

A quantitative nonlinear strong ergodic theorem for
Hilbert spaces
or
An example of proof mining in ergodic theory

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What more do we know if we have proved a theorem by restricted means than if we merely know that it is true.



Figure: Georg Kreisel

2011-07-08

An example of proof mining

- └ Proof Mining
- └ what we do

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Figure: Georg Kreisel

G. Kreisel was speaking of Unwinding proofs, the name proof mining was actually suggested by D. Scott.

The picture was taken during the Herbrand Centenary Lecture at Colloquium Logicum 2008 in Darmstadt.





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- 2 Analyze the proof.
- 3 Extract the computational content.



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- ⑥ Obtain **some** additional information about the theorem.
- ⑦ Obtain **some** additional information about the field.

An example of proof mining

└ Proof Mining

└ what we do



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In general one can almost always obtain computational information about the theorem, though ideally we hope to obtain uniformity results.

An example of proof mining

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In general one never knows, though ideally we hope to obtain some sort of a logical pattern which assures the uniformity or the computability results.

- 1 Find a suitable theorem. *Logical Metatheorems*
- 2 Analyze the proof. *Proof Interpretations – Dialectica, Negative, n.c.i*
- 3 Extract the computational content. *Soundness of the Proof Interpretations*



Figure: Kurt Gödel

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An example of proof mining

└ Proof Mining

└ the nice part and its similarities to CAAG

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Figure: Kurt Gödel

Recall the talks of Ulrich Berger and Trifon Trifonov.

Recall the talk of Vasco Brattka - Computer Analysis in the Weihrauch Lattice, BW = Sigma 01 jump of WKL



Figure: J. von Neumann

Theorem (The Riesz version of the von Neumann mean ergodic theorem)

For any linear operator T on a Hilbert space X , which is nonexpansive, i.e.

$$\forall u, v \in X \quad (\|Tu - Tv\| \leq \|u - v\|),$$

the sequence of the Cesàro means

$$A_n x := \frac{1}{n+1} \sum_{i=0}^n T^i x,$$

converges in norm for any starting point x .

It follows from an example by Genel and Lindenstrauss [Genel 1975] that there is a nonexpansive operator on the unit ball of ℓ_2 , for which the sequence of the Cesàro means does not converge strongly.

Let H be a Hilbert space, C a subset of H and $T : C \rightarrow C$ a (possibly nonlinear) mapping.

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Definition (Brézis, Browder 1976)

$$\begin{aligned} \exists c \in \mathbb{R} \forall u, v \in C & \quad (\text{BB}) \\ (\|Tu + Tv\|^2 \leq \|u + v\|^2 + c(\|u\|^2 - \|Tu\|^2 + \|v\|^2 - \|Tv\|^2)). \end{aligned}$$

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Definition (Wittmann 1990)

$$\forall u, v \in C (\|T^n u + T^n v\| \leq \alpha_n \|x + y\|), \quad (W^-)$$

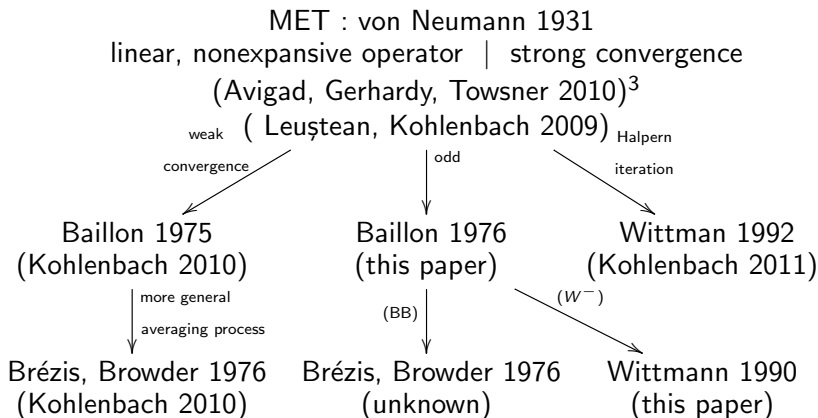


Figure: Nonlinear ergodic theorems and their finitisations.

Theorem (Wittmann 1990)

Let S be a subset of a Hilbert space and $T : S \rightarrow S$ be a mapping satisfying

$$\forall u, v \in C \quad (\|T^n u + T^n v\| \leq \|x + y\|). \quad (\text{W})$$

Then for any $x \in S$ the sequence of the Cesàro means

$$A_n x := \frac{1}{n+1} \sum_{i=0}^n T^i x$$

is norm convergent.

In general, the sequence of the ergodic averages does not have a computable rate of convergence (even for the von Neumann's mean ergodic theorem for a separable space and computable x and T), as was shown by Avigad, Gerhardy and Towsner in 2008.

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An example of proof mining

└ Results

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This is the same reference as in the Figure above concerning the finitization of MET, see [1]

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Theorem

Given the assumptions from Wittmann's strong ergodic theorem,

$$\forall u, v \in C (\|T^n u + T^n v\| \leq \|x + y\|). \quad (W)$$

the following holds

$$\forall b, l \in \mathbb{N}, g : \mathbb{N} \rightarrow \mathbb{N}, x \in S \exists m \leq M(l, g, b) \\ (\|x\| \leq b \rightarrow \|A_m x - A_{m+g(m)} x\| \leq 2^{-l}),$$

for a primitive recursive M .

$$M(l, g, b) := (N(2l + 7, g^M) + P(2l + 7, g^M, b))b^{2^{l+8}} + 1,$$

$$P(l, g, b) := P_0(l, F(l, g, N(l, g), b), b),$$

$$F(l, g, n, b)(p) := p + n + \tilde{g}((n + p)b^{2^{l+1}}),$$

$$N(l, g, b) := (H(l, g, b))^{b^{2^{l+2}}}(0),$$

$$H(l, g, b)(n) := n + P_0(l, F(l, g, n, b)) + \tilde{g}((n + P_0(l, F(l, g, n, b)))b^{2^{l+1}}),$$

where

$$P_0(l, f, b) := \tilde{f}^{b^{2^l}}(0), \quad \tilde{g}(n) := n + g(n), \quad g^M(n) := \max_{i \leq n+1} g(i).$$

$$\begin{aligned}
 M(l, g, b) &:= (N(2l + 7, g^{4l}) + P(2l + 7, g^{4l}, b))b2^{2l+8} + 1, \\
 P(l, g, b) &:= P_0(l, F(l, g, N(l, g, b), b), b), \\
 F(l, g, n, b)(p) &:= p - n + \tilde{g}((n + p)bz^{2l+1}), \\
 N(l, g, b) &:= (H(l, g, b))^{g^{2l+2}}(0), \\
 H(l, g, b)(n) &:= n + P_0(l, F(l, g, n, b)) + \tilde{g}((n + P_0(l, F(l, g, n, b)))bz^{2l+1}),
 \end{aligned}$$

where

$$P_0(l, l, b) := 7^{g^{2l}}(0), \quad \tilde{g}(n) := n + g(n), \quad g^M(n) := \max_{i \leq M} g(i).$$

Note that apart from the counterfunction g and the precision l , this bound depends only on b and not on S , T or x .

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Conditions to apply the metatheorems:

- 1 The proof does not use axioms or rules which are too strong.
- 2 The analyzed theorem in its logical form is not too complex in terms of quantification.

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Conditions to apply the metatheorems:

- 1 The proof does not use axioms or rules which are too strong.
- 2 The analyzed theorem in its logical form is not too complex in terms of quantification.



Theorem (Gerhardy-Kohlenbach 2008 - specific case 1)

Let φ_{\forall} , resp. ψ_{\exists} , be \forall - resp. \exists -formulas that contain only x, z, f free, resp. x, z, f, v free. Assume that $\mathcal{A}^{\omega}[X, \langle \cdot, \cdot \rangle, S]$ proves the following sentence:

$$\forall x \in \mathbb{N}^{\mathbb{N}}, z \in S, f \in S^S (\varphi_{\forall}(x, z, f) \rightarrow \exists v \in \mathbb{N} \psi_{\exists}(x, z, f, v)).$$

Then there is a computable functional $F : \mathbb{N}^{\mathbb{N}} \times \mathbb{N} \times \mathbb{N}^{\mathbb{N}} \rightarrow \mathbb{N}$ s. t. the following holds in all non-trivial (real) inner product spaces $(X, \langle \cdot, \cdot \rangle)$ and for any subset $S \subseteq X$

$$\forall x \in \mathbb{N}^{\mathbb{N}}, z \in S, b \in \mathbb{N}, f \in S^S, f^* \in \mathbb{N}^{\mathbb{N}} \\ (\text{Maj}(f^*, f) \wedge \|z\| \leq b \wedge \varphi_{\forall}(x, z, f) \rightarrow \exists v \leq F(x, b, f^*) \psi_{\exists}(x, z, f, v)),$$

where

$$\text{Maj}(f^*, f) := \forall n \in \mathbb{N} \forall z \in S (\|z\| \leq_{\mathbb{R}} n \rightarrow \|f(z)\| \leq_{\mathbb{R}} f^*(n)).$$

An example of proof mining

- Logic and a priori knowledge

- a metatheorem for our specific scenario

Theorem (Gerhardy-Kohlenbach 2008 - specific case 1)

Let φ_x , resp. ψ_x , be \forall - resp. \exists -formulas that contain only x, z, f free, resp. x, z, f, v free. Assume that $\mathcal{A} = [X, (\cdot, \cdot), S]$ proves the following sentence:

$$\forall x \in \mathbb{N}^l, z \in S, f \in S^S (\varphi_x(x, z, f) \rightarrow \exists v \in \mathbb{N} \psi_x(x, z, f, v)).$$

Then there is a computable functional $F : \mathbb{N}^l \times \mathbb{N} \times \mathbb{N}^l \rightarrow \mathbb{N}$ s.t. the following holds in all non-trivial (real) inner product spaces $(X, (\cdot, \cdot))$ and for any subset $S \subseteq X$:

$$\forall x \in \mathbb{N}^l, z \in S, b \in \mathbb{N}, f \in S^S, f' \in \mathbb{N}^l$$

$$(\text{Maj}(f', f) \wedge \|z\| \leq b \wedge \varphi_x(x, z, f)) \rightarrow \exists v \leq F(x, b, f') \psi_x(x, z, f, v)$$

where

$$\text{Maj}(f', f) := \forall n \in \mathbb{N} \forall z \in S (\|z\| \leq n \rightarrow \|f(z)\| \leq n \|f'(n)\|).$$

The theorem holds analogously for finite tuples.

Wittmann's theorem has the following form:

$$\forall l \in \mathbb{N}, g \in \mathbb{N}^{\mathbb{N}}, x \in S, T \in S^S \quad (+)$$
$$(W(T) \rightarrow \exists m \in \mathbb{N} (\|A_m x - A_{m+g(m)} x\| < 2^{-l})).$$

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- the assumption $\forall x, y \in S (\|Tx + Ty\| \leq \|x + y\|)$ has the form $\varphi_{\forall}(T)$

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So by setting

$$\underline{x} :=_{\mathbb{N} \times \mathbb{N}^{\mathbb{N}}} l, g, z :=_S x, f :=_{S \rightarrow S} T, f^* :=_{\mathbb{N} \rightarrow \mathbb{N}} \text{id}, \varphi_{\forall}(x, z, f) := W(T),$$

$$\exists v \in \mathbb{N} \psi_{\exists}(x, z, f, v) := \exists m \in \mathbb{N} (\|A_m x - A_{m+g(m)} x\| < 2^{-l}),$$

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we obtain that there is a computable bound $M : \mathbb{N} \times \mathbb{N}^{\mathbb{N}} \times \mathbb{N} \rightarrow \mathbb{N}$, s.t.

$$\forall l \in \mathbb{N}, g \in \mathbb{N}^{\mathbb{N}}, x \in S, T \in S^S$$

$$(\mathcal{W}(T) \wedge \|x\| \leq b \rightarrow \exists m \leq_{\mathbb{N}} M(l, g, b) (\|A_m x - A_{m+g(m)} x\| \leq 2^{-l})).$$

An example of proof mining

└ Logic and a priori knowledge

└ a metatheorem for our specific scenario

Wittmann's theorem has the following form:

$$\forall \epsilon \in \mathbb{N}, g \in \mathbb{N}^{\mathbb{N}}, x \in S, T \in S^{\mathbb{S}} \quad (+)$$

$$(W(T) \rightarrow \exists m \in \mathbb{N} (\|A_m x - A_{m+g(m)} x\| < 2^{-g})).$$

• the conclusion has the form $\exists m \psi_m(m, I, g)$

• the assumption $\forall x, y \in S (\|Tx + Ty\| \leq \|x + y\|)$ has the form $\varphi_T(T)$

So by setting

$$\Delta := \text{map}_{\mathbb{N}^{\mathbb{N}}} I, g, z := \text{id}, f := \text{id}, T, f' := \text{id}, \text{id}, \varphi_T(x, z, f) := W(T),$$

$$\exists v \in \mathbb{N} \psi_m(x, z, f, v) := \exists m \in \mathbb{N} (\|A_m x - A_{m+g(m)} x\| < 2^{-g}),$$

we obtain that there is a computable bound $M : \mathbb{N} \times \mathbb{N}^{\mathbb{N}} \times \mathbb{N} \rightarrow \mathbb{N}$, s.t.

$$\forall \epsilon \in \mathbb{N}, g \in \mathbb{N}^{\mathbb{N}}, x \in S, T \in S^{\mathbb{S}}$$

$$(W(T) \wedge \|x\| \leq b \rightarrow \exists m \leq M(I, g, b) (\|A_m x - A_{m+g(m)} x\| \leq 2^{-g})).$$

$W(T)$ already implies $\text{Maj}(\text{id}, T)$ (here id stands simply for the identity function on \mathbb{N}), since $W(T)$ applied to $x = y = z$ implies

$$\forall z \in S (\|T(z)\| \leq \|z\|).$$

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- non-trivial principles needed in the proof are the existence of the infimum/supremum of bounded sequences and the principle of convergence for bounded monotone sequences.
- Moreover, since the bound itself has only functions and numbers as arguments, it follows from Schwichtenberg 79 and Kohlenbach 99 that the bound is not only computable, but that the *bound is a primitive recursive functional in the sense of Gödel's \mathcal{T} .*

An example of proof mining

- └ Logic and a priori knowledge
- └ is it all?

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Except for the question of the use of the axiom of extensionality (full extensionality is in general unavailable in any proof-theoretic extraction of computational bounds). Generally, one can avoid the use of full extensionality in proofs of statements about continuous objects. Note that in particular any nonexpansive operator is also continuous. However, in our case, the operator T may be discontinuous. Fortunately, Wittmann proves his main results as a consequence of a statement about a simple sequence of elements in S , which as such is independent of T (see Theorem 2.3 in [9]), whereby all relevant equalities are provable directly. Therefore the rule of extensionality suffices to formalize his proof.

An example of proof mining

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Hence the existence of a *uniform computable bound* for the metastable version can be inferred from the metatheorem in [2].

Furthermore, since the metatheorem is established by proof-theoretic reasoning, it provides not only the existence of a uniform bound but also a procedure for its extraction.

Now, in general such a bound might need so called bar-recursion (BR), which is required to interpret the schema of full comprehension over numbers in Spector's system (see [8]).

An example of proof mining

└ Logic and a priori knowledge
└ is it all?

No.

- the proof can be formalized in $\mathcal{A}^{-1}[X, \{ \cdot, \cdot \}, S]$
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- Moreover, since the bound itself has only functions and numbers as arguments, it follows from Schwichtenberg 79 and Kohlenbach 99 that the bound is not only computable, but that the bound is a primitive recursive functional in the sense of Gödel's T.

Both of these principles need only bar-recursion restricted to numbers and functions ($BR_{0,1}$) and not full BR. (Kohlenbach shows in [6, 5] that both principles are provable from arithmetical comprehension which is interpreted in $\mathcal{T}_0 + BR_{0,1}$.)

The corresponding papers to Schwichtenberg 79 and Kohlenbach 99 are [7, 4]

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- ① Arithmetized convergence of a monotone bounded sequence $a_{(\cdot)}$:

$$\forall l \exists n \forall m \geq n \quad (|a_n - a_m| \leq 2^{-l}).$$

- ② Arithmetized existence of the infimum of a bounded sequence $a_{(\cdot)}$:

$$\forall l \exists n \forall m \quad (a_n - a_m \leq 2^{-l}).$$

An example of proof mining

- Logic and a priori knowledge

- arithmetization

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• Arithmetized convergence of a monotone bounded sequence a_1 :

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• Arithmetized existence of the infimum of a bounded sequence a_1 :

$$\forall \exists \forall m \quad (a_m - a_n) \leq 2^{-m}.$$

(as opposed to statements about objects in $\mathbb{N}^{\mathbb{N}}$).

An example of proof mining

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$$\forall \epsilon \exists \nu \forall m \geq n \quad (a_m - a_n \leq 2^{-\nu}).$$

• Arithmetized existence of the infimum of a bounded sequence a_1 :

$$\forall \epsilon \exists \nu \forall m \quad (a_m - a_\nu \leq 2^{-\nu}).$$

While the analytical principles are actually known to be equivalent to arithmetic comprehension (see Simpson 99 and – for more detailed results – Kohlenbach 00), the arithmetic versions are equivalent to Σ_1^0 -induction and hence have a functional interpretation by ordinarily primitive recursive functionals (see Kohlenbach 08).

An example of proof mining

└ Logic and a priori knowledge

└ arithmetization

The nonconstructive, or ineffective, content of Weierstrass's proof are the principle of convergence for bounded monotone sequences of real numbers and the existence of infimum for bounded sequences of real numbers. For a given sequence, the ineffective principles can be replaced by weaker statements about natural numbers only.

In the presence of arithmetical comprehension, these weaker (arithmetical) statements are equivalent to the original (analytical) principles. For the convergence we work with the arithmetical Cauchy property and for infimum we give for any precision an approximate infimum.

• Arithmetized convergence of a monotone bounded sequence a_1 :

$$\forall \epsilon \exists \nu \forall m \geq n \quad (a_m - a_n) \leq 2^{-\nu}.$$

• Arithmetized existence of the infimum of a bounded sequence a_1 :

$$\forall \epsilon \exists \nu \exists m \quad (a_m - a_n) \leq 2^{-\nu}.$$

Formulated in the usual way, both principles state the existence of a real number, which we represent as fast converging Cauchy sequences of rationals⁴ encoded as number theoretic functions (i.e. functions in $\mathbb{N}^{\mathbb{N}}$).

An example of proof mining

- Logic and a priori knowledge

- arithmetization

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• Arithmetized convergence of a monotone bounded sequence a_1 :

$$\forall \epsilon \exists \eta \forall m \geq n \quad (a_m - a_n) \leq 2^{-\eta}.$$





• Arithmetized existence of the infimum of a bounded sequence a_1 :

$$\forall \epsilon \exists \eta \forall m \quad (a_m - a_\infty) \leq 2^{-\eta}.$$

Of course, in this way we don't get a single point which *is* the limit point or infimum. Therefore we have to analyze the proof and see whether such points are actually needed or whether these arithmetical versions suffice. Here, fortunately, it turns out that the latter is the case (see [3] for a general discussion of this point).

- Proof mining
- Ergodic theory
- Wittmann's theorem(s)
- Logical justification
- Some additional information about ergodic theory?

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- Wittmann's theorem(s)
- Logical justification
- Some additional information about ergodic theory? maybe...

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