicts $\|f\| \leq 1$, the proof of (a) is complete.

(b) As in the proof of Th. 2.1, $i$ is a homeomorphism onto the precompact set $T$. To verify the extendibility requirement, let $A$ be a complete absolutely convex compactoid and let $j : T \to A$ be continuous with precompact range. We define the affine extension $J$ of $j$ on the absolutely convex hull $B$ of $T$ by taking $J(\sum \alpha_i t_i) = \sum \alpha_i j(t_i)$ for $\alpha_i \in F, |\alpha_i| \leq 1, i = 1, \ldots, n$. The definition makes sense because the $t_i$ are linearly independent for distinct $t_i$. Evidently $j = J \circ i$. To prove the continuity of $J$, let $s \to \mu_s = \sum \alpha_i t_i^*$ be a net in $B$ convergent to 0 in the weak-* topology. Let $[A]$ denote the linear span of $A$ and note that for any $f \in [A]'$, the map $f \circ j \in C^*(T, F)'$, since $j(T)$ is precompact. Thus,

$$f(J(\mu_s)) = f\left(\sum \alpha_i t_i^* j(t_i^*)\right) = \sum \alpha_i f(j(t_i^*)) = \mu_s(f \circ j) \to 0$$

and we conclude that $J(\mu_s) \to 0$ in the weak topology of $[A]$. As $A$ is of countable type, hence a polar space, the weak topology coincides with the initial one on the compactoid $A$ ([9], Th. 5.12) so $J(\mu_s) \to 0$ in $A$. By continuity and ‘affinity,’ $J$ extends uniquely to a continuous affine map of $\text{cl} B = \kappa T$ into $A$, since $A$ is complete.

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