

Remarks on the Istratescu measure of noncompactness

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ABSTRACT

In this paper we give estimations of Istratescu measure of noncompactness $I(X)$ of a set $X \subset l^p(E_1, \dots, E_n)$ in terms of measures $I(X_j)$ ($j = 1, \dots, n$) of projections X_j of X on E_j . Also a converse problem of finding a set X for which the measure $I(X)$ satisfies the estimations under consideration is considered.

1. Introduction

Let E be a real Banach space with the norm $\| \cdot \|$. Given a nonempty subset A of E we say that it is ε -separated if for every pair x, y in A we have

$$\|x - y\| \geq \varepsilon.$$

For a nonempty and bounded subset X of E we shall consider the Istratescu measure of noncompactness of X , defined in the following way:

$$I(X) = \sup \{ \varepsilon > 0: \text{there exists an infinite } \varepsilon\text{-separated subset } A \text{ of } X \}.$$

This classical measure was studied in many papers and has found many applications (cf. [1,2]).

Particularly, in the geometry of Banach spaces the following “separation” constant, often called the Kottman constant, is considered:

$$K(E) = I(B(E))$$

where $B(E)$ denotes the unit ball of a space E .

As it was indicated by Papini (see [13]) the Kottman constant is strictly related to other significant notions, for example:

$$K(E) = \frac{2P(E)}{1 - P(E)} \quad (\text{cf. [10,12]}),$$

where $P(E)$ is the packing constant of E , defined as follows:

$$P(E) = \sup \{r > 0: \text{infinitely many balls of radius } \geq r \text{ can be packed in } B(E)\}.$$

(We say that a collection of balls $\{B(x_i, r_i)\}$ is packed in $B(E)$ if $B(x_i, r_i) \subseteq B(E)$ for every index i , and moreover the interiors of any two of the balls are disjoint they do not “overlap”).

We have also:

$$K(E) \cdot J(E) \geq 2 \quad (\text{cf. [13]}),$$

where $J(E)$ is the Yung constant of E , defined by

$$J(E) = \sup \{2r(A)/\delta(A); A \text{ is bounded, nonempty subset of } E\},$$

where $\delta(A)$ is the diameter of A , and $r(A) = \inf_{x \in E} \sup_{a \in A} \|x - a\|$.

We also know that $K(E)$ is continuous with respect to the Banach-Mazur distance in any isomorphism class (cf. [11]).

If we want to get some numerical results we may start from the Elton-Odell $(1 + \varepsilon)$ -separation theorem (cf. e.g. [4]), which gives us:

$$1 < K(E) \leq 2$$

(the right inequality is trivial).

From the papers of Kottman, Papini, Domínguez Benavides and other authors it follows that:

- i) $K(H) = 2^{1/2}$, if H is a Hilbert space (cf. e.g. [5]),
- ii) $K(l^p) = 2^{1/p}$, for $1 \leq p < \infty$ (cf. [10]),
- iii) $K(c_0) = K(l^\infty) = 2$,

- iv) $K(L^p) = \max\{2^{1/p}, 2^{1/q}\}$, for $1 \leq p < \infty, 1/p + 1/q = 1$ and μ not purely atomic measure (cf. [3,12]),
- v) $K(l^p(E_1, E_2, \dots)) = \max\{2^{1/p}, \sup_{i \in \mathbb{N}} K(E_i)\}$, where E_i are Banach spaces for $i = 1, 2, \dots$ (with a norm $\|\cdot\|_i$ respectively) and $l^p(E_1, E_2, \dots)$, with $1 \leq p < \infty$, denotes the space of all sequences $\{x_i\}$, $x_i \in E_i$, with $\sum_{i=1}^{\infty} \|x_i\|_i^p < \infty$ ($l^p(E_1, E_2, \dots)$ is a Banach space with the natural norm) (cf. [9,11]).

Recently some new interesting results concerning the Kottman constant in Orlicz and Musielak-Orlicz sequence spaces were obtained by H. Hudzik and others [6,7,8].

The result v) suggests the following question:

What can be said about Istratescu measure of a bounded subset of $l^p(E_1, E_2, \dots)$ if measures of its projections on subspaces E_i are known?

The aim of this paper is to answer this question for the finite product space $l^p(E_1, \dots, E_n)$ which may be treated as the special case of the space $l^p(E_1, E_2, \dots)$.

2. Notation, definitions and some auxiliary facts

This section is devoted to establish some auxiliary results which will be needed further on.

Let E_j be a Banach space with a norm $\|\cdot\|_j$ for $1 \leq j \leq n$.

Let us recall that the product space $l^p(E_1, \dots, E_n)$ is defined as the linear space $E_1 \times \dots \times E_n$ with a norm:

$$\|x\| = \left(\sum_{j=1}^n \|x_j\|_j^p \right)^{1/p} \quad \text{if } 1 \leq p < \infty,$$

and

$$\|x\| = \max_{1 \leq j \leq n} \|x_j\|_j, \quad \text{for } p = \infty,$$

where $x = (x_1, \dots, x_n) \in E_1 \times \dots \times E_n$.

The basic properties of product spaces may be found in [9], for example.

In the sequel we will use the following fact concerning the Istratescu measure of noncompactness in product spaces.

Lemma 1

If X is a bounded and nonempty subset of the space $l^p(E_1, \dots, E_n)$, $1 \leq p \leq \infty$, then

$$I(X) \geq I(X_j) \text{ for } j = 1, \dots, n,$$

where X_j denotes the projection of X on E_j .

Proof. Fix an arbitrary j , $1 \leq j \leq n$, and $\varepsilon > 0$. Let $\{x_{kj}\}$ be an $I(X_j) - \varepsilon$ -separated sequence in X_j . Then there exists a sequence $\{x_k\}$ of elements of X such that x_{kj} is a projection of x_k on the space E_j , for $k = 1, 2, \dots$. It is easy to see that $\{x_k\}$ is $I(X_j) - \varepsilon$ -separated, too. Indeed, for any $k, l \in \mathbb{N}$ we get

$$\begin{aligned} \|x_k - x_l\| &= \left(\sum_{i=1}^n \|x_{ki} - x_{li}\|_i^p \right)^{1/p} \geq (\|x_{kj} - x_{lj}\|_j^p)^{1/p} \\ &\geq I(X_j) - \varepsilon \text{ if } 1 \leq p < \infty, \end{aligned}$$

and

$$\begin{aligned} \|x_k - x_l\| &= \max_{1 \leq i \leq n} \|x_{ki} - x_{li}\| \geq \|x_{kj} - x_{lj}\| \\ &\geq I(X_j) - \varepsilon \text{ for } p = \infty. \end{aligned}$$

Thus for any $\varepsilon > 0$ we have

$$I(X) \geq I(X_j) - \varepsilon,$$

which ends the proof. \square

Now, let us formulate a few properties of the Istratescu measure of noncompactness which will be used later on (cf. [1,2]).

For any nonempty and bounded subsets X, Y of a Banach space E we have

$$(1) \quad X \subset Y \Rightarrow I(X) \leq I(Y),$$

$$(2) \quad I(RX) = RI(X) \text{ for any } R > 0,$$

$$(3) \quad I(X + a) = I(X) \text{ for any } a \in E.$$

The next useful property of the Istratescu measure I is formulated in the following lemma.

Lemma 2

Let X be a bounded and convex subset of a Banach space E such that $0 \in X$, and let $f: E \rightarrow \mathbb{R} \cup \{\infty\}$ be a function defined by

$$f(x) = \begin{cases} \inf\{t \geq 0: x \in tX\} & \text{if the set is nonempty,} \\ \infty & \text{otherwise.} \end{cases}$$

Then for any sequence $\{x_k\}$ of elements of X and $\delta > 0$ there exist $0 \leq R \leq 1$ and a subsequence $\{y_k\}$ of $\{x_k\}$ such that:

$$(4) \quad \lim_{k \rightarrow \infty} f(y_k) = R,$$

and for any $k, l \in \mathbb{N}$:

$$\|y_k - y_l\| \leq RI(X) + \delta.$$

Proof. Since $x_k \in X$ we get $0 \leq f(x_k) \leq 1$ for $k = 1, 2, \dots$. Hence using Weierstrass theorem we can choose a subsequence $\{w_k\}$ of $\{x_k\}$ and $0 \leq R \leq 1$ satisfying (4).

Put $\varepsilon = \delta/(I(X) + 1) > 0$.

From (4) it follows that $w_k \in (R + \varepsilon)X$ for $k \geq k_0, k_0 \in \mathbb{N}$.

Now, using (2) and Ramsey's theorem (cf. [4], for example) we claim that there exists a subsequence $\{y_k\}$ of $\{w_k\}$ such that

$$\|y_k - y_l\| \leq (R + \varepsilon)I(X) + \varepsilon = RI(X) + \delta \text{ for any } k, l \in \mathbb{N}.$$

If not, there would exist a subsequence of $\{w_k\}$ for which the opposite inequality holds, which in turn contradicts the fact that

$$I((R + \varepsilon)X) = (R + \varepsilon)I(X).$$

This completes the proof. \square

Finally, let us formulate a numerical lemma which is a simple consequence of Hölder's inequality.

Lemma 3

Let $1 \leq p < q < \infty$, $R_j \geq 0$ and $m_j \geq 0$ for $j = 1, \dots, n$, and

$$R_1^q + \dots + R_n^q \leq 1.$$

Then

$$\sum_{j=1}^n R_j^p m_j^p \leq \left(\sum_{j=1}^n m_j^{pq/(q-p)} \right)^{(q-p)/q}.$$

The equality is attained for:

$$\hat{R}_j = m_j^{p/(q-p)} \left(\sum_{i=1}^n m_i^{pq/(q-p)} \right)^{-1/q}, \quad \text{where } j = 1, \dots, n.$$

Proof. Indeed, putting

$$x_j = R_j^p, \quad y_j = m_j^p, \quad s = \frac{q}{p}, \quad t = \frac{q}{(q-p)},$$

we have $s, t > 1$ and $\frac{1}{s} + \frac{1}{t} = 1$. Hence, applying Hölder's inequality we obtain

$$\begin{aligned} \sum_{j=1}^n R_j^p m_j^p &= \sum_{j=1}^n x_j y_j \leq \left(\sum_{j=1}^n x_j^s \right)^{1/s} \left(\sum_{j=1}^n y_j^t \right)^{1/t} \\ &= \left(\sum_{j=1}^n R_j^q \right)^{p/q} \left(\sum_{j=1}^n m_j^{pq/(q-p)} \right)^{(q-p)/q} \\ &\leq \left(\sum_{j=1}^n m_j^{pq/(q-p)} \right)^{(q-p)/q}. \end{aligned}$$

The remainder of the proof is an easy calculation and is therefore omitted. \square

3. Main results

Let E_j be a Banach space with a norm $\| \cdot \|_j$ for $j = 1, \dots, n$. For the Istratescu measure of noncompactness in the product space $l^p(E_1, \dots, E_n)$ we have the following estimations.

Theorem 1

If X is a bounded subset of $l^p(E_1, \dots, E_n)$ then

$$(5) \quad \max_{1 \leq j \leq n} I(X_j) \leq I(X) \leq \left(\sum_{j=1}^n [I(X_j)]^p \right)^{1/p}, \quad \text{if } 1 \leq p < \infty.$$

and

$$(6) \quad I(X) = \max_{1 \leq j \leq n} I(X_j), \quad \text{if } p = \infty,$$

where X_j denotes a projection of X on E_j for $j = 1, \dots, n$.

The converse is also true, which is stated in the next theorem.

Theorem 2

If X_1, \dots, X_n are bounded and convex subsets of E_1, \dots, E_n respectively, then for any number μ satisfying

$$\max_{1 \leq j \leq n} I(X_j) \leq \mu \leq \left(\sum_{j=1}^n [I(X_j)]^p \right)^{1/p}, \quad \text{where } 1 \leq p < \infty,$$

there exists a subset X of $l^p(E_1, \dots, E_n)$ such that $I(X) = \mu$ and projections of X on each of E_j coincide with X_j .

Proof of Theorem 2. Let $1 \leq p < \infty$, E_1, \dots, E_n and X_1, \dots, X_n be as in the statement of the theorem. Keeping in mind (3), without loss of generality we may assume that $0 \in X_j$ for $j = 1, \dots, n$. Denote $m_j = I(X_j)$.

We define $f_j: E_j \rightarrow \mathbb{R} \cup \{\infty\}$ ($j = 1, \dots, n$) similarly as in Lemma 2, namely:

$$f_j(x) = \begin{cases} \inf\{t \geq 0: x \in tX_j\} & \text{if the set is not empty,} \\ \infty & \text{otherwise.} \end{cases}$$

Consider the sets

$$D_q = \left\{ (x_1, \dots, x_n) \in l^p(E_1, \dots, E_n): \sum_{j=1}^n [f_j(x_j)]^q \leq 1 \right\}$$

for $1 \leq q < \infty$, and

$$D_\infty = X_1 \times \dots \times X_n.$$

It is easy to see that

$$(7) \quad \begin{aligned} &\text{the projection of } D_q \text{ onto the space } E_j \text{ coincides with } X_j \\ &\text{for any } 1 \leq q \leq \infty \text{ and } j = 1, \dots, n. \end{aligned}$$

Now we will calculate the Istratescu measure of noncompactness of the sets D_q in the space $l^p(E_1, \dots, E_n)$.

We have:

$$(8) \quad I(D_q) = \max_{1 \leq j \leq n} I(X_j) \quad \text{for } 1 \leq q \leq p,$$

$$(9) \quad I(D_q) = \left(\sum_{j=1}^n [I(X_j)]^{pq/(q-p)} \right)^{(q-p)/pq} \quad \text{for } p < q < \infty,$$

$$(10) \quad I(D_q) = \left(\sum_{j=1}^n [I(X_j)]^p \right)^{1/p} \quad \text{for } q = \infty.$$

To prove (8) fix p and q , where $1 \leq q \leq p < \infty$. The inequality

$$I(D_q) \geq \max_{1 \leq j \leq n} I(X_j)$$

follows immediately from (7) and Lemma 1.

To prove the opposite, since $D_q \subseteq D_p$ for $1 \leq q \leq p$, taking into account (1) it is sufficient to show that

$$I(D_p) \leq \max_{1 \leq j \leq n} I(X_j).$$

Suppose to the contrary that there exists an $\alpha + \varepsilon$ -separated sequence $\{x_k\}$ contained in D_p , where $\alpha = \max_{1 \leq j \leq n} I(X_j)$ and $\varepsilon > 0$. Denote $x_k = (x_{k1}, \dots, x_{kn})$ for $k = 1, 2, \dots$. Put $\delta = (\alpha + \varepsilon)^p - \alpha^p > 0$. Applying consecutively Lemma 2 to each of X_j and taking a subsequence of $\{x_k\}$ in place of $\{x_k\}$ if necessary, we may assume that:

$$(11) \quad \lim_{k \rightarrow \infty} f_j(x_{kj}) = R_j, \quad \text{where } 0 \leq R_j \leq 1 \text{ for } j = 1, \dots, n,$$

and

$$(12) \quad \|x_{kj} - x_{lj}\|_j^p \leq R_j^p m_j^p + \frac{\delta}{2^j} \quad \text{for } l, k \in \mathbb{N}.$$

Moreover it is easy to see that

$$(13) \quad \sum_{j=1}^n R_j^p \leq 1$$

(if not, due to (11), x_k with sufficiently large k would not belong to D_p). Now, using (12) and (13) we get

$$\begin{aligned} \|x_k - x_l\|^p &= \sum_{j=1}^n \|x_{kj} - x_{lj}\|_j^p < \sum_{j=1}^n R_j^p m_j^p + \delta \\ &\leq \alpha^p \left(\sum_{j=1}^n R_j^p \right) + \delta \leq \alpha^p + \delta = (\alpha + \varepsilon)^p \end{aligned}$$

which contradicts the fact that $\{x_k\}$ is $\alpha + \varepsilon$ -separated. This implies (8).

To prove (9) let $1 \leq p < q < \infty$. Denote $\beta \doteq \left(\sum_{j=1}^n [I(X_j)]^{\frac{pq}{q-p}} \right)^{\frac{q-p}{pq}}$.

First we will prove that $I(D_q) \leq \beta$. Suppose to the contrary that there exists a sequence $\{x_k\}$ of elements of D_q which is $\beta + \varepsilon$ -separated, where $\varepsilon > 0$. Denote $\delta = (\beta + \varepsilon)^p - \beta^p > 0$. Using the same argumentation as above we may assume without loss of generality that for the sequence $\{x_k\}$ the properties (11), (12) and $R_1^q + \dots + R_n^q \leq 1$ hold.

Now, taking into account (12) and applying Lemma 3 we obtain

$$\begin{aligned} \|x_k - x_l\|^p &= \sum_{j=1}^n \|x_{kj} - x_{lj}\|_j^p < \sum_{j=1}^n R_j^p m_j^p + \delta \\ &\leq \beta^p + \delta = (\beta + \varepsilon)^p \end{aligned}$$

which contradicts the fact that the sequence $\{x_k\}$ is $\beta + \varepsilon$ -separated. Thus we have proved that $I(D_q) \leq \beta$,

To prove the opposite inequality let $\varepsilon > 0$ and $\delta = \beta^p - (\beta - \varepsilon)^p$. Consider $\hat{R}_1, \dots, \hat{R}_n$ such as in Lemma 3. We have:

$$\sum_{j=1}^n \hat{R}_j^q = 1, \quad \sum_{j=1}^n \hat{R}_j^p m_j^p = \beta^p \quad \text{and} \quad \hat{R}_j \geq 0 \quad \text{for } j = 1, \dots, n.$$

From (2) it follows that

$$I(\hat{R}_j X_j) = \hat{R}_j m_j \quad \text{for } j = 1, \dots, n.$$

Thus we can choose a sequence $\{x_{kj}\}_{k \in \mathbb{N}}$ of elements of $\hat{R}_j X_j$ such that

$$\|x_{kj} - x_{lj}\|_j^p \geq \hat{R}_j^p m_j^p - \frac{\delta}{n} \quad \text{for } j = 1, \dots, n \text{ and } k \neq l.$$

Let

$$x_k = (x_{k1}, \dots, x_{kn}) \text{ for } k = 1, 2, \dots$$

Since $x_{kj} \in \hat{R}_j X_j$ we have $f_j(x_{kj}) \leq \hat{R}_j$ for $j = 1, \dots, n$ and

$$\sum_{j=1}^n [f_j(x_{kj})]^q \leq \sum_{j=1}^n \hat{R}_j^q = 1.$$

Hence $x_k \in D_q$ for $k = 1, 2, \dots$. Moreover we have:

$$\begin{aligned} \|x_k - x_l\|^p &= \sum_{j=1}^n \|x_{kj} - x_{lj}\|_j^p \geq \sum_{j=1}^n \hat{R}_j^p m_j^p - \delta \\ &= \beta^p - \delta = (\beta - \varepsilon)^p \text{ for } k, l \in \mathbb{N}, k \neq l. \end{aligned}$$

Thus for an arbitrary $\varepsilon > 0$ there exists a sequence of elements of D_q which is $\beta - \varepsilon$ -separated. So $I(D) \geq \beta$. This ends the proof of (9).

To prove (10) let $q = \infty$. Arguing similarly as above it is easy to check that:

$$I(D_\infty) \geq \gamma, \quad \text{where } \gamma = \left(\sum_{j=1}^n m_j^p \right)^{1/p}.$$

Suppose that the opposite inequality does not hold. Then there exists a sequence $\{x_k\}$ of elements of D_∞ which is $\gamma + \varepsilon$ -separated, where $\varepsilon > 0$. Let $x_k = (x_{k1}, \dots, x_{kn})$ where $x_{kj} \in X_j$ for $k = 1, 2, \dots$. Put $\delta = (\gamma + \varepsilon)^p - \gamma^p$. Using Ramsey's theorem we can choose a subsequence of the sequence $\{x_k\}$ (without loss of generality all $\{x_k\}$) such that:

$$\|x_{kj} - x_{lj}\|_j^p \leq I(X_j)^p + \frac{\delta}{2n} \text{ for } j = 1, \dots, n, \quad k, l \in \mathbb{N}.$$

Therefore

$$\|x_k - x_l\|^p = \sum_{j=1}^n \|x_{kj} - x_{lj}\|_j^p \leq \sum_{j=1}^n m_j^p + \frac{\delta}{2} < \gamma^p + \delta = (\gamma + \varepsilon)^p.$$

The obtained contradiction proves (10).

Finally, observe that

$$\lim_{q \rightarrow p} \left(\sum_{j=1}^n [I(X_j)]^{pq/(q-p)} \right)^{(q-p)/pq} = \max_{1 \leq j \leq n} I(X_j)$$

and

$$\lim_{q \rightarrow \infty} \left(\sum_{j=1}^n [I(X_j)]^{pq/(q-p)} \right)^{(q-p)/pq} = \left(\sum_{j=1}^n [I(X_j)]^p \right)^{1/p},$$

which in conjunction with (8), (9) and (10) completes the proof of Theorem 2. \square

Since the proof of (10) is valid for any $1 \leq p < \infty$ and bounded (not necessarily convex) sets we obtain the following corollary.

Corollary 1

If X_1, \dots, X_n are bounded and nonempty subsets of Banach spaces E_1, \dots, E_n respectively, then for the measure I in the space $l^p(E_1, \dots, E_n)$, where $1 \leq p < \infty$, we have

$$I(X_1 \times \dots \times X_n) = \left(\sum_{j=1}^n [I(X_j)]^p \right)^{1/p}.$$

Proof of Theorem 1. Let X be a bounded subset of $l^p(E_1, \dots, E_n)$. Observe, that in view of Lemma 1 the inequality

$$(14) \quad I(X) \geq \max_{1 \leq j \leq n} I(X_j)$$

holds for any $1 \leq p \leq \infty$, where X_j denotes a projection of X on E_j for $j = 1, \dots, n$.

On the other hand, we have $X \subseteq X_1 \times \dots \times X_n$. Thus, using (1) and Corollary 1 we obtain:

$$I(X) \leq I(X_1 \times \dots \times X_n) = \left(\sum_{j=1}^n [I(X_j)]^p \right)^{1/p},$$

for $1 \leq p < \infty$, which in conjunction with (14) gives (5).

Now, we will show that for $p = \infty$:

$$I(X) \leq \max_{1 \leq j \leq n} I(X_j).$$

Given $\varepsilon > 0$ let $\{x_k\}$ be an $I(X) - \varepsilon$ -separated sequence of X . Denote $x_k = (x_{k1}, \dots, x_{kn})$, for $k = 1, 2, \dots$. We have

$$\|x_k - x_l\| = \max_{1 \leq j \leq n} \|x_{kj} - x_{lj}\|_j \geq I(X) - \varepsilon, \text{ for } k, l \in \mathbb{N}, k \neq l.$$

From Ramsey's theorem it follows that for at least one of the indices j , $1 \leq j \leq n$, there exists a subsequence $\{y_k\}$ of $\{x_k\}$ such that

$$\|y_k - y_l\| = \|y_{kj} - y_{lj}\|_j \text{ for all } k, l \in \mathbb{N}.$$

The sequence $\{y_{kj}\}$ of elements of X_j is therefore $I(X) - \varepsilon$ -separated and we have

$$I(X) - \varepsilon \leq I(X_j) \leq \max_{1 \leq i \leq n} I(X_i),$$

for any $\varepsilon > 0$, which completes the proof of (6) and Theorem 1. \square

As an immediate consequence of Theorems 1 and 2 we obtain the following corollary concerning the Kottman constant of product spaces.

Corollary 2

Let E_j be a Banach space for $j = 1, \dots, n$ and let $1 \leq p \leq \infty$. Then:

$$(15) \quad K(l^p(E_1, \dots, E_n)) = \max_{1 \leq j \leq n} K(E_j).$$

Proof. For $p = \infty$ the statement simply follows from the equality (6) of Theorem 1. Indeed, putting $X = B(l^\infty(E_1, \dots, E_n))$ in (6) we have:

$$I(B(l^\infty(E_1, \dots, E_n))) = \max_{1 \leq j \leq n} I(B(E_j))$$

which is (15).

If $1 \leq p < \infty$ then putting in (8) of the proof of Theorem 2 $X_j = B(E_j)$ for $1 \leq j \leq n$, and using the same notation, we have:

$$f_j(x) = \|x\|_j \text{ for } x \in E_j,$$

and

$$D_p = B(l^p(E_1, \dots, E_n)),$$

so (15) is an immediate consequence of (8). This completes the proof. \square

Finally, let us mention that analogous estimations as in Theorems 1 and 2 may be obtained for the space $l^p(E_1, E_2, \dots)$, however they are not satisfactory since the series which appears on the right hand side of (5) need not be convergent.

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